



# IMPROVING MANAGEMENT IN GOVERNMENT

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## REPORT

**Keyword:** management, authority, function, political management, administrative management, strategic planning, budgeting, organizational structure, community requests, network management

**Purpose of the study:** Establishing effective regulatory, methodological and organizational measures aimed at improving the quality of labor organization and management in the government institutions of Kazakhstan.

**Research method:** Analysis of existing secondary information, namely the results of research on this topic conducted earlier in the Republic of Kazakhstan, as well as the best management practices of government institutions in the world practice, available in the reports of the OECD, the world Bank, etc. Study of strategic planning and its relationship with the budget, the distribution of functions and responsibilities among the heads of government institutions, analysis of the degree of its impact on the performance of civil servants in particular and government institutions in general. Survey of target groups, namely civil servants of Central and local Executive of government institutions (14250 questionnaires – Republic of Kazakhstan, processing in STATA); Conducting 15 in-depth interviews with political and administrative civil servants and 3 focus groups with experts, representatives of the civil sector and business (Nur-Sultan, Almaty, Pavlodar, Taldykorgan).

**Novelty:** A package of measures has been developed to improve the management of government institutions based on a horizontal decision-making mechanism taking into account the society requests.

**Result of work:**

The problems of disproportion of functions of government institutions that duplicate the control functions of the Ministry of labor and social protection of the Republic of Kazakhstan have been identified.

The problems of linking the strategic goals of the Ministry, state and budget programs in the field of employment and social programs are identified.

Problems of differentiation of functions of political and administrative civil servants, balance of powers, responsibility and resources, overload of information flows at all levels of state administration are identified.

A list of exogenous and endogenous factors has been compiled.

Recommendations for improving the management of government institutions have been developed.

## DEFINITIONS

The following terms, abbreviations and definitions are used in this report:

Participatory governance model	the co-governance model based on the government and community collaboration for the public benefits increase
Stakeholder	an individual, group or organization that has an interest in something
KPI	Key Performance Indicators – the key indicators that demonstrate the extent of the goal achievement or the process quality, namely effectiveness and efficiency

## ABBREVIATIONS AND NOTATIONS

List of abbreviations used:

TSA	Targeted social assistance
Committee	Committee for Labor, Social Protection and Migration
LEB	Local executive body
MNE	Ministry of National Economy
MLSP	Ministry of Labor and Social Protection
CCS	Conditional cash assistance
OECD	Organization for Economic Cooperation and Development
PDT	The program of development of the territory
SSP	The system of state planning
Fund	"Public Fund for Social Insurance" JSC
CSB	Central government institution
KPI	Key Performance Indicators
NPM	New Public Management

## INTRODUCTION

### Relevance of the research topic

Challenges of the external environment force any state to reform the administrative system, adapting it to the current global changes and demands of society. These changes lead to the need to reduce government expenditures, the number of civil servants, optimize the structure of public authorities, and improve the quality and efficiency of management of public authorities.

Problems of internal management depend on the correct formulation of the vision and mission by government institutions, ensuring the balance of the triad «authority-responsibility-resources»<sup>1</sup>. The problems of internal management depend on the correct formulation of the vision and mission by public authorities, the division of powers, resources and responsibilities. The lack of a clear distinction between political and administrative management has led to political civil servants being forced to deal with operational issues. This hinders the introduction of new management organization methods, such as the agile model of management, which, unlike traditional management techniques, have a higher coefficient of productivity, quality of decisions made and, most importantly, adaptability to changes.

**The purpose of this study** is to identify effective regulatory, methodological and organizational measures aimed at improving the quality of labor organization and management in government institutions.

Achieving this goal is achieved by consistently solving the following tasks:

1. To study the results of previous research, trends, and best practices of effective management of public authorities.
2. Identify conceptual problem areas, exogenous and endogenous factors that affect the effectiveness of management of public authorities.
3. Develop tools, technologies, and methods:
  - separation of powers between political and administrative civil servants, as well as ensuring a balance of powers, responsibilities and resources;
  - ensuring that the government institutions' strategic plan is interlinked with the government institutions' budget planning;
  - optimization of information flows.

Research hypothesis: The Management of government institutions will be effective if the balance of powers, resources and responsibilities is observed, the separation of powers of political and administrative civil servants, and the optimization of information flows.

This study does not cover the topics of previous studies that were conducted by the Academy of public administration under the President of the Republic of Kazakhstan in 2012, 2013, 2015 with the development of specific recommendations on the regulation

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<sup>1</sup> A. Baimenov, On some factors of public administration efficiency, Public administration, issue 22 № 1, ISSN 2070-8378, 2020 с. 30 [https://drive.google.com/file/d/1y1SQsTw36dsdn7M8MLRC\\_mi\\_L0sxnRT4/view](https://drive.google.com/file/d/1y1SQsTw36dsdn7M8MLRC_mi_L0sxnRT4/view)

of working hours of civil servants and remuneration, automation of document management, implementation of the principle of "thrift", process approach in government institutions of the Republic.

Chapter 1 provides an overview of trends, concepts and best practices in public administration and management of public authorities, discusses the methodological foundations of the concept of "management" and its components, modern methods and tools.

The second Chapter presents the results of empirical research on the example of activity The Ministry of labor and social protection of the population of the Republic of Kazakhstan, territorial divisions, local Executive bodies in the field of employment and social programs, as well as expert assessments and a questionnaire survey of 14250 civil servants.

In the third Chapter, recommendations for improving the management of government institutions are formulated.

The conclusion presents the main conclusions of the study.

**The study was conducted on the basis** of a systematic approach. Such scientific tools as methods and models of system analysis, methods of expert assessments and international comparisons, correlation and regression analysis, and content analysis were used to solve the tasks. An important place in the study was given to the study of best practices of public administration, which contributed to a more accurate justification of recommendations for improving the management of public authorities.

**Information base** the information and empirical base of the research includes:

- official statistical materials on public service management issues;
- data published in domestic and foreign scientific journals and presented on official Internet resources of government institutions;
- laws, regulations, by-laws of Central and local Executive bodies on the management of government institutions;
- programs, projects and other primary materials of government institutions, national and international research centers, and non-governmental organizations;

The empirical base of the study includes:

- results of group surveys, expert evaluations, and Desk sociological research.

The report consists of an introduction, 3 chapters, conclusion, list of sources used, and appendixes.

# CHAPTER 1: TRENDS IN THE DEVELOPMENT OF PUBLIC ADMINISTRATION AND MANAGEMENT OF GOVERNMENT INSTITUTIONS

## 1.1 Review of modern theory concepts and models of public administration

All countries of the world are equally making efforts to create new effective models of governance. The higher the efficiency, the greater the credit of citizens' trust in the state, and the higher the political stability in society.

"Kazakhstan needs a new model of public administration that is adequate to the needs of society, efficient and fair" (Tokayev K-Zh., 2020)<sup>2</sup>.

In turn, the company's requests are based on replacing the bureaucracy with methods developed and applied in the sphere of corporate and private business: an emphasis on concrete results, the use of tools and technologies of project, strategic and risk management, a high degree of coordination and connectivity within and between government institutions, and the consideration of civil servants as managers-agents who care about the public interest. "Without a positive solution of this and other fundamental systemic issues, taking measures in the framework of other aspects of the civil service (selection of personnel, their assessment, certification, training, promotion, etc.) will be secondary and almost unable to change the work of the state and its bodies for the better" (Chebotarev A., 2020)<sup>3</sup>.

According to the report "Indicators of public administration" (Worldwide Government Indicators), published on September 25, 2020 by the World Bank, Kazakhstan has improved its position on the indicator "Efficiency of public administration", ranked 84th in the ranking among more than 200 countries.

The experts noted the improvement of the government's work due to the improvement of indicators in the field of the quality of the state apparatus and stability in the political and economic course, as well as in the level of satisfaction of the population with the provision of basic public services.<sup>4</sup> However, in the context of globalization and new challenges, assessment 4 for Kazakhstan is a step for taking more decisive actions to improve the quality of management of public authorities.

The transformation of public administration should be preceded by a thorough study of the best management practices, trends in the development of public administration and the quality of management of public authorities.

The study of the quality of public authorities' activities involves several areas of knowledge, among which the first place is the science of public administration, as a way of influencing the subject on the object of management, which changes the position, behavior, properties and qualities of the object to achieve certain goals.

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<sup>2</sup> [https://www.akorda.kz/ru/speeches/internal\\_political\\_affairs/in\\_speeches\\_and\\_addresses/vystuplenie-prezidenta-kasym-zhomarta-tokaeva-na-vstreche-s-uchastnikami-prezidentskogo-molodezhnogo-kadrovogo-rezerva](https://www.akorda.kz/ru/speeches/internal_political_affairs/in_speeches_and_addresses/vystuplenie-prezidenta-kasym-zhomarta-tokaeva-na-vstreche-s-uchastnikami-prezidentskogo-molodezhnogo-kadrovogo-rezerva)

<sup>3</sup> [https://aspandau.kz/index.php?route=news/news&npath=78\\_397](https://aspandau.kz/index.php?route=news/news&npath=78_397)

<sup>4</sup> <https://info.worldbank.org/governance/wgi/>

One of the most widely used theories of recent times in public administration reform, is *New public management*<sup>5</sup> (hereinafter referred to as NPM), which is inspired by ideas related to neoliberalism and public choice theory<sup>6</sup>. The essence of the theory is the transfer of management methods developed in corporations to the level of state and regional management.

The main value of the state, in this case, is that it turns into a megacorporation, whose priorities are human rights and individual freedom, a socially oriented market economy, mutually beneficial interaction of state structures with business, political and ideological pluralism, social efficiency, compactness of the administrative apparatus and its low cost. NPM involves constant external and internal monitoring of management results, the use of benchmarking technology of successes and causes of failures, management "by goals and quality", strict budgetary and financial control (Figure 1).

**Figure 1. The essence of new public management**



Source: Authors' own elaboration.

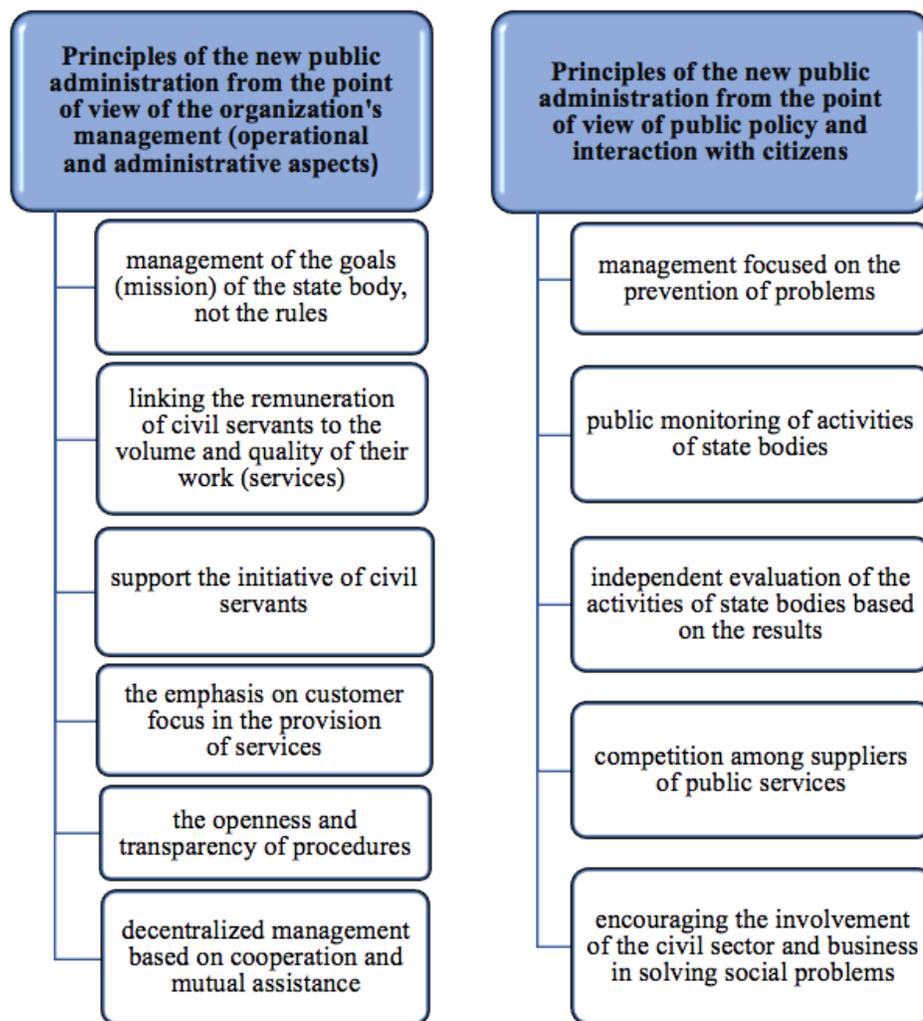
A government institution is considered an organization that is employed by taxpayers to provide services. The state and society are thus two different entities entering into a hiring relationship. There are two areas: economic marketization and organizational streamlining.

Principles of the New Public Management are illustrated in Figure 2.

<sup>5</sup> Hood C. A Public Management for all Seasons? // Public Administration. 1991. № 1  
 Dunleavy P., Hood C. From old public administration to new public management. Public Money and Management, 1994.14 (3): 9–16.

<sup>6</sup> <https://www.britannica.com/topic/governance/The-new-public-management>

**Figure 2. Principles of New Public Administration<sup>7</sup>**



Disadvantages of the model:

- the spread of corruption in the state apparatus;
- abuse of official position when delegating authority from the top down (behavioral behavior of civil servants).

In addition, the model does not take into account the specifics of public management aimed at ensuring human and civil rights and freedoms, independence from political parties, professionalism and competence. Despite the importance of guiding the goals of a public authority, any decision of a public official must be based on the rule of law, serving the interests of civil society and the state.

The concept also does not take into account the specifics of public-service relations and related restrictions.

There are difficulties in assessing the performance of civil servants whose functions are not customer oriented.

<sup>7</sup> Niskanen W.A. Bureaucracy and Representative Government. Chicago, 1971.

## ***The concept of "Reinventing government" (Reinventing Government — RG) - government managerism***

The founders of the concept are David Osborne and Ted Gaebler (USA)<sup>8</sup> suggested 10 principles for transforming all levels of government:

1. Incentive management: lead, not scold.
2. The management addressed to the society: to empower, not to serve.
3. Competitive management: the use of competition in the organization of services.
4. Mission driven management: transforming organizations that follow rules and regulations.
5. Results-based management: focusing on results over beginnings.
6. Customer-oriented management: the primary needs of the customer, not the bureaucracy.
7. Enterprising management: multiplying instead of wasting.
8. Prudent management: prevention instead of therapy.
9. Decentralized management: instead of hierarchy, participation and teamwork.
10. Pro-market management: gradual changes on a market basis.

This model also considers the state as, megacorporation, whose priorities are the careful and rational use of public money, competition in the public services market, digitalization and automation of public services, and evaluation of civil servants based on results.

The peculiarity of the concept and state management is the maximum decentralization of both structures and functions, de concentration and, delegation of authority, resources and responsibility to a lower level. Decentralization of management is accompanied by public control.

Organizational structures in public managerism are mobile and flexible, respond quickly to external challenges, the needs of citizens and other actors, and are centers of innovation and high culture.

## ***The "Service state" or "supermarket state" model***

It is based on the NPM concept, where the main function of the state is to provide high – quality public services to the population. Citizens for the state are primarily clients, not partners, and especially the primary source of power. In many countries, the foundations of such a model are enshrined in special documents: The Charter of citizens (Great Britain), the Charter of civil servants (Italy), and the Charter of clients (Belgium)<sup>9</sup>.

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<sup>8</sup> Osborne D. Reinventing Government. How the entrepreneurial spirit is transforming the public sector / D. Osborne, T. Gaebler. Reading. Mass., 1992.

<sup>9</sup> Official Journal of the European Communities. C. 364. 2000. December 18th.p. 1–22

The disadvantages of all the above concepts are that they ignore the political aspects of governance. The effectiveness of public administration is limited by satisfaction with the quality of public services rendered. There were no significant reductions in expenditures on the maintenance of the state apparatus.

### ***The "governance" concept***

Society's demands are growing, and the management paradigm is changing: the state and society are not two different entities entering into a hiring relationship. The state and society today are the cooperating partners who are increasing the public good on the basis of constant interaction.

This is a new management formula based on the mutual trust of all interested parties: the state, citizens and business. Leadership is understood as a system of cooperation of state, public, private and mixed structures to ensure the satisfaction of public interests and solve public problems. According to the concept of "leadership", the state is not a traditionally dominant and powerful institution that imposes its own standard of activity on citizens and businesses, but rather an initiator of cooperation, becoming a partner in a network of cooperative relations.

In contrast to the idea of public administration as a hierarchically organized system, the concept of "leadership" offers a new type of management, which is based on the network structures of interaction between public, private and public organizations.

Positive opportunities of the state in economic development are determined not by its strength, but by its ability to create and maintain "network structures".

International organizations call upon public authorities in all countries to increase the participation of citizens and to promote transparency, building partnerships for implementation of sustainable development<sup>10</sup>.

The public sector of Kazakhstan is also taking steps to move from independent actions to solving problems in partnership with businesses and the public in accordance with the principles of the "Hearing state". Citizens and business representatives will soon have the opportunity to Express their opinions, offer ideas and decisions on changes to programs and policies, including on the Open government platform"<sup>11</sup>.

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<sup>10</sup> UN General Assembly resolution adopted in 2012 "the Future we want"

<https://wedocs.unep.org/bitstream/handle/20.500.11822/17285/K1402366.pdf?sequence=5&isAllowed=y>

Rio de Janeiro Declaration on the environment and development

[https://www.un.org/ru/documents/decl\\_conv/declarations/riodecl.shtml](https://www.un.org/ru/documents/decl_conv/declarations/riodecl.shtml)

UN economic Commission for Europe Convention on access to information, public participation in decision-making and access to justice in environmental matters [https://www.un.org/ru/documents/decl\\_conv/conventions/orhus.shtml](https://www.un.org/ru/documents/decl_conv/conventions/orhus.shtml)

Stakeholder engagement: a practical guide [http://www.urbanecomomics.ru/download.php?dl\\_id=2528](http://www.urbanecomomics.ru/download.php?dl_id=2528)

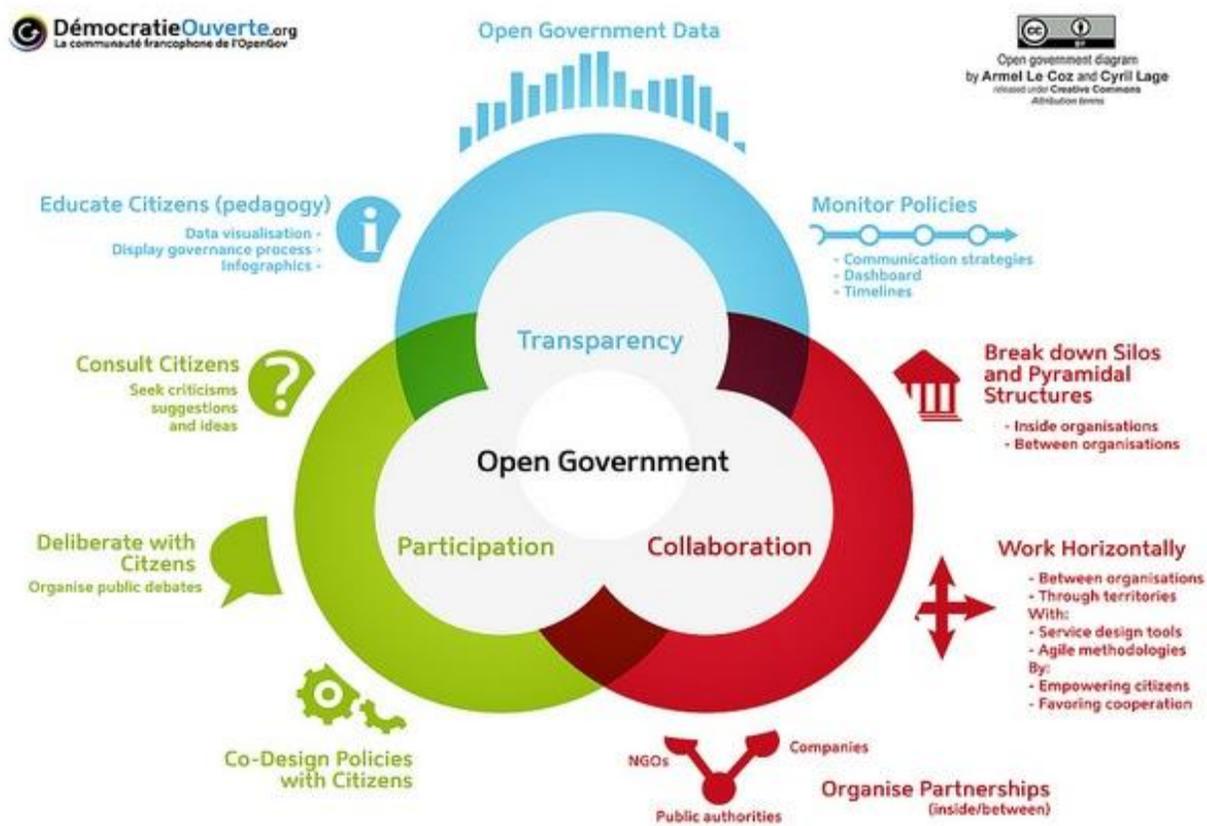
<sup>11</sup> Strategic development plan of the Republic of Kazakhstan until 2025, <http://adilet.zan.kz/rus/docs/U1800000636>

Naturally, as the first priority, the President of Kazakhstan Kassym-Jomart Tokayev outlined the task - "to support and strengthen civil society, involve it in the discussion of the most pressing national problems with a view to solving them"<sup>12</sup> .

**“Open government” (Open Government Partnership)**

The development of information and communication technologies, the Internet, the spread of social networks and communities made it possible to improve the concept of "governance" and the model of "e - government" - e-government in open government (Figure 3).

**Figure 3. The essence of "open government"<sup>13</sup>**



About the main characteristics of the concept are:

<sup>12</sup> Constructive public dialogue is the basis of stability and prosperity of Kazakhstan, [http://www.akorda.kz/ru/addresses/addresses\\_of\\_president/poslanie-glavy-gosudarstva-kasym-zhomarta-tokaeva-narodu-kazahstana](http://www.akorda.kz/ru/addresses/addresses_of_president/poslanie-glavy-gosudarstva-kasym-zhomarta-tokaeva-narodu-kazahstana)

<sup>13</sup> [https://commons.wikimedia.org/wiki/File:Open\\_government\\_schema.jpg](https://commons.wikimedia.org/wiki/File:Open_government_schema.jpg)

- active civic participation in governance processes;
- openness, transparency and accountability to citizens in a regime of constant information exchange and public control;
- interactivity of decision making<sup>14</sup>.

Open government, in contrast to e-government, is not so much a technological and information base as a platform for ensuring real co-management by citizens and their associations.

### ***Good Governance”***

"Good Governance" in terms of terminology The United Nations Development Program (UNDP) is "a government that meets the requirements of an open, democratic and equitable society"<sup>15</sup>.

This concept is a set of principles of the Organization for Economic Cooperation and Development (OECD), which includes:

- openness, information transparency and responsibility;
- integrity and fairness in cases involving citizens, including mechanisms for consultation and participation;
- providing qualified and efficient services;
- clear, transparent and applicable laws and regulations; consistency and consistency in policy formulation; respect for the rule of law;
- as well as a high level of ethical behavior<sup>16</sup>.

Civil service in the "Good state":

- responsible and accountable to politicians and citizens;
- builds partnerships with businesses through PPP projects based on trust;
- abandons the hierarchy in favor of network structures created together with citizens to solve a specific task;
- makes decisions based on consensus, taking into account the interests of citizens and businesses.

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<sup>14</sup> Open Government Plan. September, 2016. <https://www.state.gov/wp-content/uploads/2019/04/Open-Government-Plan.pdf>

<sup>15</sup> Smorgunov L.V. Sravnitelnyi analiz politico-administrativnyh reform: ot novogo gosudarstvennogo menegmenta k ponyatiyu «governance» //Politicheskie issledovaniya. 2003. No 4. C. 50–58.

<sup>16</sup>OECD (2017), Policy Advisory Systems: Supporting Good Governance and Sound Public Decision Making, OECD Public Governance Reviews, OECD Publishing, Paris, <https://doi.org/10.1787/9789264283664-en>.

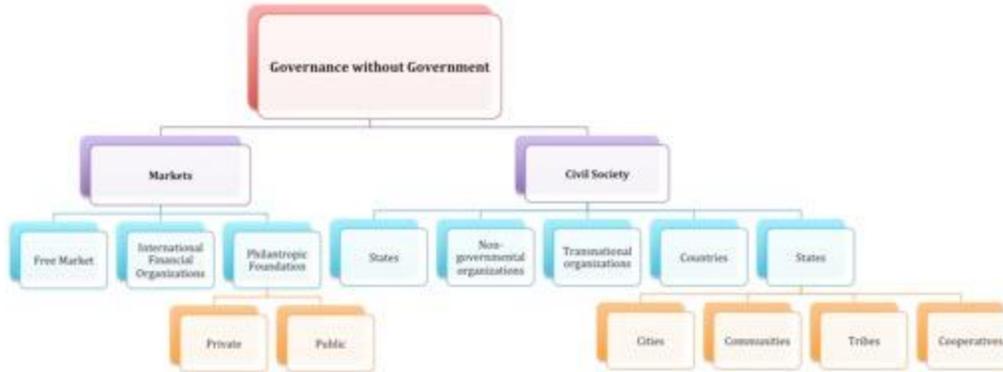
OECD (2011), Together for Better Public Services: Partnering with Citizens and Civil Society, OECD Public Governance Reviews, OECD Publishing, Paris, <https://doi.org/10.1787/9789264118843-en>.

## ***“Network model of government without Government” or “Network model of Government”***

Governance without government is a new trend, which is a combination of state and non-state organizations that interact with each other in order to reach agreement or solve a specific task.

Unlike traditional top-down decision-making, horizontal decision-making based on collaboration with other levels of government, business and citizens is more effective in terms of political strategy and resource allocation (Figure 4). Horizontality is particularly valuable in solving complex social problems that require special knowledge, a factual base and experience<sup>17</sup>.

**Figure 4. Network model of public administration<sup>18</sup>**



Organizational structures in the network model are based on trust, interdependence, resource sharing, and diplomatic conflict resolution.

The horizontal decision-making mechanism is analyzed in the report "Governments for the Future) for 2013<sup>19</sup>.

### ***Smart Nation***

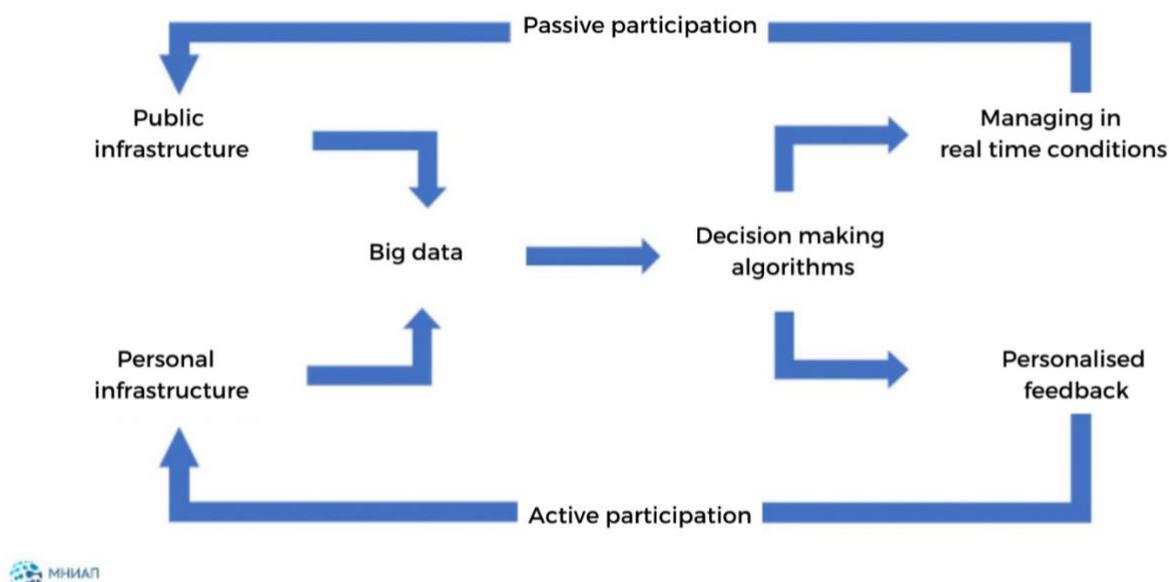
The rapid development of 4.0 technologies, the Internet of things, and social networks form a new management model, the paradigm of which is the maximum involvement of the population in the management of cities with the "passive participation" of the state in decision-making (Figure 5).

<sup>17</sup> Rabi Abuchakra, Michel Khoury, Effective government for the new century, Moscow, 2018, pp. 50-51

<sup>18</sup> Jones, Candace; Hesterly, William S.; Borgatti, Stephen P. (October 1997). "A general theory of network governance: exchange conditions and social mechanisms". *Academy of Management Review*. 22 (4): 911–945.

<sup>19</sup> [https://vnk.fi/documents/10616/1093242/J2013\\_Government+Report+on+the+Future.pdf/7311d729-3a25-44a3-b2af-1223ed14ead4/J2013\\_Government+Report+on+the+Future.pdf](https://vnk.fi/documents/10616/1093242/J2013_Government+Report+on+the+Future.pdf/7311d729-3a25-44a3-b2af-1223ed14ead4/J2013_Government+Report+on+the+Future.pdf)

**Figure 5. The smart government model<sup>20</sup>**



The passivity of the state consists in refusing to interfere in decision-making.

Decision-making itself is based on the processing of "big data", the use of artificial intelligence, personnel and automated feedback. The speed of decision-making is reduced due to the ability to see on-line how and what requests of citizens are met, what consequences will be: positive or negative, whether the risks are correctly predicted<sup>21</sup>. So far, this concept is being used at the municipal level and in the city-state of Singapore.

It is necessary to understand that all the presented models of public administration are not the product of theoretical research, but a generalized experience of reforming the administrative service in different countries.

## 1.2 Best practices of public administration and management

Administrative reforms in the developed world, which began more than half a century ago in response to the expansion of the administrative apparatus against the backdrop of a deteriorating economic situation of citizens and growing budget deficits, and social injustice, do not stop today, as their main directions remain relevant:

- separation of politics and economics;
- evaluating the effectiveness of civil servants' activities;
- remuneration of civil servants based on the results of their work;
- reducing the influence of the state in the economy;

<sup>20</sup> <http://мниап.пф/analytics/Umnnoe-pravitelstvo-struktura-i-vzaimodejstvie/>

<sup>21</sup> <http://мниап.пф/analytics/Umnnoe-pravitelstvo-struktura-i-vzaimodejstvie/>

- feedback to assess customer satisfaction.

All administrative reforms were aimed at regulating social development and broad participation of civil society representatives, as well as the results of the state structure or function being reformed.

For example, in the Anglo - Saxon countries-Great Britain, USA, New Zealand, Australia-administrative reforms were carried out on 4 basic positions: orientation to the quality of services provided, competition among public authorities, taking into account the needs of "customers", quantification - a clear ratio of goals, tasks and functions of public authorities.

The modernization of the US civil service and the public administration system is manifested in the decentralization of power, in the "division of labor", in which the Federal government performs the most important functions (managing the country's economy, ensuring defense, setting foreign policy), while state and local governments specialize in the implementation of domestic socio-economic programs.

The quality of performance of official duties in the United States is usually assessed on the basis of several criteria: improving the efficiency and effectiveness of managerial work, the quality of work, including reducing the volume of paperwork; saving money; timely performance of official duties; and other indicators used depending on the specifics of the work of the body.

In the United States, more than 400 top experts participated in the preparation of various alternative options for public administration reforms. In addition, special expert groups have been set up in each of the ministries, with an average of 20 people each.

By the way, the United States is home to independent think tanks known as "think tanks" ("thought factories" or "think"). "Thought factories" have become not only a form of expression of public opinion, but also nodal points of public policy, where initiatives are formed to solve public problems in the course of mass communication<sup>22</sup>.

The experience of implementing the open government policy in the United States, which served as the development of a new global initiative, has received international recognition the open government partnership (Open Government Partnership).

In the United Kingdom, local government functions are much smaller than in the United States. However, at the local level, there is a relative independence in matters of budget management and operational and Executive activities: higher authorities exercise control rather than direct management. Monitoring the improvement of the public service delivery system highlights the following priorities: developing a public policy focused on national interests and strategic goals, and not just on market factors; increasing focus and responsibility for the distribution of public services by differentiating the interests of various social groups (the elderly, disabled, women, national minorities); using innovative technologies; introducing new types of services for small businesses.

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<sup>22</sup>Issenova G., Public Sector Project Office: From Information Repository to Coworking Center, 35th IBIMA Conference: 1-2 April 2020, Seville, Spain, <https://ibima.org/accepted-paper/public-sector-project-office-from-information-repository-to-coworking-center/>

The focus on results has helped Anglo-Saxon countries achieve economic and social benefits through the rational use of public resources, customer-centricity of government institutions, and differentiated remuneration for public employees.

At the same time increased previously identified problems of management of public authorities due to information asymmetry, the gap between the bodies that produce policies (oriented to common values and interests of the population), and public authorities – service providers, sabotage by officials, who oppose the understanding of the model of the state, as employed by the society, service provider, social stratification and discord of interests of various strata (groups) of the population.

In the “Napoleonic” countries (France, Switzerland, and Italy), we went along the path of decentralization - giving greater powers to local authorities. For example, in France, the Central or local government can transfer authority, resources, and responsibility to territorial collectives (communes), public associations, or quasi-Autonomous non — governmental organizations.<sup>23</sup>

In the Nordic group (Sweden, the Netherlands, Denmark, Finland), the Swedish model stands out, in which administrative departments are created in addition to ministries that deal with expert work in a particular industry and are directly subordinate to the government, rather than to the Ministry.

The ministries themselves represent a small number of government institutions responsible for the political line of the government<sup>24</sup>. In Sweden and Finland, there is a clear separation between public policy and public administration in making decisions based on consensus.

Also, in the Nordic countries, the transition to results-based budgeting was successfully implemented with the involvement of representatives of non-governmental organizations, trade unions, and citizens' initiative groups.

In Germany, the modernization of the civil service is reduced to the optimization of personnel. The number of employees for a significant historical period has been steadily decreasing, but their quality is improving. This is due to the high status of a civil servant in this country. In addition, German government institutions have a priority right over private entities to “take” for themselves graduates of higher educational institutions with the best results. Also, the principle of “lifetime appointment”, expressed by the system of legal protection and strong social guarantees of civil servants, is one of the measures to modernize the entire system.

From the experience of Asian countries, the interest is expressed in the organization of pemandu's business activities PEMANDU in Malaysia<sup>25</sup>.

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<sup>23</sup> Kickert, Walter. (2007). Public Management Reforms in Countries with a Napoleonic State Model: France, Italy and Spain. 10.1057/9780230625365\_3.

<sup>24</sup> Deryabin Yu. S., Antyushina N. M., Northern Europe: new development region, Moscow, 2008, p. 480, ISBN ISBN 978-5-7777-0392-7

<sup>25</sup> PEMANDU “driver” in Malay – and the unit literally managed the implementation of the government's priorities contained in the National transformation program (NTP).

In response to citizens' dissatisfaction with the work of the government, practical steps for accelerated modernization of public administration were developed, including: visiting sessions to determine priorities; laboratories based on cooperation with experts; public discussion of results; and an independent annual audit of the work of the government.

### **Case 1**

There was a lot of concern that the state was not helping the poor. Many decisive steps have been taken in this area. First of all, we registered really poor people, we began to get acquainted with these people, I know them all by name, we know where they live, why they were in this position, and began to give them some money, but with the condition that the monthly allowance will be tied to the program for the eradication of poverty.

First, we helped these people find jobs in the city. Secondly, we have begun to make it possible to engage in more advanced agriculture. Third, we have begun to attract them to the service and tourism sectors. If people did not do this, their money was withdrawn.

The first year of the program's implementation was a success. Household income has started to grow, and it continues today. And here's what's interesting: if overall household income growth was at the level of 8%, then for the poor, this indicator was at the level of 9.5%.<sup>26</sup>

Thus, all the concepts and best practices cited as examples are focused on the effectiveness of public administration, the main goal of which is to take into account the needs and interests of society. The change in the management paradigm leads to the need for transformation of management structures – government institutions that adapt technologies and techniques from corporate management to their activities. The highest level of the organization is currently self-regulatory networks based on trust.

"Political models are slowly but surely being transformed from hierarchical forms of organization, a single, centralized system of governance through laws, rules and regulations, to a horizontally organized and relatively fragmented system of leadership implemented through self-regulatory networks (e. g., the European Union). Sorensen asked.)<sup>27</sup>.

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<sup>26</sup> [https://drive.google.com/file/d/0B8CazA\\_H7n0kTGk1UVRXcFp1TUE/view](https://drive.google.com/file/d/0B8CazA_H7n0kTGk1UVRXcFp1TUE/view)

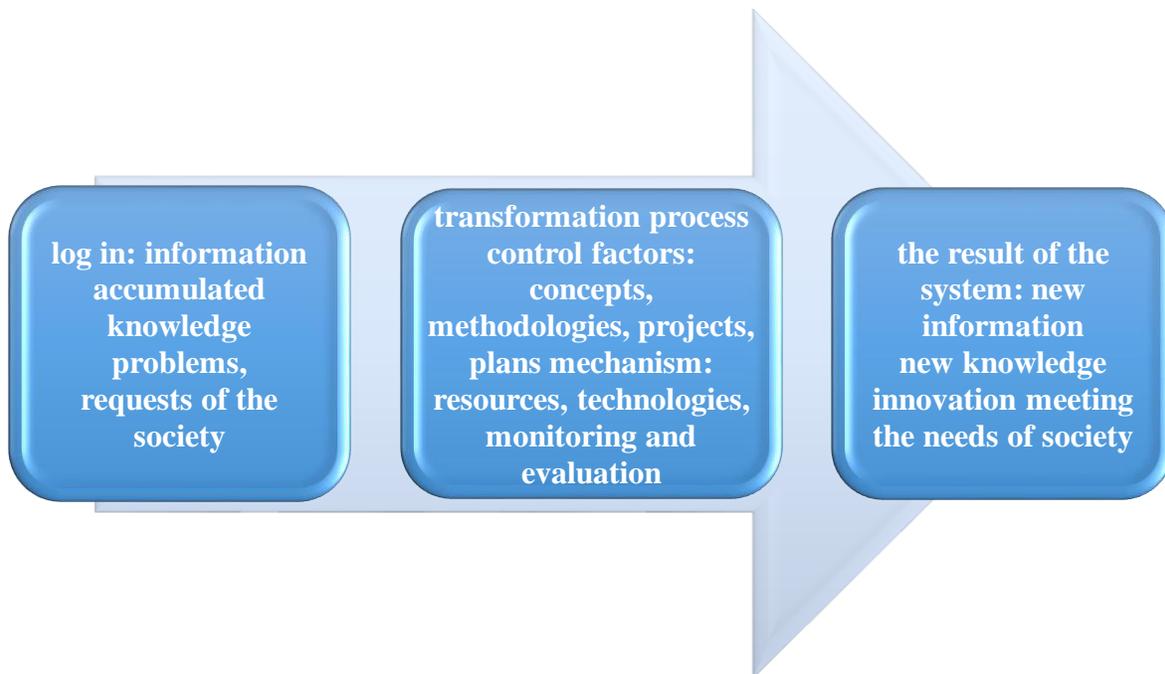
<sup>27</sup> Sorensen E. Democratic Theory and Network Governance // Administrative Theory and Praxis. Vol. 24, № 24, p. 693

### 1.3 Flexible methodologies and tools for modern management of government institutions

Traditionally, management is considered as a type of human activity that represents a system of functions (planning, forecasting, organization, coordination, accounting, control, motivation). These functional components of management reflect its essence.

