



EU Competency Framework for the management and implementation of the European Regional Development Fund and the Cohesion Fund

Annex 6 – Technical requirements and Instructions for
using the Self-Assessment Tool



Written by EY, Alessandro Cenderello
February 2016



EUROPEAN COMMISSION

Directorate-General for Regional and Urban Policy
Directorate E — Administrative Capacity Building and South-East Europe
Unit E.1 — Administrative Capacity Building Solidarity Fund

Contact: Ann-Kerstin Myleus, Denisa Perrin

E-mail: REGIO-E1-ADMINISTRATIVE-CAPACITY@ec.europa.eu

European Commission
B-1049 Brussels

Annex 6 – Technical requirements and Instructions for using the Self-Assessment Tool

***Europe Direct is a service to help you find answers
to your questions about the European Union.***

Freephone number (*):

00 800 6 7 8 9 10 11

(*) The information given is free, as are most calls (though some operators, phone boxes or hotels may charge you).

LEGAL NOTICE

This document has been prepared for the European Commission however it reflects the views only of the authors, and the Commission cannot be held responsible for any use which may be made of the information contained therein.

More information on the European Union is available on the Internet (<http://www.europa.eu>).

Luxembourg: Publications Office of the European Union, 2016

ISBN: 978-92-79-58027-7

doi: 10.2776/855543

© European Union, 2016

Reproduction is authorised provided the source is acknowledged.

TABLE OF CONTENTS

1.	TECHNICAL REQUIREMENTS	1
2.	INSTRUCTIONS FOR THE ASSESSMENT OF COMPETENCIES AT INDIVIDUAL LEVEL.....	2
2.1.	Proficiency scales	2
2.2.	Primary information.....	2
2.3.	The assessment of competencies.....	3
2.4.	Summary of the self-assessment results	4
2.5.	Development plan	5
3.	INSTRUCTIONS FOR AGGREGATING THE INDIVIDUAL ASSESSMENT RESULTS.....	6

1. TECHNICAL REQUIREMENTS

1. **Microsoft Excel version:** 2010 or later.
2. **Required settings:** the list separator has to be “;”. The following steps should be taken to make changes (if needed):
 - a. Push “Start” and select “Control Panel”
 - b. Select “Clock, Language, and Region” in the “Control Panel”;
 - c. Select “Region and Language”
 - d. Select “Additional settings”, if the current List separator is “ , ” please change it to “ ; ”
 - e. Save the changes.
3. Before starting the Self-Assessment Tool close all other open Microsoft Excel files.
4. Open the Microsoft Excel file titled “Self-Assessment Tool.xlsm” and enable macros (please see the picture below);



5. Save the individual assessment results and close the Self-Assessment Tool before opening any other Microsoft Excel files.

2. INSTRUCTIONS FOR THE ASSESSMENT OF COMPETENCIES AT INDIVIDUAL LEVEL

Important. The individual assessment results should be kept confidential to the same extent as any other personal employees' information, and used only internally. The results should be accessible for the responsible management level employees and human resources department/ unit. The assessment results should be used for identification of training needs and preparation of individual development plans, and not for individual performance appraisal. The assessment outcomes could also be used as input for a training strategy and plans for developing human resources at authority level.

The Self-Assessment Tool includes 13 sheets that contain different templates and information related to the tool itself and the assessment process. The guidelines below describe how the Self-Assessment Tool should be used and how the assessment of competencies should be performed.

2.1. Proficiency scales

Before starting the process of assessing competencies, employees and their supervisors need to get familiar with the proficiency scales. Proficiency scales are used to identify the current, required and desired proficiency levels for each of the relevant competencies.

Note. Proficiency scales are different for the management and professional competencies (one standardised proficiency scale consisting of 5 proficiency levels) and operational competencies (unique proficiency scales of 4 proficiency levels for each operational competency).

2.2. Primary information

The actual process of self-assessment starts with the sheet "Primary Information". Employees whose competencies are assessed identify themselves and describe their job roles by providing primary data in the sheet "Primary Information":

- Step 1: The employee enters his/her name and surname (next to the cell "Person's name").
- Step 2: The employee selects the relevant type of authority (i.e. authority where he / she works at) from the drop down list that includes Coordinating Body, Managing Authority or Intermediate body, Certifying Authority, Audit Authority, Joint Secretariat (next to the cell "Type of authority").
- Step 3: The employee selects the relevant Group of Job Roles (i.e. that his/her Job Role belongs to) from the drop down list that includes Decision making level, Supervisory level, and operational level (next to the cell "Group of Job roles").
- Step 4: The employee enters titles of the Operational Programmes that his/her work is directly related to (next to the cell "Operational Programme").

