

# 出國報告（出國類別：考察）

## 英國、法國高級文官考選制度參訪報告

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# 英國、法國高級文官考選制度參訪報告

## 摘要

我國公務人員高考一級考試制度實施以來，對政府甄補高級文官的需求，一直未彰顯出令人滿意的成效，為改進此項考試制度，有必要借鏡歐美先進國家高級文官考選制度運作情形，爰派員就英、法兩國高級文官考選制度進行瞭解，以作為本部未來改進公務人員高級文官考選制度之參考。

英國高級文官之定義係包括 40 個常務次長，其次是助理司(處)長級以上之高級文官。遴選過程係由英國文官委員會擔任監督的角色，確保具有優異條件之候選人進入政府部門服務。由於遴選之程序，係由各用人機關向文官委員會提出申請，經該委員會審核同意後，交由用人機關自行辦理招募。用人機關在辦理考試過程中，亦參採人力招募公司提供之能力評量資料，以為甄補審核之參考。

法國國家行政學院係為建立現代化及民主化之文官制度需要而成立的培訓機構，亦為世界各國提供一套量身訂製之專業訓練課程。原不具公務人員任用資格者，經錄取進入該學院後，即取得任用資格。惟法國之公務人員來源，尚有由「預算、審計及公職部」辦理之招考，或另由各部會自行辦理人才招募。

有關英國參採了高級文官候選人之心理評量測驗，並提供實際情境之模擬測試，作為是否適任之參考依據，實有參採之價值。而法國之考試，在考試前即公開委員之名單，雖謂考試係由多位委員共同決定，非一位委員能決定大局，但此作法依本國國情尚不適合，我國既有優良嚴謹的考試制度，深獲國人信賴與支持，現有考試制度之公平、公正、公開等特性仍應維持。



## 壹、前言

### 一、緣起

我國現行公務人員考試中，以具有博士學位始得應考之高考一級之錄取任用資格（薦任第九職等）為最高等級之考試。該項考試方式，依公務人員考試法第 8 條及公務人員高等考試一級考試規則規定，分三試舉行，第一試為筆試，第二試為著作或發明審查，第三試為口試。

惟自民國九十三年訂定發布上開考試規則並辦理考試以來，或由於各用人機關報缺意願不高，或由於應考人提交之著作不符規定，或由於錄取後任用職等誘因不大等原因，該項考試在政府甄補高級文官的需求上，作用成效並不彰顯；因此，如何有效改進此項考試方式，有參考歐美先進國家作法之必要，本部爰於 97 年 12 月 10 日至 19 日派高普考試司王司長俊卿與專技考試司黃科員明昌二人前往英、法兩國考察其高級文官考選制度。

## 二、考察項目

本次赴英、法參訪，經由我國駐英國代表處、駐法國代表處聯繫安排，訪問英國文官委員會辦公室（Office of Civil Service Commission）、英國 MENDAS 公司僱用及評估部門（Recruitment and Assessment Services）、法國國家行政學院（École nationale d'administration, ENA），以及法國「預算、審計及公職部」所屬「公職行政處」（DGAFP）之「公務員聘用與培訓辦公室」（Bureau des politiques de recrutement et de formation）等 4 單位，就相關業務與負責人員訪談，並進行意見交流，考察項目如下：

### （一）訪問「英國文官委員會辦公室」考察項目

1. 貴國文官委員會在高級文官考試中負責之業務為何？  
What role does the Civil Service Commission play during senior civil service official examinations?
2. 貴國高級文官考試之應考人資格為何？  
What are the qualifications for the UK' s senior official examinations?
3. 貴國高級文官考選之方式為何？  
What recruitment and examination methods do you use for senior officials?
4. 貴國高級文官考試是否有其分類？  
Are senior civil service officials' examinations separated by category?
5. 貴國高級文官考試是否以公開競爭的方式辦理考試？  
Are senior official examinations held as open competitions?
6. 貴國高級文官考試錄取人員之任用方式為何？  
What approach to employment of senior official examination qualifiers does the UK take?
7. 貴國高級文官考試係多久舉辦一次，係定期舉行或採不定期方式，其原因為何？



How often does the UK hold senior official examinations? Are they regularly or irregularly scheduled? What is the reasoning behind the scheduling?

8. 貴國高級文官考試若非採筆試方式進行？係以何方式舉才？其錄取之標準為何？

If the UK' s senior official examinations are not administered in written form, how are they given? What are the qualification standards that will apply?

9. 貴國高級文官考試若參照應考人之書面資料，其審核之標準作業為何？是否對所有應考人參採甄補與評量中心 (Recruitment and Assessment Service, RAS) 提供之資料，以納入評分項目？

If the UK' s senior official examinations take into account written materials on the candidate, what standards are used to review qualifications? Are data provided by the Recruitment and Assessment Service (RAS) used for all candidates evaluation items?

10. 貴國高級文官考試若以口試方式進行，參加口試之委員如何產生？人數為多少？各委員之遴聘原則為何？各委員之背景又為何？

If the UK' s senior official examinations are given orally, how are commissioners derived? How many are selected? What principles guide selection? What is the background of a typical commissioner?

11. 貴國高級文官考試若以口試方式進行，是否定有結構化之口試評分標準（預擬各項評分項目，如專業知能、儀態、口語表達能力等項各佔一定評分比例），若採非結構化之評分標準，其標準為何？

If your country' s senior official examinations are given orally, are there certain structural oral

examination evaluation standards that will be applied? For example, evaluation items such as professional knowledge and competence, conducts and demeanor, oral expression skills, etc.? Are these factors weighted in advance?

12. 貴國高級文官考試以口試方式進行，為維持口試評分之公正與客觀，各口試委員是否均經過口試技術之專業訓練，若否，其原因為何？

In the interest of fairness and objectivity of senior official oral examinations, do commissioners undergo professional training in oral examination techniques? If so, please detail. If not, please explain.

13. 貴國高級文官考試之總成績計算方式為何？

How is the total score of the senior official examination calculated?

## (二) 訪問「英國 MENDAS 公司僱用及評估部門」考察項目

1. 為何貴公司提供政府部門招募人員甄補與評量服務，這項服務對政府部門之重要性何在？在英國是否公營機關及民營企業都相當重視這項服務？其原因為何？

Why does your company provide recruitment and assessment services for government organizations? What is the importance of this service for government organizations? Is this service considered essential by public agencies and private corporations alike in the UK? Please explain.

2. 貴公司提供之評量服務係由應徵者自行申請，俾於應徵時提供僱主參考，或由僱主請貴公司為該僱主欲僱用之應徵者全面進行這項評量？兩者在進行評量時有無差異？

Do candidates apply for your assessment services on

their own volition as reference for the prospective employer during the interview process? Or does the employer retain your services to conduct a full assessment of the job candidate? What differences are there between the two types of assessment?

3. 貴公司對一般招募人員之甄補與評量服務包含那些項目？對高級文官候選人之評量項目有無特殊之處，以符合用人機關所需？

What items of recruitment and assessment are offered among your company' s services? Are assessment criteria for senior officials unusual in any way so as to meet the needs of employing institutions?

4. 貴公司對招募人員之評量方法有那些？是否使用了任何學術理論為基礎，以支持採行之評量方法？What methods of assessment does your company use for recruits? Does assessment have a particular academic theoretical basis to support evaluation methods?

5. 用人機關對貴公司提供之評量結果應如何運用，方能有效甄選出適任人才？

How should employing institutions apply your company' s evaluation findings so that they can effectively select the right people for the job?

6. 貴公司提供政府部門招募人員之甄補與評量服務，是否曾面臨極待突破或克服之處？貴公司目前提供之前開服務，是否已規劃近程與遠程之目標？

What issues or obstacles, if any, has your company encountered over the course of providing government organizations recruitment and evaluation services? Have you set near- and long-term objectives for the services provided?

### (三) 訪問「法國國家行政學院」考察項目

1. 法國國家行政學院之招生管道為何？不同之招生管道，其考試方式與錄取標準是否有異？若是，其原因為何？

How does the École nationale d' administration recruit students? Do different examination and qualification standards apply to students that matriculate through different channels? If so, how do they differ?

2. 法國國家行政學院之使命為培養高級行政官員，其課程之規劃勢必極其重要，現職為公務員與非公務員之訓練課程是否相同，若相同，為何未考慮兩者背景之不同，而給予相異之訓練？若否，其差異處為何？

Given the ENA' s mission of cultivating senior administrative officials for various important government positions, curriculum planning is certainly of utmost importance. Are the training programs for current civil servants and non-civil servants the same or similar ? If so, why aren' t the different working backgrounds of these trainees being considered, and different training programs applied accordingly ? If not, then how would the training differ ?

3. 法國國家行政學院之學生中，已具公務員身分之在職人員，考取該校後對公務生涯有何助益？若有助於陞遷，就目前法國公務體系中，是否還有其他訓練管道有助於此？若有，該訓練與國家行政學院之訓練課程差異何在？

What benefits does qualifying to study at EDA offer for the careers of students already working as civil servants? If it benefits rank promotion and advancement, then are there other avenues of training in the current French civil service structure with similar benefits? If so, what differences are there between such training and the training curriculum offered at EDA?

4. 法國國家行政學院之培訓課程與高級文官考試(A 級)之訓練階段，其差異何在？

What are the principle differences between the École nationale d' administration' s training curriculum and the training stages for the senior official examination (Class A)?

5. 法國國家行政學院培訓課程之規劃方向為何？學生中原不具公務員身分者，經培訓課程後，如何至公務部門服務？這些學生於受訓完成後，如何以其尚淺之行政資歷於政府部門中擔任高級行政官員？

What is the planned direction for EDA training? After receiving training, how do students that entered the institution with no civil servant status go on to serve in civil service departments? Given their relative lack of administrative experience, how do students go on after completion of training to perform as senior administrative officials?

(四) 訪問「法國『預算、審計及公職部』所屬『公職行政處』之『公務員聘用與培訓辦公室』」考察項目

1. 貴國高級文官(A 級)考選體制（含考試之分類及其應考資格）為何？

Please describe the senior official (Class A) examination and selection system (including examination classification and related eligibility qualifications) in France.

2. 貴國高級文官考試制度(A 級)之考試方式為何？是否有相關考古題可供參考？

What is the format or method of your country' s senior civil service examination system (Class A)? Are actual previous exam questions available for reference?

3. 貴國高級文官考試(A 級)錄取人員之任用方式為何?  
What approach to employment of senior official examination (Class A) qualifiers does France take?
4. 貴國高級文官考試(A 級)命題委員產生之方式為何? 考試前命題委員名單是保密或對外公開? 榜示後是否公布命題委員名單?  
How are your country' s senior official examination (Class A) question drafters selected? Is the membership of the question drafter board confidential or made public prior to examinations? Is the board membership list publicly revealed after examination results are posted?
5. 貴國高級文官(A 級)之口試方式如何進行?  
How are senior official (Class A) oral examinations conducted in France?
6. 貴國高級文官遴選係以通才, 抑或以專才為主?  
Is your country' s senior official selection largely oriented toward general or professional knowledge and skills?
7. 貴國高級文官考試(A 級)是否定期舉辦?  
Are examinations for senior officials (Class A) held regularly in France?
8. 貴國高級文官考試(A 級)是否建立題庫, 俾以因應每次考試, 或於考試前再行臨時命題?  
Is a senior official examination (Class A) question bank established and maintained in your country for use with each examination, or as a pool from which to draw questions at the last minute prior to an examination?
9. 貴國高級文官考試(A 級)考試是否公布命題大綱, 供應考人  
事先知悉?  
Are test question outlines for senior official

examinations (Class A) made available in advance to examination candidates?

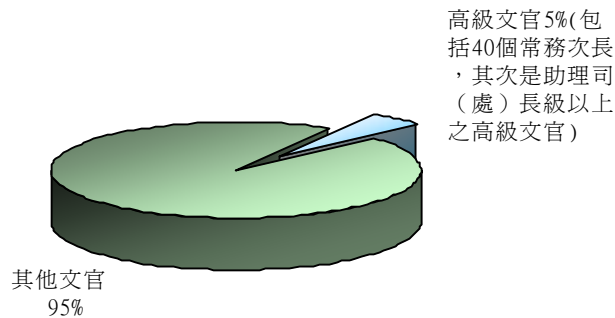
10. 貴國高級文官考試(A 級)考試如何處理試題疑義？試題與答案是否公布？

How are senior official examination (Class A) test question disputes handled? Are both questions and answers publicized?

## 貳、英國高級文官考選制度

### 一、簡介

英國高級文官之定義係 5%之文官，包括 40 個常務次長，其次是助理司（處）長級以上之高級文官（如下圖一表示）。



圖一 英國高級文官百分比示意圖

英國文官委員會在高級文官考選制度的角色，是監督高級文官之遴選過程，以確保具有優異條件之候選人進入政府部門服務。由於遴選之程序，係由各用人機關向文官委員會提出申請，經該委員會審核同意後，由用人機關自行辦理招募。文官委員會每年進行一次職缺稽查工作，並監督用人機關之招募過程，以確保招募過程能正常與公平的進行。用人機關向文官委員會提出招募之申請時，該委員會將就招募之職缺籌組招募委員會，該招募委員會主席係由文官委員擔任，委員會將就（1）同位階有無適任人選、（2）現任人員是否適合陞任、（3）公民營企業中具有一定專業能力及行政專長之人員等三種途徑加以審查，決定其招募之方式。確定招募方式後即以面試方式進行考試，而非採行筆試，有時面談可能不只辦理一次，候選人有時也會被要求用簡報方式作自我介紹，及對擬晉用職務提出個人之抱負與見解，另亦須參加心理測驗評估，心理測驗將模擬真實之情境，測試候選人之溝通能力與技巧。面試委員人數為 4~6



人，面試委員將就候選人之領導統御能力、策略思考能力及行政管理能力進行評量，以做為是否適任之參考依據。

由於用人機關在辦理考試過程中，也會參採人力招募公司提供之能力評量資料，所以本次特別參訪 MENDAS 公司僱用及評估部門。該公司為英國政府認可之心理評估機構，常常會接受用人機關之委託，針對職缺之工作性質及內容，與用人機關共同設計各項評估指標，如領導統御、核心技術及專業技能等。這樣的評量方式，不完全與心理有關，尚能利用測驗理論與技術，針對候選人之專業能力以筆試進行測試評估，如此採行筆試與心理測驗量表之綜合評量結果，提供用人機關甄補審核之參考。

## 二、考選組織

### (一) 英國文官委員會辦公室 (Office of Civil Service Commission)

英國於 1855 年設立「文官委員會」，主管英國政府部門之人事業務。嗣後該機關經過多次演變，自 1991 年起改為「文官委員辦公室」(Office of the Civil Service Commissioners)，而成為「內閣事務部」的核心部門之一。為配合 1995 年樞密院令而頒訂「文官委員考試法」，其主要內容：各機關辦理文官考選必須公平，考試程序依法令規定辦理，各機關依用人需要自行辦理考選，文官委員對試政與試務擁有獨立監督審核權。是以，由此觀之，政府各機關雖可以辦理考試，但必須依「考試規則」辦理，並且須受「文官委員」的監督及追認。

文官委員之任務職掌之一是在挑選高級文官的過程中擔任主席和監督的角色，所以，英國高級文官之考選，文官委員必擔負相當的責任。有關文官委員在甄補高階文官時，英國政府訂有一份指導綱領(Guidance on Civil Service Commissioner's Recruitment to Senior Posts)，其重要內容摘述如下：

1. 除了任期低於十二個月者，各部或各執行機構可依據「文官委員之甄補法典」之規定自行甄補外，其餘高級文官職位與高級職位，均須經文官委員的書面批准
2. 除各部首長之任命外，各部與各執行機構高級職位任命之甄補程序均由公共服務局建立，各部與各執行機構依據而執行競爭考試，其執行係運用私人機構或「甄補與評量服務中心」(R. A. S.)或兩者結合使用。
3. 各部或各執行機構決定從文官體系外甄補高級文官職位時，應儘早與文官委員諮商，以使文官委員瞭解其程序是否符合「文官委員之甄補法典」與「文官委員之高級職位甄補指導綱領」之規定。
4. 文官委員對於文官中的領導職位、職位比重評分 13 以上之職位、執行機構主管職位、直接為部長工作且與部長有高度接觸之職位、專業主管職位、具公共形象之職位……等，希望直接參與甄補程序。
5. 競爭考試結果如欲獲得文官委員批准，有關資料包括性別種族殘障等資料均應予以蒐集，需能顯示出應徵者在甄選過程每個階段所面對的被接受或拒絕的理由。
6. 某些少數非常高級職位，因涉及政策制定與發布，各部部長對其甄補與任命擁有合法權力，可予以高度關切，惟需避免個人或政治之偏見。
7. 遴選結果依成績列冊，文官委員應依名冊順序批准。
8. 多數高級職位之遴選小組由首席文官委員擔任主席。一般情形如文官委員直接參與甄補程序，則由文官委員擔任主席；若文官委員不直接參與甄補程序，則由部或各執行機構安排推派一位能勝任遴選面談且獨立並與業務單位管理最接近的人擔任主席。

9. 如由文官委員擔任主席，應將甄選結果以書面通知各部或各執行機構，此一通知將是文官委員以其權威同意各部或各執行機構有權去進行任命。
10. 遴選之後進入「最後面談」，由三至四位競爭者進入此最後階段，面談不一定在同一天進行，可分期進行；面談前主席應與其他委員就面談結構先達成協議。
11. 前述所謂文官委員直接參與是指：(1)工作與個人資格條件草擬的影響與最後敘述的核定。(2)篩選、遴選過程以及過程中其他方式的採行之主導。(3)競爭考試結果的書面批准。

## (二) 英國 MENDAS 公司僱用及評估部門 (Recruitment and Assessment Services)

位於倫敦之 MENDAS 公司，由職業心理學家所組成，專長為政府部門提供心理測驗及心理評估，為英國政府認可之評量機構。該公司為政府部門所設計之評估指標共分以下四大項：

1. 領導統御 (Leadership)
  - (1) 為組織提出方針
  - (2) 履行計畫
  - (3) 面臨目前與未來挑戰所具備的發展能力
  - (4) 廉潔的舉止
2. 核心技術 (Core skills)
  - (1) 人員管理
  - (2) 財務管理
  - (3) 對跡象的使用與分析
  - (4) 計畫與方案的管理
3. 高階公務人員 (Senior Civil Servants)
  - (1) 溝通與行銷
  - (2) 策略思考

#### 4. 專業技能 (Professional skills): 與從事工作有關之特定專業技能。

上述所設計之評量指標，不完全與心理有關，在英國的心理學家，尚能測驗出各受試者之專業能力，惟其需與政府部門先行溝通了解該專業領域各種需求之重要性，方可著手進一步的設計。而這方面專業技能的設計，亦為該公司近年來持續面臨且亟待提昇與突破的挑戰。

為何前述之評量指標亦包含了專業技能一項，據該公司心理專家表示，傳統之高階公務人員是聰明的，但聰明不足以成事，能具備政府要求之知能才是首要。另高級文官若欠缺溝通的技巧，可能無法有效宣示政策的執行，且高級文官除了自己部門之外，需有跨部門之思考模式，故該公司所評估的不僅是受試者所知的事，亦包括了受試者即將從事的工作。換言之，該公司以心理測驗的方式評估受試者是否具備擬任工作之專業技能，並針對不同的部門量身訂做不同的測試方式。

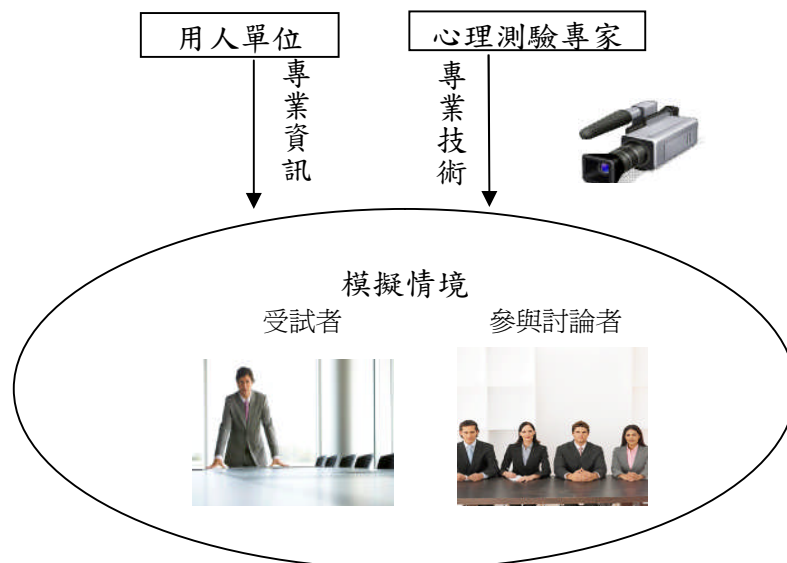
至於如何測試受試者之專業技能呢？筆試仍不失為一個好方法，而且是採申論題型。惟此種筆試是測試受試者之接受資訊與提出決策的能力，且受試者可利用筆試提出不同的決策，因為筆試應比傳統之心理測驗（情境測驗，可能是有標準答案）更精緻，受試者之作答過程比作答結果還重要。以下以一有關農業方面的知識為例，如某種農作物在何種情況下，將導致較佳之生長成果，此問題有兩個面向，其一為受試者未必被提供有關農業相關的專業知識，即欲測試受試者如何運用他所有的知識進行判斷，其次為心理學家與各領域專家的共同命題，注重的是作答過程而非作答結果。當然如此做法可能會有危險，受試者可能提出了一個所有人均未提出的決策，但此種作法經評估後仍取得較佳之結果。上述方法即測試受試者在資訊模糊的情況下，如何做出決策因應，惟此種筆試仍應加

上心理量表當可得出較佳之結果。

除了以上的測驗外，尚有一般常見的性格測驗（無標準答案），此種心理測驗除了以筆試測驗外，尚可以網路進行，受試者選答「願意」或「不願意」，這種人格特質的評估報告可以評估受試者是否具有創新發明之能力，並可提供全面性的個性評量資料，以供面試委員進一步了解受試者。

近年來，在評量測試之領域有一種互動的方式，此種方式正說明了要成為高級文官，聰明並不足夠，還要有適當的特質。這種互動式的測試，心理專家係經由用人單位提供相關之專業資訊，俾了解受試者應具備之專業智能，模擬一個會議的情境，並向用人單位確認保證該情境是合情合理的，並適合該招募職位的需求。如此的情境模擬，由用人單位參與設計，前有案例可能獲致較適任之人才，而且用人單位亦可經由本次的學習，日後之招募作業可自行辦理。

在模擬的會議情境中，受試者是主席，其他 4 人是參與討論者，心理專家在另一空間透過監視器了解受試者在會議中之處理或表現是否得宜。心理專家透過監控之方式，其目的不僅在測試受試者，而是與受試者一起合作，同時不希望他會焦慮擔心，而影響受試結果。(如下圖二)



圖二 會議情境模擬圖

針對英國高級文官之甄補，除了以上所述之筆試、心理測驗以及互動式評量測驗外，面試仍不失為一項有效的工具，但這種測試方式的目的，在於了解受試者如何在工作中發揮自己的能力。受試者將被安排在用人單位工作一天，故受試者在辦公室與心理專家討論工作內容，並依討論結果訂定行程表。若受試人數眾多，採用此方式在時間與成本上是否花費頗多？該公司表示將與用人單位一起合作，從申請表挑出適合人選，再安排時間測試。原則上申請人數眾多，就用比較簡單、花費較少的方式先行篩選，俟篩選後人數較少時，再以較複雜且花費較多的方法辦理。