From the point of view of the system approach, management is represented as a system aimed at transforming resources, including intellectual, organizational, material, and informational resources, into the final result (Figure 6).

**Figure 6. The essence of management**



*Source:* Authors' own elaboration.

Management of a public authority is a system that ensures the creation of legal, organizational and other conditions for achieving goals, tasks, forming a structure, technological activities, as well as the vital activity of human resources in public authorities<sup>28</sup>.

The main elements of the management system of the government institutions, as an independent structural units of the state apparatus, are:

- mission, goals or target area — the performance of government functions, including strategic, regulatory and other forms of managerial activity;

<sup>28</sup> Semakov A. D. Fundamentals of state and municipal management: textbook / A. D. Chumakov. - Donetsk: Donguu, 2016. - 505 p.

- these powers are, necessary for the implementation of the functions of a government institution, determining its legal status, the right to make managerial decisions in accordance with the Constitution and legislation, and reporting to the highest state authorities;

- organizational structure of management as a mechanism of division of labor, functions, processes;

- personnel of civil servants, their knowledge and skills;
- budget;
- working hours (procedures, methods, processes);
- system for measuring results.

A government institution is an open system that interacts with the external environment, changes to meet the requirements of the external environment, and at the same time, itself affects the external environment.

Therefore, all modern models of public administration require public authorities to take into account the needs of society when implementing the budget:

Participation of citizens in the public decision-making process, both directly and through civil society organizations;

- (responsiveness-administrative processes ensure the involvement and participation of all stakeholders in a reasonable time;

- (consensus oriented-mediation mechanisms and other means are used to achieve General agreement when making decisions in the interests of all members of society.

- effectiveness and efficiency-government institutions produce results that meet public expectations, and at the same time make the best use of the resources at their disposal, taking care of the reproduction of these resources.

- transparency;
- accountability<sup>29</sup>.

At the World Economic Forum in 2013, governments were encouraged to adopt more innovative, effective and efficient practices for evaluating government performance, using the F. A. S. T principle as a basis. (flatter - "flat", agile - mobile, streamlined - well-established, clear, organized, tech-enabled - technically equipped)<sup>30</sup>.

The F. A. S. T principle, which has been used for a long time in the corporate sector and is recommended for public authorities, should be based on fast and flexible management methods.

The most common F.A.S.T. - methods *Project management*:

Agile<sup>31</sup> approaches cause a transformation within the organization: implementing them changes people's attitudes to the work they do for the better. Agile assumes that

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<sup>29</sup> <http://www.unescap.org/sites/default/files/good-governance.pdf>

<sup>30</sup> Pisarevsky E. L. Quality of public administration: problems of goal setting // Administrative law and process. no. 10, 2013. - p. 4.

<sup>31</sup> Agile – fast, flexible

when implementing a project, you don't need to rely only on pre-created detailed plans. It is important to focus on the constantly changing external and internal environment and take into account feedback from customers and users.

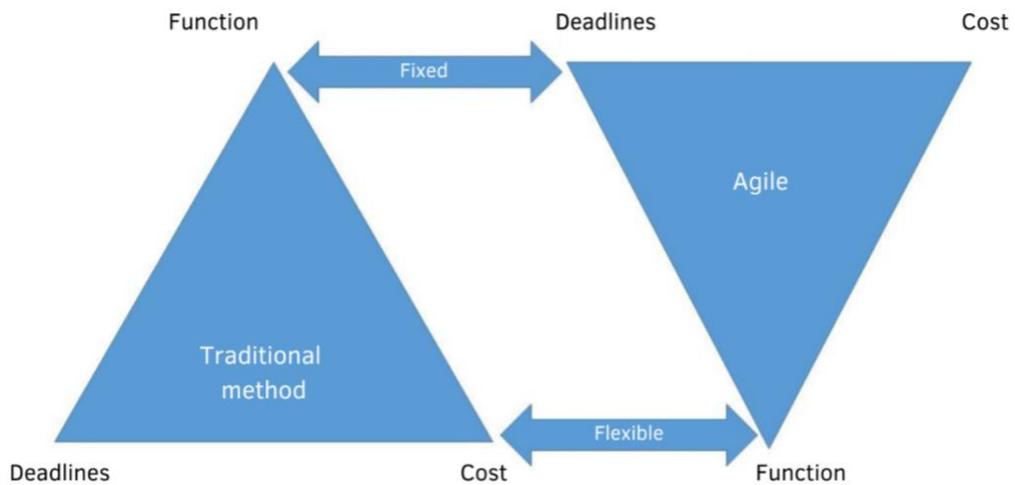
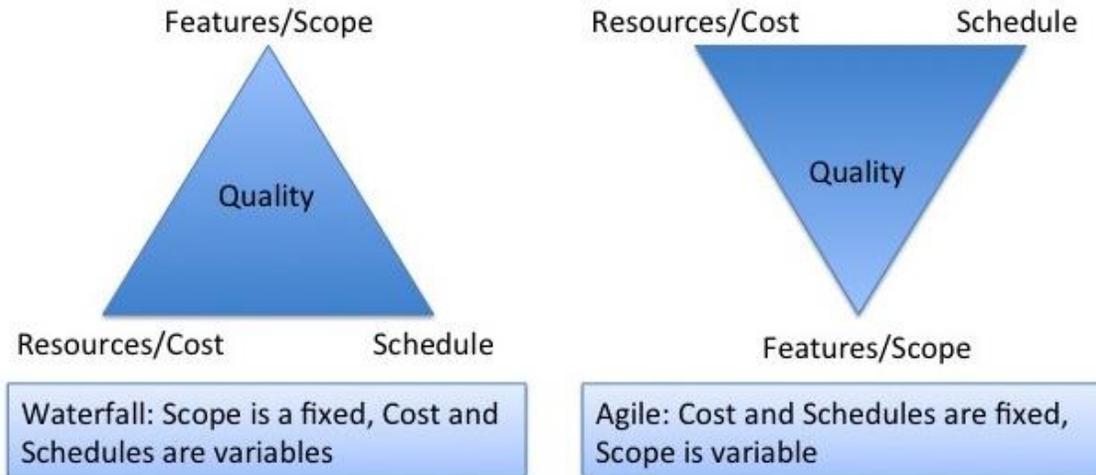
Basic principles of the Agile approach:

1. People and interaction are more important than the process and the tools.
  2. Working product is more important than comprehensive documentation.
  3. Cooperation with the customer is more important than agreeing on the terms of the contract.
  4. Readiness for change is more important than following the original plan<sup>32</sup>
- (Figure 7).

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<sup>32</sup> Robert S. Martin, James W. Newkirk, And Robert S. Koss. The rapid development of programs. Principles, examples, and practices = Agile software development. Principles, Patterns, and Practices. - Williams, 2004. - 752 p — - ISBN 0-13-597444-5

**Figure7. Comparing traditional management techniques with Agile**



Source: <https://remcojansen.wordpress.com/2016/07/12/what-the-difference-between-agile-and-waterfall-crm-implementation-methods/>

Scrum<sup>33</sup> is a structure approach: a method of organizing small teams working on equally small products that are constantly being improved.

Scrum methods are widely used in project management, as they allow you to perform small tasks in a short time with the greatest efficiency. The Scrum approach divides the workflow into equal sprints – usually between a week and a month, depending on the project and team. Before the sprint, the tasks for this sprint are formulated, at the end – the results are discussed, and the team begins a new sprint. It is very convenient to compare sprints with each other, which allows you to manage performance, quickly adjust tasks and redistribute resources. The authors of this technique call it " SCRUM: The Art of doing twice as much work in half the time allotted for IT."<sup>34</sup>

Kanban is a "balance approach", a method for managing and controlling the stages of a task: "Planned", "Developed", "Tested", "Completed".

The main performance indicator in Kanban is the average time spent completing a task on the Board. The task passed quickly – the team worked productively and smoothly. The task has taken a long time – we need to think at what stage and why there were delays, and whose work needs to be optimized.

For visualization of agile approaches, use boards: physical and electronic. They allow you to visualize the workflow for achieving a result and make it transparent to all teams.

In countries with a high project culture: In the United Kingdom, the United States and a number of European countries, the Agile approach his mandatory in the development of any government programs and digital services.

Agile approaches allow government institutions to create opportunities for rapid and effective implementation of initiatives of citizens and civil servants, to attract young professionals to the civil service.

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<sup>33</sup> a term from the sports game of Rugby-a scrum around the ball

<sup>34</sup> Scrum: the art of doing twice as much work in half the time "in Russia translated as" Scrum: A revolutionary method of project management"

## **CHAPTER 2: ANALYSIS OF THE MANAGEMENT OF GOVERNMENT INSTITUTIONS**

### **2.1 Analysis of strategic planning and budgeting of Ministry of Labor and Social Protection of the Population of the Republic of Kazakhstan**

The Ministry of Labor and Social Protection of the Population of the Republic of Kazakhstan (hereinafter – the MLSP) is a government institution that provides guidance in the social and labor sphere, as well as in the field of population migration within its competence.

The MLSP's mission is to promote the improvement of the standard and quality of life of the population through ensuring constitutional guarantees and citizens' rights in the field of labor, employment, migration and social security.

The MLSP forms and implements state policy, inter-sectoral coordination and public administration in the field of education and science:

- 1) labor, including labor safety and health;
- 2) employment;
- 3) social security, including pension provision and mandatory social insurance;
- 4) social protection of disabled people;
- 5) social support for families with children;
- 6) social assistance to certain categories of citizens;
- 7) providing special social services;
- 8) migration of the population within its competence [1].

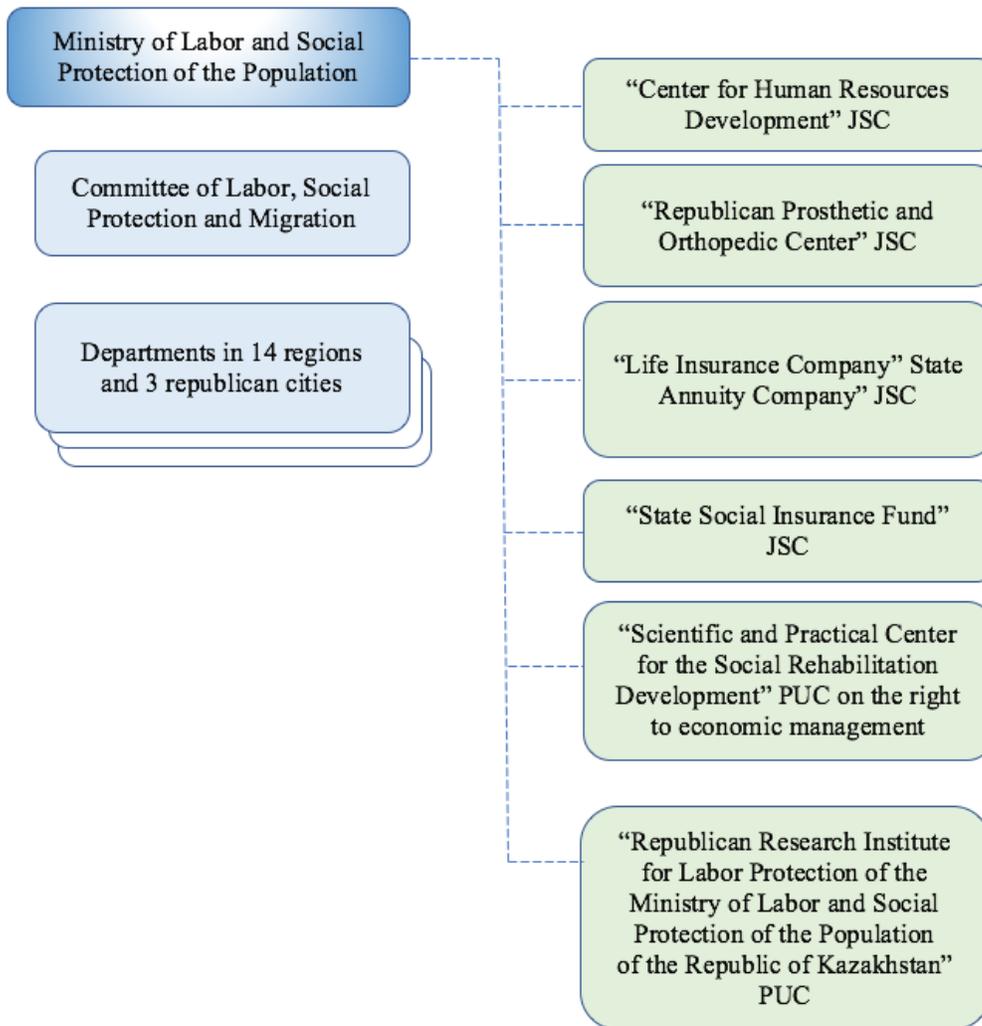
The MLSP has one Agency – the Committee of labor, social protection and migration (hereinafter – the Committee), which, in turn, is responsible for 17 territorial divisions – departments for the regions and cities of Nur-Sultan, Almaty and Shymkent [2].

The MLSP and the Committee are responsible for 6 organizations:

- 1) JSC “Center for human resources development”;
- 2) JSC “Republican prosthetic and orthopedic center”;
- 3) JSC “Life insurance Company” State annuity company”;
- 4) JSC “ State social insurance Fund”;
- 5) RSE on PHV “Scientific and practical center for the development of social rehabilitation”;
- 6) RSE “Republican research Institute for labor protection of the Ministry of labor and social protection of the population of the Republic of Kazakhstan” (Figure 8) [3].

At the same time, on the portal of government institutions [www.gov.kz](http://www.gov.kz) JSC "Republican prosthetic and orthopedic center" is not listed among the organizations subordinate to the Ministry.

**Figure 8. Diagram of the departmental vertical of the MLSP**



Source: Authors’ own elaboration based on the [www.gov.kz](http://www.gov.kz) content.

The structure of the Executive bodies of labor, employment, social protection of population and migration also includes regional labor departments/labor inspection departments, regional, city and district departments and departments for the coordination of employment and social programs, subordinate to the relevant akimats.

Labor departments / labor inspection departments perform functions in the sphere of state control over compliance with labor legislation of the Republic of Kazakhstan.

Local Executive bodies coordinating employment and social programs provide social guarantees, social protection and employment of the population within the framework of relevant territorial development programs.

## ***Organizational and functional analysis of the departmental vertical of the MLSP***

Initiative 3.5 of the Strategic Development Plan of Kazakhstan-2025 (hereinafter – Strategic Plan – 2025) (Transfer of functions from the state to a competitive environment) provides for the preparation of a Register of state functions [11]. Due to the fact that the Register has not been compiled at the time of conducting the study, the only official source of information about the functions performed by a particular government institution is its regulations.

According to domestic and foreign experts, the concepts of "authority", "competence" and "function" of a government institution need to be clearly distinguished, since there are significant differences in their interpretation [4; 5; 6; 7]. This, in turn, calls into question the correctness of the wording of functions in the regulations on government institutions and, as a result, makes it difficult to analyze their sufficiency/redundancy, to identify unusual, duplicative functions.

Methodological recommendations for determining the model functions of public authorities (approved by RK Government Decree of 31 August 2016, No. 489) competence refers to a set of delegated authority, the public authority defining the subject of his activities. Powers, in turn, are defined as the rights and obligations of a public authority. Whereas the function is the implementation by the government institution of activities within its competence [8].

One of the leading Russian experts in the field of constitutional and administrative law U.V. Tikhomirov gives the most typical wording of the powers of a government institution:

- 1) supervises (full-scale solution of issues and implementation of all the following powers);
- 2) manages (mandatory instructions, orders);
- 3) solves (sets, defines, approves, creates, forms, presents);
- 4) participates (formation, development, approval, procedure for using (property, for example), assistance);
- 5) regulates (introduction of rules, adoption of legal acts, establishment of normative-technical and other documents);
- 6) organizes (creates the environment that stimulates, supports, executes, implements, instructs);
- 7) develops (proposals, projects, programs, forecasts, analytical information);
- 8) indicates (cancellation of acts, suspension of actions, creation of organizations, order to commit actions);
- 9) coordinates (integration of plans and programs, coordination of acts, actions and positions, target settings, information support);
- 10) controls (checks, audits, reports, information);
- 11) prohibits (cancels, invalidates, or suspends) [4].

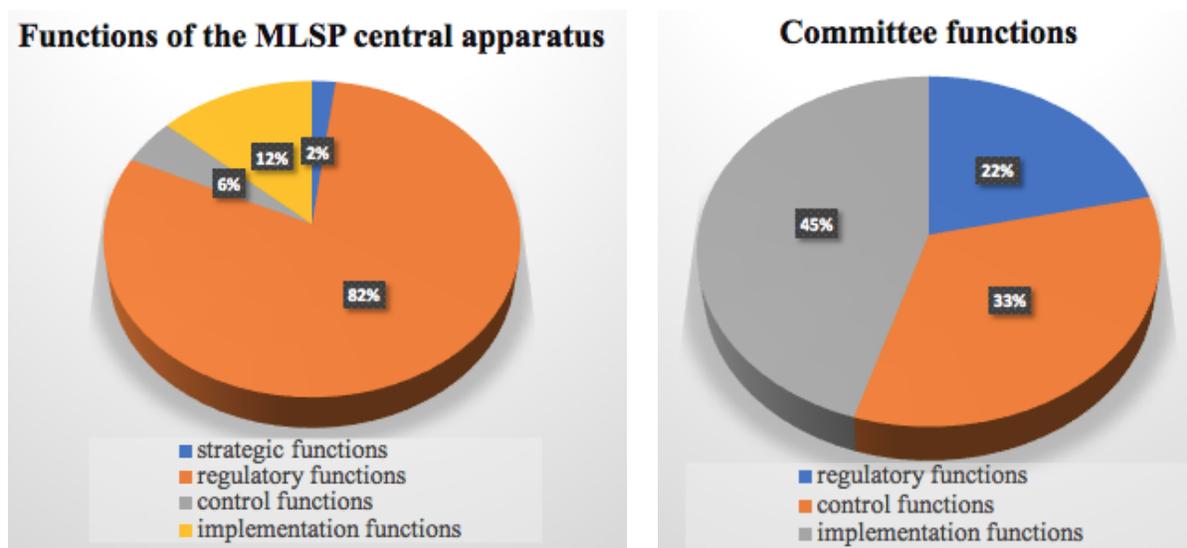
Thus, what is formulated in the regulation on a government institution as its functions, from the point of view of the science of administrative law, is not a function, but a power.

The degree of specificity and detail of the functions outlined in the provisions varies greatly. The Statute on the MLSP the function of "Forming the state policy in the field of labor, employment, migration and social protection of population, social security, including pension and compulsory social insurance" coexists with "the registration of sectoral and regional agreements concluded at the level of oblast (city of Republican significance, the capital)". It is obvious that the first formulation includes a set of a large number of components (projects, programs, plans, initiatives, etc.), while the second is a single operational act.

The list of functions of the Central office of the MLSP, given in its Regulations, consists of 151 items; the list of functions of the Committee - of 41 [1].

The classification of the functions of the MLSP and the Committee in accordance with the code "On Administrative Procedures" is shown in Figure 9 [9].

**Figure 9. Classification of functions of the MLSP's central apparatus**



Source: Authors' own elaboration based on the MLSP and Committee's regulations.

As shown above, 80% of the functions of the Ministry's Central office are regulatory, 12% are implementation, 6% are control, and **only 2% are strategic**. This disparity is largely (if not primarily) explained by the fact that the strategic functions of the Ministry are not specified in the regulations on the MLSP, but are reduced to three general formulations:

- 1) "Formation of the state policy in the field of education...";
- 2) "Development and implementation of programs in the field of...";

3) "Implementation of international cooperation in the areas of supervised activities";

while other functions are described in detail [1]. With this approach to defining the list and defining the functions of a government institution, it is not possible to correctly conduct their inventory, structural analysis and analysis.

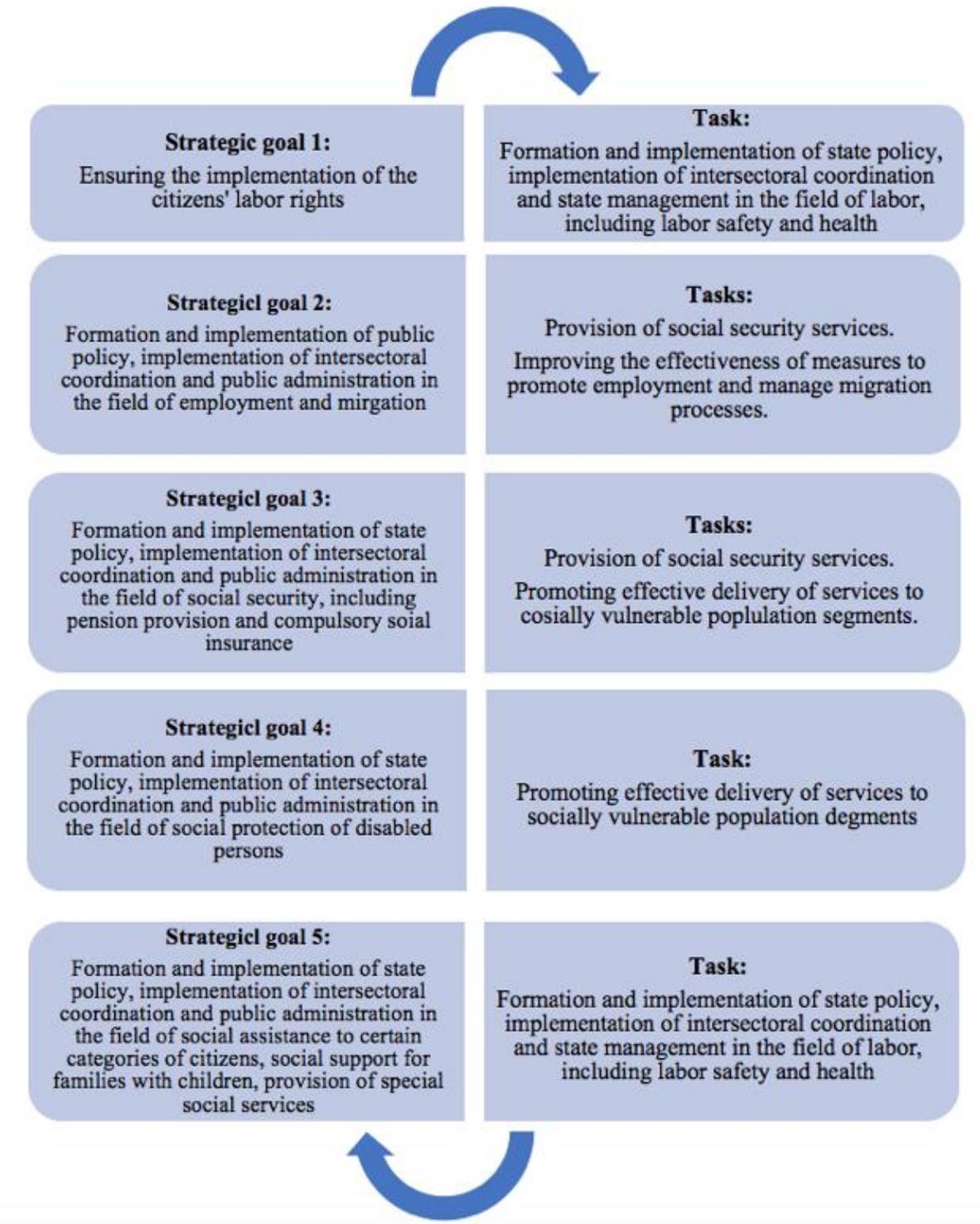
Initiative 5.1 of the Strategic Plan - 2025 (Further redistribution of powers between levels of state administration) requires maintaining strategic issues at the national level with expanding the powers of regions to independently determine measures to achieve strategic goals [10]. However, due to the lack of a Register of state functions and clear approaches to defining and defining the functions of government institutions, it is not possible to objectively assess the implementation of this initiative based on the provisions on government institutions.

The Committee is called upon to assume responsibility for performing implementation and control functions in the field of labor, social protection and migration, but, as can be seen from Figure 9, the number of realizable functions of the MLSP is large enough and equal to the number of realizable functions of the Committee [1; 11].

### ***Analysis of correlation between the MLSP functions and strategic goals***

All the tasks and strategic goals of the MLSP are provided with the corresponding functions in their wording, as set out in the regulations on the MLSP [1; 12]. All functions in their content are directly or indirectly involved in the implementation of the tasks of the MLSP and the formation of its strategic goals (Figure 10).

**Figure 10. Correlation between the goals provided for in the MLSP's Strategic Plan for 2020-2024 and the objectives of the MLSP**



Source: Authors' own elaboration based on the MLSP's Strategic Plan for 2020-2024.

Comprehensive analysis of the functions of organizations in the departmental vertical of the MLSP (Appendix 1) revealed 5 functions of the Central office of the MLSP and the Committee, which duplicate each other:

1. Organization of monitoring and assessment of risks in the field of occupational safety and health.
2. Implementation of methodological guidance and coordination of local Executive bodies in the field of labor relations regulation.
3. Conducting an audit of the activities of the local labor inspection body.
4. Implementation of methodological guidance and coordination of local Executive bodies in the field of labor relations regulation.
5. Consideration of complaints about refusal to grant the status of “oralman”.

A comparative analysis of the functions of the Committee and its territorial departments (for example, the Department of the Committee for Pavlodar region) showed a duplication of 8 functions:

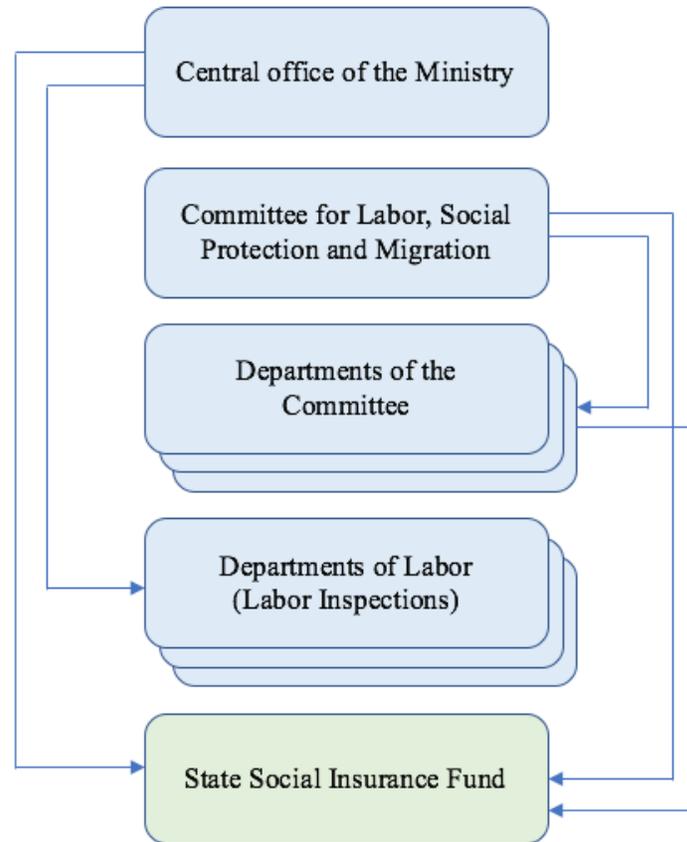
1. Organization of data collection on the number of recipients and amounts of pension and social payments at the expense of budget funds, social payments from the State social insurance Fund.
2. Monitoring the timeliness and completeness of payment of state pensions and benefits.
3. Conducting medical and social expertise.
4. Establishment of the disability group and (or) degree of disability with determination of the cause, term, depending on the degree of impairment of body functions and disabilities.
5. Development of social and professional parts of an individual rehabilitation program for disabled people, determination of the need of an employee who has received an injury or other damage to health related to the performance of their labor (official) duties for additional types of assistance and care provided for by the civil legislation of the Republic of Kazakhstan.
6. Study of the level and causes of disability of the population.
7. Reception of documents for the assignment of the state basic social disability allowance at the initial identification of disability.
8. Formation and maintenance of databases in the field of social protection of the population [1;11].

The Provisions of the MLSP, Committee and territorial Department of the Committee (Pavlodar region) it contains functions for the formation and maintenance of databases and information systems in the field of labor, employment, social protection and social security, which is simultaneously the main activity of the Ministry's subordinate JSC "center for labor resources development" (Appendix 1) [1; 11; 13; 14].

The regulations of both the Ministry and the Committee and the Department of the Committee for the Pavlodar region contain the function "Implementation of internal control over the activities of the State social Fund in accordance with the Law of the

Republic of Kazakhstan "On Administrative Procedures" [1; 11; 13]. The control scheme of organizations in the departmental vertical of the MLSP is shown in Figure 11.

**Figure 11. Control scheme in the departmental vertical of the MLSP**



*Source:* Authors' own elaboration based on the regulations of MLSP, Committee and Department of the Committee in Pavlodar region.

The diagram above shows the duplication of controlling functions for the activities of the State social insurance Fund as well as the Central office of the MLSP, the Committee and departments of the Committee. This contradicts Initiative 3.7 of the Strategic Plan - 2025 (Reduction of state control and supervision), namely, the imperative to eliminate duplicative and Supervisory functions of government institutions.

According to the authors of the study, the multi-subject nature of control, mutual control of government institutions reflects the low level of trust of subjects of state administration in each other. Modern best practices of public administration indicate the feasibility of shifting the focus from control to audit. While the former is designed to detect violations and take action against offenders, the latter focuses on diagnosing problems and jointly finding solutions to eliminate them, which is consonant with the concept of result orientation (obtaining a socio-economic effect). This paradigm, in turn, makes the role of the institution of public control particularly important.

### **Case 2**

According to the Rules of issuance or renewal of certificates the foreigner or the stateless person about his qualifications for self-employment (approved by Order of the Minister of health and social development dated June 13, 2016 No. 503), the foreign citizen or the person without citizenship, depending on their location on the territory of Kazakhstan or beyond, applying for issuance of certificate to foreign institutions of the RK, NAO "State Corporation "Government for citizens", the authorized body on employment of the population, or through the web portal of "electronic government". Applications for the issuance of certificates are considered by the authorized body for employment of the population, and the issuance of certificates – and the authorized body for employment, and NAO "State Corporation" Government for citizens", and through the web portal "e-government" [15]. Such a wide list of organizations that issue one type of certificate is redundant and can be reduced to one service provider – "electronic government".

Function "Issuing or extending a certificate of compliance with the qualification for self-employment to foreign employees" is considered redundant for the MLSP.

### **Case 3**

By order of the Minister of Labor and Social Protection of 12 December 2019 No. 671 in Rules of carrying out medico-social examination changes, in particular, expanded the list of diseases for which disability adults set for 5 years and not 1-2 years, as it was before. In addition, the list of irreversible anatomical defects has been expanded, in which the second disability group is established for persons over the age of 18 without re-certification (indefinitely) [16; 17]. This, in turn, contributes to reducing the volume of work of departments of The Committee for medical and social expertise and, accordingly, creates opportunities for optimizing the staffing of departments.

The analysis of the Strategic Plan of the MLSP showed that it is not related to the development Strategy of Kazakhstan until 2050 (hereinafter – Strategy-2050), in terms of improving public management. The MLSP's Strategic Plan does not reflect such areas as:

1. Increasing the responsibility, efficiency and functionality of the state apparatus.
2. New personnel policy. Modernization of management.
3. Modernization of the state asset management system.
4. Further improvement of the state planning and forecasting system.
5. Decentralization of management.
6. Professional state apparatus.
7. Order in labor policy.

The analysis of qualification requirements for administrative state posts of the corpus "B" of MLSP and their job descriptions showed a number of shortcomings:

- the job descriptions do not reflect the goals, objectives and indicators of the government institution's strategic plan;
- in qualification requirements and functional duties of the administrative civil servants reflected in a generalized form. In considerable extent, qualification requirements shortened to the general management, control and verification execution of judgments and orders, organization of the implementation of strategic and operational plans of the Ministry. These reductions of the requirements continued to make some effect on cooperation with international organizations, connection with employees, participation in sessions, meetings, consideration of letters, applications and appeals of citizens and organizations, ensuring the safety of official documents and etc.

Conclusion: The absence of goals, objectives and indicators for achieving direct results of the strategic plan of a public authority in the functional responsibilities and job descriptions leads to the performance of non-specific functions by administrative employees, which may be redundant, supportive, or basic, but go beyond the limits of state regulation, and the results and goals of which are not effective. This, in turn, makes it difficult to define and specify the scope of authority, scope of competence, and responsibility for achieving results.

### ***Analysis of the MLSP's Strategic Plan***

As the main strategic documents of the national level, measures for the implementation of which should be reflected in the strategic plans of Central government institutions and Central Executive bodies, the study identified:

- Strategy-2050 (December 2012) [18];
- Plan of the nation "100 concrete steps for the implementation of five institutional reforms" (hereinafter- the "100 steps" Nation Plan) (May 2015) [19];
- Strategic Plan - 2025 (February 2018) [10].

The study analyzes how the strategic guidelines of the above -mentioned documents are converted into goals and measures to achieve them, declared in the Strategic Plans of the MLSP for 2011-2015, 2017-2021 and 2020-2024.

The results of the analysis showed that the correlation between the above – mentioned national strategic documents and the Strategic Plans of the MLSP is generally achieved in the main areas of activity of the MLSP (labor, employment, migration, social protection, social security and social support of citizens). Declarations of strategic documents of the 1st level of the state planning system [20] concerning relevant sectoral issues are "expanded" to the relevant goals, target indicators and measures to achieve them in the Strategic Plans of the MLSP for the periods covered by the study (2011-2015, 2017-2021, 2020-2024).

However, the provisions concerning the development and improvement of the public administration system are not reflected in the Strategic Plans of the MLSP. Thus, Initiative 7.8 of the Strategic Plan - 2025 (Extension of project management) declares the

imperative to switch to Agile technologies, which implies a radical reset of the organization's management and, accordingly, the implementation of a whole range of both organizational and technical measures [10]. The MLSP's Strategic Plans for the relevant periods do not provide for the implementation of this initiative.

Following list has lack of appropriate attention. They are the Strategic Plans of the MLSP and issues related to the abolition of interim procedures and intermediate control, preservation of strategic issues at the republican level with the expansion of powers and increasing the degree of independence of its territorial divisions and local executive bodies of the labour inspectorate, coordination of employment and social programs in the activities aimed at achieving the target indicators set for them (National Plan "100 steps", Initiative 5.1 of the Strategic Plan-2025 (Further redistribution of powers between levels of public administration)). [10; 19; 21; 22]

The Strategic Plan - 2025 provides for the introduction of a register of unfair employers (Initiative 1.19 "Formalization of the activities of informally employed workers") [10]. The MLSP's strategy does not provide for its creation and updating. At the time of the study, there is no single national registry. Local labor inspectorates have worked over the years to create local "black lists of employers" in the form of a one-time action rather than a systematic and regular activity. Lists were posted on Internet resources other than the official websites of local Executive bodies of the labor Inspectorate [23; 24].

As criteria for the formulation of goals, the MNE Methodology for the development of Strategic development plan of the Republic of Kazakhstan, Forecast scheme of territorial and spatial development of the country, state programs, strategic plans of government institutions and territorial development programs (approved By order of the Minister of national economy of the Republic of Kazakhstan dated February 19, 2018 No. 64) (hereinafter-the MNE Methodology) determines:

- measurability;
- relevance;
- achievability;
- clarity [25].

The assessment of compliance of the formulation of the goals of the Ministry's Strategic plan for 2020-2024 with the criteria provided for by the MNE Methodology is shown in Table 1.

**Table 1. Assessment of the compliance of the formulation of the goals of the MLSP's Strategic Plan for 2020-2024 with the criteria provided for by the MNE Methodology**

<b>Goal</b>	<b>"measurability" criterion</b>	<b>"relevance" criterion</b>	<b>"achievability" criterion</b>	<b>"clarity" criterion</b>
<b>Provision of social security services</b>	no	yes	achievability is undefined due to the absence of a meter	no
<b>Promoting the effectiveness of providing services to socially vulnerable segments of the population</b>	no	yes	achievability is undefined due to the lack of a meter	no
<b>Improving the effectiveness of employment promotion measures and ensuring migration management</b>	no	yes	achievability is undefined due to the absence of a meter	no
<b>Ensuring the implementation of labor rights of citizens</b>	no	yes	achievability is undefined due to the absence of a meter	no

*Source:* Authors' own elaboration based on the MLSP's Strategic Plan for 2020-2024 and MNE Methodology.

According to the MNE Methodology, the goals of the state Agency's strategic plan determine "the desired future status ... of a certain area of activity by the end of the planning period." A target indicator is assigned to determine the degree of achievement of goals. The qualitative aspect of the target indicator reflects the essence of positive changes, and the quantitative aspect – their measurable, absolute or relative value [25].

One of the target indicators used to assess the achievement of the goals "Improving the standard of living of the population" (the MLSP's Strategic Plan for 2011-2015), "Providing social security services" (the MLSP's Strategic Plans for 2017-2021, 2020-2024), is the share of the population with incomes below the subsistence minimum (%) [12; 21; 22]. The Strategy-2050 proclaims the task of preventing the growth of poverty. At the same time, the MLSP's Strategic Plan for 2017-2021 plans to increase it by 1.75 times by the end of the planned period (Table 2). As a result, the target indicator considered in this planning period reflects not a positive, but a negative change, and does not represent the desired future state of the industry [22].

The MLSP's Strategic Plan for 2017-2021 provides for a significant change in the structure of the subsistence minimum and, as a result, an increase in basic social payments.

At the same time, the annual increase in the cost of living from 2015 to 2017, according to the Strategic Plan, amounted to 7% [22]. Thus, the logic of planning changes in the share of the population with incomes below the subsistence minimum remains unclear, which, in turn, contradicts the criterion of unambiguous clarity of target indicators for users, established by the MNE Methodology.

**Table 2. Dynamics of changes in the target indicator  
"The share of the population with incomes below the subsistence minimum", %**

Planning period	Plan of the year of formation of strata. plan	Plan 2011	Plan 2012	Plan 2013	Plan 2014	Plan 2015	Plan 2016	Plan 2017	Plan 2018	Plan 2019	Plan 2020	Plan 2021	Plan 2022	Plan 2023	Plan 2024
<b>2011-2015</b>	<b>6.5</b>	<b>6.4</b>	<b>5.2</b>	<b>5.1</b>	<b>5.0</b>	<b>6.0</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>
<b>2017-2021</b>	<b>4.0</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>4.0</b>	<b>8.0</b>	<b>8.0</b>	<b>8.0</b>	<b>7.0</b>	<b>x</b>	<b>x</b>	<b>x</b>
<b>2020-2024</b>	<b>7.0</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>x</b>	<b>4.5</b>	<b>4.5</b>	<b>4.4</b>	<b>4.4</b>	<b>4.3</b>

Source: Authors' own elaboration based on the MLSP's strategic plans for 2011-2015, 2017-2021, 2020-2024.

The wording of individual measures/measures to implement the strategic directions of the Ministry is presented in General phrases, which, in turn, require additional explanation: "Improving legislation on...", "Strengthening interaction with...", "Controlling...", "Improving monitoring...", "Encouraging...", "Conducting systematic organizational and informational measures on...", "Implementing measures on...", "Optimizing...", "Creating conditions for...". This, in turn, hinders the unambiguity and clarity of their understanding by local Executive bodies in the subsequent decomposition of strategic goals in the formation of indicators and results of territorial development programs [12; 21; 22].

Measures/activities consisting of "development of proposals...", "making proposals...", "analysis and monitoring...", etc., do not contribute to achieving a direct result and do not directly lead to the implementation of target indicators.

## ***Analysis of the relationship between the MLSP's Strategic Plan and the Territorial Development Program***

With the same planning horizon of the MLSP's Strategic Plans and territorial development programs (5 years), the planning periods covered by them do not always coincide (Table 3). This prevents proper correlation between the two levels of documents of the State Planning System (hereinafter – SPS), correct translation of goals and indicators at the national level to the regional level, and generally violates the logic of the state planning process.

