

Guidelines for the Preparation of the Human Resource Development Plan

**Ministry of Public Administration, Home Affairs,
Provincial Councils and Local Government**

Contents

	Page number
Preface	3
01. Process for the preparation of human resource development plan	4
02. Steps in the preparation of human resource development plan	4-23
2.1 Identifying the requirement of maintaining the institution	4-5
2.2 Identifying vision, mission, goals, objectives and values in relation to the human resource development plan	5-6
2.2.1 Vision	5
2.2.2 Mission	5
2.2.3 Goals	5
2.2.4 Objectives	6
2.2.5 Values	6
2.3 Analyzing the particulars of the staff of the institution	6
2.4 Forecasting the future staff requirement of the institution	6-7
2.5 Preparation of the plan for filling vacancies of the institution	7
2.6 Analyzing horizontally the human resource of the institution	7
2.7 Grouping the human resource analyzed horizontally and presenting it in figures	7-8
2.8 Identifying the competencies	8-9
2.9 Analyzing training needs	9-10
2.10 Identifying suitable human resource development programmes	10-11
2.10.1 Identifying and analyzing training programmes	10-11
2.11 Succession planning	12
2.12 Estimating the expenses	12
2.13 Preparation of the human resource development calendar	12
2.14 Implementation of training programmes and evaluation and moderation of performance evaluation reports of the officers	12-13
Annex I Name of the institution	14
Annex II Analysis of the particulars of the staff of the institution	15
Annex III Forecast of the future staff requirements of the institution	16
Annex IV Plan for filling the existing vacancies within the next year	17
Annex V Horizontal analysis of the human resource of the institution	18
Annex VI Grouping the human resource and presenting it in figures	19
Annex VII Identifying the competencies of the staff	20
Annex VIII Other human resource development programmes identified in addition to training programmes	21
Annex IX Analysis of training programmes	22
Annex X Human resource development calendar	23

Preface

Human resource is the most valuable among the other resources of public institutions. The party that is responsible for directing all the resources available for the fulfillment of all other human requirements is the human resource. In order to perform this responsibility properly, all institutions should act, paying special attention to directing their human resources to perform relevant tasks. Therefore, it is essential to develop the human resource. With the intention of achieving this goal, the Ministry of Public Administration, Home Affairs, Provincial Councils and Local Government emphasizes the dire necessity to prepare human resource development plan for the public sector by Public Administration Circular No. 02/2018. Accordingly, these guidelines are hereby issued to formalize the methodology introduced by the circular. All public institutions should adhere to a process for utilizing the human resource of the institution, ensuring maximum efficiency, and therefore, we firmly believe that in the fulfillment of the responsibility entrusted to an institution as a whole, the institution will prepare its human resource development plan in a new model so as to enhance the qualities required by an institution, such as the cordiality among the members of the staff, their skills, capabilities, innovative talents and enthusiasm. The main objective of this guideline is that the institutions will take action to fill the competency gaps by way of various human resource development plans such as training programmes, seminars, discussions, etc., identifying competencies basically as core and technical competencies that the officers should improve whilst making a specific assessment on the essential carder and understanding the objectives and the nature of the institute.

K.D.N. Ranjith Asoka
Secretary
Ministry of Public Administration, Home Affairs, Provincial
Councils and Local Government

01. Process for the preparation of human resource development plan

The process for preparing the human resource development plan consists of the following steps;

- I. Understanding the requirement of maintaining the institution
- II. Identifying the vision, mission, goals, objectives and values of this plan
- III. Analyzing the particulars of the staff of the institution
- IV. Forecasting the future cadre requirement of the institution
- V. Preparation of the plan for filling vacancies existing in the institution
- VI. Analyzing horizontally the human resource of the institution
- VII. Grouping the human resource analyzed horizontally and presenting it in figures
- VIII. Identifying the competencies required to posts
- IX. Analyzing the training needs for each officer
- X. Identifying human resource development plans to fill the identified gaps of competencies
- XI. Planning for successors
- XII. Making expenditure estimates for relevant programmes
- XIII. Preparation of the human resource development calendar for future years
- XIV. Implementation of the training programmes as per the plans, and evaluation and moderation of the performance evaluation reports of the officers

02. Steps in the preparation of human resource development plan

The human resource development plan should be prepared following the steps mentioned below, and the forms from Annex I to X should be filled out for this purpose.

