EU Competency Framework for the management and implementation of the ERDF and Cohesion Fund

User guidelines for the EU Competency Framework and Self-Assessment Tool

The EU Competency Framework and Self-Assessment Tool are instruments developed by DG Regional and Urban Policy to support administrations managing and implementing the ERDF and Cohesion Fund to identify and address competencies that require further strengthening.
<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>V1</td>
<td>3 November 2017</td>
</tr>
</tbody>
</table>
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## LIST OF ABBREVIATIONS USED

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<thead>
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<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CF</td>
<td>Cohesion Fund</td>
</tr>
<tr>
<td>DG REGIO</td>
<td>Directorate General for Regional and Urban Policy</td>
</tr>
<tr>
<td>EC</td>
<td>European Commission</td>
</tr>
<tr>
<td>ERDF</td>
<td>European Regional Development Fund</td>
</tr>
<tr>
<td>EU</td>
<td>European Union</td>
</tr>
<tr>
<td>HR</td>
<td>Human Resources</td>
</tr>
</tbody>
</table>
## GLOSSARY OF TERMS

<table>
<thead>
<tr>
<th>Term</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competency</td>
<td>Capability of applying or using knowledge, skills, abilities, behaviours, and personal characteristics to successfully perform critical work tasks, specific functions, or operate in a given role or position.</td>
</tr>
<tr>
<td>Competency framework</td>
<td>An instrument for managing human resources which includes sets of competencies, relevant for the development of both organisations and employees.</td>
</tr>
<tr>
<td>Decision making level employees (decision makers)</td>
<td>This is the head of the ERDF/CF institution or persons that act on relatively high strategic management levels</td>
</tr>
<tr>
<td>EU Competency Framework</td>
<td>The competency framework for the ERDF and CF developed by DG REGIO</td>
</tr>
<tr>
<td>Groups of Job Roles</td>
<td>The three types of positions of employees involved in the management and implementation of the ERDF/CF (operational level employees, supervisory level employees, and decision making level employees) developed considering tasks, sub-tasks and responsibilities carried out by each level.</td>
</tr>
<tr>
<td>Implementation Team</td>
<td>The team of an administration with responsibility for the implementation of a competency assessment using the EU Competency Framework and Self-Assessment Tool.</td>
</tr>
<tr>
<td>Institution</td>
<td>Types of institutions involved in the management and implementation of the ERDF and CF according to the Regulations: Coordinating Body, Managing Authority, Certifying Authority, Intermediate Body, Audit Authority or Joint Secretariat functions.</td>
</tr>
<tr>
<td>Instruments</td>
<td>EU Competency Framework and Self-Assessment Tool</td>
</tr>
<tr>
<td>Job Description</td>
<td>A document that summarises the main responsibilities, functions and principal duties, competencies and required proficiency levels.</td>
</tr>
<tr>
<td>Management competencies</td>
<td>Competencies covering a managerial function and based on gained knowledge, abilities and skills.</td>
</tr>
<tr>
<td>Operational competencies</td>
<td>Competencies required for staff to successfully manage the assigned functions related to ERDF and CF management.</td>
</tr>
<tr>
<td>Operational level employees</td>
<td>These are the experts that are directly working on the different tasks and sub-tasks within the organisation.</td>
</tr>
<tr>
<td>Professional competencies</td>
<td>Competencies required for the execution of specific professional functions and based on gained knowledge, abilities and skills.</td>
</tr>
<tr>
<td>Regulations</td>
<td>European Structural and Investment Funds Regulations for the period 2014-2020</td>
</tr>
<tr>
<td>Term</td>
<td>Description</td>
</tr>
<tr>
<td>-----------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Robotics Process Automation</td>
<td>Application of technology that allows to configure computer software or a “robot” to capture and interpret existing applications for processing a transaction, manipulating data, triggering responses and communicating with other digital systems.</td>
</tr>
<tr>
<td>Self-assessment</td>
<td>An evaluation of one's own proficiency level in the competencies required for the effective and efficient performance of assigned functions.</td>
</tr>
<tr>
<td>Self-Assessment Tool (Tool)</td>
<td>The web-based tool used to evaluate the user’s proficiency level of competencies and identifying the competencies that need upgrading.</td>
</tr>
<tr>
<td>Sub-task</td>
<td>An action performed by an authority (institution) or person that produces a result related to management of the ERDF and CF.</td>
</tr>
<tr>
<td>Supervisory level employees (supervisors)</td>
<td>This is the middle management level of the ERDF/CF institutions, generally heads of organizational units, responsible for a group of people and not directly involved in operational implementation of the programme.</td>
</tr>
<tr>
<td>Tasks</td>
<td>Group of sub-tasks clustered by the purpose of the task and performed by a person or group of persons in their everyday activities to ensure management of ERDF and CF</td>
</tr>
<tr>
<td>Learning and Development Plans</td>
<td>Plans for competency development based on outcomes of a competency assessment performed using the EU Competency Framework and Self-Assessment Tool.</td>
</tr>
</tbody>
</table>
1 INTRODUCTION

These User Guidelines have been developed by the European Commission, DG Regional and Urban Policy (DG REGIO) to help administrations involved in the management and implementation of the ERDF and Cohesion Fund to implement the EU Competency Framework and Self-Assessment Tool (‘the instruments’).

The User Guidelines are the key guidance document for implementation of the instruments at administration level. It is recommended that they are carefully reviewed by the employees of the administration who will be in charge of the implementation of the instruments before the competency assessment starts.