以此種面試的方式，並非僅能一次針對一人進行測試，亦可四至五人同時進行。其次有關受試者若與工作人員認識，是否會影響面試之公平性？因受試內容僅有極少數人得知，此點與考試一樣均須保密，即使提早洩露面試內容，因係由受試者們一起討論，亦無法由一人掌控測試過程，故亦無極大影響。

MENDAS 公司所提供之評量服務，並非沒有失敗的案例，少部分失敗的案例是因與用人單位雙方合作不夠縝密，但即使導致失敗，用人單位亦不會回到從前之遴選方式，而是改善合作模式。早年之英國一般公務人員之遴選，須經過此類之評估測驗，但高階文官並未要求，近年則相反，由此可知，英國高級文官之甄補採用前述之評估服務將是潮流所趨。

### 三、考選運作情形

英國對高級文官的甄補是採開放模式，允許非現職文官參與高級文官職位的競爭，希望透過多元型態的人力引進方式，將外界新血引入公部門；故當產生職缺時，以公開、公平之招募方式，使任何符合條件之候選人參加，此為文官委員會甄補指導綱領之首要原則。茲就其考選運作情形分述如後：

#### (一) 考選機關

英國高級文官之甄補係由各部會辦理，並在文官委員會之監督下進行，一般公務員多已由各部會依考試法（Recruitment Code）的規定進用，惟各部會近年已委託甄補及評量公司（Recruitment and Assessment Services）協助招募事宜。

## （二）高級文官的定義

英國之人事制度以品位分類為主，有類別與等級的劃分。其常任文官（Career Service）區分為高級主管職群組與行政職群組兩類。其中高級主管職群組為科長級及其相當職位以上者，含常務次長、副次長、司處長、副司處長、助理司處長、資深科長、科長等7級，高級文官（senior civil servants）係指常務次長（一等）至副司處長（五等），招募及薪俸均由政府統一規定，科長並不包含在內。除高級文官外，其他公務人員僅有新進人員之招募，並無介於中間層級相當9職等科長級以上人員之遴選，其進用方式及薪津均由各機關自行決定。部分高級文官職缺擴大到對外公開競爭，其特色如下：

1. 均為高級事務官之身分，不包括政治任命或政治職文官。
2. 受首相或部長任免，但不與其同進退。
3. 最高職務為常務次長，均不得陞任或任命為政務官
4. 地位顯著，素質優，社會評價高。

## （三）考選方式

英國高級文官職務產生空缺時，其候選人之遴選依據將依以下三來源而決定：

1. 同位階是否有適任人選
2. 現任人員是否有適任人選
3. 對外進行招募

職缺之甄選方式，最終由高階領導人委員會決定，若三個方式均適合，通常僅會採取一種方式，當決定某種方式後，則不會另採

其他方式。由上可知，部分高級文官也有可能採行對外招募，因文官委員會認為現有文官體系接受外來之挑戰，具有正面的效果，由體系內與體系外之人員一同競爭，係基於有助體系良性發展之考量，此與傳統觀念須由低階往上進陞是不同的，但部分如常務次長之層級，因存在安全查核之因素，仍需由現任人員中遴選較妥適。

由於高階文官之篩選，在招募廣告中已明訂候選之資格標準，故若獲准面試，即已符合初步之需求，接著將就心理層面進行評估。評估之標準就其以下三種能力加以考量：

1. 領導統御能力
2. 策略思考能力
3. 企業管理能力

除了以上能力外，其經歷之管理績效，亦為相當重要之評比項目。由於最高階之文官職位，有時不太有人主動申請，所以亦有可能會諮詢人才招募顧問，查看是否有對該職位表達興趣或願意接受挑戰的人選，再由招募委員會主動徵詢。前述之招募顧問來源，即所謂「獵才公司」(人才招募諮詢公司)。用人機關發布相關訊息後，該等公司出具提供諮詢能力之條件，共同參與競爭，俟用人單位決定與那家公司合作後，呈報面試委員會核定。

在評選過程中，可能不只一次的面談，候選人並須自行以簡報表達對該職位的抱負與期許，且應接受心理測驗評量。面試委員有4至6位，其中一半之委員先為候選人進行面試，另一半之委員再為候選人進行第二次的面試，經過兩次的面試後，全部委員們再集中進行討論。一般而言，文官委員會之委員均為面試委員會之主席，而所有委員中，可能有一位是具有特殊專長之教授，而常務次長層級之遴選，則會有具公務人員身分之政府首長擔任委員。前述之面試方式，只是一般基本之遴選方式，有時在正式遴選程序中會先進行15分鐘之面試後，先挑選出四分之三之候選人進行第二次面試，



再視情形選出一定比例再做第三次之面試。

此種遴選過程全部採面談之方式，而無所謂之紙筆測驗，有時亦要求候選人提供書面報告（包括個人對未來之理想與挑戰等），做為審查依據。至於心理測驗方面，將測試候選人是否具有擔任此項工作之心理特質、溝通能力與技巧等，或輔以候選人情境模擬之測試，藉以進行評估。至情境模擬之評量指標，將視不同之職位而有相異之要求，主要仍依候選人是否具有與民眾溝通之能力特質而定。面試之評分標準，係依原已設定之評分等級進行考評，惟仍視不同之工作性質而異，通常文官委員並不加入評分，僅係扮演監督之角色。且候選人參加面試並無需繳交報名費用，僅應負擔評估報告之費用而已。其評分等級如下：

- (A) 傑出
- (B) 很好
- (C) 可接受
- (D) 未達標準
- (E) 無法接受

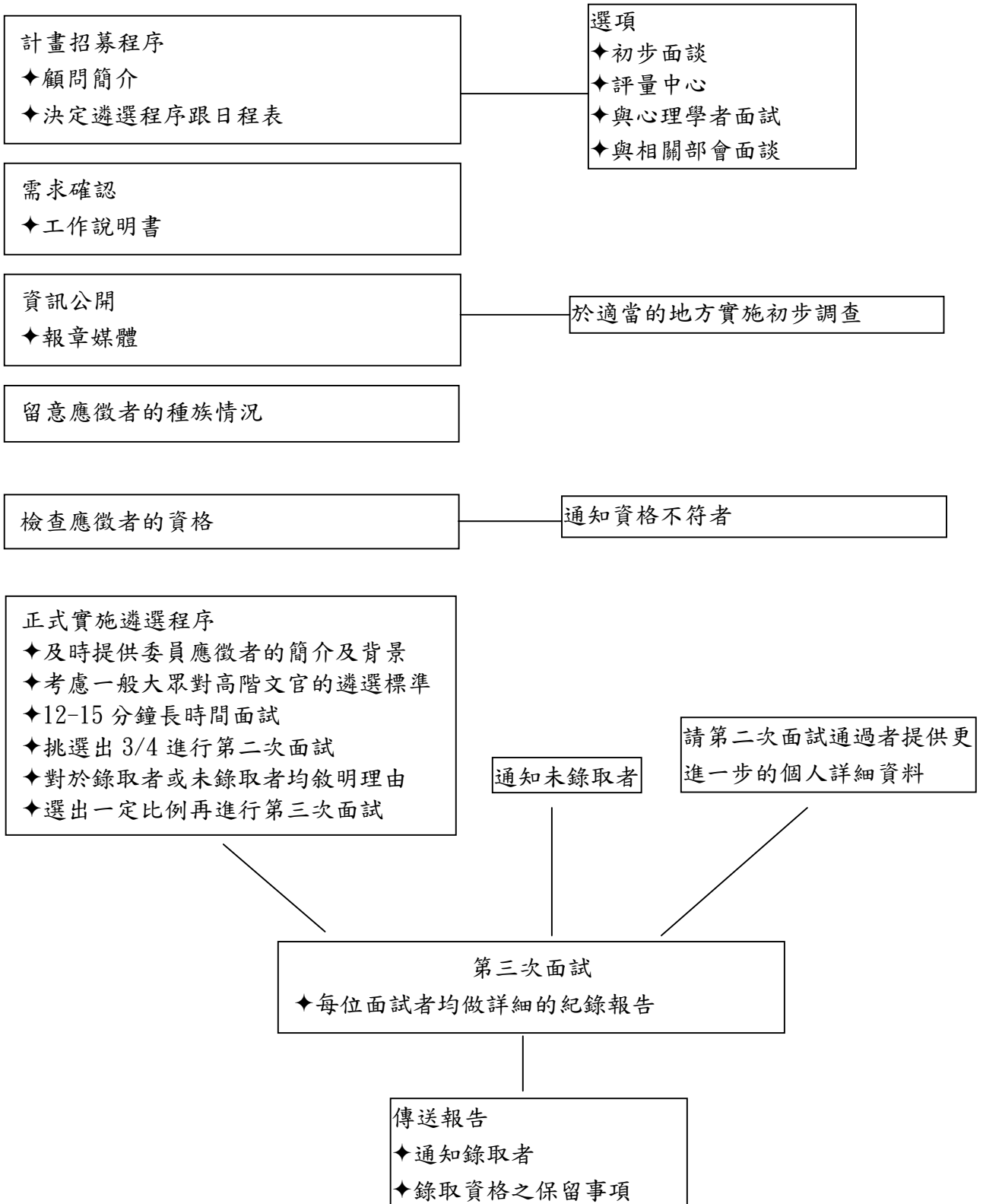
綜上所述，英國高階文官之遴選程序大致如下：

1. 核定職缺內容及資格條件。
2. 處理廣告刊登與相關規定之運用。
3. 獵才公司擬定應試初選名單。
4. 各部會、文官委員會辦公室代表（委員）與獵才公司一同篩選複選名單。
5. 提列委託範圍（屬初審事宜）。
6. 視情形執行複審項目（如個別心理評量），並向面試小組提報結果。
7. 面試小組對候選人進行一小時之面試，在某些特殊情形下，候選人須在面試過程中進行相關匯報，面試無既定形式，亦

非僅執行職能或行為導向之測試。

另按其實際作業之運用，經彙整如下頁圖三所示。

事先協議決定那些高級文官職位適合運用到遴選流程



圖三 高級文官遴選流程圖

#### 四、各種招募人才之評鑑方法檢討

英國文官委員辦公室為協助公部門改善遴選及聘用最高階人員的方式，並期望能確認他們制定的過程以及各公部門或機構聘用員工所使用的評鑑方法是最有效的，以鑑別出最有價值的應考人，曾委託 Cliver Fletcher（註）教授展開一項研究計畫，定名為「有效遴選高級文官之研究」；根據該研究報告的發現，用「效力」、「公平性」、「對候選人的影響」及「成本」等四種標準，來審視各種不同招募人員評鑑方法的有效性時，各種方法的平均效度如下表：

招募評鑑方法	與績效評量間的相關係數
結構式面試	0.44 - 0.56
認知能力測驗	0.40 - 0.50
評鑑中心法	0.37 - 0.43
人格問卷	0.40
工作樣本測驗	0.32
個人檔案	0.30 - 0.35
推薦函	0.25
非結構式面試	0.14 - 0.33

（說明：相關係數 1.0 代表最佳預測【從未達到】，而 0.2、0.4、0.6 左右的相關係數分別代表低【但仍可有用】、好、高的效力。）

註：Clive Fletcher 教授是人事評鑑有限公司的總經理。他曾在倫敦大學 Goldsmiths' 學院擔任職業心理學教授，即使後來離職至私人公司服務，仍有榮譽教授的頭銜。他也是 Henley 管理學院的客座教授。投身學術界前，他在英國政府工作近七年。他是有執照的職業心理學家，也在相對少數的心理學家中，獲選為英國心理協會(British Psychological Society)的研究員。

Clive 有近 200 篇論述工作環境中的心理評鑑文章，發表於書、合集、期刊、研討會。（近期作品可見 [www.personnel-assessment.com](http://www.personnel-assessment.com)）他在很多私人機構和政府部門擔任諮詢和顧問的職務，目前他擔任內閣辦公室和國家醫療評鑑中心的顧問，並在防禦科學顧問會議擔任獨立會員。他在評鑑領域的學經歷，廣獲國際認可。他受邀在歐美的研討會發表論文，同時也是美國及其他各地公司的科學顧問委員會成員。

然而，實際進行招募時很少只採用單一評鑑方法，即使在最低階級，通常至少有面試與推薦函兩種招募方式；而且，在一定程度上，各種不同的評鑑方法若結合使用，將可增強效力，例如，結構式面試加上心理測驗一起使用，通常能達到 0.63-0.65 左右的效力。

另外，該研究在各種不同的評鑑方法上，尚有以下主要結論：

#### (一) 面試

1. 面試類型的標準化越高，而且面試時間越長，則效力會趨於越高。
2. 不管有多少面試結構，面試官的培訓會造成差異。
3. 小組面試的效果低於或不高於連續進行的一對一面試。
4. 無證據顯示結構式面試有不公平的偏見，但非結構式面試較其他評估方法更有可能面臨法律挑戰。
5. 應考人大多會很積極回應主考官的詢問。

#### (二) 心理測驗和問卷：認知能力測驗

1. 很多研究報告調查了成千上萬的應考人與廣泛的工作類型，蒐集到的證據幾乎都顯示，認知能力測驗是預測未來工作表現的最佳工具之一。
2. 一般而言，高階主管當然須要高度的一般心智能力，但要到多高的程度？門檻的設定標準很可能隨著工作和職務的不同而異。
3. 使用認知能力測驗時，若應考人是一群有名校學位和傑出經歷的人，其價值可能較小，若應試群有多元的背景和學術成就或工作性質經歷，即使是高階人員的招募，特別是對智力有要求時，則認知能力測驗將可提供更多的貢獻。
4. 認知能力測驗沒有特別受到應考人的歡迎，若測驗的目的與方式有經過解釋，而且提供表現的回饋，應考人在面對

測驗時態度會更積極。

5. 認知能力測驗對每位應考人只需要幾英鎊的成本，是現有的最具成本效益的評鑑方式。

### (三) 心理測驗和問卷：人格問卷

1. 人格問卷在英國被廣泛的使用。皇家人事與發展機構（CIPD）於 2004 年的人力招募、保留與流動的調查中，顯示有 46% 的研究機構在使用，相較之下，有 43% 使用評鑑中心法，53% 使用認知能力測驗。然而，公部門組織使用的數據各只有 36%、48%、52%。以英國來說，從 2002 年開始增加使用測驗和問卷，同時減少使用評鑑中心法。
2. 證據顯示人格測驗能預測行為和表現，並產生有用的關聯，但不如認知能力測驗有效。然而，那種個性因素才是評量中最重要，這點並不明確，且會因不同的工作而異。
3. 人格問卷很少在族群上顯示出差異，但在性別上卻表現出差異，這似乎反映真正的差別在於行為與自我意識。
4. 應考人對人格問卷的反映，就如同認知能力測驗一樣。應考人在個性測驗中若有造假情事，似乎整體上也不會特別減損評量的效益，或許是因為高階文官應考人常充分保持自信，並誠實直接的表現自己。

### (四) 申請書、推薦函、個人檔案

1. 申請書常是首先篩選的機制。它常用於收集應考人基本資料，但也擴展到蒐集評估個人能力的資料。證據顯示，特定的結構式自我評估表，與推薦人的評鑑會產生關聯，並可能有些參與遴選的價值，不過，單憑申請書很難達到有效的數據。

2. 使用結構式推薦函較傳統型推薦函會有適度的效力呈現。推薦函在證明應考人有其主張的資格上是越來越重要，但卻又越來越難取得，因為法律已改變—允許應考人看信裡寫什麼並提出異議，若推薦函包含錯誤或查無實證的陳述，足以傷害一個人的名譽，則應考人可提出訴訟—此外，雇主沒有法律上的義務需要提供推薦函；因而，現在推薦的作用除了確認個人於一定期間有工作紀錄外，雇主不太願意再做其他敘述了。
3. 個人檔案是個名稱，在應考人的基本身家資料基礎下，用來預測未來表現的統計工具。其內容可包括「硬」檔案（如就讀學校、學術成就等）以及「軟」檔案（如個人喜好、興趣等）。為了塑造有效的個人檔案評量，須先蒐集資料，然後統計分析何種因素與之後的表現相關，這顯然是相當精密的行動，但不保證成功。

#### （五）評鑑中心法與工作樣本測驗

1. 一般對評鑑中心法抱持正面評價，認為此方法在性別或種族上並無負面影響，但有爭議的是，此方法在領導力上，無論是其表現的領導力之基本模式，以及就能力與行為而言所陳述的方式，還是帶有男性主導的觀點。
2. 工作樣本測驗和情境模擬法是評鑑中心法的一大部分，但它們也可作為單獨使用的工具。工作樣本測驗也常被認為是公平的，而且在某些案例中可做為傳統認知能力測驗之外的另一選擇。例如，建立收文或類似的個人決策演練，藉以評估智力與能力，並以實用的方法，應用在組織所關切的真實議題上做為樣本。
3. 評鑑中心法有高度的「面對效力」—也就是，它看起來就像在測量相關工作行為，一般來說，應考人會正面看

待評鑑中心法；然而，它會對失敗的應考人造成長期不利的心理影響。特別就高階管理群而言，評鑑中心法較少吸引力，特別是這層應考人較不希望自己的候選資格為人熟知。此外，少部份應徵高階職缺的應考人，可能因人數太少，以致於無法設置評鑑中心法，較適用的方法是個別決策演練，因為在大團體中，比起心理測驗，它較不會使候選人揭露太多個人資訊。

4. 工作樣本測驗對候選人來說，同樣有可信度和可接受度，作為單獨使用的工具，在遴選程序中，包含面試或人格問卷應該較便宜，特別若是它是被成套收買（如同很多實境模擬演練可做到的）。

這項研究報告最後並提出以下之建議，俾提昇測驗的效力：

1. 以精確且有系統的敘述手法來說明工作內容、資格條件，至少部分是依據相關職能。
2. 評鑑方法不再只有面試—還有心理計量測驗，以及條件許可下的工作樣本測驗。
3. 面試至少有部分包含結構式行為焦點訪談的方法，以及較長的訪談時間。
4. 對面試官進行各種新的任用方法的訓練。



### 參、法國高級文官考選制度

法國的政治體制是採中央分權制，傳統文官甄選方試，並非由某一機關固定辦理考試，各用人機關均可自行舉辦公開之人才招募考試；惟各機關辦理之考試雖尚能維持公平公正，但是，中央政府之高階文官難免會因出身於自己部會的考試，且經此部會中成長，而有形成特定團體利益集結與門戶之見及養成較強本位主義，致使各部會中高階文官間很難合作與協調等缺陷。

嗣國家行政學院成立，利用統一的考試與培訓，甄選出同質性的一群人分散至各部門，除可藉以打破門戶成見外，更有助於政府政策擬定與協調過程的順暢，提高政府內部的整合性。因此，本次考察參訪機關選擇「國家行政學院」及「預算、審計及公職部」，藉以從不同面向深入瞭解法國高階文官考選制度。

#### 一、國家行政學院

法國公務員的官等體系，由上而下分為 A、B、C、D 四個等級；雖然 A 級官是公務員體系中的最高層級，但卻不等於是最核心的高階文官，真正核心的高階文官是享有最高決策權，而且就一般行政官僚體系而言，他們都是通過「國家行政學院」之考試與訓練，然後再經歷多年的公職實務經驗，最後才能晉升為最高階的公務員。因此，要瞭解法國高級文官考選制度，對法國國家行政學院的組織、功能、招生程序、應考資格及相關的訓練期程、內容等加以探討是有必要。

##### （一）國家行政學院（ENA）組織概況

法國為達到以民主、公開透明的制度來遴選並培訓具有公共管理及各領域專業才能的國家級高階公務員，於 1945 年由戴高樂所領導的政府頒佈法令成成立「國家行政學院」，它隸屬總理府，設院長一名，其下分設有秘書處、學務處、實習處、永續培訓暨研究處及國際關係處等五個部門，永續培訓暨研究處下另有設行政研究暨專

業中心 (CERA)。目前該學院擁有兩座校區，校本部位於史特拉斯堡，另一校區位於首都巴黎市。ENA 大約有 200-220 名工作人員，惟僅設 2 名常設教師，分別負責法語教學及體育，另聘超過一千名客座教師負責教授相關課程，此外，還設有行政理事會，其成員來自國民議會、參議院及歐洲議會，主席則由行政法院 (Conseil d' Etat) 副院長 (最高行政文官) 擔任，理事會主席及成員係由部長會議 (Conseil des Ministres) 依法任命。法國多名政治人物如前總統席哈克、前總理戴維班及社會黨前總統候選人華雅爾女士等均出自該校。

## (二) 國家行政學院 (ENA) 功能

國家行政學院的組織功能為：

1. 培育法國國家級與世界級的高級公務員。
2. 短期與長期培育精進法國語之外國公務員。
3. 以跨校、跨行政部門、跨地域或跨國合作等方式，使學生得以接觸實務之公共管理與行政事務。
4. 專門出版發表以行政科學為主的學術文章。
5. 訓練學生熟悉歐洲問題及準備各種考試。

另該校在培訓學生時，非常重視下列兩個前提：

1. 專業前提：依照公部門所需求的領域，以一種全方位與跨部會的目的，培訓學生具備法律、公共金融、應用經濟、歐洲與世界問題研究、公共政策之地域整合、國家行政電腦化等方面之專業知識。
2. 公共行政前提：主要是針對在持續變化中的環境，傳授團隊管理、計劃管理、集體效率監測與評估、成本控管與人力管理等方面的知識。

在這兩種教學前提下，國家行政學院的學生得以透過觀察、個案研究追蹤和情境模擬行使職責等學習方式來建構學習內

容；另外，再配合聘請具有專家知識及團隊管理等實務經驗的教學主講人，來充分幫助學生，因而使國家行政學院成為一所應用學校，可以培訓出具備充分專業知識兼管理才能的行政官員。

法國國家行政學院對歐洲及國際的開放是其辦學計畫的一個重要軸心，這一開放的體現形式，不僅是接納外國學生和培訓學員，而且也包括在國外完成專家諮詢與支持任務，這是兩項發展迅速的業務。接納外國學生和培訓學員是國家行政學院自成立以來一項始終如一的工作，學院於 1949 年接納了第一名外國學生後，近 1990 年以來，其國際長期班便已錄取超過 700 名外國學生，這些外國學生曾與國家行政學的學生共享學業課程，如今已回國擔任重要職位。

法國國家行政學院為外國學生開設齊全而多樣的課程，其對象既可以是年輕大學生，也可以是資深公務員。學校為此提供以下三項長學制課程，課程教學在史特拉斯堡進行。

1. 國際長期班（18 個月）
2. 國際短期班（9 個月）
3. 公共管理國際班（6.5 個月）

其中國際長期班（18 個月）與國際短期班（9 個月）有助於來自五大洲的外國學生與法國學生之間進行難得的經驗交流，另公共管理國際班（6.5 個月）的學生亦來自不同國家，也能從此種知識與實踐的可貴交流中獲益。

### （三）國家行政學院（ENA）招生有關規定

#### 1. 考試類別

進入國家行政學院接受基礎課程訓練的主要管道，是參加國家行政學院每年定期舉辦的（1）外部考試，（2）內部考試，（3）第三考試等三類入學考試。不過，任何人報考這三類考試中任一種考試均不得超過三次，且報考這三類考試的總次

數不得超過五次。

上述三種入學考試的報名期限、考試日期與其他相關事宜，國家行政學院會公布在每年三月份出刊的法蘭西共和國官方公報上，在公報公布報考日期之時，國家行政學院即可受理報考申請。至於報名的方式，也會詳細公布在國家行政學院的網站上，應考人除可線上報名外，亦可於網站上下載報名資料，填寫完成後再將報名資料以掛號信件郵寄至位於史特拉斯堡校區之受理考試部門；或報考者可親自將報名表件拿到上述同一地點。