- Step 5: The employee reviews the list of tasks and selects those that are relevant by checking the boxes next to the tasks. The list of tasks is generated automatically once the employee related data (Type of authority and Group of Job Roles) is entered. When a task is selected, the sub-tasks appear. Operational level employees should review the list of sub-tasks and select those that are relevant. Decision level and Supervisory level employees are not required to select the sub-tasks – the list of sub-tasks is provided in order to clarify the scope of the selected tasks.
- Step 6: The employee gets his/her supervisor's approval.
Once the employee has finished the selection of tasks/sub-tasks, it is recommended to get supervisor's approval that all selected tasks/sub-tasks are relevant for his/her Job Role and no additional tasks/sub-tasks are needed. Changes could be made after discussion with the supervisor, if needed. It is important to make the right selection of relevant tasks and sub-tasks before proceeding to the assessment of competencies, because all the assessment related entries are lost and the process has to be started from the beginning if the selection of tasks and sub-tasks is changed during the assessment.
- Step 7: The employee pushes the button "Done".
Once all changes after the discussion with supervisor (if any) are made and the employee gets the final supervisor's approval on the selected tasks/sub-tasks, the button "Done" has to be pushed in order to start the self-assessment of automatically generated lists of operational, management, and professional competencies.

2.3. The assessment of competencies

The assessment of competencies is carried out independently by the employee and the supervisor. The employee does the self-assessment first by filling the column "Self-assessed Proficiency Level" (i.e. selecting the relevant proficiency levels for each competency from the drop down list) and then his/her supervisor assesses the employee by filling the column "Supervisor assessed Proficiency Level". In order to get reliable assessment results, proficiency levels should be selected realistically and self-critically.

There are 3 steps to be followed by each employee and his/her supervisor in order to properly carry out the assessment of competencies:

- Step 1: The employee carries out the assessment of operational competencies.
The employee has to carry out the assessment and identify the current proficiency levels for the required competencies based on the proficiency scale descriptions and definitions (see sheet "Proficiency Levels"). Once the proficiency levels are self-assessed and entered for all listed operational competencies, the button "Done" has to be pushed.

Note. Proficiency scales of 4 levels are used for the operational competencies. The descriptions of proficiency levels are adapted to each operational competency.

Step 2: The employee carries out the assessment of management competencies.
The employee has to follow the same instructions as for the operational competencies.

Note. A standardised proficiency scale of 5 levels is used for the management Competencies. The description of proficiency levels are the same for all professional competencies.

Step 3: The employee carries out the assessment of professional competencies.
The employee has to follow the same instructions as in case of operational competencies.

Note. A standardised proficiency scale of 5 levels is used for professional competencies. The description of proficiency levels are the same for all professional competencies.

Step 4: The supervisor carries out the assessment.
The supervisor has to carry out the assessment of his/her employee's competencies and identify current proficiency levels for the required competencies based on the proficiency scale descriptions and definitions (see sheet "Proficiency Levels").

The supervisor has to start from the sheet "operational competencies" and follow instructions above (from Step 1 to Step 3), but fill only columns "Supervisor assessed proficiency level".

2.4. Summary of the self-assessment results

The summary of the assessment results is provided automatically after the employee's self-assessment and the supervisor's assessment are completed.

In case the supervisor identifies the required proficiency level to be too high or too low, he/she can enter the appropriate proficiency level in the column "Desired proficiency level" next to the particular competence. If the "Desired proficiency level" cell is empty, the tool automatically uses value from cell "Required proficiency level" for identification of competency gaps and areas for improvement.

The following 3 steps should be followed by both employees and their supervisors in order to properly summarize the assessment results.

Step 1: The employee and his/her supervisor review together the lists of competencies.
The employee and his/her supervisor review together the full list of required competencies (professional, operational, and management competencies) and their proficiency levels (required and self-assessed).

Step 2: The employee and his/her supervisor discuss the assessed proficiency levels.
The assessed proficiency levels of competencies should be discussed by employees and their supervisors, especially in those cases when the assessment results are deviating: e.g. when the supervisor entered higher proficiency levels compared to those entered by the employee. Discussion should also be focused on those competencies for which the assessed proficiency levels are below the required or desired proficiency levels.

Step 3: The employee enters the overall final proficiency levels.

Based on the mutual agreement between the employee and his/her supervisor, the employee enters the overall final proficiency levels in the column "Overall final proficiency level".

Note. Overall final proficiency levels are automatically marked in two colours:

- red when the final assessed proficiency level is lower than the required proficiency level set in the Competency Framework and there is a need for further development.
- green when the final assessed proficiency level is above the required proficiency level set in the Competency Framework.