The content of the User Guidelines cover:

- EU Competency Framework detailing the competencies required for management and implementation of the ERDF and Cohesion Fund, its rationale and benefits (Chapter 2).
- The Self-Assessment Tool, capturing the contents of the EU Competency Framework into an instrument suitable for the self-assessment of competencies of employees and institutions (Chapter 2).
- Organization of the competency assessment process in terms of sequence of phases and activities and recommendations on what institutions should / should not do in the implementation of the instruments (Chapter 3).
- Preparation of Learning and Development Plans (and template) to improve the competencies that require further strengthening, including a methodological framework for the selection of the most appropriate learning options (Chapter 3).
- Technical instructions describing the steps required for modification of the EU Competency Framework and Self-Assessment Tool (Chapter 4).

The relation between these contents is presented in the picture below:
To get started administrations should:

- Obtain a copy of the Self-Assessment Tool by submitting a request for a username and a password to REGIO-COMPETENCY-FRAMEWORK@ec.europa.eu, and
- Applying the username and password on the following website that hosts the self-assessment tool:
2 RATIONALE AND KEY CONCEPTS

2.1 Why an EU Competency Framework and Self-Assessment Tool

As cohesion policy has evolved over time the scope of know-how and competencies required to implement it has widened. In view of this the Commission has been putting more emphasis on supporting Member States in their efforts to strengthen the administrative capacity of the national and regional administrations managing the ERDF and Cohesion Fund through implementation of concrete actions.

The programming period 2014-2020 has introduced changes in the regulations, implying new competencies are needed for managing and implementing the ERDF and Cohesion Fund. Furthermore, effective management of the funds calls for a mix of competencies that go beyond the requirements of the regulations.

In response to these challenges, the Commission has developed the EU Competency Framework and Self-Assessment Tool as practical ‘instruments’ to support administrations in strengthening the capacity to manage and implement the ERDF and Cohesion Fund:

- The EU Competency Framework is an instrument for the management of human resources, which defines the competencies relevant for the development of both employees and institutions involved in the management and implementation of the ERDF and CF.
- The Self-Assessment Tool is based on the contents of the EU Competency Framework and is used to evaluate the proficiency level of competencies of employees and institutions, providing evidence for competency development actions.

The key benefits of these instruments are:

- Capacity building instruments tailored to the specificities of ERDF and Cohesion Fund;
- Opportunity for administrations to reflect on the level of competencies both at employee and institution-level;
- Information source for the management of institutions about competency development needs;
- Evidence for developing strategies addressing competency development needs, incl. more strategic use of ESIF Technical Assistance;
- Source for reflections on improvements to the organizational structure of the administration in relation to ERDF and CF functions;
- Facilitating discussion between employees and supervisors regarding the know-how, capacity of the employees and their strengths and weaknesses;
- No requirement concerning technical skills or costs for administrations.

The use of the instruments is not mandatory and the results of the self-assessment are for the sole use of institutions, and are not intended to be the basis of reports to the Commission. In the same spirit, when the instruments are implemented within an institution, it is recommended that their use is kept separate from the appraisal processes, and that the results of employee assessments are treated with confidentiality.

2.2 Key concepts and definitions

The EU Competency Framework

The EU Competency Framework defines the competencies relevant for the development of employees and institutions involved in the management and implementation of the
ERDF and CF. It covers Coordinating Body, Managing Authority and Intermediate Body, Joint Secretariat, Certifying Authority and Audit Authority. The figure below provides an overview of the contents of the EU Competency Framework:

In practical terms the contents of the EU Competency Framework are included in separate Excel files, one for each sort of institution. The current version of the EU Competency Framework is included in ANNEX 1: EU COMPETENCY FRAMEWORK and an extract of the contents is presented in the figure below:

For each type of institution the EU Competency Framework includes:

- **Tasks and sub-tasks**: these are developed taking into account the 2014-2020 period ESIF regulations, national legal acts and identified good practice examples derived from the experience of different Member States.

- **Groups of Job Roles**: there are three groups of job roles, i.e. decision makers (generally the head of the ERDF/CF institution), supervisors (e.g. heads of organizational units) and operational level employees with different seniority;

- **Groups of competencies**: there are three groups of competencies, i.e. management, professional and operational competencies linked to the tasks and sub-tasks that are carried out by individual employees based on the Job Role;

- **Operational competencies** are those required to perform the assigned functions according to the Regulations (e.g. Simplified Cost Options, State Aid);
• **Professional competencies** are required to efficiently perform specific professional functions (e.g. Conflict handling, Problem solving);

• **Management competencies** are required for employees with managerial functions and to a certain extent for operational employees (e.g. Delegation, Leadership).

• **Proficiency level:** a 0-4 proficiency scale is associated with each competency. The levels of proficiency included in the EU Competency Framework represent the medium-term competency development goal for employees and institutions.

**The Self-Assessment tool**

The Self-Assessment Tool is web-based and there are no technical requirements for using it with the exception of internet access and a web browser (e.g. Explorer, Google Chrome).

It is built on the EU Competency Framework and its purpose is to assess the competencies of individual employees and institutions, to identify those that are lacking or need upgrading and to provide evidence for designing and implementing Learning and Development Plans for the institution and individual employees.

The key functioning steps of the tool are the following:

1. The employee assesses his/her competencies
2. The supervisor provides his/her assessment of the employee
3. The employee and supervisor discuss assessment results
4. An individual assessment report is generated
5. The results of individual assessments are aggregated

The Self-Assessment Tool has a high level of flexibility in order to conduct tailor-made assessments, based on the tasks and sub-tasks performed in a specific authority:

• The tool allows employees to select their relevant job role, tasks and sub-tasks and based on this selection, it lists the competencies to be assessed according to the EU Competency Framework, allowing for a tailor-made assessment of the employee.