## 2. 應考資格

有關上述各種考試之應考資格概述如下：

### (1) 外部考試：

參加外部考試的考生必須具有法國國籍，或擁有歐洲聯盟會員國之一國籍；在考試當年一月一日時，年齡必須低於二十八歲；且至少必須持有一個大學、商業學校、工程學校、師範學校或各種政治研究院等高等教育學歷文憑（相當於大學畢業）。

### (2) 內部考試：

參加內部考試的考生必須具有法國國籍，或擁有歐洲聯盟會員國之一國籍；在考試當年七月一日時，年齡不得大於四十歲；且必須提出在考試當年十二月三十一日於包括地方政府、公務單位或跨政府組織等公家機關服務滿四年（不包括各種實習）之證明，但沒有學歷文憑的要求。此類考生有大學教授、中小學教師、派駐地方官員、中央政府各部會官員、軍人、醫院院長或博物館館長等。

### (3) 第三考試：

參加第三考試的考生必須具有法國國籍，或擁有歐洲聯

盟會員國之一國籍；在考試當年七月一日時，年齡不得大於四十歲；且必須提出在考試當年七月一日是非公務部門授薪人員或民選官員（包括全國性或地方性）至少一項或多項服務屆滿八年之證明。此類考生通常為醫生、記者、管理人員、企業高階人員、顧問、行銷主管、民選官員等。

### 3. 筆試應試科目

依據 2006 年三月二日公布之法令規定，國家行政學院各種入學考試筆試科目種類、考試時間以及各科目之比重如下表：

科目名稱		外部考試	內部考試	第三考試
公共法	試題題型	申論題	根據一份檔案 撰寫報告	根據一份檔案 撰寫報告
	考試時間	5 小時	5 小時	5 小時
	比 重	4	4	3
經濟學	試題題型	申論題	根據一份檔案 撰寫報告	根據一份檔案 撰寫報告
	考試時間	5 小時	5 小時	5 小時
	比 重	4	4	3

一般文化	試題題型	申論題	申論題	申論題
	考試時間	5 小時	5 小時	5 小時
	比重	4	4	3
歐盟相關問題或社會有關問題	試題題型	根據一份檔案撰寫報告	根據一份檔案撰寫報告	根據一份檔案撰寫報告
	考試時間	5 小時	5 小時	5 小時
	比重	4	4	3
選考科目	名稱	1、外國語（兩種語言翻譯）：德文、英文、古典現代阿拉伯文、中文、丹麥文、西文、現代希臘文、希伯來文、日文、荷蘭文與俄文。 2、技術科目：公務法、民法、刑法、人文經濟地理、歷史、政治學、社會學、企業財務與會計管理；資訊與通信科技、數學、統計學。	1、中央行政單位與各部門之管理 2、地方各單位之管理 3、公務機關之管理 4、教育系統之管理	1、組織社會學 2、企業管理 3、地方單位管理 4、社會關係
	考試時間	5 小時	5 小時	5 小時
	比重	2	4	3

#### 4. 口試評分項目

評分項目		外部考試	內部考試	第三考試
公共財政	考試時間	三十分鐘	三十分鐘	
	準備時間	十分鐘	十分鐘	
	比重	2	3	
國際問題	考試時間	三十分鐘	三十分鐘	三十分鐘
	準備時間	十分鐘	十分鐘	十分鐘
	比重	2	3	3
歐盟相關問題或社會問題	考試時間	三十分鐘	三十分鐘	三十分鐘
	準備時間	十分鐘	十分鐘	十分鐘
	比重	2	3	3
外國語文	考試時間	三十分鐘 進行非考生 所選的考試 語文朗讀、翻 譯與對話	三十分鐘 朗讀、翻譯與 對話	三十分鐘朗 讀、翻譯與對 話
	準備時間	十分鐘	十分鐘	十分鐘
	比重	3	3	3
面談讓主考官觀察考生的性格與入學意願	考試時間	四十五分鐘	四十五分鐘	四十五分鐘
	比重	6	6	6
體育	比重	1	1	1

## 5. 錄取名額

上揭三類管道錄取名額不定，每年約有 2,500 人報考，共錄取 80~90 人（以 2006 年為例，外部考試錄取 45 名，內部考試錄取 36 名，第三考試錄取 9 名），一經錄取則具有公務人員資格，外部考試錄取者，於受訓期間可實領月薪 2,100 歐元。

### （四）國家行政學院（ENA）入學準備考試

由於上述三種國家行政學院入學考試範圍很廣，應考人必須具備廣泛的文化素養，並且須要深入瞭解經濟、公共法、公共金融、各種社會問題、國際問題與歐洲問題等議題，通常應考人都需要有一至二年的考試準備，國家行政學院為使應考人得以熟悉入學考試試題（申論、試題紙格式、如何與主考官面談等等），在巴黎市與各地方設有共十二個特約準備考試機構（大多為政治研究中心與特定的幾所大學），提供應考人準備考試相關資料。

國家行政學院會定期舉辦內部考試與第三考試之預備考試，其辦理情形分述如下：

#### 1. 內部考試之預備考試

欲報考內部考試之現職公務員可以選擇全天上課或函授等兩種方式準備考試。

##### （1）採函授方式準備者：

得向國家行政學院之經濟管理與發展研究院購買準備考試須知及相關講義，並利用中午與晚間配合經濟管理與發展研究院函授進度準備；另外，此類應考人亦得申請七月份舉辦的快速準備考試方案與密集衝刺方案。

##### （2）採全天上課方式準備者：

可於每年十月份到隔年考試當年一月份，以網路線上或索取紙本資料方式向國家行政學院報名。國家行政學院會根據報名者所具備之資格條件予以分類審核；通過者，除了國家行政學院會參考其志願分發到七個考試準備中



心，進行為期一年或兩年由國家行政學院統籌之預備考試科目之研習外，期間亦得申請津貼補助與各種獎學金。

進行為期一年課程研習者，應具備之條件為：

- A. 須具備公務員身分或擔任公職屆滿四年
- B. 須具備教育部頒發之基本文憑、三級文憑、高等教育文憑或國外相當於法國高等教育文憑
- C. 須結業於有 A 等級公務員身分學校之經歷
- D. 於申請當年的七月一日年齡不超過 39 歲。

進行為期二年課程研習者，為所有不具備上述 B 項文憑及於申請當年的七月一日年齡不超過 38 歲。

## 2. 第三考試之預備考試

除了申請人須於私人機構服務或擔任民選官員屆滿八年外，其他條件規定與申請內部考試之預備考試者大致相同。至於欲參加外部考試者之準備方式，應考人得向國家行政學院之經濟管理與發展研究院報名函授，經濟管理與發展研究院將販售相關講義。

## (五) 錄取人員之培訓

由於國家行政學院以歐洲的行政管理第一學府自許，並且以於各地各階層執行國家政策自勉，故在訓練課程的設計上，不但要培養有能力確保國家機器良好運作之行政官員，且要使得畢業生擁有思考與預設各種狀況的能力，亦即，其訓練學生以專業與管理、理論與實務等為重點。

因此，三種考試管道之應考人在通過考試後，需接受為期 27 個月包含上課及實習的培訓課程。另外，受訓學員在校期間會接受三次性向測驗，第一次在學員入學後不久，第二次於學業當中，最後一次在學業結束之前；這可使得學員很清楚自己未來職業生涯的方向，因而，畢業生在選擇出路時，大都以部門團體為方向，

而非以職位為考量。

有關上課課程，是於每年 1 月開始，其主題可分為歐洲、本國領土及公共管理三階段，每階段各 8 個月，最後 3 個月為專業選修，學生可選擇加強國際、經濟暨財政、社會、國土及法律等方面議題。

至於實習，因其目的是為使學生在結業後即可自如應對各種面臨的狀況，故實習都以分發到各部會實際參與工作，並由相關部會高階官員擔任指導員。

#### (六) 學員身分與薪給

應考人自考上國家行政學院後，便享有公務員身分，為實習公務員，因此享有國家公務員薪俸，同時學員也應當履行公務員的義務，在結業之後，均應在公家單位最少服務 10 年。有關學員的薪俸約如下：

1. 通過外部考試學員 1,370 歐元/月
2. 通過內部考試學員 2,100 歐元/月
3. 通過第三考試學員 2,100 歐元/月

#### (七) 學員出路

國家行政學院結業生得在法國與法國以外的國家選擇多達十一種不同類別的工作，在不同類別的工作間，不但可以相互流動調任，整個公職生涯的經驗與資歷亦可累積。結業生可以選擇的工作類別有下列數種：

##### 1. 高等司法人員

此類別的工作內容又可分為：

- (1) 法國最高行政法院助理辦案員，其資歷較淺者，均於訴訟部門開始辦公。
- (2) 法國審計院助理稽核，其工作是審查公部門會計單位所記的帳。

## 2. 監督團成員

此類別的工作內容又可分為：

- (1) 財政視察（身分為副稽查員），擔任此職務者，得參與各種行政部門與金融單位的稽查、核對與檢查任務。
- (2) 行政體系整體工作視察（身分為副稽查員），擔任此職務者，得參與各種行政部門與金融單位的稽查、核對與檢查任務，且多半為內政部裡的稽查工作。
- (3) 公司整體事務視察（身分為副稽查員），擔任此職務者，掌握著國家社福行政部門（包含社會保險）之機能。

## 3. 外交領事使節團

在外交領事使節團工作的身分為外交事務顧問，擔任此種職務者，大多服務於法國駐外外交單位（大使館或領事館），但其公職生涯中也有部分期間，會參與外交部中央行政的運作。

## 4. 行政審判與地方審計法院顧問

- (1) 在行政法庭擔任顧問，負責司法裁量的工作。
- (2) 在地方審計法院擔任顧問，負責地方行政區及其所屬相關機構帳務審查工作。

## 5. 內政官員與專區區長

- (1) 內政官員團團員：國家行政學院將近一半的結業生會被延攬到各個部會或中央政府秘書處。負責準備法案及執行政府政令。
- (2) 專區區長：內政官員團團員隨時得派駐至省級單位擔任部門官員，省或專區區長、秘書長。

## 6. 巴黎市行政部門官員團

擔任此項職務者，即為巴黎市行政團隊的一員。

## 二、預算、審計及公職部

法國公務人員之進用，除了國家行政學院的管道外，各部會亦可自行辦理人才招募，現今法國之整體公務員中，約有 48% 之人員係由「預算、審計及公職部」（以下簡稱「公職部」）所辦理錄取的，故同一部門之公務員可能參加不同主辦考試單位所辦理之考試分發任用，考試分發係依名次排序。

法國「公職部」之成立，係因法國規定所有涉及公務員事項之法案，凡是會發生直接或間接之預算效果者，必須經由財政部部長副署，但是除了與預算相關之統合管理外，仍有其他需要統合之事項，所以自 1945 年創設了一個嶄新的統合組織，並經多年之演變至當今的「公職部」。

公職部通常一年舉辦一次考試，每次辦理之考試均分筆試及口試，先進行筆試，筆試通過後再進行口試；部分性質特殊之考試（如警察考試），以前亦針對體能進行評定，惟現今已取消該體能測驗；部分考試亦會參採心理測驗之報告，以為遴選依據。

通常筆試科目依職務性質而異，大致約有 2 至 3 科，目前仍研擬再減少筆試科目；試題則均為臨時命題，並未建立題庫；另傳統之考試科目中，除了專業能力外，較注重應考人之文化素養，因年輕人缺乏文化資本，且法國國家政策是包容各種移民與世代，所以將法國歷史列入考試科目，對新移民來說是困難的，近來擬放寬文化的限制。

筆試評閱結束後，部分應考人得以進入第二階段之口試，惟此部分由委員決定其比例，並非固定，故委員們掌有極大的權力。口試並無結構化之評分項目，口試委員在進行口試前先商定評分之項目，即不同的考試可能有相異之評分項目，隨即訂定評分標準。同一考試區分若干組進行口試，若各組平均分數存在差異，則進行分數的調整，使各組平均分數趨於一致，倘由兩位以上之

委員評閱不同應考人之同一筆試科目，亦採用前述之方式予以調整，俾達到其所謂形式上之公平。口試成績所占之百分比，並無規定，視錄取人數決定錄取標準。

在法國委員名單是公開的，而且在考試前即已得知，因其係由一群委員共同決定試題，非由一人決定，雖存在委員是否應迴避之疑慮，但完全相信委員。命題、閱卷委員如此，口試委員亦相同，口試委員在口試前經過訓練後，加上原已具有的專業，3至4名委員一起面試，亦無法由一人操縱評分結果，其或許為法國能完全公開委員名單之原因。

應考人在考試後若對試題有疑問亦可提出試題疑義，考古題被公布供應考人參考，試務委員會亦予網路上提供較好之作答內容，但其並非官方之答案，僅供參考。榜示後應考人若對評分結果不服，亦可依規定提出行政救濟，試務委員會將先視評分是否錯誤，或存在任何人為或形式上之疏誤，原則上均尊重委員之專業性，此點與我國頗為類似。

## 肆、心得與建議

本次赴英、法參訪，各項行程由外館悉心聯繫安排，得以順利拜會，實地與相關機關代表會晤，深入訪談並相互交換意見，獲益甚多。有關本次參訪心得與建議如下：

- 一、目前我國國家考試之辦理方式有筆試、口試、測驗、實地考試、審查著作或發明、審查知能有關學歷經歷證明等，上述各種方式業已供現今各項國家考試之舉行，且行之有年，為國選擢無數人才。本次參訪英國高級文官之考選制度，瞭解到該國之考選機制中，採用了心理評量測驗此一方式，該方式並提供實際情境之模擬測試，作為是否適任之參考依據，實具我方參採之價值。雖然目前我國採用之團體討論，類似模擬情境，但英國之實際情境之模擬，並未侷限於會議中的討論，舉凡公務職場中所可能遭遇之情形，均在其模擬之範圍。心理評量測驗之運用於高階文官甄選，其目的即在於高階文官之遴選標準包含了心理層面，而非傳統紙筆或口試的方式可測得，國家考試若能採取此種測量評選方式，將是國家考試之一大突破。
- 二、英國高級文官之考選均以面試辦理，無紙筆測驗，用人機關委託人力召募公司協助辦理甄補作業。人力召募公司依其與用人機關商討後之資訊，設計一套篩選方式，以期能選出最適任之人才。人力召募公司經與用人機關會同測試所有候選人後，提出報告於用人機關，該份報告雖包含所有候選人經評量後之成績排名，惟提供於候選人之報告係屬候選人與擬任職務之間的比較，而非全部候選人之排名，簡言之，即為候選人與擬任職務之間適任性的分數。基於此種觀念之啟發，對長久以來以筆試之分數結果做為名次排列依據的國家考試，建議適度加入適性評量測驗，在現有的考試技術與考場設備下，若能加入前開

測驗評估結果，當能舉拔更適任之人才，蔚為國用。

三、目前我國各項國家考試所遴聘之委員名單，均未予公布週知。按典試法及其施行細則之規定，該等人員之資格、職責、迴避及嚴守秘密等事項，均應受其規範。而法國於考試前即公布命題委員、閱卷委員或口試委員之作法，依本國國情尚不適合。另法國有關試題疑義之處理，與榜示後應考人採取救濟之作法，與我國類似，顯見我國國家考試常久以來，除能維持其公平公正之原則外，其嚴謹的制度亦能與先進國家同步，深得信賴與支持。

四、當今我國國家考試採行口試之作法，依口試規則第3條之規定，得依考試等級、類科、應考人數、時間分配，分組舉行。無論個別口試、集體口試或團體討論，均明訂其評分項目及配分，且應考人之口試成績，以該組口試委員評分總和之平均數為其個別口試、集體口試或團體討論實得成績。惟口試委員均尚未能具備口試專業之訓練，又或因個人之主觀評分因素，導致應考人為分組進行口試，有評分標準不一，致考試不公情事產生之質疑。法國考試階段之口試，如採分組辦理，將依各組之平均分數予以調整每位應考人之分數，使各組之平均分數為一致，此種作法對於解決前開質疑情事，容或有酌衡借鏡之價值。

## 參考資料

- 一、Civil Service Commissioners' Guidance on Senior Recruitment (高級文官甄補指導綱領)。
- 二、Professor Clive Fletcher  
Final Report on a Research Study Relating to Effective Selection of Staff for Senior Posts in the Civil Service  
(最終報告－有效遴選高級文官之研究)。
- 三、法國國家行政學院及其各類國際班簡介。
- 四、法國國家行政學院 2005 年年度報告。
- 五、法國國家行政學院(ENA)2007 招生簡介。



## 考察英國、法國高級文官考選制度行程表

日期	行程	備註
12月10日 (星期三)	由台北前往英國倫敦	
12月11日 (星期四)	訪問英國文官委員會辦公室 (Office of Civil Service Commissioners)	
12月12日 (星期五)	訪問MENDAS公司僱用及評估部門(Recruitment and Assessment Services)	本日原訂行程因受訪單位時間因素臨時提前至12月11日
12月13日 (星期六)	整理參訪資料	
12月14日 (星期日)	從英國倫敦啟程前往法國巴黎	
12月15日 (星期一)	訪問法國國家行政學院 (École nationale d'administration, ENA)	
12月16日 (星期二)	訪問法國「預算、審計及公職部」所屬「公職行政處」 (DGAFP)之「公務員聘用與培訓辦公室」(Bureau des politiques de recrutement et de formation)	
12月17日 (星期三)	整理參訪資料	
12月18日 (星期四)	從法國巴黎搭機返國	
12月19日 (星期五)	返抵台北	

CIVIL SERVICE COMMISSIONERS'  
GUIDANCE ON SENIOR RECRUITMENT

4th Edition - June 2005  
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## PART 1: INTRODUCTION

### Purpose of Guidance

1.1 This is a procedural guide for departments and agencies on carrying out recruitment from outside the Civil Service for those senior appointments which require the approval of the Civil Service Commissioners. It replaces the previous edition of this guidance dated April 1999.

1.2 It is in three parts:

- Part 1 explains the purpose of the guidance and the appointments it covers;
- Part 2 deals with recruitment through open competition;
- Part 3 covers appointments that can be made other than through selection on merit on the basis of fair and open competition.

1.3 This guidance should be read alongside the Civil Service Commissioners' *Recruitment Code* which explains the legal requirements of the Civil Service Order in Council 1995, interprets the recruitment principle and explains how it should be applied, and describes the circumstances when appointments can be made other than by application of the recruitment principle. All appointments to the Civil Service, including ones to senior posts, must be made in accordance with the *Recruitment Code*.

### Enquiries

1.4 The Office of the Civil Service Commissioners (OCSC) can help with queries about recruitment to senior posts and the recruitment principles in general. A list of contact points is at Annex A.

### Posts requiring Commissioners' approval

1.5 Appointments to posts at the most senior levels in the Civil Service and to certain other specified posts, detailed at Annex B, require the specific written approval of the Civil Service Commissioners. The only departure from this general requirement is for appointments of less than twelve months, their exceptional extension up to 24 months and inward secondments of up to 24 months; in these cases, departments and agencies may make appointments, in accordance with the *Recruitment Code*, without the approval of the Commissioners.

1.6 Only appointments to situations within the Home Civil Service or Diplomatic Service are covered by these procedural rules. The approval of the Commissioners is not therefore required for:

- appointments to the boards of public bodies (which fall under the remit of the Commissioner for Public Appointments);
- staff appointments to public bodies, unless the staff are civil servants;
- the appointment of certain senior statutory office holders. Where, however, an office holder acts under a government department (rather than independently) the post is likely to be within the Home Civil Service. In cases of doubt, consult the OCSC.

## PART 2: CARRYING OUT OPEN COMPETITION

### The Role of the Department or Agency

2.1 Responsibility for making senior appointments lies with the department or agency concerned except in the case of Head of Department appointments, where the Cabinet Office will organise the process. Departments may choose to conduct competitions themselves or they may opt to use executive search or recruitment consultants. In the latter case, the specification for the consultant must comply with the Commissioners' *Recruitment Code*.

2.2 The following guidance describes broadly how the Commissioners will expect to be involved and the information they need, any other clearances that the recruiting department or agency needs to secure, especially from the Cabinet Office, and the procedures which should be followed. This guidance should be read alongside "A Checklist of Processes for Senior Appointments" available from the Cabinet Office Corporate Development Group.

2.3 A checklist with an outline timescale is at Annex C, and a flow chart showing the main stages is at Annex D.

### Participation of the Civil Service Commissioners

2.4 The Civil Service Commissioners should be consulted at the earliest possible stage once a department or agency decides to recruit from outside the Civil Service for a post requiring the Commissioners' approval (see Annex B). The Commissioners will want to be satisfied that appropriate recruitment procedures are used, in accordance with the *Recruitment Code* and this Guidance.

2.5 For these posts they will:

- take part in the drafting of the job and person specification and approve the final versions;
- approve the advertisement and the media to be used;
- chair the selection panel throughout and possibly take part in other aspects of the selection process;
- provide written approval at the end of the competition.

2.6 In some instances Commissioners may be prepared to agree that a department or agency may carry out a competition without their direct involvement. In deciding whether or not to give their agreement, the Commissioners will take account of how much contact the post holder is likely to have with Ministers, how high the post's public profile is, and the experience and record of the recruitment unit in carrying out Commissioners' recruitment.

2.7 To enable decisions to be reached in such cases, departments and agencies will need to provide information on the job and person specifications; the proposed advertising arrangements and selection procedures; the proposed role of any recruitment / search consultants, and arrangements for overseeing their contribution; and the proposed make-up of the selection board.

2.8 Where the Commissioners decide not to be involved, approval will be given at the outset for appointment to be made from the competition. This will be on the condition that the agreed procedures will be followed. The department or agency will be required to complete and return to the Commissioners at the end of the competition a report form on the outcome (see Annex E) so that the Commissioners can account for all recruitment that falls within their sphere of responsibility.

## Checks with Cabinet Office and HM Treasury

2.9 The Senior Secretary of the Senior Leadership Committee (SLC) should be consulted on all appointments to "SLC Group" posts – ie all SCS Payband 3 posts and above. The Treasury should be consulted as early as possible about prospective appointments to Accounting Officer posts (including certain agency Accounting Officer) - see 4.1 of Government Accounting: the Treasury Officer of Accounts can provide an initial point of contact. Where a post with Accounting Officer responsibilities is being filled, the ability to undertake these duties is a key consideration. The Cabinet Office Corporate Development Group should be informed about Agency Chief Executive appointments.

2.10 For posts in the Senior Civil Service, departments and agencies have discretion to advertise and pay to external appointees salaries up to the target rate of the relevant pay band without the need for central approval to the pay terms. Where departments and agencies perceive a need to advertise a rate of pay which exceeds the relevant target rate, because there is a premium in the wider market for the skills and expertise required, they will need first to obtain approval from Cabinet Office Corporate Development Group. Departments and agencies need to demonstrate that such cases are exceptional given the general presumption that internal and external appointments should be accommodated within the relevant pay bands. For Permanent Secretary posts, departments will need to obtain the Head of the Home Civil Service's approval to the rates of pay to be advertised and offered.

## Confidentiality

2.11 The strictest confidentiality should apply at all stages of senior recruitment competitions. External and internal applicants may be seriously embarrassed if the fact of their candidacy becomes known prematurely (or at all, if they are unsuccessful). One senior person within the department or agency should oversee the whole selection process and act as a contact point for candidates. Papers should not be copied more widely than is strictly necessary. References, including appraisal reports from other departments, should not be taken up without the candidate's permission.

## Equal Opportunities

2.12 For all appointments requiring Commissioners' approval, equal opportunities data should be collected for gender, ethnic origin and disability showing how all applicants fared at each stage of the selection process with reasons for selection and rejection. This is required by the Cabinet Office as well as for departments' and agencies' own monitoring.

