



# ASEANSAI TRAINING COMMITTEE FRAMEWORKS



Republic of the Philippines  
Commission on Audit

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# **ASEANSAI COMPETENCY FRAMEWORK**

## BACKGROUND

Since its inception in 2011, the ASEANSAI has envisaged a community of SAIs fostering technical partnerships in the field of public sector auditing to aid in the enhancement of good governance within the region. Moreover, as ASEANSAI members are also members of ASOSAI and INTOSAI, synergies can be created with other INTOSAI Regional Working Groups.

The ASEANSAI Strategic Plan for 2022-2025 identifies four (4) Strategic Goals (SGs)<sup>1</sup>, which include: (SG 1) *Fostering capacity development among its member SAIs*, and, (SG 2) *Intensifying the knowledge sharing among member SAIs and other stakeholders*. These two Strategic Goals highlight specific Strategic Objectives (SOs)<sup>2</sup>, to wit: (1) *modernizing and enhancing the quality of training activities that practically meet the needs of member SAIs*; and (2) *enhancing member SAIs' capacity in achieving quality, effective and efficient operations*. To help execute these strategic objectives, the Training Committee (TC) of ASEANSAI has committed to their Work Plan for Biennium 2024-2025 to develop a Competency Framework and Model *inter alia* in order to provide an organizing structure and guidance in areas of strategic resourcing, talent development, performance management, succession planning and, rewards and recognition within the individual SAIs.

This aligns with the recently introduced ISSAI 150, which highlights the fundamental importance of recruitment, development, evaluations, and retention of the workforce, as well as how the workforce's quality, integrity, and competence determine the ability of the SAI to fulfill its mandate. Furthermore, it complies with the principle of ISSAI 100 that necessitates the establishment and maintenance of a system for competency management on an organizational level of each SAI.<sup>3</sup> A competency framework will serve as an effective means to outline the competency requirements for each function and elucidate the specific behavioral indicators in order to enable a more facilitative assessment and monitoring of competencies, thereby helping ensure the competence of SAIs.

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<sup>1</sup> ASEANSAI Strategic Plan 2022-2025, pg.10

<sup>2</sup> Ibid.

<sup>3</sup> ISSAI 100, paragraph 36

## INTRODUCTION

The development of the ASEANSAI Competency Framework emphasizes that fulfilling the ASEANSAI's strategic goals and objectives necessitates determining, enhancing, and maintaining the professional competencies of the member SAIs by allocating more resources, expanding its capacity development activities, and adapting to better learning and development industry standards.

In fulfillment of two of the organizational requirements identified in ISSAI 150, to wit: *Organizational Requirement 1: A SAI shall determine and document relevant competencies required for all auditors to fulfill the SAI mandate*<sup>4</sup>, and *Organizational Requirement 4: A SAI shall develop and implement the means for assessment of competencies and following up of auditor development progression or self-development on a periodic basis*<sup>5</sup>, and in compliance with the INTOSAI Competency Framework<sup>6</sup> that is cited by the INTOSAI GUID 1950<sup>7</sup>, the ASEANSAI Competency Framework outlines and articulates defined competencies (cross-cutting/core, leadership, and functional competencies) that are essential to effective performance as a public sector auditor. Competence is the knowledge, skills, and personal attributes critical to successful job performance, where: a) knowledge is theoretical or practical understanding of a topic; b) skills are the abilities to accomplish specific tasks; developed through learning or experience; and c) personal attributes are the mind-set; qualities; characteristics and traits of a person.<sup>8</sup>. These are observable behaviors that can be measured and evaluated and are considered essential in the definition of job requirements, recruitment, learning and development, and retention of the workforce. A competency framework is a conceptual model that details and defines the competencies expected of an individual auditor, group or team for a specific task and for a specific position within an organization.<sup>9</sup> The identification of competencies for the ASEANSAI Competency Framework was informed by ASEANSAI Core Values and the INTOSAI Competency Framework. Moreover, the primary composition of the ASEANSAI Competency Framework was benchmarked from SAI Philippines' initiatives relating to Competency-Based Human Resource (CBHR) Management, which involved a technical working group with wide representation from all the operational functions of SAI Philippines.

In the ASEANSAI Competency Framework, there are three (3) categories of competencies, namely, Core, Leadership, and Functional. Core Competencies outline the behaviors that should be displayed by all officials and employees of the SAI. On the other hand, Leadership Competencies only apply to middle management and executive-level personnel, as these are competencies required in performing managerial work and processes. Lastly, Functional Competencies are those required to perform tasks within the scope of practice of a specific job group or function. This competency group is specifically limited to the functions that are deemed common across the member SAIs, which are Audit function and Human Resource (HR) Management function.

The ASEANSAI Competency Framework identifies a total of 21 competencies across the three categories (core-3, leadership-3, and functional-15). The identified competencies are intended to be an actionable set of standards that can help guide member SAIs and their employees in maximizing work performance and upholding ISSAI standards or national standards in their role as public sector auditors. However, it is critical to highlight that this framework is not a one-size-fits-all tool and that its composition and development have limitations since it is based on a literature review rather than mixed methods research (quantitative and qualitative methods). Nevertheless, this Competency Framework can serve as a

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<sup>4</sup> ISSAI 150, paragraph 15

<sup>5</sup> Ibid, paragraph 34

<sup>6</sup> INTOSAI Competency Framework for Public Sector Audit Professionals at Supreme Audit Institutions (July 2019)

<sup>7</sup> INTOSAI Guid 1950, Annex, pp. 21-37

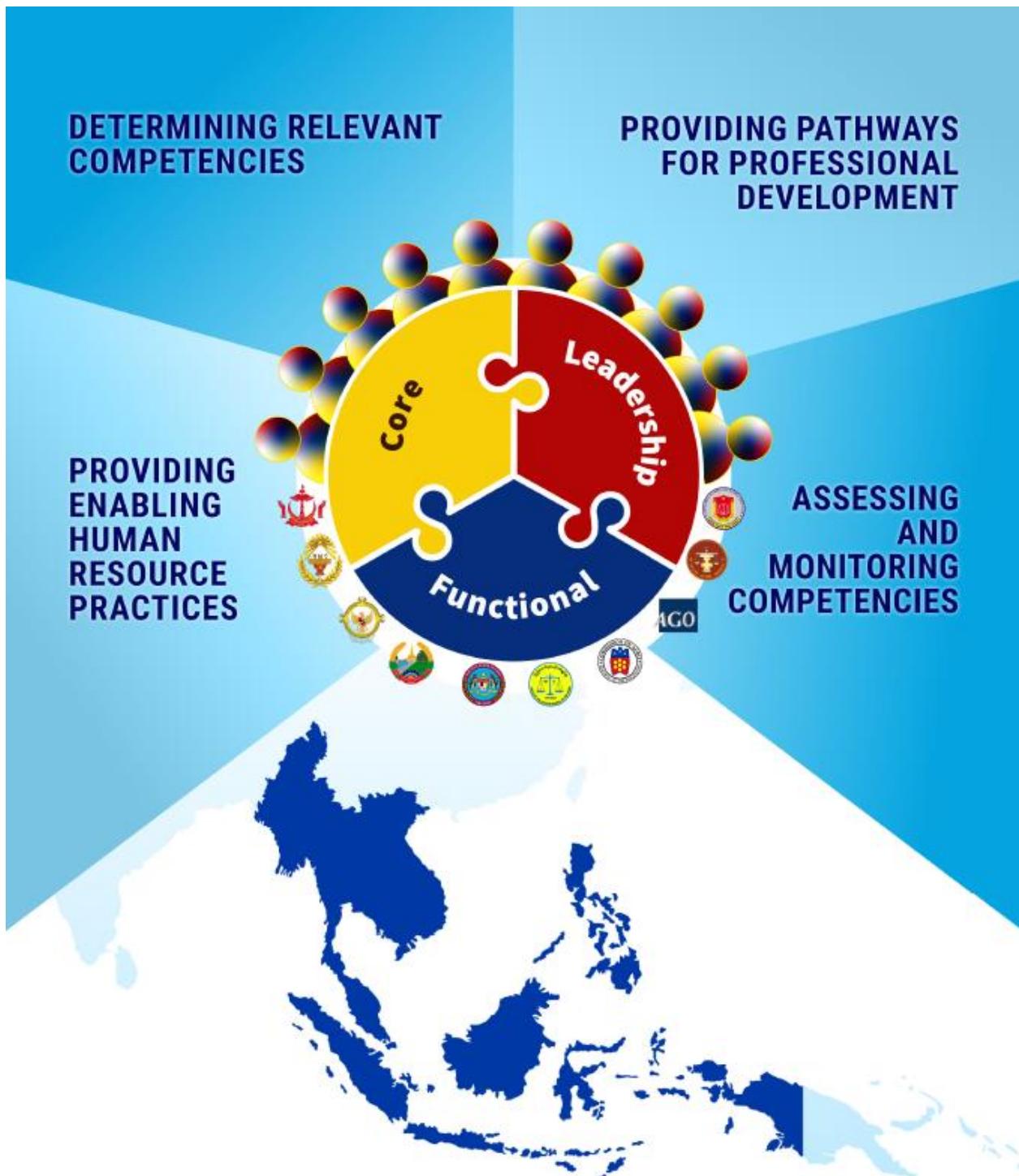
<sup>8</sup> ISSAI 150, paragraph 12

<sup>9</sup> ISSAI 150, paragraph 13

guide for ASEANSAI members in commencing their respective journeys toward a Competency-Based HR System. In view of this, it is recommended for the member SAIs to focus on the following key insights which may further aid in the development of their Competency Frameworks, to wit (1) benchmarking on high-performing incumbents through behavior-based interviews and surveys; and (2) conducting content/thematic analysis of interview and survey results to delineate behavioral indicators to different levels of progression. The identified competencies in this Framework may be customized by member SAIs depending on their specific needs and several factors such as the member SAI's mandate, vision and mission, structure, organization size, culture, enabling legislation, and the career levels of their employees<sup>10</sup>.

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<sup>10</sup> ISSAI 150, paragraph 14



# ASEANSAI

## COMPETENCY FRAMEWORK

## THE FRAMEWORK DESIGN:

Several factors were considered in coming up with the final designs of the ASEANSAI Competency Framework and these are as follows:

1. **ISSAI 150 Organizational Requirements** - It is in the topmost portion of the design and is represented by the blue monochromatic color scheme with a ray-like design which shows that the underpinning responsibilities of SAIs toward auditor competence encompasses to all.
2. **Core, Leadership and Functional Competencies** – In the center of the organizational requirements are the three categories of competencies – core, leadership and functional, represented by three puzzle pieces showing the inter-connectivity of the competencies with one another. Its shape follows the outline of a person which symbolizes that these competencies are encompassing in all the personnel of the ASEANSAI organization.

Core competencies represent a minimum set of competencies that all auditors within a specific discipline possess. In INTOSAI terms, core competencies refer to the knowledge, skills and personal attributes that bind the community together as public-sector auditors. These are described based on the ISSAIs or other audit standards adopted by a SAI, as envisaged in ISSAI 100.<sup>11</sup>

Additional competencies are those competencies that make every SAI unique. It is generally accepted throughout the INTOSAI community that, as much as SAIs share commonalities in the work that they do to make a difference to the lives of citizens, they have different mandates, enabling legislation, public finance management considerations, needs and methodologies and practices. It is up to each individual SAI to define these additional competencies and combine them with the core competencies into a unique SAI-specific competency framework.<sup>12</sup>

Being largely IFPP based, the framework defines individual core competencies that are universally applicable across SAIs' mandates. In addition, additional competencies may be needed to suit the specific mandate, needs or purpose of each individual SAI.

*Core Competencies* relate to SAI's core values, mission, vision, and strategies and are applicable to all officials and employees across SAIs offices. They include Building Enabling Partnerships, Delivering Service Excellence, and Exemplifying Integrity.

<sup>11</sup> G UID 1950, Introduction (10)

<sup>12</sup> G UID 1950, Introduction (11)

	<p><i>Leadership Competencies</i> are the knowledge, skills, attitude and other attributes needed to perform managerial work and processes. They are essential for both current and prospective leaders for superior execution of leadership functions.</p> <p><i>Functional Competencies</i> refer to specific bodies of competencies required to perform defined activities in a function or job. There are 15 functional competencies identified in this Competency Table.</p> <p>3. <b>ASEAN MAP</b> – The map was chosen as a more contemporary way of representing the ten member countries of the ASEAN and its SAIs namely, Jabatan Audit Brunei Darussalam, National Audit Authority of Kingdom of Cambodia, The Audit Board of the Republic of Indonesia, The State Audit Organization of LAO PDR, Jabatan Audit Negara Malaysia, Office of the Auditor General of the Union, the Republic of the Union of Myanmar, The Commission on Audit of the Republic of the Philippines, Auditor-General's Office of Singapore, State Audit Office of the Kingdom of Thailand and State Audit Office of Vietnam.</p> <p>4. <b>ASEANSAI Competency Framework</b> – This is the title of the design framework. The word ASEANSAI is in bigger, bolder letters to depict emphasis and readability. At the same time, the band of colors that reflect the colors of a rainbow contemplate the diversity of the ASEANSAIs.</p>
<b>COLOR PALETTE:</b>	<p>Yellow, red and blue were chosen as the more powerful hues in the design of the competency framework which was lifted off from the most prevalent shades in the ASEANSAI logos. It is also the standard colors in representing the competencies (core, leadership and functional). Also, the three primary colors can be found in the triad color scheme – meaning those that are equally spaced from one another in the color wheel, and it is one of the most basic and most popular color combinations in logo design.</p> <p><b>BLUE</b> – The color blue was chosen for the organizational requirements, functional competencies and the ASEAN map because the color signifies trust, professionalism, competence, intelligence, and efficiency. In addition, most marketers and brands all over the world also prefer the color blue, ranking 1<sup>st</sup> with 33%, red ranking 2<sup>nd</sup> with 29%, and yellow ranking 4<sup>th</sup> with 13%. While the monochromatic color scheme provides a strong sense of visual cohesion and can help support communication objectives using a connotative color<sup>6</sup>.</p> <p><b>YELLOW</b> – While it represents the core competencies, it also symbolizes positivity and happiness, boosts confidence and improves learning, which encourages positive and logical thinking.</p>

	<b>RED</b> – Pertains to the leadership competencies and is visceral, it's eye-catching and hard to miss. It also reflects strength, stimulation and is modern looking. Likewise, it is associated with power and energy. Like blue, it's a popular choice for marketers and top companies, and comes as the second-best color when it comes to logo design.
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## COMPETENCY CATALOGUE

The **Competency Catalogue** outlines the titles of the competencies, their elements, and assigned reference codes. Just as competencies are categorized into three (3), the Catalogue is subdivided into Core, Leadership, and Functional. Core Competencies and their elements are assigned with C-number series and coded with light gold color, while Leadership Competencies and their elements are assigned with L-number series and coded with light red color. Functional Competencies and their elements are assigned with F-number series and coded with light blue color. It is important to note that the number coding for the Functional Competencies category/group does not relate to the two different functions covered by the framework, as its portion in the table below serves as a centralized list or inventory of all functional competencies.

<i>Competency/ Element Code</i>	<i>Competency/Element Title</i>
<b>CORE COMPETENCIES</b>	
<b>C1</b>	<b>Building Enabling Partnerships</b>
<b>C2</b>	<b>Delivering Service Excellence</b>
<b>C3</b>	<b>Exemplifying Integrity and Professionalism</b>
<b>LEADERSHIP COMPETENCIES</b>	
<b>L1</b>	<b>Managing Performance and Coaching for Results</b>
L1.1	Nurturing a coaching culture
L1.2	Applying appropriate coaching techniques confidently and with flexibility
L1.3	Demonstrating supportive leadership
<b>FUNCTIONAL COMPETENCIES</b>	
<b>Main Functional Competencies</b>	
<b>F1</b>	<b>Compliance Audit</b>
<b>F2</b>	<b>Financial Audit</b>
<b>F3</b>	<b>Performance Audit</b>

<b>Other Related or Support Functional Competencies</b>	
<b>F4</b>	<b>Fraud/Forensic Audit</b>
<b>F5</b>	<b>Information Systems / Information Technology (IT) Audit</b>
	<b>Human Resource (HR) Management</b>
<b>F6</b>	Human Resource (HR) Management-Recruitment, Selection, and Placement
<b>F7</b>	Human Resource (HR) Management-Benefits, Compensation and Welfare
<b>F8</b>	Human Resource (HR) Management-Performance Management
<b>F9</b>	Human Resource (HR) Management-Promotion
<b>F10</b>	Human Resource (HR) Management-Rewards And Recognition
	<b>Learning and Development</b>
<b>F11</b>	Learning and Development - <i>Learning Needs Assessment</i>
<b>F12</b>	Learning and Development - <i>Program/Course Design and Development</i>
<b>F13</b>	Learning and Development - <i>Program/Course Delivery and Administration</i>
<b>F14</b>	Learning and Development - <i>Learning Measurement and Evaluation</i>
<b>F15</b>	<b>Use of Digital Technology</b>

## **COMPETENCY TABLES**

The *Competency Tables* are matrices that reflect the definitions of the competencies. It is composed of the following fundamental parts: the competency category or group, the titles and reference codes of the competencies underneath each category, the respective definitions of the competencies, as well as the respective elements of competencies that have if any, alongside their reference codes. It also reflects the definition and proficiency levels of a competency as defined by behavioral indicators of each level: Basic (1), Intermediate (2), Advanced (3), and Superior (4). The color coding introduced in the Competency Catalogue is also used.

In defining the progression levels or rubrics, the behavioral indicators are determined according to scope/context, horizontal complexity, autonomy and responsibility. This Table adopts four measurement parameters: Basic (1), Intermediate (2), Advanced (3), and Superior (4) in accordance with the following rubric description:

CATEGORY	LEVELS			
	Basic (1)	Intermediate (2)	Advanced (3)	Superior (4)
Scope/Context	Limited to own tasks and usually requires supervision and further training; competency is at a level where specific procedures are observed	Generally confined in own set of tasks, but has tasks that require working with others, with some activities not necessarily covered by procedures	Covers/integrates work of different individuals/work groups, multiple tasks, diverse work units, varied situations	Involves work of different units, operational systems and processes in a dynamic environment
Complexity	Basic rudimentary and routine tasks require less analysis and needed information is almost always given	Less information is present, requires resourcefulness and some degree of analysis, related to other tasks, less routinary	Requires moderate degree of analysis and evaluation of routine and non-routine tasks and own and others' performance	Requires a high degree of analysis of systems and processes, results and performance and environmental and institutional variables
Autonomy and Responsibility	Supervised, consults, no decision-making authority	Most tasks/activities can be done independently given clear directions, standards and procedures of work, requires consultation for non-familiar, non-routine tasks/situations	Independent work covering responsibility for others' work	

# C O R E

## COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[C1]	BUILDING ENABLING PARTNERSHIPS		
<i>Promotes and establishes constructive working relationships in a climate of trust between and among stakeholders (internal and external) through timely and effective discharge of mandated functions that facilitate delivery of quality public services thus achieving organizational goals</i>				
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
DESCRIPTION	<ul style="list-style-type: none"> <li>Responds promptly to requests of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Anticipates the needs of the stakeholders and delivers the services beyond their immediate request</li> </ul>	<ul style="list-style-type: none"> <li>Provides alternatives and recommendations to achieve a climate of trust between and among stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Builds and sustains a healthy climate of trust, respect and open communication that facilitates delivery of public services</li> </ul>
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Builds and maintains contacts through informal interaction such as unstructured or spontaneous talk on work related topics</li> <li>Addresses stakeholders' referring and limiting needs by responses to available information</li> <li>Volunteers action beyond explicit stakeholder requests guided by established service standards.</li> <li>Addresses routine issues pertaining to SAI's delivery of solutions, services and support to stakeholders,</li> </ul>	<ul style="list-style-type: none"> <li>Readily provides stakeholders with the necessary information and access to relevant resources</li> <li>Demonstrates proactive, courteous, and constructive communication and openness to feedback</li> <li>Demonstrates understanding of the complexity of the environment and creates mutually beneficial relationships</li> <li>Evaluates and presents facts and different perspectives on stakeholder to generate</li> </ul>	<ul style="list-style-type: none"> <li>Proposes feasible and acceptable solutions to all concerned stakeholders</li> <li>Recommends policies and develop practices which reinforce constructive working relationships in accordance with the applicable SAI guidelines</li> <li>Evaluates the scope of complex stakeholders' needs to determine underlying causes and provides response when information and guidelines are adequate</li> </ul>	<ul style="list-style-type: none"> <li>Inspires stakeholders to develop a culture of partnerships and collaboration</li> <li>Empowers stakeholders to uphold accountability in achieving organizational goals</li> <li>Prioritizes the importance of addressing stakeholders' evolving needs when identifying strategic directions</li> </ul>

# C O R E

## COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[C1]	BUILDING ENABLING PARTNERSHIPS		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
<p><i>Promotes and establishes constructive working relationships in a climate of trust between and among stakeholders (internal and external) through timely and effective discharge of mandated functions that facilitate delivery of quality public services thus achieving organizational goals</i></p>				
	<p>refers to appropriate office/expert those beyond own capacity and authority.</p>	<p>clear and accurate understanding of the stakeholder's need</p> <ul style="list-style-type: none"> <li>Provides updated information pertaining to SAI's services, policies, procedures etc.</li> <li>Evaluates stakeholder's needs in context, evaluates pertinent variables and risks and critical information</li> <li>Prioritizes stakeholder needs based on careful analysis of what is urgent, feasible and the implications of SAI solutions, services and support to stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Evaluates SAI's delivery of solutions, services and support to stakeholders to identify areas for improvement and modifications in processes, policies etc. to respond to significant changes in the stakeholders' needs and environment</li> <li>Studies and consults widely when determining problem-solution alternatives in novel cases or where information is not adequate/accessible</li> <li>Evaluates and uses results of customer feedback in developing programs and policies to deliver solutions, services and support to SAI stakeholder</li> </ul>	

# C O R E

## COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[C2]	DELIVERING SERVICE EXCELLENCE			
<i>Maintains high standards of quality work output to attain world-class audit services availing state-of-the-art technology in conformity with international standards and best practices</i>					
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)	
DESCRIPTION	<ul style="list-style-type: none"> <li>Complies with SAI's established standards of delivery or service level agreements and delivers explicit requirements of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Delivers and adds value to standards and requirements</li> </ul>	<ul style="list-style-type: none"> <li>Manages stakeholders' standards and requirements towards excellent stakeholders' service through improving sense of responsibility, intelligence and skills</li> </ul>	<ul style="list-style-type: none"> <li>Builds and shapes SAI service culture and strategy and provides leadership in service delivery through highest degree of responsibility, intelligence and skills</li> </ul>	
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Displays awareness of the team's goals and objectives in responding to respective stakeholders' needs and requirements</li> <li>Articulates SAI's service standards and basic SAI rules and policies to provide correct, adequate and prompt information to respective stakeholders as may be necessary, within one's jurisdiction</li> <li>Recognizes the importance of escalating to next-level supervisor</li> </ul>	<ul style="list-style-type: none"> <li>Provides advice and guidance to colleagues on concerns elevated to their level</li> <li>Takes the extra mile in providing excellent customer service by consistently exceeding expectations established in the service level agreement</li> <li>Initiates and recommends process improvements based on stakeholders' feedback</li> <li>Demonstrates awareness of and</li> </ul>	<ul style="list-style-type: none"> <li>Anticipates and identifies stakeholders' needs in conformity with generally acceptable standards and best practices</li> <li>Proactively comes up with solutions to manage stakeholders' expectations</li> <li>Influences changes in system, practices or policies to attend to a stakeholder's unusual or outside-of-scope needs; cognizant that the requirements do not adversely impact the</li> </ul>	<ul style="list-style-type: none"> <li>Directs SAI towards the achievement of the service excellence platform in the entire bureaucracy and establishes parameters of authority within the SAI and empowers SAI leaders to manage the culture of service excellence</li> <li>Recommends and/or approves solutions that are fair and acceptable to concerned team members/parties, and other additional services to SAI stakeholders as a result of analysis,</li> </ul>	