• The supervisor of the employee (or the decision maker when it is a supervisor to perform the self-assessment) then performs an independent assessment of the competencies of the employee. The reason for the involvement of a second person in the assessment is to review the self-assessment score and adjust it according to the supervisor’s assessment.

• The employee and supervisor then meet to discuss the results calculated by the system which include for each assessed competency, the employee’s self-assessment, the supervisor’s assessment and the proficiency level of the EU Competency Framework. During the meeting employee and supervisor discuss any discrepancies, make adjustments to the supervisor’s assessment if necessary and define follow-up actions.

• The results of individual self-assessments are recorded in the tool and can be used for analysis at institution level. The web-based tool offers two options for data analysis, respectively built-in functions for analysing individual competencies and semi-automated excel templates for an overview of all the competencies of the institution.
3 HOW TO USE THE INSTRUMENTS

Using the EU Competency Framework and Self-Assessment Tool requires the organization of a competency assessment process within the institution. The following sections provide guidance on how to organize this process (phases, activities, steps) and how to use the instruments, in particular the Self-Assessment Tool. The figure below captures the phases and activities of the competency assessment:

### 3.1 Phase 1: Assessment set-up

**Activity 1.1: Appointing the Implementation team**

The team necessary for coordinating and implementing the competency assessment should be lean. Three different roles are indicated, however in smaller institutions more roles could be covered by the same employee. The roles are:

- Coordinator: head of the Institution, or its deputy should bear the overall responsibility for implementing the competency assessment and follow-up actions.
- Manager: supervisor within the ERDF / Cohesion Fund institution, with responsibility for the day-to-day implementation of the instruments. It is recommended also that the user rights for managing the self-assessment tool are assigned to the Manager.
- Human resources (HR) manager: depending on the institutional set-up, a manager from the human resources department could be involved.

**Activity 1.2: Training of the Implementation team**

The Manager and HR manager should familiarize themselves with the instruments by:

- Familiarizing with the contents of the EU Competency Framework.
- Testing the functioning of the Self-Assessment Tool and analysis templates.
- Attending any training/webinars that may be organized by the Commission.

**Activity 1.3: Defining employee involvement and possible customizations**

The Implementation team defines the scope of assessment in terms of employee involvement, potential customization of the instruments and degree of guidance to be provided. In terms of employee involvement it is recommended that:

- All operational level employees are involved to perform their self-assessment.
• All supervisory level employees are involved to perform their self-assessment and to assess the competencies of the employees of their organizational unit.
• The decision makers is/are involved in the assessment of supervisors and to perform a self-assessment.

In terms of customization:
• Even if possible it is recommended not to modify the tasks, sub-tasks, competencies and proficiency levels of the EU Competency Framework and Self-Assessment Tool, at least not when using the instruments for the first time.

For tasks, sub-tasks, competencies:
• If an item is considered not relevant to the institution then employees can be instructed not to select such an item. In alternative, as explained in Chapter 4, it is possible to eliminate such item firstly from the EU Competency Framework and then from the Self-Assessment Tool. However, as the steps required are time consuming, institutions should carefully consider the benefits of eliminating the items.
• If an institution wants to add an item it can do so following the instructions presented in Chapter 4. As in the case of deletion, also adding contents requires firstly modifying the EU Competency Framework and then transposing the changes in the Self-Assessment Tool, and the same considerations in terms of effort and benefits apply.

For Proficiency Levels
• Proficiency levels can also be modified following the instructions in Chapter 4. However as these are intended as medium-term goals for competency development and are not used to appraise the performance of employees, it is recommended not to change them.

There are two options regarding guidance towards employees:
• The management instructs employees on the selection of tasks, sub-tasks, and competencies according to the functions of the organizational units: the advantage is that assessment results will be focused only on relevant competencies; the drawback is that it does not allow for a full view of the institutions’ competencies.
• The management allows employees to select tasks, sub-tasks and competencies: the advantage is that results will provide a broad view of the competencies of the institutions, with the drawback that non relevant competencies are also captured.
• A useful approach to select the best option is to analyse the correlation between tasks and sub-tasks of the EU Competency Framework and responsibilities of organizational units (see figure below):

<table>
<thead>
<tr>
<th>Competency Framework Tasks</th>
<th>Institution</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Unit 1</td>
</tr>
<tr>
<td>1. Programming</td>
<td>✔</td>
</tr>
<tr>
<td>2. System set-up</td>
<td>✔</td>
</tr>
<tr>
<td>3. Project generation</td>
<td>✔</td>
</tr>
<tr>
<td>4. Project monitoring</td>
<td>✔</td>
</tr>
<tr>
<td>5. Programme monitoring</td>
<td>✔</td>
</tr>
<tr>
<td>6. Evaluation</td>
<td>✔</td>
</tr>
<tr>
<td>7. Financial management project level</td>
<td>✔</td>
</tr>
</tbody>
</table>
Activity 1.4: Preparing training and communication materials

These User Guidelines and the promotion materials available on DG REGIO’s site (i.e. Brochure and Infographic) can be used for internal training and communication purposes. However if an administration wants to develop additional tailored materials, or guidelines for employees, it is recommended that they are prepared at this stage.

Activity 1.5: Defining the Work-plan

The following phases can be implemented in two months. In defining the duration and period of the self-assessment, the institution may consider (1) employee workload and compliance with other deadlines of the institution; (2) link to other activities, such as preparation of training / recruitment plans.

Equally, taking into account possible constraints the institution should consider whether external support is required in order to ensure efficient completion of the assessment. If support is needed, financial resources could be committed from the Technical Assistance budget of the programme.

A Work-Plan template is included in ANNEX 2: WORK-PLAN TEMPLATE.