2.13 At the outset of the recruitment process departments and agencies should consider the arrangements for any disabled candidates. The Civil Service Order in Council contains special provisions to allow some (limited) departures from the recruitment principles for disabled people, in line with Civil Service policy. For example the department or agency may guarantee an interview or modify other selection arrangements for disabled candidates. Further guidance on recruitment of disabled candidates is given in Part 2 of the *Commissioners' Recruitment Code*, and in the *Guidance for Civil Service Departments and Agencies on using the Employment Service Disability Symbol Positive About Disabled People* (which contains advice on the implementation of a Guaranteed Interview Scheme for Disabled People), which is available from Civil Service Diversity Website.

## Involvement of Ministers

2.14 Ministers, including Scottish Ministers and the First Secretary and Assembly Secretaries of the National Assembly for Wales, may have a particular interest in appointments to certain posts. That interest must be accommodated within a system which selects on merit, is free from personal or political bias and ensures that appointments can last into future Administrations. This section sets out the way in which Ministers may be involved in the selection and appointment processes. No procedures for determining selection additional to these may be used without the express approval of the Commissioners.

2.15 If the post to be filled is one in which the Minister is interested, it is essential to agree with the Minister at the outset the terms on which the post is to be advertised, the job and person specifications and the criteria for selection. The composition of the selection board, and in particular the choice of external members, may also be agreed with the Minister against specified relevant criteria.

2.16 It is important that the department or agency ensures that it uses appropriate selection techniques to identify suitable candidates. If search consultants are being used it may in some cases be helpful for them to see the Minister. The Minister should be kept in touch with the progress of the competition throughout, including being provided with full information about the expertise, experience and skills of candidates on the long and short lists. The Minister cannot interview the candidates or express a preference among them. Any further views the Minister may have about the balance of the expertise, experience and skills required for the post should be conveyed to the selection panel.

2.17 The candidate recommended for appointment must be the one placed first in order of merit by the selection panel. It is perfectly acceptable for the Minister to meet the lead candidate before deciding to approve the appointment but only that candidate may normally be appointed unless he or she turns the job down, in which case the position may be offered to reserve candidates above the line in order of merit. The Minister cannot pick and choose among the candidates.

2.18 For "SLC Group" appointments approval from the centre is also required (see paragraph 2.38).

2.19 In a rare case, where, despite having been kept in touch throughout, the Minister does not feel able to appoint the lead candidate, he or she must refer the matter back to the selection panel with his or her reasons. If, in the light of this explanation and having reviewed the balance of the selection criteria, the panel is minded to revise the order of merit and recommend another candidate from amongst those previously considered appointable, it must refer the case to the Civil Service Commissioners for their collective approval.

2.20 The Commissioners may either approve the submission of an alternative candidate or take the view that the original order of merit should stand. If the latter, no appointment on merit other than that originally recommended by the panel can be made as a result of this competition. If a fresh competition is to be run, it will need to be advertised with a different job and/or specification and/or salary.

2.21 There is a limited provision under the Orders in Council that enables the Commissioners to approve, in exceptional circumstances, the appointment of a candidate selected under open competition but not first in order of merit. The Commissioners would need to be satisfied that there were valid and exceptional reasons relating to the needs of the Service for such approval to be given.

2.22 The Commissioners will record in their annual report the number of cases referred to them under paragraphs 2.19 – 2.21.

## ***Advertisement and Job/Person Specification***

2.23 The Civil Service Commissioners and, where they are used, the search consultants (see paragraphs 2.25 and 2.26 below) should be involved in drawing up the advertisement and the job and person specifications. They will look particularly at the following important factors:

- **Terms of appointment.** Where appointments are on a fixed term basis, the advertisement should state the length of the contract, whether or not it is renewable or convertible to permanency, and/or offers any prospect of movement elsewhere in the Civil Service.
- **Experience and skills required.** Some senior posts attract very large numbers of applicants and a clear statement of the skills and experience needed will attract more realistic applications and make sifting easier. On the other hand, the experience required should not be specified so narrowly as to restrict the field unnecessarily or artificially. A clear specification of the job to be done and of the skills, qualities, experience and qualifications sought is vital. The matrix of core criteria for Senior Civil Service posts at Annex F should be used to clarify the requirements for particular appointments. The criteria for selection should be clear from this specification.
- **Remuneration.** In the interests of fairness, the advertisement taken together with the supporting literature must make clear what the true position in relation to remuneration is going to be. To advertise a job at one salary and then finally settle at a much higher salary fails to meet the requirement for openness and would be unfair to potential applicants, and it might short change the department since the higher salary might have attracted a better quality field. References to salary can be expressed in terms of a range or upper limit. It should also be clear whether it includes bonus, pension provision or other benefits. If the department needs scope to settle above the quoted salary then the advertisement must carry the words "more may be available to an exceptional candidate". Where it is intended to apply this flexibility, the approval of the Cabinet Office Corporate Development Group will be needed.
- **The description of the role of the Commissioners.** For competitions they chair, Commissioners would expect candidates to be given an explanation of the role of the Commissioners and a copy of the Civil Service Code so that candidates appreciate the constitutional framework in which all civil servants work and the values they are expected to uphold. Annex G offers model paragraphs to be included in the information pack for candidates.

## **Selection**

2.24 The traditional process of selection at this level following advertisement has been by paper sift followed by a board interview. But other approaches should be considered for two reasons. In the first place, the traditional process may not provide sufficient information in particular cases on which to base a selection decision. Given the size of the investment, consideration of further assessment techniques is strongly recommended. Recruitment agencies will be able to offer advice on which to use. Secondly, outside candidates will often be used to a less formal approach involving, probably, several one-to-one interviews and may find Civil Service methods offputting. Where it is particularly important to encourage applications from outside candidates, therefore, other approaches may again be considered, so long as they can be seen to be strictly fair. Options for consideration include:



- using search or recruitment consultants or members of the selection panel (including the Commissioner involved) or both to hold preliminary interviews with long-listed candidates (see paragraphs 2.26 – 2.27);
- using an assessment centre where short-listed candidates can be given a range of different kinds of relevant tests eg structured interviews, psychometric testing, written exercises, presentations, and group exercises. This has been used successfully for more junior posts; at the most senior levels psychometric testing is sometimes used but group assessment work is more unusual;
- using an occupational psychologist to interview short-listed candidates in depth;
- giving long or short-listed candidates an opportunity to meet key people in the department. This is very important for senior people: elsewhere in the public or private sector it would be rare for new members of a team to be recruited without a thorough briefing on the operation and ensuring that they would fit in with the organisation. Feedback from such briefings may be made in confidence to the selection panel though it should be remembered that the purpose of the meeting is to give the candidate the opportunity to find out more about the job and the organisation, not to interview him or her;
- a series of one-to-one interviews with individual members of the selection panel concluding with a meeting of all panel members to compare assessments and decide on the merit order.

2.25 Whatever methods are used, departments and agencies should take care to see that they are applied to all candidates equally. For posts at this level of seniority, departments and agencies should participate in all sifts, even if the recruitment process itself is contracted out. Where there are preliminary interviews of any kind, the results should always be put to the full sift or interview panel before any candidates are eliminated.

### Search Consultants

2.26 For senior appointments, the use of executive search consultants has become more common and indeed for many appointments it may be difficult to attract a good field only through advertising - at senior levels people often expect to be approached. Nevertheless, using search alone will not be sufficient to satisfy the fair and open competition rules: there must also be an advertisement. A search can tap into a field of people who would not respond to an advertisement and can enrich the field of women, ethnic minority and disabled candidates. The consultants can in any case usefully be brought in at an early stage to contribute to defining the job and person specification (see paragraph 2.23 above). They can also interview search and advertisement candidates and thus add to the information available. Search consultants can either be retained to carry out the whole process including placing the advertisement, or to do the search alone with the advertisement handled separately. Different search consultants will offer a different range of services. Enough time must be built into the selection process to allow the consultants to undertake an effective search and any interviews with individuals.

2.27 Guidance on using search consultants is available from the Cabinet Office Corporate Development Group. The Cabinet Office has also introduced a central framework agreement with a number of search consultants which Departments and agencies can use. Departments and agencies using search consultants should take care that advertisement candidates are treated equally with search candidates throughout. In particular common criteria must be applied. The search consultants should not be present at the final interview, though it may be helpful to have

them available at the end of the day to discuss arrangements for notifying candidates of the outcome.

## The Selection Panel

2.28 Where the Commissioners participate directly in the selection procedures the Commissioner will chair the panel. Selection panels for "SLC Group" posts are normally chaired by the First Commissioner. Where the Commissioners do not participate directly in the selection process departments and agencies should make arrangements to provide a chairperson competent in selection interviewing.

2.29 Board members should be identified as early as possible so that they can be involved in all stages of the selection process. Boards for "SLC Group" and some other senior posts usually consist of four or five members: more should not be necessary and is likely to result in a less productive final interview with candidates. There are usually two departmental or agency representatives, but it is preferable that the current incumbent of an advertised post should not be a member of the panel so as to avoid the panel being unduly influenced by the approach of the current postholder. At these levels there should always be someone from outside the Civil Service, perhaps representing a customer interest, on the board. Care should be taken however to identify outside members whose knowledge of candidates is unlikely to cause embarrassment. Retired civil servants may be invited to serve on boards in appropriate cases but should not normally have been retired for more than five years. Board membership of three or four is more common for lower level boards but again outside representation is desirable. For professional posts, the Head of Profession or a representative should be invited to participate. Both men and women should be represented on the board as well as ethnic minorities if possible. Some departments are experimenting with the inclusion on the board of a reportee to the post being advertised.

## Short-listing

2.30 Before the short-listing, all applicants should be sorted into three categories based on suitability for appointment: A - strong runners; B - of possible interest; C - out of the running. Brief details should be recorded on each candidate (for example in a summary table) including the category in which each has been placed and the reasons. The summary table and all papers including CVs and application forms should be made available to board members at least 2-3 working days in advance of the sift.

2.31 As far as possible the same panel should be used for sifting and for the final interviews and the sift panel should always include a departmental representative. For the more senior posts, or if there are fairly large numbers of promising candidates, a preliminary sift may be necessary to produce a "long list" of candidates on whom enquiries or interviews have to be carried out before deciding the final short-list. Sift panels should settle at the outset the criteria and relative weighting to be used in selection, which should be consistent with those set out in the advertisement and accompanying literature. Those short-listed for interview should always be candidates with a realistic chance of being judged appointable. Three or four candidates will usually be enough to offer the board a satisfactory choice.

## The Final Interview

2.32 It is not necessary for the final interviews all to take place on the same day. They may be spread over several sessions if this is more convenient for candidates and practical for board members. The board chairperson will agree a structure for the interviews with board members. Where board members have been involved in preliminary interviews with candidates, they may be able to suggest points to be pursued. An *Aide-Memoire for Board Members involved in Senior Recruitment*, at Annex H, offers notes for guidance on the conduct of interviews and copies should

be provided for members with the board papers.

## Board Proceedings

2.33 The panel operates as a college in making its decisions and its recommendation is a collegiate one. Taking all the evidence into account, the panel should establish which candidates are suitable for the job. It should then place them in an order of merit. If the leading candidate turns the job down, it can be offered to the reserves in merit order. The chairperson will record the board's findings with the reasons for the decisions reached on each candidate. The proceedings of each selection panel, including the written records, are confidential, but may have to be produced in Employment Tribunal hearings if an unsuccessful candidate lodges a complaint of unlawful discrimination. Information produced by the board may also be discloseable in accordance with the Freedom of Information Act 2000.

2.34 The remuneration package is not normally discussed at interview since this is for the department or agency to settle with the successful candidate afterwards. But where the post has been advertised on the basis that more may be available to an exceptional candidate and it is known that particular candidates will not be available without invoking this extra percentage, it is helpful if the selectors, having established the order of merit, indicate whether in their view such a candidate is worth more in relation to others lower down in the order of merit. If the candidate is not prepared to take the job for the salary the department or agency then decides to offer, the department or agency will be able to approach the next person in order of merit. It is important however that value for money considerations do not influence and distort the original order of merit.

## After Interview

2.35 Where a Commissioner has chaired a board he or she will write to the department or agency recording the outcome. This letter will also form the Commissioners' authority for the department or agency to appoint. Where the Commissioners have approved selection arrangements at the outset, that approval will also constitute the Commissioners' authority for appointment to be made (see paragraphs 2.6 – 2.8).

## Appointment Process

2.36 It is for the department or agency to make the appointment subject to the necessary clearances. The department or agency does not have to make any appointment. It can only go down below the lead candidate if it is not possible to reach a satisfactory agreement with that candidate. For cases where Ministers are involved see paragraphs 2.14 – 2.22.

2.37 It is also for the department or agency to settle the remuneration package with the lead candidate. A clearly identified individual should be responsible for negotiating terms with the successful candidate, normally the Permanent Secretary or Director of HR in departments and the Senior Secretary to SLC on behalf of the Head of the Home Civil Service for Heads of Department. The person negotiating terms will need approval from the Cabinet Office Corporate Development Group if the starting salary is above the target rate of the relevant band. The Commissioners should be kept informed because they will need reassurance that it stays within the terms of the original advertisement. The Commissioners should, in any case, be notified of the terms finally agreed (see paragraph 2.40 below).

2.38 The reserve candidates may not be told the outcome until it is clear that the chosen candidate will take up the job and any necessary clearances have been obtained (see paragraph 2.39). But candidates who are clearly unacceptable should be told straight after the panel has concluded its

business. This will normally be done by the department or the recruitment agency. Unsuccessful candidates should be treated sympathetically and, if they ask for feedback, it should be given.

## Clearances

2.39 Appointments to "SLC Group" posts require the approval of the Head of the Home Civil Service and the Prime Minister, and departments should consult the Senior Secretary of SLC on such appointments. For Agency Chief Executives and for "SLC Group" posts departments will need the agreement of their own Ministers. Departments and agencies should reach a provisional agreement with the candidate before getting these approvals but they cannot finally appoint until all the necessary approvals have been given.

## End of Competition Report

2.40 Once it is clear that the lead candidate will be appointed, the End of Competition report (Annex E) should be completed and sent to the Commissioners (see address in Annex A). This will enable the Commissioners to report on all appointments they are required to approve. When remuneration negotiations are subsequently completed - which may sometimes be a matter of several months - the final section of the End of Competition report should be completed and returned.

## Pre-appointment Checks

2.41 These are the employing department's or agency's responsibility and they must satisfy themselves as to a candidate's eligibility for appointment on such matters as security, health, character, nationality, and any potential conflict of interest with the job to be done (see the *Civil Service Management Code*).

2.42 Once checks are completed the successful candidate must be asked to sign a formal contract. Model contracts are available from the Cabinet Office Corporate Development Group.

## PART 3: SENIOR APPOINTMENTS OTHER THAN THROUGH SELECTION ON MERIT ON THE BASIS OF FAIR AND OPEN COMPETITION

### Circumstances and information required for case to be considered

3.1 The Orders in Council enable the Commissioners to approve some appointments other than by application of the fundamental principle of selection on merit on the basis of fair and open competition. Details are set out in Part 2 of the *Civil Service Commissioners' Recruitment Code* and apply to all appointments including senior ones. Accordingly, this guide should be read in conjunction with the *Recruitment Code*.

3.2 Apart from short-term appointments of less than 12 months, their exceptional extension up to 24 months, or secondments of up to 24 months, all appointments made other than by application of the recruitment principle to posts specified in Annex B require the written approval by the Commissioners. If a department or agency proposes to make such an appointment, they should consult the Commissioners (copied to the Cabinet Office Corporate Development Group where appropriate) at an early stage to obtain agreement in principle. They should set out the reasons why an appointment as an exception to fair and open competition and selection on merit is justified and give the following details:

- the job and person specification for the post, including job title, grade level and location;

- the candidate's application form or CV showing name, date of birth, qualifications and experience and relevant current or previous experience;
- how the candidate was identified (enclose a copy of any advertisement);
- how the candidate was assessed as suitable (enclose any sift and selection reports);
- the type of appointment (eg permanent, secondment, fixed term) and length of appointment and date of commencement if for a fixed term;
- the remuneration package (include base salary, additional performance pay or bonus, pension provision, relocation etc).

3.3 Particular points to note on the use of the exceptions in relation to senior posts are as follows:

- **Inward secondments** (see para 2.32 of the *Recruitment Code*) Departments and agencies should consult the Civil Service Commissioners for any secondments expected to extend beyond two years (copied to the Cabinet Office Corporate Development Group for secondment to “SLC Group” posts) before any selection arrangements are put in hand, so that they can agree the proposed procedures for identifying a field of candidates. Where a department or agency wishes to maintain a programme of secondments, they may seek the Commissioners' agreement to arrangements for such a programme instead of making a separate case each time. A case must always be put to the Commissioners in advance if it is proposed to extend a secondment beyond five years, or if conversion to permanency (or fixed term appointment) or transfer to a different post is being considered.
- **Re-appointment** ( see para 2.33 of the *Recruitment Code* and, where appropriate, the procedure set out in the checklist for Senior Civil Service posts). For re-appointments where the level of appointment is higher than at the time of resignation, the Commissioners may want to participate in the assessment process.
- **Disabled candidates** (see paras 2.45 – 2.49 of the *Recruitment Code*) If a successful disabled candidate has been offered any special arrangements not available to other candidates the appointment must be approved as an exception to fair competition. For boards chaired by the Commissioners, they will take responsibility for doing this. Where the Commissioners have authorised a department or agency to run the whole selection process, the end of competition report must show that this exception has been used.

**Exceptional arrangements reserved for the Commissioners** (See paras 2.43 – 2.44 of the *Recruitment Code*)

3.4 Use of the two further categories of exceptions, which can be exercised only by the Commissioners and solely for the appointments described in Annex B, is expected to be rare. Decisions must be taken collectively by the Commissioners, and recorded in their annual report.

#### *Proven Distinction of the Person*

3.5 The case must show that a waiver of open competition can be justified for exceptional reasons relating to the needs of the Service and the proven distinction of the person.

#### *Appointment not in order of merit*

3.6 This is designed to deal with a situation where a Minister wishes to appoint another person who has been assessed in open competition as suitable, but not as the best candidate, for reasons which the Commissioners regard as legitimate. The department or agency would need to set out for the First Commissioner the reasons why the alternative candidate was preferred. These should

be based on the requirements of the job and "exceptional reasons relating to the needs of the Service". Personal chemistry would not be an acceptable reason, nor clearly would political stance.

### Exceptions outside the Commissioners' Recruitment Code

3.7 Articles 6 and 7 of the Order in Council set out the categories of permitted exceptions. The Commissioner's *Recruitment Code* covers the most common circumstances under which exceptions can be made. However, the Code cannot cover all eventualities and the Commissioners have discretion to approve exceptions in other circumstances, provided they fall within the scope of the Order. Departments and agencies may put specific cases to the Commissioners. Such requests are expected to be rare.

ANNEX A

OFFICE OF THE CIVIL SERVICE COMMISSIONERS

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Contacts for competitions chaired by Commissioners

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## ANNEX B

### SENIOR APPOINTMENTS REQUIRING THE COMMISSIONERS' APPROVAL

The approval of the Civil Service Commissioners is required for the following appointments and any subsequent extension (apart from appointments of less than 12 months, extensions of these appointments up to a maximum duration of 24 months, and secondments of up to 24 months):

- Permanent Secretary
- Appointments in Pay Band 2
- Appointments in Pay Band 3
- Senior Civil Service posts in government communication
- Chief Crown Prosecutor (London), Crown Prosecution Service
- Deputy Chief Executive, Office of Government Commerce
- Directing Actuary, Government Actuary's Office
- Government Actuary, Government Actuary's Department



## ANNEX C

### COMMISSIONERS' RECRUITMENT A CHECKLIST OF PROCEDURES

Departments will be very familiar with what is required by the *Order in Council* and the *Commissioners' Recruitment Code* for recruitment by fair and open competition on merit. But this checklist (broadly in chronological order) will serve as a reminder. It includes a number of steps specific to Commissioners' recruitment. A specimen outline timescale is given at the end of this Annex.

#### Decide whether or not to go to open competition

- Clear with Minister if necessary.
- Contact Cabinet Office Corporate Development Group for very senior ("SLC Group") and Agency Chief Executive appointments.
- Clear with HM Treasury if Accounting Officer.

#### Before advertising

- Consider timetable for key stages and clear diaries for sift and board members (see Outline Timescale at end of this Annex).
- Consult OCSC; if appropriate make case for recruitment without direct involvement of the Commissioners. If Commissioners are to be involved, OCSC will arrange to appoint chairperson.
- Appoint panel members - for senior boards two from the department and one or two outsiders is usual.
- Consider use to be made of recruitment consultants/search consultants. Choose and brief accordingly.
- Consider the value of arranging an early meeting of the panel to consider the core requirements of the post and the best means of assessing candidates.
- Compile job and person specifications (against core criteria for Senior Civil Service - see Annex F and, if an Accounting Officer post, take fully into account these responsibilities), consulting board members and OCSC if Commissioners involved.
- Discuss with Minister where interested in appointment.
- Decide criteria for selection, consulting board members.
- Decide length and type of appointment.
- Decide remuneration and clear as necessary (eg with Cabinet Office Corporate Development Group if special remuneration).
- Decide on selection procedures including need for interviews by occupational psychologists and/or assessment centre procedures, consulting Commissioner.
- Consider design of structured application form to facilitate analysis with or without CVs.
- Consider nature and extent of national and/or specialist media and 'in Service' publicity and consult Commissioner.

#### The advertisement text

- Draft concise explicit description of job, location, the employer, qualifications and experience required, remuneration, relocation expenses, length and type of appointment, closing date (minimum 2/3 weeks), where to send applications/CVs, and an equal

opportunities statement. Clarity will encourage self-selection and attract realistic applications.

- Consider bilingual approach where appropriate eg Welsh.
- Clear with Commissioner.
- 

#### After advertisement appears

- Issue application forms with equal opportunities questionnaires, model paragraphs about the role of the Commissioners (where involved), and full particulars of post.
- Register and acknowledge applications.
- Record details of gender, ethnic origin and disability.

#### Long listing/Short listing

- Establish process with chairperson.
- Provide sift members in good time with applicant papers and summary of applicants and of their allocation to agreed categories.
- Where response exceeds, say 100 applications, a preliminary sift may be done to identify obvious rejects which the formal sift panel will need to approve. This must be done on criteria agreed in advance and with the involvement of a member of the department.
- Record how and why candidates have been categorised.
- If a long-list is to be selected for preliminary interviews, sift (for single post) 12-15 candidates; otherwise sift 3 or 4 candidates for final interview, who have a realistic prospect of being judged appointable. If longlisting is adopted a second formal sift will be required.
- Record reasons why candidates are included or excluded from short-list.
- Show long-list / short-list to Minister if appropriate.
- Show short-list to HM Treasury for Accounting Officers.
- Inform excluded candidates.
- Once candidate's permission has been received, obtain references for short-listed candidates.
- Prepare board papers in good time for board members, including OCSC notes for board members.

#### Preliminary interview/selection stage

Record each candidate's performance at any preliminary interview or other selection stage and produce summary report.

#### Final interview

- Ensure chairperson has recorded each candidate's performance and produced a report on the outcome.

#### Outcome

- Inform candidates of results at the earliest opportunity. Reserves may be held until the lead candidate has accepted, sending holding letters if necessary.

#### Commissioners' approval

- Given by the chairperson when a Commissioner. May be given at outset in certain circumstances.

#### Other approvals

- Obtain Ministerial approval when appropriate.
- Obtain Treasury approval for Accounting Officers.
- Obtain approval from Cabinet Office Civil Service Corporate Management Command for "SLC Group" posts.

#### Pre-appointment checks

- Check character, health, nationality, security and any conflict of interest.