2.1 Identifying the requirement of maintaining the institution

For this purpose, it is highly important to identify the vision, mission, objectives and tasks of the whole institution, and further to refer to the gazette notification, which presents the scope, functions and tasks, special priorities and relevant

institutional and legal framework, and thereby identify the purpose of the establishment of the institution, the nature of the establishment, and further the services, duties and responsibilities to be fulfilled by the institution for various parties and whether the expected tasks are duly performed. Action may be taken to discuss engaging either the whole staff or a selected group if it is necessary, and any other further action may also be taken. The above facts should be included under 1 of “Annex I”.

2.2 Identifying vision, mission, goals, objectives and values in relation to the human resource development plan

The human resource plan is one of the sub-plans among the other main plans. Those main plans may be of different natures, i.e., development plans, strategic plans, action plans and corporate plans. **The human resource development plan should be prepared by analyzing widely the following sectors** after obtaining a comprehensive understanding of these main plans and the purpose for which the institution is established.

2.2.1 Vision

The vision represents the orientation of the human resource development plan. Vision means the position to be achieved with the implementation of the human resource development plan. Further, this vision should be an optimum position expected to be achieved at the end of a period of “three years”, “five years” or more. It is important to take action with a long-term vision, and the vision of human resource development is linked inevitably with the main vision of the institution.

2.2.2 Mission

The mission describes the objectives of the human resource development plan. Therefore, the mission means the whole work process that should be followed in order to make the vision a reality. The approach to the vision of human resource development is identified by the mission.

2.2.3 Goals

Performances that are expected to be achieved extensively in the future in order to make the vision and mission in the human resource development plan of the institution a reality should be determined as the goals.

2.2.4 Objectives

Specific performances described in the aspects of values, time and quantities for the achievement of goals determined in the above manner should be identified as objectives.

2.2.5 Values

These are the values built by the institution and standard values applied in the process for the implementation of the mission to achieve the expected vision.

Above facts should be included in 2 of “Annex I”.

2.3 **Analyzing the particulars of the staff of the institution**

Analyzing the particulars of the staff is highly important in the preparation of the human resource development plan of an institution. Such a process will pave the way for a pre-understanding of the facts, such as the cadre approved at present, the actual staff, the existing vacancies and the excess staff, if any. Accordingly, this should be prepared from the highest post to the lowest post under each level in accordance with the specimen given in “Annex II”.

2.4 **Forecasting the future staff requirement of the institution**

When analyzing deeply the tasks to be performed by the institution, it should be possible to estimate, at present, the staff that should be required according to the programmes that are expected to be launched in the coming years. Therefore, the required number of officers should be estimated as per the posts that fall under each service category in relation to each level of service and then it should be included in accordance with the specimen in “Annex III”. For this purpose, the requirement of the staff can be analyzed under the following facts;

1. Creation of a new post
2. Increasing the approved cadre
3. Decreasing the approved cadre
4. Suppressing posts
5. Abolishing posts

Forecasts should be made for the staff carrying out a proper work study by way of following a scientific methodology. Further, steps should be taken to create new posts and increase cadre if it is highly essential and the requirement can be fully justified.

2.5 Preparation of the plan for filling vacancies of the institution

It is highly important in human resource development to make plans to fill the vacancies in the future. For this purpose, attention should be paid to the possibility of managing the existing cadre, and accordingly, the heads of institutions should be vigilant constantly regarding the methods for filling existing vacancies. Accordingly, the expected future actions should be identified within the planned period, and the relevant particulars should be included in the specimen in “Annex IV”.

2.6 Analyzing horizontally the human resource of the institution

For this purpose, the posts from the highest level to the lowest level should be identified. Then the identified posts should be categorized horizontally based on the service category under the senior, tertiary, secondary and primary service levels. The specimen in “Annex V” can be used in this regard.

2.7 Grouping the human resource analyzed horizontally and presenting it in figures

In order to facilitate the identification and implementation of future human resource development programmes, the human resources identified horizontally in the above step should be grouped, respectively, from No. 01, and the specimen in “Annex VI” can be used for this purpose. In the meantime, the number of officers in each group can be identified as per

different designations and posts. This is highly important in the implementation of human resource development programmes based on the service category.

2.8 Identifying the competencies

The competencies to be acquired by the relevant officers to perform the duties of each post in an efficient manner are identified under this highly necessary section. Such competencies can be identified mainly under two categories.

- I. Core Competencies
- II. Technical Competencies

Core competencies mean the basic qualities to be acquired by an officer for the fulfillment of duties in an efficient manner. E.g.: communication skills, experience in customer services, knowledge on the Establishments Code, time management, etc.

Technical competencies mean the knowledge, experience and talent to be required essentially by an officer for the fulfillment of the duties of the post. E.g.: Driving skills for a driver, capacity for lecturing for a trainer, etc.