# C O R E

## COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[C2]	DELIVERING SERVICE EXCELLENCE		
<i>Maintains high standards of quality work output to attain world-class audit services availing state-of-the-art technology in conformity with international standards and best practices</i>				
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
	<p>all concerns beyond the scope of one's work while displaying openness and acceptance to/of others' ideas and viewpoints</p> <ul style="list-style-type: none"> <li>• Responds appropriately to others with respect and acts as the respective stakeholders' single point of contact and avoids "passing" respective stakeholders around unnecessarily</li> <li>• Shows sense of urgency in attending to respective stakeholders' needs and requests by considering commitment to turn-around time</li> <li>• Demonstrates willingness to be coached and directed on how to do work and/or achieve targets by clarifying scope and expectations, including</li> </ul>	<p>positive composure in the performance of one's role and required level of involvement in a project or committee, despite differences in opinion, work style, approach, etc.</p> <ul style="list-style-type: none"> <li>• Demonstrates knowledge in determining which tasks need to be prioritized or how to change approach to adapt to changing conditions</li> <li>• Acts positively in spite of workload and/or changes to working conditions, priorities and environment.</li> <li>• Updates stakeholders on the status of their requests and of any policy or process changes that might affect delivery of the</li> </ul>	<p>bureaucracy or organization processes.</p> <ul style="list-style-type: none"> <li>• Maintains team focus by reminding or reinforcing the team's goals and objectives and seeks to understand the context, reasons or background of issues before intervening.</li> <li>• Consistently exceeds stakeholders' needs and expectations by keeping abreast of new approaches to work and technology and industry that can be adapted to one's work setting.</li> <li>• Recommends improvements in the work processes.</li> <li>• Designs and implements service standards which indicators for measurement to deliver</li> </ul>	<ul style="list-style-type: none"> <li>• appreciation, and understanding of the stakeholders' goals, needs and direction.</li> <li>• Creates policies and structures that allow for or facilitate team collaboration that fosters an environment that is cooperative and harmonious.</li> <li>• Advocates practice of being team focused and energized in achieving goals and objectives through encouragement and other interventions.</li> <li>• Actively involves oneself in professional groups and activities to further knowledge and expertise in the field.</li> <li>• Creates own approach in or innovates a function, process or</li> </ul>

# C O R E

## COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[C2]	DELIVERING SERVICE EXCELLENCE		
<i>Maintains high standards of quality work output to attain world-class audit services availing state-of-the-art technology in conformity with international standards and best practices</i>				
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
	<p>tracking of work progress, with the use of appropriate tools</p> <ul style="list-style-type: none"> <li>• Responds to stakeholder needs in a timely, professional and courteous manner</li> <li>• Abides by standard processes and procedures in attending to stakeholders</li> </ul>	<p>services the stakeholders need</p>	<p>value adding services and programs</p> <ul style="list-style-type: none"> <li>• Represents the needs of stakeholders and advocates their interest and satisfaction to decision makers</li> <li>• Designs and implements formal feedback mechanisms for stakeholders to communicate their specific needs</li> <li>• Supports and coaches' others in handling or responding to all types of feedback</li> </ul>	<p>procedure and shares these with peers</p> <ul style="list-style-type: none"> <li>• Fosters an environment that is cooperative and harmonious in the attainment of customer service delivery strategies</li> </ul>

# C O R E

## COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[C3]	EXEMPLIFYING INTEGRITY		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
DESCRIPTION	<ul style="list-style-type: none"> <li>Acknowledges the need to incorporate integrity into all systems and processes and in every aspect of the work assigned.</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrates practices at work that show consistent application of and compliance to policies, rules and regulations and other ethical standards set by the Authority</li> </ul>	<ul style="list-style-type: none"> <li>Influences others through demonstrated honesty, independence, objectivity, and trustworthiness and is seen as role model.</li> </ul>	<ul style="list-style-type: none"> <li>Embraces integrity as a way of life.</li> </ul>
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Endeavors to demonstrate trustworthiness by protecting sensitive or confidential information, following required procedures, and honoring one's commitment to others or the organization</li> <li>Operates under a defined sense of right and wrong but may allow situational factors to influence one's judgment.</li> </ul>	<ul style="list-style-type: none"> <li>Identifies and differentiates ethical and moral principles and values from inappropriate, unethical or dishonest behaviors</li> <li>Discusses the ethical implications of professional work and recognize and discuss limits of own ethical knowledge.</li> <li>Takes on fair share of work and credit to whom the work is due.</li> <li>Takes independent action to correct situations that are in</li> </ul>	<ul style="list-style-type: none"> <li>Challenges alibis and misconceptions behind inappropriate, unethical or dishonest behaviors</li> <li>Spontaneously and reliably identifies complex ethical issues, analyzes them accurately and proactively addresses them</li> <li>Maintain confidentiality and protect the privacy of employees, customers, and other members of the public.</li> <li>Shows moral courage by doing the right thing</li> </ul>	<ul style="list-style-type: none"> <li>Inspires others to act at the highest level of honesty and integrity</li> <li>Demonstrates public service as a higher calling and an honorable profession, both through personal examples and principles that visibly guide the organization one leads.</li> <li>Inspires public appreciation for confidence and trust in the necessary work of government both through personal example and agency policies, procedures,</li> </ul>

# C O R E

## COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[C3]	EXEMPLIFYING INTEGRITY		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
<p><i>Manifests high levels of trustworthiness and strong determination to resist instances of breach of integrity by maintaining a high degree of honesty, independence, objectivity, and professionalism of actions taken by the individual, thus, represents the organization's and individual's clear stand on many integrity-based issues in all aspects of official work and personal matters.</i></p>				
	<ul style="list-style-type: none"> <li>• Demonstrates honesty, even in difficult situations</li> <li>• Refrains from spreading gossip, rumor, or false information</li> <li>• Acts as a good steward of all public resources ensuring their efficient and effective use and maintenance</li> <li>• Conducts tasks and manages interactions with a positive attitude showing courtesy, sensitivity, tact and respect</li> <li>• Takes responsibility for own actions</li> </ul>	<ul style="list-style-type: none"> <li>• Inhibits oneself from being in a situation where there might be a conflict of interest and/or one's character will be subject to suspicion</li> <li>• Manages emotions during challenging situations</li> </ul>	<ul style="list-style-type: none"> <li>• Confront peers and/or offices regarding ethical problems or issues and deal proactively with conflict.</li> <li>• Adheres to a strict appreciation for moral and ethical behavior, acting out of a strong sense of obligation, and considering right and wrong in making decisions.</li> <li>• Implements processes and structures which ensure adherence to the core values of the SAI</li> <li>• Recommends policies and develops practices which reinforces the highest standards of moral values and reduce red tape and graft and corruption for the approval of the authority</li> </ul>	<ul style="list-style-type: none"> <li>• Provides accurate, current, and understandable information to policymakers and citizens and expose biases.</li> <li>• Establishes procedures and policies that support an organizational moral compass -teaching the principles of integrity and honesty, setting clear and explicit standards of behavior.</li> <li>• Champions a culture that rewards moral and ethical practices</li> </ul>

# LEADERSHIP COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[L1.0]	MANAGING PERFORMANCE AND COACHING FOR RESULTS		
<p><i>The ability to create an enabling environment which will nurture and sustain a performance-based, coaching culture. Effectiveness in this competency area also includes a strong focus on developing people for current and future needs, managing talent, promoting the value of continuous learning and improvement.</i></p>				
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
DESCRIPTION	<ul style="list-style-type: none"> <li>Monitors work and/or team climate and applies the appropriate action using available tools, including basic knowledge of coaching, to ensure that work or performance matches or exceeds the required standard.</li> </ul>	<ul style="list-style-type: none"> <li>Creates tools and/or applies new methods in correcting and improving below standard on non-compliant performance of individuals or groups, using knowledge and skills in coaching to enable them to self-initiate solutions for their growth/development.</li> </ul>	<ul style="list-style-type: none"> <li>Monitors the strategic imperatives of the organization and orchestrates teams, work and organizational culture around this, through advanced skills in coaching to achieve performance standards.</li> </ul>	<ul style="list-style-type: none"> <li>Leads the organization by example and through coaching towards a performance-based culture and the achievement of public service performance standards.</li> </ul>
ELEMENTS	BEHAVIORAL INDICATORS			
L1.1 Nurtures a coaching Culture	<ul style="list-style-type: none"> <li>Explains the coaching process, particularly, the concept of “coaching is coachee-driven” when conducting coaching sessions to employees” as well as expectations with individuals or among team members; and prepares the agreed work plan or commitment with the individual or group.</li> </ul>	<ul style="list-style-type: none"> <li>Develops new/enhances existing tools, more accurate and relevant data that improve individual or team performance, reach achievable and specific workplace of an employee.</li> </ul>	<ul style="list-style-type: none"> <li>Guides a coachee to propose and choose performance improvement solutions given the organizational goals, priorities, outcomes and the coachee’s work context.</li> </ul>	<ul style="list-style-type: none"> <li>Creates the organizational conditions including policies and guidelines necessary to encourage and support leadership and management teams to adopt and consistently practice achieving public service performance standards.</li> </ul>

# LEADERSHIP COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[L1.0]	MANAGING PERFORMANCE AND COACHING FOR RESULTS			
<p><i>The ability to create an enabling environment which will nurture and sustain a performance-based, coaching culture. Effectiveness in this competency area also includes a strong focus on developing people for current and future needs, managing talent, promoting the value of continuous learning and improvement.</i></p>					
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)	
<b>L1.2</b> <b>Applies appropriate coaching techniques confidently and flexibility</b>	<ul style="list-style-type: none"> <li>Asks powerful questions that begin with what, when, who, how much and how many to make a coachee understand the root cause of long-standing issues or a situation that falls short of his/her superior's expectation and helps the coachee identify goals, reality, options and actions.</li> </ul>	<ul style="list-style-type: none"> <li>Uses appropriate coaching tools and techniques to help the individual or team meet developmental and performance goals, recognizing issues and challenges as they present themselves in a coaching performance improvement conversation.</li> </ul>	<ul style="list-style-type: none"> <li>Tailor-fits the coaching and performance management process/practice to the unique needs of the coachee, mentee or employee.</li> </ul>	<ul style="list-style-type: none"> <li>Enables the leadership and management teams (and self) to effectively and consistently apply the principles, processes and key practices of coaching (e.g. listening with respect and empathy, asking rich and high-gain questions, encouraging mutual respect and support, etc.)</li> </ul>	
<b>L1.3</b> <b>Demonstrates supportive leadership</b>	<ul style="list-style-type: none"> <li>Gives genuine acknowledgment of a person's qualities and feedback on developmental needs.</li> </ul>	<ul style="list-style-type: none"> <li>Provides adequate support and resources to coachees/employees to implement learning and development interventions.</li> </ul>	<ul style="list-style-type: none"> <li>Encourages coachees and provides them with adequate support and resources for them to become coaches.</li> </ul>	<ul style="list-style-type: none"> <li>Provides adequate support and resources to enable the leadership and management teams to effectively sustain a performance-based, coaching culture to nurture future leaders.</li> </ul>	

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F1]	COMPLIANCE AUDIT		
<p>Ensures compliance audit is in accordance with applicable ISSAIs/national standards to obtain reasonable assurance in rendering the appropriate audit conclusion on the subject matter, whether the management, together with the oversight of those charged with governance, conducted the entity's operations in accordance with the established criteria, which could be based on laws, rules, regulations, including principles of sound financial management or best practice, that determine the reported amounts and disclosures in an entity's financial statements, thus, promoting transparency and accountability in the use of government resources.</p>				
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
DESCRIPTION	<ul style="list-style-type: none"> <li>Applies working knowledge on compliance auditing principles and standards on assigned audit tasks under close supervision.</li> </ul>	<ul style="list-style-type: none"> <li>Leads and implements the audit plans and programs pertinent to compliance audit ensuring compliance with applicable ISSAIs/national standards, with minimal guidance by the immediate supervisor.</li> </ul>	<ul style="list-style-type: none"> <li>Ensures high quality compliance audits through a quality control mechanism.</li> </ul>	<ul style="list-style-type: none"> <li>Manages the consistent application of compliance audit ISSAIs/national standards in the audits of agencies under their respective audit jurisdiction.</li> </ul>
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Demonstrates initiative and willingness to perform the assigned audit tasks and accomplishes the targeted output within the time frame.</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrates application of key concepts such as risk assessment, materiality, sampling, risk response, sufficient appropriate evidence and audit opinion/conclusion in the compliance audit process, as an audit strategy.</li> <li>Executes the audit plan within the planned time frame as directed by the supervisor.</li> </ul>	<ul style="list-style-type: none"> <li>Enhances capability in preparing the overall audit strategy to provide direction, timing and scope of audit, which is responsive to overall risks of non-compliance laws, rules, and regulations, including principles of sound financial management or best practice.</li> <li>Manifests the capability to develop performance measurements and to objectively evaluate the</li> </ul>	<ul style="list-style-type: none"> <li>Provides overall direction to ensure a unified approach of audit under their jurisdiction.</li> <li>Formulates guidelines/policies to keep pace with the recent developments and continuous improvement of the quality of audit services.</li> </ul>

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F1]	COMPLIANCE AUDIT		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
<p><i>Ensures compliance audit is in accordance with applicable ISSAIs/national standards to obtain reasonable assurance in rendering the appropriate audit conclusion on the subject matter, whether the management, together with the oversight of those charged with governance, conducted the entity's operations in accordance with the established criteria, which could be based on laws, rules, regulations, including principles of sound financial management or best practice, that determine the reported amounts and disclosures in an entity's financial statements, thus, promoting transparency and accountability in the use of government resources.</i></p>				
		<ul style="list-style-type: none"> <li>• Applies compliance audit ISSAIs/ national standards throughout the audit process in different environments to enhance the credibility of audit report.</li> <li>• Displays the ability to review compliance audit work done by others for quality control purposes.</li> <li>• Keeps abreast of the updates on government laws, rules and regulations and management internal policies.</li> </ul>	<p>performance of audit staff under their supervision.</p>	

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F2]	FINANCIAL AUDIT			
<i>Ensures financial audit is in accordance with financial audit ISSAIs/national standards to obtain reasonable assurance in rendering the appropriate audit opinion on the financial statements, thus, promoting transparency and accountability in the use of government resources.</i>					
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)	
DESCRIPTION	<ul style="list-style-type: none"> <li>Applies working knowledge on basic accounting and auditing principles and standards on assigned audit tasks under close supervision.</li> </ul>	<ul style="list-style-type: none"> <li>Leads and implements the audit plans and programs pertinent to financial audit ensuring compliance with financial audit ISSAIs/national standards, with minimal guidance by the immediate supervisor.</li> </ul>	<ul style="list-style-type: none"> <li>Ensures high quality financial audits through a quality control mechanism.</li> </ul>	<ul style="list-style-type: none"> <li>Manages the consistent application of the financial audit ISSAIs/national standards in the audits of agencies under their respective audit jurisdiction.</li> </ul>	
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Demonstrates initiative and willingness to perform the assigned audit tasks and accomplishes the targeted output within the time frame.</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrates application of key concepts such as risk assessment, materiality, sampling, risk response, sufficient appropriate evidence, audit opinion and key audit matters in the financial audit process as an audit strategy.</li> <li>Executes the audit strategy within the planned time frame as directed by the supervisor.</li> <li>Applies financial audit ISSAIs/ national standards throughout the</li> </ul>	<ul style="list-style-type: none"> <li>Enhances capability in preparing the overall audit strategy to provide direction, timing and scope of audit, which is responsive to overall risks of material misstatements in the financial statements.</li> </ul>	<ul style="list-style-type: none"> <li>Provides overall direction to ensure a unified approach of audit under their jurisdiction.</li> <li>Formulates guidelines/ policies to keep pace with the recent developments and continuous improvement of the quality of audit services.</li> <li>Evaluates the performance of subordinates.</li> </ul>	

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F2]	FINANCIAL AUDIT		
<i>Ensures financial audit is in accordance with financial audit ISSAIs/national standards to obtain reasonable assurance in rendering the appropriate audit opinion on the financial statements, thus, promoting transparency and accountability in the use of government resources.</i>				
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
		<p>audit process in different environments to enhance the credibility of audit report.</p> <ul style="list-style-type: none"> <li>• Reviews financial audit work done by others for quality control purposes.</li> <li>• Keeps abreast with the developments on accounting principles, as basis for evaluation.</li> </ul>		

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F3]	PERFORMANCE AUDIT		
<p><i>Ensures performance audit is in accordance with applicable audit ISSAIs/national standards to obtain reasonable assurance in rendering the appropriate audit conclusion whether the management, together with the oversight of those charged with governance, effectively achieved its mandates/objectives and intended impact of activities were attained, and whether their resources were managed economically and efficiently, and whether there is room for improvement.</i></p>				
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
DESCRIPTION	<ul style="list-style-type: none"> <li>Demonstrates fundamental understanding of the core principles and concept of performance auditing</li> </ul>	<ul style="list-style-type: none"> <li>Leads and implements the audit plans and programs pertinent to performance audit ensuring compliance with applicable audit ISSAIs/ national standards, with minimal guidance by the immediate supervisor.</li> </ul>	<ul style="list-style-type: none"> <li>Ensures high quality performance audits through a quality control mechanism.</li> </ul>	<ul style="list-style-type: none"> <li>Manages the consistent application of the performance audit ISSAIs /national standards in the audits of agencies under their respective audit jurisdiction.</li> </ul>
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Demonstrates initiative and willingness to perform the assigned audit tasks and accomplishes the targeted output within the time frame.</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrates application of key concepts such as risk assessment, materiality, sampling, risk response, and sufficient appropriate evidence in the performance audit process, as an audit strategy.</li> <li>Executes the audit strategy within the planned time frame as directed by the supervisor.</li> </ul>	<ul style="list-style-type: none"> <li>Enhances capability in preparing the overall audit strategy to provide direction, timing and scope of audit, which is responsive to overall risks that Management may not be able to operate effectively and that their resources may not be managed economically and efficiently.</li> <li>Manifests the capability to develop performance measurements and to objectively evaluate the</li> </ul>	<ul style="list-style-type: none"> <li>Provides overall direction to ensure a unified approach of audit under their jurisdiction.</li> <li>Formulates guidelines/ policies to keep pace with the recent developments and continuous improvement of the quality of audit services.</li> <li>Evaluates the performance of subordinates.</li> <li>Provides continuous education and training to</li> </ul>

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F3]	PERFORMANCE AUDIT		
<p><i>Ensures performance audit is in accordance with applicable audit ISSAIs/national standards to obtain reasonable assurance in rendering the appropriate audit conclusion whether the management, together with the oversight of those charged with governance, effectively achieved its mandates/objectives and intended impact of activities were attained, and whether their resources were managed economically and efficiently, and whether there is room for improvement.</i></p>				
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
		<ul style="list-style-type: none"> <li>Applies performance audit ISSAIs/national standards throughout the audit process in different environments to enhance the credibility of audit report.</li> <li>Reviews performance audit work done by others for quality control purposes.</li> <li>Keeps abreast with the updates on government social development goals.</li> <li>Imparts learnings/knowledge to audit staff through coaching and mentoring.</li> </ul>	performance of audit staff under their supervision.	audit staff that may include such topics as current developments in performance audit methodology, management or supervision, qualitative investigation methods, case study analysis, statistical sampling, quantitative data-gathering techniques, evaluation design, data analysis, and reader-based writing.

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK		[F4]	FRAUD/FORENSIC AUDIT		
<i>Evaluates questionable government transactions tainted with deception, irregularities, violation of laws, rules and regulations.</i>					
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)	
DESCRIPTION	<ul style="list-style-type: none"> <li>Manifests basic knowledge in accounting principles and initially assesses the existence of fraud based on documents submitted by clients</li> </ul>	<ul style="list-style-type: none"> <li>Determines existence of fraud in the government transaction based on the elements prescribed by laws, rules and regulations</li> </ul>	<ul style="list-style-type: none"> <li>Analyzes the appreciation of existence of fraud vis-à-vis its implication/ impact on government transactions such as loss of government funds, possible commission of crimes for filing of criminal, civil and administrative cases, based on the elements prescribed by laws, rules and regulations</li> </ul>	<ul style="list-style-type: none"> <li>Recommends filing of cases that may result in conviction or non-conviction and/or recovery of government funds.</li> </ul>	
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Verifies information in the complaint.</li> <li>Evaluates the materiality of amount based on the criteria under existing rules, amount and evidence submitted.</li> <li>Demonstrates the use of forensic audit techniques.</li> </ul>	<ul style="list-style-type: none"> <li>Reviews the initial recommendation for the conduct of fraud audit.</li> <li>Reviews the forensic examination report, including documents/ evidence submitted.</li> <li>Reviews completeness of documents/evidence based on the applicable laws, rules and regulations.</li> </ul>	<ul style="list-style-type: none"> <li>Reviews evaluation on the complaint based on the elements prescribed by laws, rules and regulations.</li> <li>Ensures proper execution of fraud audit.</li> <li>Reviews audit plans, programs and procedures; reports and other communications.</li> </ul>	<ul style="list-style-type: none"> <li>Ascertains the validity, veracity, accuracy and soundness of judgment for filing of cases.</li> <li>Leads in the conduct of audit conferences.</li> </ul>	

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK		[F4]	FRAUD/FORENSIC AUDIT		
LEVEL	BASIC (1)		INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
<i>Evaluates questionable government transactions tainted with deception, irregularities, violation of laws, rules and regulations.</i>					
	<ul style="list-style-type: none"> <li>• Formulates initial recommendations for the conduct of fraud audit.</li> <li>• Conducts fraud auditing applying various audit techniques and procedures.</li> <li>• Drafts audit observations/findings.</li> </ul>	<ul style="list-style-type: none"> <li>• Recommends approval of the creation of teams for the conduct of fraud.</li> <li>• Develops audit plan and procedures.</li> <li>• Leads the team in the conduct of fraud audit.</li> <li>• Drafts audit highlights and fraud audit report integrating the observations/findings of team members.</li> </ul>			

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F5]	INFORMATION SYSTEMS/INFORMATION TECHNOLOGY AUDIT		
<p><i>Examines the implementation of Information Technology (IT) systems and IT controls to ensure that the systems meet the organization's business needs without compromising security, privacy, reliability, and other critical business elements of audited agencies.</i></p> <p><i>Establishes whether the development, implementation and maintenance of IT systems meet business goals, safeguards information assets and maintains data integrity of audited agencies.</i></p> <p><i>Provides technical assistance to Financial Audits to assess the correctness and compliance with other assertions of an organization's financial statements, Compliance Audits (evaluation of internal controls), and Performance Audits to assess whether the IT Systems meet the needs of the users and do not subject the entity to unnecessary risk of audited agencies.</i></p>				
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
DESCRIPTION	<ul style="list-style-type: none"> <li>Manifests basic knowledge in accounting principles and experience in the process of audit, management, acquisition, development, implementation of Information Systems (IS) including operations, maintenance and support, protection of IT assets and other IT related concepts.</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrates experience and proficiency in the process of audit, management, acquisition, development, implementation of Information Systems (IS) including operations, maintenance and support, protection of IT assets and other IT related concepts.</li> </ul>	<ul style="list-style-type: none"> <li>Ensures expertise and proficiency in the process of audit, management, acquisition, development, implementation of Information Systems (IS) including operations, maintenance and support, protection of IT assets and other IT related concepts.</li> </ul>	<ul style="list-style-type: none"> <li>Reviews IS/IT reports and provides comments and suggestions to further enhance the reports prior to its release.</li> </ul>
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Conducts risk assessment and identified material risks that can significantly affect the operations.</li> <li>Initiate the preparation of the IT work programs in</li> </ul>	<ul style="list-style-type: none"> <li>Reviews the result of risk assessment and ensures that audit areas with high-risk exposures are prioritized and audited.</li> <li>Evaluates applicability of IT work plan and audit</li> </ul>	<ul style="list-style-type: none"> <li>Ensures compliance with the required technical knowledge and skills, competency and proficiency of its personnel to complete the IT audit engagement successfully.</li> </ul>	<ul style="list-style-type: none"> <li>Establishes annual goals, performance targets of the office and ensures attainment.</li> <li>Keeps abreast of innovations for continual improvement of</li> </ul>

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F5]	INFORMATION SYSTEMS/INFORMATION TECHNOLOGY AUDIT		
<p><i>Examines the implementation of Information Technology (IT) systems and IT controls to ensure that the systems meet the organization's business needs without compromising security, privacy, reliability, and other critical business elements of audited agencies.</i></p> <p><i>Establishes whether the development, implementation and maintenance of IT systems meet business goals, safeguards information assets and maintains data integrity of audited agencies.</i></p> <p><i>Provides technical assistance to Financial Audits to assess the correctness and compliance with other assertions of an organization's financial statements, Compliance Audits (evaluation of internal controls), and Performance Audits to assess whether the IT Systems meet the needs of the users and do not subject the entity to unnecessary risk of audited agencies.</i></p>				
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
	<p>support of the IT work plan.</p> <ul style="list-style-type: none"> <li>Capable of performing the necessary IT audit programs and procedures.</li> <li>Complies with the necessary IT audit procedures and ensures that gathered evidences are sufficient and appropriate to support the specific audit objectives.</li> <li>Initiates and compiles the IT audit process documentation or audit work papers.</li> </ul>	<p>programs and oversees its approval and implementation to accomplish audit objectives.</p> <ul style="list-style-type: none"> <li>Reviews and approves IT audit process documentation or compiled IT audit work papers.</li> </ul>	<ul style="list-style-type: none"> <li>Reviews and ensures that all approved IT work plans and appropriate work programs were executed during the audit.</li> <li>Ensures that all necessary IT programs and audit procedures were performed, evidence gathered are sufficient and appropriate, and the required reports are submitted on time.</li> </ul>	<p>organizational processes.</p> <ul style="list-style-type: none"> <li>Ensures the implementation of office priorities determined through risk assessment.</li> </ul>

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK		[F6]	HUMAN RESOURCE MANAGEMENT – RECRUITMENT, SELECTION, AND PLACEMENT		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)	
<i>Establishes and implements a competency-based system in engaging the right person to the right position by ensuring that the procedures adopted are fair, consistent and compliant with the existing Personnel/ Civil Service law and rules and other applicable laws.</i>					
DESCRIPTION	<ul style="list-style-type: none"> <li>Demonstrates basic knowledge of existing policies, rules, and regulations on recruitment, selection and placement process.</li> </ul>	<ul style="list-style-type: none"> <li>Manages administrative /clerical functions to facilitate the recruitment, selection and placement process.</li> </ul>	<ul style="list-style-type: none"> <li>Applies existing laws, rules and regulations in the recruitment, selection and placement process.</li> <li>Determines competency-based qualifications of applicants to the position applied for.</li> <li>Formulates policies for the enhancements of the assessment instruments of recruitment, selection and placement process</li> </ul>	<ul style="list-style-type: none"> <li>Leads the integration of competencies in the recruitment, selection and placement process.</li> <li>Recommends enhancements in the assessment instruments Recruitment, Selection, and Placement policies and procedures for approval of the appointing authority.</li> </ul>	
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Demonstrates awareness of basic policies, rules and regulations on recruitment, selection and placement.</li> <li>Organizes, maintains and updates documents /materials/ tools, as reference in the prerequisites and verification of status of applications.</li> </ul>	<ul style="list-style-type: none"> <li>Complies with policies and procedures in coordinating applicants for recruitment regarding documentary requirements, review of applicant's profile, schedules of examination/preliminary interview and the like.</li> <li>Administers assessment instruments and submits assessment results.</li> </ul>	<ul style="list-style-type: none"> <li>Implements compliance with policies and procedures of recruitment, recruitment, selection and placement.</li> <li>Determines/evaluates appropriate competencies for applicants who passed the initial assessment.</li> <li>Implements competency assessment tools like</li> </ul>	<ul style="list-style-type: none"> <li>Monitors compliance with policies and procedures of recruitment, recruitment, selection and placement.</li> <li>Validates the accuracy of competency-based assessment results and provides reports to the appointing authority.</li> <li>Develops enhancements/ improvements based on suggestions/inputs and</li> </ul>	

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F6]	HUMAN RESOURCE MANAGEMENT – RECRUITMENT, SELECTION, AND PLACEMENT		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
	<ul style="list-style-type: none"> <li>Provides primary information on recruitment, selection and placement process.</li> <li>Acts on simple queries/concerns of clientele, either within the scope of his/her work.</li> </ul>	<ul style="list-style-type: none"> <li>Provides secretariat services in the selection process.</li> <li>Facilitates the conduct of information awareness on the agency's recruitment, selection, and placement process.</li> </ul>	<p>behavioral event interview method.</p> <ul style="list-style-type: none"> <li>Develops and enhances assessment tools and forms.</li> <li>Develops modules and materials to be used in the conduct of information awareness.</li> <li>Keeps abreast with updates on competency-based matters relating to promotion and propose enhancements.</li> </ul>	submit proposals to higher authorities.