**Table 3. The planning periods of the Strategic Plans of the MLSP and territorial development programs**

<b>Planning period</b>	<b>MLSP Strategic Plan</b>	<b>TDP</b>
<b>1</b>	2011-2015	2011-2015
<b>2</b>	2017-2021	2016-2020
<b>3</b>	2020-2024	2021-2025 (in progress)

*Source:* Authors' own elaboration based on the MLSP's Strategic Plans and Pavlodar TDP.

The analysis of the decomposition of the goals and targets of the MLSP of the territorial development programs are conducted in the Strategic Plan of the MLSP for the years 2017-2021 and the Program of Development of Pavlodar region for 2016-2020 (hereinafter – TDP).

Strategic goals in the Strategic Plan of the MLSP and TDP of Pavlodar region, which have the same content and are measured by identical indicators, are formulated differently [22; 26] (Table 4), which makes it difficult to assess the contribution of the region to achieving the highest-level strategic goals. According to the MNE Methodology, the goals in the TDP should be set out for each direction of socio-economic development of the territory in accordance with the long-term system of goals and objectives formulated in the higher-level documents of the SPS [20].

Following the principle of cascading, goals are brought to a lower level to evaluate the contribution of this management level to achieving overall goals. Thus, it is important to ensure that the goal statements remain unchanged when cascading, and to explain and decipher them when they are decomposed (i.e., when tasks and target indicators are formulated).

**Table 4. Setting goals in the MLSP's Strategic Plan and Pavlodar TDP**

<b>MLSP Strategic Plan for 2017-2021</b>	<b>Pavlodar TDP for 2016-2020</b>
Provision of social security services	Formation of an effective system of social protection of the population of the region
Promoting the effectiveness of providing services to socially vulnerable segments of the population	
Improving the effectiveness of employment promotion measures and ensuring migration management	
Ensuring the implementation of labor rights of citizens	Ensuring compliance with labor legislation at enterprises of the region

*Source:* Authors' own elaboration based on the MLSP's Strategic Plan for 2017-2021 and Pavlodar TDP.

The TDP does not decompose the following target indicators of the Strategic Plan of the MLSP for 2017-2021:

- 1) "the proportion of children under the age of 18 from low-income families covered by social assistance";
- 2) "the share of unproductively employed in the self-employed population";
- 3) "coverage of measures to promote employment of the unemployed, unproductively employed";
- 4) "the share of registered job seekers employed through a single digital platform";
- 5) "proportion of employed oralmans (among oralmans who have applied for employment assistance)";
- 6) proportion of enterprises covered by the system of collective-contractual relations;
- 7) "partnership between employers and employees" (position in the Global index) (Appendix 2).

The wording of separate identical target indicators of the Strategic Plan of the MLSP and TDP has some differences (Table 5) [22; 26].

**Table 5. Differences in the wording of identical target indicators of the Strategic Plan of the MLSP and Pavlodar TDP**

<b>MLSP Strategic Plan for 2017-2021</b>	<b>Pavlodar TDP for 2016-2020</b>
Share of recipients of CCA involved in active forms of employment promotion, from the total number of employable recipients of CCA	Share of recipients of TSA (conditional cash assistance) involved in active measures to promote employment
Share of the employable population as a part of TSA recipients	Share of employable TSA recipients

*Source:* Authors' own elaboration based on the MLSP's Strategic Plan for 2017-2021 and Pavlodar TDP.

Although the terms "proportion" and "share" are synonymous in the theory of statistical analysis, there is a lack of unity of terminology in the used state planning systems of the Republic of Kazakhstan.

Individual target indicators in the Strategic Plan of the MLSP and TDP, despite their apparent identity and similarity of wording, have different semantic meanings, since different objects for comparison or different types of statistical values are used by the MLSP and local Executive bodies to evaluate the same phenomena (Table 6) [22; 26]. With different approaches to evaluation, its results generate conceptually different conclusions and make it difficult to conduct an overall assessment of the implementation of strategic documents at the first level of the SPS.

**Table 6. Differences in the approaches of the MLSP and LEB to assessment key indicators of the labor market**

MLSP Strategic Plan for 2017-2021		Pavlodar TDP for 2016-2020	
Target indicator	The statistical values of the objects for comparison	Target indicator	Type of statistical value, objects for comparison
Working woman. Percentage relative to men	Relative value, number of unemployed men / number of unemployed women	Female unemployment rate	Relative value, number of economically active female population / number of unemployed women
Share of persons with disabilities employed in state-subsidized special jobs from the number of unemployed persons with disabilities of this category	Relative value, number of unemployed persons with disabilities / number of employed persons with disabilities	Number of employed persons with disabilities of working age who applied for employment assistance	Absolute value in kind / no comparison

Source: Authors' own elaboration based on the MLSP's Strategic Plan for 2017-2021 and Pavlodar TDP for 2016-2020.

**Conclusions:**

1. The strategic plans of the government institutions of the Republic of Kazakhstan largely duplicate the content of relevant sectoral state programs, which calls into question the feasibility of developing strategic plans. From the point of view of the "portfolio-program-project" state management technology, the strategic plans of government institutions are nothing more than an extra superstructure that does not carry a serious coordinating and integrating load. In addition, they do not contain any intentions for the organizational development of government institutions themselves.

2. The absence of a practice in Kazakhstan of identifying and analyzing projected benefits (socio-economic effects) from the implementation of state programs leads to misalignment of goals and measures to achieve them, blurring and insufficient specification of goals and target indicators.

3. The lack of practice in Kazakhstan of managing integration of the results of strategic plans and programs entails a violation of the principle of end-to-end goal

setting, which provides "cross-linking" the decomposition of the objectives at the national level to regions.

4. The lack of practice in Kazakhstan of integrating various strategic components into the portfolio/program leads to a differentiation of the means of measuring and evaluating the same phenomena used by them.

5. The result of a lack in Kazakhstan of the practice of risk management is the orientation of the target indicators of the strategic documents not to generate significant socio-economic impact, and the tabulation of the products created during the implementation of measures (number of employees trained, the number of employed, etc.). This gives the appearance of the strategic documents' high tolerance for risk.

### *Comparative analysis of programs in the field of employment*

#### **The "Enbek" State Program for the Development of Productive Employment and Mass Entrepreneurship for 2017-2021 (hereinafter - "Enbek" Program)**

The purpose of the "Enbek" Program is to "promote productive employment of the population and involve citizens in entrepreneurship" [27]. At the same time, the Enbek Program itself does not explain what is meant by productive employment. The concept of productive employment is not defined by the Law of the Republic of Kazakhstan "On Employment of the Population" [28].

However, the "Enbek" Program defines a productive workplace: it is "a permanent or temporary working place with a salary/income above the average in the region/industry for three months". Therefore, the purpose of the "Enbek" Program is to promote permanent or temporary employment *with a salary / income above the average in the region/industry* and involve citizens in entrepreneurship.

At the same "time, the "Enbek" Program calls unproductively employed people *with incomes below the subsistence level and/or engaged in low-skilled labor*" [27] (Table 7).

**Table 7. The definition of "the productively employed person" and "unproductively employed person" in accordance with the "Enbek" Program**

<b>Productively employed</b>		<b>Unproductively employed</b>	
<b>definition</b>	<b>the basis for identifying the citizen as a productively employed individual</b>	<b>definition</b>	<b>the basis for identifying the citizen as an unproductively employed individual</b>
those employed permanently or temporarily for the period of three months minimum, with salaries/ incomes above the average in the region/industry	wages/income above average in the region/industry	those engaged with incomes below the minimum subsistence level and/or engaged in low-quality labor	income below the subsistence minimum and/or low-quality labor

*Source:* Authors' own elaboration based on the "Enbek" Program.

Thus, two opposite terms, one of which is intended to mirror the other, are assigned different meanings. As a result, the very purpose of the program remains unclear: is it to promote employment with an income above the regional/industry average or with an income above the subsistence level?

For example, according to the results of the analysis of income of the population of the Republic of Kazakhstan for the 2nd quarter of 2020, conducted by "Center of Labor Resources" JSC, the average income level in the Pavlodar region was 192 200 tenge [29]. The minimum living wage in Kazakhstan from April 1, 2020 is 32,668 tenge [30]. Thus, if we follow the logic of the "Enbek" Program, in Pavlodar region, a person earning more than 192 200 tenge can be considered productively employed, and a person earning less than 32 668 tenge can be considered unproductively employed. Individuals who receive income from 32 669 to 192 199 tenge are not classified as either productively or unproductively employed - accordingly, their interests are not covered by the "Enbek" Program.

The average salary, for example, in the construction industry in Kazakhstan at the beginning of 2020 was 248 000 thousand tenge [31]. Therefore, according to the Enbek Program, a person earning more than 248 000 tenge should be considered productively employed in the construction sector, and a person earning 32 668 tenge should be considered unproductively employed. In this example, the gap between the average wage in the industry and the subsistence minimum is 215 332 tenge.

As the above examples show, it is not possible to answer the question of what level of salary/income is considered by the "Enbek" Program as desired (targeted).

The MNE Methodology requires the orientation of state programs to obtain a socio-economic effect. Under the social and economic effect of the program, the MNE Methodology means "a socially significant result in the form of a useful effect that takes into account the satisfaction of the needs of the program's beneficiaries", namely:

- increasing household income, reducing household expenditures;
- increasing access to services and products;
- reducing material harm (damage) to the population;
- housing improvement;
- social guarantee;
- respect for individual rights and others [25].

In accordance with the Law of the Republic of Kazakhstan "On Employment of the Population", an employed person is "an individual who performs activities for payment or by extracting income through the use of property, production and sale of goods, performance of works, provision of services" [28]. Thus, self-employed citizens are also included in the number of employed, which includes entrepreneurs. i.e., entrepreneurship is one of the forms of employment, and the involvement of citizens in entrepreneurship is one of the tools for promoting employment. Obviously, involvement in entrepreneurship by itself does not guarantee the occurrence of the above socio-economic effects. Therefore, it does not seem logical and appropriate to declare "involvement in entrepreneurship" as the goal of the "Enbek" Program. At the same time, correct goal setting in the development of strategic and program documents plays an important role, determining the correctness of the choice of target indicators and, accordingly, the criteria for evaluating the effectiveness of plans and programs.

### ***Correlation between the goal and target indicators of the "Enbek" Program***

The "Enbek" Program provides four target indicators:

- 1) unemployment rate;
- 2) the share of labor resources with basic, secondary, General and primary education in the labor force;
- 3) proportion of unproductively employed people in other categories of employed population;
- 4) growth of active small and medium-sized businesses [27].

#### "Unemployment Rate" indicator

According to the standards of the International Labor Organization the unemployment rate is calculated as the ratio of the share of unemployed persons to the total number of workers:

$$u=U/L \times 100\%,$$

where "u" is the unemployment rate,  
U – number of unemployed people,  
L – number of employed and unemployed (labor force) [23].

Law of RK "On Employment of Population" under "labor force" refers to employed and unemployed persons, under an unemployed person in turn - an individual engaged in job search and ready to get to work. At the same time, the number of people looking for work is taken as the number of officially registered unemployed (Article 13 of the Law) [28]. Thus, these statistics do not take into account unregistered unemployed persons, i.e. persons who have formal characteristics of an unemployed person but are not registered in employment centers, who can only be identified by special sample surveys of households. Based on this, the indicator "unemployment rate" can be used to assess the quality of work of employment services rather than as a criterion for evaluating the effectiveness of promoting employment, especially productive employment. Even if employed through an employment center, a citizen does not automatically become productively employed. The level of registered unemployment itself does not reflect the degree of productivity of employment in the sense that it is established with the "Enbek" Program.

The discrepancy between the goal of the Enbek Program and the target indicator "unemployment rate" is further aggravated by the fact that the duration of employment is not taken into account. It is obvious that short-term, seasonal, etc. employment does not contribute to stable income generation and reflects only the actual situation for a specific set period of time.

Target indicator " the Share of labor resources with basic, secondary, General and primary education in the labor force"

Neither the Law of the Republic of Kazakhstan "On Employment of the Population" nor the Enbek Program defines "labor resources". It is obvious that this term is used by the MLSP as a synonym of the term "labour force" (i.e. employed and unemployed persons). In other sources, the term "economically active population is also used. Thus, there is a lack of uniformity in the terminology used.

The level of education and skills is one of the qualitative characteristics of the labor force, which largely determines the amount of wages/income and, thus, affects the level of poverty in the country. However, the new principles of social policy proclaimed by the Strategy-2050, namely, expanding the list of individual needs and including items on education and health, healthy nutrition and healthy lifestyle, meeting intellectual and information requests, improving quality of life standards", require new approaches to the development of labor resources [18]. For their more complete characterization, it is advisable, in the researches' opinion, to apply the index of development of human capital.

The concept of human capital development developed by UNDP is focused on improving the quality of human life, expanding and improving its capabilities in all areas [33]. The concept of human development replaced the so-called "classical" theories of economic development, which were based on the indicator of gross national product, considered human beings only as the driving force of economic development and proclaimed economic growth as the main goal of social progress.

The human development index is a comprehensive indicator of a person's standard of living and measures a country's achievements in terms of health, education, and the actual income of its citizens in three main areas for which its indices are evaluated:

**The index of life expectancy:** health and longevity, as measured by the average life expectancy at birth.

**Education index:** access to education measured by the average school-age children's expected learning time and the average adult population's expected learning time.

**The index of gross national income:** a decent standard of living, measured by gross national income per capita in US dollars at purchasing power parity [34].

Target indicator "Share of unproductively employed in other categories of the employed population"

The wording of this target indicator on official web resources hosting the "Enbek" Program varies (Table 8).

**Table 8. Wording of the target indicator of the "Enbek" Program on different websites**

<a href="http://www.prz.enbek.gov.kz">www.prz.enbek.gov.kz</a>	<a href="http://www.primeminister.kz">www.primeminister.kz</a>	<a href="http://www.gov.kz">www.gov.kz</a>	<a href="http://www.adilet.zan.kz">www.adilet.zan.kz</a>
share of unproductive employees <b>among the self-employed population</b> will not exceed <b>10.2%</b>	share of unproductive employees <b>among the self-employed population</b> will not exceed <b>10.2%</b>	share of unproductive employees <b>among the self-employed population</b> will not exceed <b>10.2%</b>	share of unproductive employees <b>in other categories of the employed population</b> will amount to no more than <b>9.0%</b>

Source: Authors' own elaboration based on the "Enbek" Program based on the [www.prz.enbek.gov.kz](http://www.prz.enbek.gov.kz), [www.primeminister.kz](http://www.primeminister.kz), [www.gov.kz](http://www.gov.kz), [www.adilet.zan.kz](http://www.adilet.zan.kz) content.

By the resolutions of the Government of the Republic of Kazakhstan dated November 26, 2019 No. 875, and April 09, 2020 No. 189, changes were made to the "Enbek" Program, including adjustments to the target indicator under consideration – both its qualitative and quantitative components [35; 36]. As a result, only [www.adilet.zan.kz](http://www.adilet.zan.kz) contains the latest version of the "Enbek" Program.

According to the MNE Methodology, target indicators should be clearly understandable for users [25]. The wording of the target indicator "the Share of

unproductively employed as part of other categories of the employed population" raises the question, what "other" categories are we talking about, what categories of employed are opposed to those employed who are proposed to be taken into account in calculating this indicator? Neither the Law "On Employment of the Population" nor the "Enbek" Program contain any criteria for classifying employees in "other categories".

The purpose of the "Enbek" Program is to promote productive employment of the population, and the lack of an indicator measuring the level of productive employment does not seem logical. Taking into consideration that productively employed under the "Enbek" Program refers to employees with wages/income above the average for the region/industry, and unproductively employed – with an income below the subsistence minimum and/or engaged in low-skilled labor [27], it is obvious that in this context the decrease of unproductive employment is much easier to ensure than the growth of productive employment. This confirms the hypothesis that the choice of target indicators is made by the MLSP not on the basis of the desired socio-economic effect, but on the basis of the degree of ease of their implementation and the level of relevant risks.

#### "Growth of active small and medium-sized businesses" indicator

The Strategic Plan of MNE for 2020-2024 contains a target indicator "Increasing the number of active SME entities" [37]. From 2020 to 2024, the MNE plans to increase the number of SME entities by 40 000 annually (the same number each year), i.e. their annual growth is planned by the MNE at the rate of 3%. Meanwhile the "Enbek" Program plans an increase of 9% in 2020, and 10% in 2020 [27] (Table 9).

**Table 9. Comparison of the active SME entities growth indicators in the MNE Strategic Plan for 2020-2024 and the "Enbek" Program**

Target indicator	2018	2019	2020	2021	2022	2023	2024
<b>Increasing the number of active SME entities, units (MNE Strategic Plan)</b>	x	1 310 000	1 350 000	1 390 000	1 430 000	1 470 000	1 510 000
<b>Growth of active SMEs, (calculated by the authors of the study)</b>	x	x	3%	3%	3%	3%	3%
<b>Growth of active small and medium-sized businesses (the "Enbek" Program)</b>	5%	7%	9%	10%	x	x	x

Source: Authors' own elaboration based on the MNE Strategic Plan for 2020-2024 and "Enbek" Program.

Thus, there is a discrepancy between different strategic documents and target orientations of the Central government institutions concerned. At the same time, despite the fact that the increase in the number of active SME entities is defined as a target indicator of the MNE Strategic Plan, its Operational Plan for 2020 does not provide a list of activities aimed at implementing the indicator, which makes it impossible to compare the performance indicators of the Enbek Program and the MNE Strategic Plan.

The materials Of the Committee on statistics note that "in accordance with international practice, in order to apply uniform approaches to the formation of indicators on the number of SME entities and to exclude discrepancies with the data of the state revenue Committee of the Ministry of Finance of the Republic of Kazakhstan, starting from February 1, 2015, the indicator "the number of "active" entities, instead of " active"<sup>35</sup>. Thus, the target indicator of the "Enbek" Program should be formulated as "Growth of

<sup>35</sup> www.stat.gov.kz

existing small and medium-sized businesses". Obviously, there is a difference between "active" and "inactive" business entities. Since the regulatory legal acts of the Republic of Kazakhstan do not define the concept of an active SME entity, the criteria for assigning SMEs to this category remain unclear. What is meant by active activity in this context? What kind of activity can't be considered active?

It is not possible to determine whether the growth in the number of "active" SME entities is really a result of the implementation of the "Enbek" Program or other initiatives and projects implemented by other entities (the "Atameken" National Chamber of Entrepreneurs, "Damu" Entrepreneurship Development Fund JSC, etc.). The practice of "Damu" Entrepreneurship Development Fund looks more correct, which operates in terms of "the number of registered SME entities" and "the number of existing SME entities" [38].

By itself, the number (and, consequently, its growth) of existing SME entities as an indicator is unstable and constantly fluctuating, and therefore does not carry much statistical significance and value in terms of its impact on the quality of life of the population. In our opinion, the number of people employed in SMEs is a more important indicator from a social point of view.

### ***The program "Employment Roadmap for 2020-2021" (hereinafter – ER)***

The goals of the ER are formulated without taking into account the criteria of measurability and clarity required by the MNE Methodology:

1. Ensuring employment and preventing an increase in the unemployment rate.
2. Creating additional jobs and providing income.
3. Creating conditions for the development of infrastructure in localities.

The structure of ER does not meet the MNE Methodology requirements. It does not define target indicators and indicators of the results of its implementation, and therefore it is not possible to assess its effectiveness and efficiency [39].

Numerous Internet sources provide different information about the number of permanent and temporary jobs that are planned to be created by the ER. The program itself does not provide any quantitative indicators that allow you to get an idea of the amount of work and their financing. Thus, the ER is not a program per se, but rather a mechanism for implementing certain initiatives.

The program defines 8 criteria for selecting infrastructure projects by local Executive bodies and budget program administrators:

- 1) availability of design and estimate documentation for major repairs and reconstruction of objects that have passed the expert examination;
- 2) faulty statements, estimates, estimates for the scope of work, medium and (or) current repair of which is planned in the framework of projects;
- 3) timing of public procurement and opportunities for purchasing goods, works and services from domestic producers;

- 4) the need to develop and improve the socio-economic situation of the locality;
- 5) priority and relevance of infrastructure projects implementation;
- 6) start and end dates for infrastructure projects;
- 7) the number of jobs created and the amount of the average monthly salary calculated for the submitted projects;
- 8) natural and climatic conditions and other features of the region that affect the implementation of projects [39].

At the same time, the ER does not specify whether the project applying for funding should meet all eight criteria or some of them. The first scenario looks doubtful, while the second, on the contrary, allows almost any project to be classified as a priority.

5 of the 8 criteria are purely technical in nature (the availability of PSAs, deadlines, etc.), and only 3 criteria (timing of public procurement; priority and relevance of projects; the number of jobs created and the size of wages) reflect the orientation of projects to the result, namely, obtaining socio – economic effect. However, it is not clear how it is proposed to determine the priority and relevance of project implementation (criterion 5), since logically priority and relevance should be determined by the relevant criteria. There is a "criterion within criteria".

Thus, the current approach to establishing criteria for selecting projects creates risks for unjustifiably including projects that are not priority projects in the program. The risk of making decisions based mainly on technical factors (for example, the availability of POI), without taking into account the priorities of the country and regions' development and the needs of the population, seems obvious. In addition, this approach does not help the program achieve its goals of providing employment, creating jobs and increasing the population's income.

### ***Comparative analysis of the content of programs "Enbek" and the "Business Roadmap"***

Part of the integral goal of the "Enbek" Program is to involve citizens in entrepreneurship. At the same time, the goal of the Business Roadmap - 2020 Program (hereinafter – BR-2020) and Business Roadmap – 2025 Program (hereinafter – BR-2025) programs is to "ensure sustainable and balanced growth of regional entrepreneurship, as well as maintaining existing and creating new permanent jobs." [40; 41]

Table 10 shows the activities provided for by the "Enbek" Program, BR-2020 and BR-2025 in the common for the three programs period (2017-2021).

**Table 10. The "Enbek" Program, BR-2020 and BR-2025 events in common for the three programs period (2017-2021)**

Program	2017	2018	2019	2020	2021
<b>Allocation of grants to existing and potential entrepreneurs</b>					
The "Enbek" Program	○	●	●	●	●
BRM-2020	○	○	○	○	○
CST-2025	○	○	○	●	●
<b>Issuing loan guarantees in rural localities, single-industry towns, and small towns</b>					
The "Enbek" Program	●	●	●	●	●
BRM-2020	○	○	○	○	○
CST-2025	○	○	○	●	●
<b>Training of existing and potential entrepreneurs</b>					
The "Enbek" Program	●	●	●	●	●
BRM-2020	●	●	●	○	○
CST-2025	○	○	○	●	●

*Source:* Authors' own elaboration based on the "Enbek" Program, BR-2020 and BR-2025.

At the same time, the "Enbek" Program, BR-2020 and BR-2025 were implemented/are being implemented:

- 1) allocation of grants to existing and potential entrepreneurs;
- 2) issuing loan guarantees in rural localities, single-industry towns, and small towns;
- 3) training of existing and potential entrepreneurs [27; 40; 41].

At the same time, the BR-2020 and BR-2025 action plans indicate the amount of their funding. At the same time the "Enbek" Program declares only the preparatory work on the allocation of grants, the issuance of guarantees and training of entrepreneurs, whereas the measures themselves in achieving the appropriate outcome indicators (the number of guarantees issued in rural settlements and small towns, in cities and towns; the number of persons that received state grants to implement new business ideas; the number of people receiving entrepreneurship training) program no.

For example, a list of activities aimed at implementing the task "Training of participants of the "Enbek" Program in the basics of entrepreneurship under the project "Bastau Business" includes:

- 1) adoption of rules for teaching the basics of entrepreneurship "Bastau Business" and making changes to them;
- 2) creating a list of applicants for training;
- 3) drawing up a training schedule;
- 4) conducting testing of applicants, forming groups of trainees;
- 5) conclusion of contracts for project financing "Bastau Business”;
- 6) providing information on the number of persons admitted to training, who have completed training, who have started their own business, who have received loans/micro-loans;
- 7) providing information on the progress of the project "Bastau Business" [27].

The training activities themselves are not included in the list, as well as information about the corresponding planned costs. None of the official web resources contain reports on the actual financing of activities under the "Enbek" Program, BR-2020 and BR-2025. Even the [www website.prz.enbek.gov.kz](http://www.website.prz.enbek.gov.kz), dedicated exclusively to “The Enbek program provides only indicators of direct results (the number of participants in the program, the number of micro-loans received, trained and employed), while information about the amount of funds spent on the implementation of activities is not made public. This indicates a lack of transparency and accountability of government institutions, as well as public control.

#### Conclusions:

1. When developing government programs in Kazakhstan, it is allowed to simultaneously use different terms in relation to the same phenomenon. In decretal formulations of program objectives may as the creation of government institutions room to maneuver in interpreting the results of program implementation (dilogy "promotion of employment with above-average income by region/industry employment income above the subsistence level").

2. The terms used in the state program, in particular for the purpose of describing the results of programs that allow us to judge their effectiveness, are not regulated at the legislative and/or regulatory level. Thus, the principle of alignment of program documents with the current regulatory framework and vice versa is violated.

3. The lack of a clear understanding of the principles of attributing strategic documents to programs leads not only to differences in the structure of different programs, but also to the illegality of attributing documents to programs as such due to the lack of target indicators and criteria for evaluating their effectiveness.

4. The result of a lack in Kazakhstan of the practice of risk management is the orientation of the target indicators of public programs not to generate significant socio-economic impact, and the tabulation of the products created during the implementation

of measures (number of employees trained, the number of employed, etc.). Thus, according to the research team created high traveler tolerant policy documents for risk.

5. The lack of practice of integrating the results of various components of programs/portfolios leads to differentiation of quantitative characteristics of the same indicators of different programs (growth of active SME entities).

6. State programs do not fully use the world experience measurement of global indicators to allow for greater program orientation on results and objectivity of assessment of efficiency of programs (Index of development of human capital the share of labor resources with the primary, secondary, General and primary education in the workforce).

7. Public authorities of Kazakhstan do not ensure timely updating of public programs published in open access. This leads to the conclusion that there is no full-fledged practice of strategic alignment and management of integration of program components and portfolios.

8. The unavailability of public information on the results of implementation of state programmes, namely the socio-economic effect and economic efficiency, is the result of secrecy and low transparency of activities of government institutions.

### ***Analysis of the relationship between strategic goals and the budget***

The basis of the analysis:

- The MLSP's Strategic Plan for 2020-2024 [12];
- Budget program 068 "Implementation of the "Enbek" State Program for the Development of Productive Employment and Mass Entrepreneurship for 2017-2021 2021-2023" (hereinafter-the Budget Program) [42].
- Rules for the development and approval (re-approval) of budget programs (subprograms) and requirements for their content (approved by Order of the Minister of national economy of the Republic of Kazakhstan dated December 30, 2014 No. 195) (hereinafter-the Rules [43].
- "Enbek" Program [27].
- MNE Methodology [25].

The relationship between the MLSP and “Enbek” Program’s strategic goals and Budget Program is analyzed in Table 11.

**Table 11. Analysis of the relationship between the MLSP and "Enbek" Program's strategic goals and the Budget Program**

Object of analysis	Budget program 068	The MLSP Strategic Plan for 2020-2024	"Enbek" Program
<b>Goal</b>	Involvement of self-employed, unemployed and unskilled people in productive employment by solving tasks in the third direction "Development of the labor market through the promotion of employment and labor mobility"	Improving the effectiveness of employment promotion measures and ensuring migration management	Promotion of productive employment of the population and involvement of citizens in entrepreneurship
<b>Final result of the budget program / target indicators of the Strategic plan and "Enbek" Program"</b>	Unemployment rate: 2020 - no 2021 and 4.8%, 2022 – 4,7%, 2023 – 4,7%	Unemployment rate: 2020 and 4.8%, 2021 and 4.8%, 2022 – 4,7%, 2023 – 4,7%	Unemployment rate: 2020 - 4,8 %, 2021 – 4,8%, 2022 year-no, 2023-no
	Female unemployment rate: 2020 no 2021 and 5.3%, 2022 is 5.2%, 2023 – 5.2 percent	Female unemployment rate: 2020 and 5.3%, 2021 and 5.3%, 2022 is 5.2%, 2023 – 5.2 percent	Target indicator "the Level of female unemployment" is missing, but there is output indicator "the Percentage of women included in the membership, "Enbek", of those who applied to employment centers"

<b>Final result of the budget program / target indicators of the Strategic plan and "Enbek" Program</b>	Youth unemployment rate: 2020 no 2021 and 3.7%, 2022 – 3,6%, 2023 – 3,6%	Youth unemployment rate: 2020-3.7%, 2021-3.7%, 2022-3.6%, 2023-3.6%	the Target indicator "youth unemployment Rate" is absent, but there is an indicator "for youth employed in permanent jobs, among the youth who have applied to employment centers"
	Percentage of persons involved in the Program who applied to employment centers: 2020 no 2021 – 93,3%, 2022 – 93,3%, 2023 – 93,4%.	The proportion of persons involved in the Program, of those who applied to employment centers: 2020 – 93%, 2021 – 93,3%, 2022 – 93,3%, 2023 – 93,4%.	The target indicator "Share of persons involved in the Program of those who applied to employment centres", but is an indicator of "the Proportion of people involved in the Program, of those who applied to employment centers: 2020-93%, 2021-93.3%
	Share of unproductively employed in the self-employed population: 2020 no 2021 – 9,0%, 2022 – 9,0%, 2023 is 8.9%.	Share of unproductively employed in the self-employed population: 2020 is 9.5%, 2021 – 9,0%, 2022 – 9,0%, 2023 is 8.9%.	Proportion of unproductively employed people in other categories of employed population: 2020 is 9.5%, 2021 – 9.0%
<b>Justification</b>	It is planned to spend on the creation of a Single digital platform for employment, assistance in providing employment to the unemployed and self-employed; increasing the mobility of labor resources	x	x
<b>Expenditures from the national budget (for the period shared by the three analyzed documents)</b>	2020 - no 2021 - 76 952 million tenge	2020 - 30 194 million tenge 2021 - 27 472 million tenge	2020 – 82 764 million tenge 2021 – 80 043 million tenge.

Source: Authors' own elaboration based on the MLSP's Strategic Plan for 2020-2024, "Enbek" Program and Budget Program 068.

## Conclusions:

1. The budget program does not contain the information required by the Rules, namely:

- 1) indices of a direct result;
- 2) quality indicator;
- 3) performance indicator.

2. The goal of the budget program is formulated in an abstract way and does not contain a specific result, which contradicts the requirements of the Rules. At the same time, the goals of the MLSP Strategic Plan and the "Enbek" Program are devoid of the measurability and clarity required by the MNE Methodology. This makes it difficult to establish a clear correlation between the objectives of the three documents under consideration. Of course, their goals lie in the same subject area, but this does not reflect their interconnectedness, since it must be achieved by integrating specific projected results.

According to the Rules, the goal "provides a certain result ... that is expected to be achieved in the implementation of the budget program." "Engaging individuals in productive employment" sounds more like an intention to carry out some activity and is used as a goal formulation inappropriately [43].

3. According to the Rules, "if the budget program corresponds to one goal of the strategic plan, then the target indicators of this goal of the strategic plan are indicated as the final results of the budget program" [43], which is provided by the budget program (its final results correlate with the target indicators of the MLSP Strategic Plan).

However, it is obvious that the Budget program "The implementation of the state program for the development of productive employment and mass entrepreneurship for 2017-2021 "Enbek" and as final results should determine the indicators that are declared as target indicators of the "Enbek" Program. But the indicators of the final results of the budget program "women's unemployment Rate", " youth unemployment Rate "are not the target indicators of the "Enbek" Program. Thus, there is a discrepancy between the targets of the "Enbek" Program, the MLSP Strategic Plan and the corresponding budget program.

4. According to the Rules, the description (justification) of the budget program should disclose "the interrelation of planned budget funds with the goals, target indicators defined in the strategic plan." [43] The justification given in the budget program under consideration sounds more like a fragment of some explanatory note taken out of context. The required correlation is not disclosed in the justification.

5. Section 6, "Resources" of the MLSP Strategic Plan for 2020-2024, breaks down the budget programs in accordance with the structure of strategic goals ("strategic goal – budget program"), but at the same time, a part of the budget programs is included separately in the block "Budget programs aimed at achieving the goals of the Strategic Plan" [12]. The analyzed budget program is not included in this block at all, which leads to the conclusion that the MLSP of health does not refer to it as programs aimed at achieving the strategic goals of the MLSP, which is generally devoid of logic.

6. Expenditures from the Republican budget for realization of the "Enbek" Program in the analyzed program considerably different from the cost foreseen for its implementation in the respective periods of the Strategic Plan of MLSP in 2020-2024 years and by the "Enbek" Program. In this case, the conclusion about updating the budget and, accordingly, the alignment of strategic documents is valid, but the source of the analyzed version of the "Enbek" Program is the web resource [www.adilet.zan.kz](http://www.adilet.zan.kz), which does not indicate any changes or additions to the Program. The research team did not have the opportunity to review publicly available information on the clarification of the MLSP Strategic Plan.

Full-fledged interconnection of the content and targets of strategic documents and budget programs can be ensured by implementing the practice of managing their integration, which is possible only if project management is implemented at all its levels-portfolio-program-project.

## 2.2 Analysis of the separation of powers between political and administrative civil servants and the imbalance of powers, resources and responsibilities, and information flows

### *International experience in the separation of powers between political and administrative civil servants.*

Crucial features of the “public management”, “public policy” and “public affairs” phenomena are indicated in Figure 12.

**Figure12. Dichotomous concept of "policy-management”**

public administration		
public management state management operational and administrative aspects of the functioning of government institutions	public policy analysis of government programs and policies, including strategic planning and regulatory impact assessment	public affairs interaction with citizens

Source: Authors’ own elaboration based on the internet content.

The issue of delineating authority between positions of a political nature and government positions is quite complex (World Bank, 2003)<sup>36</sup>. There are several methods of such differentiation. The most common *definition is the proportion of political civil servants or appointees in the total number of civil servants*. For example, in the United States, the ratio of political appointees is about 1 in 400, and in Sweden-1 in 2000. At the same time, the post-election change *in the percentage* of personnel in the main ministries of the Central government funded from the budget serves as a clear indicator of the state of Affairs. However, in the absence of transparent mechanisms for determining the scope and conditions of political appointments, as opposed to non-political ones, there is a risk that each position becomes de facto an object of political influence. This is particularly true in countries where public administration has gone through a long period of intense politicization, - such, as the former socialist States of Central and Eastern Europe.

However, in a number of countries, especially in the *New Zealand*, clear distinctions have been established between political and administrative civil servants<sup>37</sup>. Under New Zealand law, **Ministers or top government officials, as political civil servants**, are politically responsible to Parliament (and the people) for the activities of their departments, as well as responsible *for their strategic direction, policy decisions, public approval of decisions taken, and for achieving the final results*.

Administrative civil servants or superintendents are responsible for the activities of their departments to their respective Ministers and Parliament – they are responsible *for participating in policy formulation and implementation, for providing public services, for monitoring the "performance" of their departments, and for "results-based management"*. In addition, the Supreme managers (administrative civil servants) *are responsible for hiring and firing staff, responding to requests from parliamentary committees, as well as speaking on behalf of the government institution in the media and at public meetings*. They are appointed in strict accordance with the qualification requirements, with further regular evaluation of their performance, and on the basis of a fixed-term contract. This measure is aimed at ensuring a more effective alignment of administrative activities with the set political goals.

Thus, in New Zealand to establish clear boundaries between activity aimed at the organization of the daily work of public authorities and the provision of services to the population, and activities associated with development of common policy, the Ministers assigned a more strategic role – *to do common tasks and policies, and to guide the activities of its departments, providing them with the necessary resources*.

However, in a number of countries for a clearer delineation of career civil servants and political appointees entered a post of the Secretary of state or Secretary of state as

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<sup>36</sup> Reform of public administration: international experience / Nick Manning Neil Parison; Per. Engl-M. publishing house "world", 2003. - 496 p.

<sup>37</sup> Kazakova, Maria V, Government reform In Developed Countries: the Experience of the United States and New Zealand (Reform of the System of Public Authorities in the Developed World: The Experience of the United States and New Zealand) (September 17, 2015). Available at SSRN: <https://ssrn.com/abstract=2665548> or <http://dx.doi.org/10.2139/ssrn.2665548>

high officials of one or another Central Ministry to OE performs the following functions: 1) *ensuring the smooth operation of the public authority, regardless of the movement of the head*; 2) *control of target use of state budget funds*; 3) *analysis of the effectiveness of the government institution*; 4) *minimizing political interference in staffing issues*. This position is permanent, regardless of the resignation or dismissal of the head of the government institution. The position of state Secretary exists in Argentina, Belgium, the Vatican, Canada, Finland, France, Germany, Hungary, Luxembourg, the Netherlands, Norway, Portugal, Slovakia, Spain, Sweden, Switzerland and the United Kingdom<sup>38</sup>.

In a number of OECD countries (Australia, Belgium, Czech Republic, Hungary, Korea, Luxembourg, the Netherlands, Portugal, the United Kingdom and the United States) also established a **separately managed public service System (Senior Civil Service (SCS) systems)** for senior management of government bodies at the national level. SCS can be defined as a structured personnel allocation system for senior non-political positions in government that are responsible *for the operational activities of government institutions*. The process of inclusion in the SCS varies. Countries with a meritocratic approach to personnel management delegate the procedure for inclusion in SCS to Central authorities or ministries. In a hybrid embodiment, the independent Commission carries out the selection of applicants. Subsequently, the government itself selects candidates for non-political positions from a list of recommended candidates (OECD, 2008)<sup>39</sup>.

In some countries, there are formal restrictions that define the division of responsibility between Ministers and administrative civil servants (for example, the United States, Great Britain, the Republic of Korea, New Zealand), and also establish functional areas that are outside the scope of Ministerial authority. For example, in New Zealand and the United Kingdom, this includes functions such, as land registration or accounting. However, in many Eastern European and former Soviet Union countries, there is no clear system for separating the roles of politicians and senior officials, and the level of politicization of such appointments is increasing. In countries where senior officials are mostly political appointees, the appointment system is generally - highly politicized (World Bank, 2016)<sup>40</sup>.

At the same time, it should be emphasized that political appointments are most often a legitimate measure to maintain a multiparty ruling coalition. In many countries, there is a significant number of hybrid appointments, where a subjective political assessment is added to professional qualifications (determined on the basis of certain criteria). In contrast to those political appointments made by current government officials, hybrid appointments consider merit and merit as necessary, but not the only conditions for appointment (world Bank, 2003). Meanwhile, in countries with an active civil society, civil servants are appointed in accordance with established rules for public authorities,

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<sup>38</sup> N. T. Sheripov. State Secretary-new Institute of public service Bulletin of the Moscow University of the Ministry of internal Affairs of Russia No. 6 • 2008

<sup>39</sup> THE STATE OF THE PUBLIC SERVICE – ISBN 978-92-64-05594-0 – © OECD 2008

<sup>40</sup> World Bank. Governance Global Practice Group. 2016. Policy Research Working Paper 7702

rather than through political patronage. Therefore, the government of the country (or subnational governments) are the relevant laws that determine the procedures for the selection of candidates for these positions based on their personal and professional qualities and the level of their remuneration.

It should be noted that among experts in the field of public administration, there is an opinion that political appointees and administrative civil servants of the highest rank have different views on the political world (General vs. specialist) and a different attitude to political stakeholders (better or worse knowledge of the preferences of political parties). Top-level administrative civil servants or professional managers are more likely to start at the very bottom of the career hierarchy of a government institution, so they are experts in the policy area they manage, as well as adherents of the policy of the government institution. Appointees are less likely to be specialized specialists, less likely to be committed to the vision of the government institution and, as a result, more loyal to the preferences of the ruling party or political stakeholders (Moe 1985<sup>41</sup>; Maranto 2005<sup>42</sup>).