It is evident that every officer should have acquired technical competencies in relation to his or her profession. In cases where an officer lacks core competencies, he can carry out the duties of the post if he has technical competencies. However, the behaviour and activities of the officers are enhanced by the satisfaction of the core competencies. Therefore, it is highly important to acquire them. The enhancement of technical competencies will pave the way to performing the duties in the correct manner.

Accordingly, the competencies to be acquired by the human resource of the institution in order to perform the tasks of the annual action plan should be identified in this step, and further, these two competencies should be identified by analyzing them deeply in relation to each post. Schemes of recruitment for the relevant posts, job descriptions, duty lists, etc., are

useful in this regard. It may seem that the core competencies acquired by an officer holding a certain post are commonly applicable to an officer holding another post. In this case, communication skills can be identified as a core competency common to both the posts of receptionist and management assistant. Even though the core competencies required for the two posts are the same, the level of competency is not at the same level. It is evident that the receptionist should have communication skills at a higher level than the management assistant. The specimen in “Annex VII” can be utilized to enter the competencies identified in this way in the posts that fall under each service category.

2.9 Analyzing training needs

When the competency levels to be acquired by officers in relation to each post are identified, categorizing them as core and technical as mentioned in the above paragraph, the next step is to identify the level of competencies enhanced by the officers. Through such an act, it is possible to identify whether there is a competency gap to be filled further. For this purpose, training needs analysis (TNA), should be made on the basis of each officer or group of officers. For this purpose, various methodologies, such as training needs identified at the evaluation of the performance report, calling information through a questionnaire given to relevant officers and identifying their training needs by conducting discussions with them, calling information from the supervisor, observing the way they fulfill their duties, and from the information given by other officers at the same level as the officer concerned, etc., can be utilized.

However, when there is a large number of officers in each service category, the best practice is to select a sample, identify the competency gaps with the application of a suitable methodology out of the ones given here, and then identify the training needs required by the officers.

At present, this step is neglected when organizing many training programmes. Arrangements are made without identifying the training needs, and therefore, such practice will pave the way to damaging the credibility of officers on training while causing unnecessary expenses.

Under such circumstances, there will be difficulties in achieving the expected results.

2.10 Identifying suitable human resource development programmes

There is a large number of programmes that can be implemented by an institution for human resource development. They are not merely training programmes. Training programmes are the main human resource development programmes, and several other human resource development programmes, that can be implemented by an institution are given below.

- I. Seminars
- II. Discussions and staff meetings
- III. Programmes for the promotion of staff
- IV. Coaching
- V. Counseling
- VI. Succession Planning

In addition to the above programmes, various programmes that are suitable to enhance the skills, enthusiasm and results of the staff can be planned considering the role, the number of officers and the allocations that can be made. The human resource development programmes identified in this way can be indicated as per “Annex VIII”.

2.10.1 Identifying and analyzing training programmes

“Training programmes” can be identified as the best human resource development process among human resource development programmes. This is the human resource development programme which can be easily organized in the public sector. For this purpose, training programmes should be organized in order to gradually complete core competencies and technical competencies gradually to fill the competency gaps, identifying them as mentioned in steps 2.8 and 2.9 above. At this occasion “code numbers” can be given to each training programme.

In this part for identifying training programmes, relevant groups of officers can be included in one table in order to identify such groups more easily. Since several groups may be included in the table, section 6.1.2 can be completed by the tables given in “Annex IX”. Further, the groups identified in “Annex VI” and the posts relevant to each group can be indicated in serial number 6.1.1 and Table No. 6.1.2, respectively. Then the training programmes for core competencies and technical competencies can be indicated in Table 6.1.3 and 6.1.4, respectively, and further, code numbers can be determined separately for each training programme depending on the levels of competencies for identified trainings. For this purpose, training programmes for core competencies can be organized for several groups of officers in different service categories at one and the same time. Table 6.1.3 can be used for the purpose. The levels of competency to be included in the aforesaid table are as follows.

- Level 1 - Basic - L1
- Level 2 - Average - L2
- Level 3 - Advance - L3
- Level 4 – Professional - L4
- Level 5 – Expert - L5

When determining the level of competency for each post, it should be noted that the levels of competency to be acquired by officers in different grades of each post may be similar or vary depending on the grade and the post. E.g.: It is sufficient for an officer in Grade III of the Management Service Officers’ Service to acquire the level of competency in L1 in Grade III, but an officer in Grade I of the same post should acquire L3 of the same competency.