ASEANSAI COMPETENCY FRAMEWORK	[F7]	HUMAN RESOURCE MANAGEMENT – BENEFITS, COMPENSATION AND WELFARE		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
DESCRIPTION	<ul style="list-style-type: none"> <li>Demonstrates basic knowledge on the existing policies, rules and regulations on employee welfare programs.</li> </ul>	<ul style="list-style-type: none"> <li>Maintains knowledge of and applies policies and procedures in the implementation of the employee welfare program.</li> </ul>	<ul style="list-style-type: none"> <li>Analyzes data reports and recommends measures to improve and enhance employee welfare programs.</li> </ul>	<ul style="list-style-type: none"> <li>Establishes and develops comprehensive employee benefits and welfare programs for SAI.</li> </ul>

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F7]	HUMAN RESOURCE MANAGEMENT – BENEFITS, COMPENSATION AND WELFARE		
<i>Develops, implements, and evaluates policies and programs on benefits, compensation and welfare in accordance with SAI's internal policies and laws to improve employee well-being hence organizational performance.</i>				
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Applies basic knowledge in the implementation of laws, rules and regulations, and SAI existing policies on benefits, compensation and welfare program.</li> <li>Writes simple pro-forma communications relative to benefits, compensation and welfare of employees such as certifications, employment record and compensation, service records, leave balance, attendance and other employee welfare transactions.</li> </ul>	<ul style="list-style-type: none"> <li>Computes leave, salaries, salary adjustments, loans, medical reimbursements, and other entitlements of employees and prepares vouchers in line with existing rules and regulations.</li> <li>Evaluates claims and applications for benefits, compensation and welfare program.</li> <li>Coordinates with the offices in the implementation and evaluation of benefits, compensation and wellness programs.</li> <li>Prepares replies to queries on benefits, compensation and welfare management.</li> </ul>	<ul style="list-style-type: none"> <li>Ensures computation of leave, salary adjustments, medical reimbursement and other entitlements are in accordance with the existing rules and regulations.</li> <li>Conducts information awareness on benefits, compensation, and health and wellness programs to employees.</li> <li>Initiates process improvements based on stakeholder's feedback and conduct of data gathering necessary in formulating plans.</li> </ul>	<ul style="list-style-type: none"> <li>Evaluates existing policies, processes and systems on benefits, compensation, wellness mechanisms and proposes enhancements.</li> <li>Reviews and recommends proposals for enhancements and revisions of existing processes, systems and procedures on benefits, compensation and welfare of the organization.</li> <li>Formulates operational policies and guidelines on the benefits, compensation and welfare of employees.</li> </ul>

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK		[F8]	HUMAN RESOURCE MANAGEMENT – PERFORMANCE MANAGEMENT		
<i>Provides efficient auxiliary processes through review, facilitation, monitoring and documentation of relevant forms, records and documents to ensure effective operation of a significant fragment of the strategic plans of the SAI.</i>					
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)	
DESCRIPTION	<ul style="list-style-type: none"> <li>Coordinates basic directives in accordance with key responsibilities embodied in the strategic plan of the SAI.</li> </ul>	<ul style="list-style-type: none"> <li>Monitors plans and applies pertinent knowledge vis-à-vis the targets of as per strategic plan of the SAI.</li> </ul>	<ul style="list-style-type: none"> <li>Analyzes substantial and material compliance of the reports produced and/or submitted in the execution of the function.</li> <li>Identifies relative concerns, in coordination with the immediate superior, to improve performance of duties.</li> </ul>	<ul style="list-style-type: none"> <li>Plans and ensures implementation of the office/department's commitment to succeed.</li> </ul>	
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Manifests basic understanding of the implementation of strategic plan of the SAI by demonstrating familiarity with its structured procedures.</li> <li>Prepares requirements, organizes schedules and related activities.</li> <li>Keeps abreast with the updates from the relative body/ group/committee.</li> <li>Complies with the given tasks on a timely manner.</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrates clearer understanding of work delineation and the policy's shared goal.</li> <li>Conducts research and gathers information/data necessary in formulating plans.</li> <li>Ensures compliance with the basic requirements embodied in the strategic plan of the SAI or as per its policy issuances, and other internal procedures.</li> </ul>	<ul style="list-style-type: none"> <li>Reviews and analysis of procedural compliance of the reports.</li> <li>Formulates timely and relevant strategies in the effective facilitation of the office/ department's responsibility in the implementation strategic plan of the SAI.</li> <li>Demonstrates ability to evaluate requirements of the report, certifies correctness, and identifies courses of</li> </ul>	<ul style="list-style-type: none"> <li>Takes the lead in formulating strategic plans by developing action plans and mechanisms to facilitate the achievement of SAI goals.</li> <li>Inspires and influences others to assume ownership of organization's goals and direction.</li> <li>Decides on matters raised in consultation.</li> </ul>	

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F8]	HUMAN RESOURCE MANAGEMENT – PERFORMANCE MANAGEMENT		
<i>Provides efficient auxiliary processes through review, facilitation, monitoring and documentation of relevant forms, records and documents to ensure effective operation of a significant fragment of the strategic plans of the SAI.</i>				
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
	<ul style="list-style-type: none"> <li>Writes simple pro-forma communications such as, but not limited to, acknowledgment and transmittal letters relative to performance management.</li> </ul>	<ul style="list-style-type: none"> <li>Recommends key solutions on conflict areas found in the course of implementation.</li> <li>Decides promptly on plain and simple queries raised on performance management.</li> </ul>	<ul style="list-style-type: none"> <li>action to assure substantial completeness thereof.</li> <li>Exhibits initiative in coordinating with management strategies to successfully bring about sound reports.</li> <li>Recommends areas of focus and enhancements in the work plans.</li> </ul>	

ASEANSAI COMPETENCY FRAMEWORK	[F9]	HUMAN RESOURCE MANAGEMENT – PROMOTION		
DEFINITION	<i>Establishes and implements a competency-based system in the selection of qualified candidates for promotion by ensuring that the procedures adopted are fair, consistent and compliant with the existing Personnel/Civil Service law and rules and other applicable laws.</i>			
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
DESCRIPTION	<ul style="list-style-type: none"> <li>Demonstrates basic knowledge of existing policies, rules, and regulations on promotion.</li> </ul>	<ul style="list-style-type: none"> <li>Manages administrative /clerical functions to facilitate the promotion process.</li> </ul>	<ul style="list-style-type: none"> <li>Formulates policies for the enhancement of promotion process.</li> </ul>	<ul style="list-style-type: none"> <li>Recommends enhancements promotion policies and procedures for approval of the appointing authority.</li> </ul>
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Demonstrates awareness of basic</li> </ul>	<ul style="list-style-type: none"> <li>Performs initial assessment on</li> </ul>	<ul style="list-style-type: none"> <li>Evaluates results of initial assessment vis-à-</li> </ul>	

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F9]	HUMAN RESOURCE MANAGEMENT – PROMOTION		
DEFINITION	<i>Establishes and implements a competency-based system in the selection of qualified candidates for promotion by ensuring that the procedures adopted are fair, consistent and compliant with the existing Personnel/Civil Service law and rules and other applicable laws.</i>			
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
	<p>policies, rules and regulations of competency-based promotion.</p> <ul style="list-style-type: none"> <li>Provides primary information on promotion process and documentary requirements.</li> <li>Acts on simple queries/concerns of clientele, within the scope of his/her work.</li> <li>Complies with policies and procedures of promotion.</li> </ul>	<p>candidate's profile and his/her rank in the ranking list and submit results.</p> <ul style="list-style-type: none"> <li>Administers assessment instruments and submits results.</li> <li>Facilitates the conduct of information awareness on the agency's promotion process.</li> </ul>	<p>vis required competencies and assessment instruments administered.</p> <ul style="list-style-type: none"> <li>Keeps abreast with updates on matters relating to promotion and propose enhancements.</li> <li>Monitors compliance with policies and procedures of promotion.</li> <li>Validates the accuracy of competency-based assessment results and provides report to appointing authority.</li> </ul>	<ul style="list-style-type: none"> <li>Develops enhancements/ improvements based on suggestions/ inputs and submit proposals to higher authorities.</li> </ul>

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK		[F10]	HUMAN RESOURCE MANAGEMENT – REWARDS AND RECOGNITION		
<i>Reviews, develops and implements programs to reward and recognize employees who have displayed outstanding performance and behavior pursuant to existing guidelines and resolution, rules and regulations.</i>					
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)	
DESCRIPTION	<ul style="list-style-type: none"> <li>Demonstrates basic knowledge on the existing rules and regulations on rewards and recognition.</li> </ul>	<ul style="list-style-type: none"> <li>Evaluates nomination folders in accordance with existing rules and regulations on rewards and recognition.</li> </ul>	<ul style="list-style-type: none"> <li>Recommends enhancement to the existing policies on rewards and recognition program.</li> </ul>	<ul style="list-style-type: none"> <li>Develops enhancement/revision to the existing policies on rewards and recognition.</li> </ul>	
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Applies the basic rules and policies on rewards and recognition in processing the nomination documents.</li> </ul>	<ul style="list-style-type: none"> <li>Evaluates nomination folders vis-à-vis the category of awards where nominated.</li> <li>Provides adequate and prompt information to stakeholders concerning awards and recognition.</li> <li>Ensures the conduct of information awareness on rewards and recognition system.</li> </ul>	<ul style="list-style-type: none"> <li>Leads the conduct of comparative studies on rewards and recognition through benchmarking with other government agencies and private entities.</li> <li>Keeps abreast of current trends and developments on rewards and recognition.</li> <li>Analyzes information based on data gathered which will serve as inputs to evaluate/assess current practices to identify areas of improvement.</li> <li>Assesses/evaluates the implementation of rewards.</li> </ul>	<ul style="list-style-type: none"> <li>Develops and recommends policy guidelines on rewards and recognition to ensure the adoption of best practice and alignment to the objectives of the awards program.</li> <li>Recommends the conduct of programs, projects and activities pertaining to rewards and recognition.</li> <li>Advocates approved-rewards and recognition program.</li> </ul>	

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK		[F11]	HUMAN RESOURCE MANAGEMENT – LEARNING AND DEVELOPMENT (Learning Needs Assessment)		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)	
DESCRIPTION	<ul style="list-style-type: none"> <li>Implements Learning Needs Assessment (LNA) data-gathering tools and processes</li> </ul>	<ul style="list-style-type: none"> <li>Formulates LNA Plan including assessment tools and implementation strategies</li> </ul>	<ul style="list-style-type: none"> <li>Oversees the implementation of the LNA Plan and recommends appropriate L and D interventions to address resulting performance gaps</li> </ul>	<ul style="list-style-type: none"> <li>Promotes institutional improvement policies by employing LNA results to achieve desired organizational performance results</li> </ul>	
	<ul style="list-style-type: none"> <li>Demonstrates knowledge on the use of basic LNA tools/methodologies</li> <li>Demonstrates willingness in recording data during conduct of LNA activities (i.e., survey questionnaires, interviews, focus group discussion, etc.)</li> <li>Conducts identified activities according to the LNA Plan with minimal supervision</li> </ul>	<ul style="list-style-type: none"> <li>Implements the LNA Plan by utilizing identified strategies and tools</li> <li>Applies principles and procedures required to implement the LNA Plan</li> <li>Analyzes input data to provide required documentation and initial recommendation</li> </ul>	<ul style="list-style-type: none"> <li>Recommends the design of appropriate L and D interventions to address the identified competency gaps</li> <li>Recommends the development and/or enhancement of coursewares in accordance with the identified learning needs</li> <li>Identifies courses for the formulation of the training plan utilizing the LNA results</li> </ul>	<ul style="list-style-type: none"> <li>Directs SAI towards a competency-based capacity - building</li> <li>Formulates policies that allow for or facilitate continuous professional development for employees to contribute to the attainment of SAI's strategies, goals, and objectives.</li> <li>Provides key strategic advice and/or participates in decision-making relative to addressing institutional performance gaps</li> </ul>	

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK		[[F12]]	HUMAN RESOURCE MANAGEMENT - LEARNING AND DEVELOPMENT (Program/Course Design and Development)		
LEVEL	BASIC (1)		INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
DESCRIPTION	<ul style="list-style-type: none"> <li>Provide input in the designing or development of learning materials</li> </ul>	<ul style="list-style-type: none"> <li>Designs training programs/courses by applying adult learning principles and experiential learning techniques</li> </ul>	<ul style="list-style-type: none"> <li>Develops and/or enhances training programs/courses in accordance with the design frameworks and models adhered to by the SAI</li> </ul>	<ul style="list-style-type: none"> <li>Recommends areas of focus and enhancements and provides direction in all training programs and learning and development projects</li> </ul>	
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Demonstrates knowledge on course design and development frameworks/models</li> <li>Complies with requirements in updating inventory of available programs/ courses</li> <li>Applies research methodology in designing training/ learning methodologies and activities</li> </ul>	<ul style="list-style-type: none"> <li>Ensures design is based on adult learning principles and experiential learning techniques</li> <li>Formulates a design matrix by applying the learning needs assessment results</li> <li>Establishes training programs/courses for design and development and/or enhancement based on learning and development assessment.</li> </ul>	<ul style="list-style-type: none"> <li>Recommends improvements on the course design and develops frameworks/ models in accordance with SAI standards in training-service delivery</li> <li>Develops appropriate training programs/ courses by ensuring its relevance with the targeted learning needs and design matrix</li> <li>Provides technical knowledge to internal and external subject matter experts (SMEs) on the course design and development procedures and processes of the SAI</li> </ul>	<ul style="list-style-type: none"> <li>Provides advice and consultation to ensure completeness and viability of the program/course developed by course designers and SMEs</li> <li>Recommends new methodologies, strategies and approaches to program/course design and development</li> </ul>	

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[F12]	HUMAN RESOURCE MANAGEMENT - LEARNING AND DEVELOPMENT (Program/Course Design and Development)		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
			<ul style="list-style-type: none"> <li>Analyzes program issues and concerns affecting implementation</li> </ul>	

ASEANSAI COMPETENCY FRAMEWORK	[F13]]	HUMAN RESOURCE MANAGEMENT- LEARNING AND DEVELOPMENT (Program/Course Delivery and Administration)		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
DESCRIPTION	<ul style="list-style-type: none"> <li>Effectively manages training classes to create an environment conducive to learning.</li> </ul>	<ul style="list-style-type: none"> <li>Effectively and efficiently employs Office's training policies and procedures in the delivery and administration of training to ensure application of learning in the workplace.</li> </ul>	<ul style="list-style-type: none"> <li>Recommends relevant and responsive training administration policies and procedures to enhance organizational learning.</li> </ul>	<ul style="list-style-type: none"> <li>Develops and establishes strategic policies and procedures significant to organizational learning.</li> </ul>
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Timely performs the administrative activities needed prior to the conduct of training</li> <li>Identifies resource persons (RPs) for the seminar/training class assigned</li> <li>Effectively performs/conducts opening</li> </ul>	<ul style="list-style-type: none"> <li>Implements training policies and procedures</li> <li>Plans and executes thoroughly the operational and logistical requirements of a learning/training activities within a timeline.</li> </ul>	<ul style="list-style-type: none"> <li>Oversees the overall conduct of the training programs by methodically organizing training plans to ensure a productive outcome.</li> <li>Formulates training standards and policies for effective implementation of training.</li> </ul>	<ul style="list-style-type: none"> <li>Advocates innovative approaches to learning and development that are specific to the needs of learners and/or the learning situations</li> <li>Strategizes for an organization-wide training plan to assure that attainment of</li> </ul>

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK		[F13]]	HUMAN RESOURCE MANAGEMENT- LEARNING AND DEVELOPMENT (Program/Course Delivery and Administration)		
<i>Manages the conduct of seminars/trainings classes in accordance with the training office's policies, standards and established practices/procedures.</i>					
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)	
	<p>activities and closing activities (e.g. doing the getting to know you/ icebreakers, energizers, etc.)</p> <ul style="list-style-type: none"> <li>Effectively manages classroom activities</li> <li>Addresses both participants and RPs basic concerns arising during the conduct training classes</li> </ul>	<ul style="list-style-type: none"> <li>Implements contingency plans/activities to address critical situations arising during the conduct of training program.</li> <li>Manage equipment and training/learning materials/aids</li> </ul>		organizational goals/targets	

ASEANSAI COMPETENCY FRAMEWORK		[F14]	HUMAN RESOURCE MANAGEMENT - LEARNING AND DEVELOPMENT (Measurement and Evaluation)		
<i>Determines level of learning and development interventions/programs given to SAI employees by identifying the interconnection of learning gaps across various units/offices and its impact to institutional level, thus, attaining identified goals of the organization.</i>					
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)	
DESCRIPTION	<ul style="list-style-type: none"> <li>Applies basic learning measurement and evaluation methods.</li> </ul>	<ul style="list-style-type: none"> <li>Evaluates learning interventions by applying SAI's learning measurement and evaluation strategy.</li> </ul>	<ul style="list-style-type: none"> <li>Oversees the conduct of measurement in all levels of evaluation of learning interventions in accordance with the SAI's standards.</li> </ul>	<ul style="list-style-type: none"> <li>Establishes policies and procedures on measurement and evaluation of learning intervention based on learning results to promote individual and</li> </ul>	

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[[F14]]	HUMAN RESOURCE MANAGEMENT - LEARNING AND DEVELOPMENT (Measurement and Evaluation)		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>• Demonstrates knowledge on learning measurement and evaluation principles and methodologies.</li> <li>• Demonstrates willingness to conduct learning measurement and different levels of evaluation (e.g., reaction, learning, behavior and results) as assigned by superiors including systematic consolidation.</li> </ul>	<ul style="list-style-type: none"> <li>• Develops and/or enhances instruments/tools for learning measurement and evaluation for approval of higher authority.</li> <li>• Analyzes input data as result of learning measurement and evaluation to provide required documentation.</li> <li>• Conducts research and/or benchmark on learning intervention evaluation approaches from different L&amp;D and training-service providers.</li> </ul>	<ul style="list-style-type: none"> <li>• Designs a comprehensive learning measurement and evaluation plan guided by learning and development principles and best practices.</li> <li>• Develops evaluation instruments/tools to determine behavioral changes on job performance and its impact on the organization.</li> <li>• Establishes appropriate learning interventions or programs/courses for development or utilization based on the learning results and L&amp;D interventions.</li> <li>• Analyzes program issues and concerns affecting implementation by summarizing/synthesizing</li> </ul>	<p>institutional professional development.</p> <ul style="list-style-type: none"> <li>• Recommends a responsive L and D plan that addresses the needs and/or gaps to meet the organizational goals based on learning results and impact evaluation.</li> <li>• Sets the overall direction of the implementation of SAI's learning measurement and evaluation strategy/scheme.</li> <li>• Provides strategic advice and participates in the decision-making process in ensuring organizational performance and effective and cost-efficient return of investment in L and D and training programs/courses.</li> </ul>

# FUNCTIONAL COMPETENCIES

ASEANSAI COMPETENCY FRAMEWORK	[[F14]]	HUMAN RESOURCE MANAGEMENT - LEARNING AND DEVELOPMENT (Measurement and Evaluation)		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
			the data gathered and making the necessary recommendations.	