#### Terms of appointment

- Settle salary terms etc and give candidate a formal written contract.
- Obtain Cabinet Office Civil Service Corporate Development Group approval if any question of exceeding previously agreed special terms,

#### Competition report form (see Annex E)

- Complete form and return to OCSC

#### Retention of papers

- Retain all recruitment papers for 12 months.

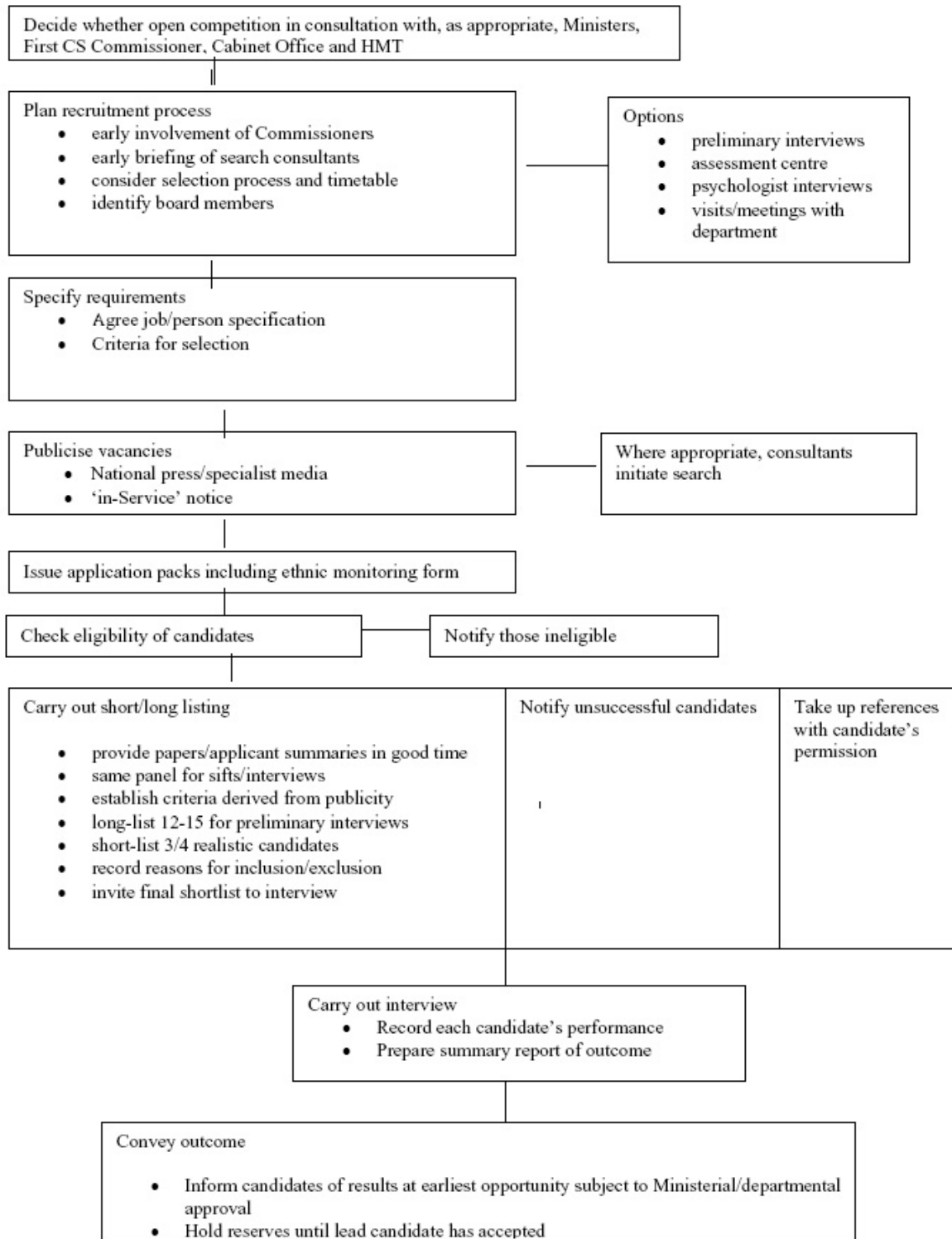
#### Outline timescale of open competition

▪ Preparation of particulars, drafting and placing the advertisement (depends on choice of media)	2/3 weeks
▪ Candidate response time from appearance of advertisement	2/3 weeks
▪ Agreeing a list of candidates for interview (assuming a two sift process)	3 weeks
▪ Sift to board	1/2 weeks
▪ Approvals	1/2 weeks
<b>TOTAL</b>	<b>9/13 weeks</b>

Note: Timescale will be extended if occupational psychologist interviews are needed (say an extra 2 weeks), or if executive search is involved (say an extra 3-4 weeks).

## ANNEX D

### SUMMARY FLOW CHART OF MAIN STAGES OF RECRUITMENT TO SENIOR POSTS





For OCSC use only

OCSC file number: \_\_\_\_\_

Approval date: \_\_\_\_\_

Office of the Civil Service Commissioners

## End of Competition Report on Appointments to the Senior Civil Service

Please note that we will also need a copy of:

Board Report

CV of successful and reserve candidates

Media advert (final)

Candidate information pack (final)

(To be completed even if no successful candidate found)

### THE COMPETITION

Job title (if any) : \_\_\_\_\_

Department/Agency : \_\_\_\_\_

JESP score : \_\_\_\_\_

Senior Civil Service Pay Band : \_\_\_\_\_

Number of Vacancies : \_\_\_\_\_

Location : \_\_\_\_\_

b. How was the duration of appointment stated? (eg fixed term, permanent)

\_\_\_\_\_

### DETAILS OF APPOINTEE

Name of appointee

\_\_\_\_\_

a. Source of appointee (advertisement or search):

\_\_\_\_\_

### CONDUCT OF THE COMPETITION

a. State whether recruitment consultants were used?

(Yes/No)

Please give name of consultants: \_\_\_\_\_

\_\_\_\_\_

b. State whether a search was conducted

(Yes/No)

- Appointee's most recent salary £ \_\_\_\_\_
- Remuneration package on appointment £ \_\_\_\_\_
- Base salary: £ \_\_\_\_\_
- Performance Pay: £ \_\_\_\_\_
- Pension £ \_\_\_\_\_
- Other (e.g. relocation expenses) £ \_\_\_\_\_

### ADVERTISEMENT

a. Was the post advertised in the national/specialist press?

(Yes/No)

If yes, list media used.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Terms of appointment (eg fixed term for 3 years, possibility of extension or permanence)

\_\_\_\_\_

• Date of taking up appointment \_\_\_\_\_

## ANNEX G

### MODEL PARAGRAPHS FOR INCLUSION IN INFORMATION PACKS FOR COMPETITIONS CHAIRED BY A CIVIL SERVICE COMMISSIONER

“A Civil Service Commissioner will chair the selection process. The Commissioners have two key functions.

The first is to maintain the principle of selection for appointment to the Civil Service on merit on the basis of fair and open competition. For the most senior posts in the Civil Service, the Commissioners discharge their responsibilities directly by overseeing the recruitment process and chairing the final selection panel.

The second is to promote an understanding of the Civil Service Code which sets out the constitutional framework in which all civil servants work and the values they are expected to uphold, and to hear and determine appeals made under it. A copy of the Code is enclosed.”

*NOTE: Departments and agencies are free to adjust the first paragraph if it is their practice to name the selection panel.*

**CIVIL SERVICE COMMISSIONERS'  
AIDE-MEMOIRE FOR  
BOARD MEMBERS INVOLVED IN SENIOR  
RECRUITMENT**

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## INTRODUCTION

1. The 'Civil Service Commissioners' Guidance on Senior Recruitment' sets out procedures for departments and agencies covering the whole of the recruitment process to senior posts, where the appointment requires the approval of the Commissioners. This aide-memoire provides good practice guidance on the role of the members of selection boards in that process. Its purpose is to outline the arrangements and procedures typically used in senior selection. These notes are not concerned with interviewing techniques. They assume that members of senior selection boards are experienced interviewers, but where necessary departments can provide appropriate training.

## COMPOSITION OF THE SELECTION BOARD

2. Where the Civil Service Commissioners participate directly in the selection procedures a Commissioner will chair the selection process. Boards for the most senior posts are normally chaired by the First Commissioner. Boards normally comprise four or five members, representing the employing department or agency, any other interested department or agency and relevant stakeholders.

## ROLE OF THE SELECTION BOARD

3. The key elements of the board's role are:
- to determine which applicants should be short-listed on the basis of the available information about them, ensuring equal consideration of both internal and external candidates;
  - to interview each short-listed candidate against the selection criteria they have established;
  - to assess which candidates are suitable for the job in the light of all the available evidence including the interview;
  - to rate suitable candidates in order of merit and to recommend the best candidate to the appointing authority;
  - to preserve the confidentiality of candidates throughout the selection process. If candidates are required to participate in group assessment exercises, they should have been made aware of that in the recruitment information pack.

## SIFTING AND SHORT-LISTING

4. A sifting process will normally be necessary to reduce the number of applications to a manageable short-list for final interview. In some cases the sifting process may require a preliminary stage to produce a long-list of candidates on whom further enquiries have to be carried out. The sifting process is overseen by the selection board, meeting for that purpose.

5. If consultants are engaged to assist in identifying candidates for shortlisting either from search or advertisement, their role is advisory. Responsibility for decisions rests with the selection board.

6. Matters to be decided include:

- the selection criteria, derived from the requirements published in the advertisement and supporting information for applicants;
- where there is a preliminary long-listing stage, to agree what further information is needed;
- which candidates should be short-listed for final interview. Three or four candidates, with a realistic prospect of being judged appointable, will often be enough to offer a satisfactory choice. It should rarely be necessary to interview more than five.

7. The short-listing meeting is also a convenient time to set in hand preparations for the conduct of the final interviews. In particular:

- if it is intended that the interview should include an initial presentation by each candidate, to settle the topic so that notice can be given to the candidates;
- to identify the broad areas of questioning to be pursued by each member of the board;
- to agree how much time needs to be allocated to each interview.

8. It may not always be practicable for all members of the board to meet at the sifting stage. It is, however, desirable that sifting decisions are taken by at least two members of the board including the chairperson, where possible after the department has gathered the views of other board members.

## FINAL INTERVIEWS

9. Before the interview programme commences, the chairperson will wish to be satisfied that the physical arrangements are suitable. It is a matter of fairness to candidates that, within the limits of practicality, external distractions (e.g. undue noise) are minimised. By the same

token all board members will want to make arrangements to avoid interruptions.

10. **Preliminaries.** Before the first interview, it is helpful for the chairperson to remind members of the agreed selection criteria against which the candidates will be assessed; and to confirm the broad areas of questioning to be pursued by each board member (see paragraph 6 above).

11. **Timetable.** A typical timetable allows one hour per candidate of which some 45-50 minutes may be allocated to the interview itself. The board will need to decide how to structure this time. It is usual to allow a few minutes at the end for any questions the candidates may have and to advise them about the decision process and when they will be told their result.

12. **Interview Good Practice.** Anything relevant to the job and the candidate's suitability for it can be discussed in the interview, but there are some points to note:

- **Equal Opportunities.** Board members need to be, and be seen to be, impartial, particularly on matters relating to age, disability, gender, religion, politics, marital status, sexual orientation, race, colour, nationality or national origin, (or, in Northern Ireland, community background). Should any of these matters appear to be in issue, the board will need to make it clear that it is not concerned with them. Supplementary notes on the legal provisions relating to discrimination, which are relevant to selection interviewing, are in the appendix.
- **Conflicts of Interest.** Candidates should be assessed on merit, and they should not be treated more or less advantageously because of their previous or current activities, affiliations, or the employment of their partner or family members. It is for the appointing department to decide, in accordance with its own rules of conduct, how to proceed where it appears that an actual or perceived conflict of interest may arise. Subject to the Department's view, it is legitimate for selection boards to explore any such concerns with candidates, to establish whether they are sufficiently significant to prevent the candidate from carrying out the requirements of the post. The board will wish to decide whether to explore this or leave these matters to the department.

## ASSESSMENT

13. The Commissioners' marking scale is:

- A an outstanding candidate
- B a very good candidate
- B/C clearly above the minimum acceptable level
- C acceptable
- D near-miss
- E clearly not acceptable

14. It is good practice for the board to make an initial assessment of each candidate immediately after each interview, recognising that assessments made earlier in the day may need to be reviewed as standards are clarified in the light of their assessments of later candidates. Usually, the chairperson will invite each member to give a provisional mark and the reasons for it based on all the evidence including that available before the interview

15. The board acts as a college in making its decisions and its recommendation is a collegiate one. Where opinions differ, the board will need to review the evidence until a consensus is reached. Taking all the evidence into account, the board's task is to establish which candidates are suitable for the job, and to draw up an order of merit. If acceptable terms cannot be agreed with the lead candidate, or the candidate otherwise turns the job down, the job can then to be offered to the reserves in merit order. This means that by placing a candidate above the line, the board is recommending their appointment, in the eventuality that the candidate(s) above in the order of merit drop out.

## **BOARD REPORT**

16. The proceedings of the board are confidential. The chairperson reports the outcome in the form of a letter to the department summarising the reasons for the board's conclusions, including the reasons why those not recommended for appointment were considered less suitable than those who were recommended. Apart from the assistance this may give to the department in providing any feedback to candidates, the board report may have to be produced in Employment Tribunal hearings if an unsuccessful candidate lodges a complaint of unlawful discrimination. Board members should also be aware that the same may apply to any personal notes they may decide to retain. It is also possible that information produced by the Board may be discloseable in accordance with the Freedom of Information Act 2000.

## Appendix

### SUPPLEMENTARY NOTES ON EQUAL OPPORTUNITIES

#### Discrimination on Grounds of Sex or Marital Status

The Sex Discrimination Act 1975 makes it unlawful to discriminate directly or indirectly on the grounds of sex or marriage. The board must ensure that all candidates are assessed on the basis of the same objective job-related criteria regardless of gender, marital status, domestic responsibilities or pregnancy.

Subtle and unconscious discrimination, which can result from general assumptions about men's or women's capabilities, characteristics and motivation, must be avoided.

If an assessment of candidates' future potential is relevant, no assumptions should be made about the potential of men or women or their motivation to advance in the Service.

Questions which are relevant to the job - for example, about candidates' ability to undertake travel when this is a feature of the work - should be asked of men and women; both may be asked about mobility in relation to family circumstances, but no unwarranted assumptions or enquiries should be made about the future mobility of candidates based on hypothetical circumstances.

#### Discrimination on grounds of race

Other than permitted exceptions relating to the Civil Service nationality rules, the Race Relations Act 1976 make it unlawful to discriminate directly or indirectly on grounds of colour, race, nationality or ethnic or national origin. The interview must therefore be completely objective and give candidates every chance to show their qualities.

Care should be taken to see that all candidates are asked relevant questions related to the requirements of the job and that the agreed criteria finally adopted for the assessment of candidates do not in themselves discriminate indirectly against members of a particular racial group.

Subtle and unconscious varieties of discrimination which can result from general assumptions about the capabilities, characteristics and interests of ethnic minority groups should be avoided together with any preconceptions about the possible reactions of colleagues to the

employment of ethnic minority workers in particular posts.

Candidates should not be placed at a disadvantage by questions which are based on a common cultural background or experience similar to that of the board members.

*Security considerations, such as a candidate's length of residence in this country are the responsibility of the prospective employing department and must not influence the board's assessment.*

## Discrimination on grounds of sexual orientation and religion or belief

Since December 2003 discrimination on the grounds of sexual orientation and religion or belief has been unlawful. There are two sets of regulations that apply: the Employment Equality (Sexual Orientation) Regulations 2003 and the Employment Equality (Religion or Belief) Regulations 2003. These regulations follow the broad pattern of the Sex Discrimination Act 1975 and the Race Relations Act 1976 in the way that they prohibit direct and indirect discrimination.

## Candidates with Disabilities

The Disability Discrimination Act (1995) protects people who have a disability or have had a disability in the past from unfair discrimination in employment. A person is disabled if they have a physical or mental impairment, which has a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities.

The Act states that an impairment is only to be treated as affecting the person's ability to carry out normal day-to-day activities if it affects: mobility; manual dexterity; physical co-ordination; continence; ability to lift, carry or otherwise move everyday objects; speech, hearing or eyesight; memory or ability to concentrate, learn or understand; or perception of the risk of physical danger.

The chairperson should put candidates at ease by explaining to them that disability will not affect the consideration they will receive and board members should focus on the ability of the disabled person to do the job with a reasonable adjustment if necessary. There must be no less favourable treatment of a candidate for a reason related to the person's disability unless this can be justified within the terms of the Act.

The Act also places a duty on employers to take reasonable steps to reduce or remove any substantial disadvantage which a physical feature of the premises or employment arrangements causes a disabled employee or job-applicant compared to a non-disabled person. Therefore any discussion about the disability or notes in the board report should be confined to the person's ability to do the job after such reasonable adjustment has been made.

## Rehabilitation of Offenders Act 1974

The purpose of the Act is to help former offenders 'live down' the damaging effects of their old convictions without fear that their past will be resurrected to their disadvantage. An

offender who remains free of further convictions for a specified period (the 'rehabilitation period') then becomes a 'rehabilitated person' and the conviction becomes 'spent' unless it is one of the special cases covered by the Exceptions Order (1975) in which case the board papers should say so. A gap in a candidate's employment history might mean that he or she was in prison during the relevant period and special care should be exercised when questioning about such gaps since the candidate is not obliged to declare or discuss any spent convictions.

The board must ensure that any adverse information about spent convictions, which comes to light, even if accidentally is not taken into account when the assessment of the candidate is made. The chairperson should tell the candidate that it will be disregarded but should record what is said at the interview as a basis for dealing with any consequences.



## Fair Employment Law in Northern Ireland

Any Home Civil Service posts where the work is done wholly or mainly in Northern Ireland would be subject to the Fair Employment and Treatment (Northern Ireland) Order 1998. The Order re-enacts the provisions of the Fair Employment Acts 1976 and 1989 which make it unlawful to discriminate, directly or indirectly on the grounds of religious belief or political opinion, in respect of employment in Northern Ireland.

A Code of Practice has been produced which provides advice on how the duties and obligations imposed by the legislation can be given maximum effect. Although the Code does not have the status of law, it will be taken into account by a Fair Employment Tribunal where considered relevant. The Code is available on the Equality Commission for Northern Ireland's website: [www.equalityni.org](http://www.equalityni.org).

**FINAL REPORT ON  
A RESEARCH STUDY RELATING TO  
EFFECTIVE SELECTION OF  
STAFF FOR SENIOR POSTS IN THE  
CIVIL SERVICE**

**This report was prepared by  
Professor Clive Fletcher (Personnel Assessment Ltd)  
on behalf of the  
Office of the Civil Service Commissioners**

### **PROFESSOR CLIVE FLETCHER BA PhD FBPsS**

Clive Fletcher is the Managing Director of Personnel Assessment Ltd. He was formerly Professor of Occupational Psychology at Goldsmiths' College, University of London, where he still holds the title of Emeritus Professor after leaving to work in private practice. He is also Visiting Professor at Henley Management College. Prior to going into academia, he spent nearly seven years in Whitehall. Clive is a Chartered Occupational Psychologist and one of the relatively few psychologists to be elected to Fellowship of the British Psychological Society (BPS).

Clive has published nearly 200 books, chapters, journal articles and conference papers on psychological assessment in work settings (see [www.personnel-assessment.com](http://www.personnel-assessment.com) for a list of some of the more recent of these). Clive has acted in an advisory and consultancy capacity to many private sector organisations and to Government departments - he is currently an advisor to the Cabinet Office and the National Clinical Assessment Authority, and an independent member of the Defence Scientific Advisory Council. His knowledge and experience in the assessment field is recognised internationally. He has given invited papers at conferences in the USA and throughout Europe and he is a member of the Scientific Advisory Boards of companies in the USA and elsewhere.

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# EXECUTIVE SUMMARY

## Background and Purpose of Study

1. The requirement issued by the Office of the Civil Service Commissioners that gave rise to this project was specified as follows –

“To review up to date UK research findings on the most reliable, validated techniques for recruiting and selecting senior staff in the private, public and voluntary sectors, with particular reference to effective selection interviewing, the use of assessment centres and psychological and psychometric testing”

In addition to this literature review, it was also judged desirable to know what other organisations in the public and (particularly) the private sector do in relation to top level appointments. The second element of the work was therefore to contact a number of such organisations to conduct a small survey of the kind of selection methods they are using in making such appointments.

## Findings (a): What to Assess?

2. Attention is drawn to the work on ‘meta competencies’, or learning competencies and to other work on competencies for top level management positions. Although a competency framework already exists for the Senior Civil Service (SCS), it may be worth reviewing this as a basis for more clearly specifying the requirement when selecting to top SCS positions. It is noted that some organisations take a broader perspective on what to assess, and look beyond an individual candidate’s competencies and take into account other factors, such as the competency profiles and characteristics of the people they will be working closely with.

## Findings (b): The Effectiveness of Difference Selection Methods

3. The literature on the effectiveness of the various assessment methods was reviewed against four criteria –

- *Validity* – the extent to which they can be shown to measure what they claim to measure, and specifically how well scores or judgements made on a particular measure correlate with performance measures. A correlation of 1.0 would represent perfect prediction (never obtained!); correlations around .20, .40 and .60 would reflect low (but possibly still useful), good and high validity respectively.
- *Fairness* – the extent to which the data they produce are free from unfair discrimination and bias
- *Impact on the Candidate* - the reactions and attitudes candidates tend to have when faced with a particular assessment method in a selection situation
- *Costs* – a discussion of the likely costs involved in applying different methods

4. The average validity achieved by the different methods reviewed is summarised in the Table below; each of the methods and the broader findings on them will be discussed in the paragraphs that follow:

Structured Interviews	.44-.56
Tests of Cognitive Ability	.40 -.50
Assessment Centres	.37-.43
Personality Questionnaires	.40
Work Sample Tests	.32
Biodata	.30-.35
References	.25
Unstructured Interviews	.14-.33

Up to a point, validity can be increased by combining assessment methods. For example, use of structured interviews and psychometric measures together has typically been found to achieve validity of around .63-.65.

5. The Interview. The main conclusions relating to the interview are -

- The more highly structured the interview type and (up to a point) the longer the interview, the higher the validity tends to be
- Prediction of performance ratings is better than prediction of length of job tenure
- Training of interviewers makes a difference irrespective of the amount of interview structure
- Panel interviews are no more or less effective than comparable one-to-one interviews done sequentially
- There is little or no evidence of unfair bias found in structured interviews, but unstructured interviews are more likely than any other assessment method to face legal challenges
- Candidate reactions to interviews are largely positive, though less so in the case of highly structured interviews

6. Psychological Tests and Questionnaires: Cognitive Ability Tests.

- Almost all the evidence collected, from many hundreds of studies done across hundreds of thousands of candidates and covering a huge range of jobs, consistently shows that cognitive ability is one of the best predictors of future job performance.
- The question of whether these findings hold for top level management is less clear cut. In general, of course, senior executives need a high degree of general mental ability – but how high? Beyond a certain ‘threshold’ measure, general mental ability may not add much to our prediction of managerial performance. Where that threshold lies will probably vary from job to job.
- Cognitive tests have a potential for producing adverse impact. Again, though, at top management level it is doubtful that group differences (based on ethnicity or gender) would have any impact on performance – because top management candidates are already a highly able, highly-selected group.

- Cognitive tests are not especially ‘popular’ with candidates, but much depends on their perceived relevance to the job being applied for and how the tests are presented.