3.2 Phase 2: Assessment roll-out

Activity 2.1: Training and communication

Before the start of the self-assessment it is advisable to carry out the following activities:

- **Training of supervisors:** this should be performed by the Manager / HR Manager and aim at providing supervisors with an overview of the purpose and benefits of the instruments. The training should focus on the role of the supervisors in terms of review of the self-assessment of employees, discussion meetings and participation in the analysis of results, where considered appropriate. It is advisable to organize this as classroom training.

- **Communication activities for operational level employees:** the aim is to inform employees of the purpose and benefits of the instruments and how to perform the assessment. In terms of format, communication may be organized either as an informative event or using the digital channels of the institution (e.g. email, webinar, website). In smaller institutions a single event can be organized targeting both supervisors and employees.

- **Tailored training and communication:** institutions that have decided to instruct employees on the selection of tasks, sub-tasks and competencies, may consider the organization of separate events by organizational unit.
Activity 2.2: Start of the competency assessment
The Manager accesses the Self-Assessment Tool at this Link\(^1\) using the Username and Password assigned by DG REGIO. This is the “administration section” of the Tool and contains functions to launch the assessment, monitor responses, and analyse results. In the “administration” section the Manager finds the self-assessment form. By pressing the button "Share", the system will create a link to the Self-Assessment Tool that will then be submitted to employees.

Activity 2.3: Employee self-assessment
By following the link, employees will reach the landing page of the Self-Assessment Tool. It is recommended that they familiarize themselves with the steps of assessment described on this page before starting.

The first time the employee enters the Self-Assessment Tool, he/she will register as a new user (left section), selecting username and password of his/her choice. The next time the employee accesses the tool, he/she will use the same details but enters as a Returning User (right section).

\(^1\) https://fs26.formsite.com/form_app/FormSite?FormId=LoadLogin&Directory=sa_tools
The Self-Assessment Tool generates the list of competencies to be assessed, according to the logic of the EU Competency Framework, i.e. based on job role, tasks and sub-tasks.

In the Primary information sheet the employee will:

- Select the relevant Group of Job Roles from the drop down list that includes decision making level, supervisory level, and operational level.
- Review the list of tasks and select those relevant by checking the boxes next to the tasks. 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 making and supervisory level employees are not required to select the sub-tasks.
- The operational level employee also provides information about the supervisor who will complete the assessment of his/her competencies and indicates the title of programme for which the assessment is performed (this is important as some employees may be involved in more than one operational programme).

The employee performs a self-assessment for the list of generated competencies:

- Competencies are clustered in three groups: operational competencies, management competencies, professional competencies.
- Employees assess each competency according to the proficiency scale in the Self-Assessment Tool. The scale is 0-4 and there is a “Not Applicable” Option which should be used by employees whenever they think that a competency is not required: the use of this option will make both the assessment and development activities more focused.
<table>
<thead>
<tr>
<th>Level</th>
<th>Description of the proficiency</th>
</tr>
</thead>
<tbody>
<tr>
<td>N.A. - Not Applicable</td>
<td>The competency is not applicable to the job role and should not be assessed.</td>
</tr>
<tr>
<td>Level 0 - No knowledge</td>
<td>No knowledge of the competency. No ability to apply the knowledge.</td>
</tr>
<tr>
<td>Level 1 - Awareness</td>
<td>Basic knowledge of the competency (e.g. general concepts). Basic ability to apply knowledge to daily tasks (e.g. identify and research aspects, understand and interpret documentation and situations).</td>
</tr>
<tr>
<td>Level 2 - Trained</td>
<td>Good working knowledge of the competency. Ability to apply knowledge to daily tasks (e.g. identify critical aspects, propose solutions and prepare relevant documentation).</td>
</tr>
<tr>
<td>Level 3 – Intermediate</td>
<td>In depth knowledge of the competency. Extensive ability to apply knowledge in daily tasks (e.g. advise others, develop new approaches, select the right course of action in a broader context)</td>
</tr>
<tr>
<td>Level 4 - Expert</td>
<td>Extensive expert knowledge and skills with regards to the competency. Ability to highlight the (dis)advantages of each of the processes related to the competency whilst linking them to the bigger picture. Ability to provide tailored advice and to support the advice with relevant and context specific arguments when responding to internal and external queries. Viewed by others as a role model who is capable of leading or teaching others in the area of the competency</td>
</tr>
</tbody>
</table>

After the self-assessment for each group of competencies is completed the employee can provide additional qualitative comments in a box. N.B. If there’s no comment the employee should write “No comment”.

Note: If a section is not completed and “error” message will appear.

If at any time the employee needs to interrupt the self-assessment, there’s a “SAVE PROGRESS” button at the end of each page. In order to return to the assessment the employee will use the saved link and log in as returning user (See step 3).
Once the employee has filled in the self-assessment for all competencies, he/she is notified of the completion of his part and is prompted to communicate the username and password to the respective supervisor.

Activity 2.4: Supervisor’s assessment of employees

The supervisor logs into the Self-Assessment Tool to perform the assessment of the competencies of the employee. This is done by logging in as returning user with the username and password provided by the employee.

Supervisor and employee assessments are performed on different pages of the Self-Assessment Tool. After log-in the supervisor is prompted to move to the supervisor’s section of the assessment. While the employee’s results are visible, these should not be viewed to avoid bias.

The supervisor performs the assessment of the employee’s competencies.
When the assessment is completed a separator page appears signalling the end of the assessment. The supervisor saves the results and communicates to the employee the completion of the assessment and schedules a discussion meeting with the employee.

Activity 2.5: Results of the assessment and discussion meeting

The employee and supervisor meet to discuss the results of the competency assessment. It is advisable to organize the discussion as a face to face meeting.