ASEANSAI COMPETENCY FRAMEWORK	[[F15]]	USE OF DIGITAL TECHNOLOGY		
LEVEL	BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
DESCRIPTION	<ul style="list-style-type: none"> <li>Demonstrates an understanding of how to use technology in the performance of assigned tasks.</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrates an ability to use technology in the improvement of one's skills in the performance of assigned tasks.</li> </ul>	<ul style="list-style-type: none"> <li>Independently demonstrates the ability to use multiple types of hardware and software.</li> </ul>	<ul style="list-style-type: none"> <li>Recommends appropriate and updated technology to enhance productivity and professional practice.</li> </ul>
BEHAVIORAL INDICATORS	<ul style="list-style-type: none"> <li>Produces and manages office documents/ memos/ letters using a computer.</li> <li>Uses appropriate research tools as necessary.</li> <li>Communicates using digital tools such as email; instant messaging, etc.</li> <li>Uses computer to prepare and present</li> </ul>	<ul style="list-style-type: none"> <li>Analyzes quantitative data using spreadsheets and presents data with tables and graphs.</li> <li>Uses effective online search strategies and applies most effective search techniques to produce useful online resources in the workplace.</li> <li>Collaborates online for learning using digital tools in the workplace.</li> </ul>	<ul style="list-style-type: none"> <li>Uses specialized graphic organizer programs as well as presentation programs to create digital representations of data/information.</li> <li>Evaluates and compares online information and sources and the ability to determine the difference between authoritative and untrustworthy sources.</li> </ul>	<ul style="list-style-type: none"> <li>Recommends technologies in enhancing procedures and processes.</li> <li>Establishes policy that provides opportunities for the development of technical skills.</li> <li>Provides a means of continuing support for the use of technology.</li> </ul>

# FUNCTIONAL COMPETENCIES

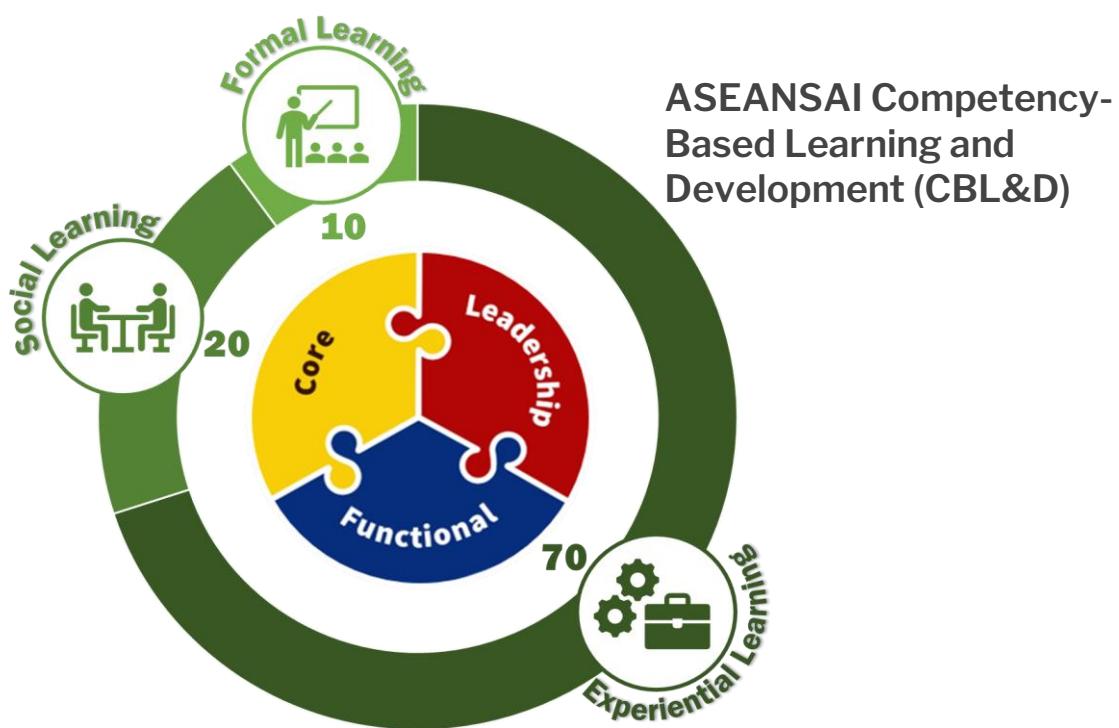
ASEANSAI COMPETENCY FRAMEWORK		[[F15]]	USE OF DIGITAL TECHNOLOGY		
		<i>Uses digital technology as an effective tool in managing day-to-day operations, enhancing productivity in the performance of assigned tasks.</i>			
LEVEL		BASIC (1)	INTERMEDIATE (2)	ADVANCED (3)	SUPERIOR (4)
		ideas in a variety of forms/presentation slides for better understanding by end-user/co-employees.	<ul style="list-style-type: none"> <li>Uses technology-enabled equipment like digital still and video cameras to produce presentation materials</li> </ul>	<ul style="list-style-type: none"> <li>Encourages online collaboration among co-employees and posts/publishes learning materials online for use of employees.</li> </ul>	

**ASEANSAI**  
**COMPETENCY-BASED**  
**LEARNING AND**  
**DEVELOPMENT**  
**FRAMEWORK**

## I. Introduction

Under the ASEANSAI Training Committee Work Plan for Biennium 2024-2025, pursuant to the strategic goal to foster capacity development among Supreme Audit Institutions (SAIs), the Training Committee (TC) aims to shift the capacity development paradigm from training to learning and development (L&D). Training is an instructor-led, content-driven, structured process to facilitate change in attitudes and behavior through the acquisition of knowledge and skills in a safe environment away from work.<sup>1</sup> It is smaller in scope and more specific than learning. Learning, on the other hand, is a collective term that refers to both training and non-training interventions for the development of an institution's personnel.

The TC L&D framework shall be based on the 70:20:10 Learning Model, as the TC seeks to shift from the traditional concept of training that is instructor-led, to the more current and all-encompassing concept of L&D, which is more learner-driven instead. With this, the TC emphasizes that L&D does not only occur in classroom training but beyond the actual workflows, which also underscores that L&D is the responsibility of everyone in the organization. In addition, this framework is designed to develop key skills, knowledge, and attitudes in member SAIs with a focus on creating a well-rounded approach to personal and professional development, ensuring that member SAIs gain the necessary competencies outlined in the ASEANSAI Competency Framework in order to succeed in their roles and advance within their respective SAIs.



<sup>1</sup> IDI Manual Learning for Impact (2015)

## II. The 70-20-10 Model

The 70:20:10 Model was conceptualized in the 1980s by McCall, Lombardo, and Eichinger, who were researchers working with the Center for Creative Leadership at the time. This model is based on the principle that 70% of learning comes from experience, experiment, and reflection, 20% comes from working with others, and 10% comes from formal interventions.<sup>2</sup> These different categories refer to the various interventions from which people acquire the competencies that are required for them to perform their job in their respective workplaces.

The largest category of interventions, known as the "70" category, is derived from performing tasks/hands-on in the workplace, on-the-job experiences, and finding solutions to challenges at work. This is where learning happens through doing. Experiential learning enhances knowledge and develops skills by actively engaging in workplace tasks (real-world experiences).

The '20' category focuses on social learning – learning through relationships, interactions, and feedback from managers and peers. The principle is through observing other people, collaborating with them, and receiving feedback from them, learners gain new knowledge and develop skills enabling them to perform well.

The "10" category is the smallest portion for the learning of an individual. This refers to formal interventions such as structured learning programs or training. Although this category has a smaller impact on overall learning, it helps to build and strengthens the knowledge foundation and theoretical understanding needed for applying skills in the workplace.

The 70:20:10 model provides a balanced approach to learning by emphasizing the blend of experiential, social, and formal interventions. Whilst modern studies have presented that the blend has been continually evolving, the model remains to be a good reference and reminder for organizations to extend their focus on L&D beyond the classroom, to build more resilient workforces, and create cultures of continuous learning<sup>3</sup>.

Because it is based on a more holistic perspective, the 70:20:10 Model inherently allows for a plethora of learning and development interventions, including those that can be facilitated in the work setting (*see Table on next page*). This provides access to more practical and cost-effective substitutes for conducting classroom-based training. Moreover, diversification of instructional strategies could help facilitate learning and retention better. Some of the learning interventions may even be combined should they be specifically required in addressing the competency needs of the employees of an organization, and so long as it aligns with the organization's L&D priorities. These interventions may be classified as a type of formal classroom training, on-the-job training, self-development activities, or other developmental activities/interventions. And depending on its context, a classification may also be used or found in both 20% (Social Learning) and 70% (Experiential Learning), given that both involve integration into the workflows or operations. An example of this is on-the-job training, wherein some interventions fall under 20% and some fall under 70%.

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<sup>2</sup> 702010institute.com

<sup>3</sup> Arets, Jennings and Heijnen (2016). 70:20:10 into action.

<b>THE 70-20-10 MODEL TABLE OF LEARNING INTERVENTIONS FOR INDIVIDUAL DEVELOPMENT</b>		
<b>10% - Formal Learning</b>	<b>20% - Social Learning</b>	<b>70% - Experiential Learning</b>
<b>Formal Classroom Training</b> <ul style="list-style-type: none"> <li>• In house training</li> <li>• External training</li> </ul>	<b>On-the-Job Training</b> <ul style="list-style-type: none"> <li>• Coaching on the job</li> <li>• Knowledge sharing and learning session</li> <li>• Shadowing</li> <li>• Counseling</li> <li>• Team building</li> <li>• <i>Participating in feedback sessions</i></li> <li>• Meetings of professional organization body and their technical discussion groups</li> </ul>	<b>On-the-Job Training</b> <ul style="list-style-type: none"> <li>• Cross-program, job rotation, rotational assignment, or temporary assignment</li> <li>• Secondment</li> </ul>
<b>Self-Development</b> <ul style="list-style-type: none"> <li>• Programmed self-study through a third-party provider, including self-study video or audio packages</li> <li>• Working on eLearning courses, PC tutorials or computer-assisted training program or webinar on</li> <li>• Taking evening or weekend courses</li> <li>• Tertiary courses run by academic/ educational institutions</li> <li>• <i>Taking part in the Continuous Professional Development Programs</i></li> <li>• Reading books and other publications or journals (<i>exposure to academic resources such as journals and other publications</i>)</li> </ul> <p><b>Developmental Activities</b></p> <ul style="list-style-type: none"> <li>• Appropriate educational and developmental activities presented under the auspices of the <i>SAI</i>, academic/ educational institutions, commercial establishments or other professional bodies such as but not limited to congresses, conferences, forums, conventions, courses, seminars, workshops, lectures, brown bag discussions, orientations,</li> </ul>		<b>Developmental Activities/ Interventions</b> <ul style="list-style-type: none"> <li>• Special work project</li> <li>• Added responsibilities</li> <li>• Service on technical or research committees, Task Forces or Committee assignments sanctioned by the <i>SAI</i>, or other professional bodies or organizations</li> <li>• Researching and writing technical publications (i.e., related to the field of work of the concerned official or employee), preparation and delivery of technical papers</li> </ul>

<b>THE 70-20-10 MODEL TABLE OF LEARNING INTERVENTIONS FOR INDIVIDUAL DEVELOPMENT</b>		
<b>10% - Formal Learning</b>	<b>20% - Social Learning</b>	<b>70% - Experiential Learning</b>
briefings and other professional educational activities <ul style="list-style-type: none"> <li>• Scholarships, bursaries and other similar means</li> </ul>		

Source: CSC Competency-based Learning and Development (2014-2016) from: <https://web.csc.gov.ph/2014-02-21-08-28-23/pdf-files/category/143-l-d-plan-2014-2016.html>

### **Classification of some of the common learning interventions as to cost, complexity and resource intensity**

<b>Level</b>	<b>Cost &amp; Intensity</b>	<b>Learning Methods</b>
Level 1	Low-Cost / Low Complexity / Low Resources	<ul style="list-style-type: none"> <li>• Shadowing</li> <li>• Knowledge-sharing sessions</li> <li>• Coaching On-the-job</li> <li>• Peer learning</li> <li>• Job aids &amp; checklists</li> </ul>
Level 2	Moderate Cost / Medium Complexity / Moderate Resources	<ul style="list-style-type: none"> <li>• E-learning</li> <li>• In-house training/workshops</li> <li>• Webinars</li> <li>• Blended learning</li> <li>• Internal certifications</li> </ul>
Level 3	High Cost / High Complexity / High Resources	<ul style="list-style-type: none"> <li>• Secondment</li> <li>• Job rotation</li> <li>• Scholarships</li> <li>• External training programs</li> </ul>

#### *Level 1: Low-Cost, Low-Complexity*

These approaches are accessible, require minimal direct expenditure, and can often be implemented using existing SAI resources. They are best suited for enabling rapid knowledge transfer, building foundational skills, and fostering a culture of continuous, peer-driven learning.

- Shadowing: Employees observe experienced colleagues performing their roles, gaining insights into workflows and best practices through real-time exposure.
- Knowledge-Sharing Sessions: Informal gatherings or structured meetings where team members present on specific topics, share lessons learned, or discuss innovations.
- Coaching On-the-Job: Supervisors or mentors provide guidance and feedback as employees perform their regular duties, supporting skill development in practical contexts.
- Peer learning: Learning from colleagues through collaboration and sharing of knowledge.
- Job aids & checklists: Tools and resources that help employees perform their tasks more efficiently.

### *Level 2: Moderate Cost and Mid -level Complexity*

These methods involve a higher degree of structure and may require dedicated materials, platforms, or resource persons/instructors/subject matter experts. They often target the development of specific competencies or compliance with regulatory requirements and usually require moderate financial and SAI investment.

- **E-Learning:** Employees complete online courses, modules, or certifications at their own pace. Investments typically include course development, licensing, and learning management systems.
- **In-House Training/Workshop:** Instructor-led sessions or workshops held within the organization, utilizing internal or external trainers to address specific knowledge or skill gaps.
- **Webinars:** Online seminars or workshops conducted over the internet.
- **Blended learning:** A mix of traditional face-to-face and online learning methods.
- **Internal certifications:** Certifications provided by the SAI to validate the skills and knowledge of employees.

### *Level 3: High Cost, High Complexity, and Resource-Intensive*

These approaches demand substantial financial cost, significant planning, and often disrupt regular operations. They are generally reserved for developing advanced skills, leadership capabilities, or supporting strategic talent mobility within the organization.

- **Secondment:** Employees are temporarily assigned to different roles, departments, or even external organizations to broaden their experience and perspective. This method requires careful coordination and resource allocation.
- **Job Rotation:** Staff systematically move between roles or functions over a defined period, developing a holistic understanding of the organization and building a versatile skill set.
- **Scholarships:** The SAI sponsors formal education or advanced training for employees, often leading to certifications or degrees. This represents a significant investment in both time and financial resources.
- **External training programs:** Training programs conducted by external providers or institutions.

By classifying learning methods according to cost, complexity, and resource intensity, SAIs can make informed decisions about which approaches best align with their strategic objectives, budgets, and development needs. A blended learning strategy—drawing from each level—often yields the most effective and sustainable outcomes.

## **Professional Pronouncements on Learning and Development**

### **ISSAI 150 - Auditor Competence**

In alignment with the requirement of ISSAI 100 for each SAI to establish and maintain a system for competency management at the organization level, ISSAI 150 focuses on the fundamental importance of recruitment, development, evaluations, and retention of the workforce, as well as how its quality, integrity and competence determine the ability of the SAI to fulfill its mandate. It particularly identifies four (4) organizational requirements that underpin a SAI's responsibilities towards auditor competence.

Part of the organizational requirements identified by ISSAI 150 is for the SAIs to determine and document relevant competencies required for all auditors to fulfill the SAI mandate, and to establish dedicated pathways for the professional development of auditors, specifically tailored to the SAI's mandate, regulatory framework, organization structure and needs. To help the SAIs fulfill these requirements, the INTOSAI issued respective guidance documents as part of the INTOSAI Framework of Professional Pronouncements (IFPP), namely G UID 1950 and G UID 1951.<sup>4</sup>

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<sup>4</sup> ISSAI 150: Auditor Competence

## **GUID 1950 - Guidance on the development of competency frameworks for auditors**

In fulfillment of the organizational requirement 1 of ISSAI 150 which requires the SAI to determine and document relevant competencies required for all auditors to fulfill the SAI mandate, GUID 1950 provides a guidance on SAIs on how to determine competencies that will satisfy the requirements of ISSAI and other auditing standards adopted by the SAI, and the SAI's mandate.<sup>5</sup>

In addition, GUID 1950 also helps fulfill to some degree ISSAI 150's organizational requirement 4, which requires SAIs to develop and implement the means for assessment of competencies and monitoring the self-development progress of auditors periodically.

The objective of the GUID 1950 is to provide an outline of a fundamental procedure that can assist a SAI in identifying the competencies that best reflect the distinct aspects of public-sector auditing and completely outline the needs of a specific SAI. This GUID also aids SAIs in carrying out and putting the ISSAI 150 standards into practice.

## **GUID 1951 - Guidance on the development of pathways for professional development of auditors**

GUID 1951 was developed to support SAIs in implementing and applying organizational requirement 3 of ISSAI 150. It provides a ten-step process as a clear, structured and practical means that will enable SAIs to develop a pathway or pathways for the professional development of their auditors.<sup>6</sup>

Consistent with the essence of the 70:20:10 Model, GUID 1951 also underscores how learning should span beyond training in order to be truly effective, as one of the steps in the process requires ensuring that the workplace supports the application of the knowledge and skills acquired from the development pathways or learning and development programs.

Specifically, the ten-step process starts with deciding on an approach to address the identified competency gaps. To anchor on the 70:20:10 Model, it is crucial to identify the intended organizational outcomes, then through inference, determine the processes and key competencies needed to achieve the desired outcomes and work on creating and developing solutions using the 70, 20, and 10, methods, respectively. Thereafter, it is critical to create a work environment that is enabling and facilitative of the utilization of newly acquired knowledge and skills, and all other outcomes of the professional development pathways or programs developed by the organization. This entails securing the buy-in of the leadership and management, providing capacity-building opportunities to supervisors, and acquiring funding to enable the identified solutions to function and be applied in the workplace.

Subsequently, this leads to the actual designing of the professional development pathways, which requires the CBL&D unit to develop program objectives, training techniques, and resources, and determine learning delivery methods using the 70:20:10 formula.

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<sup>5</sup> GUID 1950: Guidance on the development of competency frameworks for auditors

<sup>6</sup> GUID 1951: Guidance on the development of pathways for professional development of auditors

### **III. Designing Effective Professional Development Pathways using the 70:20:10 Model**

The process of designing professional development pathways using the 70:20:10 Model basically requires that for each target competency, there should be a mix of learning and development interventions that consist of the following, approximately:

- 70% = Experiential Learning: This places emphasis on on-the-job training, exposure to challenging tasks, problem-solving, project management, innovation, and leadership, among others. The development of competencies such as Adopting Innovation, Thinking Strategically and Creatively, and conducting audits are achieved through workplace experiences. This corresponds with G UID 1951's emphasis on continuous learning through professional practice and actual work tasks, which allow auditors and employees to hone and develop their competencies in dynamic environments.

#### To Increase Focus on Experiential Learning (70%)

*Practical Application:* While the framework acknowledges that 70% of learning happens through on-the-job experiences, it could further promote initiatives that embed experiential learning directly into everyday tasks. For example, assigning more challenging real-world projects, creating opportunities for job rotations, or involving employees in cross-functional teams can enhance practical learning.

*Innovation and Leadership:* Encourage SAIs to integrate leadership roles and innovation challenges into daily work environments. This would allow auditors to engage in problem-solving and decision-making, fostering a deeper understanding of complex tasks through hands-on experiences.

- 20% = Social Learning: This focuses on learning interventions that involve learning with others, such as coaching, mentoring, collaborative team activities, and peer feedback. G UID 1951 recognizes the crucial role of coaching and mentoring as a significant key to maintaining quality and consistency in conducting audits. This is also critical in promoting a collaborative culture within SAIs and other organizations, improving interpersonal competencies following international best practices

#### To Enhance Social Learning Opportunities (20%)

*Structured Mentoring and Coaching Programs:* The framework highlights mentoring and peer feedback but could expand structured mentoring programs that pair less experienced auditors with senior professionals. Regular coaching sessions and collaboration on audits can strengthen peer learning.

*Collaborative Learning Platforms:* Develop and promote platforms for virtual collaboration and peer learning, allowing auditors from different SAIs in ASEAN to share knowledge and best practices. Regular webinars, discussion groups, and peer feedback systems would reinforce this aspect of learning.

- 10% = Formal Learning: This refers to structured training interventions that may be conducted online or offline. Structured training programs are essential for developing subject matter expertise including audit industry knowledge, audit and regulatory standards, and advanced skills. In alignment with the 6th step in G UID 1951's guide in

the establishment of a pathway for professional development in SAI, formal learning ensures that auditors and employees are equipped with the foundational knowledge and skills necessary to perform audits and other job-specific tasks in the workplace.

#### To Strengthen the Integration of Formal Learning (10%)

*Tailored Formal Training Programs:* The framework continues to support formal learning but could emphasize more specialized, role-based training programs. Formal interventions should be continuously updated to align with emerging audit standards and practices.

**Blended Learning Solutions:** The use of online tools and virtual classrooms can enhance accessibility and convenience. Encouraging e-learning courses combined with practical application would help auditors to quickly transfer formal knowledge to real-world tasks.

It must be highlighted that the identification of the 70:20:10 learning interventions must be aligned with the organizational objectives and the target performance outcomes, which is rudimentary in extending learning and development out into the work setting or the operations. This requires a shift to a paradigm where L&D upholds a culture of “learning by doing” – one that is focused more on organizational learning and performance. This can only be made possible by introducing and incorporating a new approach and new roles that span across L&D and Performance Management.<sup>7</sup>

Below are the five new roles that will help build a tangible connection to the organization’s operations, to integrate learning into the workplace:

- The Performance Detective - responsible for analyzing organizational performance and the underlying causes of poor performance and source of improvement opportunities.
- The Performance Architect - in charge of delivering and drafting the design for the 100, which includes a high-level implementation plan for the 70:20:10 interventions.
- The Performance Master Builder - responsible for constructing the detailed 70:20:10 interventions, in that specific order. This process facilitates the shift into focusing the development of 70 and 20 interventions above that of the 10 or formal interventions.
- The Performance Game Changer - in charge of implementing the full spectrum of the 70:20:10 interventions. Additional responsibility includes creating the connection of the 70:20:10 interventions to the organization which requires communication initiatives.
- The Performance Tracker - in charge of monitoring and evaluating the progress of the desired performance improvements

The goal of this new approach is to establish a strong, seamless link between the CBL&D function and the organization’s core services or operations, in order to ensure that learning and development does not stop in formal training but becomes continuous and embedded in the employees’ work. It must be emphasized, however, that these new roles do not need to be created as additional or actual new roles in the organization. The key is for these functions to be considered in reprogramming how L&D and Performance will operate alongside each other in the new paradigm.

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<sup>7</sup> Arets, J. (2017). New Value Creation with four business models for L&D.

## **Leveraging Leadership and Management Support**

**Leadership Buy-In:** To ensure that the 70:20:10 model is successfully adopted, senior management within SAIs must actively support and promote the integration of learning into daily workflows. This can be done by creating a culture where learning is seen as part of the work process rather than a separate activity.

**Incentivizing Learning:** SAIs could implement incentive structures that reward employees who actively participate in learning opportunities, whether through mentoring, leading projects, or engaging in formal training.

## **Regular Monitoring and Adaptation**

**Performance Tracking:** The roles of Performance Tracker and Game Changer, as mentioned in the framework, should be given prominence in ensuring continuous evaluation of the 70:20:10 interventions. Regular assessments will help in adapting learning strategies based on performance outcomes.

**Feedback Loops:** Establish feedback mechanisms where employees can provide input on the effectiveness of the learning programs. This helps in refining the learning approaches and ensuring they meet organizational needs.

By enhancing experiential learning, expanding social learning opportunities, and providing tailored formal training, ASEANSAI can effectively promote the 70:20:10 model. Encouraging leadership support, innovation in learning methods, and regular monitoring will further ensure that learning and development is seamlessly integrated into the daily operations of SAIs.

In summary, the integration of the 70:20:10 Model, the ASEANSAI Competency Framework, as well as the INTOSAI GUIDs, standards, and pronouncements, into the ASEANSAI CBL&D Framework aim to create a comprehensive approach to personal and professional growth in the field of public sector audit. It not only aims to help audit professionals build and develop the required competencies for their respective roles but also ensures that the competencies are aligned with the strategic objectives of the SAIs, ensuring both individual and organizational success.

**ASEANSAI  
COACHING AND  
MENTORING STRATEGY**

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## Acronyms

<b>ASEANSAI</b>	Association of Southeast Asian Nations Supreme Audit Institutions
<b>EMCC</b>	European Mentoring and Coaching Council
<b>HR</b>	Human Resource
<b>IDP</b>	Individual Development Plan
<b>INTOSAI</b>	International Organization of Supreme Audit Institutions
<b>INTOSAI CBC</b>	International Organization of Supreme Audit Institutions Capacity Building Committee
<b>ISSAI</b>	International Standards of Supreme Audit Institutions
<b>KPI</b>	Key Performance Indicator
<b>KRA</b>	Key Result Area
<b>KSA</b>	Knowledge, Skills, Attitudes
<b>L&amp;D</b>	Learning and Development
<b>MPC</b>	Mentoring Program Committee
<b>OSKAR</b>	Outcome, Scaling, Know-how, Affirm and Action, Review
<b>SAI</b>	Supreme Audit Institutions
<b>SMART</b>	Specific, Measurable, Achievable, Relevant, and Time-bound
<b>SME</b>	Subject Matter Expert
<b>TC</b>	Training Committee

## **Glossary of Common Terms Used**

<b>Coach</b>	a professional who offers structured and collaborative guidance, support, and motivation to individuals, aiding them in developing specific skills and achieving their goals; someone who recognizes the importance of helping the coachee work things through
<b>Coachee</b>	anyone who has particular needs relating to improving individual performance at work
<b>Coaching</b>	is a short-term (time-bounded), non-directive learning dialogue that aims to help the coachee improve job performance by addressing a specific competency gap, developing new or more advanced competencies, or enhancing proficiency levels. It is focused on assisting employees to improve their ability to do their current jobs and increase their potential to do more in the future
<b>Collaboration</b>	entails working together with mentors or peers to achieve shared goals or complete tasks
<b>Feedback</b>	information provided as regards an individual's performance or behavior, intended to guide future improvements; usually done through a survey questionnaire
<b>Key Performance Indicator</b>	specific, measurable metrics that track and assess the performance or progress within a KRA. They are quantitative or qualitative indicators used to evaluate how effectively an individual, team, or organization is achieving key business objectives
<b>Key Result Areas</b>	broad, high-level areas where outcomes or results are expected. They outline the main responsibilities or critical areas of work for a particular role or department. KRAs are the domains in which an employee or team must achieve results to meet organizational goals
<b>Mentee</b>	anyone who has specific needs relating to achieving work/life balance, or pursuing opportunities that enhance leadership, among others
<b>Mentor</b>	an experienced and trusted adviser who provides guidance, support, and knowledge to a less experienced individual; someone who recognizes the importance of helping the mentee work things through
<b>Mentoring</b>	a formal or informal relationship between senior and junior employees designed to support learning and development. It is broader and long-term than coaching. It is also considered a long-term reciprocal learning intervention consisting of a series of regular conversations aimed at helping the mentee achieve personal/professional development goals. It takes a holistic approach focusing on the overall development of the individual, which can last for a long period of time

## Background and Rationale

In pursuit of its mission to strengthen audit institutions, the ASEANSAI is committed to fostering capacity development among its member Supreme Audit Institutions (SAIs) through strategic initiatives to enhance professional capacities, facilitate the exchange of knowledge and experiences, and promote continuous learning. Aligned with ASEANSAI Strategic Goal 1 under ASEANSAI Strategic Plan for 2022-2025, which focuses on capacity development, Strategic Objective 1.1 emphasizes the importance of modernizing and elevating the quality of training activities to address the practical needs of member SAIs.