#### 7. Psychological Tests and Questionnaires: Personality Questionnaires.

- Personality questionnaire use is now widespread in the UK. The CIPD Recruitment, Retention and Turnover Survey for 2004 shows that 46% of the organisations covered used them – which compares with 43% using assessment centres and 53% using cognitive ability tests. However, the figures for public sector organisations only were 36%, 48% and 52% respectively. For the UK as a whole, test and questionnaire use has increased since 2002 while assessment centre use has decreased.
- The evidence shows that personality questionnaires do predict behaviour and performance, producing correlations that are useful, but less than those for cognitive ability tests. However, precisely which personality factors are the most important to assess is less clear cut and will vary across job roles.
- Whilst there is little indication of ethnic group differences on personality questionnaires, gender differences are found – these seem to reflect genuine differences in behaviour and self-perceptions.
- As with cognitive tests, candidate reactions depend largely on how they are presented. Candidate “faking” on personality measures does not seem to be a major problem in terms of their validity.

#### 8. Application Forms, References and Biodata

- The value of Application Forms can be improved by adding some structure to them, principally in terms of including self assessment against competencies. Similarly, References structured around competency ratings provide greater validity. However, changes in the law are making references increasingly difficult to get.
- Biodata questionnaires can achieve good validity but are subject to concerns about fairness, and have been found to be unpopular with candidates.

#### 9. Assessment Centres and Work Sample Tests

- Assessment Centres (ACs) show higher validity (around .60-.65) when using career advancement criteria, eg promotion, than when using job performance criteria. Work Sample tests and simulations are usually a large part of an AC, but they may be used as stand-alone assessment tools also. When looked at against job performance criteria, such tests obtain correlations in the order of .32
- ACs have a good record on fairness, and are also usually perceived positively by candidates if they are run well. However, for top level posts, issues of confidentiality and political aspects of the selection situation make them more difficult to use.
- ACs are expensive to set up and apply, though individual Work Sample tests are much less expensive and offer a way of assessing cognitive ability and decision making.



### **Findings (c): Survey of External Practices in Top Management Selection**

10. A total of 15 organisations were approached, including the Institute of Directors and the Chartered Institute for Personnel and Development (CIPD). The observations from this part of the study can be summarised as follows –

- It was estimated that 85% of external organisations still use just interviews and references for top posts. Those with HQs in the USA or other close American links, organisations in the retail sector and Local Authorities were more likely to make use of psychometrics, work sample tests or assessment centres.
- In the private sector, the interviews are nearly all done on a sequential, one-to-one basis
- The amount of time spent on interviewing is typically considerably more than is usually the case in senior civil service appointments
- The interviewing is often done, in part at least, around the organisation's competencies

### **Conclusions and Recommendations**

11. How might the present approach to assessing and selecting candidates for top civil service posts be improved? Taking each stage of the process in turn-

- A more systematic analysis of the role/candidate requirements in terms of the SCS competency framework might be helpful, and indeed essential if other recommendations that follow are to be implemented. In addition, though, the SCS competency framework itself has been in existence for some while and might benefit from review. To some extent, this has already happened in the process of establishing the High Potential Development Scheme and its enhancement of the SCS competency set, but this review should be put on a more formal and systematic basis. More attention might also be paid to looking at each appointment in terms of the profile of the peers and direct reports the individual would be working with.
- Consideration might be given to including structured self assessment on the application forms, and the validity of References might also be improved by including an element of structure around competencies.
- Where Individual Psychological Assessments are used, more time and attention needs to be given to the briefing of the psychologist concerned, and to the use of the output (assessment reports) from this element of the process
- To increase the validity of the interview, it would be helpful to both include an element of structured, behaviourally focused interviewing, and to expose the candidates to longer interviewing time that is presently the case.

12. To deal with some specific issues -

- Given that the validity of cognitive ability and personality measures is good, the case for including them more routinely is strong. However, their use needs to be guided and targeted by careful briefing about the role being selected for and its context.
- At the present time, the psychometric measures that are most likely to be useful for top posts are personality and related (eg Leadership, Emotional Intelligence, etc) questionnaires.
- Cognitive ability tests might be valuable for selection to some top level posts, but careful consideration needs to be given as to whether there is any real danger of indirect discrimination arising. The situations where they might make the most valuable contribution are where the demands of the job place a special emphasis on intellectual capacity, and where the candidate field is varied in terms of its background and academic attainment.
- For the most part, it seems unlikely that Assessment Centres will be feasible alternatives for top management selection, on grounds of cost and candidate concerns. But Work Sample tests could be included in the assessment for top CS posts. It might be worth considering commissioning the development of one or more Individual Decision Making exercises that have generic relevance to SCS work.
- Although very highly structured interviews yield the best validity, they are less likely to be appropriate for the complexity of top level jobs. A competency-based interview offers a more suitable approach. It would be desirable to offer – if not insist on – training in competency based interviewing for all those likely to be involved in it.

13. To summarise; it is recommended that –

**The current approach to making top management appointments in the Civil Service be reviewed and revised to increase its potential validity, and that this should principally involve -**

- A. A more refined and systematic way of describing the job and the person specification, at least partly in terms of the relevant competencies**
- B. The use of assessment devices other than just the interview - specifically psychometric measures and, possibly, Work Sample tests; commissioning of the development of the latter for exclusive CS use might be considered**
- C. Including a more structured, behaviourally focused approach to at least part of the interview, and greater time being devoted to the interviewing**
- D. Training for interviewers in any new approach adopted**

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# MAIN REPORT:

## BACKGROUND AND AIMS

### **The Requirement**

The Civil Service Commissioners have recently initiated a project aimed at helping Civil Service departments improve the way they select and recruit staff at the most senior level. The Commissioners wish to ensure that the processes they regulate, and which are used by departments and agencies to recruit senior staff, are the most effective available in identifying the most meritorious candidate. They want to consider whether or not the standard approach to recruitment used by departments comprising long listing, short listing and a single board interview can be improved.

As part of that project they commissioned this piece of work, the first element of which consisted of a literature review of recent research findings on the most reliable, validated techniques for recruiting and selecting senior staff in the private, public and voluntary sectors. The requirement is specified as follows –

“To review up to date UK research findings on the most reliable, validated techniques for recruiting and selecting senior staff in the private, public and voluntary sectors, with particular reference to effective selection interviewing, the use of assessment centres and psychological and psychometric testing”

However, as much of what is known about selection at high levels is anecdotal or is reported in case-study style, it was also judged desirable to capture this and to know what other organisations in the public and (particularly) the private sector do in relation to top level appointments. The second element of the work was therefore to contact a number of such organisations to determine the kind of selection methods they are using in making such appointments.

### **Structure of this Report**

The first part of the report described the findings of the literature review, dealing first with some brief observations on what is assessed, then going on to look in detail at the effectiveness of the various assessment methods themselves. The latter is broken down into an outline of some general issues relating to the research in this field, followed by a consideration of the findings on (1) Selection Interviewing (2) Tests of Cognitive Ability (3) Personality Questionnaires and related measures (4) Application forms, References and Biodata (5) Assessment Centres and Work Sample Tests. An overall conclusion on this literature is presented before moving on the next section, which focuses on Top Management in particular.

The second part of the report covers the contacts with other organisations and the survey of top management assessment practices followed in them. The final section offers, as final sections do, a summary and list of conclusions, along with some recommendations.

## WHAT TO ASSESS?

There is a vast literature on competencies, and it is beyond the remit of this project to discuss this. In addition, a competency framework for the Senior Civil Service, along with a complementary one for assessing candidates on the High Potential Development Scheme, already exists. However, some of the wider literature on competencies has been devoted to identifying those competencies that are believed to be important in, or indicative of potential for, top management. Hall (Hall & Moss, 1998; Briscoe & Hall, 1999) puts forward the notion of “metacompetencies”, which are competencies so powerful that they affect an individual’s ability to acquire other competencies. Hall’s work, in turn, is influenced by McCall (Spreitzer, McCall & Mahoney, 1997), who pointed out that the skills needed tomorrow may not exactly the same as those needed today, and that the ability to learn from experience may be more important than existing competency levels. Thus, the basic idea behind Hall’s metacompetencies is that they describe the characteristics underpinning the ability to both acquire experience and to learn from it, which is the key to development generally. He proposes two of them, Identity and Adaptability -

The learning behaviours associated with Identity include -

- Accurate self assessment
- Seeking, hearing and acting on feedback
- Exploring, communicating and acting on personal values
- Being open to diverse people and ideas
- Engaging in personal development activity
- Being able to modify one’s self perception as one’s attributes change

The learning behaviours associated with Adaptability include –

- Being able to identify for oneself the qualities that are critical for future performance and being able to make the changes needed to develop them
- Eagerness to accept new challenges
- Exploration of new territory
- Comfort with turbulent change

These concepts have echoes in some of the work on self awareness (Fletcher, 1997a) and on emotional intelligence (Higgs & Dulewicz, 1999). The SCS competency framework includes “Learning and Improving” as one of six key competencies, and this contains some elements of the ideas behind learning competencies. For example, some of the associated behavioural indicators for this competency are -

- Aware of own strengths, weaknesses and motivations
- Applies learning from own and others’ experience
- Understands, values and incorporates different perspectives
- Seeks new or different opportunities to learn
- Readily shares idea or information with others
- Encourages experimentation and tries innovative ways of working.

It may be that this element of the SCS framework should be further strengthened.

Other literature that is relevant to any review of the SCS competencies is the competency framework developed for Directors on behalf of the Institute of Directors (Dulewicz, 1995; Dulewicz & Gay, 1997; Gay & Dulewicz, 1997).

A broader perspective on what to assess is the extent to which organisations look beyond an individual candidate's competencies and take into account other factors, such as the competency profiles and characteristics of the people they will be working closely with. Although there is little literature on this (other than psychometric measures of team make-up and functioning), there are examples of this kind of consideration entering into the selection process for top management in the private sector, as will be seen below (page 29) when the findings from the survey of outside practice are discussed.

## THE EFFECTIVENESS OF DIFFERENT ASSESSMENT METHODS

### Introduction

The evaluation criteria considered in this review are as follows –

- *Validity* – the extent to which a selection method can be shown to measure what it claims to measure. Traditionally, this can be established by either discovering the extent to which candidates' scores on a selection method correlate with either existing (known as concurrent validity) or future (known as predictive validity) measures of their performance. This is the most fundamental criterion, because a procedure that lacks validity is clearly unacceptable. A correlation of 1.0 would indicate perfect validity, an exact correspondence between the scores on some measure (eg a test) and the criterion measure of performance – a level of perfection that is never achieved. A correlation of 0 would indicate no relationship at all. Most correlations in the selection field range from around .10 to .60, the latter being considered high.
- Sometimes Reliability is used as a measure of how sound a method is – it refers to the extent to which it will produce the same or very similar results with a group of individuals when applied to them on two or more successive occasions with varying lengths of time in between. A reliable measure is one that produced consistent results (assuming it is seeking to measure a consistent quality of the individual). However, reliability will not be referred to separately in this report, and will be subsumed under validity, because it is impossible for a measure to be valid without also being reliable (though the reverse is not true – a measure can indeed be reliable without being valid).
- *Fairness* - the extent to which a measure is free from direct or indirect discrimination effects, and the extent to which it is perceived to be fair.
- *Candidate Impact* – the reaction candidates have to different selection methods and processes. This is an important criterion, as it can impact on the candidate's perceptions of the organisation and their willingness to accept a job if one is offered (Hausknecht, Day & Thomas, 2004).
- *Cost* – the financial costs of implementing various methods, and the way these do or do not relate to their effectiveness on other criteria.

Before plunging in to the findings on effectiveness, however, there is an important methodological point that has to be outlined. This is the way in which findings in the selection and assessment field are brought together and summarised. Because individual research studies often use different samples (in size and nature), varying procedures for collecting the data and alternative forms of statistical analysis technique, it used to be impossible to reflect a synthesis of the results from all the studies in anything but the most crude manner. Around 25 years ago, however, a technique called **meta-analysis** was devised that facilitated the statistical aggregation of research findings from many different studies and the assessment and expression of their findings in a common way. This technique has become the standard method of summarising such research. Accordingly, what follows in this report is based heavily on the relevant meta-analyses that have been carried out – some of which focus on specific methods and some of which cover a range of methods and make comparisons between them. A word of caution, though – not all meta-analyses produce the same results, because they too may vary slightly in methods used but also, more importantly, in the studies they have sought to bring together and summarise. Nonetheless, there is a very good level of convergence across meta-analytic studies.

To enhance ease of reading, the review of each assessment method presented below lists the relevant meta-analyses it rests on at the end of that section, rather than repeating the reference to them at every conclusion they might support. However, where an individual research study supports a specific issue being discussed, it will be referenced at that point in the text.

## **The Selection Interview**

### **Types of Interview**

Partly because of the inadequacies of early research methods and the way their findings were presented, in the past the Interview received a worse 'press' than it deserved. Whilst there is no room for complacency, the interview has been rehabilitated to some extent, not least because of the developments in the types of interview available. The descriptions used here are –

- *Unstructured*: Interviews that follow no set and predetermined pattern, typically varying in content from interviewer to interviewer and from candidate to candidate.
- *Structured*: Interviews that follow a pre-determined format, which may vary in terms of rigidity of structure and in the content or form of interviewing. The main types are –
  - Loosely structured, where there is a list of topic areas to be probed in the interview, though not very much structure beyond this, based on an analysis of the job and a resulting person specification.
  - Competency based interviews (also known as behaviourally focused interviews), which are structured around a set of competencies (typically 4-6 in a one hour interview), with the behavioural descriptors associated with each competency forming the basis of questions that ask the candidate to describe in some detail examples where they have demonstrated such behaviour in the past.

- Situational Interviews are developed on the basis of a careful analysis of a particular role and problem situations that typically have been found to arise in it. Approaches to dealing with these situations are identified and evaluated by people who have experience of managing them, and 'scored' according to the degree of effectiveness the varying approaches have shown in terms of solving the problem. The situations are then presented as interview questions and the candidate asked how they would deal with them, their answers being scored according to which of the response alternatives they most closely correspond. These are thus highly-structured interviews, almost akin to an oral questionnaire. A variant on it is known as the Behaviour Description Interview (BDI), which is similarly based on an initial critical incidents analysis, but is more focused on using this information to ask about how the individual has dealt with similar situations in the past (akin to a competency based interview) rather than how they would in the future (as in the situational interview).

The first two structured interview types mentioned above are also sometimes referred to as Conventionally Structured Interviews (CSI). There are numerous other variations on these themes.

#### Validity of Interviews

There have been numerous meta-analyses of the interview, and the conclusions are consistent, namely that structured interviews achieve good levels of validity (though the findings are perhaps a little stronger on concurrent than on predictive validity). To summarise them -

- Unstructured interviews achieve validity correlations in the range of .14 to .33
- Structured interviews achieve validity correlations in the range of .44 to .56
- The more highly structured the interview type and (up to a point) the longer the interview, the higher the validity tends to be
- Prediction of performance ratings is better than prediction of length of job tenure
- Training of interviewers makes a difference irrespective of the amount of structure the interview has (Hufcutt & Woehr, 1999)
- Interview questions focusing on past behaviour have better validity than questions that focus on (anticipated) future behaviour (Salgado, 1999)

#### *Panel Interviews*

The majority of interviews that the research literature is based on are done on a one-to-one basis. However, two meta-analyses have specifically looked at studies of panel interviews and compared them with studies of one-to-one interviews. Wiesner & Cronshaw (1988), whose review covers studies that had a combined candidate total in excess of 51,000, found no significant difference between the two approaches, though such trends as there were favoured the panel. Hufcutt and Woehr (1999) similarly found no improvement in validity was associated with using panel interviews. The basis of such comparisons should be treated with caution, though – what is the most appropriate comparison to make, a panel and sequential one-to-one interviews with an equal number of interviewers involved in each approach? Or should it be done on the basis of time with the candidate, so

that the panel time should equate with the total time taken by all the individual interviews? Or both? It should be noted that the studies covered by these analyses did not adequately control for such factors.

A rather different approach to the same question was taken by Bayne, Fletcher and Colwell (1983). They compared both types in a carefully controlled study using Civil Service Commission interviewers, and again found no substantial advantage of three individual, sequential interviews over panels (of three members) in terms of accurate prediction of a personality attribute or the amount and quality of information obtained.

The CIPD Recruitment Retention and Turnover Survey for 2004 (CIPD, 2004) showed that 85% of the public sector organisations covered used structured panel interviews compared to 45-46% in the private sector.

#### *What are Interviews Good at Assessing?*

Not all interviews are carried out to assess the same attributes – indeed, they are used to assess against a wide range of qualities that differ across jobs, levels and organisations. Robertson and Smith (2001) tentatively conclude that interviews measure social skills, experience and job knowledge and that general mental ability has only a moderate correlation with interview performance. Not surprisingly, the interview shows a reasonable ability to assess extraversion and emotional stability.

#### Fairness and the Interview

Empirical studies on adverse impact and the interview are not extensive (Moscoso, 2000). However, those that have been done are largely reassuring. For example, the meta-analysis by Huffcutt and Roth (1998) showed that interviews had little negative impact on ethnic minorities and that structured interviews were better in this respect than unstructured. Harris (1989) looking at age, gender and ethnicity as factors concluded that there was little evidence of discrimination in the interview. It should be noted that most of these studies were done in the US, where it has also been shown that not only are unstructured interviews much more likely to be legally challenged than structured interviews (Terpstra, Mohammed & Kethley, 1999), but they are also the most likely to be challenged than all the other main selection methods. In terms of perceived fairness on the part of the candidate, the interview is generally seen as fair, but like all other selection methods this is dependent on outcome – people perceive procedures to be less fair when they are rejected!

#### Impact on the Candidate

The interview is generally perceived to be acceptable and appropriate as a selection method, and this seems to hold true across different countries (Steiner & Gilliland, 1996; Salgado & Moscoso, 2000). But the evidence on the effects of different types of interview is much less clear-cut. Overall, it suggests that structured, behaviourally focused interviews receive a slightly less favourable candidate reaction, though the quality of studies and the methodology followed are not strong in many of the investigations done in this area.

On a slightly different tack, candidates prefer face to face interviews compared to video-conference interviews (Kroeck & Magnusen, 1997).



Finally, an older study (Keenan, 1978) showed that job applicants were more likely to accept an offer from a trained interviewer than one who was not. This does not mean that the applicants knew who was trained and who was not, but probably results from the trained interviewers adopting a more competent approach, which influenced the candidates' decisions.

### Cost

Interviews – especially if they are unstructured - are potentially one of the lowest cost selection tools, and this part of their attraction. However, developing a structured interview approach and training interviewers to use it entails quite considerable initial setting-up costs. Just how much will vary according to the nature of the interview process adopted. In addition, when selecting for top management levels, the cost of the interviewers' time has to be added into the equation, and at such levels the interviewers themselves will be very senior and hence more expensive. The panel approach may be more cost effective in one sense – less time may be needed for more people to have a view of the candidate. But this does not answer the question as to whether more time spent on sequential one to one interviews might not produce better validity – given that more interview time is associated with better validity.

### Meta Analysis References:

Weisner & Cronshaw (1988); McDaniel, Whetzel, Schmidt & Maurer, (1994); Moscoso (2000); Salgado & Moscoso (2001).

## **Psychological Tests and Questionnaires**

The word Test implies a right or wrong answer, so the term Psychological Tests is usually applied to cognitive ability measures (such as tests of verbal or numerical reasoning ability, and so on). With personality questionnaires and similar devices, however, there are no right or wrong answers and they should not be referred to as tests – though they often are. Psychometrics is a blanket term often used to cover both types. In this section, Cognitive Ability Tests will be dealt with first, followed by Personality Questionnaires and Related Measures.

### **Cognitive Ability Tests**

#### Validity

Almost all the evidence collected, from many hundreds of studies done across hundreds of thousands of candidates and covering a huge range of jobs, consistently shows that cognitive ability is one of (if not the) best predictors of future job performance. Whilst specific cognitive abilities – like verbal ability or spatial ability – may be important in specific roles, the overall conclusion is that it is an underlying general mental ability factor, usually referred to as 'g', that is the key predictor and which underlies performance on all such tests. Measures of specific ability seem to add little or no incremental predictive power.

Typically, meta-analyses have shown that where job performance criteria are used, tests of general mental ability correlate around .40 to .50, and where the criterion is performance in training this rises to .50 to .60; while most of these analyses have been done in the US, the findings from Europe are much the same (Salgado, Anderson, Moscoso, Bertua & de Fruyt, 2003).

There is little disputing the findings on cognitive ability and work performance, but it has to be noted that they do, as indicated, reflect studies across a very wide range of jobs, some of which are at graduate and managerial levels but also many of which are at unskilled or semi skilled in nature. The question of whether the findings hold for top level management is less clear cut. In general, senior executives do of course need a high degree of general mental ability – but how high? When Goleman (1996) presented his case for the importance of ‘Emotional Intelligence’ (EI), he claimed that IQ only accounted for about 20% in predicting managerial performance, with the other 80% being down to personal factors – of which he proposed EI was the major component. Leaving aside the basis for Goleman’s specific claims – some of which are rather thin – he was in fact echoing observations made long before, namely that one can have too much of this particular ‘good thing’. At very high levels mental ability the correlation with managerial performance measures may fall and even become negative (ie, the more intelligent you are beyond a certain point, the less likely you are to perform well on performance measures). Thus, beyond a certain “threshold” measure, general mental ability may not add much to our prediction of managerial performance. Where that threshold lies will probably vary from job to job and role to role.

### Fairness

Tests of general mental ability consistently show subgroup differences, principally between Afro-Caribbean and white samples, with the former performing up to one standard deviation lower than the latter. But beyond this, it is difficult and dangerous to generalise. Women are also sometimes found to perform a little less well than men – and sometimes better than them. Other ethnic groups (eg Asian or Chinese) can outperform whites, and educational and socio-economic background levels have an impact on the findings, as does the amount of test-taking experience. At top management level, it is doubtful that group differences would have any impact on performance – because top management candidates are already a highly-able, highly-selected group.

### Impact on the Candidate

Cognitive tests are not especially ‘popular’ with candidates – apart from anything else, they are of course rather demanding and difficult, as they are intended to be – but much depends on their perceived relevance to the job being applied for and how the tests are presented. If the purpose of the tests and how they are being used is explained, and feedback on performance is offered, then attitudes towards them become more positive (Fletcher, 1997b; Anderson, Born & Cunningham-Snell, 2001). For ethnic minority candidates, giving practice test items is also important (though probably less so at more senior levels).

There is a separate issue of Test Anxiety – some individuals habitually under-perform on cognitive ability tests because instead of focusing on performing the task, they dwell on non-task relevant thoughts, such as the consequences of failure, how other people in the room are doing, and so on. If given the same tests in a non-evaluative setting, they perform at a significantly higher level.

### Cost

Costs of testing vary according to how the tests are given, by whom and to how many candidates. In themselves, cognitive tests cost only a few pounds per candidate, and – when taking account of their predictive power - represent the most cost-effective assessment method available. But if the tests are administered in-house, then the costs of training people to obtain the British Psychological Society Level A Certificate of competence in occupational testing – a pre-requisite for ordering tests from reputable test publishers – is likely to run to around £1,000 per head. If the tests are given by an external consultant, then they will be an integral element of the fees charged.

### Meta Analysis References

Hunter & Hunter, (1984); Schmidt & Hunter, (1998); Salgado & Anderson (2001); Salgado, Anderson, Moscoso, Bertua & de Fruyt, (2003)

## **Personality Questionnaires and Related Measures**

Personality questionnaire use is now widespread in the UK. The CIPD Recruitment, Retention and Turnover Survey for 2004 (CIPD, 2004) shows that 46% of the organisations covered used them – which compares with 43% using assessment centres and 53% using cognitive ability tests. However, the figures for public sector organisations only were 36%, 48% and 52% respectively. For the UK as a whole, test and questionnaire use has increased since 2002 while assessment centre use has decreased.