- The purpose of the discussion is to analyse the results of the self-assessment, identify strong areas and areas of improvement and agree on follow-up actions for competency development.
- The results of the assessment are displayed in terms of employee self-assessment; supervisor's assessment; desired proficiency level pre-set in the tool, representing the medium term objective for competency development.
- In case any major discrepancy occurs between supervisor and employee assessment, the results of the assessment should be adjusted.
- It is important that the adjustment is reflected in the supervisor's assessment, as this will be displayed in the individual assessment reports and will appear in the calculation of institution level results.
Upon completion of the discussion, conclusions can be entered in the system concerning strong areas and areas that require further improvement.

<table>
<thead>
<tr>
<th>Code</th>
<th>Competency</th>
<th>Self Assessment</th>
<th>Supervisor assessment</th>
<th>Desired proficiency level</th>
</tr>
</thead>
<tbody>
<tr>
<td>MA.O.C01</td>
<td>ESIF EU/ National legal acts - general</td>
<td>1</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>MA.O.C02</td>
<td>National strategic documents (e.g. National Development Strategies)</td>
<td>N/A</td>
<td>1</td>
<td>4</td>
</tr>
</tbody>
</table>

2. Strong competencies and how to further leverage on them (max. 1000 characters)

The supervisor indicates the strongest competencies of the employee and how the institution can further benefit from the employee acting as an internal trainer, mentoring other employees, changes in job role.

3. Competencies that require strengthening and actions for strengthening them (max. 1000 characters)

The supervisor indicates the competencies of the employee that require major strengthening and how this can be achieved through training, mentoring, participation in networks.

The system is now ready to generate a self-assessment report which the employee will receive at the email address provided.

Please make sure that all fields are correctly filled in before going to the next page.

* I confirm that all fields are correctly filled in.

8/10
The supervisor then confirms that all fields have been correctly filled in, presses “Next” and the “Submit” page appears. After the submit button is pressed results are no longer editable.

Activity 2.6: Generating individual assessment reports
The Manager accesses the administration area of the tool and clicks the “Results” button.

On the new screen, the Manager can observe the list of completed individual assessments which are marked with “green status”.

To submit the individual assessment report the Manager firstly selects the “Individual” from the drop-down menu in the top right section of the page and then presses the “Envelope” icon located on the left side of the username of the employee.
On the screen “Email result” that pops-out, the Manager fills in the different fields as indicated in the screenshot:

- Email: employee’s email
- Notification: Custom
- Format: Results PDF
- Results PDF: Table
- Results View: Individual Report
- Insert message (optional)
- Press Send

The results of the individual assessment display the three values discusses during the feedback session between the employee and supervisor, namely: Self-assessment, Supervisor assessment and desired proficiency level. For great emphasis of the supervisor’s assessment, the individual report displays the latter in a separate column on the right (see image)

Note: competencies that were marked as “Not applicable” (N.A.) by the supervisor appear in the report as a number in the range 107-110.
3.3 **Phase 3: Analysis and preparation of Learning and Development Plan**

**Activity 3.1: Preparation of institution level analyses**

The Manager logs in to the Self-Assessment tool and accesses the “Results” page.

From this section two types of institution analyses can be performed: for an individual competency or for all competencies.

**Institution level analyses for individual competencies**

Click the “Analytics” button, then “Item Summary”, and select a competency from the list. For the selected competency, a chart is generated describing the distribution of employees (who have performed an assessment for such competency) according to the supervisor's assessed proficiency level.

For instance in the chart below for competency MA.O.C1 – ESIF EU/National legal acts, there are 7 employees with an assessed proficiency level of 1, 60 with an assessed proficiency level of 2 and 32 with an assessed proficiency level of 3.

![Chart showing distribution of employees by proficiency level](image)

It is possible to restrict the analysis of an individual competency by task by clicking on the “Analytics” button and then “Cross-Tabulation”. As the same competency is associated to more tasks, this analysis is relevant, for example, to the supervisor of a certain organizational unit who wants to analyse the proficiency of employees of the unit in relation to a specific competency.

In order to do so, press the “Cross-Tabulation” button, then under “Question A” select a task and under “Question B” a competency. For instance the table below shows the results of the assessment for the competency MA.O.C1 – ESIF EU/National, only for employees performing the task “Monitoring on Programme level”.

The table shows a detail of the results by sub-task, so for instance for the sub-task “Measurement of the performance of the PA/Measure (planning, monitoring, forecasting, revising), there is one employee with proficiency level 1, 2 employees with proficiency level 2 and 1 employee with proficiency level 3.

![Table showing results by sub-task](image)
Institution-level analysis for all competencies

The purpose is to obtain an institution-level analysis of all competencies by aggregation of the individual competency assessment results of all employees. This is done by extracting raw data in excel from the Self-Assessment Tool and pasting them in a semi-automated excel template (see “Institution_analysis_Template” included in ANNEX 4: INSTITUTION-LEVEL ANALYSIS TEMPLATES).

Two separate sets of raw data are downloaded, respectively for operational employees and non-operational employees (supervisors and decision makers), and pasted in different spreadsheets of the institution-level analysis templates.

The following operations are performed to download the raw data:

- On the right-hand menu of the Results page click 'Export'
- From the drop-down ‘Results View’ menu, choose ‘Institution Report’
- Under ‘Results Filter’, choose “Operational” for data related to operational level employees and “Non-Operational” for data related to all other employees.
- Press the green Export button to download the results in Excel.
- To receive the results via mail, click the ‘Email me’ option, insert the email address and press Export.
Once the excel files for operational and non-operational employees are received:

- Save the excel files.
- Open each file and copy the results by clicking on cell A1 and pressing CTRL+SHIFT+  + .
- Paste the copied data in respective spreadsheet of the semi-automated excel template.
- By pasting the raw data into the template, two institution assessment reports are generated.