A key performance indicator (KPI) identified within the strategic plan is the integration of informal methods that support competency development done through formal means. Such an approach is significant as it views capacity building beyond the four corners of a traditional classroom or attendance to formal training. This intervention is instrumental in hastening competency development while also ensuring staff competency needs are met.

As part of these efforts, the ASEANSAI Training Committee (TC) designed a Coaching and Mentoring Strategy to facilitate the implementation of non-formal learning interventions that supplement formal training programs across ASEAN member SAIs. This initiative also complements the support provided by ASEANSAI to its members for human resource management, learning, and development, enhancing staff performance management significantly.

To ensure its continued relevance and effectiveness, the Strategy will be subject to periodic review and update by the ASEANSAI TC, ideally every three years, to reflect evolving technologies, workforce dynamics, and audit-related demands.

This Strategy document is intended to introduce coaching and mentoring as a powerful non-formal learning and development (L&D) intervention and provide SAIs with structured guidance on integrating coaching and mentoring into their organizational development initiatives. It outlines a comprehensive framework through which SAIs can establish and facilitate coaching and mentoring for their personnel based on individual SAI's mandate. By leveraging coaching and mentoring programs, SAIs can enhance professional growth, leadership development, and overall performance within their workforce.

The coaching and mentoring strategy unfolds through five (5) simplified phases: (1) Initiation where objectives are defined and needs are assessed; (2) Planning/Preparation which involves designing the coaching and mentoring programs and preparing the coaches and mentors; (3) Execution, focusing on rolling out the program, starting sessions, and supporting participants; (4) Monitoring where progress is tracked and feedback is collected to make improvements; and (5) Closure which involves evaluating success, documenting lessons learned, and planning for future sustainability.

By implementing this coaching and mentoring strategy, SAIs can encourage a culture of continuous L&D, ultimately strengthening their audit capabilities and organizational resilience.

## The Foundation and Frameworks

Over the years, the international audit community has increasingly valued the professionalization of auditors through various L&D initiatives. In the GUID 1951, coaching and mentoring are highlighted as effective delivery methods for professional development.

The 70:20:10 Model, initially developed in the 1980s by McCall, Lombardo, and Eichinger, has evolved while remaining widely endorsed for guiding organizations in expanding their L&D efforts beyond traditional classroom settings. This model aims to build resilient workforces and promote a continuous learning culture by integrating various learning methods such as formal classroom training, on-the-job learning, self-directed development activities, and other developmental strategies.

The ASEANSAI L&D framework is structured around the 70:20:10 Learning Model, the ASEANSAI Competency Framework, and the INTOSAI GUID 1951's ten-step process to establish robust pathways for professional development within a SAI. This strategic framework empowers SAIs to cultivate a culture of continuous learning, emphasizing the development of competent auditors through informal learning methods, represented by the 20 percent aspect of the learning model. This approach aims to meet the institution's mandates effectively.

### Coaching

In his book "Coaching for Performance", Sir John Whitmore, founder of the performance coaching industry, reiterated Timothy Gallwey's definition of coaching as "unlocking people's potential to maximize their performance". An article published by the Institute of Organizational Development identifies 15 types of coaching, and depending on the type, nature, or objective, coaching can be provided by a professional coach, external consultant, managers, supervisors, or human resource practitioners within an organization. It is an integral part of the L&D and performance management systems, tailored to the specific needs and requirements of the individual.

In the workplace context, coaching involves observing an individual at work and providing feedback to enhance or correct performance. Effective coaching thrives on incorporating a structured approach, whether formal or informal. The motive of each coaching interaction is to build the coachee's self-belief, hence, the key is to maintain awareness and application of the core principles of coaching during the numerous brief daily interactions that transpire between management and the staff in general.

Similarly, the 70:20:10 Model, which the ASEANSAI Competency-based L&D Framework is anchored on, posits that people learn anywhere, at any time, mostly from their work and from others, thus, it is only fundamental to link living, working, and learning, to learn in a continuous, on-demand manner. As a learning intervention that contributes to 20 percent of one's L&D, coaching can provide this vital link between structured learning (10 percent) and unstructured learning through experience or application in the workplace (70 percent), given its focus on performance.

Today, coaching has become an essential tool in navigating the complexities of modern work environments. It has evolved from a niche practice to a cornerstone of modern organizational strategy. In an era characterized by constant change and intense competition, organizations recognize the necessity to adapt and thrive, thereby making employee coaching a game-changer

in nurturing talent, improving performance, and achieving success. However, the full potential of coaching can only be realized through a paradigm shift that moves beyond traditional methods of management and development; hence, from a one-size-fits-all model to a more personalized and holistic approach. In that regard, coaching will not only empower individuals to thrive in their careers but also enable organizations to remain competitive in an increasingly interconnected and challenging new era of the world of work.

## **Mentoring**

Mentoring has been widely recognized as one of the key factors contributing to skills development, psychosocial or socio-emotional support, and career advancement and success (Haggard, Dougherty, Turban, & Wilbanks, 2011 as cited in Montgomery 2017).

Together, a mentorship platform defines mentorship as a relationship in which “a more experienced or more knowledgeable person helps to guide a less experienced or less knowledgeable person via advice, opinions, strategies, and policies focused on career or life advancement.” In the workplace, mentoring is generally perceived as a process in which a senior employee imparts knowledge to someone in an entry-level or mid-level position. However, other mentoring models also demonstrate how the knowledge may flow from a junior employee to a senior one and the collaborative aspect of the relationship wherein both the mentor and the mentee can benefit from.

To highlight the evolving process and reflect on the professional process of a mentoring relationship, the European Mentoring and Coaching Council (EMCC) defined mentoring as a learning relationship, involving the sharing of skills, knowledge, and expertise between a mentor and mentee through developmental conversations, experience sharing, and role modeling. The relationship may cover a wide variety of contexts and is an inclusive two-way partnership for mutual learning that values differences. The emphasis on two-way or collaboration in such a relationship focuses more on the dynamics between two people (person-to-person learning) than on leveraging conventional approaches or strategies, such as classroom training or online courses for an individual’s development.

In a mentor-mentee relationship, the mentor acts as a guide and facilitates the learning discussion or developmental conversation. As the mentee is tasked to identify their goals and share weaknesses and aspirations with the mentor, the relationship requires a high level of trust and creates a safe space for the mentee to be vulnerable. In the process, the mentee goes through an experience wherein they learn about self-reflection and new perspectives in approaching various obstacles.

To understand the current state of L&D strategies, joint research by Degreed and Harvard Business Review found that the Net Promoter Score for L&D across organizations is -25. This signifies that current L&D strategies are no longer fulfilling the needs of the workforce.

If the conventional classroom training is no longer working, then the approach to how L&D is implemented needs to undergo progressive changes. In a study in 2019 by McKinsey & Company, they concluded that the future of L&D is moving towards more personal, and discussion-based learning and far from the curated educational content. In addition, they developed the ACADEMIES framework which covers aspects of L&D functions from aspiration setting to measuring impact. One of these dimensions highlights the integration of the 70:20:10 framework, where L&D practitioners must implement interventions supporting

informal training such as coaching and mentoring, providing a venue for a person-to-person approach in development.

In response to the evolving needs of the workforce, more organizations are integrating mentoring as an intervention in bridging learning and skills gaps. Mentoring has risen to #4 from #6 on the list of L&D strategies businesses are exploring according to the 2022 L&D Global Sentiment Survey. In addition, in LinkedIn's 2023 Workplace Learning Report, Mentoring emerged as the #1 area of focus for L&D professionals.

While more organizations have started integrating mentoring programs as a developmental intervention due to its expected benefits for not only the organization but also the mentors and mentees, not all organizations are successful in implementing impactful mentoring programs. Thus, it is important to highlight that before embarking on mentoring programs, organizations need to look into the benefits they want as a result of implementing a mentoring program. Further, clear objectives should be defined, and a concrete program design that is adapted to the structure of the organization should be developed.

### **Coaching vs. Mentoring**

Coaching and mentoring are both learning interventions geared towards supporting the individual's personal and professional development. In this regard, both terms are often used interchangeably.

**Table 1. Difference between Coaching and Mentoring**

Indicator of Difference	Coaching	Mentoring
Focus	Improved job performance	Overall career and skills development
Timeframe	Short-term	Long-term
Structure	Structured and formal relationship	Either formal or informal relationship and meetings
Agenda	Co-created by coach and coachee, fixed	Mentee-driven, flexible
Results	Performance	Development

However, whittling down the details of coaching and mentoring, both differ significantly in their approach and purpose. Coaching is primarily focused on improving an individual's job performance within a structured, short-term framework. The relationship between coach and coachee is structured and formal, with a set agenda co-created by both parties, aiming to achieve specific performance-related outcomes. Conversely, mentoring emphasizes the overall career and skills development of the mentee. This process is more holistic and long-term, allowing for flexible meetings driven by the mentee's needs and aspirations, with the ultimate goal of fostering personal and professional growth.

While it is crucial to understand their key differences, it is equally noteworthy to mention their complementary roles in effectively supporting an individual's learning objectives. It all

depends on how an individual structures the relationships and the intended outcomes thereof (Cook, 2024).

## Contextual Analysis

Initial research on available resources reveals a notable absence of formal coaching and mentoring strategies or programs within the SAIs in the ASEAN region. This gap is significant to note given the unique challenges and high standards of accountability faced by professionals in this field. Without a structured framework to guide skills development and professional growth, audit institutions may struggle to maintain the high performance, knowledge transfer, and ethical standards required in their work.



Ongoing opportunities  
for skill enhancement  
and career development



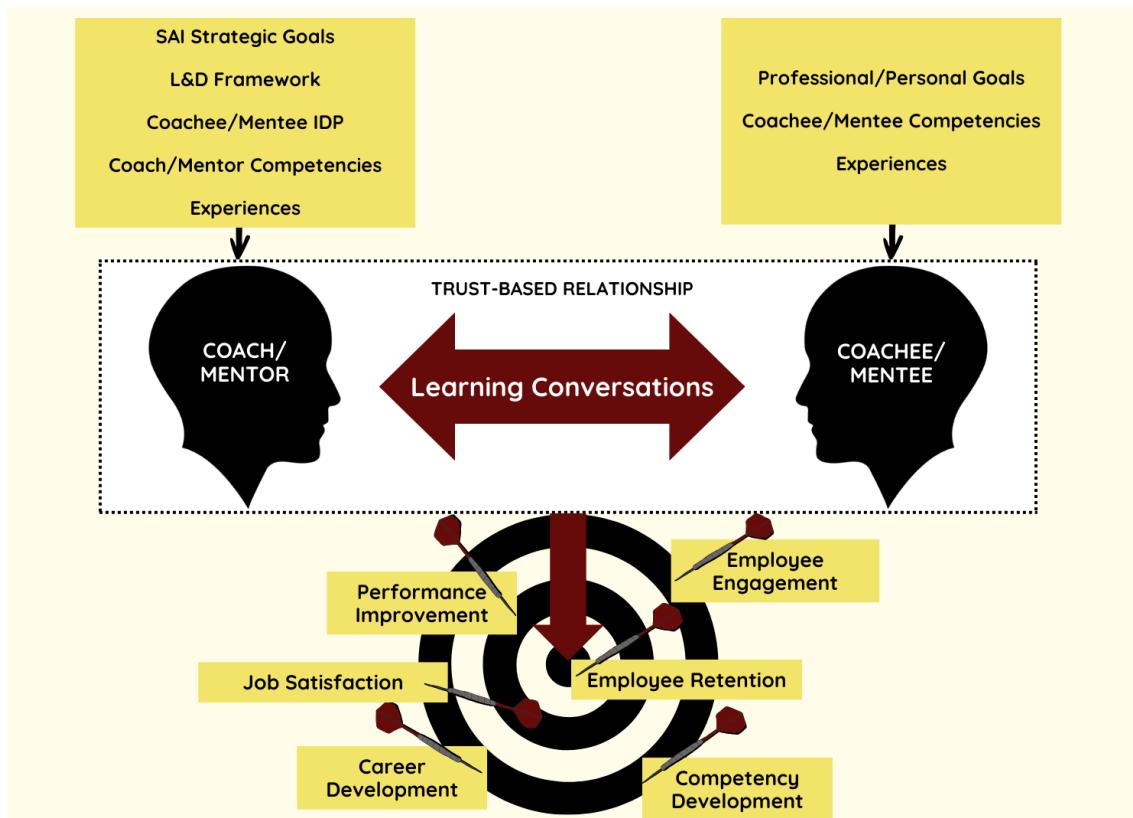
Improving expertise  
and capabilities to  
excel in roles



Preparing audit teams  
and professionals  
to tackle evolving  
challenges

Establishing a coaching and mentoring program is essential as it offers numerous benefits for individuals and the organization. These benefits encompass the opportunity for continuous professional development, enhanced staff competencies, and ensuring that audit teams and other professionals in an organization are well-equipped to meet the evolving demands and complexities of their roles. A coaching and mentoring program would not only bolster individual growth but also contribute to the overall effectiveness and integrity of an audit institution.

## ASEANSAI Coaching and Mentoring Framework



**Figure 1. ASEANSAI Coaching and Mentoring Framework**

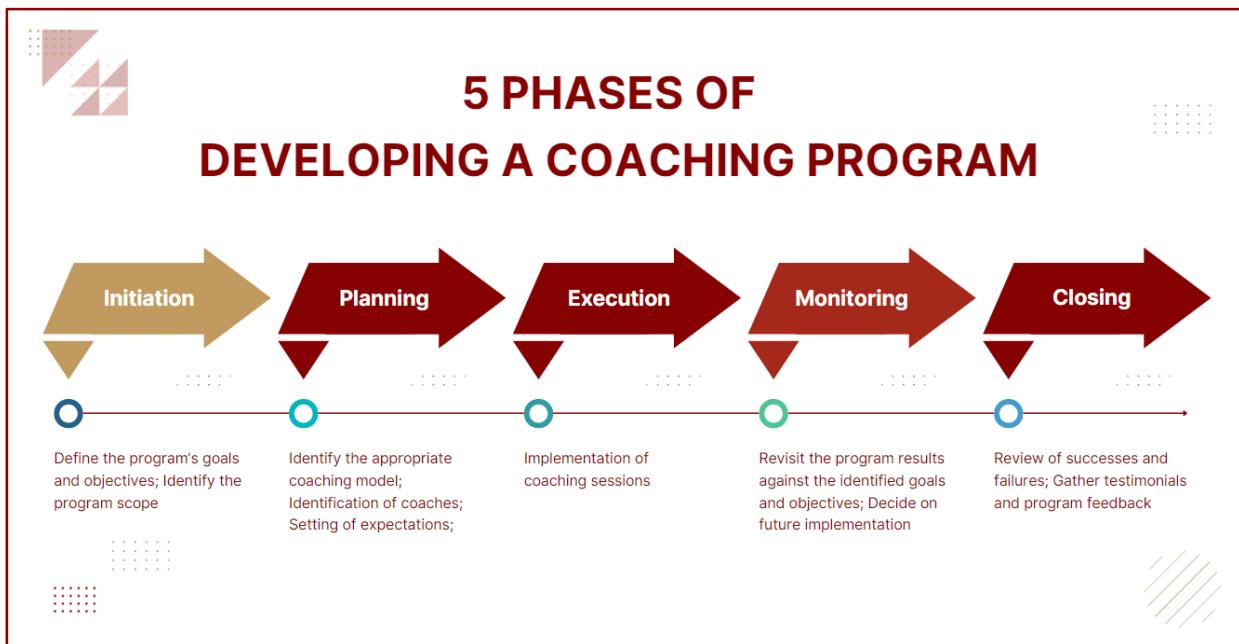
The illustration above depicts the ASEANSAI Coaching and Mentoring Framework, which serves as a guide for SAIs in implementing coaching and mentoring within their respective organizations. This framework is primarily designed to align SAI's strategic goals, fostering an environment conducive to organizational and individual growth.

At the core of the framework are the inputs from both the coach/mentor and its counterpart—coachee/mentee, which must be harmonized in the pursuit of the desired outcomes. On the left side, the coach/mentor aligns their approach with the organization's strategic goals, utilizing an L&D framework and considering the coachee/mentee's Individual Development Plan (IDP). Coaches/mentors bring their competencies, expertise, and experiences into the process. On the right side, the coachee/mentee contributes their professional and personal goals, competencies, and experiences.

The framework emphasizes building a trust-based relationship through continuous learning conversations between the coach/mentor and coachee/mentee. These interactions aim to achieve mutual benefits such as performance improvement, career development, competency development, job satisfaction, employee engagement, and ultimately, employee retention, aligning individual and organizational growth.

## Coaching Program for ASEANSAI

As with most projects and programs, the Coaching Program may be established or set up through the following five (5) phases or process groups:



**Figure 2. Five (5) Phases of Developing a Coaching Program**

### A. Initiation

#### *Identify the need for a Coaching Program*

The initiation phase sets the foundation for a successful coaching program. It begins with the identification of the goals and objectives of the coaching program, which should be aligned with the organizational goals and strategies. It starts with clearly defining the overarching purpose of the coaching strategy, which involves understanding why the organization is investing in coaching and what it hopes to achieve.

For instance, an audit organization may have a coaching program particularly aimed to help enhance specific competencies such as critical thinking, ethical decision-making, and leadership, as these are all competencies essential in maintaining the integrity and effectiveness of the audit function. The targeted competencies should be based on the organization's competency framework, or at least the organization's strategic goals, such as improving audit quality, enhancing compliance, or encouraging a culture of continuous improvement.

Conducting a needs assessment is important in this phase. Through surveys and interviews, an organization could gather inputs or insights from employees, managers, and other key stakeholders to understand current challenges, competency gaps, and development needs. A review of performance data could aid the organization in

analyzing existing performance metrics, employee feedback, and other relevant data to determine where and how coaching will be most beneficial.

### *Setting a Goal*



Once the purpose is established, it is essential to set specific, measurable, achievable, relevant, and time-bound (SMART) goals for the coaching process. This goal should clearly express the need and expected impact of the program, aligning not only with the organization's strategic objectives but also addressing the individual development needs of the coachees.

A key component of this phase is defining Key Result Areas (KRAs) and Key Performance Indicators (KPIs) within the goal. KRAs outline the critical areas where results are needed, while KPIs provide measurable values to assess performance within these areas.

For example, if the goal is to improve and develop leadership skills across the organization, a goal might be “To increase the leadership competency of mid-level managers by 20% within the next six months, as measured by the feedback survey.” The KRA here is Leadership Development, and the KPI would be the percentage of improvement in leadership competency as evidenced by the feedback survey.

Further, it is important to note that the examples in this document are not exhaustive. Thus, SAIs can develop their own goals, KRAs, and KPIs to fit their unique needs and strategic goals and objectives to ensure that the coaching strategy supports these aims.

In this proposed strategy, the goal and the corresponding objectives, KRAs, and KPIs of the Coaching Program are:

**Table 2. Goal, Objectives, KRAs, and KPIs for a Coaching Program**

Goal
To help employees achieve their optimum performance and competence through coaching as a more efficient and effective institutionalized L&D intervention in the employees' work setting.

Goal-Oriented Objectives	KRAs	KPIs
Identify and address challenges in the employee's job performance	Performance Metrics	Performance ratings
Bridge competency gaps identified in the competency-based learning needs assessment of the employee	Core, Functional, and Leadership Competencies	Competency assessment scores
Facilitate continuous professional development of the employee	Leadership Development	Number of participants promoted or given more responsibilities/leadership roles
	Employee Engagement	Employee Engagement survey scores
	Job Satisfaction	Job Satisfaction Survey scores
	Employee Retention	Employee Retention rate, Employee Turnover rate
Process-Oriented KRAs and KPIs	KRAs	KPIs
	Coach and Coachee satisfaction with the program	Coach and Coachee evaluation scores
	Participant Engagement	Number and percentage of employees engaged or participating in the Coaching Program
	Issue and Risk Management	Average time to issue resolution
		Risk mitigation timeframe

### *Determine Key Roles and Responsibilities*

As the organization establishes the goals of the coaching program, it is essential to clearly define the roles of key individuals involved in the execution of the coaching strategy. This includes coaches, coachees, program coordinators, and other relevant stakeholders. By precisely delineating these roles, the organization ensures that coaching efforts are effectively targeted at individuals who will benefit most and whose development aligns with the organization's strategic priorities.

Hereunder are some of the key roles and responsibilities of the parties involved in the coaching process:

**Table 3. Roles and Responsibilities of Key Participants**

Coaches	Coachees	Program Coordinators	Institution/ Organization
<ul style="list-style-type: none"> <li>→ Goal setter and enabler</li> <li>→ Active listener</li> <li>→ Facilitator of development</li> <li>→ Feedback provider</li> </ul>	<ul style="list-style-type: none"> <li>→ Active Participation</li> <li>→ Goal Commitment</li> <li>→ Feedback implementation</li> <li>→ Self-reflection and openness</li> <li>→ Continuous learning</li> <li>→ Progress tracking and reflection</li> </ul>	<ul style="list-style-type: none"> <li>→ Program Monitoring</li> <li>→ Manage communication</li> <li>→ Address any administrative issues</li> </ul>	<ul style="list-style-type: none"> <li>→ Training for coaches</li> <li>→ Access to resources</li> <li>→ Program evaluation</li> </ul>

### *Obtain Organizational Support*

Lastly, the coaching strategy is substantially dependent on the support of the senior management. Their support is crucial as they influence the overall direction, resource allocation, and prioritization of initiatives within the organization. Without their backing, the coaching program may lack the necessary resources, visibility, and organization integration to be effective. This might involve presenting the coaching strategy to decision-makers, addressing their concerns, and demonstrating how it aligns with the overarching organizational goals and objectives.

## **B. Planning and Preparation**

After the initiation phase of the coaching program, the next phase is Planning and Preparation for coaching strategy implementation. This phase involves identifying the scope of the program, the coaching model that suits the coaching strategy, designing and developing the processes and systems that will be utilized in implementing the program, and formulating the coaching program implementation plan, detailed as follows:

### *1. Identifying the scope*

This includes identifying the program design details:

- Coaching category/type and modality
- Coaching schedule: timeframe, session frequency, session duration

a. Identifying the category/type of coaching and modality

For SAIs, it is important to select and match appropriate coaching types to effectively address various performance, skill development, and leadership needs. Below are several types of coaching that may be readily adopted by organizations:

- **Performance Coaching** - This is a continuous process that fosters strong and effective relationships between employees and supervisors. It assists in identifying areas for employee growth and aids in planning and developing new skills to improve job performance.
- **Career Coaching** - This is focused on helping individuals identify what they want and need from their career, then make decisions and take the needed actions to accomplish their career objectives within the context of the organization.
- **Team Coaching** - This type of coaching improves the overall performance and cohesion of audit teams. It addresses various aspects such as team dynamics, communication, collaboration, and collective problem-solving, among others. Since audit engagements are typically carried out by teams, this type of coaching is beneficial to enhance collaboration and synergy among team members.
- **Leadership Coaching** - This is aimed at developing leadership skills among audit supervisors, managers, and executives. It focuses on strategic thinking, decision-making, team management, and change leadership.
- **Peer Coaching** - This involves coaching among individuals in a peer group, which may share any attribute such as function or job level.

Coaching may be done individually or by groups/teams via either of the following modalities:

- In-person or face-to-face
- Virtual - remote, via videoconferencing
- Telephone - remote, via teleconferencing

b. Identifying the coaching frequency and schedule

Determining the frequency and scheduling of coaching sessions is key to ensuring the program works well. The right schedule helps participants learn and apply new skills effectively and aligns both their needs and the organization's goals.

- **Periodic Coaching** – This may vary between weekly, bi-weekly, and monthly, or may also be quarterly, semestral, and/or annual.

This frequency often aligns with performance review cycles or accomplishment reporting periods.

- **Needs-based Coaching** – In some cases, coaching sessions may be scheduled as needed. It may be triggered by any one of the following events:

1. Need for post-training support as identified upon assessment of post-training requirements
2. Performance or Quality Assurance issues/concerns
3. Personnel movement (e.g. transfers, job rotation, etc.)