In addition, studies focusing on governance issues as the main factor in the effectiveness of government institutions have not confirmed the crucial role of political appointees in this direction. Research results have indicated that political appointees are elected in a non-competitive manner, and their positions either lack or have very weak qualification standards (Cohen, 1996<sup>43</sup>; the National Commission on the Public Service, 2003<sup>44</sup>; Lewis, 2007<sup>45</sup>).

Nevertheless, despite all the criticism of the u, the mechanism of political patronage or appointment remains a widespread practice. By the way, in the United States, candidates for almost all top positions in the government are selected and appointed by the permanent resident at their own discretion. The main criterion for recruitment is professional qualities or loyalty to the political course, which may change depending on the specific President.

In Germany, according to the law of the country, the most close to the government's political program employees of the administration come and leave their posts with the government or individual Minister.

Political appointees in France include Directors and members of Ministerial cabinets, Directors of administrative departments, Commissars-General, and secretaries-General of departments. The appointment of all these persons is made by a decision of

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<sup>41</sup> Moe, Terry M. 1985. "The Politicized Presidency." In the New Direction in American Politics, edited by J. E. Chubb and P. E. Peterson. Washington, DC: Brookings.

<sup>42</sup> Maranto, Robert. 2005. *Beyond a Government of Strangers*. Lanham, MD: Lexington Books. McCubbins, Mathew D., Roger Noll, and Barry Weingast. 1987. "Administrative Procedures as Instruments of Political Control." *Journal of Law, Economics, and Organization* 3:243- 277.

<sup>43</sup> David M. Cohen CPM Working Paper 96-1. *Amateur Government: When Political Appointees Manage the Federal Bureaucracy*

<sup>44</sup> REPORT OF THE NATIONAL COMMISSION ON THE PUBLIC SERVICE JANUARY 2003. URGENT BUSINESS FOR AMERICA

<sup>45</sup> David E. Lewis. 2007. *Testing Pendleton's Premise: Do Political Appointees Make Worse Bureaucrats?*

either the government or the Minister concerned. Under the current system, these individuals resign along with the government.

It should be noted that during election seasons, the status and movement of political appointees is subject to increased monitoring. A clear example of this is the United States. Since the powers of political appointees in the United States depend directly on the term of office of the ruling party or President, most political appointees try to move to the ranks of administrative civil servants. Unlike political appointments, the latter are more permanent and stable. Thus, conversion to civil servants allows political appointees to remain in government after the President who appointed them has left office. The recruitment process for the civil service, is usually, carried out through an application to the independent office of personnel Management (The Office of Personnel Management) which conducts a multi-level review of each application to make sure that the candidate meets the Federal requirements for admission to the civil service (Center for Presidential Transition, 2020)<sup>46</sup>.

As the analysis shows, most countries have a number of laws, conventions and procedures that prescribe the division of responsibility between Ministers and civil servants, and in some cases - prohibit the involvement of politicians or civil servants in certain areas. By the way, functional responsibilities that are outside of the Ministerial powers in the countries of Westminster (New Zealand and the United Kingdom) they relate to legal decision-making rights in specialized matters – such as land registration or the activities of election commissions and authorized public service agencies. These measures mainly pursue the principle of ensuring political non-partisanship of the civil service, which requires the implementation of personnel appointments solely on objective grounds (merit and skills). For example, the Korean authorities have established rules prohibiting their civil servants from joining a party or any political organization (OECD, 2007)<sup>47</sup>.

In terms of improving the efficiency of public administration among the main recommendations **the national Commission on public service of the Republic of KAZAKHSTAN, as well as other experts in this field** (Cohen, 1996; Lewis, 2007) you can select:

1) drastically reduce the total number of political appointees in order to avoid excessive politicization, as well as avoiding political influence from the ruling party and other key stakeholders – such as the President or other top official (in the example of the United States, it is proposed to reduce the number of political positions to 80%);

2) restrict political appointments only to the highest echelon of government institutions and agencies;

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<sup>46</sup> Center for Presidential Transition, 2020. Political Appointee To Civil Servant: What the Public Should Know About “Burrowing In”. <https://presidentialtransition.org/political-appointee-burrowing-in/>

<sup>47</sup> Matheson, A. et al. (2007), "Study on the Political Involvement in Senior Staffing and on the Delineation of Responsibilities Between Ministers and Senior Civil Servants", OECD Working Papers on Public Governance, 2007/6, OECD Publishing. doi:10.1787/136274825752

3) conduct professional training of political appointees in order to improve their core competencies;

4) professionalize senior positions in government bodies by replacing political appointees with career managers or administrative civil servants.

#### Conclusions:

1. Public management should remain neutral in relation not only to political power, but also to private interest groups. This is closely related to impartiality. Political neutrality – both absolute and relative – do not exclude any subordination of administrative bodies in performing their duties of government, nor the possibility that political appointees will surround himself with his people, whom they trust. What it really means is *the separation of political and administrative levels of power and the absence of partisan interests in career management*<sup>48</sup>.

2. Clear separation of powers between political and administrative civil servants is achieved through the adoption of appropriate regulatory legal acts.

In many countries with an effective public administration system, it is established by law that political civil servants or **top managers of public bodies** are politically responsible for the overall activities of their departments, as well as responsible *for strategic directions, policy decisions, public approval of decisions taken, and for achieving final results*. **Administrative civil servants of the highest rank** are responsible for the operational activities of their departments, as well as *for the implementation of the policy and mission of the public authority, for the quality and timeliness of public services, for the performance of their departments, as well as for results-based management*. In addition, administrative civil servants are responsible for personnel policy, *as well as speaking on behalf of the government institution in the media and at public meetings*.

3. The indicator "*share of political civil servants or appointees in the total number of civil servants*" is the basic indicator for optimizing the number of political civil servants.

The experience of countries (New Zealand, the United Kingdom, Korea, etc.) shows the effectiveness of appointing political civil servants on the basis of a competency-based approach, taking into account existing merits and skills, with the introduction of restrictions on the participation of civil servants in the activities of political parties.

#### ***Analysis of the organizational structure of the MLSP based on stratification***

To analyze the balance of authority, responsibility and resources of the MLSP, a method of modeling the organizational structure based on stratification, i.e. the allocation of management levels and manageability, is used.

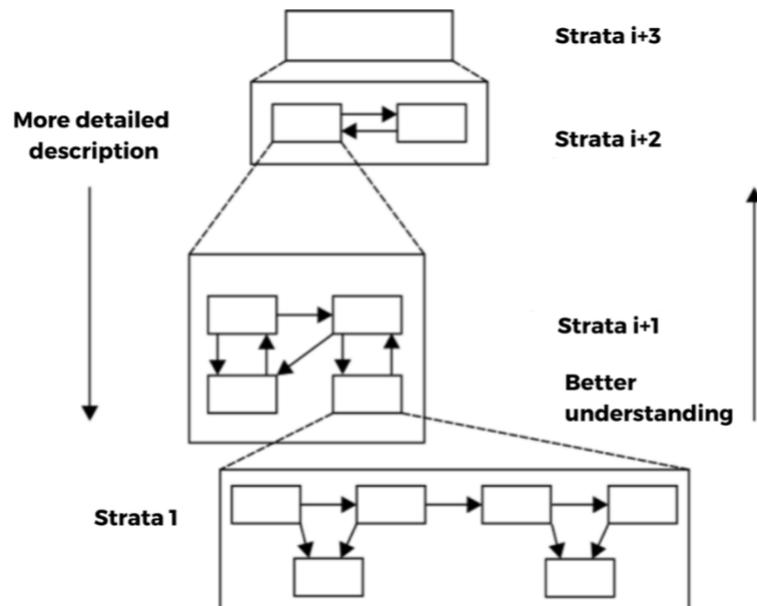
The interest in modeling complex systems using modern information tools is due to the growing complexity of systems and the problem of "big data". The value of practical applicability of these methods in identifying the interaction and complex systems

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<sup>48</sup> The OECD report <http://www.sigmaxweb.org/publicationsdocuments/38756998.pdf>

with humans based on cognitive modeling<sup>49</sup>. Metod is widely used in modeling complex hierarchical systems that differ in different principles of interaction of elements within the level and different right of intervention of a higher level in the organization of relations between elements of a lower<sup>50</sup> level (Figure 13).

**Figure 13. Relationship between strata: the system for this stratum is a subsystem for the next, higher stratum<sup>51</sup>**



For each stratum, there is a specific set of concepts and terms used to describe the system in this stratum, and there are usually different languages. These languages, in turn, form a hierarchy with semantic relationships between any two consecutive members of the hierarchy.

The methodology is used in public administration, corporations, and the quasi-public sector in many countries.

The goal of stratification is to create highly effective organizational structures based on self-regulation and trust.

The essence of the methodology is to group all positions of the organization into strata based on the goals, tasks, and complexity of goals and tasks. Then the positions are analyzed vertically to the lowest stratum-level, horizontally and crosswise, and connections are identified for each level of management.

<sup>49</sup> Buravtsev A.V. Stratified method of building a complex system, Information technologies, <https://cyberleninka.ru/article/n/stratifikatsionnyy-metod-postroeniya-slozhnoy-sistemy/viewer>

<sup>50</sup> Mesarovic M., Takahara Y. General systems theory: mathematical foundations, edited by S. V. Emelyanov. - M.: Mir, 1978, 312 p

<sup>51</sup> Mesarovic M., Takahara Y. General theory of systems: mathematical foundations / ed. By S. V. Yemelyanov. - M.: Mir, 1978, 312 P.

The analysis is carried out according to the following scheme: analysis of qualification requirements, job descriptions, evaluation systems, interviewing all employees. Next, the ability of each employee to match the position is determined by an aggregated indicator: planning horizon, authority, responsibility, and delegation. When the model is applied to the current organizational structure, inconsistencies and gaps are detected in both the position itself and the employee who occupies it. For example, the planning horizon for a stratum position is 2-5 years, and in fact the longest-term task of an employee in this position is limited to 6 months.

The MLSP did not provide the above-mentioned documents to the research group, so the main analysis was conducted based on the results of interviews.

The MLSP organizational structure, elaborated on the basis of its official website content, is illustrated in Figure 14.

**Figure 14. Organizational structure of the MLSP<sup>52</sup>**

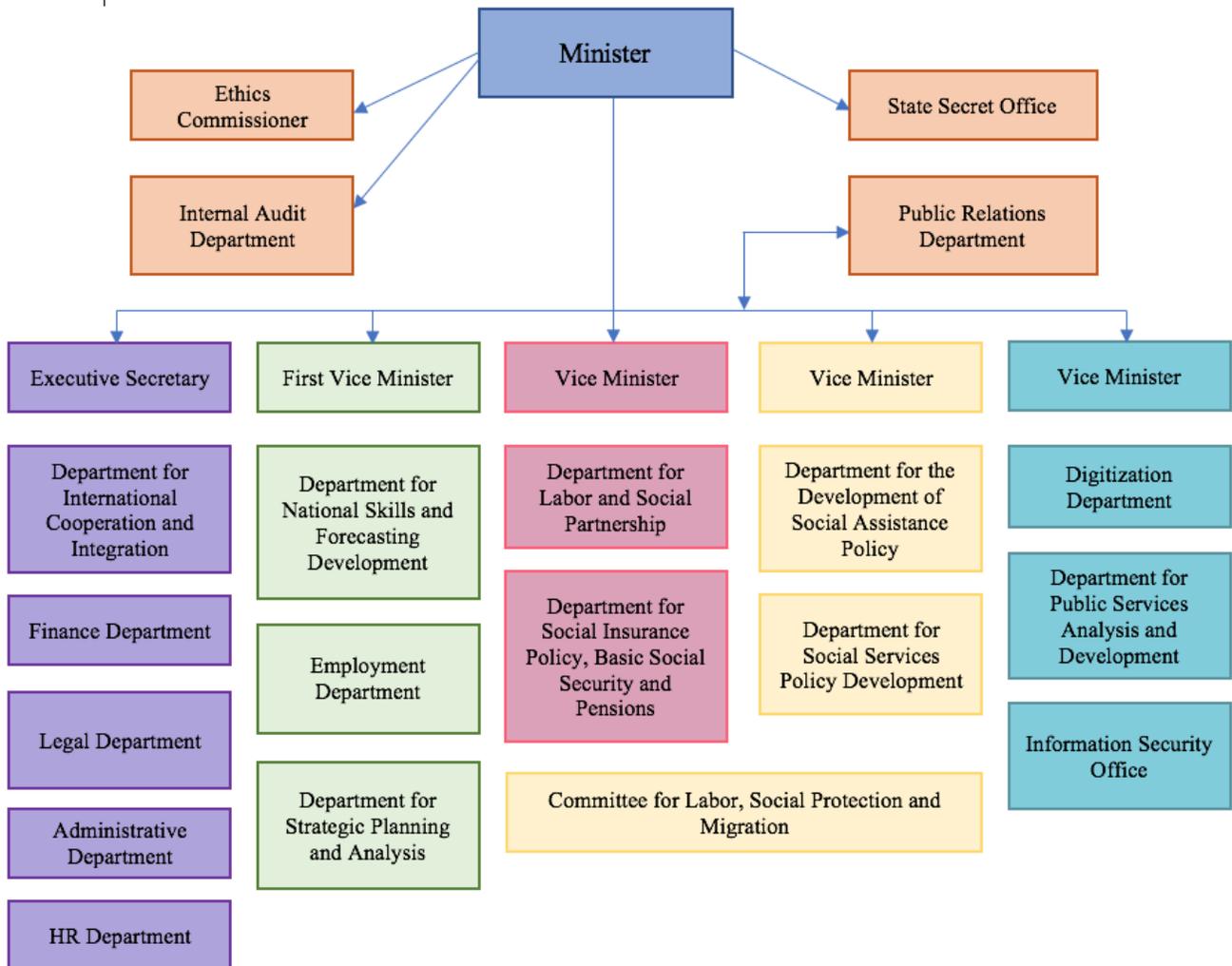
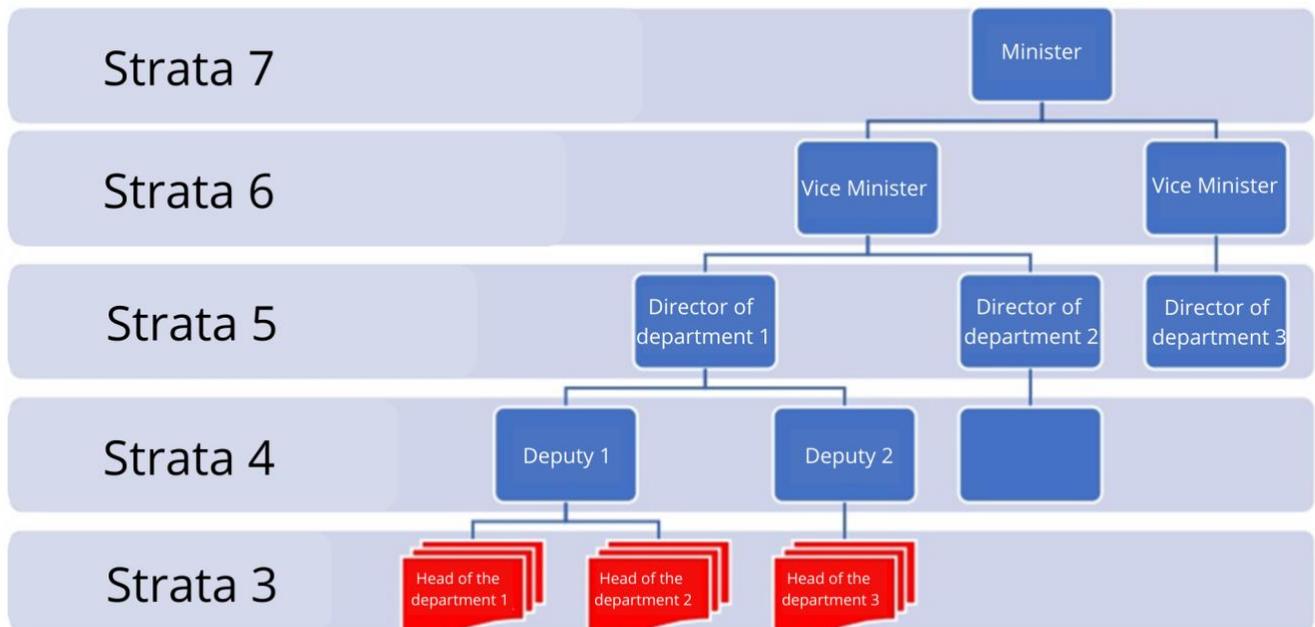


Figure 15 illustrates the strata of the MLSP's management levels.

<sup>52</sup> <https://www.gov.kz/memleket/entities/enbek/about/structure?lang=ru>

**Figure 15. Stratification of the MLSP's management levels**



*Source:* Authors' own elaboration based on the Figures 13,14.

In accordance with the above methodology, 7 levels of management (strats) are allocated in the organizational structure of the MLSP.

Due to limited time resources, 12 employees of the MLSP were interviewed, belonging to 4 levels of management: two Vice-Ministers-6 strata, the Chairman of the Committee and the Directors of departments (5 strata), the Deputy Chairman of the Committee and Deputy Directors of the Department (4 strata). It was not possible to conduct interviews with employees in positions 1 and 2 of strata.

Almost all interviewees (below the level of political positions) have a high level of compliance *with the individual – working environment* according to Holland<sup>53</sup>, there is a high level of social orientation, stress resistance, adaptability and conformity (internalization of norms and values of the Institute).

### ***Stratification of complexity of the work***

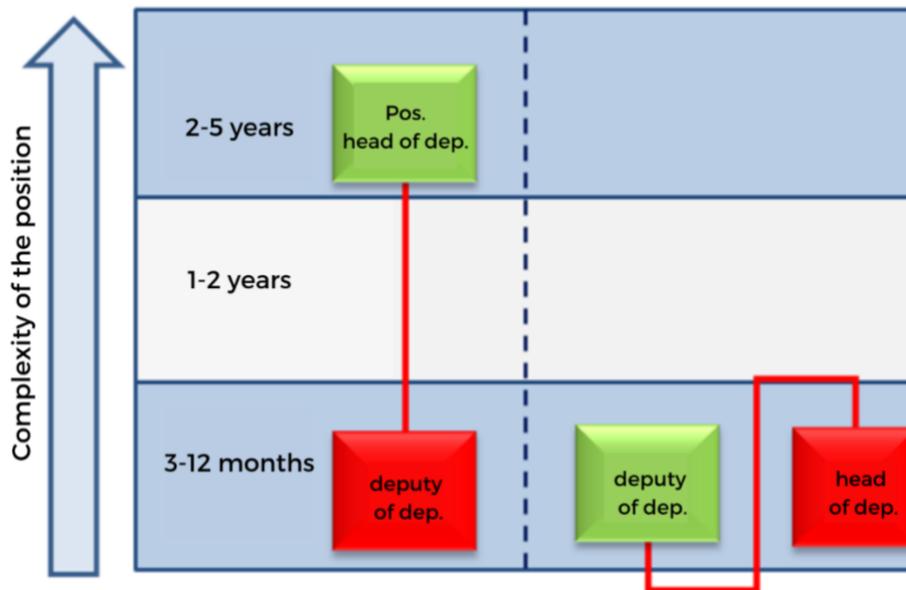
At the departmental level, there is a delegation of authority and responsibility without adequate resources, which can lead to actual leadership burnout.

The complexity of the position of the head of the Department of social policy development (Strata 5) was validated during an interview with the Minister in charge of

<sup>53</sup> Holland, J.L. (1963). Exploration of A Theory of Vocational Choice Part II: Self-Descriptions and Vocational Preferences // Vocational Guidance Quarterly, Volume 12. Issue 1. 17-24. doi:10.1002/j.2164-585X.1963.tb00620.x

ICI. The Department Manager's description of the complexity of subordinate positions of his deputies corresponds to stratum 4, which indicates, that the Manager absorbs work at two managerial levels. Interview with the Deputy Director. the interview of the head of the Department of employment revealed, that the interviewee is not the actual head, since he is not delegated a managerial load, which leads to gaps in the organizational structure and to compression at the level of the head of the Department (Figure 16).

**Figure 16. Complexity of head position of the Department**



Source: Authors' own elaboration based on the Figures 13,14,15.

According to the head of the Department of social assistance, the preparation of a regulatory framework for the implementation of a specific direction (for example, the form of targeted social assistance), in the context of the Concept of social development of the Republic of Kazakhstan until 2030, takes about 6 months. In addition to Agile projects, there are also planned activities, that are performed during the year. The Department's Vice-rector's job is to integrate the results of delegated tasks, monitor compliance with the policy course, and communicate/coordinate with the budget planning Department and the Vice-Minister.

The head of the Department interacts with the Ministries of Finance and justice, supervises the consideration of the draft law in the Parliament, and also conducts work with local Executive bodies to mediate potential risks, associated with the future implementation of laws at the local level, i.e. there are elements of complexity associated with the work, related to stratum 5.

Also, when analyzing speech patterns clearly serial and parallel information processing on a symbolic level, the interviewee clearly visualizes its role in the strategic context of the mission and objectives of the MLSP, and clearly visualizes achieving their working goals considering potential risks and alternative solutions has exceptional Luggage declarative, procedural knowledge and a huge experience of public services in the social sector.

### ***Correspondences: Manager – Subordinate, position-individual***

The Deputy heads of the Department are delegated specific specialized functions, there is a Deputy head of targeted social assistance and, Deputy head of veterans ' support. their duties include supervising the preparation of orders and norms, summarizing material for employees at lower management levels, which corresponds to the complexity of work on strata 4.

Further, at the management levels *of the Deputy-head of the Department, the head of the Department – chief expert*, there is a compression of the organizational structure.

The head of the Department of national qualifications system and forecasting belongs to stratum 5, because he is involved in the cognitively complex process of forecasting and interaction and coordination with external institutions such as the world Bank, whereas there is only one expert under his command and there are no conditions for optimal work, which was validated by the First Vice-Minister himself.

In the course of validation with other management managers, it was revealed that the interviewees prefer a serial method of processing information, and a chain of interrelated arguments is built. In addition to the diagnostic accumulation of information, the Respondent demonstrates the ability to visualize all processes in a specific action plan aimed at achieving the goal, taking into account alternative ways to overcome barriers. The level of complexity of cognitive processes of the Respondent (s)-CI corresponds to the complexity of the work of the position.

### ***Gap in the organizational structure of the Committee***

The complexity of the work of the Chairman of the Committee belongs to stratum 5, but in connection with the pandemic, the Committee was entrusted with the function of managing a huge information flow from the dissatisfied population: *"the Flow of appeals has increased so much ... After registration we have in the company there is a certain amount of time have to answer. Therefore, it was necessary to work on these appeals and prepare responses. In addition, thousands of calls and hundreds of people came directly to the Ministry, and we had to take each one and look at the database..."*

The interviewee needed to initiate the creation of a new structural unit – a Front office with the involvement of additional internal labor resources – the complexity of the

position, taking into account the new functions, corresponds to stratum 6, the balance of authority and responsibility is broken.

Taking into account recent events, the complexity of the position of the chair of the Committee has increased to 6stratum 6 without increasing the authority and reflecting changes in the organizational structure. At the same time, with the falsity of positions of the Deputy. the number of employees and Department Directors and heads of departments remained the same.

During the interview, the interviewee's initiatives on the rational use of limited human resources were touched upon: for example, on medical and social expertise (out of 717 employees, 414 are involved in this work) and the appointment of pensions, digitalization of these processes, and others, which indicates a good awareness of current problems and ways to solve them: *"an ordinary person before retiring goes to all instances collects certificates..these are thousands of employees who accept documents. If we automate all this...those thousands will go away. In other words, there will be no need to sit and collect all the documents, it should all be automated."*

From the context of the interview, it is obvious, that the interviewee wants to be heard by management. The interviewee outlined several problems and described ways to solve them, which clearly indicates that the individual has information processing abilities on stratum 6.

The interviewee demonstrated the presence of healthy mechanisms for coping with stress, such as positive framing and rationalization.

In an interview with one of the Vice-Ministers, the complexity of the position associated with the need to reflect and adapt to political, economic, and technological developments from the external organizational environment in a global context was revealed.

The interviewee processes and accumulates huge layers of information, but mostly performs operational functions: *"I work personally directly with each specialist. Responsibility is fully reserved for the Director of the Department, Deputy. the Director, the head of Department, the conceptual things through the Director of Department, but I carry out technical control, including up to the specialist and the head of Department, because there are not many people here, 20 people, 22, allows me to lead. Each person has their own task and sub-task."* It should be taken into account that the political civil servant still oversees the Committee, therefore, the volume of short-term issues that require his constant participation and often non-postponing decision-making increases several times more.

Conclusions:

The analysis of the organizational structure confirmed the fact of duplication of functions by political and administrative civil servants, supervision of structural divisions: "operational management and direct/indirect influence on these areas of work require considerable time and energy, which leads to a weakening of attention to strategic issues

of the industry/region development, as well as political work with the population and deputies"<sup>54</sup>.

The planning horizon of most interviewees does not correspond to the management level. Political civil servants identified the goals of strategic policy documents as their long-term goal, rather than the mechanisms for achieving the goals and their role in this mechanism. Political civil servants do not use the terminology of strategic and project management in their speech – such as "vision", "competitive advantage", "portfolio strategies", "synergy", methods: scenario planning, foresight, SWOT analysis, balanced scorecard (BSC), "goal tree", "decomposition", "population requests", etc.

8 out of 10 polled administrative civil servants listed their job responsibilities instead of long-term tasks. The lack of project management terminology among the interviewees may indicate a formal attitude to it in the government institution.

Decentralized management is being replaced by direct management during a pandemic, which is associated with a large flow of information, the need for rapid decision-making and response to citizens' requests.

Excessive functional division and isolation of departments at the top managers and political civil servants impairs coordination.

The increase in the number of levels and links of management increases the volume of processed information, instances of its transfer from the subject to the object of management, reduces the connectivity of management and increases uncertainty in decision-making. At all stages of reflecting information about the organization's mission and strategic goals, it is distorted, which also indicates a lack of feedback both vertically and horizontally.

The group of researchers was unable to obtain a qualitative justification for the applicability of this method for the government institutions of Kazakhstan due to the small number of interviewees. The inability to interview more employees of the Ministry is due to the caution of its management to the research topic during the upcoming reduction in the number of civil servants.

In order to optimize organizational structures and information flows, the group of researchers considers it appropriate to continue research in this direction with testing the methodology for modeling organizational structures and information flows based on stratification in all government institutions.

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<sup>54</sup> A. Baimenov, On some factors of public administration efficiency, Public administration, issue 22 № 1, ISSN 2070-8378, 2020 с. 30 [https://drive.google.com/file/d/1y1SQsTw36dsdn7M8MLRC\\_mi\\_L0sxnRT4/view](https://drive.google.com/file/d/1y1SQsTw36dsdn7M8MLRC_mi_L0sxnRT4/view)

## 2.3 Analysis of management problems of public authorities

### *Expert assessment by conducting 3 focus groups in the cities of Nur-Sultan, Almaty and Pavlodar*

23 respondents took part in the focus groups: public figures, political scientists, public administration experts, representatives of the civil sector, government institutions and business. The homogeneity of socio-demographic characteristics in terms of educational status and professional experience was ensured. The median age was 47 years. 8 women and 15 men took part in the discussion.

The focus group addressed issues of strategic planning, the division of powers between political and administrative civil servants in Kazakhstan, the balance of powers, responsibilities and resources between the two categories, etc.

According to respondents, the main barriers to the activities of government institutions are formalized procedures that are detailed in nature. The scope of official powers of civil servants limits the level of decision-making by operational activities. As a result, this situation causes dissatisfaction with the results of labor among the executors, and creates a feeling among external agents that the focus of government institutions is on fulfilling the tasks set by the higher management, and not focusing on the needs of citizens in the absence of a clear plan of action and a concrete result:

*Administrative civil servant of the regional akimat, m.: All actions of civil servants are regulated by various documents, and their actions should be based on procedures and the accuracy of their compliance. Therefore, there is no result orientation. Civil servants are stuck in turnover and operational activities.*

*The entrepreneur, w.: It feels, like there is no plan, no control. No one is responsible for anything. In business, everything is built differently.*

*Public figure, m.: We have been monitoring the quality of public services, and feedback from citizens is slow to change. A lot of red tape and extra paperwork.*

*Administrative civil servant of the regional akimat m.: Yes, there is a lot of ongoing work, because there are many requests from higher authorities.*

*Expert in the field of public administration, m.:.. even if we invite experienced and knowledgeable experts to Kazakhstan, the result will be the same: what is the legal framework, what is the regulatory order, what are the rules of management and decision-making? Our decisions are made at the very top. The second and third links are simple performers. At the very bottom-people are engaged in routine day and night. Therefore, it is not the management that needs to be changed, but the system that needs to be changed.*

*Expert in the field of management, w.:.. you need to understand whether this is management at the policy level or at the administrative level. We don't have many managers of such strength who are engaged in Public Policy, really working out the ideology, understanding that this is being done for 10-20 years.*

*Expert in the field of public administration, representative of the civil sector, w.: If the business mission is profit, then the main goal of the state policy Manager is to work for the good, depending on what position he holds and what functions he performs.*

*Political scientist, m.: The main thing is to curry favor with the management, to report on time nicely, and to become a prop. As an example, I would like to cite a statement...about the creation of 500,000 jobs. The society is becoming more literate, and social tensions arise caused by such ill-considered actions on the part of officials.*

*Public figure, m.: Excessive registration of procedures that proceed from the point of view of the presumption of innocence of an official. Message – Protocol instructions – unsubscribes – control. A lot of unnecessary meetings, extra Protocol assignments.*

Despite significant differences in their powers, civil society representatives do not differentiate between political and administrative civil servants, perceiving them as a single professional community whose main goal is - to implement public policy. Business representatives highlight as a characteristic feature of civil servants the desire to rely on the letter of the law, various regulations and documents, preferring a model of behavior with minimal risk and responsibility. Experts note an absolute lack of separation of powers, responsibilities and resources:

*Administrative civil servant of the regional akimat, m.: political civil servants Have more authority and more responsibility...*

*Entrepreneur, representative of the civil sector, m.: Often in the regions, local authorities are not so much, but you bear full responsibility. Administrative users are constantly being asked for something, regardless of whether there are resources or not.*

*Administrative civil servant of the regional akimat, m.: Divide civil servants into those who are engaged in current tasks, and those who are engaged in development.*

*An expert in the field of public administration, m.: Weak decision-making system. Officials shift responsibility to each other. They want to influence and participate in the allocation of budget funds, but they are not responsible for anything. If the decision is made collectively, then no one is responsible.*

*Public figure, w.: If we look at the ratio of results to expenditures, was it worth spending a lot of time and human resources for this result?*

*Public figure, m.: a large number of people are Involved, and all of them do not see each other's sites. Officials ' ignorance of strategic documents. There is no open discussion of the adopted programs and strategies. 80 % of procedures are unnecessary. Some civil servants are engaged in their implementation.... Government institutions often have less authority than they do resources. There must be an efficient cost-resource ratio.*

The respondents were asked to discuss the case of payment of the 42500 benefit during the pandemic. The significance of this case is that the problems of strategic management, risk, crisis, project management and interdepartmental inconsistency were exposed against the background of expectations of stakeholders.

*Entrepreneur, w.: ...this is a very good example when projects are not thought through to the end, and then this result...first you need to calculate the project, think*

*through everything, and then give out a ready-made solution, when everything is laid out on shelves, so that there is no negative feedback.*

*Administrative civil servant of the regional akimat, m.: ...we are starting to learn about this from the Internet... there is no focus on supplying people with information.*

*Public figure, w.: The case of 42,500 tenge showed the problems of low interaction of government institutions with each other, and we are solving everything in the process. The state was not prepared for this kind of change.*

In their reflections on the mission and vision of government institutions, respondents noted that it is impossible to fully implement strategic programs if one is not well versed in key positions and implementation criteria. What is important for civil society is the accessibility and simplicity of this information for all interested parties.

*Political scientist, m.: ... today, the main requirement for the governments of countries is the speed of response to the requests of citizens.*

*Expert in public administration, m.: when the year 2020 started, the strategies were excellent, and then the coronavirus, and the oil collapsed. Today, everything in the world is fleeting. All these crises bring down any strategy. Therefore, the most important thing is rapid decision - making.*

When asked whether the project approach will affect the efficiency and effectiveness of employees and the government institution as a whole, the focus group participants noted its advantage in concretizing goals and tasks, clear timeframes, and measurable results. Widely informing stakeholders about the results of projects will increase the popularity of the project approach and prove its advantages over other methods of solving problems. Otherwise, we will face unfinished projects, which are informed at launch, but the progress of implementation and the outcome are not brought to the attention of citizens:

*Legal expert, m.: I think that we need to implement project management based on concrete examples, and then it will work. At the first stage, you can start with the rural akimat, see how it will work with the local administration. Then you can, for example, take a small single-industry town in parallel. At the third level, the regional center or higher, take the Ministry of economy, for example. And for a long enough time, let's say two years. The pilot is such a project one. Study, monitor, and invite experts, specialists, and scientists at an interdisciplinary level.*

*Administrative civil servant of the regional akimat, m.: The project approach should be applied point-by-point, where it is possible to get a specific result. Do it for a specific task, with specific resources and volume....where is the daily current work.... public services or other services, there is no need to apply it.*

*Administrative civil servant of the regional akimat, m.: I agree that the project approach cannot be applied everywhere in the civil service... it will help solve problems. There may be some issues that are short in time.*

*Entrepreneur, w.: If project management is in business, then it is definitely aimed at getting results. He understands that his position, his profit, and so on depend on it.*

*When we talk about project management in the civil service, we understand perfectly well whether this project is set, but this project is not always completed to the end, because they do not always see the result.*

The reduction of the state apparatus is perceived by civil society as an internal matter of the civil service and does not cause any special expectations or enthusiasm. At the same time, two participants characterize this action as a dual process, in which there are both positive and negative sides. The rest of the respondents approve of the steps aimed at reducing the number of civil servants, especially since this can be achieved by transferring the functions of the state to the private sector and significantly improving the quality of the staff of government institutions:

*Entrepreneur, w.: The reduction of the state apparatus... is positive. Because if there are still able-bodied, active professionals...this ballast, which is present in the state employees' staff, will go away. We need competent employees, and we need to get rid of the weak ones.*

*Entrepreneur, m.: ...this will be a good shake-up for the state apparatus, let there be fewer people, but results-oriented, efficient and working.*

*Political figure, m.: The entire burden lies on the shoulders of 25% of the most competent, efficient employees, about 75% - the ballast (false overflow of people).*

*Administrative civil servant of the regional akimat, m.:.... the main thing is that it is possible to reduce rationally, and not to focus on the figure...so that there are more grassroots left, and managers can be reduced.*

*Expert assessment by in depth interviews and interviews of 15 political and administrative civil servants in the field of employment and social programs in the cities of Almaty, Pavlodar, Taldykorgan*

The most in-depth understanding of the organization's mission is provided by the heads of the regional akimat, who describe its scale in terms of regional development. The heads of regional government institutions are characterized by the attachment of their vision and mission to the development of a particular sphere, which is recorded in documents and regulations. At the same time, the focus of attention of managers of government institutions in certain industries is shifted to the performance of functional duties, with which they identify the mission of the state Agency.

*Political civil servant of the region, w.:The mission is to implement the state policy in the social sphere in the region.*

*Head of the regional akim's office, w.: the Task, mission, vision of the akim's office at any level in all documents is written to ensure the activities of the akim of a particular district, city, region.*

*Head of the territorial Department of the Ministry, m.: ... the main task...is to ensure full compliance with social protection, pension provision, all payments.*

Experts in the field of public service noted that the missions of government institutions do not fully reflect the current tasks of these organizations. In particular, the missions of government institutions do not correlate with the strategic objectives outlined

in national programs, such as "100 steps" Nation Plan or Strategy 2050. At the same time, knowledge of the current mission of the government institution does not contribute to the implementation of the duties of civil servants, since the very wording of the mission is rather vague. This circumstance is also accompanied by a lack of clear understanding of the tasks of structural divisions of government institutions, as well as direct job instructions and powers of civil servants.

*Head of the regional administration, w.: the Mission does not fully reflect the activities of the organization, it is strongly at odds with the functions and powers. Therefore, in order to build the business processes that need to be empowered, legally regulated... The head of the Department should have process points, including strategic things. It should determine the scope of verification, the volume of interrogated persons. The Deputy is looking at more of a strategic thing, but at the same time, if the amount of work is small, someone has to drop out of this chain. In my opinion, the Deputy head of the Department is an unnecessary position.*

According to the interviewees, a modern civil servant cannot effectively perform his official duties if he does not focus on the mission of the organization and does not know the strategic documents. At the same time, respondents believe that it is the Manager's responsibility to communicate the organization's mission, engage and inspire employees, and emphasize the importance of solving common tasks. Setting priorities focuses subordinates on not only performing current tasks, but also allows you to see how their implementation affects the implementation of government programs and the development of entire industries. Thus, the awareness of the organization's mission affects the team's cohesion and efficiency.

*Political civil servant of the regional level, w.: Accordingly, they should know the mission and task of their government institution in order to clearly and comprehensively perform their functional duties.*

*Chief of staff of the regional akim, w.: Naturally. And how do we move together? We are all moving together. There must be complicity.*

*Head of the territorial Department of the Ministry, m.: Absolutely. I don't know if this applies to this situation. But every soldier must be a General. We do not have a General mission, but the very essence, the very Foundation. Our goal and task are very important. And understanding the mission of each specialist is very important. Ignorance, of course, affects efficiency.*

*Head of the regional administration, w.: I believe that we should. Because we are a government institution, a single entity. The government institution is not only represented by the head himself. This is the whole staff, the entire apparatus of civil servants.*

At the same time, the political and administrative civil servants themselves were not able to formulate their long-term goals, which indicates that there is not enough planning horizon:

*Head of the regional Department, m.: Long-term goals are just the introduction of appropriate programs. in principle, all of us do not live forever. I believe that we need to instill a management culture that will create such conditions.*

*Head of the regional administration, m.: long-Term tasks are short-term ones for the future, despite the fact that the solution of these tasks was part of the expansion of public services provided.*

*Political civil servant of the regional level, w.: The main components of long-term goals are the formation of a long-term strategy.*

The experts also noted the issues of formation of strategic objectives and plans of the competent authorities in various fields. The procedure for building priorities and indicators of government institutions was criticized, since they are formed mainly directly by key Central government institutions without involving responsible and competent employees of regional administrations and departments who know the regional specifics.

*Political civil servant of the regional level, w.: At the level of achievement of the goal and task, the indicators are most likely blurred.*

The experts also noted that within the framework of the existing NPA in this area, coordination of the activities and responsibilities of all government institutions has been declared, taking into account the stability of the socio-political situation, as well as ensuring the vital activity of the population of all government institutions, but there is no clear legislative division of their duties and powers. At the same time, political and administrative civil servants are engaged in functions that are not inherent to their official duties. Moreover, there are quite a lot of General formulations, including including corrupt actions by granting a large range of powers to high-ranking civil servants. At the same time, a wide range of powers does not always provide for the personal responsibility of high-ranking officials for making certain political decisions.

At the same time, according to respondents, the need to follow the prescribed functional responsibilities among civil servants restricts their freedom to make more effective and prompt decisions in the framework of emerging tasks and issues, while at the same time contributing to the inaction of civil servants due to their lack of appropriate authority. In addition, the lack of regulation of the functions of government institutions leads to unnecessary and unnecessary correspondence between them.