The first analysis presents for each assessed competency, the total number of employees assessed for such competency and their distribution according to the supervisor’s assessment. This provides a clear view of the overall level of development of competencies within the institution; however there is no information concerning the medium term development goals of employees, which makes the identification of the most appropriate development actions more complex.

The second type of analysis is more complete capturing that the desired proficiency level may vary depending on the selection of tasks and sub-tasks made by employees. Therefore the distribution of employees according to the assessed proficiency level\(^2\) takes into account the desired level of proficiency of each employee.

For instance in the example in the figure above, there are a total of six employees who are expected to have a desired level of proficiency 2 for the operational competency “MA.O.C43 Knowledge of Engineering relevant for the sector”. Among these six, there are three employees who have already achieved the medium-term development goal, and three who have already exceeded it.

**Activity 3.2: Analysis of results and prioritization of actions**

The objective is to identify the competencies that institutions intend to improve and how, based on the evidence included in the institution’s assessment analyses.

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\(^2\) As above: the supervisor assessed proficiency level for operational level employees and decision maker assessed proficiency level for supervisors.
For this activity, the active involvement of the management of the institution is of the highest importance. The activity requires in-depth knowledge of the institution and of the programming lifecycle context (e.g. current status, planned activities, challenges).

There is no unique approach or universal methodology for the prioritization of competencies. It is recommended to perform a systematic analysis of results for each competency and select the competencies that should be further developed.

Once competencies are identified, the next step is to select the most appropriate approach for competency development. Options include training, recruitment, outsourcing (use of external expertise), robotics process automation, and participation to learning networks and learning from good practices, incl. through peer learning.

In order to facilitate the selection of competency development methods and actions, a methodological framework has been developed and is presented in the figure below:

The principles of the methodological framework are summarized as follows:

- **Training is the preferred option for competency development.** The selection of the most appropriate training method should take into account the level of proficiency to be achieved. Higher levels of proficiency are associated to more interactive methods. For this purpose the theoretical reference is represented by Bloom’s taxonomy of learning outcomes:

<table>
<thead>
<tr>
<th>Learning method</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For achieving Competency level 3 and 4</strong></td>
<td></td>
</tr>
<tr>
<td>Intervision based learning programmes</td>
<td>Intervision is a self-help method that is used among peers or colleagues to help each other deal with challenges a person encounters during their job. Sometimes there is a moderator available.</td>
</tr>
<tr>
<td>On the job learning</td>
<td>An individual “learning by doing” approach where the employee learns new competencies in the regular work situation. The employee receives direct feedback while executing tasks. The person who coaches the employee observes, instructs and provides feedback.</td>
</tr>
<tr>
<td>Coaching and Performance support</td>
<td>Individual support at the workplace regarding technical and or personal functioning issues. This support is available internally (by a manager, or someone else within the organization) or externally (external coach).</td>
</tr>
<tr>
<td>Moderated discussion involving experts</td>
<td>An event where employees have the opportunity to address technical challenges at their job, and receive guidance, tips &amp; tricks and solutions for these challenges.</td>
</tr>
</tbody>
</table>
### Learning methods

<table>
<thead>
<tr>
<th>Learning method</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For achieving Competency level 2</strong></td>
<td></td>
</tr>
<tr>
<td>(Virtual) Classroom assignments</td>
<td>A group of employees who want to learn more about certain competencies. They can come together physically in one space or meet virtually.</td>
</tr>
<tr>
<td>Groups assignments</td>
<td>A group of employees receives an assignment in which they collectively have to complete.</td>
</tr>
<tr>
<td>Interactive Gamification</td>
<td>Interactive Gamification is the process of applying gaming designs and concepts to trainings in order to make them more engaging for the learner. Learners compete directly against one or more individuals or participate individually in an interactive experience that rewards learning performance in some way.</td>
</tr>
<tr>
<td><strong>For achieving Competency level 1</strong></td>
<td></td>
</tr>
<tr>
<td>Web based learning</td>
<td>An executable course file that can be emailed and run standalone on a PC or uploaded to a suitably configured Learning Management System. It allows for self-paced learning featuring textual contents, static graphics, animations and periodic interactions for motivation and recall.</td>
</tr>
<tr>
<td>Engaging presentation</td>
<td>An interactive method to engage a group of people in a discussion around a topic. This can be a form of discussion, debate, storytelling, Q&amp;A session etc.</td>
</tr>
</tbody>
</table>

For training organization there are two options: i.e. attendance at existing training events or the organization of customized events for the institution. The choice should be made taking into account the "Value for money" based on 1) relevance; and 2) cost (people to be trained * training cost per participant).

- **Recruitment** is suggested when the current level of development of a competency is low compared to that desired, and there is an urgent need to close the gap. Recruitment should be considered mainly for internalizing resources with a proficiency level 3 or 4 to close a specific competency gap that cannot be filled quickly by means of training.

- **Outsourcing, intended as the sourcing of external expertise** to address specific competency gaps, should always be considered in correlation with one or more tasks or sub-tasks. For strategic tasks the institution may consider outsourcing only as a temporary solution until internal competencies are developed sufficiently. It is also advisable that competency development activities are included in the scope of outsourcing. For non-strategic tasks outsourcing can be considered as a long-term option, but a minimum level of competency should also be developed within the institution.

- **Robotics Process Automation** is the introduction of customized software for performing repetitive sub-tasks. Taking into account e-cohesion requirements on electronic data interchange and the nature of sub-tasks, Robotics Process Automation could have application in relation to specific aspects of project appraisal, administrative and eligibility check and verification of payment claims. A use case should be developed to assess the concrete application potential beforehand, so institutions should not consider this option to address the most urgent competency gaps.