## 2. *Coaching model selection*

A coaching model provides a systematic method for executing coaching sessions and achieving desired outcomes. Selecting an appropriate coaching model is critical for maximizing the effectiveness of the coaching process.

Some of the most well-regarded coaching models are GROW, CLEAR, COACH, and OSKAR models. Here below is an overview of their key differences:

**Table 4. Comparison of Different Coaching Models**

Coaching Model	Key Features	Limitations
<b>GROW</b> (Goal, Reality, Options, Will/Way Forward)	<ul style="list-style-type: none"> <li>• has a clear and simple structure; easy for coaches and coachees to understand</li> </ul>	<ul style="list-style-type: none"> <li>• some coaches and coachees may find the model too structured and may limit flexibility in other coaching scenarios</li> </ul>
	<ul style="list-style-type: none"> <li>• focuses on clear goal-setting and action steps</li> </ul>	<ul style="list-style-type: none"> <li>• emphasizes short-term goals and might overlook long-term development; coaches and coachees might set goals that are not realistic</li> </ul>
	<ul style="list-style-type: none"> <li>• adaptable to various types of coaching and situations (e.g. professional/business coaching; life coaching; sports coaching, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>• discussion around emotional or motivational obstacles may not be detailed; the coachees may not be motivated to join the sessions</li> </ul>
	<ul style="list-style-type: none"> <li>• places emphasis on building a strong coach-coachee relationship which enables trust and openness during the session</li> </ul>	<ul style="list-style-type: none"> <li>• may be time-consuming as it focuses on building connection and rapport between two parties; results might take time compared to action-</li> </ul>

<b>CLEAR</b> (Contract, Listen, Explore, Action, Review)		focused models
	<ul style="list-style-type: none"> <li>encourages listening and reflection which allows coachees to gain more insights into their behaviors and thoughts</li> </ul>	<ul style="list-style-type: none"> <li>less structured in terms of goal setting and may not suit coachees who prefer structured approach/sessions</li> </ul>
	<ul style="list-style-type: none"> <li>focuses on the coachee's experiences and emotions which links to both personal and professional development; a holistic approach</li> </ul>	<ul style="list-style-type: none"> <li>the focus on emotions may seem less tangible to some coaches especially if they are seeking an action-oriented approach or quick solutions to their developmental gaps</li> </ul>
	<ul style="list-style-type: none"> <li>well-suited for leadership coaching; supports coachees by helping them develop emotional intelligence</li> </ul>	<ul style="list-style-type: none"> <li>coaches must be skilled; dependent on the coach's ability to listen and process the reflection of the coachee and may not work with less experienced coaches</li> </ul>
<b>COACH</b> (Connect, Outcome, Awareness, Course, Highlights)	<ul style="list-style-type: none"> <li>has a clear easy-to-understand approach that may be adapted to different coaching contexts; a useful tool for executive coaching</li> </ul>	<ul style="list-style-type: none"> <li>may be less suitable for coachees who prefer a highly goal-oriented approach as it lacks a structured approach like the GROW model</li> </ul>
	<ul style="list-style-type: none"> <li>focuses on active listening and compassion; encourages coaches to demonstrate empathy during the sessions to create a supportive environment</li> </ul>	<ul style="list-style-type: none"> <li>may be subjective since the model relies upon open-ended explorations during discussion and may result in vague outcomes if not handled by a skilled coach</li> </ul>
	<ul style="list-style-type: none"> <li>there is a focus on understanding the coachee's opportunities and unique obstacles which may result in more individualized solutions</li> </ul>	<ul style="list-style-type: none"> <li>as the process is more reflective, there may be a limited focus on measurable results; this model may not suit coachees who are seeking tangible results</li> </ul>
	<ul style="list-style-type: none"> <li>allows for a more positive perspective and approach, which can help</li> </ul>	<ul style="list-style-type: none"> <li>While there is a balance between introspection and action, it might not help to</li> </ul>

<b>OSKAR</b> <b>(Outcome, Scale, Know-how, Affirm and Action, Review)</b>	increase the coachee's motivation.	push coachees toward concrete actions, which may lead to less decisive outcomes
	<ul style="list-style-type: none"> <li>specific emphasis on the know-how of the coachee can help direct the focus on actionable solutions, thus empowering the coachee and improving one's self-belief</li> </ul>	<ul style="list-style-type: none"> <li>As the model is client-centered and solution-focused, it assumes that the client is motivated and ready to take action, which might not apply in all coaching situations.</li> </ul>
	<ul style="list-style-type: none"> <li>The scaling stage helps make reflection and assessment more facilitative. Assigning quantitative values allows for better articulation of such assessments throughout the coaching engagement</li> </ul>	<ul style="list-style-type: none"> <li>Depends heavily on the client's ability to assess their progress e.g. through scaling, which might not always be accurate or objective</li> </ul>
	<ul style="list-style-type: none"> <li>Specifically having a review stage emphasizes the importance of continually checking on the progress of the coaching engagement, with a positive focus on any improvement, and not a rigid perspective as to whether the set action items were accomplished.</li> </ul>	<ul style="list-style-type: none"> <li>By focusing more on positive progress rather than strictly on whether specific action items were accomplished, there could be a risk of letting important tasks slip through the cracks. Consequently, it may lead to situations where critical steps are consistently overlooked or postponed, potentially delaying the achievement of long-term goals.</li> </ul>

It is important to highlight that any one of the coaching models may be adopted by an SAI, depending on the context and objectives of their planned coaching program. **It shall ultimately be up to the SAI to choose the most apt and effective coaching model to fit its organizational goals, coachee needs, coach expertise, and adaptability.**

For example purposes, this document shall discuss the OSKAR Model.

Developed by McKergow and Jackson, the OSKAR Model is solution-focused, making it ideal for addressing complex challenges and driving practical, results-oriented outcomes. Illustrated below are the stages of the model:



**Figure 3. The OSKAR Model**

The model is represented in puzzle pieces, emphasizing how each stage fits together to form a comprehensive coaching framework. Each stage is guided by questions that could help coaches and coachees navigate through the coaching process systematically, ensuring that the coachee is supported in achieving their goals.

### 3. Designing and developing the processes and systems

Once the scope and coaching model has been identified, the next step involves designing and developing the processes and systems required to effectively implement the coaching program. These include the policy and guidelines, tools and resources, feedback mechanisms, and data management systems. All these must be integrated into the human resource system of the organization, specifically embedded in performance management and L&D.

- Policy and Guidelines - A framework outlining the coaching process, including session frequency, duration, and key topics to cover as identified in the scope.
- Coaching Tools and Forms - These help structure and document the coaching process. They can be designed by the SAI to align with the selected coaching model, such as the OSKAR model. These may include, but are not limited to, the following:

→ **Coaching Agreement and Action Plan** - To guide the coaching relationship, the coaching agreement and action plan must be discussed and completed by the coach and coachee at the intake session. This document outlines the scope, expectations,

responsibilities, goals, and timelines of the coaching relationship. A sample template can be found in Annex A.

- **Coach's Notes** - This form shall serve as a personal guide for the coach in conducting each coaching session. It specifically outlines each stage of the coaching model, enabling the coach to go over all the details necessary to complete each stage. A sample template is included in Annex B.
- **Coaching Report** - This form shall be completed by the coaches to officially document and report the highlights of the coaching engagement. A sample template is provided in Annex C.

- c. **Feedback Mechanisms** - These consist of the processes and systems that allow for the program participants to provide and receive feedback, which will help inform the continuous improvement of the coaching program

- **Evaluation Forms for Coach and Coachees** - These forms shall be used to assess the reaction and experience of the coaches and coachees in the program. Sample templates for the evaluation forms are provided in Annexes D and E.

- d. **Data Management Systems** - These pertain to any data management system such as HR information systems, Performance Management information systems, L&D Management information systems, etc., wherein a coaching software, application, or system may be embedded or integrated. In the absence of such electronic systems, the equivalent systems in manual format shall be used to integrate coaching into the same HR systems of the organization.

#### *4. Formulating the program implementation plan*

After designing and developing the processes and systems for the coaching program, the implementation plan may be formulated thereafter. The implementation plan shall indicate the program components, corresponding action items, responsible party/ies, timeline, resources needed, and the respective success indicator/s. In addition, an issue and risk register for the program implementation must also be initiated. A sample program implementation plan is illustrated under the Execution/Implementation phase.

#### *5. Formulating the communication plan*

A communication plan is also essential to keep stakeholders informed and engaged throughout the coaching program. It should outline key messages, target audiences, communication methods and channels, frequency of communication,

and responsible parties. The plan ensures that everyone is aware of the program development. A sample communication plan is provided under the Execution/Implementation phase.

#### *6. Formulating the program monitoring and evaluation plan*

Alongside the implementation plan, the monitoring and evaluation plan must also be formulated. This will provide the details for each success indicator identified in the implementation plan, i.e., definition of the success indicator, data source/s, frequency of data collection, responsible party, and reporting cycle or schedule. A sample monitoring and evaluation plan is provided under the Monitoring and Evaluation phase.

#### *7. Capacity-building for coaches and coachees*

As part of the preparations, a capacity-building program that consists of the following mandatory courses should also be designed and developed:

- **General Orientation on the Coaching Program** - This course is aimed at all employees, to orient them on how the coaching program works and how to engage in the program.
- **Course for Coaches** - This course is aimed at employees with direct reports, and will therefore act as coaches, to train them on how to properly conduct coaching sessions.

### **C. Execution/Implementation**

The execution/implementation phase is where the coaching program transitions from planning into action. This involves implementing the coaching program, starting with the pilot test, as outlined in the implementation plan, ensuring all components are effectively executed, including the actual coaching sessions, and that coaches, coachees, and all other stakeholders are fully engaged in the process. The goal is to ensure the coaching program operates smoothly and delivers the intended outcomes.

The following tables illustrate a suggested high-level implementation plan that could support the proposed program design, as well as a corresponding communication plan, respectively:

**Table 5. Implementation Plan for the Coaching Program**

Component	Action Items	Responsible Parties	Timeline	Resources Needed	Success Indicator
Operations	Formulate	HR	1st month	Tools, Processes,	

Design	program components (e.g., processes, tools, systems, etc.)		- 2nd month	Administrative support	systems, and program documents developed
Communication	Inform all stakeholders about the program and updates (link to Communication Plan)	HR, Internal Communications	1st month - Ongoing	Communication platforms identified	Stakeholders are well-informed and engaged
Resource allocation	Allocate necessary resources (time, tools, support)	Management, HR	2nd month - 3rd month	Budget, tools, administrative support	Adequate resources are provided for the program
Capacity-building	Course Design and Development	HR, Management	2nd month - 4th month	Budget, tools, administrative support	Mandatory courses in the program are designed and developed
	Deliver general orientation on the coaching program	HR, Organization	4th month	Training materials,	All employees are oriented and confident in using the systems and processes in coaching
	Deliver course for coaches	HR, External Trainers, Organization	4th month - 5th month	Training materials,	Coaches trained and confident in using the systems and processes in coaching
Pilot Test	Conduct a pilot test of the coaching	HR, Organization, Coaches,	6 month	Coaching tools, forms,	Process KPIs are met

	program	Coachees		resources, etc.	
Monitoring and Evaluation	Identify KPIs; Collect data, etc. (link to M&E Plan)	Coaches, Coachees, HR	6th month - Ongoing	Evaluation tools, feedback forms	Regular feedback and progress reports
Continuous Improvement	Collect feedback and refine the program as needed	HR	Ongoing after 6 months	Feedback tools, review sessions	Program adjustments based on feedback.

**Table 6. Communication Plan for the Coaching Program**

Key Message	Target Audience	Communication Method and Channel	Frequency	Responsible Parties
Program launch	All stakeholders	→ Internal Newsletters → Email Campaigns	→ At launch → Monthly updates	→ HR
Progress updates	All stakeholders	→ Intranet Announcements → Team Meetings	→ Quarterly updates	→ HR
Training schedules and resources	Coaches, Coachees	→ Email Updates → Intranet Posts	→ Bi-weekly	→ HR → Training Coordinators
Feedback collection and action taken	Current Participants, Ex-participants	→ Surveys → Focus Group Discussions	→ Post-session → Quarterly	→ HR
Program adjustments and improvements	All stakeholders	→ Internal Newsletters → Meetings	→ As needed	→ HR

### ***The Coaching Engagement using the OSKAR Model***

Each coaching engagement shall consist of two or more sessions, with the first one always considered as the intake session, where the coach and coachee determine and agree on the coaching goals and objectives, as well as all the other specifications of the coaching engagement. This is officially documented by both parties accomplishing and signing the Coaching Agreement and Action Plan (Annex A). Once the aforementioned

form is completed, the official coaching sessions shall ensue. It is recommended to regularly look back at the action plan to be continually guided by the coaching goals and objectives.

In the OSKAR Coaching Model, the acronym represents the stages of the coaching process in each session. Each stage also provides a set of questions, which are likewise outlined in the Coach's Notes template (Annex B). The coach may use the said template as a personal guide in facilitating the coaching conversations, as well as a documentation tool that one can use when preparing the official Coaching Report.

### **1. *O - Outcome***

The first stage of the coaching process in each session pertains to the Outcome. This stage involves establishing a “platform” from which to coach, or a baseline, starting point, or jump-off point. It clarifies what the coachee wants to achieve, and how they will know it has been useful to them. Specifically, the coach asks the coachee to describe the perfect scenario that has miraculously appeared overnight and has the problems vanished, which is called the “Future Perfect”. This must be done using problem-free talk, characterized by social chit chat and gentle or discreet spotting of the resources and any context issues such as how long the session could last, and more importantly, how to make sure that the coaching environment is comfortable and conducive.

The following questions may be used:

- What is the outcome of this coaching?
- What do you want to achieve today?
- What do you want to achieve in the long term?
- How will you know this coaching has been of use to you?
- How would you describe your “future perfect”?

### **2. *S - Scaling***

The second stage enables the coach and coachee to assess the extent to which the current situation is working. The coach asks the coachee to assign a scale number to the current situation, between 0 and 10, where:

- 10 = the Outcome (“Future Perfect”)
- 0 = the complete opposite

The following questions may be used:

- On a scale of 0 to 10, with 10 representing the future perfect and 0 the work it has ever been, where are you on that scale today?
- You are at n now – What did you do to get this far?
- How would you know you had got to n+1?

### **3. *K - Know-how***

The third stage enables the coach and the coachee to establish what factors are already contributing to getting the situation incrementally closer to the outcome, as well as the skills and resources needed to attain the outcome. The coach intends to ask questions that will help create a sense of possibility and capability. This

stage consists of two (2) parts, of which the first one is where the coach finds out what knowledge and skills the coachee has. These questions may be used:

- What helps you perform at  $n$  on the scale, rather than 0?
- When does the outcome already happen for you even a little bit? What did you do to make that happen? How did you do it?
- What did you do differently?
- What would other people say you are doing well?
- Who else do you know has achieved this? How did they do it?

In the second part of this stage, the coach finds out what qualities or attributes the coachee has, as well as other resources that the coachee has access to, which will help bring about progress. The following questions may be used:

- What other teams or organizations are good at this kind of thing?
- Where else can you find out more about what you need here?
- What resources are you bringing to this initiative or endeavor?
- What qualities and experience do you have that are going to help you here?
- What did you do to make success happen? How did you do it? What did you do differently?

#### **4. A - Affirm and Action**

Like the preceding stage, the fourth stage also consists of two (2) parts. The first part involves providing positive reinforcement to the coachee, by reflecting back on the positive comments about the key strengths that they revealed, specifically in terms of their knowledge, skills, and attitudes. The coach may facilitate this by asking the question: What is already going well?

After this, the coach summarizes the response of the coachee and proceeds directly to the second part of this stage, which involves helping the coachee determine the actions that they will take to continue moving toward the outcome. The coach shall facilitate this by asking the coachee to select a small action or “small steps” that are most likely to succeed. These are characterized as steps that can be done ‘tomorrow’, are concrete, involve ‘starting’ something instead of ‘stopping’ something, and are willing to be done for the right people. The following questions may be used by the coach:

- What is the next small step for you to take personally?
- You are at  $n$  now, what would it take to get you to  $n+1$ ?
- What is the first thing you will notice that will indicate that you are 1 point higher on the scale?

In case the coach has a concern that the “small step” has not been well chosen by the coachee, the coach may ask the coachee to scale their confidence or commitment to the small step that they identified. This could help prompt the coachee to rethink and become more certain about the small step that they will select.

## 5. *R - Review*

The fifth and last stage of this model involves reviewing the progress made at each session. This is done at the end of the first session and the beginning of any subsequent session.

In doing the review, the coach needs to focus on asking “what is better”, instead of asking what happened or whether a particular action or step was carried out as planned. Moreover, during the review, the coach should also look for opportunities to give and share credit with the coachee, while transitioning to find out what the coachee wants in that subsequent session – leading to the “outcome”, or the beginning of another OSKAR for that subsequent session.

The following questions may be used in this stage:

- What is better?
- What did you do that made the change happen?
- What effects have the changes had?
- What do you think will change next?

Regardless of the coaching model adopted by the organization, from each session, the coach shall maintain personal copies of the documentation using the Coach’s Notes template. The coaching sessions for a particular coaching engagement shall ensue until the set coaching goals and objectives are achieved. Once this happens, the coaching engagement shall be completed, and the coach will prepare the Coaching Report. This report shall signify the official completion and closure of the coaching engagement. The coach will attach this official report to the next Performance Review Form of the coachee, with a copy of the signed Coaching Agreement and Action Plan and copies of other documentary references specified therein, e.g. Individual Development Plan, etc.

## D. Monitoring and Evaluation

Monitoring is an ongoing process that involves systematically tracking the performance and effectiveness of the coaching program. This includes evaluating program results against the identified goals and objectives, identifying areas for improvement, and making necessary adjustments to keep the program on track. Whereas, evaluation focuses on assessing the overall impact and outcomes of the program, to ensure that it meets its intended objectives and provides value to its participants and other stakeholders.

The following table provides a sample high-level monitoring and evaluation plan for a Coaching Program:

**Table 7. Monitoring and Evaluation Plan for a Coaching Program**

Success Indicator	Definition	Data Source/s	Frequency of Data Collection	Responsible Party/ies	Reporting Cycle or Schedule
Achievement	Assesses	→ Coachin	→ At	Coaches	→ Mid-

of Learning Goals	whether participants have met his/her learning goals set for the coaching program	g Agreement and Action Plan → Coaching Reports → Performance Metrics → Competency assessments	program milestones → End of the program		term reports → Final coaching program report
Coach and Coachee Satisfaction	Measures the overall satisfaction of participants with the coaching program	Coach and Coachee Evaluation Forms	→ Post-session → Quarterly	Coach, Coachee, HR	→ Monthly reports → Final coaching program report
Coach Performance	Evaluates the effectiveness and quality of coaching delivered	→ Participant's feedback → Evaluation form	→ After each session → Bi-monthly	Coachees HR	→ Monthly Performance Reviews → Final Evaluation Report
Engagement Levels	Tracks the level of participant engagement and involvement in the coaching program	→ Attendance Records → Coach's Notes	→ Weekly → End of program	Coaches	→ Weekly updates → Final coaching program report
Impact on Performance	Evaluates the impact of the coaching program on	Performance Metrics Supervisor's feedback	→ Semi-Annually → Annually	HR Supervisor	→ Every performance assess

	participants' job performance and career development	Accomplishment Reports	y		ment period
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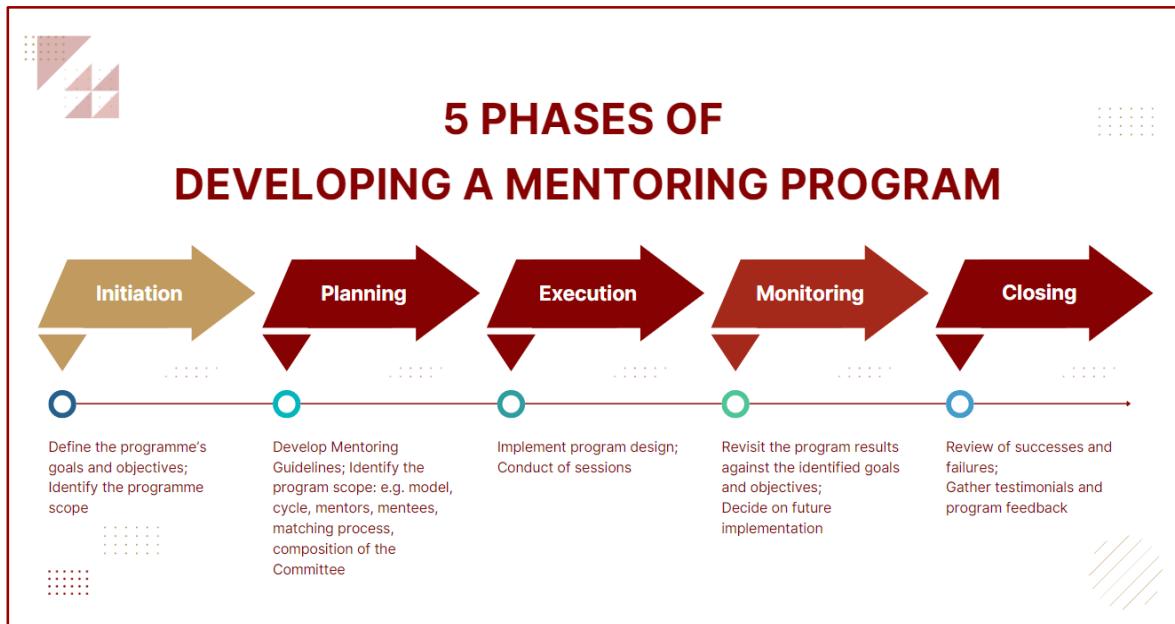
## **E. Closure**

The closure phase marks the formal conclusion of the pilot test of the coaching program. This phase involves a comprehensive review to assess the pilot's successes and challenges, document lessons learned, gather participant testimonials and program feedback, and make informed decisions on future adjustments to the program, if and where necessary.

In context, as the pilot of the coaching program draws to a close, a thorough evaluation will be conducted to gauge its effectiveness and identify areas for improvement. This evaluation will include gathering participants' feedback, comparing outcomes against initial objectives, and scrutinizing any challenges encountered during the said program. Based on these findings, necessary modifications or adjustments will be made to enhance the program's structure, content, and delivery methods.

To ensure that the program remains responsive to the evolving needs of participants and upholds a high standard of quality over time, continuous monitoring, touchpoints, and regular check-ins are recommended. These sustained efforts will help solidify the program's impact and foster long-term success.

## **Mentoring Program for ASEANSAI**



**Figure 4. Five (5) Phases of Developing a Mentoring Program**

### A. Initiation

#### *Identify the need for a Mentoring Program*

Identification of the program's goals and objectives is fundamental to the success of the mentoring process. These should be aligned with the organizational goals and clearly express the need for the establishment of a mentoring program. In establishing the design of the program, the end should always be in mind as this defines how the monitoring and evaluation will be carried out. This will help in creating a structured, goal-oriented, and purposeful mentoring program.

Similar to the establishment of the goals for the coaching program, the SMART model can be used to identify the objectives for the mentoring program. The objectives and goals must be specific, measurable, achievable, relevant, and time-bound. If the development of the objectives uses this model, it will be easier for the program results to be monitored and evaluated.

As discussed in the section for the coaching program, the identification of the KRAs and KPIs will also be conducted in this phase. Below is a list of objectives and their corresponding KRA and KPI. To reiterate, the list provided in this document is merely an example and may be altered depending on the identified organization's objectives, KRA, and KPIs.

**Table 8: Objectives and Key Results Areas for a Mentoring Program**

Objective	How Mentoring helps	KRA	KPI
Knowledge Transfer	Overall skills and career development	Increase the number of employees moving up to another level of an identified competency	Number of competencies with increased progressive levels
Developing Emerging Leaders	Helping high-performing employees develop their leadership abilities	Increase the number of employee promotions; Develop a succession planning strategy	30% increase in internal promotion rates or 50% increase in fulfillment rates of open requisitions/positions
Personal and Career Development	Assisting employees in meeting their career goals by honing new capabilities	Increase the number of employees moving up to another level of an identified competency; engagement in industry-related events, conferences or scholarships offered within and outside the organization	A significant number of employees have a positive outlook on their career path/trajectory within the organization
Employee Retention	Mentors who can communicate and demonstrate the long-term value the organization offers and emphasize that the intent of the organization on their career development will help employees envision their career trajectory internally making them likely to stay longer	Increase the employee annual retention rate; decrease the annual turnover rate	30% decrease in annual turnover rate
Employee Engagement	Fostering collaborative knowledge sharing within the team; creates a culture of continuous learning and skill-sharing; actively exchange	Increased levels of job satisfaction	80% participation in employee engagement activities; 20% decrease in absenteeism rate

	experiences and skills within the workplace	
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### *Determine Key Roles and Responsibilities*

After determining the objectives of the mentoring program, the roles and responsibilities of all the parties involved in the execution and program must be defined.