However, it is required to prepare tables separately for the officers holding different posts in one and the same group when identifying training programmes for technical competencies. Such a situation occurs since the core competencies required in the performance of duties vary from post to post. Table 6.1.4 can be applied for this purpose.

2.11 Succession planning

It is highly important to have a pre-understanding of the labour turnover of an institution. Therefore, action should be taken to identify in advance the changes that may occur depending on urgent situations as well as transfers, retirements and maternity leave as per the approved staff.

In cases where the role of the institution is fulfilled by the application of a special competency of an officer holding a post in addition to the competencies identified in 2.8 above, special attention should be paid to avoid the risk of adversely affecting the role of the institution, which may be caused by the unavailability of an appropriate officer when the officer holding the post leaves such an institution. On such occasions, it is advisable to prepare a methodology to inculcate special competencies in successors by way of identifying an officer /officers who can perform the duties of the relevant post.

2.12 Estimating the expenses

Expenditure estimates should be prepared, managing properly the allocations so as not to exceed the limit determined in the annual budget estimate for the identified human resource development programmes.

2.13 Preparation of the human resource development calendar

A training calendar can be prepared as per the specimen in “Annex X” for the proper implementation of training programmes identified under human resource development programmes indicating them as per the training code. This may either be a quarterly calendar or a calendar prepared especially for separate periods, and the most important fact in this case is preparing the calendar in any way given above.

2.14 Implementation of training programmes and evaluation and moderation of performance evaluation reports of the officers

Once the human resource development plan is prepared in a formal manner, a proper arrangement should be made for the implementation of that plan. If the human resource development plan is implemented

properly, it should demonstrate an enhancement in the total performance of the institution. Therefore, the human resource development plan of every institution should have the facility to be implemented along with the annual action plan in order to achieve the required level of progress.

The tasks included in the annual action plan of the institution should be distributed among district/ regional / sub offices. Accordingly, every institution should, at the beginning of the year, prepare an annual action plan for all the divisions of the institution and district/ regional/sub offices depending on their nature.

In the meantime, the performance evaluation process that is being implemented at present should be more formalized, and the performance evaluation reports, which have already been identified and used, should not be a document utilized just for the payment of annual salary increments. A proper evaluation and moderation should be made as to whether the capacity development of officers in the performance evaluation process has paved the way to enhance their performance and whether any progress is observed within the period of evaluation. If any gap or issue is observed between the capacity development and the performance of a certain officer, necessary action should be taken promptly by the immediate supervising officer. And further, relevant particulars should be included in performance evaluation reports in this regard.

(Name of the institution))

(Year or the relevant period)

Human Resource Development Plan

1. Institution :

- 1.1. Name of the institution -
- 1.2. Vision/ mission/ objectives/ functions of the institution -
- 1.3. Requirement of maintaining the institution -

2.

- 2.1. Vision -
- 2.2. Mission -
- 2.3. Goals -
- 2.4. Objectives -
- 2.5. Values -

for the human resource development plan of the institution

N.B. :- When identifying goals and objectives, it is more appropriate if different objectives are identified separately under each goal.

3. Human resource of the institution
3.1 Analysis of the particulars of the staff of the institution

Service level	Post	Relevant service	Grade	Salary code	Cadre as at/...../.....			
					Appr oved	Actual	Vacanci es	Cadre in excess
Senior level								
	Total							
Tertiary level								
	Total							
Secondary level								
	Total							
Primary level								
	Total							
Total number of posts								

3.2 Forecast of the future staff requirements of the institution

Service level	Serial number	Post	Relevant service	Grade	Salary code	Future staff requirements of the institution				
						Creating a new post	Increasing the approved cadre	Decreasing the approved cadre	Suppressing posts	Abolishing posts
Senior level	1									
	2									
	3									
	4									
	5									
Tertiary level	1									
	2									
	3									
	4									
	5									
Secondary level	1									
	2									
	3									
	4									
	5									
Primary level	1									
	2									
	3									
	4									
	5									

3.3 Plan for filling the existing vacancies within the next year

Service level	Serial number	Post	Relevant service	Grade	Salary code	Cadre				Method of filling vacancies	Method of covering up duties till vacancies are filled
						Approved	Actual	Vacancies	Cadre in excess		
Senior level	1										
	2										
	3										
	4										
	5										
Tertiary level	1										
	2										
	3										
	4										
	5										
Secondary level	1										
	2										
	3										
	4										
	5										
Primary level	1										
	2										
	3										
	4										
	5										