*The head of a government institution, w.: the powers of the heads of departments and Deputy heads of departments are Not clearly described: what are the distinctions between the head and Deputy head of the Department, between the heads of the Department. It turns out to be a double-check, in fact, there is no double-check person in any business structure. A cross-checking person is only needed where there are processes that need to be checked for quality. Therefore, there should be no control of control, production functions of process moments are needed.*

Also, according to experts, the civil service system is very poorly developed issues of interrelation between government institutions, as well as the differentiation of their competencies and powers. This situation very much interferes with the work. For example,

in the course of quality audits of public services, there may be instances of non-delivery of architectural and design tasks within a certain public service, and those engaged in ongoing quality control of public services may not have the appropriate knowledge to assess this issue. In such cases, the work of the inspection team is reduced to the fact that they evaluate only the procedural part, i.e., the timing of the performance of a public service, and not the content of the issue. In the meantime, it is important for the recipient of a public service to get the final product, not the timing of its delivery. Therefore, it is very important to attract specialists in such matters.

*The head of the state Agency, m.: our problem is that 20 public services - and all of them are up to the limit registered. For example, a document is received via egov, but the regulations require five documents, and he has attached 4 documents. This document is registered by the office, because it does not have the right to refuse, then it goes to the head, then to the Deputy, it unsubscribes to the head of the Department, who - a specialist. This takes 1 day, if the database was not working during this period-maybe 2 days. The specialist has a million subtasks that he is performing at that time, and on the 2nd-3rd day he reaches the hands of this application, and in the process it turns out that the applicant missed one document. A specialist cannot simply say to the applicant: "report or bring it", because this is not provided for in the regulations, it will be a problem tomorrow when checking that this document was not originally available. He prepares a letter of refusal, so it takes another 2 days, reaches the applicant, he starts calling, coming, being rude, shouting. This can only be changed by digitalization. Remove the human factor and put everything into digital format. I recently saw these machines, like ATMs, it is possible to register all services, license there made pass face ID, identified by a person, if you have questions - calls through a straw in the Call center for help, he explained.*

According to project management experts ' responses can be called cautious. Everyone recognizes that this is an interesting approach, but they emphasize that there are still many things that need to be considered. Among the obstacles to implementing project management in the activities of government institutions were the following: existing practice: first, the top – down budget, then the top – down strategic planning, in which there is no local ability to determine the project budget and actively interact with stakeholders (existing procurement procedures and other regulations can slow down this process).

*Head of the state Agency, m.: If the project concerns some material things, this is absolutely not applicable, because there is a system of public procurement, etc. Then there is no such thing as the project management –the responsible person. We formally appoint up to Vice-Ministers, his duties are higher than that of a government official. When I hear the Vice-Minister will lead the project, it is funny to me that when he will be doing this, he does not physically have time to do it. So someone else is doing it... Then we have in the state authorities never conducted the work with stakeholders. As a rule, in any case,*

*in any process related to public administration, the stakeholder must also be a representative of the people.*

*Political civil servant, m.: I support project management, but I do not support it in the style of the Soviet Union. Because it was then called a " plan", it was a long-term, short-term plan. I generally approve of it in terms of planning, I like the approaches, I have studied them, but I don't want them to take us back to the "scoop" time when we were trying to catch up for strategic numbers.*

*The head of the state Agency, w.: first, experts in this field should work, we mostly implement everything in a hurry, then they lose what they even had. Therefore, there are experts who understand this. First, you need to assess the risks, and the more risks, the better.*

The most informed managers consider the possibility of applying a project approach along with operational activities in relation to a narrow range of tasks.

*Head of the regional administration, m.: Yes, indirectly familiar. In my state Agency, it is practically impossible to apply it. I was just studying whether it could be applied or not. In principle, consideration of complaints and investigation of accidents is possible, but not quite in the same form. There are different specifics of government institutions, and this is probably possible somewhere.*

*Head of the regional administration, w.: Yes, to some extent, but I haven't studied it in depth yet. No, I don't know how to evaluate the principles of project management. I think that they could implement project management in the Department. And, accordingly, you would already have seen your weaknesses and strengths. I would introduce this approach in the direction of providing social assistance to the population, i.e. providing disabled people with funds. Why in this particular direction? Because it is a very complex area, because the demand is high, and the resource is ... limited. One hundred percent will never be able, so we need it here. Because we need to set specific priorities.*

It was also suggested that this method is more suitable for local Executive bodies:

*The head of the state Agency, w.: Project management refers to our work in part, it does not particularly concern our work. But there are indicators that we must achieve. There are indicators that we achieve together with other government institutions. This seems to be the case for local Executive bodies, and I think it concerns them more.*

Based on the above, it can be concluded that the majority of civil servants understand the importance of project management, but Express doubts about the readiness of public authorities and the degree of elaboration of the application of this approach.

#### **Case 4**

Almost a billion tenge was spent on the construction of a new school in Aktobe, but for two years it did not hold a single lesson. Given that the region still has a problem with the shortage of student places (12 schools in the region are three – shift), this project caused a fair outrage of the public<sup>55</sup>.

#### **Case 5**

In the village of Shilisai near Aktobe, since 2018, a large school designed to train 800 children has been under construction. The project cost is 760 million tenge. At the height of construction, it turned out that only 50 schoolchildren live in the village<sup>56</sup>.

### ***Results of a survey of civil servants conducted in September-October 2020***

A total of 14 250 people took part in the survey (see Appendix 5).

Diagram 1 shows the respondents' opinions on the relevance of certain problems for the modern public service system of the Republic of Kazakhstan. According to the survey results, according to respondents, the most urgent problem is the low level of wages of civil servants in Kazakhstan-this is noted by 83.2% of respondents. It is obvious that low wages affect the overall motivation of civil servants, which is confirmed by the results of the survey. According to the majority of participants (58.8%), there is indeed a low level of motivation among the country's civil servants to work in the public sector.

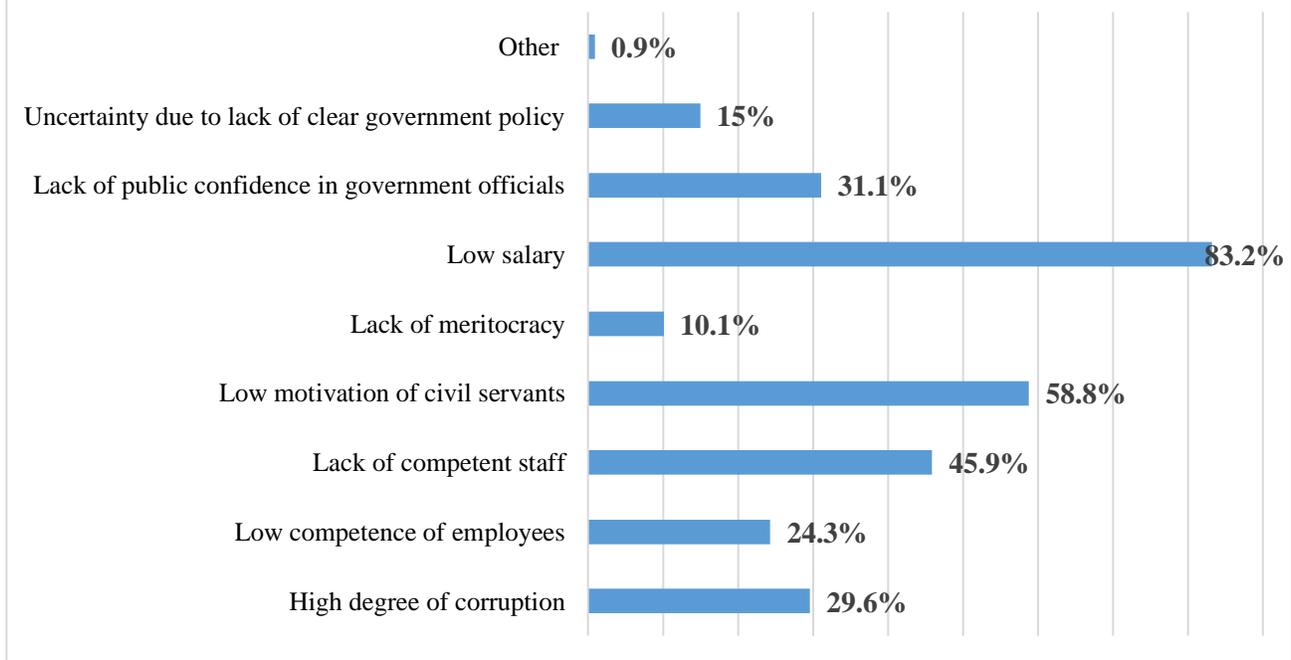
Some respondents (29.6%) identified a high degree of corruption as a key problem in the public service system (Diagram 1).

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<sup>55</sup> <https://newtimes.kz/regiony/119922-shkola-na-milliard-skandal-s-pustuiushchim-zdaniem-v-aktobe-prodolzhaetsia>

<sup>56</sup> <https://timeskz.kz/76364-planirovali-s-razmahom-zachem-v-poselke-bliz-aktobe-stroyat-shkolu-na-800-mest.html>

**Diagram 1. Actual problems of modern civil service in Kazakhstan**



In this context, scientists note that wages and compensation for work are among the key factors of motivation, since people naturally tend to work better when they understand that as a result they will receive sufficient pay or return from their efforts. Moreover, most people are motivated by money, at least to meet their basic needs and desires (Clegg & Birch, 2002<sup>57</sup>; Armstrong, 2008<sup>58</sup>; Mwangi, 2014<sup>59</sup>).

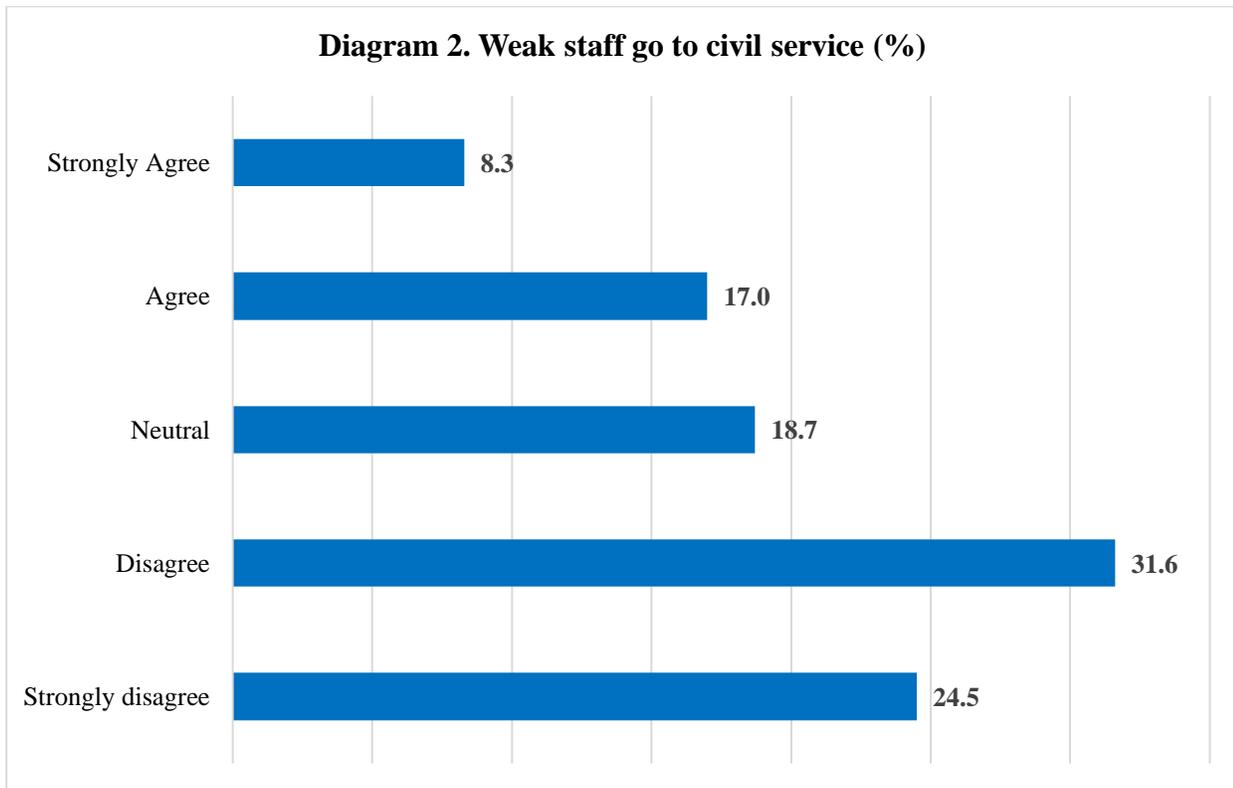
Diagram 2 also draws attention to the opinion of respondents that there is a lack of competent and highly qualified personnel in the civil service (45.9%), as well as low competence of civil servants (24.3%). However, Diagram 2 shows that 56.1% of respondents do not agree with the fact that weak personnel are employed in the civil service.

<sup>57</sup> Clegg, B. & Birch P (2002). *Crash course in Managing people*, Kogan Page, 120 Pentoville Road, London N19JN

<sup>58</sup> Armstrong, M. (2008). *Strategic Human Resource Management: A Guide to Action*. Philadelphia: Kogan Page Publishers

<sup>59</sup>The Effect of Compensation on Employee Motivation: A Case Study of Chloride Exide. Mwangi, Patrick K. URI: <http://erepo.usiu.ac.ke/11732/161>. Date: 2014-08

**Diagram 2. Weak staff go to civil service (%)**



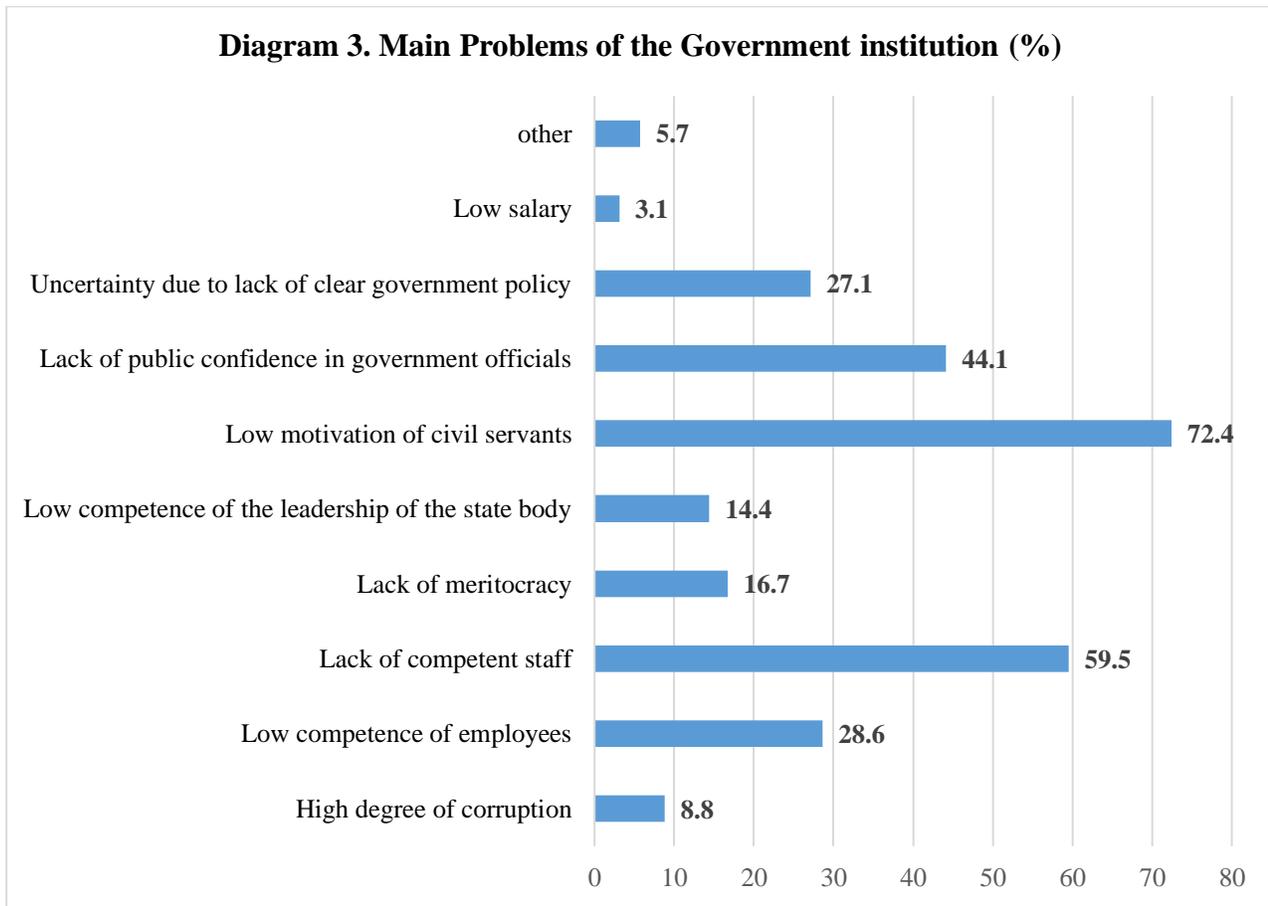
At the same time, 88.1% of respondents agreed that the main problem in the field of human capital is the lack of competent personnel (59.5%), as well as the low competence of government employees (28.6%) (Diagram 3). At the same time, according to scientists, the efficiency and productivity of organizations directly depends on the existing competencies of employees. Therefore, increasing the competence of employees contributes to improving the efficiency of the organization (Junaidah, 2008<sup>60</sup>; Asree et al., 2010<sup>61</sup>; Lockhart, 2013<sup>62</sup>).

<sup>60</sup> Junaidah, H. (2008), "Competencies acquisition through self-directed learning among Malaysian managers", *Journal of Workplace Learning*, Vol. 20 No. 4, pp. 259-271

<sup>61</sup> Asree, S., Zain, M. and Razalli, M.R. (2010), "Influence of leadership competency and organizational culture on responsiveness and performance of firms", *International Journal of Contemporary Hospitality Management*, Vol. 22 No. 4, pp. 500-516.

<sup>62</sup> Lockhart, J.C. (2013), "Executive education: can it be too good", *Journal of Executive Education*, Vol. 12 No. 1, pp. 1-12.

**Diagram 3. Main Problems of the Government institution (%)**



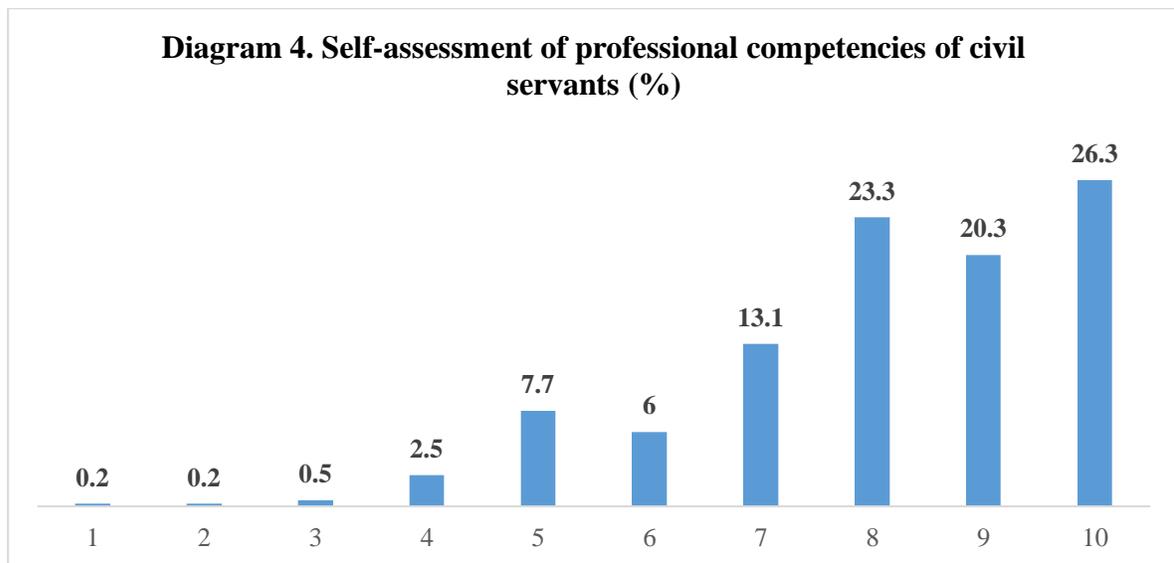
It is noteworthy that with a low assessment of the competencies of Kazakh civil servants by the majority of respondents (88.1%), more than 60% of the survey participants rate their personal level of competence quite high, and only 10% of the participants' self-assessment is very modest (Diagram 4).

As research in the field of self-esteem has shown, people tend to protect and take care of their self-esteem, as well as try to improve it. This is especially true for evaluating personal professional competencies (Levine, 2003<sup>63</sup>; Gibbs et al., 2004<sup>64</sup>; Baumeister, 2004<sup>65</sup>).

<sup>63</sup> Levine, Jonathan. 2003. "Relational Incentive Contracts." *American Economic Review*, 93(3): 835-857.

<sup>64</sup> Gibbs, Michael, Kenneth A. Merchant, Wim A. Van der Stede and Mark E. Vargus. 2004. "Determinants and effects of subjectivity in incentives." *The Accounting Review*, 79: 409-436.

<sup>65</sup> Baumeister, Roy F. 2004. "Self-Concept, Self-esteem and Identity." In *Personality: Contemporary Theory and Research*, ed. Valerian J. Derlega, Barbara A. Winstead and Warren H. Jones, 246-280. Wadsworth Publishing Company, 3rd Edition.

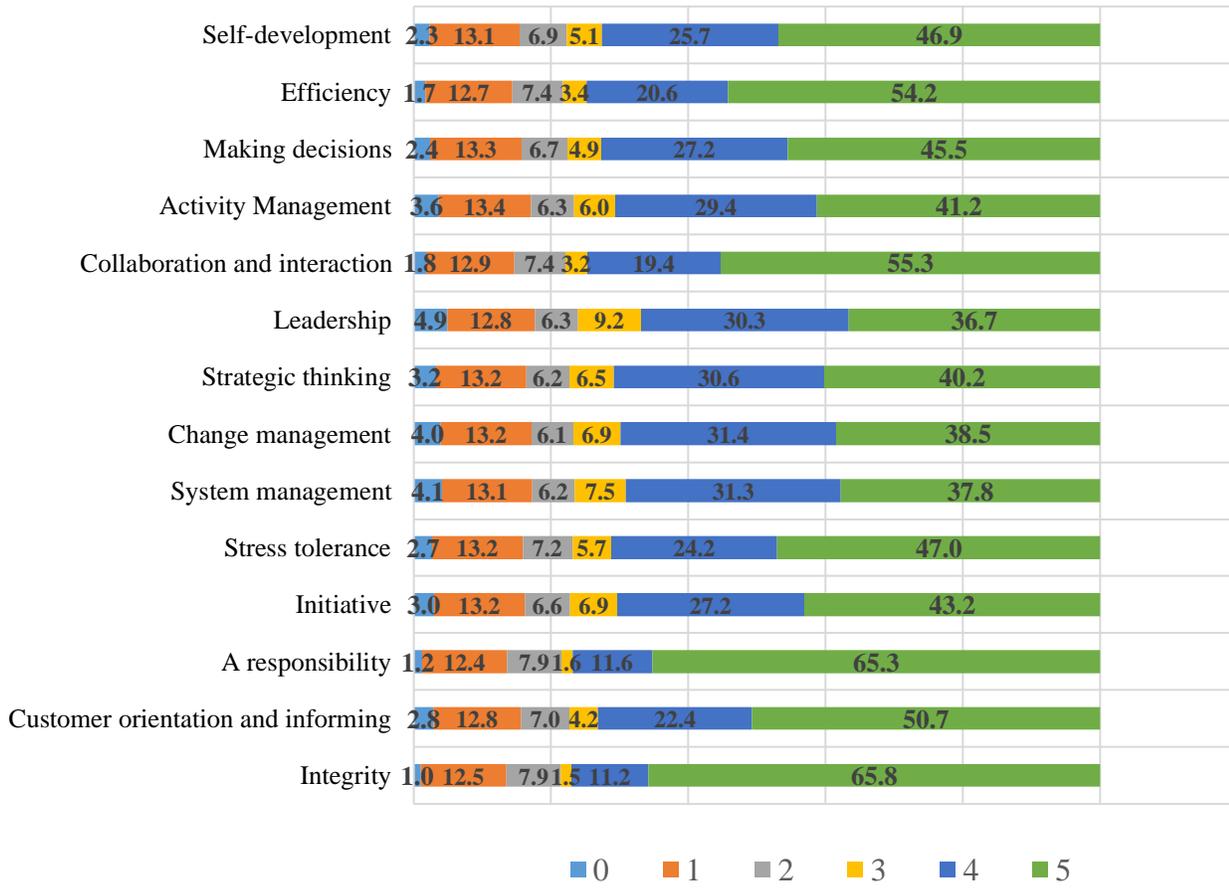


The following three diagrams provide an assessment of the professional competencies of civil servants in accordance with the Unified framework of competence (ERC) for performing work in a public authority.

The results of the self-assessment of civil servants' professional competencies show that the most highly evaluated of them are the competencies "integrity" (65.8%), "responsibility" (65.3%) and "cooperation" (55.3%) (Diagram 5). The lowest rating among civil servants was given to such competencies as "leadership" (36.7%), "system management" (37.8%), and "change management" (38.5%). The line spacing below is changed

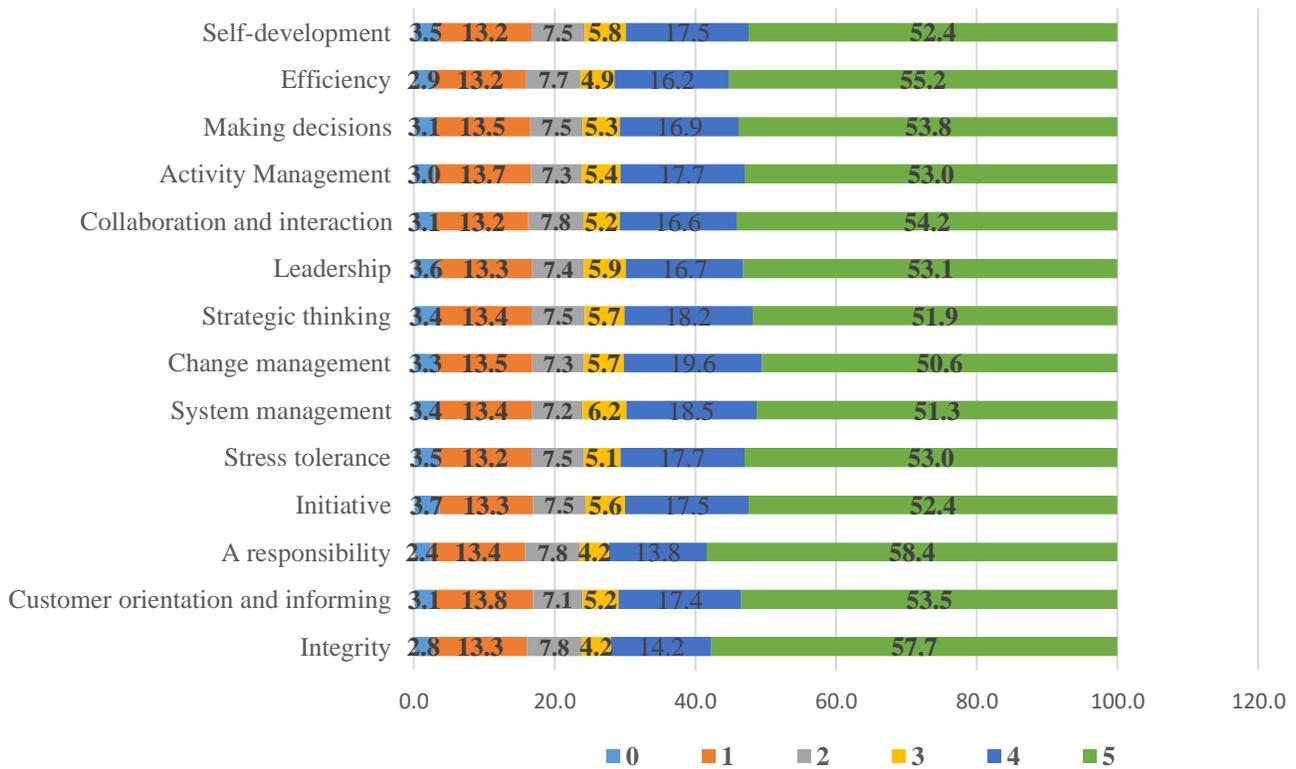
Thus, among ordinary civil servants and managers, there is a lack of proficiency in skills of systemic and strategic thinking, change management and stress management. It is advisable to pay special attention to these competencies in the self-development and systematic continuing education of civil servants.

**Diagram 5. Self-assessment by civil servants of professional competencies in each area (%)**



When respondents assessed the level of competence of their direct managers, they also rated the competencies "integrity" (57.7%), "responsibility" (58.4%), and "efficiency" (55.2%) particularly highly. The lowest rating of respondents was given to such competencies of their direct managers as "change management" (50.6%), "system management" (51.3%) and "strategic thinking" (51.9%) (Diagram 6).

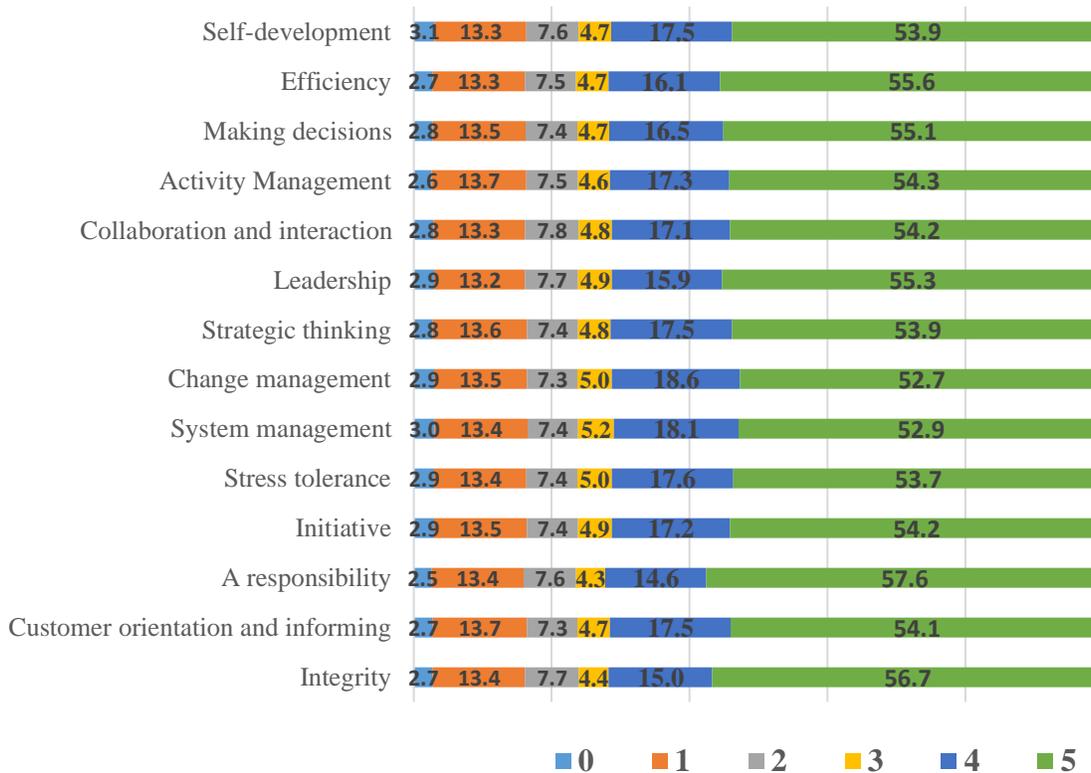
**Diagram 6. Assessment of the professional competencies of the immediate supervisor in each area (%)**



As for the assessment of the first heads of government institutions, respondents noted "change management" (52.7%), "system management" (52.9%) and "stress tolerance" (53.7%) as their poorly developed competencies. Among the strong competencies of top managers are "responsibility" (55.6%), "integrity" (56.7%) and "efficiency" (55.6%) (Diagram 7).

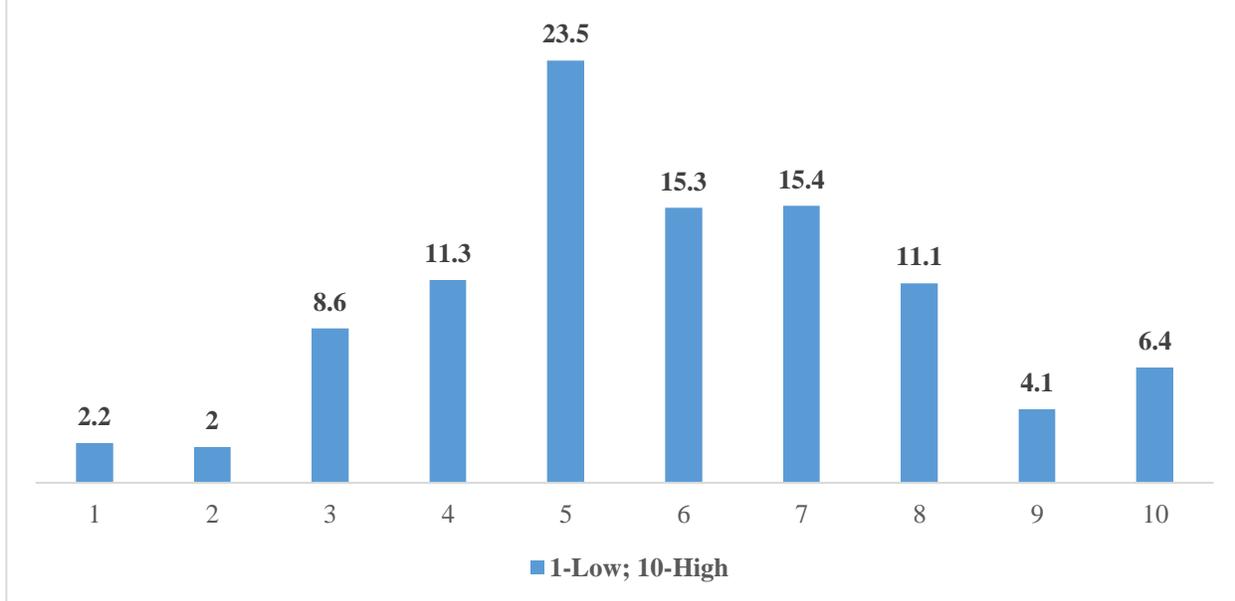
Thus, there is an insufficient level of proficiency in system and strategic thinking, change management, and stress management among ordinary government employees and managers. It is advisable to pay special attention to these competencies in the self-development and systematic continuous education of civil servants.

**Diagram 7. Assessment of professional competencies of heads of government institutions in each area (%)**



The survey participants also gave an overall assessment of the current state of the civil service of Kazakhstan. Most of the respondents have a rather low opinion of the situation in this area (47.6%). Only 10.5% of participants gave a high rating (Diagram 8).

**Diagram 8. Assessment of the current state of the civil service in Kazakhstan (%)**



At the same time, a deeper regression analysis shows that a number of factors influence the assessment of the current state of the public service. In particular, with an increase in wages (or family income), civil servants tend to evaluate the current state of the civil service in the country higher.

. reg КакВыоцениваететекущеео КаковВашмесячныйсемейныйд

Source	SS	df	MS	Number of obs	=	14,250
Model	333.272958	1	333.272958	F(1, 14248)	=	77.69
Residual	61120.671	14,248	4.28977197	Prob > F	=	0.0000
Total	61453.9439	14,249	4.31286013	R-squared	=	0.0054
				Adj R-squared	=	0.0054
				Root MSE	=	2.0712

КакВыоцениваететекущеео	Coef.	Std. Err.	t	P> t	[95% Conf. Interval]	
КаковВашмесячныйсемейныйд	.1778352	.020176	8.81	0.000	.1382876	.2173828
_cons	5.515068	.0410103	134.48	0.000	5.434682	5.595453

For reference: in a regression model that includes output data, the values  $R^2$  and  $p$  show how well the model evaluates the dependent variable. Since these values are based on probability, they range from 0.0 to 1.0. A small value, usually 0.05 or less, indicates that the model actually has relationships between variables (that is, the pattern identified is not random). It should be noted that in this case, the estimate of the current state of the civil service is chosen as a dependent variable, and the independent one is the monthly income of the civil servant.

In addition, regression analysis shows that there is a relationship between the assessment of the current state of the civil service and such individual characteristics of

civil servants as age and level of education: the higher the level of education of civil servants (master's and doctor's degrees), the more critical their attitude to the current state of the civil service in the country.

. reg ТекущСостГосслуж Образование

Source	SS	df	MS	Number of obs	=	14,250
Model	217.981256	1	217.981256	F(1, 14248)	=	50.72
Residual	61235.9627	14,248	4.29786375	Prob > F	=	0.0000
				R-squared	=	0.0035
				Adj R-squared	=	0.0035
Total	61453.9439	14,249	4.31286013	Root MSE	=	2.0731

ТекущСостГ~ж	Coef.	Std. Err.	t	P> t	[95% Conf. Interval]	
Образование	-.3005905	.0422077	-7.12	0.000	-.3833231	-.2178578
_cons	6.749705	.128551	52.51	0.000	6.497728	7.001681

It was also found that with age, the criticality of civil servants in relation to the current state of the Kazakh civil service increases.

. reg ТекущСостГосслуж Возраст

Source	SS	df	MS	Number of obs	=	14,250
Model	33.0616377	1	33.0616377	F(1, 14248)	=	7.67
Residual	61420.8823	14,248	4.31084238	Prob > F	=	0.0056
				R-squared	=	0.0005
				Adj R-squared	=	0.0005
Total	61453.9439	14,249	4.31286013	Root MSE	=	2.0763

ТекущСостГ~ж	Coef.	Std. Err.	t	P> t	[95% Conf. Interval]	
Возраст	-.0046969	.001696	-2.77	0.006	-.0080213	-.0013725
_cons	6.022735	.0673318	89.45	0.000	5.890755	6.154714

In addition, the analysis shows that civil servants' assessment of the current state of the civil service also depends on their assessment of their professional competencies: the higher the assessment of their own competence, the higher their assessment of the current state of the civil service in the country.