It is best to designate the responsibility of managing the workplace mentoring program to the human resources department. An alternative would be to create a mentoring program committee (MPC) that is mainly composed of senior or mid-level employees from the HR department and key identified individuals who are deemed to be able to contribute to the program's success. The identification of the program committee composition and their roles and responsibilities are discussed thoroughly in the next section.

As regards the roles of the mentors and mentees, they are clearly defined in the mentoring agreement form which can be found in Annex G.

### *Obtain Organizational Support*

Critical to the success of the mentoring program or any other organization initiative is securing organization support. Gaining support from senior management ensures that the program has the buy-in, required resources, and engagement from key stakeholders.

To gain support, it is essential to demonstrate that the program is aligned with the strategic priorities of the organization, and if possible show how mentoring can address issues such as turnover rates, employee engagement and retention, and job performance, among others. A key action for this is the creation of a clear business case, where clear evidence of the positive impact of mentoring programs on organizations can be shown. Cite industry benchmarks and provide success stories that will solidify the need for mentoring programs.

### *Identification of Roadblocks*

The initiation phase is also where the potential risks and roadblocks to the program should be identified and how to mitigate or address them. For mentoring, roadblocks could include poor matching of the mentor and mentee which may lead to disengagement and failure to achieve desired outcomes, lack of clear objectives and goals of the program and the mentee, inadequate training preparation, lack of buy-in from management, insufficient monitoring and evaluation among others. These roadblocks may be summarized using a risk register to provide a more comprehensive view of the risks, a specific description, risk likelihood, impact, owner, contingency plan, and other risk-related information.

## B. Planning and Preparation

The planning and preparation phase includes creating and developing mentoring program guidelines. This will be fundamental to the success of the program as this will contain all the information that the program committee, mentors, and mentees need. The below items should be identified and established during this phase and will comprise the program guidelines:

### 1. Identifying the scope

This includes identifying the program design details:

- Program model
- Program cycle: timeframe, session frequency, session duration
- Target mentors/mentees
- Matching process
- Termination of mentoring relationship

#### a. Identifying mentoring model

Based on the identified goals and objectives in the initiation phase, the appropriate mentoring model to meet the desired outcomes must be identified. These models are grouped into two categories: One-to-One Programs and Group Programs. Below are the different models for mentoring per category:

**Table 9: Different Mentoring Models**

Model Name	Description
<b>One-to-One Programs</b>	
One-to-One Mentoring	The mentor and mentee create a relationship to guide and help the mentee develop competencies that will aid them in achieving the goals they have set for themselves.
Reverse Mentoring	Flips the traditional mentoring method on its head and places senior leaders in the mentee's chair for a change and allowing more junior employees to share their insights
Flash/Speed Mentoring	Mentoring is done between mentor and mentee for brief, focused session/s. Mentors meet the mentees once or twice instead of recurring sessions over the course of months
<b>Group Programs</b>	
Group Mentoring / Mentoring Circles	A model where one or more mentors provide guidance to several mentees. This is beneficial to an organization if there is a shortage of mentors or if there are goals that need to be met immediately. Types of group

	mentoring include: one mentor with multiple mentees; multiple mentors and mentees; peer mentoring
Employee Resource Groups (ERGs)	Not a mentorship program but uses mentorship to provide support for a specific type of population or group. Helps support Belonging, Equity, Inclusion, and Diversity (BEID) initiatives
Reciprocal Mentoring	Mentoring involves guidance and transfer of knowledge bilaterally within organizations. It allows participants to play the role of both mentor and mentee at the same time.
<b>One-to-One/Group Program</b>	
Peer-to-Peer/Social Learning	Mentoring is done between individuals with similar status or roles within an organization.

Depending on the agreed mentoring model, mentoring pairs may conduct their sessions face-to-face or virtually, and during a mutually convenient time.

b. Identifying the program cycle

After identifying the program model, the program cycle identification follows. This includes identifying the timeframe, session frequency, and session duration.

Two program cycles may be made available to the participants of the mentoring program:

1. Open-Ended:

- program runs continuously, thus does not have an end date
- has continuous registration, participants in the program may register whenever they choose
- allows for new matches, rematching at any point

2. Fixed:

- programs are fixed in length, e.g. may run bi-annually/annually
- fixed registration period; participants in the program will not be allowed to register beyond the identified registration period
- fixed window for matching mentors with mentees

**Table 10. Program Cycle Matrix**

	Open-Ended	Fixed
Program Duration	No implied date	Fixed length – annually, bi-annually
Registration	Always open	Fixed period
Matching Window	Always open	Fixed period
Rematching Requests	Available	Rematch if requested

For organizations that will not invest in acquiring a mentoring platform, a fixed program cycle would be more suitable as the monitoring process will be less rigorous.

Depending on the services offered, an open-ended program cycle is suggested for organizations that will acquire a mentoring platform. This will allow participants to network and pair with multiple mentors/mentees without adding too much strain to the program committee. Furthermore, SAIs have the liberty of choosing a system with program details and customizable features that are aligned with their objective and will best suit their needs. This will help reduce the manual work that program coordinators must perform—work that could be prone to human errors.

Regardless of the system used to manage the program cycle, the mentoring programs may have an open-ended and/or a fixed cycle. However, it is not suggested to have an open-ended and a fixed cycle running concurrently for manual implementation as the efficiency of the program process will be affected.

As for the registration period, matching window, and re-matching requests, the SAI may decide whether to implement a no cut-off policy and unrestricted rematching requests especially if a mentoring platform will not be used. Placing no restrictions on these program cycle details will require extensive monitoring and processing on the MPC's end.

The frequency and duration of the mentoring sessions shall be determined by the mentoring pairs. For manual implementation, this will be indicated in the mentoring agreement form (Annex G). If a mentoring platform is used, this can be customizable depending on the program design and may be determined by the platform administrator or the mentoring pairs themselves. A duration of one hour every week or one and a half hours every other week is recommended for the mentoring relationship.

c. Target mentors and mentees

Identification of the target mentors and mentees is dependent on the program objectives and mentoring model. To serve as a guide, essentially mentors and mentees may be grouped into specific categories such as tenure, career level, certification type, experience, expertise, or personal development goals.

For mentors, they may be senior executives, mid-career professionals (whether individual contributors or with direct reports), retired employees (previously held senior executive positions), or alumni of the mentoring program, and subject matter experts (SMEs).

For mentees, they may be entry-level professionals, employees in the leadership pipeline, career changers, and any employee seeking personal or professional development.

To further illustrate, below is the table showing the target mentors and mentees depending on the program objective/model:

**Table 11. Sample Target Mentors and Mentees depending on Program Objective and Mentoring Model**

<b>Objective: Developing Emerging Leaders</b>	
<b>Mentoring model: One-to-One mentoring</b>	
<b>Target Mentor</b>	<b>Target Mentee</b>
Senior Executives (Active or Retired)	Aspiring Leaders; employees in the pipeline for promotion to leadership positions
<b>Objective: Employee Engagement</b>	
<b>Mentoring model: Group Mentoring</b>	
<b>Target Mentor</b>	<b>Target Mentee</b>
Senior Executive, Mid-career professionals from the human resources department	Entry-level professionals; employees who have issues with engagement or absenteeism regardless of the position
<b>Objective: Knowledge transfer</b>	
<b>Mentoring model: Reverse Mentoring</b>	
<b>Target Mentor</b>	<b>Target Mentee</b>
Subject matter experts (SMEs) - may not necessarily hold senior or mid-level positions in the company	Entry-level professionals; employees in the company regardless of position who need mentoring in specific areas like technology

d. Identification of Matching Process

Prior to the improvements in technology and artificial intelligence (AI), L&D practitioners implementing mentoring programs would manually match mentors to mentees. They would use surveys or spreadsheets to obtain information about the program participants and match them based on identified factors. As the champion of the mentoring program, the majority of efforts are focused on ensuring the right mentor and mentee matches. Needless to say, even more work is needed if this process is done manually.

Now with the remarkable advancements in the field of AI and technology, the matching process for mentoring programs can be done through the advanced algorithms of mentoring platforms. Automated matching through the numerous available mentoring platforms will increase efficiency, save

resources, and eliminate guesswork and manual processes involved in running a mentoring program.

Considering the entailed costs, the SAI shall decide whether the matching process should be done manually, or if they will invest in software for mentoring that can facilitate the process of the program.

**Table 12. Mentor-Mentee Matching Types**

Matching Type	Pairing Requestor	Approving Authority
Mentee-led matching	Mentee	Mentor
Administrator-led pairing	Administrator	Administrator
Algorithm matching	Software algorithm	Administrator

In a manual system for mentee-led matching, the mentee will submit a request for a mentoring engagement to prospective mentors. For the matching to start, the mentors need to provide their approval. To get the best possible match and for the mentees to be more informed about which mentor to choose, the program committee must publish information about mentors that will be readily available to all mentees. The SAI may choose whether these requests will be directly sent to the mentors or will be coursing through the program committee. Additionally, they may create guidelines on how rejected requests and re-sending of matching requests will be conducted. This mentee-led matching type is on a first-come, first-served basis.

In a manual administrative-led pairing matching type, the program committee will decide the best matches based on the application forms submitted by the mentors and mentees. This process when done manually may take a long time depending on the number of applicants to the program as application forms need to be reviewed thoroughly. If required, the program committee may also conduct interviews of the applicants to obtain more information and produce better matches.

If an automated system or a mentoring platform is used, all the matching processes will be conducted via the platform using algorithms. For mentee-led matching, platforms may provide the best possible match depending on the profiles of the mentors and mentees. Requests may be sent directly to the mentor using the platform and approval will also be within the platform. This will depend on the customizable features offered by the platform.

For the administrative-led matching, the program committee will be guided by algorithms to create and approve matches. Depending on the customizable features of the platform, matching may be done by the program committee manually via the system using the suggested best matches or via auto-matching.

The disadvantage of automated matching is that it is purely dependent on the algorithms in the system. Matching is based on the algorithm rules and there is reliance on data provided. So if there is biased, incomplete, or inaccurate data from the profiles of the participants, then the matchings may

not be completely compatible. While this is a trade-off, using a mentoring platform will definitely increase efficiency and will allow the program committee to focus on other tasks.

An important thing to consider during the matching phase is the program committee will not know the number of registrations and the distribution of mentors versus mentee registrations until the end of the registration period. This means that some individuals may not be matched for a mentoring relationship. In addition, these fallouts due to the matching process will also depend on the program design such as the program cycle, and mentoring model, among others, and whether the mentoring program is run manually or via a mentoring platform. It is recommended that the SAIs define this in their guidelines and include the same in the risk register.

#### e. Termination of Mentoring Relationship

It is inevitable to encounter the termination of a mentoring relationship prior to program completion. This is a crucial obstacle in the implementation of the mentoring program and while it might be challenging, it is essential for the program committee to deal with the situation professionally and to open the channels for communication to both mentors and mentees to ensure that both parties will have a positive experience or resolution to their issues.

To ensure that the mentoring program will run smoothly and to provide support to both parties, identification of the cause of termination is important. The program committee must ensure to hold a conversation with the terminating party confidentially and if agreed upon or requested, should provide a venue where both parties can discuss and share their perspectives.

Whether the reasons are personal, time-related, program design-related, unfulfilled expectations, or maintenance of the mentoring relationship itself, the program committee should be able to assess the situation of the mentoring pair and decide if the severity is remediable or not. If it is deemed reparable, then the program committee must be able to provide mediation and help address the concerns. If the situation is beyond repair after assessment or even after mediation, then the program committee must be able to provide support by re-matching or re-assigning the remaining party to form a new pair.

As stated in the initiation phase, identification of program roadblocks is crucial and early termination of the relationship is one of them. The SAI should include in its guidelines how to mitigate and address issues relating to early termination so that in the event it happens, and before processing the termination, the program committee will be able to review the policies related to it and ensure compliance with the agreed policies.

Another important thing to note is the documentation of the termination. The program committee must ensure that a record of termination is kept. This should include the reasons for the termination, what interventions were made to address the concerns, and the feedback from the parties involved.

This will help the program committee reflect on the challenges and the failures of the program by identifying common themes of the terminations and assess whether these reasons can be managed through capacity-building activities of the mentors and mentees, or a change in the program design.

Being aware of these issues, documenting and assessing them will help in future program design - cycles, matching criteria or algorithms, and the overall continuous improvement of the process.

## *2. Designing and developing the processes and systems*

As mentioned in the introduction of the Planning and Preparation section of the mentoring program, the contents of the Planning and Preparation section will comprise the guidelines for the mentoring program. The mentoring program policy and guidelines is a formal document or guide that outlines the program design, structure, and rules for the parties involved in the mentoring program.

The materials development and resource identification and allocation will be dependent on the program guidelines and what the mentors and mentees need for the successful facilitation and conduct of the program. Depending on how the mentoring program will be executed, the mentoring tools and forms, feedback mechanisms, and data management system must be developed.

For the implementation of the mentoring program without a mentoring platform, the tools, forms, and feedback mechanisms developed preferably must be embedded in an electronic system for ease of use of the parties involved and for efficient monitoring of the program committee. In case such an electronic system cannot be developed, manual format shall be administered and proper storage for the physical files and documents must be planned by the MPC.

Mentoring Tools and Forms - these are essential resources that enhance the mentoring process by providing structure, tracking progress, and ensuring clear communication between the mentors and mentees. A coaching tool or model may be adapted to mentoring and the tools and forms may be designed based on the tool or model selected. The tools and forms may include, but are not limited to, the following:

- Program Guide
- Application Form for mentors and mentees
- Mentoring Agreement Form
- Mentee Action Plan Template
- Mentoring Pre-Session Form
- Mentoring Post-Session Form
- Mentoring Log Form
- Mid-point Review Form for Mentors
- Mid-point Review Form for Mentees
- Final Evaluation Form for Mentors
- Final Evaluation Form for Mentees

Sample of the forms mentioned above aside from the Program Guide can be found in the Annex section of this document.

For the implementation of the program using a mentoring platform, these tools and forms are expected to be embedded in the system. The program committee must ensure that the service provider is informed of the requirements or will work diligently in securing a mentoring platform that will meet and accommodate the needs of the program.

### *3. Identification of the Program Committee Composition*

Ideally, mentoring programs should be spearheaded by the HR department or training organization under SAIs and they must create a program committee. The program committee should comprise around five (5) people including an HR representative and the program coordinator. To have a well-rounded committee, the individuals should come from various parts of the organization who may bring different perspectives and expertise to the program.

The primary role of the program committee is to provide strategic support to the activities of the mentoring program, ensure the program's success, and ensure that processes in the mentoring program are conducted fairly.

Below are the responsibilities of the program committee:

1. Program design and development - this includes defining the goals and objectives of the program, creating the program structure, and developing the mentoring program guidelines and policies.
2. Mentor and mentee matching - they shall develop the criteria for the selection of the mentors and mentees to ensure that they are qualified to join the program. Likewise, they will also be responsible for overseeing the matching process which includes reviewing the applications to the program and reviewing mentor and mentee matches.
3. Orientation and Capacity-Building - they shall be responsible for ensuring that the participants of the program understand the program's objectives and manage their expectations. They will also be responsible for providing training to the mentors and mentees to help support the success of the mentoring relationship.
4. Program Management - they shall ensure that the participants in the program are well-supported and are provided assistance with any concerns and issues. They shall also ensure there are effective communication channels for all stakeholders.
5. Monitoring and Evaluation - using assessment forms and progress reports, they shall ensure that the mentors and mentees are fulfilling their mentoring agreement and are meeting their established goals and objectives. They will also be responsible for assessing the overall effectiveness of the program and identifying areas for improvement. If deemed necessary, they shall also make adjustments to the program to improve its effectiveness changing the matching process or offering

additional interventions or capacity-building activities to the mentors and mentees.

Below are the responsibilities of the program coordinator:

1. Documentation and record-keeping - they shall maintain accurate records of all aspects of the mentoring program. This includes, but is not limited to, matching documents, minutes of the meetings, and progress reports.
  2. Applications of mentors and mentees - shall form a team responsible for conducting interviews for the applicants to the mentorship program.
- 4. Formulating the program implementation plan*

The program implementation plan for the mentoring program shall include the program components, corresponding action items, responsible party/ies, timeline, resources needed, and the respective success indicators/s. As mentioned earlier, the risk register for the program implementation must also be initiated. A sample program implementation plan is illustrated under the Execution/Implementation phase.

- 5. Formulating the communication plan*

The formulation of the communication plan is essential to keep stakeholders engaged, informed, and aligned throughout the mentoring program. It should outline what needs to be communicated, the target audience, the purpose of the communication, the methods and channels, the frequency of communication, and responsible parties.

Promoting the mentoring program is crucial to its success. The goal is to pique the interest of the potential mentors and mentees and spread awareness about the program.

As mentioned in the previous sections of this document, the buy-in of the management and stakeholders is vital to the success of the program. One of the characteristics of a successful program is supported and backed by the management.

For a mentoring program to be successful, the organization must not assume that employees will be interested or express intent to join without prior and proper knowledge of the program details.

An organization must exhaust all platforms to make the program known to all employees and attract possible participants.

Below are the strategies that can be implemented to promote the mentoring program:

1. Use a persuasive email announcement. The email should contain all the program's pertinent details with an explanation of its relevance to the leaders and the benefits of joining the mentoring program.
2. Use other platforms or mediums aside from emails. While emails may be sent organization-wide, there are instances where employees might be too preoccupied to read them. In this case, utilizing various platforms will help reach the audience in diverse ways. The program may be promoted during organization events, town halls, and team meetings. For smaller group settings, it will also be helpful if mentoring experiences are shared to persuade more people to sign up.
3. Get the management onboard and have them help promote the program. Not only will this help increase the awareness of the program, but this will also elevate the credibility as the discussion is from key executives and leaders of the organization.
4. Aside from the key executives of the organization, the direct managers of employees may also help in promoting the program. This might require cascading information initially to key executives and managers. If managers are made aware of the benefits of mentoring and know how it may address the developmental gaps of their direct reports, they will encourage their team members to participate.
5. Prepare for a formal launching event. A formal launching event should invite as many employees as possible. During the event, a thorough presentation about the details and benefits of the program must be conducted. A detailed presentation of how the program works will help potential participants appreciate and understand the value of the program and how it will help not only them personally and professionally, but also contribute to the success of the organization's goals. A session during the program may also be allocated to key executives or potential mentors to share success stories and help promote the program.

A sample communication plan is provided under the Execution/Implementation Phase of the mentoring program section.

#### *6. **Invitation/Recruitment of employees to become mentors and mentees***

The recruitment of the employees to the program may be conducted in conjunction with the promotional events for the mentoring program.

Promotional platforms used such as emails or bulletins, must contain a link or a QR code to the application form for mentors and mentees. A sample application form can be found in Annex F of this document.

For organizations that will invest resources in a mentoring platform, they may include a sign-up link to the program including instructions on how to sign up.

## *7. Formulating the program mentoring and evaluation plan*

Parallel to the formulation of the implementation plan, the monitoring and evaluation plan must also be developed.

## *8. Capacity-building for mentors and mentees*

Before program implementation, the mentors and mentees must be equipped with the appropriate set of skills to maintain an effective and impactful mentoring relationship.

Capacity-building activities will be the responsibility of the Mentoring Program Coordinator. The training program for the mentors and mentees may be conducted with resource persons from the organization. These may be key executives or selected employees who have previous mentoring experiences. Another option would be to invite external resource persons or consultants to design, develop, and deliver the training activities.

Since the mentors are the source of knowledge in a mentoring relationship, logically it makes sense to provide training activities for them. However, it would be beneficial to provide a venue or host a mentor-mentee event where the participants will have an opportunity to begin networking.

In this mentor-mentee event, there will be another walk-through on the program details emphasizing how the engagement will commence, be maintained, and end.

This mentor-mentee event may also serve as one of the capacity-building activities where after a session highlighting the program details, there will be sessions where introductions to methods and approaches to mentoring may be taught to the participants. The mentoring program coordinator may schedule joint training sessions for mentors and mentees and separate ones where the mentors and mentees may respectively be equipped with the knowledge and skills that will help them with the success of the mentoring relationship.

## **C. Execution/Implementation**

The execution phase of the mentoring program is where the carefully planned details of the mentoring program are put into action. During this phase, the mentoring relationship commences and the mentors and mentees engage to build their relationship, conduct mentoring sessions, and work towards achieving their goals. A key element of this phase involves the facilitation of mentor-mentee sessions, providing capacity-building activities for parties involved, providing resources, monitoring the progress of the mentoring pairs, and ensuring there is constant communication throughout the engagement. The focus is on ensuring that the mentoring program operates in accordance with the implementation plan and achieves the intended outcomes.

**Table 13. Implementation Plan for the Mentoring Program**

Component	Action Items	Responsible Parties	Timeline	Resources Needed	Success Indicator
<b>Pre-Implementation</b>					
Program Design	Formulate program components (e.g., processes, tools, materials, systems, etc.)	Mentoring Program Committee (MPC)	5 months before the launch	Tools, Administrative support	Processes, systems, and program documents developed
Resource allocation	Allocate necessary resources (time, tools, support)	HR, Training Organization under SAI, Management, and MPC	4 months before the launch	Budget, tools, administrative support	Adequate resources are provided for the program
Mentoring program promotion	Use communication channels to promote the mentoring program	MPC	3 months before the launch	Budget, tools, administrative support	Participation in program events, town halls
Recruitment of mentors and mentees	Make the registration links accessible to employees	MPC	3 months before the launch	Budget, tools, administrative support	Target number of registrations for mentors and mentees is met
Capacity-building	Course Design and Development	HR, Training Organization under SAI, Management	2 months before the launch	Budget, tools, administrative support	Mandatory courses in the program are designed and developed
Matching of mentors and mentees	Pair mentors with mentees based identified on criteria	MPC	2 months before the launch	Tools, Administrative support	Percentage of successful matches/ pairs
Capacity-building	Deliver course for mentors	HR, External Trainers, Organization	1-2 months before the	Training materials	Mentors are trained and confident in

Component	Action Items	Responsible Parties	Timeline	Resources Needed	Success Indicator
			launch		using the systems and processes in mentoring
	Deliver course for mentees	HR, External Trainers, Organization	1-2 months before the launch	Training materials	Mentees are trained and confident in using the systems and processes in mentoring
Send program launch event announcement	Notify stakeholders of the launching event	MPC	0.5-1 month before the launch	Tools, Administrative support	100% of stakeholders are informed of the event
Communication	Inform all stakeholders about the program and updates (link to Communication Plan)	HR, Internal Communications	All throughout the duration	Communication platforms identified	Stakeholders are well-informed and engaged
<b>Program Kick-Off</b>					
Launching Event / Orientation	Conduct of launch event/orientation	MPC	Week 1 / 1st Month	Venue, Administrative support	100% attendance of stakeholders
Distribution of onboarding materials	Provide the program guide to the mentors and mentees along with other resources needed	MPC	Week 1 / 1st Month	Tools, Administrative support	100% attendance of mentors and mentees provided with materials

Component	Action Items	Responsible Parties	Timeline	Resources Needed	Success Indicator
<b>Program Execution</b>					
Schedule initial meetings	Ensure mentors and mentees schedule their first meetings	MPC, mentors, and mentees	Week 1 / 1st Month	Mentoring tools, forms, resources, etc.	Process KPIs are met
Provide ongoing support	Offer resources to the mentors and mentees whenever needed	MPC	All throughout the program duration	Mentoring tools, forms, resources, etc.	Satisfaction Rating of mentors and mentees
Monitor the progress of the mentoring sessions	Ensure that the mentoring logs are submitted to the MPC regularly	Mentors, mentees, and MPC	Monthly	Mentoring tools, forms, resources, etc.	100% submission of mentoring logs and other forms
<b>Mid-Program Review</b>					
Administer Mid-Point Review Survey	Collect feedback on the mentoring relationship, the effectiveness of the program, and areas for improvement	MPC	3rd month for bi-annual cycle; 6th month for annual cycle	Mentoring tools, forms, resources, etc.	100% submission of mid-point review survey forms
<b>Program Closure</b>					
Conduct final surveys	Collect feedback from mentors and mentees on the overall mentoring	MPC	End of every program cycle	Mentoring tools, forms, resources, etc.	100% submission of final survey forms

Component	Action Items	Responsible Parties	Timeline	Resources Needed	Success Indicator
	experience				
Conduct closing ceremony	Acknowledge mentors and mentees, celebrate achievements, and share key outcomes	MPC	1 month after the completion of a program cycle	Venue, Administrative support	100% attendance of mentors and mentees and stakeholders
Prepare Evaluation Report	Identify KPIs; Collect data, etc. (link to M&E Plan) and prepare a report	MPC, HR	2-3 months after cycle completion	Evaluation tools, feedback forms	Regular feedback and progress reports
Continuous improvement	Collect feedback and refine the program as needed	HR	Ongoing after month 6	Feedback tools, review sessions	Program adjustments based on feedback.