### Validity

There is now little serious contention of the evidence showing personality questionnaires do predict performance criteria, correlations falling around .40 on average – certainly useful, but less than those for cognitive ability tests. However, precisely which personality factors are the most important to assess is less clear, and in particular whether they should be broad personality traits such as the ‘big 5’ (Extraversion, Neuroticism, Agreeableness, Openness to Experience and Conscientiousness) or more specific constructs, such as Locus of Control. Measures of personality attributes such as Integrity or Need for Achievement can and do show important correlations with work behaviour, but the choice of what measures are used is probably best focused on the nature of the role being selected for.

Under this broad heading, there are many other questionnaire measures that are *personality related* – such as measures of motivation, leadership, emotional intelligence, team contribution and so on. The findings here are more variable and

dependent on the specific measure and the criterion used to judge it. Hence, some considerable caution is needed in employing such questionnaires.

### Fairness

Most of the research in this respect has focused on gender differences, and they have often been found – for example, women scoring higher on anxiety, conscientiousness and gregariousness than men, and men scoring higher on assertiveness. Whilst these may well represent ‘real’ differences rather than measurement artefacts, they do contain the potential for producing indirect discrimination unless used carefully. Again, much of the research has been done in the US, but Ones and Anderson (2002) looked at three widely-used personality questionnaires with a large UK sample and failed to find any large gender differences. Nor did such ethnic group differences as they found achieve a magnitude that would make adverse impact a concern.

### Impact on the Candidate

Much the same can be said of personality measures as was said earlier about the impact of cognitive tests on candidates – they may not elicit a very positive reaction if applied insensitively, and much depends on their perceived relevance and how they are presented/explained to the candidate. However, Test Anxiety as such is not a problem in relation to personality measures.

Another issue that does differ from cognitive testing, and which is often raised in relation to the use of personality questionnaires, is faking or ‘social desirability’ effects – candidates seeking to indulge in impression management. Actually, the evidence is largely reassuring on this, and it does not seem to be a major problem for validity (Robertson & Smith, 2001). In other words, some candidates may do it, but overall it does not detract significantly from the effectiveness of the measures. On an anecdotal level, it might be observed that top management candidates are often sufficiently self confident to project themselves honestly and directly.

### Cost

Again, most of what was said about cognitive tests applies here, except that the relevant qualification for using and ordering reputable personality measures is the BPS Level B certificate in competence. Thus, to use both cognitive and personality measures, an individual needs to acquire both certificates of competence. The cost effectiveness of personality questionnaires is not quite as good overall as that for cognitive tests, because they do not have equivalent predictive power and can cost slightly more per head.

### Meta Analysis and Survey References

Barrick & Mount, (1991); Salgado, (1998); Ones & Viswesvaran, (2001)

## Application Forms, References and Biodata

### Validity

*Application forms* are often the first sifting mechanism. They are usually judged necessary to collect basic information about those applying, but they are often extended beyond this to collect self-assessment data on competencies. Evidence suggests that certain forms of structured self assessment have been shown to correlate with assessments made by referees and may have some value in selection (Jones & Fletcher, 2002, 2004). However, it is difficult to arrive at a validity figure for application forms alone.

*References*, as predictors of subsequent performance, have a poor record when subject to research. Only the use of structured references, as opposed to the typical reference letter, seem to have a modest amount of validity, at best reaching correlations averaging around .25. But, paradoxically, references are perhaps increasingly important as independent verification that the candidate is who they say they are and possesses the qualifications they claim (failure to do so might leave the employer open to a charge of negligent hiring in the event of some subsequent problem), and at the same time increasingly difficult to obtain, a fact that is perhaps reflected in the declining use of employment references in the UK (CIPD, 2004). The latter almost certainly reflects changes in the law which allow candidates to see what is written about them and to challenge it if they wish – if a reference contains false or unsubstantiated statements that damage an individual's reputation, they may sue. Given this, and the fact that employers are not legally obliged to provide references, many are now less willing to do anything other than to confirm that the individual worked for them during a specified period.

*Biodata* is a term given to the statistical prediction of future performance on the basis on basic biographical information about the candidate. This breaks down into 'hard' biodata, which is factual in nature (eg type of school attended, their academic attainments) and 'soft' biodata, which relates to statements candidates make about themselves on a structured questionnaire (eg about their likes, interests etc). The latter may become almost indistinguishable from a personality questionnaire. To create an effective Biodata measure, the information has first to be collected and then statistically analysed to show which elements of it are related to subsequent performance; this is obviously a fairly sophisticated exercise, and there is no guarantee of success. However, Biodata has a reasonable record in terms of validity, around .30-.35 typically. There is some uncertainty, though, about how well Biodata measures generalise – in other words, does one have to create a new Biodata measure for each job?

### Fairness

There is little of substance specifically relating to fairness and application forms or references for top management positions (other than to note the point made above about the legal implications of unsubstantiated references), though gender and ethnic biases can enter into the content and evaluation of either. Biodata can become a vehicle for bias and for perpetuating an existing culture if care is not taken. Thus, if the current situation in a particular organisation is that going to a public school and

Oxbridge is associated with making rapid progress in that organisation, then building these 'predictors' into a Biodata instrument to be used in selection will simply produce more of the same. Interestingly, though, biodata has been shown to be more valid for women than for men (Bliesener, 1996).

#### Impact on the Candidate

Managerial candidates prefer to apply for jobs by completing application forms or sending CVs (Mathews & Redman, 1998), and probably expect to give references. However, they react negatively to biodata use, as has been indicated by a number of studies (Anderson, Born & Cunningham-Snell, 2001).

#### Cost

Completed application forms and references are relatively inexpensive to obtain (especially with small numbers of candidates) and the former can yield a great deal of useful information if designed correctly. For this to be the case, though, means allowing for a degree of tailoring for the specific post. Designing and validating a Biodata questionnaire is a potentially high-cost option and usually takes some while to achieve – it is only likely to be worthwhile where large candidate numbers are involved.

#### Meta Analyses and Review References

Bliesener, (1996); Bright & Hutton, (2000); Robertson & Smith, (2001).

#### Assessment Centres and Work Sample Tests

The term assessment centre (AC) should be reserved for a process which involves the assessment of a group of candidates by a team of trained assessors using a variety of integrated assessment techniques chosen or devised for their relevance to the attributes being measured, which themselves should have been arrived at by a careful and systematic analysis of the requirements of the role being selected for. They are likely to take not less than a day for each candidate group, and sometimes two or even three days. Unfortunately, the term AC is often applied to procedures that are not worthy of that name, because they are haphazardly-constructed, use untrained assessors and rest on no clear person specification. What follows is, as far as possible, related to 'true' ACs.

One of the key elements of an AC is simulation exercises (ACs may or may not also contain psychological tests and questionnaires, and interviews). Typically, these may be individual decision making exercises (like an in-tray exercise) or group decision making exercises (such as a business game between teams of candidates, or a task requiring the candidate group to analyse information and come to a decision). Depending on how they are constructed, these simulation exercises may be called Work Sample tests – because they may actually represent a sample of the work that would be involved if the person is appointed.

## Validity

There have been many studies over a long period of time that have demonstrated the validity of assessment centres, and in this context perhaps most notably the 30-year follow-up of CSSB entrants by Anstey (1977), which showed a correlation of .66 between the assessments made at CSSB and the grade within the CS subsequently attained. Most studies of ACs using job performance criteria rather than career advancement criteria, however, produce rather more modest correlations in the range of .37-.43. It should be noted that career advancement criteria are more objective (people either make a grade or they don't), though perhaps less relevant in terms of selection directly into top management positions. The majority of the studies on ACs have looked at the relationship between the overall assessment rating made at the end of the AC and some subsequent performance measure of those selected. Recently, Arthur, Day, McNelly and Edens (2003) have argued that this may underestimate the predictive power of the method, and that looking at the relationship between the competency assessments made in the AC and subsequent performance might be more important.

As indicated earlier, Work Sample tests and simulations are usually a large part of an AC, but they may be used as stand-alone assessment tools also. When looked at against job performance criteria, correlations in the order of .32 are obtained, but with specific and (usually) lower level jobs, correlations may rise to .40-.50.

## Fairness

Whilst research on ACs generally is positive in terms of them showing little or no adverse impact in terms of gender or – in terms of the UK at least - ethnicity (Baron & Jarman, 1996), it has been argued that ACs often enshrine a male-dominated perspective on leadership in terms of the underlying model of leadership they represent and the way it is described in terms of competencies and behaviours.

Work sample tests are also usually found to be fair, and in some cases may offer an alternative to traditional tests of cognitive ability – for example, an in-tray or similar individual decision-making exercise (the Policy exercise at CSSB would fall into this category also), may be constructed to assess both intelligence and the ability to apply it in a practical way to examples of real issues and problems in the organisation concerned.

## Impact on the Candidate

ACs have a high level of 'face-validity' – that is, they look as though they are measuring relevant job behaviours, both to assessors and to candidates. Generally speaking, ACs are viewed positively by candidates, partly because of this and partly because they are seen to be thorough. However, they can have longer-term detrimental psychological effects on unsuccessful candidates (Fletcher, 1991). In terms of the top management group specifically though, ACs may have less appeal, not least because candidates at this level frequently do not wish their candidature to be widely known (which taking part in a group process is likely to undermine). In addition, in practical terms, the small number of candidates for a top post may be too few to mount an AC.

Work Sample tests, because they are just that, similarly have credibility and acceptability with candidates. Whereas an AC may not be suitable for top level management candidates for the reasons indicated, an individual decision making exercise might be more acceptable as it does not involve any more exposure of the candidate to a wider group than would a psychological test.

### Cost

ACs represent the highest cost in terms of assessment methods, although just how expensive they are clearly varies according to the nature of the AC and its duration. They are usually only used where the numbers of candidates make the cost worthwhile. But there are some advantages offered by ACs that are difficult to quantify in terms of simple costs – their face validity with both candidates and assessors, the useful development information they yield for the candidates, the favourable external impression of the organisation they can give, etc etc.

Work Sample tests used as stand alone elements in a selection procedure involving interviews and, perhaps, personality questionnaires, may be much less expensive, especially if they are bought off the shelf (as many simulation exercises can be).

### Meta Analysis References

Gaugler, Rosenthal, Thornton & Bentson, (1987); Schmidt & Hunter, (1998); Hough & Oswald, (2000); Arthur, Day, McNelly & Edens, (2003).

## **SOME OVERALL CONCLUSIONS ON THE LITERATURE REVIEW OF DIFFERENT SELECTION AND ASSESSMENT METHODS**

The average validity achieved by the different methods reviewed is summarised in the Table below –

Structured Interviews	.44-.56
Tests of Cognitive Ability	.40 -.50
Assessment Centres	.37-.43
Personality Questionnaires	.40
Work Sample Tests	.32
Biodata	.30-.35
References	.25
Unstructured Interviews	.14-.33

As far as possible, these figures represent validities obtained where job performance rather than other criteria were used, and tend to focus more (but by no means exclusively) on managerial and graduate populations. They also reflect statistical corrections for various distorting factors that might otherwise lead to an underestimation of the true predictive power of the different methods.



However, it is of course rare for a single assessment method to be used in selection – even at the simplest level it is usual to have at least two (interview and references). Combining assessment methods can enhance the validity achieved, though it is not automatically the case. Thus, based on a number of studies, here are some average validities obtained from different combinations of assessment methods –

Tests of Cognitive Ability and Personality (Integrity) Measure	.65
Structured Interview and Tests of Cognitive Ability	.63
Tests of Cognitive Ability and Work Sample Test	.60

The above is illustrative only. For example, the first of the three relates to studies where a single personality-type measure focusing on Integrity was used – such a measure would only be relevant to certain selection situations, and mostly in jobs at a fairly low level. Indeed, none of these take into account job level. However, they do show how, up to a point, combining different methods can often lead to an increment in validity of assessment.

Turning now to a fundamental issue. Almost all the studies covered in the meta-analyses from which the above conclusions are drawn do not necessarily deal with very senior appointments – indeed, mostly they relate to selection situations where larger numbers of applicants and jobs (eg Graduate or middle-management selection) are involved. This is partly because there is organisational interest in large-scale recruitment and selection, but also because there are fewer methodological problems in doing research of this kind. *There are considerable difficulties in doing good quality research on selection to individual high-level posts* – because to do validation research generally requires an adequate sample size that can be followed up and evaluated using statistical techniques, a situation that does not usually arise for top level management positions. In the latter, there are usually only 3-5 candidates for a specific job, and only one will be appointed! The result is that there is extremely little research published on selection to top management.

Does this mean that meta-analysis findings are not relevant to top management selection? Fortunately, no, because what meta analyses have shown is that validity is *generalizable* from one group to another. By establishing that particular techniques have repeatedly been shown to have validity across such widely-differing candidate groups, countries, job roles and levels, they provide the justification for saying that in the majority of cases they are likely to be similarly valid for any new group or setting where they are applied (assuming of course that they are relevant to that situation). For the most part, then, there is every reason to believe that the validities established hold good for top management levels also – with some caveats, the principal one of which relates to cognitive ability.

As indicated earlier, where a group is already very highly selected on a particular attribute such as intelligence, adding further measures of it to the selection process may yield little additional information. One would be trying to make an increasingly fine discrimination across a very narrow range, and it is very doubtful in the case of intelligence that beyond a certain threshold level any increment will have much positive effect (though it might have a negative effect!). Thus, the value of using tests

of cognitive ability with a group who all hold good university degrees and have very successful track records may be small. However, where the candidate group is more varied in background and academic achievements, or where the nature of the job is, even for a top level group, especially intellectually demanding, then cognitive tests may have something more to contribute.

The other context in which tests of cognitive ability are important is where potential is being assessed. At middle and senior management levels, an individual may be coping well enough but actually be operating at the ceiling of their intellectual ability. Further promotion can lead to them struggling. Thus, for grades just below the top level, it is important to ensure that those being considered for progression have the intellectual power to make the next step. But, as indicated, this is for candidates who are currently outside the top management bracket.

The situation in respect to cognitive test use is likely to change in the future, though. In recent years, the number of “good” degrees has increased, and this criterion has thus become less effective as a means of discriminating between candidates. Employers recruiting graduates have become less willing to rely on degree class or A levels (which have suffered similar inflationary effects) and have resorted to using cognitive ability tests as their way of benchmarking intellectual power. Indeed, the universities themselves are looking at using objective tests as an adjunct if not a replacement for A level grades as a means of selecting students. Whilst this does not impact on top management appointments at the present time, some years from now it may well do – because the same problem of evaluating the academic ability of those coming forward may exist. In which case, testing (in some form) for cognitive ability may become more desirable at that point.

Leaving aside the validity of the different assessment methods, what of the other criteria they might be evaluated on? Fairness is the most important, and a ‘League Table’ might look like this, starting with the most fair at the top –

Assessment Centres  
Structured Interviews  
Work Sample Tests  
Personality Questionnaires  
Biodata  
References  
Cognitive Tests  
Unstructured Interviews

Again, though, this is in very general terms. For top management positions, it is unlikely that Cognitive Tests would come any lower than Work Sample tests. And whilst Biodata may well be a vehicle for bias, if constructed well it may be completely fair. With all the methods, it is to some extent a question of how they are used – even the best can be misused and applied in a way that produces inequity. The same goes for their impact on candidates; whether this is positive or negative largely depends on how the assessment method is presented. Candidates respond most favourably when –

- they can see (or have explained to them) the relevance of the measure to the job

- they are told how it will be used in the selection process
- they know it will be not be a pass-fail mechanism, used in isolation from the rest of the selection procedure
- they are offered feedback on their performance
- they can see it is being used/presented in a professional manner

In terms of cost, the least practical methods for top level appointments are Assessment Centres and Biodata, because of the small number of candidates involved, the political aspects of the situation (in relation to using ACs) and the expense of devising either for a one-off exercise. Although it is possible to buy off-the-shelf ACs or Biodata questionnaires, unless custom-designed they are likely to lack both relevance and validity in making top level appointments.

Having reviewed and discussed the general evidence on the effectiveness of selection methods, the next section will look at the literature specifically on top management assessment.

### **THE LITERATURE ON TOP MANAGEMENT SELECTION**

The difficulties of doing selection validation research for top management referred to a little earlier were reflected in the paucity of material found when various literature searches on top management assessment were conducted. In truth, virtually no genuine research articles of this kind were identified. What follows is a review of other material located, most of which is of somewhat tangential relevance.

There are a number of practitioner pieces in more general management journals which give their authors' or contributors' views on what practices should be followed. For example, a recent article in the *Director* magazine (published by the Institute of Directors) made the point that psychometric tests were little used at Board level in contrast to the situation for levels below this; it asserted that top management still went more by 'gut feel' on selection to the Board, and advocated a more systematic approach using psychometrics (Leslie, 2004). In similar vein, an article in *Directors and Boards* magazine urges the use of competency-based, behaviourally-focused interviews, with each interviewer covering 2-3 competencies, and the administration of psychometrics to "validate" the interview findings (Zwill, 1997). While such articles are interesting, they do not in themselves offer any proof of the effectiveness of the approach they propose.

Of the more scientific journal articles, one by Sessa and Taylor (2000) is interesting in that it was based on a systematic investigation which involved interviewing 494 executives in the top three layers of organizations about their experiences of selection at their levels and the success achieved of those selected. As the authors point out, top level executives often have little expertise in selection, but despite this they frequently do not seek to call on those who do have expertise, and indeed do not follow the kind of decision making process that they would in other fields of activity. The chief finding from the study was that selection based on group decisions rather than individual decisions had significantly better outcomes. Moreover, they found that a wider mix of membership on the selection committee also enhanced outcomes. Where this included input – direct or indirect – from subordinates or customers, this further improved selection. It is of course not surprising that having a degree of diversity in

the selection committee is a positive factor, as many psychological studies show that one of the strongest predictors of interview outcome is candidate-interviewer similarity; the tendency to recruit 'like self' at all levels is a strong one that needs to be counteracted, both for fairness and to ensure a healthy diversity of management resource is available to the organisation.

One of the best articles that just creeps into the top management category is that referred to earlier in the section on What to Assess, by Spreitzer, McCall & Mahoney (1997), which deals with identifying top management potential. However, as this chiefly dealt with the qualities to be assessed rather than selection per se, it will not be discussed further here.

Although they are not exclusively about top management, there are also some articles of relevance because they deal with a process that is often used in selection at this level, namely what is termed Individual Executive Assessment or Individual Psychological Assessment. This is the process where an occupational psychologist (usually but not exclusively external to the organisation) gives a battery of tests and an in-depth interview to the short listed candidates for senior posts, and writes an assessment report for those conducting the final interviews. This deals with an important point about the use of selection methods at this level. Much of what has been established about the validity of different assessment techniques rests on their application to a large number of candidates, a very different situation to looking at 3-5 candidates for a single senior post. A psychologist using a test or questionnaire knows what its general validity is, but in the context of an Individual Psychological Assessment he or she is not using the tests in a statistical way – they are being used as an input to a wider judgement process about the candidate and the appointment which seeks to combine all the information together to reach a decision. This is what is referred to as a clinical judgement process, which rests not simply on the quality of the tests, but also on the experience and competence of the psychologist and on the quality of information they have available from the organisation.

There is little good quality research on Individual Psychological Assessment processes (largely for the same reasons as there is little research on top management selection as a whole). However, what there is shows the need for caution (Highhouse, 2002). As indicated above, a great deal depends on what the psychologist assessor is given to work with in terms of the assessment briefing. What seems never to have been researched is how Individual Psychological Assessment Reports are actually used as an input to making the assessment decision. In the majority of cases, they are simply left to the interviewer(s) to consider, and only rarely is the psychologist asked to brief the interviewers directly or to respond to queries about the report. How effective is this if the interviewers have little knowledge or experience of the nature of the assessment process they are based on?

#### **A BRIEF SURVEY OF TOP MANAGEMENT SELECTION PRACTICES OUTSIDE THE CIVIL SERVICE**

To add another dimension to the study, a small survey of top management selection practices in other organisations was included. Initially, this was intended to cover just 6-7 organisations in the time available, but it grew to something larger than that, though it should be emphasised that it is not a full, systematic survey.

The organisations approached fell into two categories –

- professional and other bodies who might have an overview of what practices were being adopted
- a diverse group of large organisations whose selection practices might stand as examples of what is typically done in this field externally

### **Findings from Overview Bodies**

In this category, the following organisations were contacted, and all replied –

- Institute of Directors (Policy Research Unit and Information Services)
- Chartered Institute of Personnel and Development (CIPD)
- Society of Chief Personnel Officers (SOCPO)
- Centre for Board Effectiveness, Henley Management College
- Odgers Ray & Berndtson (Executive Search Company)

The first thing to say is that none of them had conducted a formal survey on this topic. The nearest to having that kind of breadth of view was the Executive Search company, Odgers, who have extensive experience of top management selection practices across a wide range of organisations and were kind enough to share their observations. Their assessment was that 85-90% of the organisations they deal with used just interviews and references. Those with HQs in the USA or other close American links (eg Microsoft or IBM), and organisations in the retail and consumer sector (eg Kingfisher) were more likely to make use of psychometrics, work sample tests or assessment centres. They felt there were two influences that might work to increase the sophistication of the selection methods used. One was the influence of the adoption of the Higgs report on Non-Executive Directors (Higgs, 2003), which required the formal appraisal of Directors on an annual basis – Odgers representatives felt this might have a knock-on effect and persuade companies to be more professional in how they went about selection at this level. The other influence was that search agencies themselves were increasingly building-in psychometric and other assessment methods into their own evaluation of candidates. This latter point is interesting, as it raises the question of objectivity, as will be seen in one of the organisational examples below.

The National Talent Management Lead for the Society of Personnel Officers reported that in terms of local government, no common assessment process for top appointments exists. He reported, however, that it is now quite common is for an assessment centre to be specifically designed and tailored for top level appointments. This is undertaken by either the HR department or (now) more commonly by consultants. Otherwise, apart for the normal interview the most common tools used were personality questionnaires and work sample tests.

The other overview bodies, where they were able to comment at all, offered observations much in line with those of Odgers. It was pointed out that (executive) Director level appointments were often made from within the company rather than through external sourcing.

### Findings from the Organisations Contacted

In this category, the following organisations were contacted and all replied (though for various reasons, Unilever, BP and the BBC all replied too late to be included in the short time frame of the study) –

- BP plc
- Pearson plc
- N M Rothschild
- UBS
- Unilever plc
- BBC
- Shell
- EMI Music
- KPMG
- Freemantle Media

The input from these organisations did not significantly contradict the impression formed from the overview bodies. However, they did add considerably more detailed information and some interesting experiences and examples. The main conclusions from this part of the survey are that -

- In the private sector, the interviews are nearly all done on a sequential, one-to-one basis
- The amount of time spent on interviewing is typically considerably more than is usually the case in senior civil service appointments
- The interviewing is often done, in part at least, around the organisation's competencies
- Frequently the references are supplemented with informal 'soundings' about the candidates
- In some cases (eg Investment Banking) there is hard evidence on performance that can be used
- Majority of (Executive) Directors are appointed from within – and may have been through other assessment processes earlier in their career
- 'Fit with Board' is probably a higher priority than openness and fairness in the assessment process

To take the first three points, it is common for candidates to have 4-6 interview sessions (apart from any with the executive search company) each lasting an hour or two; small wonder that private sector candidates short listed for senior CS posts often comment with surprise at the selection process being so brief. (However, one company approached said they sometimes put the candidates in front of the MD first, because if he did not like them there was no point carrying things further!)