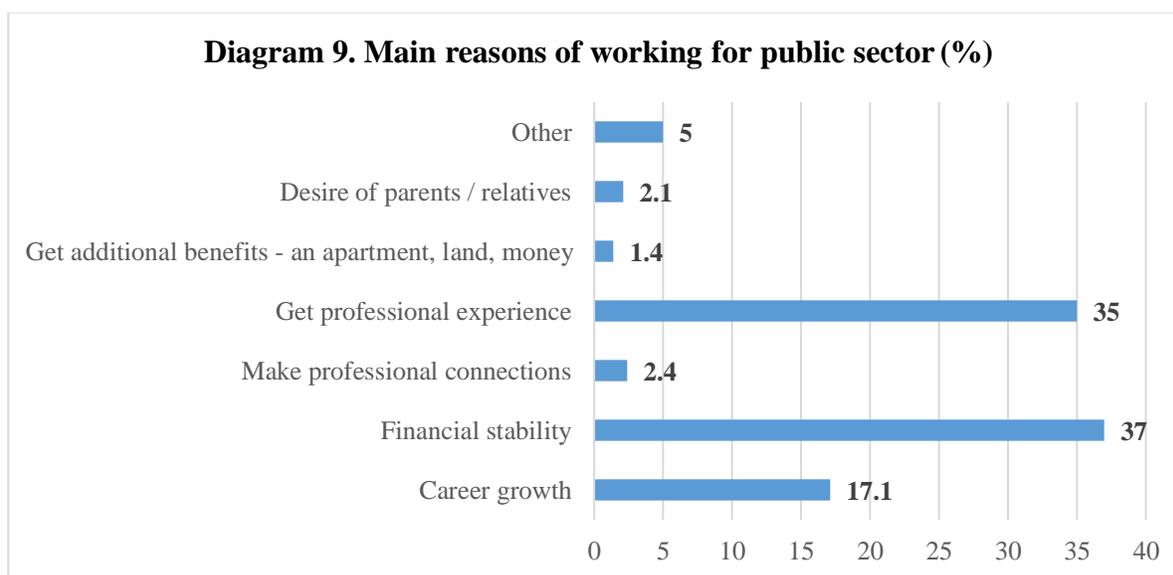
. reg ТекущСостГосслуж УровеньСобствКомпетенц

Source	SS	df	MS	Number of obs	=	14,250
Model	8352.34631	1	8352.34631	F(1, 14248)	=	2241.07
Residual	53101.5976	14,248	3.72695098	Prob > F	=	0.0000
Total	61453.9439	14,249	4.31286013	R-squared	=	0.1359
				Adj R-squared	=	0.1359
				Root MSE	=	1.9305

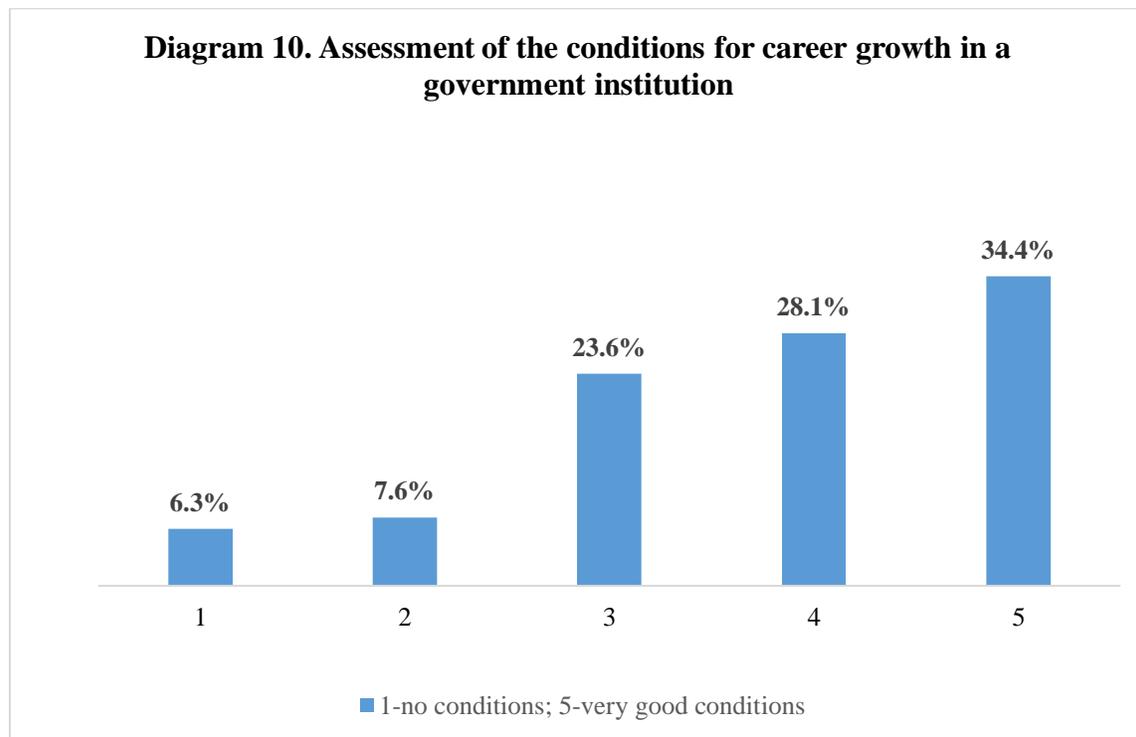
ТекущСостГосслуж	Coef.	Std. Err.	t	P> t	[95% Conf. Interval]	
УровеньСобствКомпетенц	.4433494	.0093652	47.34	0.000	.4249923	.4617064
_cons	2.251685	.0775586	29.03	0.000	2.09966	2.40371

Nevertheless, based on the results of the study, it can be assumed that the civil service is considered by Kazakhstanis to be a fairly stable and attractive institution for work (Diagram 9). The majority of respondents indicated financial stability in the public sector (37%), the opportunity to get a good professional experience (35%) and the prospect of career growth (17.1%) as the main reasons for working in the public service.



At the same time, the majority of respondents rated the conditions for career growth in the government institutions of Kazakhstan quite highly (more than 60%). And only 13.9% of survey participants gave a lower assessment of career prospects in the public sector (Diagram 10).

**Diagram 10. Assessment of the conditions for career growth in a government institution**



Regression analysis showed that the assessment of career prospects in a government institution depends on the level of education and age of civil servants.

. reg Услов\_кар Образование

Source	SS	df	MS	Number of obs	=	14,250
Model	115.434387	1	115.434387	F(1, 14248)	=	82.94
Residual	19829.1852	14,248	1.3917171	Prob > F	=	0.0000
Total	19944.6196	14,249	1.39972065	R-squared	=	0.0058
				Adj R-squared	=	0.0057
				Root MSE	=	1.1797

Услов_кар~т	Coef.	Std. Err.	t	P> t	[95% Conf. Interval]	
Образование	-.2187425	.0240182	-9.11	0.000	-.2658214	-.1716636
_cons	4.425795	.0731518	60.50	0.000	4.282408	4.569182

In particular, with the growth of education among civil servants, their assessment of the conditions created in the government institution for the career growth of employees decreases.

. reg Услов\_карьер\_рост Возраст

Source	SS	df	MS	Number of obs	=	14,250
Model	49.0921039	1	49.0921039	F(1, 14248)	=	35.16
Residual	19895.5275	14,248	1.39637335	Prob > F	=	0.0000
Total	19944.6196	14,249	1.39972065	R-squared	=	0.0025
				Adj R-squared	=	0.0024
				Root MSE	=	1.1817

Услов_карьер_рост	Coef.	Std. Err.	t	P> t	[95% Conf. Interval]	
Возраст	.0057234	.0009653	5.93	0.000	.0038313	.0076155
_cons	3.546177	.0383213	92.54	0.000	3.471062	3.621291

Moreover, regression analysis shows that the assessment of career prospects in government institutions is interrelated with the assessment of civil servants' own competencies: the higher the assessment of their own professional competencies, the better and higher their assessment of prospects and conditions for career growth.

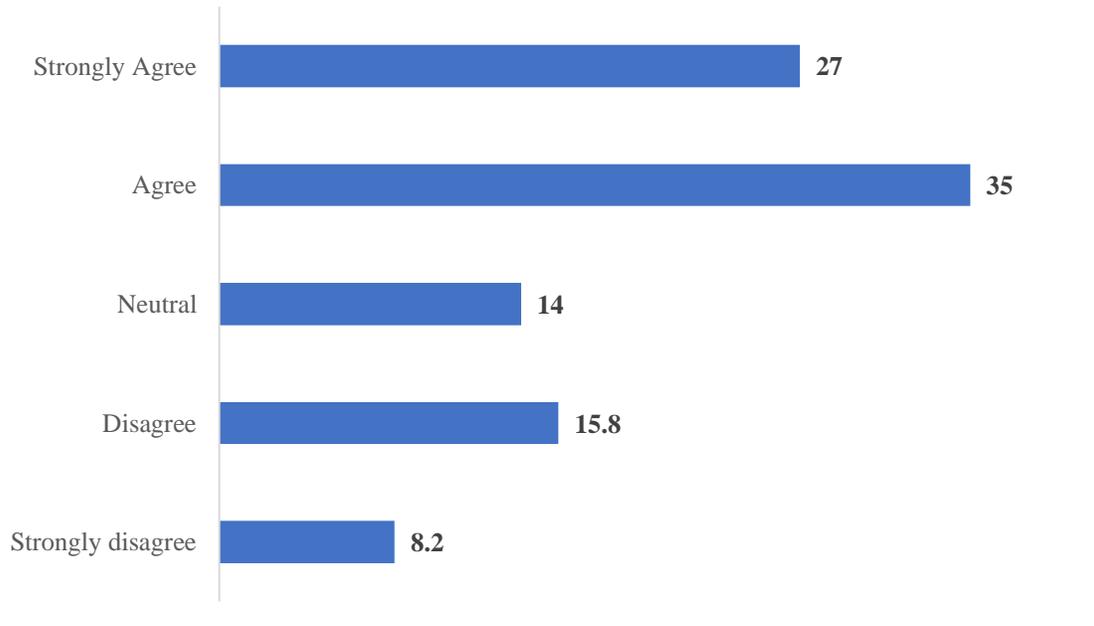
. reg Услов\_карьер\_рост УровеньСобствКомпетенц

Source	SS	df	MS	Number of obs	=	14,250
Model	571.803855	1	571.803855	F(1, 14248)	=	420.54
Residual	19372.8157	14,248	1.35968667	Prob > F	=	0.0000
Total	19944.6196	14,249	1.39972065	R-squared	=	0.0287
				Adj R-squared	=	0.0286
				Root MSE	=	1.1661

Услов_карьер_рост	Coef.	Std. Err.	t	P> t	[95% Conf. Interval]	
УровеньСобствКомпетенц	.116002	.0056567	20.51	0.000	.1049142	.1270898
_cons	2.826125	.046846	60.33	0.000	2.734301	2.91795

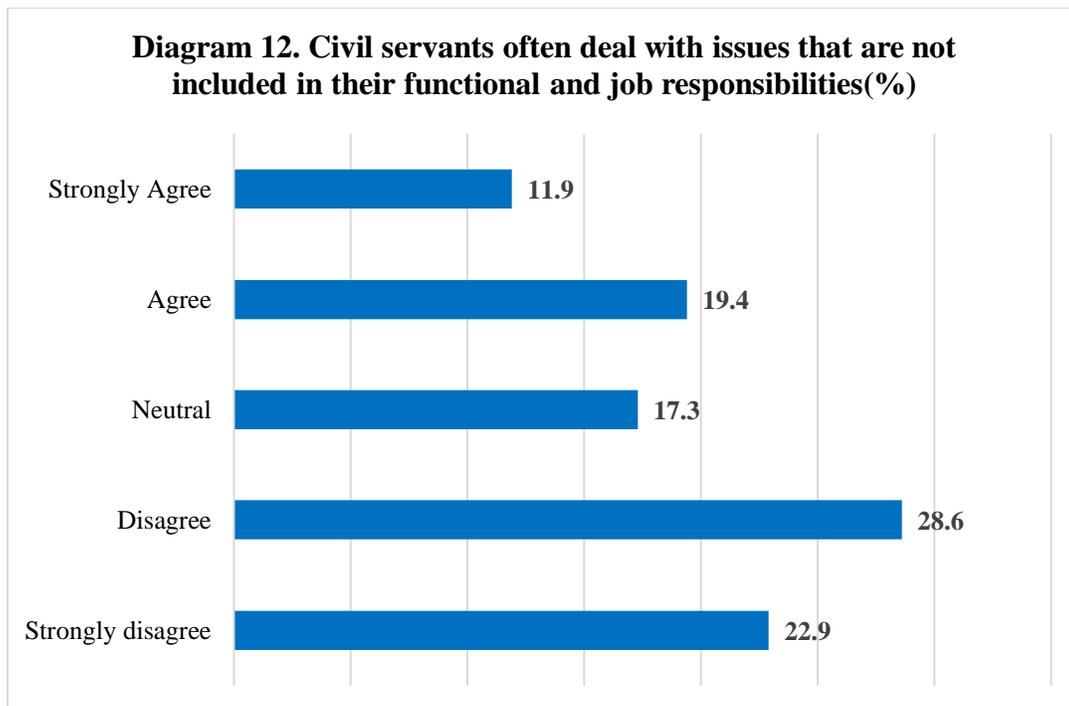
A favorable working environment and atmosphere in the government institutions of Kazakhstan is most often accompanied by an even distribution of responsibilities and work volumes among employees (Diagram 11). 62% of respondents agreed with the statement that state agencies fairly distribute responsibilities among employees, while 24% disagree.

**Diagram 11. The government institution has evenly distributed responsibilities and workload between employees (%)**

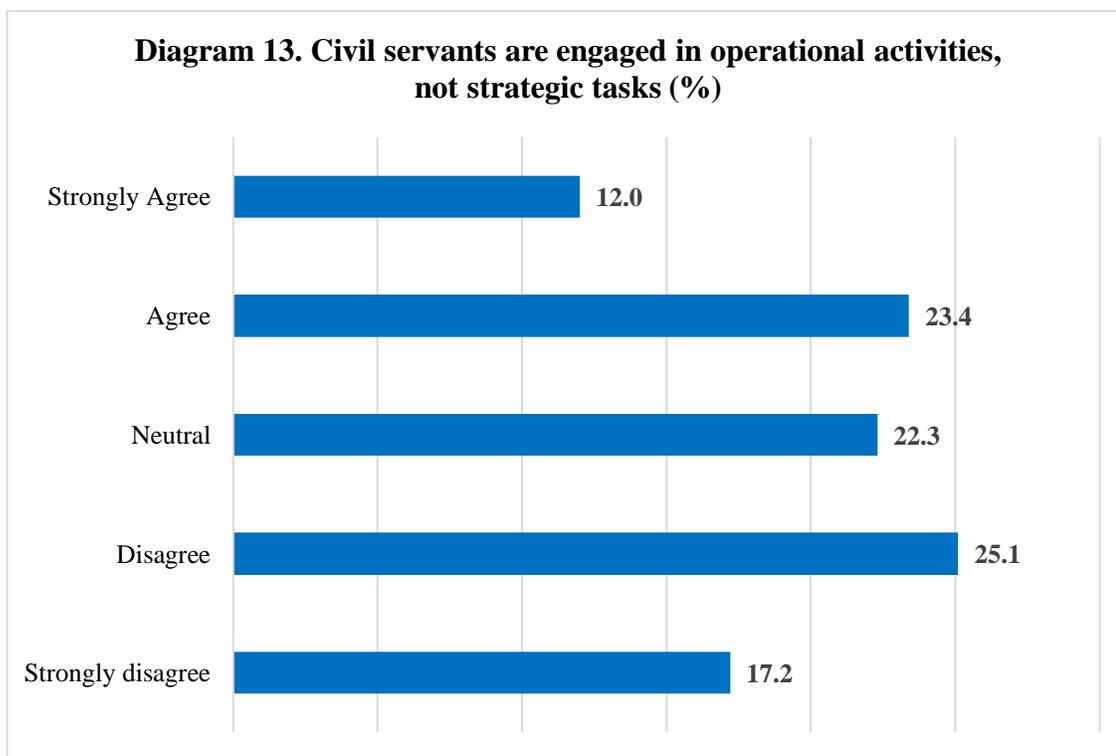


The survey participants also noted that their duties coincide with their official and functional responsibilities (51.1%). More than 30% of the study participants did not agree with this statement (Diagram 12).

**Diagram 12. Civil servants often deal with issues that are not included in their functional and job responsibilities(%)**



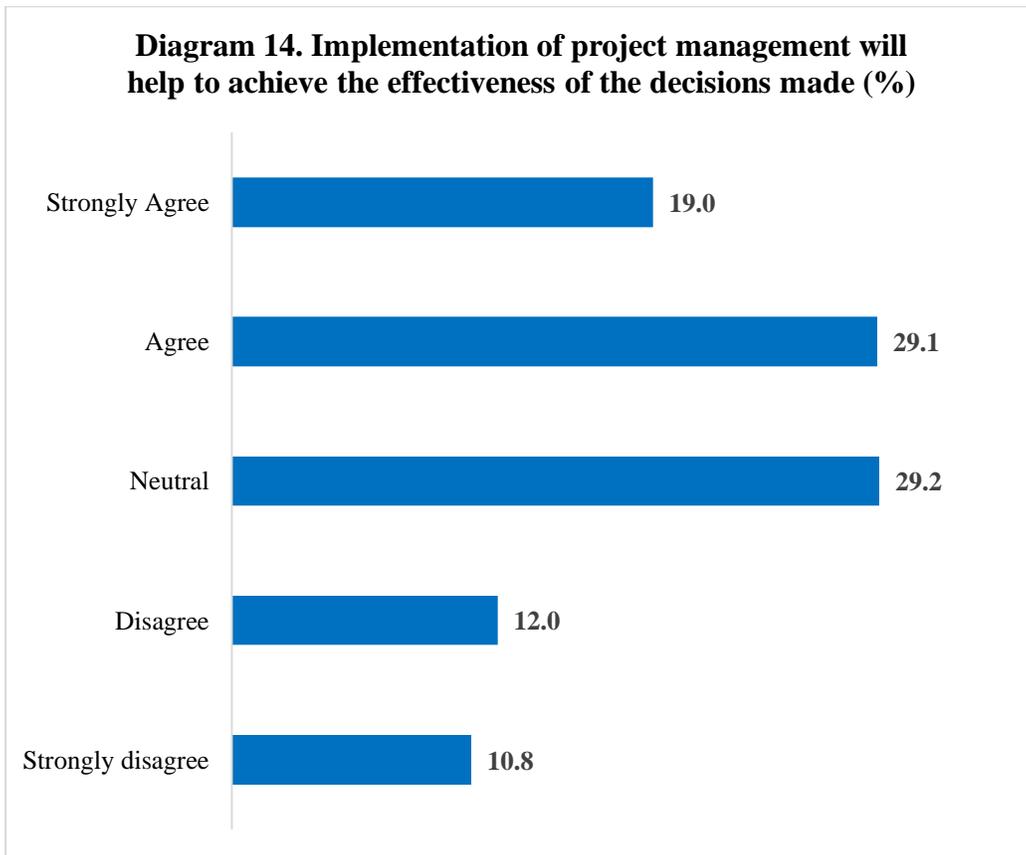
More than a third of respondents are engaged in operational activities, rather than solving strategic issues (Diagram 13). Obviously, this is due to the fact that the main participants in the survey were ordinary civil servants.



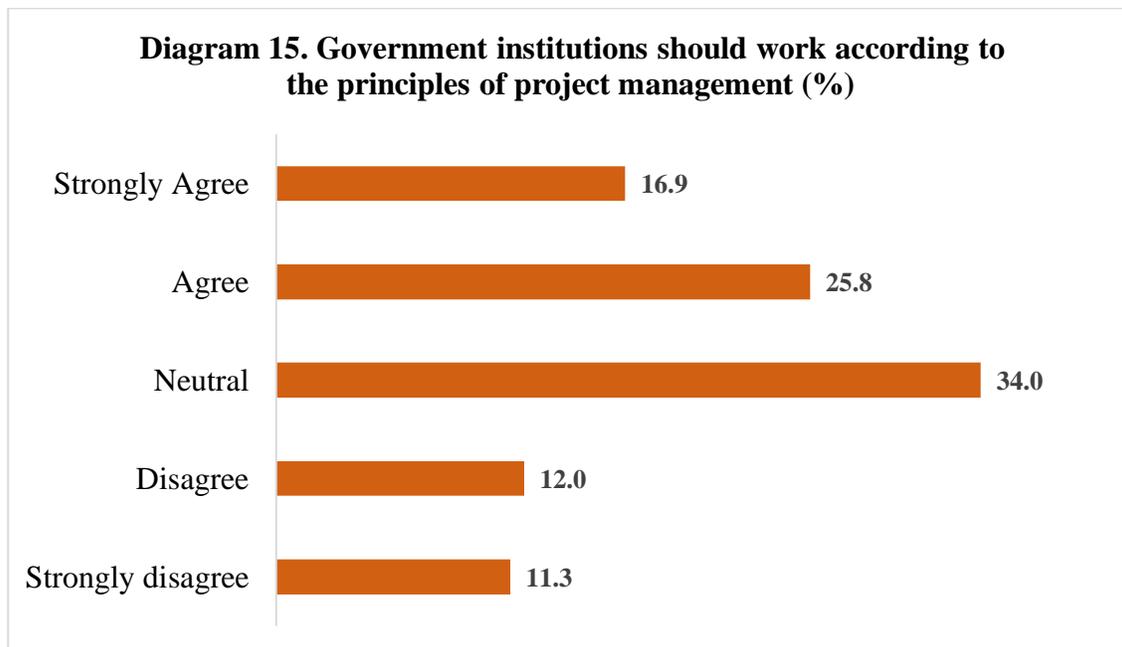
In Kazakhstan, since 2010, conditions have been created and certain work is being done to introduce project technologies in the public sector (Appendix 3). The Concept of project management development in Kazakhstan was developed, according to which by 2020 there should have been qualitative changes at all levels of government in the state and society.

According to 48.1% of respondents, the implementation of project management contributes to improving the effectiveness of activities and the degree of achievement of goals. However, almost a third of respondents are neutral about this (Diagram 14), which may indicate a lack of awareness among respondents about project management and the work that is currently being done in this direction.

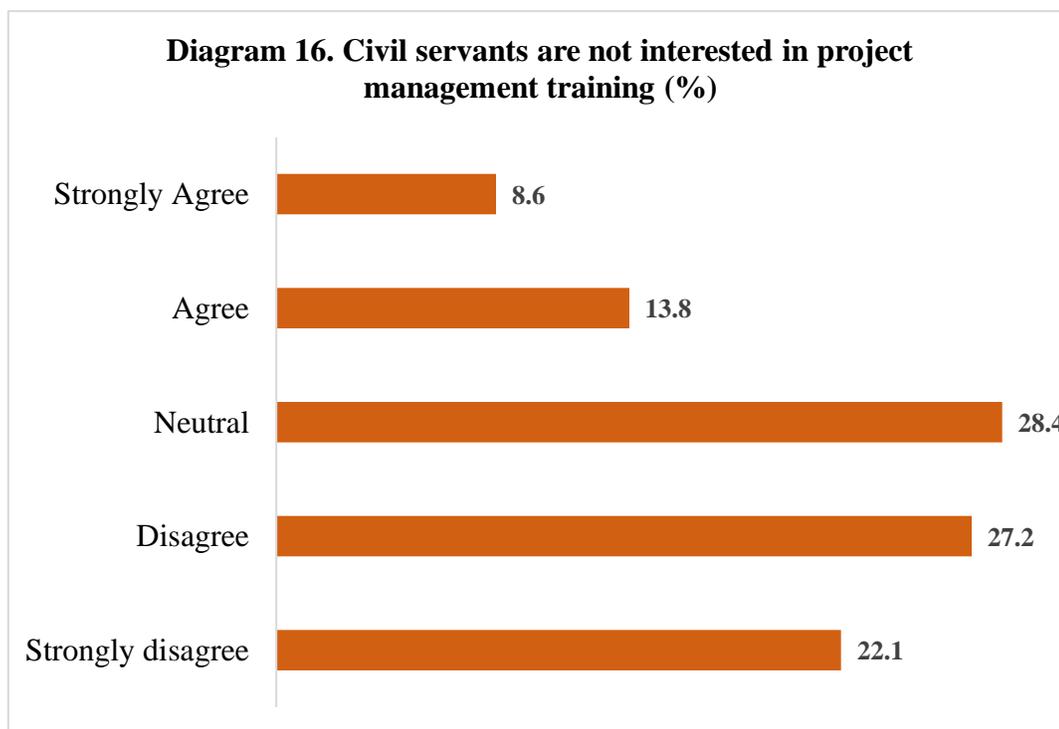
It can also be assumed that the understanding of the effectiveness of project management is observed in civil servants involved in the work of project offices at the level of Central government institutions.



Most of the respondents (42.7%) believe that the government institutions of Kazakhstan should use project management approaches in their activities. 23.3% of respondents did not agree with this statement, while 34% showed a neutral attitude (Diagram 15).

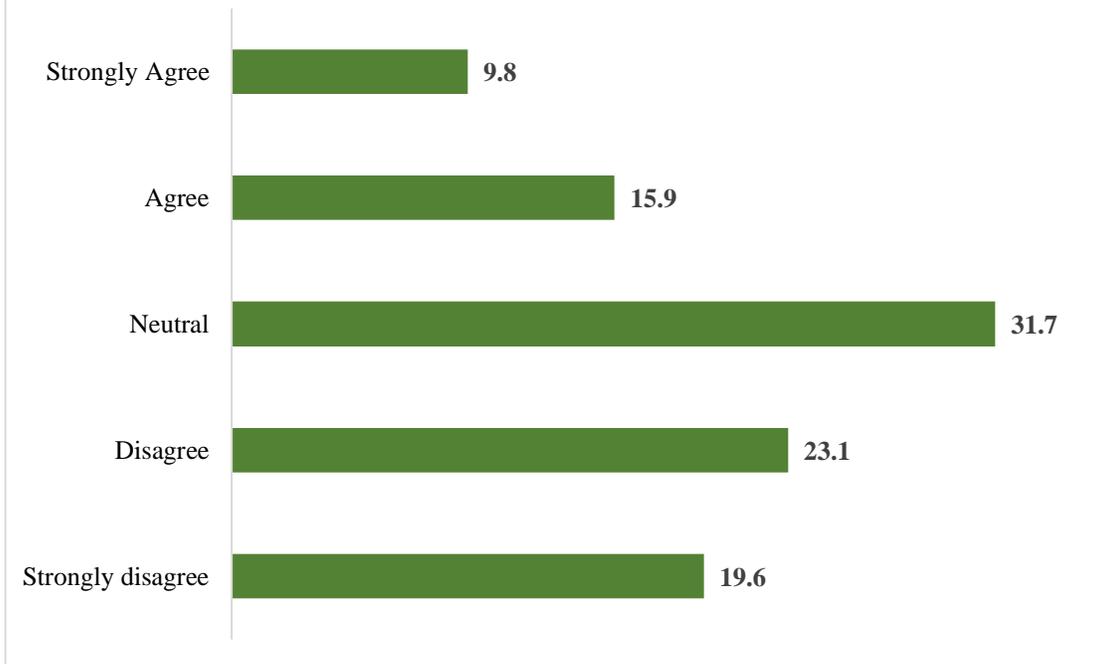


49.3% of respondents believe that civil servants in Kazakhstan are interested in project management training, and only 22.4% did not agree with this. At the same time, almost a third of the respondents were neutral about this (Diagram 16).

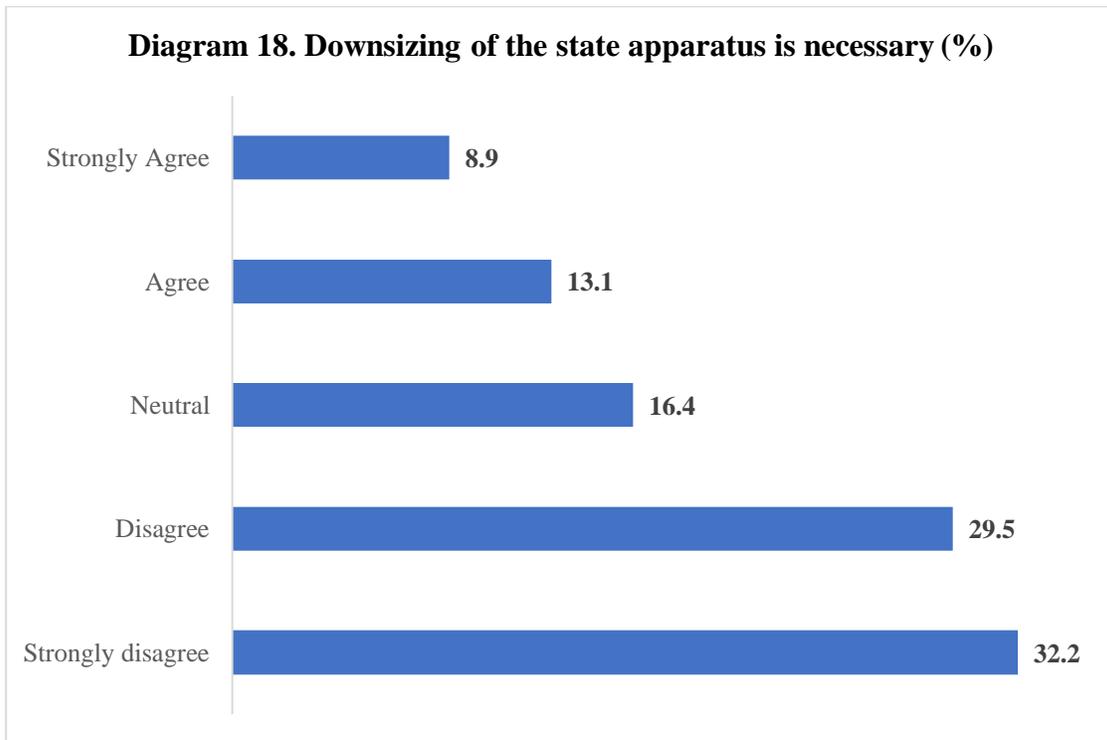


42.7% of respondents indicated that the heads of government institutions in Kazakhstan are interested in implementing project management in the work of the government institution. 31.7% were neutral about this (Diagram 17).

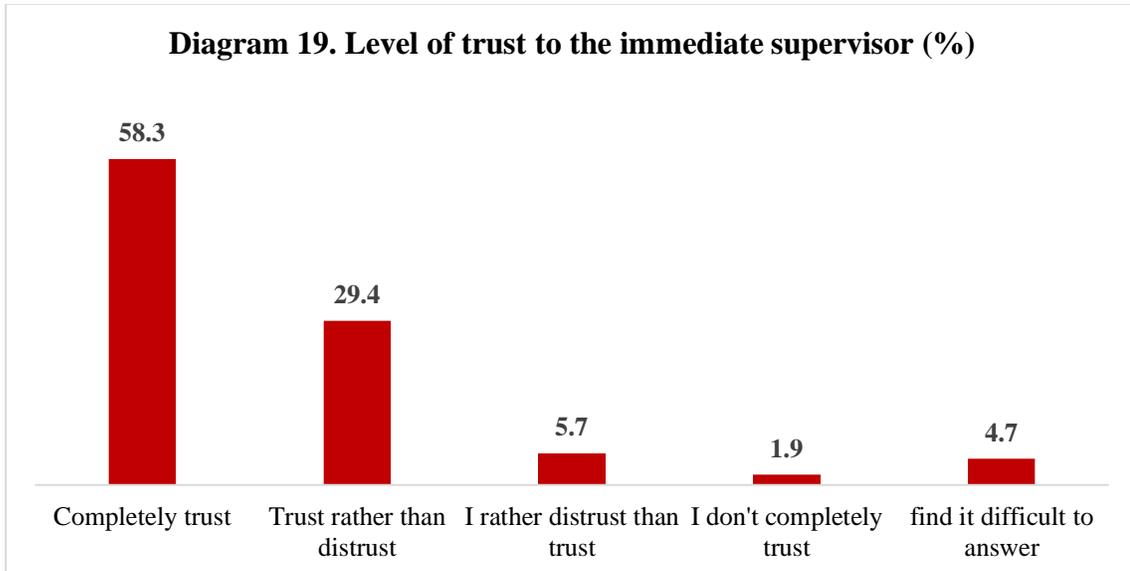
**Diagram 17. Heads of government institutions are not interested in implementing project management (%)**



The introduction of strategic approaches to management and the use of project management technologies is intended to contribute not only to improving the efficiency of government institutions, but also to reducing the number of their staff. However, the study participants do not agree that the number of state agencies should be optimized (61.7%). However, a small percentage of respondents (21%) still believe that this should be done (Diagram 18).



Survey participants showed a high level of trust in their direct management (87.7%) (Diagram 19).



Meanwhile, the results of correlation and regression analysis show that with a decrease in trust in the Manager, the assessment of career prospects by civil servants decreases. In other words, the trusting relationship between the Manager and his subordinate affects the level of optimism about the latter's career growth.

. . reg Услов\_карьер\_рост НеДовериеРуководителю

Source	SS	df	MS	Number of obs	=	14,250
Model	2211.16583	1	2211.16583	F(1, 14248)	=	1776.57
Residual	17733.4538	14,248	1.24462758	Prob > F	=	0.0000
				R-squared	=	0.1109
				Adj R-squared	=	0.1108
Total	19944.6196	14,249	1.39972065	Root MSE	=	1.1156

Услов_карьер_рост	Coef.	Std. Err.	t	P> t	[95% Conf. Interval]	
НеДовериеРуководителю	-.3894908	.0092407	-42.15	0.000	-.4076038	-.3713778
_cons	4.410162	.0179203	246.10	0.000	4.375036	4.445288

Moreover, with the growth of distrust among civil servants in their direct managers, their assessment and attitude to the current state of the civil service also decreases.

. . reg ТекущСостГосслуж НеДовериеРуководителю

Source	SS	df	MS	Number of obs	=	14,250
Model	3109.82901	1	3109.82901	F(1, 14248)	=	759.44
Residual	58344.1149	14,248	4.09489858	Prob > F	=	0.0000
				R-squared	=	0.0506
				Adj R-squared	=	0.0505
Total	61453.9439	14,249	4.31286013	Root MSE	=	2.0236

ТекущСостГосслуж	Coef.	Std. Err.	t	P> t	[95% Conf. Interval]	
НеДовериеРуководителю	-.4619073	.0167613	-27.56	0.000	-.4947617	-.4290529
_cons	6.606899	.0325047	203.26	0.000	6.543186	6.670613

These facts speak about the importance of trust between employees and their direct managers for improving both the efficiency of the work of the government institution, and improving the professional competencies of employees with their subsequent career growth.

*Conceptual problems, list of exogenous and endogenous factors* (Appendix 4) developed based on the results of research, expert evaluations and questionnaires.

## **CHAPTER 3: CONCLUSIONS AND RECOMMENDATIONS ON IMPROVING THE MANAGEMENT OF PUBLIC AUTHORITIES**

The main task of this research is to analyze the working hypothesis put forward by experts on improving management in the public sector: *"Management of public authorities will be effective if the balance of powers, resources and responsibilities is observed, the separation of powers of political and administrative civil servants, and the optimization of information flows."* The research group also worked out the possibility of its practical implementation, which provides for making specific proposals for the development and implementation of the most effective tools, technologies and methods aimed at improving management in the government institutions of the Republic of Kazakhstan.

In the course of research, analysis and discussion of the results of the study, this hypothesis is confirmed.

### **3.1. Public administration model-the basis for improving the management of government institutions of the Republic of Kazakhstan**

In the Republic of Kazakhstan, for a number of years, there has been a serious delay in the reform of the public administration system from the world trends and achievements of management science. The results of both foreign and domestic research in this area are rightfully recognized by Kazakhstan as valuable and quite adaptive to its system of state management, but they do not find practical implementation.

Foreign countries that demonstrate high efficiency of public administration today have long abandoned the administrative-command model of management, as well as its linear-functional and vertically-hierarchical architecture, in favor of network structures and interactive models of decision-making and implementation.

As the world experience shows, the service model of the civil service, appreciated and imported by Kazakhstan, justifies itself as an important transition link in the transit to participatory management. But, unlike a number of other States, Kazakhstan has not yet made this transition, continuing develop the service model and, as the most relevant principle, implementing its mission of serving the people by state agencies.

If the service model of interaction between power and population is in the format of "provider – consumer" (and the format developed in Kazakhstan quite well, including through the introduction of "electronic government"), participate is a culture of complicity, a partnership of government and society (and requires the development of "open government"). And the fact that Kazakhstan has declared the concept of a "hearing state", further underscores the evidence of Kazakhstan's unjustifiably long "sticking" in the service model of the civil service.

Participatory management involves centering the public's needs in government strategies and programs, and prioritizing the needs of the population in relation to political and industry conditions. In Kazakhstan, strategic and programmatic documents, being

derived from the budget (and not Vice versa), represent a kind of justification for budget expenditures, whereas, on the contrary, they should be primary in relation to the budget.

The above determines the substitution in the system of evaluation of activities of government institutions and officials of criteria, based on "cost" and to the extent that they create public goods by the criteria that describes the volume and amount of "work". And even at the legislative level (including NPA in the field of state planning), there is no differentiation of the concepts of "economic efficiency" and "efficiency" (*outputs* and *outcomes*), whereas the Budget Code declares the principles of efficiency and effectiveness of budgeting. This, in turn, is further evidence of the pre-existence of budgeting processes to strategic planning processes.

Full partnership and cooperation between the government and society to increase public goods, in turn, requires the transition to flexible technologies and network structures, which are best implemented in the world today through project management. The Republic of Kazakhstan has a low level of project maturity in the corporate sector and zero - in the public sector. And the unified framework of civil servant competencies (ERC), which describes his ideal portrait, does not endow him with competence in the field of project management.

Despite the long-term functioning of the competence approach to civil service in Kazakhstan, there is no methodological basis for assessing, tracking the dynamics and development of civil servants' competencies.

These factors that are exogenous in relation to public authorities generate the corresponding business philosophy and behavior patterns of Kazakh civil servants:

- focusing on clearly defined and defined functions and responsibilities, rather than on serving the people;
- positioning ourselves as representatives of government, and citizens as passive consumers, rather than political actors;
- relying solely on financial resources and lack of motivation to generate and increase other types of resources, use the potential of other entities;
- "inhibiting" the development of change management skills, systems and strategic thinking due to wasting yourself on the mechanical performance of operational tasks;
- blurring of responsibility for the socio-economic *impact* of strategies and programs and substitution of personal responsibility for collective "pseudo-responsibility";
- adaptation of civil servants to a rigid management architecture and unwillingness to switch to flexible ways of working and collaborating, including with society;
- understanding the optimization of the staff and structure of government institutions as extremely simple arithmetic actions and changes in the places of components (reallocation of functions), and not the modernization of the management architecture and transformation into self-regulating organizations;

- reducing the competence approach to a one-time procedure for assessing the competence of a candidate at the entrance to the civil service, a formal approach to self-development and systematic building up of civil servants ' competencies.

The following measures are intended to neutralize the negative impact of the above-described factors and eliminate their consequences.

***Regulatory and legal measures:***

1) regulation at the legislative level of the primacy of the principle of public demand – the basis for setting goals and implementing initiatives;

2) clear regulation at the legislative level of the concepts of "economic efficiency" and "efficiency" of the activities of a state Agency and civil servant and, as a result, ensuring its orientation to the result as the creation of public goods;

3) securing at the legislative level personal responsibility for the effectiveness and efficiency of strategies and programs, their compliance with the expectations of citizens;

4) abolish the practice of developing strategic plans for government institutions;

5) regulating the integration of strategic documents with the budget based on the "goal – budget" principle”;

6) introduction of the basic competence "project thinking" and the differentiating competence "portfolio and program management" into a Single framework of civil servants ' competencies”;

7) regulating the mandatory assessment, monitoring of the dynamics and development of civil servants ' competencies;

***Methodological measures:***

1) reorienting existing methods of developing strategic and programmatic documents to the new ones.:

- building goal setting and implementing initiatives based on the needs of the population;

- the final result as a socio-economic effect in the interests of well-being, and not a direct result (as the volume of produced products of activity);

2) supplementing the concept of state planning with methodologies:

- estimates of their direct result as the volume of products created (*outputs measurement*) and the final result as a degree of satisfaction of the society's requests (*outcomes measurement*);

- assessment of the socio-economic impact of government programs (*impact measurement*).

3) decisions have been made on the staffing and resource levels of government institutions based on the "cost" and volume of public goods they create, rather than the number of functions they perform;

4) methods of functional analysis of government institutions should be supplemented with methods of mathematical modeling (modeling of organizational structures based on the stratification, etc.);

5) development and implementation of a mechanism for integrating project technologies into the activities of government institutions;

6) development and implementation of a methodology for assessing, tracking and developing civil servants ' competencies.

***Organizational measures:***

1) transition from linear-functional and vertically-hierarchical management models to creating network structures;

2) abolishing the practice of Directive management indicative management with the use of project technologies;

3) involvement of civil society organizations, businesses, citizens ' initiative groups in decision-making and implementation, monitoring and control at all stages of the development and implementation of projects, programs, policies;

4) abolishing multiple procedures for intermediate control by government institutions and civil servants of each other and switching to *agile* technologies for interdepartmental and intersectoral interaction;

5) abolishing formalism in the development of civil servants ' competencies and introducing the practice of systematic assessment and monitoring of their dynamics.

**3.2 Maintaining the balance of powers, resources and responsibilities, delineating the powers of political and administrative civil servants**

The conducted research demonstrated the absence of a clear division of powers between political and administrative civil servants at the legislative level, and, as a result, an increase in the influence of political processes on the state apparatus (excessive politicization of it) and the growth of political positions that functionally duplicate administrative ones.