- **Participation in learning networks**: There are a number of learning networks liked to the competencies, which are established at European level and operated either by the Commission or academic institutions³. Participation should be considered as a complementary learning option to those highlighted above.

- **Good practices**: there are good practices in competency development which are available on DG REGIO’s site⁴. Similarly to participation in learning networks, the adoption of good practices, including through peer learning, should be considered as a complementary learning option.

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As an output of this activity it is recommended to add to the “Institution level analysis template” the list of competencies selected for improvement and the selected learning method, with a timing where possible. This will then be presented to a broader group of institution stakeholders as described in the following activity.

<table>
<thead>
<tr>
<th>Code</th>
<th>Competency</th>
<th>Total assessed employees</th>
<th>Assessed level 1</th>
<th>Assessed level 2</th>
<th>Assessed level 3</th>
<th>Assessed level 4</th>
<th>Selected for Development</th>
<th>Competency Development Method</th>
<th>Timing</th>
</tr>
</thead>
<tbody>
<tr>
<td>MA.O.C1</td>
<td>ESIF EU/ National legal acts</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Training</td>
<td>Q3 2018</td>
</tr>
<tr>
<td>MA.O.C2</td>
<td>National strategic documents (e.g. National Development Strategies, relevant thematic and sectoral policies)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MA.O.C3</td>
<td>Eligibility of expenditure rules included in EU and National legal acts, guidelines and methodologies, including the scope of support</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Activity 2.3: Workshop for discussion of results.

This activity aims at sharing the results of the competency assessment and planned competency development actions with a broader group of stakeholders of the institution and obtaining endorsement from the decision maker.

National schools for public administration may be involved in the workshop for supporting the identification of training offers relevant to the needs of institutions.

Activity 2.4: Preparation of Learning and Development Plan

At the end of the assessment, institutions are recommended to prepare a Learning and Development Plan synthetizing results of the assessment and planned follow-up actions for competency development.

It is a good practice to align the planning of resources from the Technical Assistance budget of the operational programme managed/implemented by the institution to the activities included in the Learning and Development Plan. The template for the Learning and Development Plan is included in ANNEX 3: LEARNING AND DEVELOPMENT PLAN TEMPLATE and covers:

- Scope and methodology of the self-assessment
- Institution level results of the competency assessment.
- Immediate actions for competency development: selected learning methods and actions to address competency gaps and timeline for implementation.
- Consideration on how to use the tool in the future, covering the aspects of responsibility, procedures for implementation and resource requirements.
- Implementation Roadmap for immediate actions and preparing for future use.

In occasion of the preparation of the Plan, institutions could also reflect if there are any adjustments of the organizational structure that should be considered based on the list of tasks and sub-tasks included in the EU Competency Framework. This would allow further clarification of the allocations of roles and responsibilities among organizational units.
# 4 HOW TO CUSTOMIZE THE INSTRUMENTS

## 4.1 Customizing the EU Competency Framework

If an institution intends to customize the instruments, it is recommended to document all changes firstly in the excel version of the EU Competency Framework.

In practical terms making customization implies the following steps:

- If a new task is added: the first step is to detail the sub-tasks, then associate existing and new competencies and assign proficiency levels, for all job roles.
- If a new sub-task is added: the first step is to associate existing and new competencies and assign proficiency levels, for all job roles.
- If a new competency is added: it should be associated to existing sub-tasks for operational level employees and also to the other job roles.
- If proficiency levels are to be changed this can be done simply by substituting existing ones with new ones.
- It is also recommended that all the changes are tracked visually in the file.

## 4.2 Customizing the Self-Assessment Tool

### 4.2.1 How to add/edit tasks

**Required**

- The Manager access to the Self-Assessment Tool
- EU Competency Framework

**Instructions**

1. Log in to Formsite and press the ‘Edit’ button on your institutional form
2. Hover the cursor above the Tasks box and press the ‘Edit’ button on the bottom left
3. Under ‘Edit Choices’ press the round + button to add a new tasks OR press the pencil button to edit a task name
4. Press the green ‘Save’ button in the bottom of the window

5. You add/edited task will appear in your form

**Note:** if you do not wish to add subtasks, skip to step 11.

6. To add a new list of subtasks, from the **Common Items** menu on the left, press and drag a ‘Checkbox’ to anywhere under the Subtasks title

7. In the Checkbox window, under Choices, Click on ‘Edit Choices’. Press the + button to add a sub tasks or delete the ‘Choice A’ or ‘Choice B’ text to name the additional subtasks.

8. Once all sub-tasks have been added, press the green ‘Save’ button at the bottom.

9. Hover your cursor over the Added text box and press the ‘Edit’ button

10. From the upper bar, press on ‘Rules’. From the **bottom** drop-down options, choose ‘Tasks’ ‘is’ and ‘Added task example’ (by doing so you establish a “rule” that this box will appear only when the ‘Added task example’ is selected from the Tasks menu).
11. To determine the competencies related to the new subtasks, you will have to establish the “rules” in each of the competencies. To do so, scroll to page 3, hover above the competencies you would like to add to the new tasks and subtasks and click on ‘Edit’ button.

12. From the upper bar, press on ‘Rules’. Add a new rule by pressing the green + button and choose the relevant rule (in our example, MA.O.C5 will appear when ‘added task example’ is ‘subtask 1’).

13. Repeat the process for all relevant competencies in the ‘Self-assessment’ section.

14. To added supervisor assessment, scroll down to the self-assessment section and repeat the same process for the same competencies you chose in previous step.