The fourth and seventh points perhaps reflect a difference between the values and constraints of the public sector compared to the private sector. Indeed, Higgs (2003)

noted a “high level of informality” surrounds the process of appointing NEDs and that almost half were recruited through personal contacts and friendships, with only 4% having a formal interview. He was favourably impressed by the open and transparent procedures in the public sector (Smerdon, 2004).

There are other variations specific to particular companies or sectors which will not be reported here as they have little relevance to the Civil Service. But there were a couple of interesting examples that are worth describing. The first of these was from a company that had experienced some problems with Director level appointments in recent years. They have now taken to forming a project group for similar appointments and include within this the coach who has been working with the level immediately below that of the person to be appointed – so that the strengths, weaknesses and style of the supporting team could be considered in the appointment process. They felt this had worked very well and provided a vital input. They also used an executive search company that did a psychometric and work sample-based assessment of candidates as part of their process.

This last point raises an issue that was alluded to earlier, and which is exemplified by another company contacted. They also had experienced a significant failure of a senior appointment, and similarly had used the executive search company to carry out the psychometric assessment of the candidates they fielded. In these circumstances, the question may be asked (and was by the company concerned) as to whether the search agents are the most detached and objective people to assess and report the outcome of the psychometrics? Is it a matter of Due Diligence that these two elements should be kept separate?

Finally, as an example of an unusually thorough process, the selection of Partners for KPMG is largely from within the company. It involves candidates having made the requisite progress through a number of earlier grades to the point where they may be considered to be in the field. To progress further, they need to be sponsored (in effect, recommended) by a Partner to go forward, after which the process consists of –

- a personality questionnaire and in-depth interview with a psychologist
- attending an assessment centre

For those getting through this hurdle, they are (up to a year) later required to make a presentation to a Partners’ meeting and go through one further interview. If they are successful, they can become Partners.

## **CONCLUSIONS AND RECOMMENDATIONS**

What are the implications of the findings of this study for the selection of candidates to the most senior Civil Service posts? The starting point for answering this question is to consider what is typically done when making such appointments at the present time; broadly, the process followed is -

- Drawing up of job and person specification
- Advertisement/Application
- Executive Search Company (ESC) create long list
- Department/OCSC representatives and ESC decide on short list
- References taken up (some may have been at the long list stage)
- In some cases, an Individual Psychological Assessment of the short list candidates is carried out, reports going to the Interview Panel

- Interview Panel, lasting up to an hour, and in some cases including a brief presentation by the candidate. The interview is usually loosely structured rather than being a competency-based, behaviourally focused one.

Commissioning of an ESC is only likely to take place where the post is open to external candidates. Individual Psychological Assessments are only commissioned in some competitions. Where they are used, they are generally done on all the short listed candidates, though there are occasions where this has not been the case.

It appears, then, that universal elements of the assessment process, references and a loosely structured interview, are those that have been demonstrated to have low or modest validity (in the sense that as interviews become less structured, they become less valid). Moreover, the amount of time given to interviewing the candidate is rather short by comparison with external organisations, and interview time is related to validity (up to a point, as one rises so does the other).

How might the present approach be improved? Taking each of the present stages of the process in turn (excluding Advertising, which is outside the scope of this study) -

(1) It is not possible here to comment in detail on the amount of time or methods used in drawing up the job and person specification – no systematically obtained information is available to the author on this. However, based on personal observation of the output of the process in the form of the statement of the job details and the candidate brief, they often seem to be couched in general terms with limited reference to the SCS competency framework, and – in the opinion of the author of this report – tend to fall into the trap of failing to differentiate between what is essential in terms of candidate attributes and what would simply be desirable. A more systematic analysis of the role/candidate requirements in terms of the SCS competency framework might be helpful, and indeed essential if other recommendations that follow are to be implemented. In addition, though, the SCS competency framework itself has been in existence for some while and might benefit from review. To some extent, this has already happened in the process of establishing the High Potential Development Scheme and its enhancement of the SCS competency set, but this review should be put on a more formal and systematic basis.

Apart from describing the role and the person requirement, more attention might also be paid to looking at the appointment in terms of the profile of the peers and direct reports the individual would be working with.

(2) Consideration might be given to including structured self assessment on the application forms

(3) The use of ESCs is helpful and appropriate in most instances. Given some of the points raised earlier in this report, it would seem most sensible to keep any Psychological Assessment of candidates independent of the ESCs' contribution.

(4) Short listing would also be better informed with a clearer analysis of the role and person requirements



(5) The validity of References is improved by including an element of structure around competencies. However, formal references may become increasingly difficult to obtain at all.

(6) Where Individual Psychological Assessments are used, more time and attention needs to be given to the briefing of the psychologist concerned, and to the use of the output (assessment reports) from this element of the process. Comments on the types of test that might be included are given below

(7) To increase the validity of the interview, it would be helpful to both include an element of structured, behaviourally focused interviewing, and to expose the candidates to longer interviewing time that is presently the case. It is not necessary, though, for *all* of the time devoted to interviewing to be competency-based.

All these improvements are consistent with the literature reviewed and with good practice elsewhere. However, there are several other issues and potential changes that need to be considered:

*\* Should Psychometric measures should be used, and if so, which?*

Given that the validity of cognitive ability and personality measures is good, the case for including them more routinely is strong. However, there are a number of important caveats. First, they need to be presented to candidates in a careful manner, and in such a way as to minimize less positive reactions. Second, their use needs to be guided and targeted by careful briefing about the role being selected for and its context. Third, at the present time, the psychometric measures that are most likely to be useful for top posts are personality and related (eg Leadership, Emotional Intelligence, etc) questionnaires. It would not be appropriate to seek to specify which ones in particular, as these would vary according to the role requirements and also according to the approach of the psychologist concerned. Fourth, cognitive ability tests might be valuable for selection to some top level posts, but careful consideration needs to be given as to whether there is any real danger of indirect discrimination arising. The situations where they might make the most valuable contribution are where the demands of the job place a special emphasis on intellectual capacity, and where the candidate field is varied in terms of its background and academic attainment.

*\* Are there other assessment methods that should/could be used?*

For the most part, it seems unlikely that Assessment Centres will be feasible alternatives for top management selection, on grounds of cost and candidate concerns. However, it might be worthwhile looking further into the claims that ACs are used often in local authority top management selection to see how the potential disadvantages are overcome (if indeed they are) in those settings. But Work Sample tests could be included in the assessment for top CS posts. It might be worth considering commissioning the development of one or more Individual Decision Making exercises that have generic relevance to SCS work. This could be in terms of broad fields of work or in terms of common problems that arise across fields and departments. Exercises of this kind would have the advantage of offering an alternative to cognitive ability tests, as they would not only test this quality but also its application in decision making. In addition, the high face validity of such exercises increases their acceptability to candidates, and it is less likely to generate indirect

discrimination than are cognitive ability tests. If a Work Sample test were given, it could be as part of an Individual Psychological Assessment or as part of a separate meeting at the hiring department.

*\* What kind of structured interviewing should be used?*

Although very highly structured interviews yield the best validity, they are less likely to be appropriate for the complexity of top level jobs, and also more likely to produce negative attitudes in the candidates. A competency-based interview – as it presently used in assessing candidates for the High Potential Development Scheme (HPDS) – offers a more suitable approach. Essentially, this takes the form of questions based on the behavioural descriptions of competencies. See Appendix A for an example, which is drawn from a section of the Guidance for Interviewers issued to Permanent Secretaries and NEDs who were serving as interviewers on the HPDS assessment process. Although it would be straightforward to develop similar but perhaps more general guidance notes for departments, it would be desirable to offer – if not insist on – training in competency based interviewing for all those likely to be involved in it. A similar approach was used when the Civil Service Selection Board went over to this kind of interviewing a few years ago.

None of these changes will be achieved without incurring additional costs, of course. However, in selection and assessment as in other fields, there is no quick fix, and any increase in time and money expended has to be viewed against the potential costs and damage resulting from making senior appointments that turn out to be less than successful. It is important, though, that any changes made be evaluated. There are various ways of doing this, but these are beyond the scope of the present report.

To summarise; it is **recommended** that –

**The current approach to making top management appointments in the Civil Service be reviewed and revised to increase its potential validity, and that this should principally involve -**

- E. A more refined and systematic way of describing the job and the person specification, at least in terms of the relevant competencies**
- F. The use of assessment devices other than just the interview - specifically psychometric measures and, possibly, Work Sample tests; commissioning of the development of the latter for exclusive CS use might be considered**
- G. Including a more structured, behaviourally focused approach to at least part of the interview, and greater time being devoted to the interviewing**
- H. Training for interviewers in any new approach adopted**

## APPENDIX A

### What is a Competency-Based Interview?

Not surprisingly, it is an interview based on the behavioural descriptions of each competency. For example, taking one of the High Potential Development Scheme competencies -

Focusing on Delivery	<ul style="list-style-type: none"><li>- Shows speed and flexibility in adjusting to new circumstances</li><li>- Provides the focus and cohesion to enable staff/colleagues to deliver effectively</li><li>- Takes personal accountability for managing outcomes and risks</li><li>- Demonstrates a record of improved results</li><li>- Exceeds customer expectations</li><li>- Identifies and makes best use of diverse resources to deliver goals</li></ul>
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The kind of questions that can be developed from this are –

- Tell me about an occasion recently when you had to demonstrate particular speed and flexibility to adjust to new circumstances – what did you learn from it?
- How do you think you help your staff or your colleagues to deliver more effectively?
- Do you feel you have taken any risks at work – how did you feel about that, and what responsibility did you have for the outcomes?
- What evidence can you bring forward to show how you have achieved a record of improved results in your division?
- Can you give me an example of how you have exceeded customer expectations in your present role?
- Have you had a situation where you had to make use of diverse resources to deliver your goals? Please tell me about it.

These are examples only – obviously there could be differences in wording or variations on these themes. Indeed, the behaviours listed under a competency heading are not meant to be an exhaustive list, but simply indicators of the kind of behavioural domain covered by that competency. The point is to seek behavioural evidence to make an assessment of the individual on that competency.

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## Welcome to Mendas

### Assessing and Selecting Civil Servants

Justin Spray C.Psychol. - Director

Dr Simon Draycott C.Psychol. - Director

Mendas Ltd



## Mendas

- Team of Chartered Occupational Psychologists
- Preferred supplier of assessment solutions to the UK Public Sector



## Relevant Experience



Page 3

## Skills needs in the Civil Service

- **Leadership**
  - provide direction for the organisation
  - deliver results
  - build capacity for the organisation to address current and future challenges
  - act with integrity
- **Core skills**
  - people management
  - financial management
  - analysis and use of evidence
  - programme and project management.
- **Senior Civil Servants**
  - communications and marketing
  - strategic thinking.
- **Professional skills**
  - Job-specific professional skills are related to the specific work undertaken

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## Possible tools

- Written tests
- Psychometric tests
  - Ability measures
  - Personality measures
- Interactive exercises
- Interviews
- Assessment Centres

Page 5

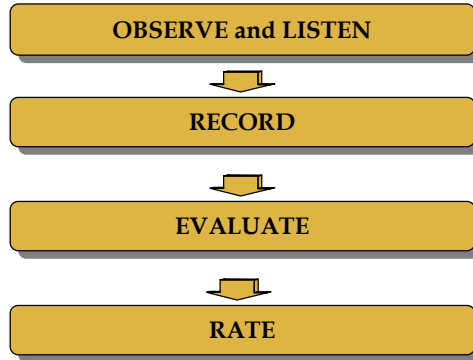
## Facilities to video/record role play



- State of the art assessment centre facility in Holborn in Central London
- Mendas can set up these facilities anywhere in the world
- High definition, remote-operated cameras in each of its assessment rooms
- Cameras linked through to video monitors located in a central observation room
- Allows assessors to monitor activities more closely, playing back sections of an assessment as and when required
- Less obtrusive for candidates – more natural behaviour
- Playing the exercises back to help develop candidates

Page 6

# The assessment process



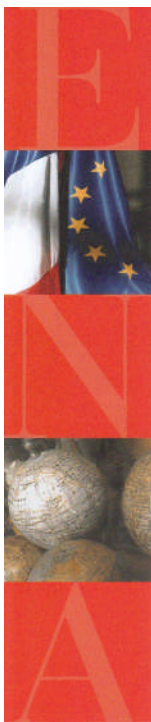
# Behavioural indicators

	Total 17	-	o	+
Has approached portfolio in systematic way				
Synthesises information and draws out implications/themes				
Takes a systematic and structured approach to further action				
Identifies significant ambiguities/conflict in the information				
Identifies gaps in information				
Demonstrates confidence in own analysis				
Demonstrates comfort with the ambiguity				
Thinks strategically: sees the wider picture eg need for FSA research into new market				
Able to drill down into the detail when required				
Avoids jumping to unreasonable conclusions				
Accurately prioritises areas for immediate action				
Comes up with sensible proposals for next steps				
Has sound evidence-base and rationale for proposals				
Identifies clear outcomes for firm				
Has appropriate ideas for resolving information issues				
Articulates conflicts eg concerns around loan sharks vs financial exclusion of students				
Manages time effectively (eg finishes presentation in time)				

# Rating Scale

<p style="text-align: center;">0</p> <p>The participant's responses suggest that they are operating at well below a competent level and would benefit from substantial development. The participant's responses suggest that he/she rarely demonstrates the assessed area of competency in his/her working life. He/she represents a very significant risk that will not be able to meet the required standard in the assessed area of competency if offered a role.</p>
<p style="text-align: center;">1</p> <p>The participant's responses suggest that they are operating at a level that is less than competent, and further development is required to bring the overall performance on the assessed area of competency to a satisfactory level. The participant's responses suggest that he/she usually does not demonstrate the assessed area of competency in his/her working life. He/she represents a significant risk that will not be able to meet the required standard in the assessed area of competency if offered a role.</p>
<p style="text-align: center;">2</p> <p>The participant's responses suggest that although there are some areas of strength, the participant would need to improve in a number of areas before they could be considered strong for this role. The participant's responses suggest that he/she sometimes demonstrates the assessed area of competency in his/her working life but that he/she is somewhat inconsistent. He/she represents some risk that will not be able to meet the required standard in the assessed area of competency if offered a role.</p>
<p style="text-align: center;">3</p> <p>The participant's responses suggest that he/she is operating at a level that is considered to be strong for the role in question. There are some areas for improvement across the assessed area of competency but not significant ones. The participant's responses suggest that he/she usually demonstrates the assessed area of competency in his/her working life. Represents little risk that will not be able to meet the required standard in the assessed area of competency if offered a role.</p>
<p style="text-align: center;">4</p> <p>The participant's responses suggest that he/she is operating at a level that is considered to be extremely strong for the role. In some respects the participant is considered to be outstanding. Very limited room for improvement has been identified in respect of this competency in this role. The participant's performance suggests that he/she almost always demonstrates the assessed area of competency in his/her working life. Represents an insignificant risk that will not be able to meet the required standard in the assessed area of competency if offered a role.</p>

## Any questions?



# Ecole Nationale d'Administration 法国国立行政学院

Le 2 décembre 2008  
2008年12月2日



direction des relations internationales



## Une école au service du changement 一所为变革服务的学校

- créée en 1945
- 成立于1945年
- pour aider la France à se relever de la guerre
- 旨在帮助法国战后复兴



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## Un double objectif 双重目标

- de modernisation...
  - et de démocratisation...
- de la haute fonction publique

高级行政部门的：

- 现代化
- 大众化



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3

- une formation spécifique/一种特殊的教育课程
- une formation unique/独一无二的教育课程
- qui favorisent le dialogue interministériel  
有利于部际对话
- permettent la mobilité professionnelle  
促进职业流动
- et contribuent à ce titre /并因此有助于：
  - à la diffusion de l'innovation/传播创新
  - à placer la capacité d'adaptation au premier rang des qualités cultivées chez les futurs dirigeants de l'administration  
/把适应能力置于未来行政领导人应具备素质的首要地位



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## Un recrutement exigeant 严格的招生程序

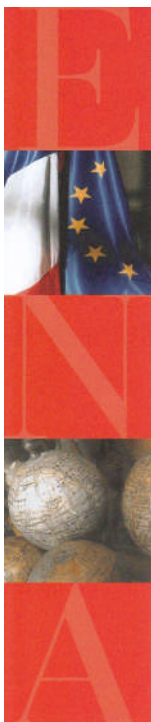
fondé sur un concours pluridisciplinaire qui garantit que les bases théoriques ont été acquises par les élèves avant leur entrée à l'ENA.

以一种多学科竞考为基础，确保学生在进入国立行政学院之前便已获得各种理论知识



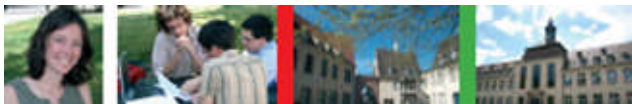
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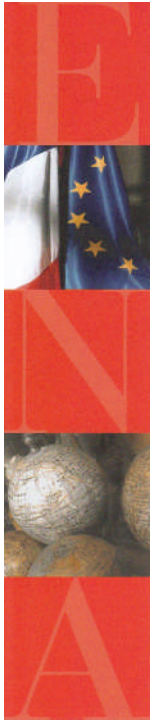
## Trois voies de recrutement pour 80 à 100 candidats 三个招生渠道，每届名额80至100人

- le concours externe : 50% des postes  
外部竞考：50%名额
- le concours interne : 40% des postes  
内部竞考：40%名额
- le troisième concours : 10% des postes  
第三类竞考：10%名额



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## Les trois concours

### 三类竞考

- Comportent de légères différences/略有不同
- Mais sont fondés sur des exigences communes  
但以共同要求为基础：
  - une solide culture générale/扎实的综合文化修养
  - des connaissances précises dans des domaines divers /不同领域的具体知识
  - la capacité de raisonnement/分析推理能力
  - la clarté de l'exposition/表述清楚
  - le sens de l'Etat et du service public/国家与公共服务意识



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7



## Une formation fondée sur la pratique

### 以实践为基础的教育课程

- Les stages, un apprentissage/实习，也即：
  - *par l'observation* /通过观察学习
  - *par l'exemple* / 通过实例学习
  - *par l'exercice de responsabilités* / 通过行使职责学习
- Les études, également pratiques, à travers  
课程教学也在以下各方面体现实践特性：
  - *les enseignants* /教员
  - *la méthode pédagogique*/教学方法
  - *la finalité : non un diplôme, mais l'accès à un corps de l'administration*/学习目的：不是取得文凭，而是获得某一行政官员职系的准入资格



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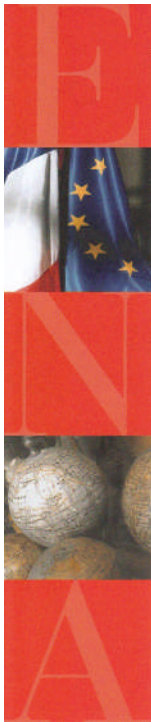
Etudes et stages se combinent dans une  
scolarité de 27 mois  
organisée en trois modules  
学制27个月，课程学习与实习相结合，  
按3个单元进行组织

- Europe / 欧洲
- Territoire / 区域行政
- Management / 管理
- et une option d'approfondissement  
另加一个专业深化任选单元



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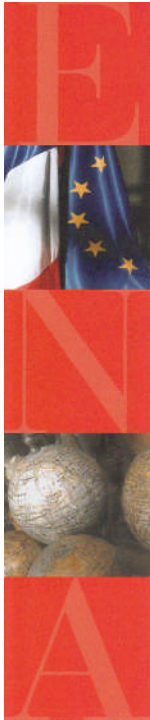
Un système adapté au monde complexe et en  
mouvement dans lequel nous vivons  
一种与我们所处的复杂而  
不断变动的世界相适应的体制

- nouveaux champs d'action pour l'Etat  
/国家的新行动领域
- multiplication des acteurs  
参与角色的增多
- des attentes encore plus grandes  
/期待要求更高



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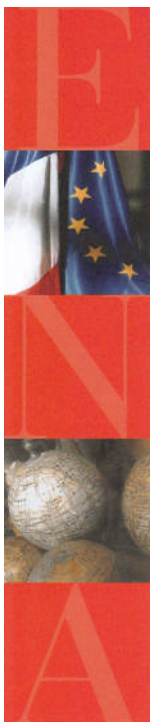
## La formation permanente complète la formation initiale 继续教育与初始教育互为补充

- des formations facultatives /非强制性培训
- des formations obligatoires /强制性培训
  - CSPA – 70-2/民事官员高级进修班
  - Directeurs /司局长
  - Sous-directeurs/处局长



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## Ecole Nationale d'Administration, l'ENA est aussi une école européenne 国立行政学院也是一所欧洲性学校

- qui a son siège à Strasbourg/本部设在法国斯特拉斯堡
- dont l'Europe constitue l'un des trois modules d'enseignement /欧洲问题为三个教学单元之一
- qui assure à des publics français ou européens de nombreuses formations consacrées à l'Europe ou s'y rattachant / 学校为法国或欧洲不同公众提供关于欧洲专题或与欧洲相关的各种培训课程



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## ... une école européenne 一所欧洲性学校

- qui accueille depuis 1949 des fonctionnaires ou des étudiants européens dans ses cycles

自1949年以来在各类培训班中接纳欧洲各国公务员或大学生

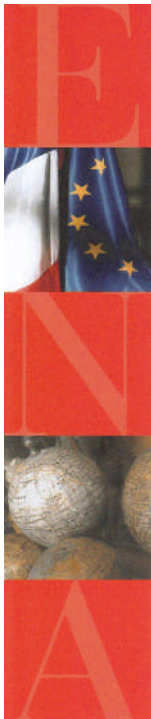
- qui admet désormais les ressortissants de l'UE à se présenter au concours d'entrée en vue de devenir fonctionnaire français

现已允许欧盟籍公民参加以成为法国高级公务员为目标的国立行政学院入学竞考



direction des relations internationales

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## L'ENA est enfin une école internationale 国立行政学院也是一所国际性学校

- un recrutement diversifié / 多样化招生
- une coopération très active/国际合作积极活跃



direction des relations internationales

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## Un recrutement diversifié 多样化招生

- 2773 élèves étrangers...  
2773名外国学生
- ... représentant 118 nationalités différentes  
/ 代表118个不同国籍
- ... dans trois cycles de longue durée  
/ 分布在3类不同的长期班
- ... ouverts à des participants étudiants ou fonctionnaires âgés de 21 à 50 ans  
/ 对象为21至50岁的外国公务员或大学生



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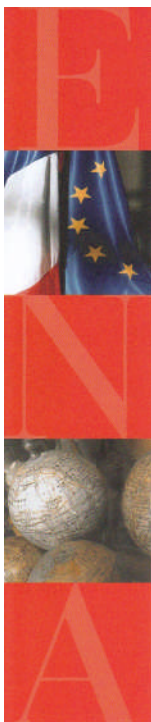
## Une coopération très active 积极活跃的国际合作

- des cycles spécialisés de courte durée à Paris  
/ 在巴黎开设短期专题班
- des formations à l'étranger  
/ 赴国外举办培训
- des visites d'études en France et en Europe  
/ 在法国和欧洲组织考察访问
- des stages dans l'administration française  
安排在法国行政部门实习
- des missions d'expertise à travers le monde  
在世界各国承担专家任务



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## La lettre internationale de l'ENA 法国国立行政学院《国际通讯》

- Restons en contact avec  
让我们通过网站  
保持联系：  
[www.ena.fr](http://www.ena.fr)



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Merci de votre attention

谢谢您的关注



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附錄六



參訪人員與文官委員會辦公室官員 Mr. Bill Brooke  
及內閣辦公室官員 Ms Paulette Riddell 合影



參訪人員與 MENDAS 公司 Mr. Justin Spray 及 Mr. Simon Draycott 合影



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及 M. Bernard HAMMAT 合影