The international experience that has been studied in this area can be summarized into four main guidelines:

1) reducing the total number of political appointees to the level of the head of a government institution;

2) restriction of political appointments only in the highest echelon of government institutions;

3) conducting professional training of political appointees in order to improve their core competencies;

4) professionalization of senior government positions by replacing political appointees with career managers or senior administrative civil servants.

It is obvious that in order to integrate such successful foreign practices into the Kazakh public administration system, it is advisable to transform the approach to the formation and redistribution of functions of political and administrative civil servants, with subsequent optimization of their number based on this. For this purpose, the following measures are proposed.

***Regulatory and legal measures:***

1) reducing the list of functions of government institutions at the legislative level to three basic functions:

- the basic function of "strategic planning" in the country and / or the relevant sphere/industry/region, which includes the organization of all processes, powers and competencies necessary for public authorities to develop strategies and goals, develop target indicators and indicators of results at the level of analysis, develop, discuss and adopt policy documents;

- the basic function of "project activity" in the country and / or the relevant sphere/industry/region, which includes the organization of project activities and other processes and operations necessary to ensure that public authorities and other stakeholders achieve the established goals, targets and indicators of results of strategic and program documents;

- basic function "ensuring law and order, safety and quality of life of the population" in the country and / or the relevant sphere/industry/region, including the organization of process activities of government institutions and other stakeholders, which can not be implemented within the functions of "strategic planning" and "project activities" (for example, public services that can not be transferred to a competitive environment);

2) regulation separation of powers political and administrative civil servants in accordance with the three-tier system of project management (portfolio, programs, projects) with consolidation at the level of portfolio management and software project roles and personal responsibility for the achievement of the objectives exclusively for civil servants and project roles, and appropriate personal responsibility for achieving the objectives of the projects for administrative civil servants; the introduction at the legislative level of requirements to a standard and skill level of the project Manager for the priority and large-scale projects.

***Methodological measures:***

development and implementation of a mechanism for integrating project technologies into the activities of government institutions, including the procedure for escalating problematic issues from a lower project role to a higher one (from administrative civil servants to political ones).

### ***Organizational measures:***

- 1) transition to the project-network model of public administration;
- 2) systematic and systematic training of administrative civil servants in project management, and political officials in program and portfolio management.

### **3.3 Optimization of information flows**

The results of the study showed that one of the key factors in improving the effectiveness and efficiency of management in the public sector is, on the one hand, the simultaneous increase in efficiency, accuracy and relevance of information needed for making timely and quality management solutions, system monitoring and efficient control of their implementation, and on the other hand, a sharp reduction in unnecessary paperwork and numerous types of reporting.

The study illustrated the multi-personality and multiplicity of control procedures by state agencies and civil servants of each other (up to the control of those who exercise control). One of the reasons for this phenomenon is the low level of trust between government institutions and civil servants, which, in turn, makes it impossible for government institutions to transform into self-regulating and self-developing organizations and implement corporate governance principles.

The architecture of information flows of government institutions is characterized by an infinite duplication of information, a multiplicity of information requests, including those related not to achievements, but to the description of processes. "As a result, a huge flow of information circulates in the public administration system, which is not used for decision-making»<sup>66</sup>.

Despite Kazakhstan's Declaration of an indicative, rather than Directive, management principle, the instruction continues to be the main component of the information flow of government institutions. At the same time, the subject of instructions, as a rule, are components of projects, programs and portfolios, which all the more makes instructions superfluous from the point of view of indicative and project management.

The following measures are intended to reformat the architecture of government institutions' information flows.

### ***Regulatory and legal measures:***

regulate at the legislative level the implementation of the Unified information system of project management (ISPU).

### ***Methodological measures:***

- 1) development and implementation of a methodology for working with ISPS;

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<sup>66</sup> A. Baimenov, On some factors of public administration efficiency, Public administration, issue 22 № 1, ISSN 2070-8378, 2020 с. 30 [https://drive.google.com/file/d/1y1SQsTw36dsdn7M8MLRC\\_mi\\_L0sxnRT4/view](https://drive.google.com/file/d/1y1SQsTw36dsdn7M8MLRC_mi_L0sxnRT4/view)

2) building the system of reporting of government institutions in ISPU on the principle of "exceptions":

- placing only information at the top management level that confirms the achievement of the specified target indicators of the program/project or requires practical assistance from a higher management level;
- ensuring the placement of all necessary information for making managerial decisions in interactive dashboards and, accordingly, excluding traditional reports and references "on the progress of implementation of the program/project" from the information flows.

***Organizational measures:***

1) ensuring the participation of all interested parties in the work on the basis of ISPU and organizing their activities online using *agile-*, *SCRUM*, *Kanban* technologies, etc.;

2) providing a new architecture of information flows with a high degree of automation and integration with other information systems of government institutions for a sharp reduction of excessive information flows and various types of reporting;

3) ensuring integration of ISPS with the information and analytical program (MS PBI type) with functions of analysis and support of management decision-making, conducting GAP analysis of the sufficiency of implemented projects to achieve the goals and results of the program, as well as measuring the contribution of each project to the achievement of the relevant KPIs of the state authority;

4) exclusion of the practice of holding meetings and Protocol assignments for the tasks of projects, programs, and portfolios.

## CONCLUSION

The growing limitations of public sector development resources, the uncertainty and unpredictability of social, economic and environmental factors, and the growing demands of citizens require that government institutions take drastic measures to improve management using best management practices.

Taking into account the experience of the OECD countries, as a key idea for reforming the public administration system, it is proposed to move to a network model of Government based on the introduction of a new organizational culture and project thinking, which provides for the proactive participation of business and civil society in the implementation of government programs and projects (from "vertical" to "flat" organizational structures).

The network model of government institutions' activities will be implemented on the basis of matrix project-oriented structures and cross-functional project teams working in agile format with the direct participation of representatives of business and civil society (the principle of "outside – inside").

Network architecture of public administration involves the introduction of three-tier system of project management (portfolio management, program management, project management) based on methods, standards and tools of project management at all levels of government (including key: SMART-objectives and economic feasibility, the project role and the personification of responsibility, work to the rhythm of the SCRUM, partnership and collaboration).

It can be reduced to seven conceptual ideas that contribute to the transition of Kazakhstan to a new model of public administration:

- 1) integration of project technologies into the activities of government institutions;
- 2) minimizing the functions of government institutions and classifying them as strategic, project and operational;
- 3) building programs based on citizens' requests and partnership between government and society;
- 4) the transition from evaluating the effectiveness of government institutions to evaluating the effectiveness and efficiency of their achievement of goals and program results, primarily based on project control "by the method of mastered volume";
- 5) concentration of Central government institutions on the development and implementation of relevant programs, including the abolition of the practice of developing their strategic plans;
- 6) the introduction of a "blockchain of responsibility" with the assignment of appropriate project roles to political civil servants with the consolidation of personal responsibility for achieving the goals and results of the relevant System reforms of the Strategic development plan of the Republic of Kazakhstan until 2025, state programs (national projects) and territorial development programs;

7) the introduction of "project tasks" with execution entities that are not directly members of the project team (state agencies, structural divisions, subordinate organizations, etc.), necessary tasks and the provision of ready results and/or employees for the time required to complete project tasks.

The transition of government institutions to a network model of activity is proposed to be carried out in two stages.

Stage I (3 months): formation of project infrastructure (regulatory framework, training of project office staff, unified information platform). To accelerate the implementation of the proposed measures, it is proposed to combine the efforts and resources of the project management Center of the Government and the project management development Center in the state administration of the Academy of public administration under the President of the Republic of Kazakhstan, as well as to assign the Ministry of National Economy the status of an authorized body in the field of project management implementation.

On the basis of the above-mentioned structures, it is proposed to create a national project office based on the matrix model, with broad powers to coordinate the project activities of government institutions and external participants, including government institutions that are not accountable to the Government.

Stage II (9 months): practical implementation of measures of the Comprehensive plan to restore economic growth and the Strategic development plan of the Republic of Kazakhstan until 2025, led by the National project office on the principles of the project-network model with the participation of the public sector, active representatives of business and civil society.

If the measures recommended by the study are supported and implemented, by the end of 2021, Kazakhstan's public administration system will be ready to move to a participatory model based on the network principles of interaction between self-regulatory entities, as well as corporate governance values.

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## Appendix 1

### List of substantially similar and duplicative functions of organizations of the departmental vertical of the Ministry of Labor and Social Protection of the Population of the Republic of Kazakhstan

N o	Function of the Central office of the Ministry (item of the regulation on the Ministry)	Function of the Committee (paragraph of the regulation on the Committee)	Function of the Department of the Committee in Pavlodar region (clause of the regulation on the Department)	The function of the "Center for the human resources development" JSC (clause of the Charter)
1	Organization of monitoring and assessment of risks in the field of occupational safety and health (item 17 of the PP.3)	Organization of monitoring and assessment of risks in the field of occupational safety and health (clause 13 of clause 4)	-	-
2	Implementation of methodological guidance and coordination of local Executive bodies in the field of labor relations regulation (clause 17 of clause10)	Implementation of methodological guidance and coordination of local Executive bodies in the field of labor relations regulation (item 13 of the subclause. 7)	-	-
3	Carrying out an inspection of the activities of the local labour inspection body (item 17 of sub-itemof the subclause 2)	Carrying out an inspection of the activities of the local labour inspection body (item 13 of clauseof the subclause 8)	-	-
4	Implementation of methodological guidance and coordination of local Executive bodies in the field of labor relations regulation (clause 17 of clause10)	Implementation of methodological guidance and coordination of local Executive bodies in the field of labor relations regulation (item 13 of the subclause. 7)	-	-
5	Considers complaints about the refusal to grant or extend the status of an oralman (item 17 of sub-item16)	Consideration of complaints about refusal to grant oralman status (p. 13 p. 17)	-	-
6	-	Formation of a centralized database of foreign employees, creation of the information system "Foreign labor force" and ensuring their interaction with the information systems of relevant authorized government institutions (p. 13 p. 19)	-	Formation, maintenance and development of a database of foreigners and stateless persons: received and (or) to extend the permit for attracting foreign labor force, as well as individuals, these permissions are suspended or revoked; carrying out labour activity in the Republic of Kazakhstan on the basis

No	Function of the Central office of the Ministry (item of the regulation on the Ministry)	Function of the Committee (paragraph of the regulation on the Committee)	Function of the Department of the Committee in Pavlodar region (clause of the regulation on the Department)	The function of the "Center for the human resources development" JSC (clause of the Charter)
				of certificates of qualification for self-employment demand in the priority sectors of economy (kinds of economic activities) professions (p. 12 PP. 8)
7	-	Organization of data collection on the number of recipients and amounts of pension and social payments at the expense of budget funds, social payments from the State social insurance Fund (item 13 of the subclause. 25)	Organization of data collection on the number of recipients and amounts of pension and social benefits at the expense of budget funds and the Fund (item 10 of the subclause.6)	-
8	-	Monitoring the timeliness and completeness of payment of state base pension payment, pension payments according to age, state social benefits on disability, on the occasion of loss of the supporter and on age, special state allowances, special state allowances, lump sum state benefits, appointed and paid in connection with the birth of a child and to care for child reaches one year of age, the monthly state benefit, assigned and paid to mother or father, adoptive father (the provides), the guardian (caregiver) raising a disabled child (children with disabilities), social assistance in the form of monthly payments to citizens of the Republic of Kazakhstan after the period of capitalization of payments on compensation of the harm caused to the life or health of employees of legal entities, liquidated due to bankruptcy, a lump-sum compensation to victims of nuclear tests on Semipalatinsk the proving nuclear ground, victims of political repression, one-time payment for burial, the difference between the amount of mandatory pension contributions	Monitoring the timeliness and completeness of payment of state base pension payments at the expense of budget funds, state social benefits for disability, survivor and age, pension payments according to age, special state allowances, special state allowances, lump sum state benefits, appointed and paid in connection with the birth of a child and to care for child reaches one year of age, the monthly state benefit, assigned and paid to mother or father, adoptive father (the provides), the guardian (caregiver) raising a disabled child (children with disabilities), social assistance in the form of monthly payments to citizens of the Republic of Kazakhstan after the period of capitalization of payments on compensation of the harm caused to the life or health of employees of legal entities, liquidated due to bankruptcy, a lump-sum compensation to victims of nuclear tests on Semipalatinsk the proving nuclear ground, victims of political repression, one-time payment for burial, the difference between the	-

No	Function of the Central office of the Ministry (item of the regulation on the Ministry)	Function of the Committee (paragraph of the regulation on the Committee)	Function of the Department of the Committee in Pavlodar region (clause of the regulation on the Department)	The function of the "Center for the human resources development" JSC (clause of the Charter)
		considering inflation rate and sum of pension accumulations at the time of acquisition of the right to pension payments at the expense of budgetary funds and social payments from the Fund (p. 13 PP. 28)	amount of mandatory pension contributions considering inflation rate and sum of pension accumulations at the time of acquisition of the right to pension payments at the expense of budget funds social payments from State social insurance Fund (p. 10 PP. 3)	
9	Implementation of internal control over the Fund's activities in accordance with the procedure established by the Law of the Republic of Kazakhstan "On Administrative Procedures" (paragraph 17 of subclauses103-I)	Implementation of internal control over the Fund's activities in accordance with the procedure established by the Law of the Republic of Kazakhstan "On Administrative Procedures" (paragraph 13 of clause30)	Implementation of internal control over the Fund's activities in accordance with the procedure established by the Law of the Republic of Kazakhstan "On Administrative Procedures" (item 10 of the subclause. 5)	-
10	-	Conducting medical and social expertise (item 13 of clause31)	Conducting a medical and social examination (item 10 of clauseof the subclause 9)	-
11	-	Establishment of the disability group and (or) degree of disability with determination of the cause, term depending on the degree of impairment of body functions and life-related disabilities (item 13 of item32)	Establishment of the disability group and (or) degree of disability with determination of the cause, term depending on the degree of impairment of body functions and life-related disabilities (item 10 of subclause10)	-
12	-	Development of social and professional parts of an individual rehabilitation program for disabled people, determination of the need of an employee who has received an injury or other damage to health related to the performance of their labor (official) duties, in additional types of assistance and care provided for by the civil legislation of the Republic of Kazakhstan (p. 13, p. 33)	Development of the social and professional parts of an individual rehabilitation program for disabled people, determination of the need of an employee who has received an injury or other damage to health related to the performance of their labor (official) duties for additional types of assistance and care provided for by civillegislation Of the Republic of Kazakhstan, control over the implementation of individual rehabilitation programs for disabled persons (item 10 of the PP. 17)	-

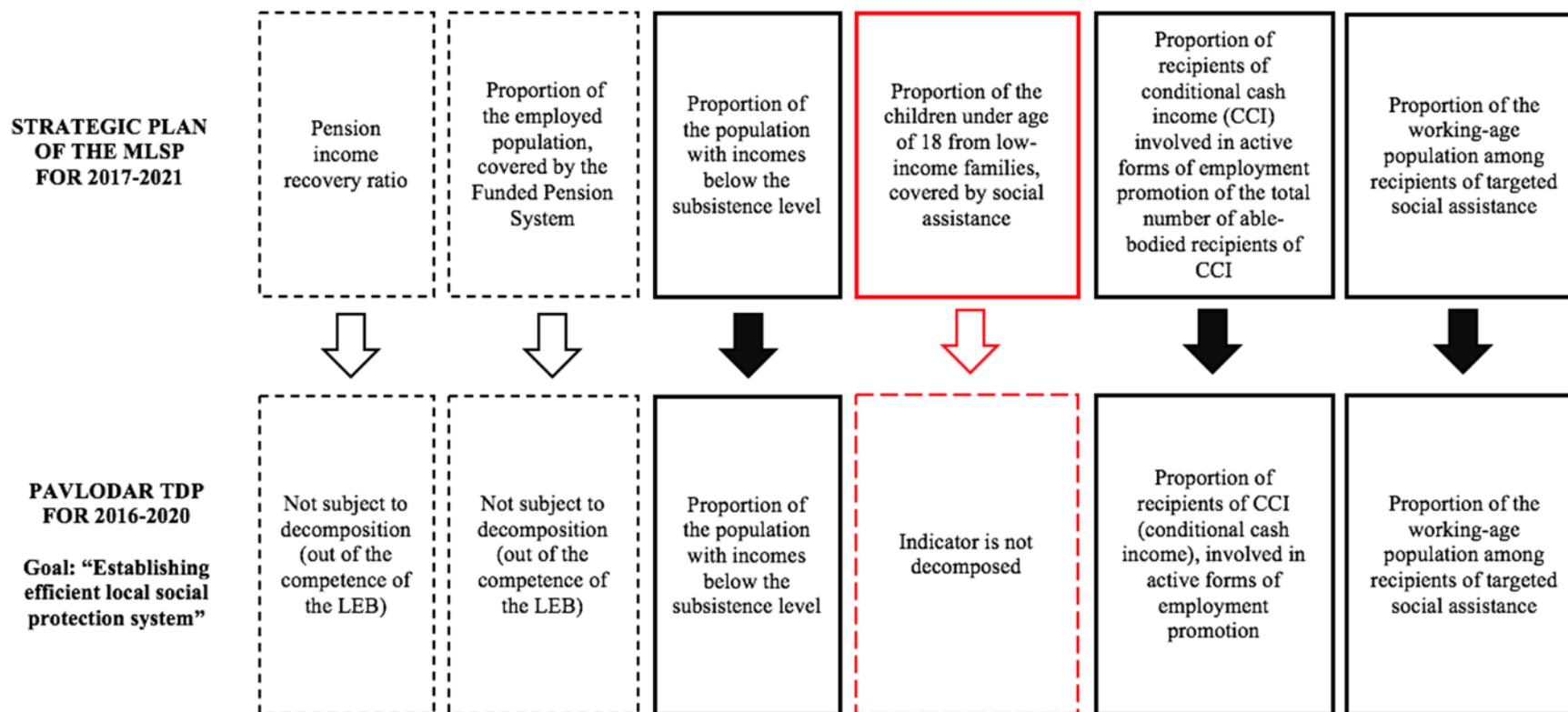
No	Function of the Central office of the Ministry (item of the regulation on the Ministry)	Function of the Committee (paragraph of the regulation on the Committee)	Function of the Department of the Committee in Pavlodar region (clause of the regulation on the Department)	The function of the "Center for the human resources development" JSC (clause of the Charter)
13	-	Study of the level and causes of disability of the population (item 13 of item34)	Study of the level and causes of disability of the population (item 10 of sub-item12)	-
14	-	Acceptance of documents for the assignment of the state basic social disability allowance at the initial establishment of disability (item 13 of sub-item35)	Acceptance of documents for the assignment of the state basic social disability allowance at the initial establishment of disability (item 10 of clause12)	-
15	-	The formation and maintenance of databases in the field of labour, employment, migration and social protection of population, social security, including pension and compulsory social insurance (p. 13 PP. 38)	the Formation and maintenance of databases in the field of social protection of the population (p. 10 PP. 25)	<p>The creation, maintenance and development of a unified information system social and labor sphere, including the organization of the functioning of hardware and communication channels for the information systems and Internet resources in social and labor sphere, interaction and integration with other information systems of government institutions and organizations (p. 10 PP. 4).</p> <p>Formation, maintenance and development of database of foreigners and persons without citizenship: received and (or) to extend the permit for attracting foreign labor force, as well as individuals, these permissions are suspended or revoked; carrying out labour activity in the Republic of Kazakhstan on the basis of certificates of qualification for self-employment demand in the priority sectors of economy (kinds of economic activities) professions (p. 12 PP. 8).</p> <p>Formation, maintenance and development of a personalized database:</p>

No	Function of the Central office of the Ministry (item of the regulation on the Ministry)	Function of the Committee (paragraph of the regulation on the Committee)	Function of the Department of the Committee in Pavlodar region (clause of the regulation on the Department)	The function of the "Center for the human resources development" JSC (clause of the Charter)
				<p>participants in the accumulative pension system;</p> <p>participants in the social insurance system;</p> <p>individuals for whom deductions and / or contributions to the social health insurance Fund have been paid, except for those whose contributions are paid by the state;</p> <p>payers of a single aggregate payment (item 12 of sub-item11).</p> <p>Formation, maintenance and development of a personalized database of recipients of state targeted social assistance and additional social assistance provided by decision of local Executive bodies (item 12 of item19).</p> <p>Formation, maintenance and development of a personalized database of persons who have returned to their historical homeland and received the status of oralman, as well as persons whose oralman status has been extended (clause 12 of clause22).</p>

*Source:* Authors' own elaboration based on the MLSP regulations, Committee regulations, Department of the Committee in Pavlodar region regulations and the "Center for the human resources development" JSC Charter.

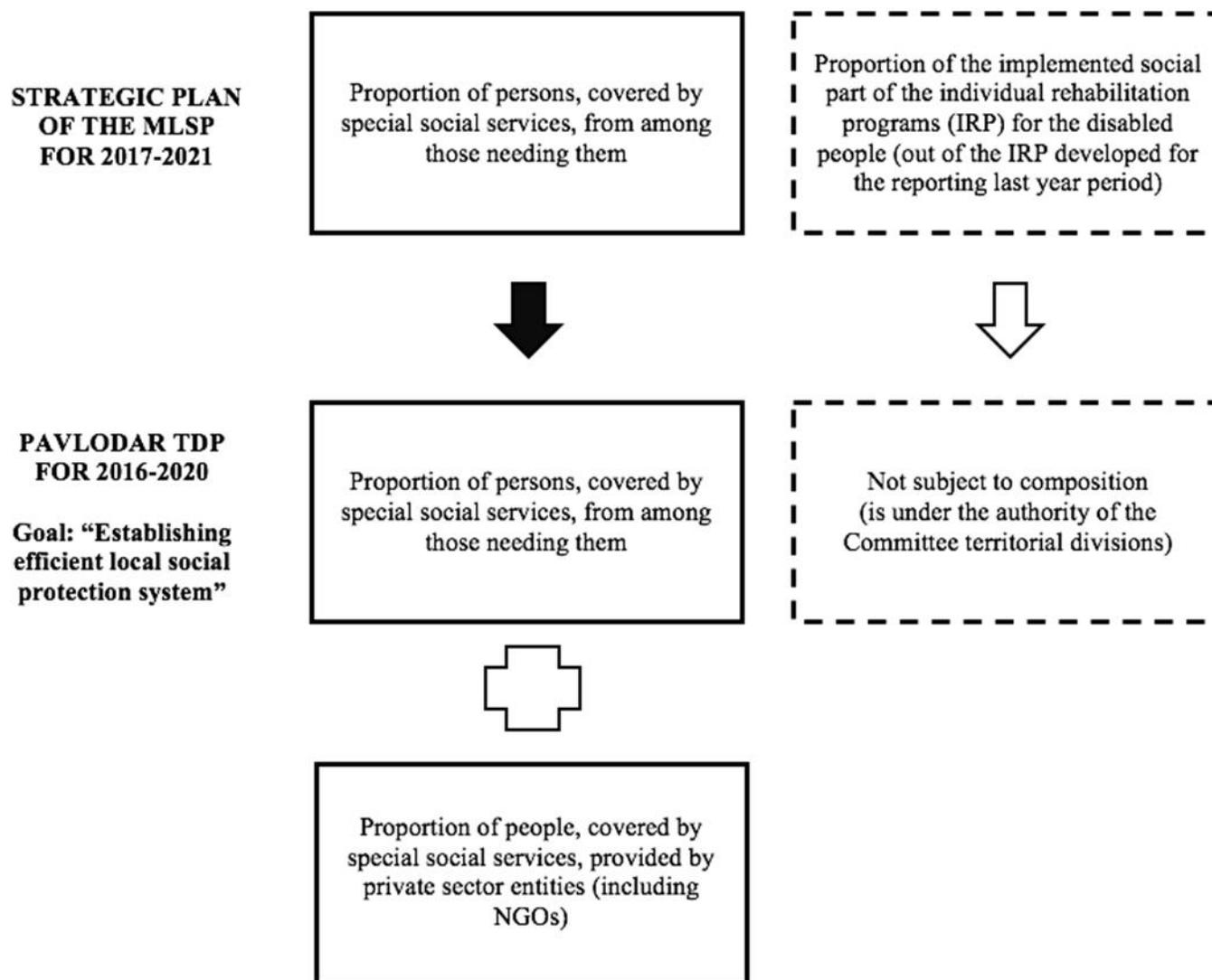
**Decomposition/cascading of goals of the Ministry of labor and social protection of the population and their indicators in the PRT of Pavlodar region**

**Goal 1 " Provision of social security services"**



Source: Authors' own elaboration based on the MLSP Strategic Plan for 2017-2021 and Pavlodar TDP for 2016-2020.

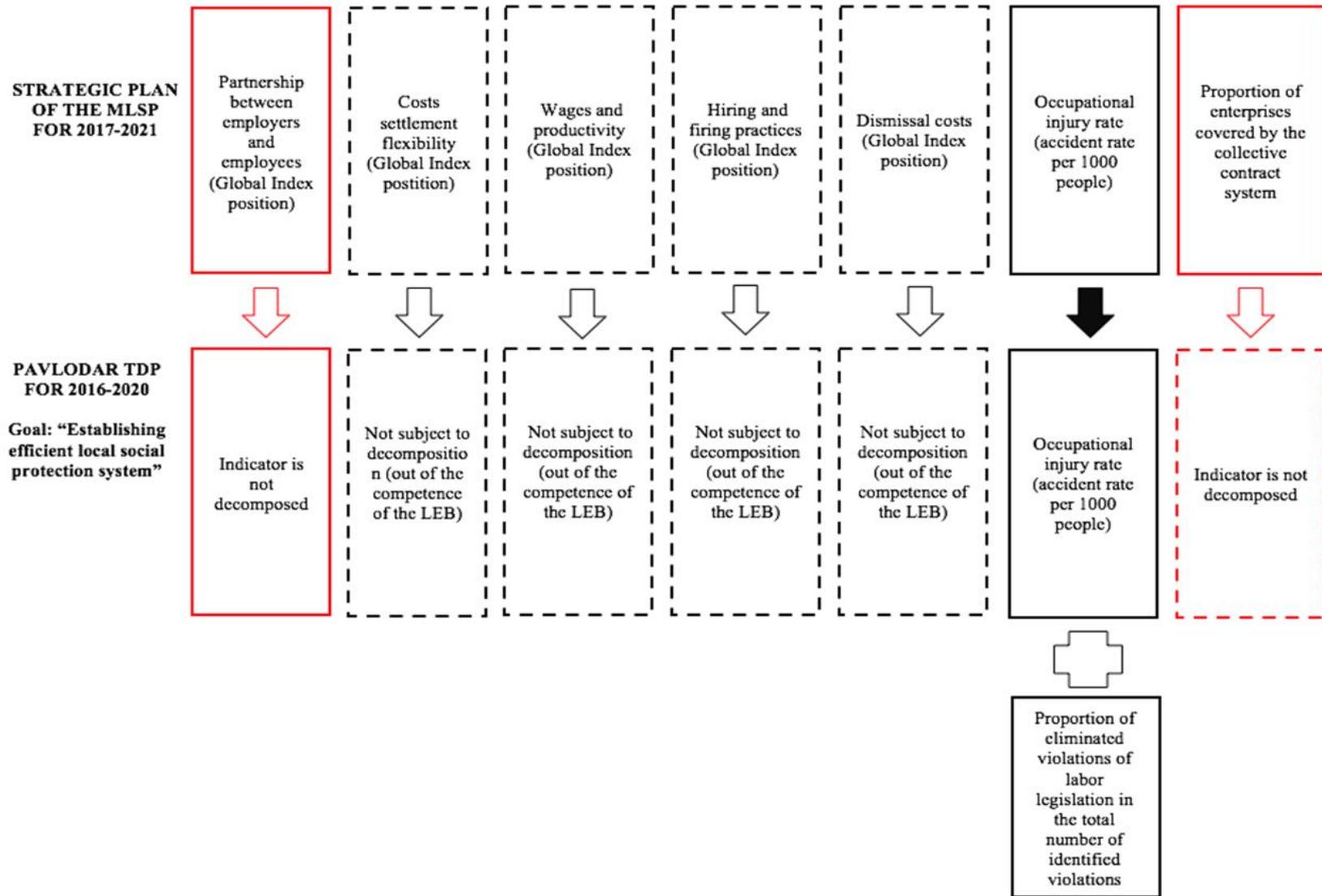
**Goal 2 “Promoting the effectiveness of service delivery to socially vulnerable segments of the population”**



Source: Authors’ own elaboration based on the MLSP Strategic Plan for 2017-2021 and Pavlodar TDP for 2016-2020.



## Goal 4 "Ensuring the implementation of the citizens' labor rights"



Source: Authors' own elaboration based on the MLSP Strategic Plan for 2017-2021 and Pavlodar TDP for 2016-2020.

### **Information on the implementation of the project approach in the activities of government institutions in Kazakhstan**

In accordance with the Protocol of the extended meeting of the Government of the Republic of Kazakhstan dated 24.01.2020, public authorities were instructed to "ensure the introduction of modern approaches to project management to improve the effectiveness of interaction between Central and local Executive bodies, development institutions, including within the framework of industrialization and export development".

List of measures aimed at implementing the order, justification of their feasibility and timing of implementation: making changes to the current version State planning system (SPS) Administrative Procedural code of the Republic of Kazakhstan, laws of the Republic of Kazakhstan "on administrative procedures", "on local public administration and self-government", approval of the Rules of organization of project management, as well as standard regulations for project activities of Central state and local Executive bodies (hereinafter referred to as CSB and LEB).

#### ***Institutional framework for implementing project management approaches***

As part of the draft law on restoring economic growth, amendments to the Administrative Procedural code of the ODEX, the Laws of the Republic of Kazakhstan "On Administrative Procedures", "on local public administration and self-government" have been developed.

The amendments provide for legislative approval of the project-network model in the public administration system, which consists of three levels:

- 1) the portfolio level (the level of the Government and the presidential Administration);
- 2) program level (level of Central and local Executive bodies);
- 3) design level (the level of management of specific projects).

B the draft Law proposes to define the cases of implementation of project activities by government institutions – in the implementation of SGP documents (in accordance with the procedure approved by the authorized body for state planning) and as part of an internal administrative procedure in order to change (improve) its processes.

The law of the Republic of Kazakhstan "On Administrative Procedures" establishes administrative procedures that contribute to improving the organization of management activities, ensuring the smooth functioning of government institutions, and prompt management decision-making.

B this relationship is based on the following principles), tasks, basic concepts (terms) introduction of new methods of management activities of government institutions

based on the principles of project management should be provided for in the legislative acts of the Republic of Kazakhstan, in particular in the above-mentioned Law.

The following approaches to implementing the Strategic development plan of the Republic of Kazakhstan until 2025 (in a new version) based on project management are proposed:

1. Implementation of systemic reforms will be ensured at the portfolio level through the implementation of state and territorial development programs.

2. The implementation of state programs and territorial development programs adopted in the implementation of systemic reforms will be implemented at the program level.

3. At the project level-direct implementation of projects by creating project teams and organizing their activities.

For each system reform proposed to establish governing Boards under the leadership of Deputy Prime Minister of Kazakhstan and Deputy Head of the presidential Administration of RK.

Control over the implementation of systemic reforms and the Strategic development plan of the Republic of Kazakhstan until 2025 in General is proposed to be assigned to the State Commission for the restoration of economic growth.

Work on ensuring the activities of the Governing Councils and coordination offices of the implementing programs are proposed to define a national Project Office that will be based out of the Centre and project management office of the Prime Minister.

At the level of ministries and regional akimats, it is planned to create offices for the implementation of programs, consisting of project personnel.

Each task of the state program/direction of the territorial development program is defined as a basic direction, the implementation of which is provided by the Vice-Minister/Deputy akim of the region-the head of this basic direction.

B in terms of the basic directions, the implementation of relevant projects will be carried out, United into groups of projects.

It is proposed to determine that the projects will be implemented by project teams in accordance with national standards of project activities, as well as the Rules of organization of project activities in the SGP, the Model regulations project activities, to be endorsed in the prescribed manner.

All project activity of state agencies, as well as monitoring orders in the framework of project activities conducted by the Office of the Prime Minister, Administration of President of Kazakhstan will be carried out in a Unified information system of project management. Correspondence inside the Information system is proposed to be given the status of "official", which will significantly reduce the document flow.

Thus, in order to ensure the efficiency and effectiveness of interaction of project participants without bureaucracy and excessive paperwork, a single project methodology will be adopted at all three levels of project management and a single project management

information system will be introduced with the possibility of forming cross - functional project teams by government institutions, civil society and business-.

In order to introduce project management approaches into the activities of CSB s and LEB DEPARTMENTS, amendments to the SRS have been prepared in terms of applying project management tools in the implementation of state programs and territorial development programs, as well as giving the authorized state planning body competence to develop and approve standard regulations for project activities in government institutions.

These changes are included in the draft Government resolution " on amendments and additions to the government decree of the Republic of Kazakhstan dated November 29, 2017 No. 790 "on approval of the state planning System in the Republic of Kazakhstan", developed within the framework of the instruction of the Head of state on improving the state planning system, given at the enlarged meeting of the Government dated July 15, 2019.

3. To regulate the order of organization of project activities CSB and LEB developed the draft Rules of organization of project management at SPS and Model regulations project activities for CSP and LEB, which will be approved after the changes in SPS.

As result, a single methodology, procedure for organizing project activities and standard organizational structures for project management of government institutions will be defined.

The adoption of the above-mentioned legislative and regulatory acts will allow reformatting the activities of government institutions and ensure the transition from vertical, hierarchical structures in public administration to matrix, project-based structures, will create conditions for interaction in the agile format, without excessive bureaucratization of processes.

At the same time, through the project management Information system (PMIS) it will ensure continuous operational monitoring of the achievement of target indicators of state programs/programs of territorial development (KPIs) by decomposing them into indicators of the results of basic directions and groups of projects.

Also, the ISPI will allow evaluating the effectiveness of the implementation processes of these strategic documents themselves based on the process efficiency indicators (PPI) when forming project plans and schedules and evaluating their implementation.

### ***Implementation of the project management information system***

The main tool for project management will be the ISPU, which is a single information automated platform with the function of creating, storing, and transmitting up-to-date and reliable information about initiatives, projects, project groups, and programs included in the SPS, with access at all levels of management.

The Ministry of national economy (hereinafter referred to as the MNE), together with the Ministry of digital development, innovation and aerospace industry and JSC "Zerde", is finalizing work on the development of the ISPU design assignment.

Based on the results of development, after approval of the regulatory framework (Rules for organizing project activities in the SRS) a tender will be held to determine the supplier.

Until the development of the ISPU is completed, the KZ 2050 Cross-platform Information system developed in Kazakhstan on the basis of the EasyProject program is used in a test mode to coordinate the joint activities of project offices 2050, "EasyProject" (at the time of the study - there are more than 10.6 thousand projects in the system, more than 2 thousand participants).

At the same time, the ministries of industry and infrastructure development and the national economy are using the Bitrix-24 information system as an alternative.

### ***Training employees in the basics of project management***

One of the most important issues of successful implementation of project management in public authorities is the training and certification of civil servants in the field of project management competencies.

For this purpose, the presidential Academy of public administration (hereinafter – ASU) has developed a special basic course (including distance courses), and a group of certified trainers-consultants has been trained.

At the first stage, training is offered to all heads of structural divisions and their deputies, as well as heads of departments at both the Central and regional levels (approximately about 1,600 people).

According to preliminary calculations, 720 employees should be trained in the CSB LEB and 935 employees of project offices, involved in the implementation of projects under state programs should be trained in the m & e DEPARTMENT. This category of employees are users of the ISP.

#### ***The result achieved after the activities carried out***

In order to systematize approaches to implementing project management in public authorities, the MNE together with the Center for the development of project management in public administration of ASU (hereinafter referred to as the Center) systematically provides Advisory and methodological support to CSOs and m & E departments.

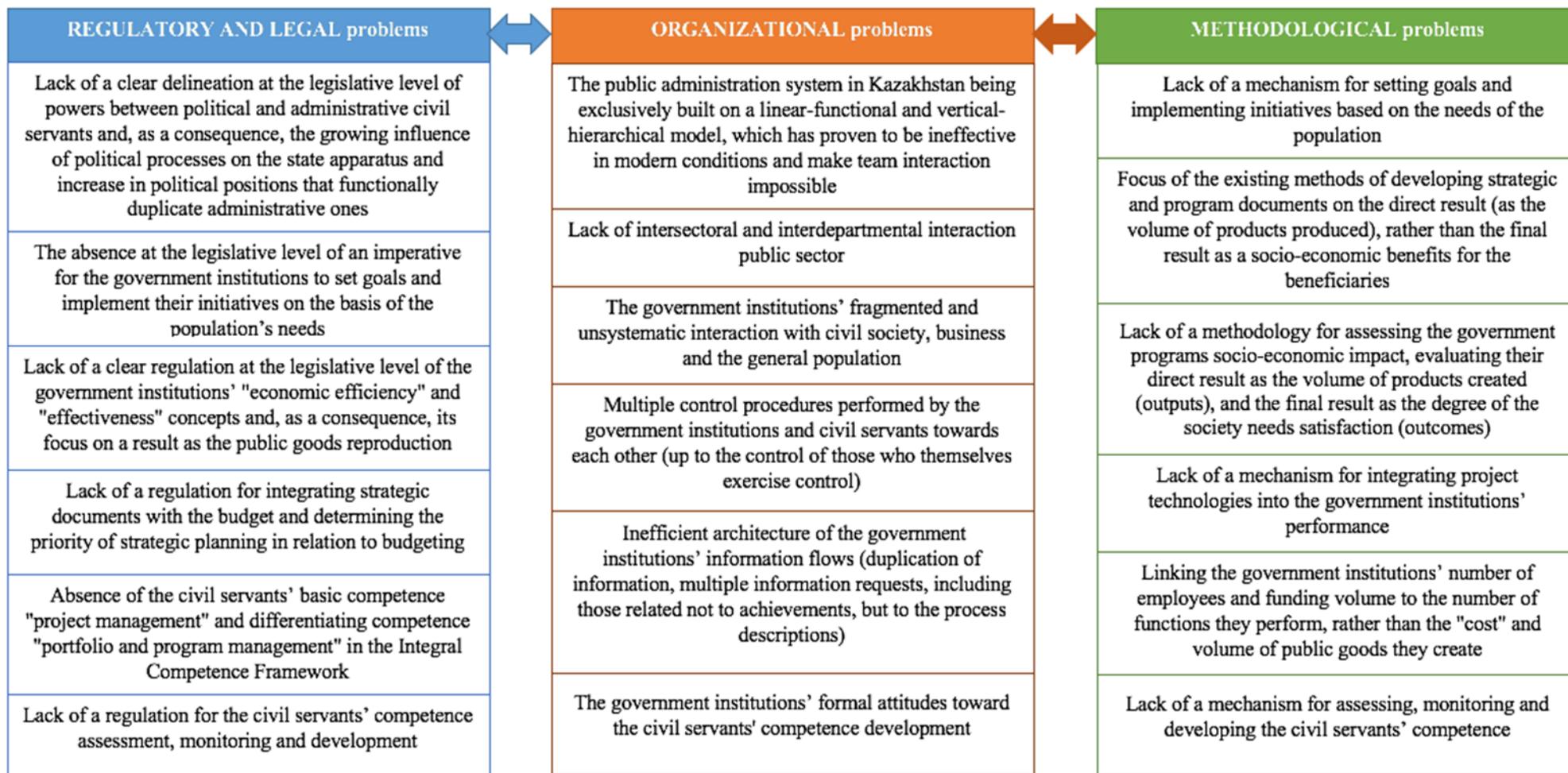
As a result, in accordance with the draft rules for organizing project management, architecture of project offices for program implementation has been developed with 38 government institutions, the composition of offices and Management committees has been formed, and basic directions have been defined.

Activities of previously launched project offices of the Ministry of industry and infrastructure development and the Ministry of energy, as well as akimats of the cities of Nur-Sultan, Shymkent, Aktobe, and Kyzylorda and In order to unify project management

tools in Turkestan regions, they have been brought into line with the requirements of the draft of the above-mentioned Rules.