3.4 Horizontal analysis of the human resource of the institution

Service levels	Senior level	Tertiary level	Secondary level	Primary level
Relevant service category and posts that fall under that category	(a) Senior Executive (SL4, SL3) i. ii.	(a) Management Assistant – Supra Grade (MN 7) i. ii.	(a) Associate officer - (MN4) i. ii.	(a) Primary Grade - Skilled - (PL3) i. ii.
	(b) Executive (SL1) i. ii.	(b) Field / Office Based Officer - Category 1 (MN6) i. ii.	(b) Supervisory Management Assistant - Non Technical / Technical (MN 3) i. ii.	(b) Primary Grade – Semi-skilled - (PL2) i. ii.
		(c) Field / Office Based Officer - category 2 (MN5) i. ii.	(c) Management Assistant- Non technical Multi-purpose - Segment 1 – (MN 2) i. ii.	(c) Primary Grade- Non-skilled - (PL1) i. ii.
			(d) Management Assistant- Non technical - Segment 2 – (MN1) i. ii.	
			(e) Management Assistant- Technical - Segment 2 (MT 2) i. ii.	
			(f) Management Assistant – Technical - Segment 3 (MT 1) i. ii.	

Note :

Service categories, salary codes and designations may vary depending on the nature of the institution.

3.5 Grouping the human resource and presenting it in figures

Service levels	Senior level			Tertiary level			Secondary level			Primary level					
	Serial number	Group	Cadre	Serial number	Group	Cadre	Serial number	Group	Cadre	Serial number	Group	Cadre			
Posts that fall under the relevant service category	Group 15			Group 12			Group 09			Group 03					
	<i>Senior Executive (SL4, SL3)</i>			<i>Management Assistant Supra Class (MN 7)</i>			<i>Associate Officer (MN 4)</i>			<i>Primary Grade - Skilled (PL3)</i>					
	I			I			I			I					
	II			Group 11			Group 08			II					
	III			<i>Field/ Office Based Officer - Segment 1 (MN6)</i>			<i>Supervisory Management Assistant - Non-Technical/ Technical (MN 3)</i>			III					
	IV			I			I			IV					
	Group 14			II			II			V					
	<i>Executive (SL1) – Second group</i>			Group 10			Group 07			VI					
	I			<i>Field/ Office Based Officer - Segment 2 (MN5)</i>			<i>Management Assistant – Non-Technical Multi-purpose - Segment 1 (MN 2)</i>			Group 02					
	II			I			I			<i>Primary Grade – Semi-Skilled (PL2)</i>					
	III			II			Group 06			I					
	IV						<i>Management Assistant Non-Technical – Segment 2 (MN 1)</i>			II					
	V						I			III					
	VI						II			Group 01					
	VII						III			<i>Primary Grade – Non-Skilled (PL1)</i>					
	Group 13						IV			I			I		
	<i>Executive (SL1) – First group</i>						II			Group 05			II		
	I						III			<i>Management Assistant Technical - Segment 2 (MT 2)</i>			III		
	II			IV			I			IV					
	III						Group 04			V					
	IV						<i>Management Assistant Technical - Segment 3 (MT 1)</i>			VI					
	V						I			VII					
	VI						II								

Note :

Service categories, salary codes and designations may vary depending on the nature of the institution. The above service category has been included as per Public Administration Circular No. 03/2016.

4. Identifying the competencies of the staff

4.1 Group - (*Group number as mentioned in Annex VI*) (*Service Category*)

Serial number	Designation	Competencies			
		Core		Technical	
1		1		1	
		2		2	
		3		3	
		4		4	
2		1		1	
		2		2	
		3		3	
		4		4	
3		1		1	
		2		2	
		3		3	
		4		4	
4		1		1	
		2		2	
		3		3	
		4		4	
5		1		1	
		2		2	
		3		3	
		4		4	
		5		5	
		6		6	

5. Other human resource development programmes identified in addition to training programmes

Serial number	Human resource development programme identified	Relevant service category
01		
02		
03		
04		
05		
06		
07		
08		
09		
10		
11		
12		
13		
14		
15		
16		
17		
18		
19		
20		

6. Analysis of training programmes

6.1 Proposed training programmes for posts of(service level) -(salary code)

6.1.1 Group :

6.1.2 Relevant service category and post

Group			
Salary code			
Service category			
Serial number	Posts		
i			
ii			
iii			

6.1.3 Training programmes for core competencies - Group

Serial number	Training programme	Level of Competency	Code
1			
2			
3			

6.1.4 Training programmes for technical competencies - Group

Serial number	Post	Sub serial number	Training programme	Code
1		1		
		2		
		3		

7. Human resource development calendar

Serial number	Training code	Training programme	Year			
			Quarter			
			1	2	3	4
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						