2.5. Development plan

The primary development plan template is prepared automatically, indicating competencies which are lacking or need upgrading by comparing the final assessed proficiency levels with the required of desired proficiency levels set for the particular competency. There are 3 steps to be followed by each employee and his/her supervisor in order to properly prepare the development plan.

Step 1: The employee pushes the button "Prepare development plan".

Once all changes after the discussion with supervisor (if any) are made and the employee has entered the overall final proficiency level, the button "Prepare development plan" has to be pushed in order to automatically list all competencies that are lacking or need improvement in the development plan template.

Step 2: The employee and his/her supervisor discuss the list of competencies.

Competencies that are lacking or need improvement are automatically listed in the development plan template. The employee and his/her supervisor should review this list, discuss and prioritise (especially if the list is long), i.e. indicate competencies which are the most important and should be improved first of all.

Step 3: Defining the development plan.

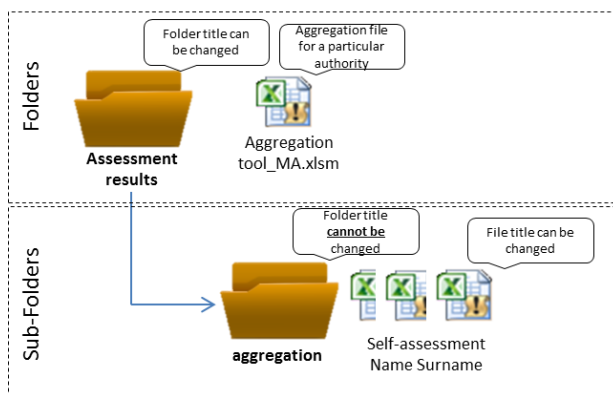
The employee discusses with his/her supervisor and other colleagues (if needed) who are involved in managing human resources, what training could be attended and what other actions (activities) could be taken in order to develop each of the relevant competencies and increase the proficiency levels. Based on the mutual agreement, the employee fills the development plan template by indicating training options and other activities that are the most suitable for him/her to increase the low proficiency levels for certain competencies.

3. INSTRUCTIONS FOR AGGREGATING THE INDIVIDUAL ASSESSMENT RESULTS

At authority level the results of the individual assessments can be aggregated. This is particularly useful as this can form the basis for an authority wide HR strategy and training plan. There are 2 steps to be followed to aggregate the assessment results.

Step 1: A particular folder structure should be created and Microsoft Excel files with the assessment results should be stored according to the following structure.

Figure 1. Required folders structure for aggregating assessment results at authority level



The aggregation file for a particular authority should be stored in folder "Assessment results" (folder title can be changed). Assessment results at individual level should be stored in a sub-folder titled "aggregation", which should always have this title. Titles of the stored individual files can be changed.

Step 2: After all files are stored following the appropriate structure, the user should open file "Aggregation tool_MA" and press button "Aggregate files" in the second sheet of the file. Average required proficiency levels and the overall assessed proficiency levels as well as other statistical information is provided automatically by each competence assigned for a particular type of authority.

Figure 2. Sample sheet of aggregation at authority level

The required proficiency levels and assessment results are aggregated for Group of Job Roles

Competences	Groups of Job Roles																	
	Operational Level									Supervisory level								
	Required proficiency levels	Assessed proficiency levels	Number of employees with the proficiency level 0 - No knowledge	Number of employees with the proficiency level 1 - Awareness	Number of employees with the proficiency level 2 - Trained	Number of employees with the proficiency level 3 - Intermediate	Number of employees with the proficiency level 4 - Expert	Number of employees who have the required competencies	Part of employees who have the required competencies	Required proficiency levels	Assessed proficiency levels	Number of employees with the proficiency level 0 - No knowledge	Number of employees with the proficiency level 1 - Awareness	Number of employees with the proficiency level 2 - Trained	Number of employees with the proficiency level 3 - Intermediate	Number of employees with the proficiency level 4 - Expert	Number of employees who have the required competencies	Part of employees who have the required competencies
Developing others and people management	0	0	0	0	0	0	0	0	0%	0	0	0	0	0	0	0	0	0%
Decision making	0	0	0	0	0	0	0	0	0%	0	0	0	0	0	0	0	0	0%
Delegation	0	0	0	0	0	0	0	0	0%	0	0	0	0	0	0	0	0	0%
Facilitation and communication	0	0	0	0	0	0	0	0	0%	0	0	0	0	0	0	0	0	0%
Leadership	0	0	0	0	0	0	0	0	0%	0	0	0	0	0	0	0	0	0%
Multi-level stakeholder management	0	0	0	0	0	0	0	0	0%	0	0	0	0	0	0	0	0	0%
Negotiating	0	0	0	0	0	0	0	0	0%	0	0	0	0	0	0	0	0	0%
Result orientation	0	0	0	0	0	0	0	0	0%	0	0	0	0	0	0	0	0	0%
Strategic management	0	0	0	0	0	0	0	0	0%	0	0	0	0	0	0	0	0	0%
Risk management	0	0	0	0	0	0	0	0	0%	0	0	0	0	0	0	0	0	0%
Planning of resources	0	0	0	0	0	0	0	0	0%	0	0	0	0	0	0	0	0	0%
HR Strategy development and implementation	0	0	0	0	0	0	0	0	0%	0	0	0	0	0	0	0	0	0%