Currently, using the project approach, the New government agenda for the implementation of the pre – election platform of the Head of state, the state programs of SPIID, "Nurly Zher", "Nurly Zhol", GPRON, GPRZ, "Enbek", "Auy1-El besigi" are already being implemented.

Conceptual problem areas



## Exogenous and endogenous factors of problems

Exogenous factors	Endogenous factors
<p>Historical tradition of positioning the government in Kazakhstan as a social and political influence subject, rather than the society's partner in reproducing public goods</p>	<p>The civil servants' perception of their mission as a high-quality performance of their assigned functions and responsibilities, rather than producing public goods. Positioning of the civil servants not as the citizens' partners, but the government agents</p>
<p>Low level of integrating the outcomes and achievements of the management science into the public administration system in the Republic of Kazakhstan, as well as focus on the technical aspects of ongoing reforms without forecasting and evaluating their effect (reforms for the sake of reforms)</p>	<p>The tradition of the civil servants forming strategies as budget derivatives based on limited resources and, as a result, the strategy focus on survival, rather than mission fulfillment (serving people) and progress. Focusing solely on financial resources and ignoring the value and potential of other types of resources.</p>
<p>Underestimation of the best foreign public administration experience, in particular moving away from administrative and command practices to the network structures and interactive decision making</p>	<p>Lack of a practice of personalizing responsibility for the government programs and budget programs outputs</p>
<p>Orientation of the civil service reforms in Kazakhstan on a service model and the government's interaction with society in a "provider – client" manner at the expense of a model, built on the government institutions' partnership and collaboration with citizens for the purpose of producing public goods, which is successfully exercised by foreign countries.</p>	<p>Low level of the civil servants' "strategic thinking", "change management", "system thinking" competencies, as well as their dynamics assessment practice. Poor project management skills.</p>
<p>Kazakhstan's positioning of public service as a function, and not than a result, due to the "e-government" being declared the main principle of the government institutions' performance, rather than the "open government" (the former ensures maximum consideration of the citizens' requests, while the latter is only a technical tool for the services delivery)</p>	<p>The senior civil servants' perception of agile technologies as a threat to the established "order", and that of the junior ones as a risk of exposing their lack of competence. As a result, civil servants lack proactivity and motivation to partner with stakeholders and involve them (both in the development and implementation of decisions), which are the core of the "Responsive Government" concept.</p>
<p>Low level of the project management technologies penetration in Kazakhstan, including strategic, program and portfolio, risk and change management</p>	<p>Traditionally focusing when optimizing the staff and network of the government institutions on reallocating functions, rather than rethinking their architecture and organizational structure, exploring reserves for the institutions' integration and conversion into the self-regulated entities</p>
	<p>Low level of the of civil servants' trust to each other, lack of coordinated interaction both vertically and horizontally, which hinders the transformation of the government institutions into the self-regulated organizations based on trust and corporate governance values</p>
	<p>Considering an assignment the main component of the government institutions' information flow (which is inherited by the old directive management traditions), rather than information and knowledge transformed into new information and knowledge. Wherein assignments are usually tasks of projects, programs, and portfolios, which makes assignments redundant from the point of view of indicative and project management</p>

Source: Authors' own elaboration.

## The research methodology

### 1. Sociological research

#### *1.1 Method-questionnaire survey of target groups: civil servants of Central and local Executive government institutions (at least 1500 respondents)*

The methodological part of this sociological research is built on the basis of existing scientific and statistical methods that contribute to a deep study and evaluation of the subject of research. The analysis of the obtained empirical data uses the following methods:

*A descriptive research method* (descriptive statistics), which is a system of procedures for collecting, primary analysis and presentation of data and their characteristics. This method presents the results of the study in the form of *tables and graphs*, as well as using *a system of statistical indicators*.

*Regression analysis* is a set of statistical procedures for studying the relationships between random variables in a system of statistical indicators. This type of analysis includes many approaches to modeling and analyzing the relationships between *dependent and independent variables*, most often called *predictors or regressors*. Regression analysis helps you understand how a certain value of *a dependent variable* changes when one of *the independent variables* changes, while the other independent variables remain fixed or unchanged.

*Correlation analysis*, which is a common method for processing statistical data, consists in studying the correlation coefficients between variables. In this analysis, correlation coefficients between a single pair or multiple pairs of features are compared to establish statistical relationships between them. In this case, correlation analysis is used exclusively for analyzing the relationship of quantitative and/or qualitative ordinal features.

These correlation and regression analyses of data were performed *using the STATA program*, which is a professional statistical software package for solving statistical problems in a wide variety of applications. As one of the most common and universal statistical packages, Stata allows you to perform a comprehensive analysis of any data sets.

A total of 14,250 respondents (aged 20 years and above) from 14 regions, as well as from three cities of national significance, including the capital of the country – Nur-Sultan, took part in the survey. Questionnaire see below.

The survey period is from September to October.

**QUESTIONNAIRE  
FOR CONDUCTING THE SURVEY**

***Dear civil servant,***

*The Academy of public administration under the President of the Republic of Kazakhstan together with the Agency of the Republic of Kazakhstan for civil service Affairs and the Astana civil service hab requests You to participate in the study "Improving management in government in the Republic of Kazakhstan".*

*The main purpose of the study is to determine effective regulatory, methodological and organizational measures aimed at improving the quality of labor organization and management in the government institutions of Kazakhstan.*

*Participation in the study is voluntary.*

*The survey is conducted anonymously without specifying Your name, and data confidentiality is guaranteed.*

*At the same time, the results obtained will be used in writing scientific and analytical articles and making recommendations for the government of Kazakhstan.*

*The survey will take 10-15 minutes. We ask you to answer the questions honestly and objectively.*

*If you have any additional questions, you can contact the head of the research group Issenova Gulnara Konstantinovna, Director of the Branch of the Academy of public administration under the President of the Republic of Kazakhstan for the Pavlodar region at any time by email: gulnaraconst@gmail.com or phone number +7 702 103 1553.*

**I. SOCIO-DEMOGRAPHIC data of RESPONDENTS**

**1. Specify your gender:**

- Female
- Male

**2. Enter your age: \_\_\_\_\_**

**3. Specify your education:**

- Secondary (high school graduate)
- Secondary special education (College graduate)
- Higher education (bachelor's degree graduate)
- Master's Degree (master's degree graduate)
- Doctoral Studies (graduate of doctoral, postgraduate, and residency programs)

**4. Specify your family status:**

- Married
- Single
- Divorced
- A Widower/Widow

**5. Specify the number of children in Your family:**

- \* 0   \* 1   \* 2   \* 3   \* 4   \* 5   \* Other (enter)

**6. Specify the availability of housing space:**

- I Live in my own apartment/house
- I Live in a rented apartment/house
- I Live in a hostel/rent a room in an apartment
- I Live with relatives
- Other (enter)\_\_\_\_\_

**7. What is Your monthly family income after pension and other deductions (includes: salary, pension, stipend, grants, and other income)?**

- below 100 thousand tenge
- below 200 thousand tenge
- below 300 thousand tenge
- below 400 thousand tenge
- below 500 thousand tenge
- below 600 thousand tenge
- below 700 thousand tenge
- below 800 thousand tenge
- below 900 thousand tenge
- below 1 million tenge
- above 1 million tenge

**8. In what region do You live in?**

- Nursultan city
- Almaty city
- Shymkent city
- Aktobe region
- Almaty region
- Atyrau region
- Akmola region
- Karaganda region
- Kostanay region
- East Kazakhstan region
- North Kazakhstan region
- West Kazakhstan region
- Pavlodar region
- Mangystau region
- Kyzylorda region
- the Turkestan region
- Zhambyl region

**9. What languages do You speak perfectly (can you read, write, or speak)?**

- Kazakh
- Russian
- English
- Other (enter)\_\_\_\_\_

**10. Your position:**

- Specialist
- Leading specialist
- Main specialist
- Department head
- Deputy head of the Department in MPR
- Head of Department in MPR
- Deputy chief of staff of the MPR
- Chief of staff of the MPR
- Deputy Akim of the district / city/region
- Akim of the district/city/region
- CSB expert
- Chief expert of the CSB

- Head of the CSB Department
- Deputy Director of the CSB Department
- Director of the CSB Department
- Deputy Chairman of the CSB Committee
- Chairman of the CSB Committee
- Vice-Minister of CSB
- The Minister of CSB

## II. PERCEPTION OF PUBLIC SERVICE

### 11. How do you assess the current state of the civil service in Kazakhstan?

Very bad 1 2 3 4 5 6 7 8 9 10 Great

### 12. Identify the main reason why you work in the public service:

- Career growth
- Financial stability
- To establish professional connections
- To gain professional experience
- Get additional benefits-apartment, land, money
- Desire of parents/relatives
- Other (enter)\_\_\_\_\_

### 13. Identify the THREE main problems in the civil service of Kazakhstan:

- High degree of corruption
- Low competence of civil servants
- Lack of competent personnel
- Low motivation of civil servants
- Lack of meritocracy
- Low wages for civil servants
- Lack of public confidence in civil servants
- Uncertainty related to the lack of a clear state policy, development strategy, or specific vision
- Other (enter)\_\_\_\_\_

### 14. Identify the THREE main problems of your government institution:

- High degree of corruption
- Low competence of the staff
- Lack of competent personnel
- Lack of knowledge by employees of the vision, missions, tasks of the government institution
- Lack of meritocracy
- Low competence of the management of the government institution
- Low motivation of civil servants
- Lack of public confidence in civil servants
- Uncertainty related to the lack of a clear state policy, development strategy, or specific vision
- Other (enter)\_\_\_\_\_

### 15. How satisfied are you with the activities of your government institution in terms of achieving the mission and objectives of the government institution?

- Completely satisfied
- More satisfied than dissatisfied
- More dissatisfied than satisfied
- Not fully satisfied
- I can't answer

**16. How satisfied are you with your salary?**

- Completely satisfied
- More satisfied than dissatisfied
- More dissatisfied than satisfied
- Not fully satisfied
- I can't answer

**III. PROFESSIONAL COMPETENCIES OF CIVIL SERVANTS**

**17. How do you assess the overall level of your competence to perform functional duties?**

Very bad 1 2 3 4 5 6 7 8 9 10 Great

**18. Please rate the level of your professional competencies in each area, where 0 – do not have these competencies, 1-very low level and 10 - very high level.**

	0	1	2	3	4	5	6	7	8	9	10
Respectableness											
Customer orientation and information											
Responsibility											
Initiative											
Stress tolerance											
System management											
Change control											
Strategic thinking											
Lead											
Collaboration and collaboration											
Management											
Decision making											
Efficiency											
Self-development											

**19. Evaluate the level of professional competence of your direct supervisor in each area, where 0-does not have these competencies, 1-very low level and 10-very high level**

	0	1	2	3	4	5	6	7	8	9	10
Respectableness											
Customer orientation and information											
Responsibility											
Initiative											
Stress tolerance											
System management											
Change control											
Strategic thinking											
Lead											

Collaboration and collaboration												
Management activities												
Decision making												
Efficiency												
Self-development												

**20. Please rate the level of professional competence of the head of your government institution in each area, where 0-does not have these competencies, 1-very low level and 10-very high level**

	0	1	2	3	4	5	6	7	8	9	10
Respectableness											
Customer orientation and information											
Responsibility											
Initiative											
Stress tolerance											
System management											
Change control											
Strategic thinking											
Lead											
Collaboration and collaboration											
Management activities											
Decision making											
Efficiency											
Self-development											

**21. Please rate the level of professional competence of your colleague who is in the same position as you in each direction, where 0 - does not have these competencies, 1 - very low level and 10-very high level**

	0	1	2	3	4	5	6	7	8	9	10
Respectableness											
Customer orientation and information											
Responsibility											
Initiative											
Stress tolerance											
System management											
Change control											
Strategic thinking											
Lead											
Collaboration and collaboration											
Management activities											
Decision making											
Efficiency											
Self-development											

**IV. MANAGEMENT IN A GOVERNMENT INSTITUTION**

**22. How much do you trust your direct supervisor?**

- Fully trust
- trust Rather than distrust
- rather not trust than trust
- Completely distrustful
- I Can't answer

**23. How satisfied are you with the working conditions in your government institution (availability of a workplace, computer, Internet, paper, necessary office supplies, telephone service, and other technologies)?**

- Fully satisfied
- satisfied Rather than dissatisfied
- more dissatisfied than satisfied
- Completely dissatisfied
- I Can't answer

**24. How satisfied are you with the working atmosphere in the team in terms of interaction with colleagues, relationships with management, etc.?**

- Fully satisfied
- satisfied Rather than dissatisfied
- more dissatisfied than satisfied
- Completely dissatisfied
- I Can't answer

**25. How satisfied are you with your government institution's work schedule?**

- Fully satisfied
- satisfied Rather than dissatisfied
- more dissatisfied than satisfied
- Completely dissatisfied
- I Can't answer

**26. How do you assess the conditions for career growth in your government institution?**

**Very bad 1 2 3 4 5 6 7 8 9 10 Great**

**27. To what extent do you agree/disagree with the following statements:**

	Strongly disagree	Disagree	Neutral	Agree	Completely agree
The state Agency has a professional working atmosphere					
The state Agency evenly distributes responsibilities and the amount of work between employees					
The management always sets specific and clear tasks for the					

	Strongly disagree	Disagree	Neutral	Agree	Completely agree
State. employees avoid taking responsibility for themselves					
The current system of public service does not allow for the development of potential					
The current system of the civil service does not allow for the proposal and implementation of new initiatives of the					
State. employees are engaged in operational activities, and not in solving strategic tasks					
Weak cadres enter the civil service					
It is necessary to reduce the state apparatus of					
the State. employees often deal with issues that are not included in their functional and job responsibilities					
Civil servants often violate the ethics of civil servants, including corruption, because of low wages					
Due to low wages, I had to commit corruption violations					
I spend a lot of time in the civil service at meetings and do not have time to do my main activities					
The number of meetings should be reduced					
Ignorance of the mission, vision and tasks of the state Agency affects their effectiveness					
I do not know what project management is and how it can affect the effectiveness of my work					
I do not know how to assess my contribution to achieving the strategic goal of the state Agency where I work					
Implementation of project management will help to achieve the effectiveness of decisions made					

	Strongly disagree	Disagree	Neutral	Agree	Completely agree
Heads of state agencies are not interested in implementing project management					
Civil servants are not interested in project management training					
Government institutions should work according to the principles of project management					

*Thank you for participating!*

### ***Socio-demographic characteristics of the survey***

Table 1 depicts the participants' socio-demographics data.

**Table 1. General socio-demographic information of the survey participants (N=14250)**

<b>Category</b>	<b>Qty</b>	<b>Percentage (%)</b>
<b>Gender</b>		
Female	8522	59.8
Male	5728	40.2
<b>Age</b>		
from 20 to 29 years	3406	23.9
from 30 to 39 years	4919	34.5
from 40 to 49 years	3310	23.2
from 50 to 59 years	2430	17.1
from 60 years and above	185	1.3
<b>Education</b>		
Secondary education (high school graduate)	15	0.11
Secondary special education (College graduate)	984	6.91
Higher education (bachelor's degree graduate)	12032	84.44
Master's degree (graduate of master's degree)	1176	8.25
Doctoral program (graduate of the doctoral program, candidate of science)	38	0.27
Doctoral program (doctor of science)	5	0.04
<b>Monthly family income after pension and other deductions (includes: salary, pension, scholarship, grants, and other income)?</b>		
below 100 thousand tenge	5015	35.1
below 200 thousand tenge	7400	51.9

below 300 thousand tenge	1241	8.7
below 400 thousand tenge	399	2.8
below 500 thousand tenge	137	0.9
below 600 thousand tenge	26	0.18
below 700 thousand tenge	12	0.08
below 800 thousand tenge	7	0.5
below 900 thousand tenge	5	0.3
below 1 million tenge	3	0.02
above 1 million tenge	5	0.03

### **Regions**

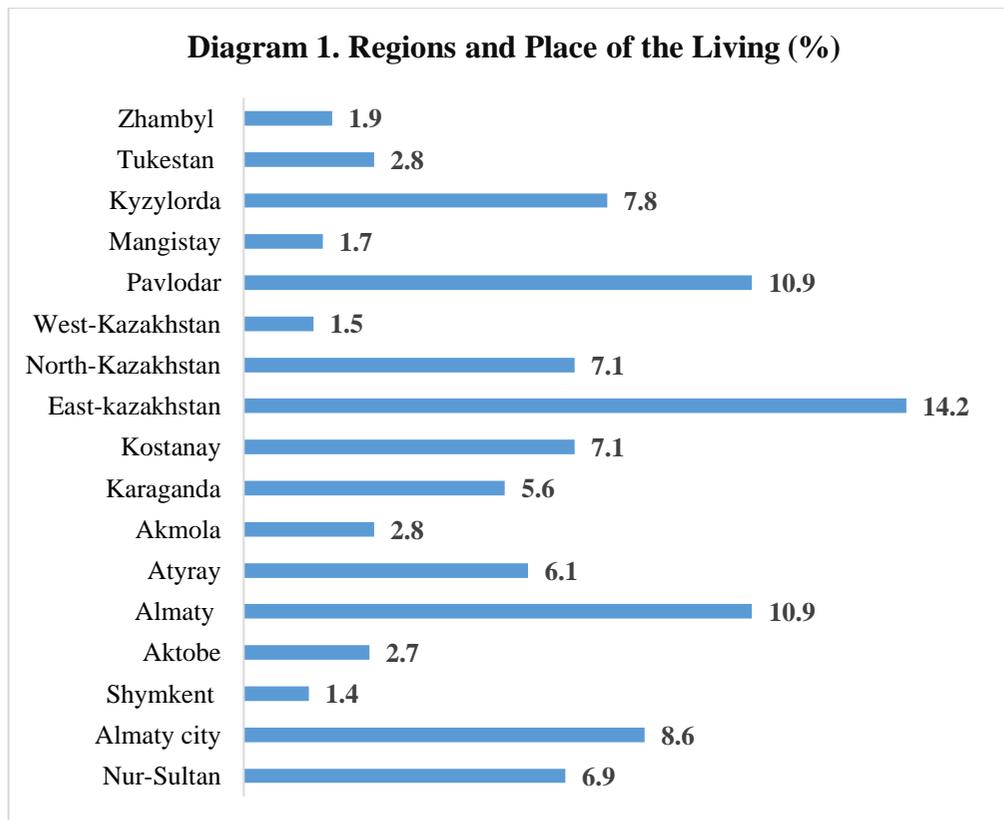
Nur-Sultan	983	6.8
Almaty	1226	8.6
Shymkent	197	0.01
Aktobe region	381	0.02
Almaty region	1554	10.9
Atyrau region	876	6.1
Akmola region	401	2.8
Karaganda region	794	5.5
Kostanay region	1016	7.1
East Kazakhstan region	2024	14.2
North Kazakhstan region	1010	7.08
West Kazakhstan region	219	1.5
Pavlodar region	1560	10.9
Mangystau region	243	1.7
Kyzylorda region	1106	7.7
Turkestan region	395	2.7
Zhambyl region	265	1.8

The largest share of participants is represented by the following regions (Diagr. 1):

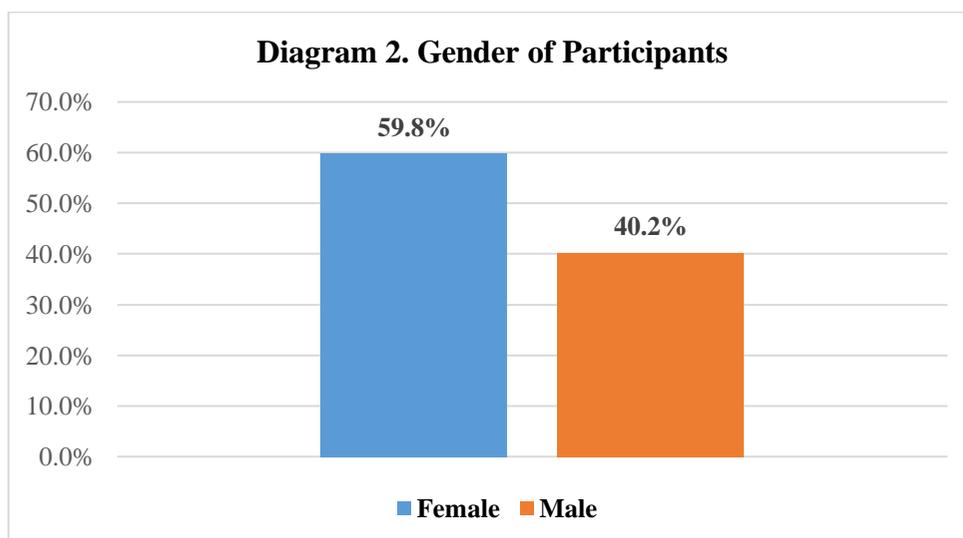
- 1) East Kazakhstan region (14.2% of the total number of respondents);
- 2) Almaty region (10.9% of the total number of respondents);
- 3) Pavlodar region (10.9% of the total number of respondents);
- 4) Almaty (8.6% of the total number of respondents).

At the same time the following regions are listed among the regions with the lowest percentage of respondents as:

- 1) Zhambyl region (1.9% of the total number of respondents);
- 2) Mangystau region (1.7% of the total number of respondents);
- 3) West Kazakhstan region (1.5% of the total number of respondents);
- 4) Shymkent (1.4% of the total number of respondents).



More than half of the survey participants are women (59.8%), which indicates that women are more likely to participate in sociological research than men (Singer et al, 2000<sup>67</sup>; Curtin et al, 2000<sup>68</sup>; Moore & Tarnai, 2002<sup>69</sup>). The results of the study confirm the information of the Agency for civil service Affairs of the Republic of Kazakhstan on the share of women among civil servants: 59.8%<sup>70</sup>.



<sup>67</sup> Singer, E., van Hoewyk, J., & Maher, M. P. (2000). Experiments with incentives in telephone surveys. *Public Opinion Quarterly* 64: 171–188.

<sup>68</sup> Curtin, R., Presser, S., & Singer, E. (2000). The effects of response rate changes on the index of consumer sentiment. *Public Opinion Quarterly* 64: 413–428.

<sup>69</sup> Moore, D. L., & Tarnai, J. (2002). Evaluating nonresponse error in mail surveys. In: Groves, R. M., Dillman, D. A., Eltinge, J. L., and Little, R. J. A. (eds.), *Survey Nonresponse*, John Wiley & Sons, New York, pp. 197–211.

<sup>70</sup> National report on the state of public service in the Republic of Kazakhstan for 2019, p. 4

Scientists also note that participation rates in sociological research are significantly influenced by factors such as educational level, economic status, age, etc. (Singer et al, 2000; Curtin et al, 2000; Moore & Tarnai, 2002).

According to Table 1, citizens aged 30 to 39 (34.9%) participated the most in the survey, followed by citizens aged 20 to 29 (23.9%), as well as from 40 to 49 (23.2%). This fact also confirms the rating of the Agency for civil service Affairs, according to which the average age of civil servants is 39 years, including age groups: under 30 years – 23 %, from 30 to 40 years – by 34.1 %, from 40 to 50 years – 22,2 %, from 50 years and older is 20.7 %<sup>71</sup>.

By education level, 92.69% of respondents with higher education dominate the most, including: specialists or bachelors (84.44), as well as masters (8.25%). The results also coincided with the data of the Agency for civil service Affairs of 92%.<sup>72</sup>

In terms of level of wages received in the public service, 35.1% of the respondents get salary below 100 thousand tenge, 51.9% in size below 200 thousand tenge, 0.03% (or 5 people) is above 1 million tenge.

## ***1.2 Method: in-depth interviews with experts in the field***

In accordance with the schedule, 15 in – depth interviews were conducted in Almaty, Almaty region and Pavlodar, including 12 offline, and on the ZOOM platform in online mode-3 participants.

The average duration of in-depth interviews was 50 minutes. during the discussion, an audio recording was made, about which the participants were warned in advance and expressed their agreement with this condition.

Methodology: transcript content analysis.

See the interview protocol below.

### **The interview protocol**

**Name of the study:** Improving management in government in the Republic of Kazakhstan

**Researchers:** Academy of public administration under the President of the Republic of Kazakhstan

**Purpose of research:** Identification of effective regulatory, methodological and organizational measures aimed at improving the quality of labor organization and management in the government institutions of Kazakhstan

#### ***Dear participant!***

We would like to thank you for agreeing to participate in a more in-depth interview in our research. As we mentioned earlier, our research aims to examine the current situation on management issues in your government body.

The ultimate goal of this study is to develop recommendations for improving Improvement of government in the Republic of Kazakhstan management in the government institutions of Kazakhstan.

Our interview today will last approximately 30 to 40 minutes, during which I will ask you various questions about public service, as well as ask your opinion on certain statements.

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<sup>71</sup> National report on the state of public service in the Republic of Kazakhstan for 2019, p. 4

<sup>72</sup> There, page 5

Your responses are confidential and will only be used as part of this research. The interview itself is conducted anonymously, no one will know your name and other data.

In this regard, you can openly and objectively answer all questions.

You can also stop the interview at any time without any consequences or penalties.

You consent to participate in the interview and to the audio recording of this interview. Do you agree? \_\_\_ Yes \_\_\_ No.

*If not: thank you for letting me know. I'll just take notes of our conversation.*

Before we start the interview, do you have any questions?

If you have any questions, you can ask them at any time. Now let's start the interview.

### **Questions**

1. Tell us about the mission, vision and objectives of your public authority.
2. Describe your job responsibilities? What are the main functions you perform in the context of your government's strategy?
3. Describe your short-term task and the main components of this task. How do you define this task and how do you perform it?
4. Describe your most long-term task and the main components of this task. How do you define this task and how do you perform it?
5. Do you think a civil servant should know about the mission, vision and tasks of the government institution and the industry as a whole, about the country's strategic documents? Does ignorance of these documents affect the effectiveness of civil servants in their work? How do you think this information should be received by civil servants?
6. How much time do you think it takes to produce a high-quality intellectual product (report, letter, program, bill, NLA, development strategy, etc.)?
7. Tell Us about the structural/regulatory restrictions that you face in the process of working.
8. What powers do you delegate to your direct subordinates? Briefly describe what is required of the subordinate to work effectively in the context of delegated tasks/their authority. Do your subordinates understand the tasks/ assignments you delegate? If not, what is the difficulty? How well does subordinate A, B, C cope with the tasks delegated to him/her? What are the barriers? Can your subordinate's work be done simply by following a prescribed plan of action? Does your subordinate's work require data collection and subsequent analysis? Does the work of your subordinate require consistent processing of information in the process of choosing an action plan that requires taking into account current realities and potential prospects?  
*If the employee does not have subordinates, the question sounds like this:  
What powers do your Superiors delegate to you? Briefly describe what is required of You to work effectively in the context of delegated tasks/your authority, etc.*
9. How do you assess the professional atmosphere in your government institution? Describe in detail the weaknesses and strengths of the team.
10. What problems exist in the government institution to achieve the goals and objectives of the state. organ?
11. How satisfied are you with your Manager's professional competencies/your employees? Describe your weak and strong competencies.
12. What business processes in the state Agency would you like to change? Why?
13. Specify the reasons why you work for the state service? Go into more detail.
14. How do you feel about the opinion that it is necessary to reduce the number of civil servants? Elaborate on your arguments.
15. Is there a meritocracy in your government institution? Provide examples and arguments for your opinion.
16. How familiar are you with project management? How do you assess the principles of project management? Should government institutions work according to the principles of project management? Tell us about the strengths and weaknesses of this approach.
17. Who do you see yourself in 5-10 years

18. What is your vision of your role in the context of your government's strategy?

This concludes our interview. Do you have any additions or suggestions?

Thank you for participating!

### ***1.3 Expert assessments of representatives of government institutions, civil sector and business in Nur-Sultan, Almaty, Pavlodar***

The focus group scenario see below.

#### **FOCUS GROUPS SCENARIO**

**Research title:** Improving management in government in the Republic of Kazakhstan

**Researchers:** Academy of public administration under the President of the Republic of Kazakhstan

**The purpose of the study:** to determine effective regulatory, methodological and organizational measures aimed at improving the quality of labor organization and management in the government institutions of Kazakhstan

**Participants:** representatives of government institutions, civil society and business (8-10 people). Participants must be homogeneous in composition (socio-demographic characteristics, professional experience, age, etc.)

**Moderator:** expert in the field of organizing such events

**Duration:** 1 hour 30 minutes-2 hours

**Conditions for conducting a focus group:**

Participants should be experts in this field, but they should not prepare for this focus group in advance.

The atmosphere should be expert, friendly, and trusting.

Due to COVID-19, a focus group can be held on an online platform if all the requirements are met:

- 1) Good sound, video camera included;
- 2) High-Speed Internet;
- 3) The Participant is in a separate room, where he does not interfere with the concentration of extraneous sounds, people and other objects;
- 4) The Phone must be disconnected;
- 5) During the focus group, the participant cannot go to another room, perform other work in parallel;
- 6) The Participant actively participates in discussions and freely expresses his / her opinion;
- 7) The Parties consent to the recording of the discussion.

#### **PART ONE**

##### ***1. The Speech of the moderator***

The moderator explains the main purpose of the event, sets a specific framework for discussion, and describes the rules and format.

##### ***2. Representing each other***

Each participant introduces themselves (up to 1 minute). Tells about their achievements and work experience. Indicates the name as it prefers to be called during discussions.

### *3. Introductory conversation*

This section discusses General issues related to the research topic. In this discussion, it is necessary to establish contact with each participant and establish a trusting relationship.

What is the management of the public authority? What components reflect the essence of government institution management?

*Reference:* The word "management" is translated as "management". In turn, the verb manage (manage) originated from the root of the Latin word manus (hand). We are talking about people management, which involves achieving the goals that are set using labor and explanation of behavior. Many scientists consider management as a type of human activity that represents a system of functions (planning, forecasting, organization, coordination, accounting, control, motivation). These functional components of management reflect its essence.

In other words, the management of a public authority is a system that provides the creation of legal, organizational and other conditions for achieving goals, tasks, forming the structure, organization of activities, as well as the life of human resources in public authorities (Shemyakov A.D. Fundamentals of state and municipal management: a textbook / A.D. Shemyakov. - Donetsk: DSUM, 2016. - 505 p.)

## **PART TWO**

*Deep interview. Questions from General to specific.*

The goal is to get all the necessary information.

Each participant's speech (1-2 minutes) on a specific issue. We need everyone to Express their reasoned opinion. Monosyllabic responses are not accepted.

Is management important in a government institution?

What difficulties / difficulties exist in the government institution for effective management?

How much does the management of a government institution affect the efficiency of employees?

How well is the balance of authority, responsibility, and resources maintained in government institutions? Are there divisions of authority between political and administrative civil servants?

How correlated are the staffing levels of the government institution and the job responsibilities of employees with the strategic objectives and functions of the government institution?

What conditions should be created for civil servants in the government institution to achieve their goals and objectives?

Do you think a civil servant should know about the mission, vision and tasks of the government institution and the industry as a whole, and about the country's strategic

documents? Does ignorance of these documents affect the effectiveness of civil servants in their work? How do you think this information should be received by civil servants?

Do I need to implement project management principles in a government institution? Does this approach affect the efficiency and effectiveness of government employees? How can these principles change the management of a government institution?

What principles of the corporate sector can be implemented in the management of a state Agency?

How to achieve transparency in the activities of a government institution? Does a government institution need to publish data (open data), disclose information about its activities, and involve NGOs, the public, scientists, and experts in solving industry issues? How is this supposed to happen?

### **PART THREE**

*Conducting an online survey.*

Show the survey results. Discuss the survey results.

The online survey consists of the topics/questions that were discussed. 5-6 questions to show the uniformity or diversity of the participants' opinions.

### **PART FOUR**

*Discussion of the case on this topic.*

Show a video or image or an article from the media related to this topic and discuss it.

The information should be the exact opposite of what was expressed by the participants. It is necessary to create uncertainty, to show how it works in reality. Participants will either agree or use other real cases to prove their previous position.

### **PART FIVE**

Final opinions

Conclusions

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**2. Study of secondary data (other studies conducted earlier on the territory of the Republic of Kazakhstan) and best practices of public management in other countries, the OECD, the world Bank**

**3. Organizational and functional analysis of the Ministry of Labor and Social Protection of the Population of the Republic of Kazakhstan (hereinafter – MLSP):**

**The purpose of the study** is to develop measures to improve the practice of strategic planning at different levels of the state planning system of the Republic of Kazakhstan and to optimize the functions and staffing of government institutions.

The following tasks are subordinate to achieving **the research goal:**

1. Overview of the structure of the departmental vertical of the MLSP.

2. Analysis of practice and identification of problems in the field of strategic planning in the field of labor, employment, social protection of the population and migration, in particular, the translation of goals to different levels of management.

3. Review of the functions of organizations in the departmental vertical of the MLSP and identify insufficient, redundant, and duplicative functions.

4. Development of recommendations for improving strategic planning, optimizing functions and staffing levels of government institutions.

The conduct of the study review of staffing organizations departmental hierarchy of the MLSP, its relationship with the Registry of civil servants, qualification requirements in accordance with the Single frame of the basic and differentiating competencies for administrative civil servants of corps "A" and "B" of the Republic of Kazakhstan is not possible due to the fact that it is necessary to analyse the documents (staffing, job descriptions, qualification requirements for positions) provided by the MLSP was not.

The materials used for the study are mainly legal acts and documents published in open access on the Internet (electronic code of legal acts of Kazakhstan [www.adilet.zan.kz](http://www.adilet.zan.kz), Open data portal [www.data.egov.kz](http://www.data.egov.kz), portal of government institutions [www.gov.kz](http://www.gov.kz)).

The study was conducted using the following **methods of analysis**:

- comparative;
- correlative;
- functional;
- systemic;
- critical.

The subjects of assessing the quality of strategic planning are determined by the following criteria:

- 1) practice of converting state strategic goals into strategic goals of the MLSP;
- 2) practice of translating the Ministry's strategic goals to the regional level;
- 3) correlation between strategic goals and target indicators of the Ministry's Strategic plan and territorial development Program.

The organizational and functional analysis of the MLSP is based on the Methodology for conducting sectoral (departmental) functional reviews of the activities of government institutions, approved by the Order of the Minister of National Economy of the Republic of Kazakhstan dated February 27, 2017 No. 84 [44], and includes:

- 1) inventory and classification of functions of organizations in the departmental vertical of the MLSP in accordance with the Law "On Administrative Procedures»;
- 2) analysis of functions for their insufficiency, redundancy, and duplication.

The phenomena identified in the course of the study were evaluated in terms of their consistency and potential relevance for other government institutions and sectors of the economy, which is intended to promote the widest possible implementation of the recommendations developed.

#### **4. Analysis of the quality of development of state programs of the Republic of Kazakhstan in the field of employment**

**The purpose of the study** is to develop measures to improve the practice of developing state programs of the Republic of Kazakhstan and ensure the unity of approaches and methods to determine the goals and target indicators of program documents within one industry.

The following tasks are subordinate to achieving **the research goal**:

1. Analysis of setting goals of state programs in the field of employment of the population for their correctness and unambiguity of the terminology used.
2. Assessment of the correlation between the goal and target indicators of state employment programs.
3. Comparative analysis of the content of state programs in the field of employment of the population.
4. Development of recommendations for improving the practice of developing state programs and ensuring their orientation to socio-economic results.

The materials used for the study are mainly legal acts and documents published in open access on the Internet (electronic code of legal acts of Kazakhstan [www.adilet.zan.kz](http://www.adilet.zan.kz), portal of government institutions [www.gov.kz](http://www.gov.kz)).

The study was conducted using the following **methods of analysis**:

- comparative;
- correlative;
- systemic;
- critical.

The subjects of analysis of the quality of development of state programs in the field of employment of the population are:

- 1) the degree of unambiguity of terminology used by state programs in the field of employment of the population;
- 2) degree of orientation of goals and target indicators of programs to achieve socio-economic results;
- 3) risks of duplication of programs with each other in terms of tasks and indicators of results.

In the absence of open data on the budget of expenditure of the above programmes, as well as the failure to provide the project team requested data by MLSP, to link the strategic goals of the programs, budgeting was not possible.

#### **5. Organizational and structural analysis of government institutions, balance of powers, responsibilities and resources**

Method: modeling the organizational structure based on the analysis of the following factors:

- Stratification (number of levels);
- Formalization (bureaucratic style);
- Complexity of the organizational structure;

The term stratification means stratification. As a result of the stratification of the data according to their characteristics are divided into groups or layers (strata).

Identifies:

- Manageability in management, as the degree of response of the performer to managing influences;
- Manageability rate – the number of employees per Manager to achieve effective manageability;
- The degree of manageability is determined by the speed and form of the performer's response to managerial decisions made by the Manager;
- Manageability level – the number of performers who report directly to the Manager.

See the interview protocol below.

### **The interview protocol**

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**Researchers:** Academy of public administration under the President of the Republic of Kazakhstan

**Purpose of research:** identification of effective regulatory, methodological and organizational measures aimed at improving the quality of labor organization and management in the government institutions of Kazakhstan.

*Dear participant!*

We would like to thank you for agreeing to participate in a more in-depth interview in our research. As we mentioned earlier, our research aims to examine the current situation on management issues in your government body.

The ultimate goal of this study is to develop recommendations for improving management in the government institutions of Kazakhstan.

Our interview today will last approximately 30 to 40 minutes, during which I will ask you various questions about public service, as well as ask your opinion on certain statements.

Your responses are confidential and will only be used as part of this research. The interview itself is conducted anonymously, no one will know your name and other data.

In this regard, you can openly and objectively answer all questions.

You can also stop the interview at any time without any consequences or penalties.

You consent to participate in the interview and to the audio recording of this interview. Do you agree? \_\_\_ Yes \_\_\_ No.

*If not: thank you for letting me know. I'll just take notes of our conversation.*

Before we start the interview, do you have any questions?

If you have any questions, you can ask them at any time. Now let's start the interview.

### **Questions**

1. Tell us about the mission, strategy, vision and objectives of your public authority.
2. Describe your job responsibilities. What are the main functions you perform in the context of the Ministry's strategy?
3. Describe your most long-term task (assignment/task) and the main components of this task.
4. According to your experience, how long does it take to produce a high-quality intellectual product (report, letter, program, bill, NLA, development strategy, etc.)?

5. How long does it take you/your subordinate to produce the most complex, relatively time-consuming, intelligent product (strategy, program)
6. Tell us about the methods used in the production process of the above-described intelligent product.
7. Tell us about the structural / regulatory constraints that you face in the course of your work.
8. What powers do you delegate to your direct subordinates? Briefly describe what is required of the subordinate to work effectively in the context of delegated tasks/their authority.
9. Do your subordinates understand the tasks/ assignments you delegate? If not, what is the difficulty?
10. How well do your direct subordinates at different levels cope with the tasks delegated to them? What are the barriers?
11. Can your subordinate's work be done simply by following the prescribed action plan?
12. Does your work/ your subordinate's work Require data collection and subsequent analysis?
13. Does your work / the work of your subordinate require consistent processing of information in the process of choosing an action plan that requires taking into account current realities and potential prospects?
14. Does your work/ the work of your subordinate Require high-quality interaction in the format of several projects at the same time
15. Does your work / the work of your subordinate require constant monitoring and evaluation of how the current project affects the system to which it is integrated, and implies consistent direct actions that require an assessment of the immediate consequences in the context of the entire system?
16. Does your work/ the work of your subordinate require continuous screening of the environment of the government institution to identify factors that are significant for the current project / program and the impact on this factor(s)?
17. Does the work performed by you/ your subordinates Require the development of national or global strategic options and the creation of organizational units through acquisitions / mergers (Jaques, 2006, pp. 72-73)
18. Who do you see yourself in 5-10 years
19. What is your vision of your role in the context of the Ministry's strategy?

This concludes our interview. Do you have any additions or suggestions?

*Thank you for participating!*