15. To determine the desired level related to each competency, scroll down to the results page (9) and choose the relevant desired level for each competency. Example: If sub task 1 requires MA.O.C5 – State Aid level 3 proficiency, hover over the relevant box and press the ‘Edit’ button.

16. In the upper bar, click on ‘Rules’, add a new rule by choosing the relevant option from the drop down menus and press the ‘Save’ button.

17. Repeat this process for each of the added competencies and their relevant desired levels.
**Note:** In case you wish to edit a task/sub-task, remember that each of these is “connected” to a particular set of competencies, as listed in the DG REGIO Competency Framework excel sheet. If you wish to tailor the edited task to new requirements, make sure to change the “connected” competencies as well.

### 4.2.2 How to change desired proficiency levels

As an example, consider that an employee who performs the sub-task ‘Preparation of the program’ (under Programming task) has a proficiency desired level 3 in competency MA.O.C5 – State aid. In case you decide that proficiency level of this competency should be 2 and not 3, follow these instruction below to make the necessary changes.

**Required**

1. The Manager access to the institution Formsite page
2. EU Competency Framework

**Instructions**

1. Log in to Formsite and press the ‘Edit’ button on your institutional form
2. scroll down to the results page (page 9) and hover the cursor above the box for MA.O.C5 Desired level 3 and press the ‘Edit’ button
3. From the upper bar, click on ‘Rules’
4. Identify the “Rule” that you wish to modify and click the ‘–’ button to remove it and press the green ‘Save’ button at the bottom
5. To “link” the MA.O.C5 desired level 2 to the sub-task in question, hover the cursor above the MA.O.C5 Desired level 2 box and click the ‘Edit’ button
6. From the upper bar, click on ‘Rules’ and then click on the ‘+’ next to any “rule” to add the desired “rule”
7. Enter the new rule by choosing the relevant options from the drop-down menu (in our example ‘Programming’ is ‘Preparation of programme’ and press Save.

4.2.3 Adding competencies

**Required**

1. The Manager access to the institution Formsite page
2. EU Competency Framework

**Instructions**

3. Add the competency in question to the EU Competency Framework
   1. and determine the desired levels for the relevant sub tasks, per your decision

2. Log in to Formsite and press the ‘Edit’ button on your institutional form
3. Scroll down to the self-assessment pages (operational/management/professional), hover over the last competency in that category and click the ‘Copy’ button

4. Hover over copied competency and click the ‘Edit’ button

5. Edit the name of the competency to reflect the new one (right image)

4. From the upper bar click on ‘Rules’ and use the ‘-‘ and ‘+’ signs to add/remove the relevant sub tasks to the new competency (as per your added values in the EU Competency Framework)

6. Click on the green ‘Save’ button

7. Hover the cursor above the newly added competency and click on the ‘Copy’ button
8. Press, drag and drop the copied competency to the corresponding Supervisor assessment section (two pages down).

9. To establish the desired level of newly added competency, scroll to the category relevant to the competency in the results section (Operational/ Management/ Professional, p 9-10)

10. Hover the cursor over the last result box in the page and press the ‘Copy’ button

11. Hover the cursor over the copied result box and press the ‘Edit’ button

12. Edit the details of the competency including the desired competency level to reflect the newly added one

13. From the upper bar, click on ‘Rules’ and then click on the ‘+’ next to any “rule” to add the desired “rule”
14. From the upper bar click on ‘Rules’ and use the ‘-’ and ‘+’ signs to add/remove the relevant sub tasks to the new competency (as per your added values in the EU Competency Framework)

**Note:** If you choose to edit an existing competency name, remember to review the related desired proficiency levels in the results section and adjust accordingly.
ANNEX 1: EU COMPETENCY FRAMEWORK

See separate files

1a Competency Framework for Coordinating Body
1b Competency Framework for Managing Authority and Intermediate Body
1c Competency Framework for Joint Secretariat
1d Competency Framework for Certifying Authority
1e Competency Framework for Audit Authority
### ANNEX 2: WORK-PLAN TEMPLATE

#### Status at:

<table>
<thead>
<tr>
<th>Phase</th>
<th>Tasks</th>
<th>Month 1</th>
<th>Month 2</th>
<th>Month 3</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>W1</td>
<td>W2</td>
<td>W3</td>
</tr>
<tr>
<td>Phase 1: Set-up</td>
<td>Activity 1.1: Appointing the Implementation team</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Activity 1.2: Training the Implementation Team</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Activity 1.3: Defining employee involvement and possible customizations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Activity 1.4: Preparing materials and templates</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Activity 1.5 Defining the Work-plan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phase 2: Self-assessment</td>
<td>Activity 2.1: Training and communication</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Activity 2.2: Start of the competency assessment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Activity 2.3: Employee self-assessment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Activity 2.4: Supervisor’s assessment of employees</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Activity 2.5: Results of the assessment and discussion meeting</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Activity 2.6: Generating individual assessment reports</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phase 3: Analysis and</td>
<td>Activity 3.1: Preparation of institution level analyses</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>preparation of Learning and</td>
<td>Activity 3.2: Analysis of results and prioritization of actions</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Development Plan</td>
<td>Activity 3.3: Workshop for discussion of results.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Activity 3.4: Preparation of Learning &amp; Development Plan</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
ANNEX 3: LEARNING AND DEVELOPMENT PLAN TEMPLATE

See separate file
ANNEX 4: INSTITUTION-LEVEL ANALYSIS TEMPLATES

See separate files

1a Analysis template for Coordinating Body
1b Analysis template for Managing Authority and Intermediate Body
1c Analysis template for Joint Secretariat
1d Analysis template for Certifying Authority
1e Analysis template for Audit Authority