The required proficiency levels for each competency are calculated as an average based on required or desired (if applicable) professional levels

The self-assessed proficiency levels for each competency are calculated as an average based on assessment results

A distribution over the proficiency levels is calculated by summing up number of employees who have a specific proficiency level for the competence

Number of employees who have the competence is calculated by summing up employees who have at least lowest level of competence

Percentage of employees who have the competence is calculated by dividing the sum of employees who have the competence by the total number having participated in the assessment

The aggregated assessment results should be reviewed by a person who is responsible for the application of the Self-Assessment Tool in a particular authority. Results are split in three separate sheets by group of competencies: Aggregation of Operational Competencies, Aggregation of Professional Competencies and Aggregation of Management Competencies.

The structure of each sheet is the same and contains columns of assigned competencies, required proficiency level, overall proficiency level, number of employees who have a specific proficiency level of the competence, overall number of employees who have the competence, percentage of employees who have the competence and overall number of employees who participated in the assessment.

Instructions for customizing the Self-Assessment Tool and aggregating assessment results

The management is responsible for customising the Self-Assessment Tool (if needed) before the individual assessment process starts. Employees whose competencies are assessed should not be allowed to customize the tool – they should use the tool provided by the management.

There are 5 hidden sheets in the Self-Assessment Tool, but actions aimed at customising the Self-Assessment Tool are carried out only in the "Data Input" sheet. The other 4 hidden sheets should not be changed as they are used for the functionality of the Self-Assessment Tool. When changes in the "Data Input" sheet are completed, it should be ensured that all functions (such as filtering, sorting, etc.) are turned off, no columns or rows are hidden and the "Data Input" sheet itself is hidden. The Self-Assessment Tool includes macros, so in case changes are made not following the instructions, the functionality might be damaged.

1. Adjustment of the required proficiency levels. It is allowed to change the required proficiency levels for all competencies (management, professional, operational competencies) if they do not meet the institution's needs. In order to do the changes properly, the following steps have to be taken:
 - unhide sheet "Data Input" by clicking the right mouse button on one of the worksheets at the bottom of the screen, then clicking "Unhide" and selecting "Data input" sheet from the list;
 - filter your type of authority and competence for which the proficiency level has to be changed;
 - select the appropriate proficiency level from the drop down list;
 - disable filtering and hide the "Data Input" sheet by clicking the right mouse button on this worksheet at the bottom of the screen and then clicking "Hide".

Note. Competencies are linked to the Group of Job roles and sub-tasks performed by employees, therefore all changes have to be done consistently taking into account both the Group of Job roles and the tasks (or sub-tasks) that a particular competence is assigned to.

2. Adding new operational, professional and management competencies. It is allowed to assign additional required operational, professional and management competencies to sub-tasks. In order to do the changes properly, the following steps have to be taken:
 - Unhide sheet "Data Input" by clicking the right mouse button on one of the worksheets at the bottom of the screen, then clicking "Unhide" and selecting "Data input" sheet from the list
 - Filter your type of authority and identify all sub-tasks that a new competence has to be assigned to
 - Filter identified sub-tasks and add the new competency in the cells named "Please fill in, if a new competency is required for your institution" assigning required proficiency levels
 - Disable filtering and hide the "Data Input" sheet by clicking the right mouse button on this worksheet at the bottom of the screen and then clicking "Hide".

HOW TO OBTAIN EU PUBLICATIONS

Free publications:

- one copy:
via EU Bookshop (<http://bookshop.europa.eu>);
- more than one copy or posters/maps:
from the European Union's representations (http://ec.europa.eu/represent_en.htm);
from the delegations in non-EU countries
(http://eeas.europa.eu/delegations/index_en.htm);
by contacting the Europe Direct service (http://europa.eu/europedirect/index_en.htm)
or calling 00 800 6 7 8 9 10 11 (freephone number from anywhere in the EU) (*).

(*) The information given is free, as are most calls (though some operators, phone boxes or hotels may charge you).

Priced publications:

- via EU Bookshop (<http://bookshop.europa.eu>).

Priced subscriptions:

- via one of the sales agents of the Publications Office of the European Union
(http://publications.europa.eu/others/agents/index_en.htm).