**Table 14. Communication Plan for the Mentoring Program**

Key Message	Target Audience	Communication Method and Channel	Frequency	Responsible Parties
Program launch	All stakeholders	→ Internal Newsletters → Email Campaigns	→ At launch → Monthly updates	→ Mentor Program Committee
Progress updates	All stakeholders	→ Intranet Announcement → Team Meetings	→ Quarterly updates	→ Mentor Program Committee
Training schedules and resources	Mentors Mentees	→ Email Updates → Intranet Posts	→ Bi-weekly	→ Mentor Program Committee → Training Coordinators
Feedback collection and	Current Participants and	→ Surveys → Focus Group	→ Post-session → Quarterly	→ Mentor Program

action taken	alumni	Discussions		Committee
Program adjustments and improvements	All stakeholders	→ Internal Newsletters → Meetings	→ As needed	→ Mentor Program Committee

**Table 15. Sample Program Schedule for Fixed Cycle**

1 <sup>st</sup> month	1 <sup>st</sup> half	Launching event
	2 <sup>nd</sup> half	Orientation - a detailed walkthrough of the program details; goal setting for each mentorship pair
2 <sup>nd</sup> month	1 <sup>st</sup> half	Start of the first mentoring session – mentorship pairs to work on goal #1
	2 <sup>nd</sup> half	Second mentoring session – continue working on goal #1
3 <sup>rd</sup> month	1 <sup>st</sup> half	Third mentoring session – start working on goal #2
	2 <sup>nd</sup> half	Fourth mentoring session – continue working on goal #2
4 <sup>th</sup> month	1 <sup>st</sup> half	Midterm Checkpoint
	2 <sup>nd</sup> half	Fifth mentoring session – start working on goal #3
5 <sup>th</sup> month	1 <sup>st</sup> half	Sixth mentoring session – continue working on goal #3
	2 <sup>nd</sup> half	Seventh mentoring session – start working on additional goals, if any
6 <sup>th</sup> month	1 <sup>st</sup> half	Eight mentoring sessions – start working on additional goals, if any
	2 <sup>nd</sup> half	Farewell meeting; mentorship pairs can use the time to accomplish the final mentorship programme report to be submitted
7 <sup>th</sup> month - onwards		Preparation of evaluation report and for the new cycle of the program

During the orientation, the MPC will welcome all the program participants, explain in detail the program design and process, and facilitate the get-to-know activities for the mentoring. They will also provide resources to the program participants such as program guides and tools that will guide them all throughout their mentoring journey. They should also facilitate in building the rapport between the mentoring pairs so the relationship may commence on a good note. The mentoring pairs will then discuss and

sign the mentoring agreement (Annex G). The mentee will likewise accomplish the Mentee Action Plan and will share it with their respective mentor.

For the actual mentoring sessions, the mentee must accomplish the Mentoring Pre-Session Form (Annex I) and indicate the details required prior to the meeting with their mentor. The mentee must then submit a copy of this to their respective mentor on their agreed timeline prior to the session. This document will inform the mentor of the mentee's needs for the session and will help the mentor better facilitate it. After every session, the mentor will accomplish the Post-Session Form (Annex J). This form is intended to capture pertinent information after each mentoring session. This will help the mentor and the MPC track progress, document the session's key takeaways, and ensure that both parties are aligned on their next steps. After accomplishing the form, the mentor must submit a copy of this form together with the pre-session form submitted to them by their respective mentee to the MPC. In addition, the mentoring pair must also submit a copy of the mentoring log form (Annex K) to the MPC for monitoring purposes.

Depending on the program cycle, a Mid-Point Review form will be administered and must be accomplished by both mentors and mentees halfway through the mentoring relationship. For bi-annual fixed cycles, this will be administered at the end of the 3rd month, and for annual fixed cycles, this will be administered at the end of the 6th month. For open-ended cycles, the SAI must define in their guidelines the process that will be followed in the administration of the Mid-Point Review form. There are two separate Mid-Point Review forms for mentors and mentees which can be found in Annex J and K respectively.

During the program closure, both mentors and mentees must accomplish the Final Evaluation Form and submit to the MPC. This may be accomplished at the end of the last mentoring session or during the program closure event such as the farewell gathering. Similar to the administration of the Mid-Point Review Form, the SAI must determine the administration schedule for open-ended cycles and specify it on the mentoring program guidelines.

As consistently emphasized in this document, the management and monitoring of mentoring sessions will depend heavily on the type of system the mentoring program operates on. For a manual system, the SAI must consider the number of forms that are administered for every mentoring pair and every mentoring session and thus it is encouraged to create a digitized system for the administration, submission, and monitoring of these forms if a mentoring platform will not be acquired.

At the end of every program cycle, the MPC must focus on the monitoring and evaluation, and closure phases. The details for both phases are highlighted in the following sections.

## **D. Monitoring and Evaluation**

As discussed in the coaching program section, monitoring is a systematic and routine collection of information that tracks the performance and effectiveness of a program.

The following table provides a sample high-level monitoring and evaluation plan for a Mentoring Program:

**Table 16. Monitoring and Evaluation Plan for a Mentoring Program**

Success Indicator	Definition	Data Source/s	Frequency of Data Collection	Responsible Party/ies	Reporting Cycle or Schedule
Achievement of Learning Goals	Assesses whether participants have met his/her learning goals set for the coaching program	→ Mentoring Agreement and Action Plan → Mentoring Logs → Performance Metrics → Competency assessments	→ At program milestones → End of the program	Mentors, Mentees	→ Mid-term reports → Final mentoring program report
Mentor and Mentee Satisfaction	Measures the overall satisfaction of participants with the mentoring program	Mentor and Mentee Evaluation Forms	→ Post-session → Quarterly	Mentors, Mentees, MPC	→ Monthly reports → Final mentoring program report
Mentor Performance	Evaluates the effectiveness and quality of mentoring delivered	→ Participant's feedback → Evaluation form	→ Mid-point → End of the program	Mentees, MPC	→ Final Evaluation Report
Engagement Levels	Tracks the level of participant engagement and involvement in the mentoring program	→ Attendance Records → Mentoring Log → Pre-Session Form	→ Before the start of a session → Mid-point → End of program	Mentors, MPC	→ Weekly updates → Final mentoring program report
Impact on Performance	Evaluates the impact of	Performance Metrics	→ Semi-Annually	HR Supervisor	→ Every performance

	the mentoring program on participants' job performance and career development		y → Annually		mance assessment period
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## E. Closure

A mentoring program's closure phase is crucial to guaranteeing a positive and reflective conclusion to the mentoring relationship and reinforcing the program's long-term impact.

The MPC must communicate clear expectations for the closure. The mentors and the mentees must be informed of the closure process and their role in it.

It is encouraged for the MPC to organize a farewell gathering where mentors and mentees can discuss their shared mentoring journey reflections. In this gathering, the MPC may help facilitate self-reflection for both mentors and mentees and encourage them to reflect on their personal and professional growth since joining the program, their key takeaways, and how they plan to move forward as an alumnus of the program. For mentors specifically, they are encouraged to reflect on their experiences as a mentor and their failures and successes during the program. If resources and time allow, the MPC may also conduct exit interviews or focus group discussions with selected mentors and mentees to obtain more qualitative insights into the program's strengths and areas for improvement. The MPC may also introduce during the farewell gathering a post-program connection or alumni network to promote continued networking and be apprised of personal and professional development opportunities. This may also be an opportunity to encourage graduates of the program to engage again in the succeeding program cycles either as a mentor or a mentee. Likewise, this is also an opportunity for relationship management and present re-engagement opportunities to mentors and encourage them to participate in the succeeding run or program cycles.

In addition to organizing a farewell event, a recognition or closing ceremony is highly encouraged. This will serve as a venue to celebrate the conclusion of the program and for the participants to be recognized for their efforts and contributions to the success of the program. The MPC may highlight success stories and key takeaways from the program during this event. For promotion and information dissemination to employees and other potential participants in future program cycles, the MPC may also share the success stories via the same communications channels used in promoting the program.

This phase also involves a comprehensive assessment of the success and challenges of the program using data from the forms administered, interviews and focus group discussions conducted, and other program feedback. This assessment includes identifying whether the objectives of the program were met and identifying gaps that need to be addressed in future iterations or cycles if needed.

As mentoring programs have different cycles, the closure activities mentioned above can be easily implemented for fixed cycle groups. However, for open-ended cycles, the SAI should define the guidelines for how the closure phase will be conducted and how the specific activities will be carried out for different pairs that will conclude the mentoring relationship.

## Final Recommendations

Learning and Development (L&D), according to the 70:20:10 model, involves experiential learning (70%), social learning (20%), and formal/structured learning (10%). Training alone, therefore, falls short of the necessary interventions towards achieving an individual's full potential. Instead, it is essential to incorporate non-formal learning interventions to complement traditional training approaches. ASEAN member SAIs that still heavily rely on training as their main L&D intervention should consider ways to adopt other methods that accordingly address the greater 70 and 20 percent. Such is the intended use of this ASEANSAI Coaching and Mentoring Strategy document.

In view of the advantages of coaching and mentoring in terms of one's professional and personal development, the program designs contained herein offer SAIs with practical strategies on how they can embark on a coaching and mentoring journey within their organization. However, it is worth noting that this document does not provide a one-size-fits-all design. As mentioned in the GUID 1950, while SAIs may share common functions, they operate under different mandates, enabling legislation, public finance management considerations, needs and methodologies, and practices. Needless to say, SAIs differ greatly in culture and environment. Thus, the adoption of the strategies presented in this document needs thoughtful consideration of these differences. The SAIs are recommended to customize the coaching and mentoring program designs presented herein and develop local procedural guidelines that will best suit the peculiarities of their organization, align with their organizational strategy, and more importantly, fulfill the needs of their employees.

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## **Annex**

### *Coaching Sample Forms and Templates*

Annex A - Coaching Agreement and Action Plan

Annex B - Coach's Notes

Annex C - Coaching Report Form

Annex D - Coach Evaluation Form

Annex E - Coachee Evaluation Form

### *Mentoring Sample Forms and Templates*

Annex F - Application Form for Mentors and Mentee

Annex G - Mentoring Agreement

Annex H - Mentee Action Plan

Annex I - Mentoring Pre-Session Form

Annex J - Mentoring Post-Session Form

Annex K - Mentoring Log Form

Annex L - Mid-point Review for Mentors Form

Annex M - Mid-point Review for Mentee Form

Annex N - Final Evaluation Form for Mentors

Annex O - Final Evaluation Form for Mentee

**SAMPLE COACHING AGREEMENT AND ACTION PLAN**

Coachee Name:		Position/Office:	
Coach Name:		Position/Office:	
Performance Rating Period:			

The document outlines the specific details of the coaching engagement between the above-named coach and coachee. It serves as an agreement to ensure alignment and mutual understanding of the coaching process.

Overall Target Duration (in weeks or months):	
Frequency of Coaching Sessions:	
Modalities to use:	

<b>ACTION PLAN</b>					
<b>Coaching Goal</b> <i>(specify whether it relates to competencies (C), performance metrics (P) or continuous professional development objectives (D)):</i>	<b>Objective</b>	<b>Start Date – Target Completion Date</b>	<b>Resources and support available</b>	<b>Success Indicators</b> <i>(I know I have achieved my goal when...)</i>	<b>Documentary references</b>
1.0.(C) Goal 1	1.1. Objective				e.g., Competency-based LNA form; Individual Development Plan
	1.2. Objective				
2.0.(P) Goal 2	2.1. Objective				e.g., Performance Review Form

All coaching engagements within the organization shall be guided by and conducted in compliance with the organization's Coaching Program policy, which indicates the program's general scope, goals, objectives, procedural guidelines, stakeholder responsibilities, accountabilities, and inter-dependencies, among others. It also includes the confidentiality clause indicating that all discussions between the coach and coachee will be

kept confidential and that all information shared during the coaching sessions will not be disclosed to any third party without the explicit consent of both parties, except as required by law. Further, the design and implementation of this agreement shall adhere to ISSAI 130 or Code of Ethics and other pertinent frameworks related thereto.

By signing this document, both parties acknowledge their commitment to this coaching engagement and agree to adhere to the organization's Coaching Program policy.

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Coachee's Signature over Printed Name

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Coach's Signature over Printed Name

Date: \_\_\_\_\_

Date: \_\_\_\_\_

## ANNEX B

<b>SAMPLE COACH'S NOTES</b>			
Coachee Name:		Position/Office:	
Coach Name:		Position/Office:	
Session Date:		Session No.:	
Coaching Goals and Objectives targeted in this session:			
<p>This form enables you to document the coaching process you facilitate using the OSKAR model. It is a solution-focused coaching model that focuses the coachee's attention on finding solutions rather than looking at how to address problems. Instead of discussing difficulties and their causes, the coaching sessions explore and define what currently works and do more of it, and not keep doing what is not working.</p>			
Using the OSKAR model, each session explores:			
<ul style="list-style-type: none"><li>• Desired goals</li><li>• Exceptions that have led to success in the past (instances when the problem being addressed was not present or did not occur)</li><li>• Solutions (changes that will have occurred once the goal is reached), as well as existing resources available for use by the coachee</li></ul>			
OSKAR Model Stage	Coach's Notes		
<b>OUTCOME</b>  This pertains to the difference that the coachee (and those around them) wants to see as a result of the coaching.			
This establishes a “platform” from which to coach, or a baseline, starting point or jumping-off point. It clarifies what the coachee wants to achieve, and how they will know it has been useful to them.			
<b>Using problem-free talk, ask the coachee to describe the perfect scenario that has miraculously appeared</b>			

**overnight and has the problems vanished (“Future Perfect”).**

You may use these questions:

- What is the outcome of this coaching?
- What do you want to achieve today?
- What do you want to achieve in the long term?
- How will you know this coaching has been of use to you?
- How would you describe your “future perfect”?

### **SCALING**

This stage enables you and the coachee to assess the extent to which the current situation is working.

**Ask the coachee to assign a scale number to the current situation, between 0 and 10, where:**

- **10 = the Outcome (“Future Perfect”)**
- **0 = the complete opposite**

You may use these questions:

- On a scale of 0 to 10, with 10 representing the future perfect and 0 the work it has ever been, where are you on that scale today?
- You are at *n* now – What did you do to get this far?
- How would you know you had got to *n+1*?

### **KNOW-HOW AND RESOURCES**

This stage enables you and the coachee to establish what factors are already contributing to getting the situation incrementally closer to the outcome, as well as the skills and resources needed to attain the outcome. As a coach, you ask questions that will help create a sense of possibility and capability.

#### **1. KNOW-HOW**

**Find out what the coachee knows – they are likely to have the clearest idea of what they are facing and the relevance of any potential know-how.**

You may use these questions:

- What helps you perform at  $n$  on the scale, rather than 0?
- When does the outcome already happen for you even a little bit? What did you do to make that happen? How did you do it?
- What did you do differently?
- What would other people say you are doing well?
- Who else do you know has achieved this? How did they do it?

## 2. RESOURCES

**Find out what resources, including qualities or attributes of the coachee, are present and available to help bring about progress:**

You may use these questions:

- What other teams or organizations are good at this kind of thing?
- Where else can you find out more about what you need here?
- What resources are you bringing to this initiative or endeavor?
- What qualities and experience do you have that are going to help you here?
- What did you do to make success happen? How did you do it? What did you do differently?

## AFFIRM AND ACTION

### 1. AFFIRM

Representing Part 1 of the “A” in this model, this stage involves **providing positive reinforcement to the coachee, by reflecting back positive comments about the key strengths they have revealed, specifically in terms of their knowledge, skills, and attitudes.**

You may use this question:

- What is already going well?

**Thereafter, summarize what has impressed you so far, then proceed directly to...**

## **2. ACTION**

Pertaining to Part 2 of the “A” in this model, this stage involves helping your coachee determine what actions they will take to keep moving toward the outcome.

**Invite the coachee to select a small action or “small steps” that are based on what works or what is expected to work, or the most likely to succeed.**

Small steps are those that can be done ‘tomorrow’, are concrete, involves ‘starting’ something instead of ‘stopping’, and are for the right people.

You may use these questions:

- What is the next small step for you to take personally?
- You are at  $n$  now, what would it take to get you to  $n+1$ ?
- What is the first thing you will notice that will indicate that you are 1 point higher on the scale?

Note: If you, as a coach, have a concern that the small step is not well chosen by the coachee, you may scale for confidence or commitment to the small step identified.

## **REVIEW**

This stage involves reviewing the progress made at each session. This is done at the end of the first session and the beginning of any subsequent session.

**In doing the review, you need to focus on asking what is better – instead of asking what happened or whether a particular action/step was carried out. Along the way, look for opportunities to give and share credit (some may be worthy of congratulation and exploration), and to find out what the coachee wants this time. (transition to “Outcome” for the subsequent session)**

You may use these questions:

- What is better?
- What did you do that made the change happen?
- What effects have the changes had?
- What do you think will change next?

**SAMPLE COACHING REPORT**

This report documents the highlights of the coaching engagement. This shall be completed by the Coach, and attached accordingly to the Individual Performance and Commitment Review (IPCR) Form submitted by the Coachee to the Coach after every semester.

Coachee Name:		Position/Office:	
Coach Name:		Position/Office:	
Performance Rating Period:			
Goals and Objectives of the Coaching Engagement:			

<b>HIGHLIGHTS OF THE COACHING ENGAGEMENT</b>				
<b>Session No.</b>	<b>Date/Time</b>	<b>Modality and Venue</b>	<b>Coaching Topic/Area</b> (also specify the goal and objective number addressed)	<b>Remarks</b>
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				

16				
17				
18				
19				
20				

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Coachee's Signature over Printed Name

Date: \_\_\_\_\_

---

Coach's Signature over Printed Name

Date: \_\_\_\_\_

**SAMPLE COACH EVALUATION FORM**

This form is designed to capture detailed feedback on the coaching experience from the coach's perspective. Please answer each question based on your experience in the coaching program. Be as specific and honest as possible to provide meaningful feedback. All responses will be kept confidential and used solely for the purpose of improving the coaching process.

[This form may be revised to add contents depending on the specific objectives of the program or as the SAI deemed necessary.]

<b>Date Accomplished</b>	:	
<b>Coachee Name</b>	:	
<b>Position/Office</b>	:	
<b>Coach Name</b>	:	
<b>Position/Office</b>	:	

**1. Overall Experience**

- a. How satisfied are you with your overall experience in the coaching program?
  - Very Satisfied
  - Satisfied
  - Neutral
  - Dissatisfied
  - Very Dissatisfied
- b. How well did the coaching program meet your expectations and objectives?
  - Exceeded Expectations
  - Met Expectations
  - Partially Met Expectations
  - Did Not Meet Expectations

**2. Program Structure and Content**

- a. How effective was the coaching program structure in facilitating your development?
  - Very Effective
  - Effective
  - Neutral
  - Ineffective
  - Very Ineffective
- b. How relevant and useful was the content covered during the coaching sessions?
  - Extremely Relevant
  - Very Relevant
  - Moderately Relevant
  - Slightly Relevant
  - Not Relevant
- c. Were the resources and materials provided helpful for your coaching practice?
  - Very Helpful
  - Helpful

- Neutral
- Unhelpful
- Very Unhelpful

### **3. Communication and Support**

- How would you rate the communication and support from the program organizers?
  - Excellent
  - Good
  - Average
  - Poor
  - Very Poor
- How well did the program facilitate collaboration and feedback among coaches?
  - Extremely Well
  - Very Well
  - Moderately Well
  - Slightly Well
  - Not Well
- How clear were the expectations and goals set for your coaching practice?
  - Very Clear
  - Clear
  - Neutral
  - Unclear
  - Very Unclear

### **4. Personal Growth and Development**

- To what extent has the coaching program contributed to your professional growth?
  - Greatly
  - Significantly
  - Moderately
  - Slightly
  - Not at All
- How would you rate your performance improvement as a result of this program?
  - Exceptional Improvement
  - Significant Improvement
  - Moderate Improvement
  - Minimal Improvement
  - No Improvement
- What skills or insights have you gained that were particularly valuable?

### **5. Areas for Improvement**

- What aspects of the coaching program do you think need improvement?

- b. Are there any additional resources or support you feel would enhance the program?

- c. Do you have any suggestions for improving the overall coaching experience for future participants?

Thank you for completing this form!

**SAMPLE COACHEE EVALUATION FORM**

This form is designed to capture detailed feedback on the coaching experience from the coachee's perspective. Please answer each question based on your experience in the coaching program. Be as specific and honest as possible to provide meaningful feedback. All responses will be kept confidential and used solely for the purpose of improving the coaching process.

[This form may be revised to add contents depending on the specific objectives of the program or as the SAI deemed necessary.]

<b>Date Accomplished</b>	:	
<b>Coachee Name</b>	:	
<b>Position/Office</b>	:	
<b>Coach Name</b>	:	
<b>Position/Office</b>	:	

**1. Overall Experience**

- a. How satisfied are you with your overall experience in the coaching program?
- Very Satisfied
  - Satisfied
  - Neutral
  - Dissatisfied
  - Very Dissatisfied

- b. How well did the coaching program meet your initial goals and expectations?
- Exceeded Expectations
  - Met Expectations
  - Partially Met Expectations
  - Did Not Meet Expectations

**2. Coaching Effectiveness**

- a. How effective was your coach in understanding and addressing your needs
- Extremely Effective
  - Very Effective
  - Moderately Effective
  - Slightly Effective
  - Not Effective
- b. How useful and actionable was the feedback provided by your coach?
- Extremely Useful

- Very Useful
- Moderately Useful
- Slightly Useful
- Not Useful

- c. How well did the coaching sessions help you in achieving your goals?
- Very Well
  - Well
  - Moderately
  - Slightly
  - Not at All

### **3. Communication and Support**

- a. How would you rate the communication skills of your coach?
- Excellent
  - Good
  - Average
  - Poor
  - Very Poor
- b. How well did the coach support you in your development throughout the program?
- Very Well
  - Well
  - Moderately
  - Slightly
  - Not Well
- c. Did you feel that the coach was accessible and available when needed?
- Always
  - Often
  - Sometimes
  - Rarely
  - Never

### **4. Program Content and Delivery**

- a. How relevant and useful was the content covered during your coaching sessions?
- Extremely Relevant
  - Very Relevant
  - Moderately Relevant
  - Slightly Relevant
  - Not Relevant
- b. How well-structured and organized were the coaching sessions?
- Very Well-Structured
  - Well-Structured
  - Neutral
  - Poorly Structured
  - Very Poorly Structured

- c. Were the tools and resources provided useful in your coaching experience?
- Very Useful
  - Useful
  - Neutral
  - Unhelpful
  - Very Unhelpful

## 5. Areas for Improvement

- a. What aspects of the coaching program do you think need improvement?

- b. Were there any areas when you felt the coach could have performed better?

- c. Do you have any suggestions for improving the overall coaching experience for future participants?

Thank you for completing this form!

## APPLICATION FORM FOR MENTORS AND MENTEES

This is the application form for [Insert Name of Organization]’s mentoring program. To ensure we can match you with the most suitable mentor or mentee, please go through the below questions carefully and provide a detailed response to each.

Before submission, please review your application and ensure all answers are correct and accurate. Please submit your application to [insert program manager name and contact info] no later than [insert time and date]. Thank you.

I am interested in being a:	<input type="checkbox"/> Mentor	<input type="checkbox"/> Mentee
I am interested in the program cycle:	<input type="checkbox"/> Fixed	<input type="checkbox"/> Open-ended

<b>Personal Information</b>			
Applicant’s Full Name			
Email Address:			
Phone Number:			
Gender:	<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> Prefer not to say
<b>Professional Information</b>			
Job Title:			
Office/Department/ Sector:			
Name of Direct Supervisor:			
Career Level:	<input type="checkbox"/> Entry-level	<input type="checkbox"/> Mid-level	
	<input type="checkbox"/> Intermediate	<input type="checkbox"/> Senior/Executive-Level	
Number of years in the organization:			
Years of experience in current job:			
Certification/Certification Levels:			
Areas of Expertise:			
Previous Mentoring Experience (as a mentor/mentee if any):			
<b>Mentorship Details:</b>			
<b>If applying to become a mentor:</b> Why do you want to become a mentor?			
What skills or knowledge do you hope to impart to your mentee(s)?			

What is your preferred method of communication (e.g., email, phone, video call)?	
Availability (hours per week/month):	
<b>If applying to become a mentee:</b> Why do you want to become a mentee?	
What specific skills or knowledge are you seeking from a mentor?	
What is your preferred method of communication (e.g., email, phone, video call)?	
Availability (hours per week/month):	
<b>Additional Information:</b>	
Do you have any specific expectations from the mentoring relationship?	
What are your interests or hobbies outside of work?	
Please provide any additional information that may be relevant to your application:	

**Agreement:**

I agree to commit to a minimum of [X months] as a mentor/mentee and to actively engage in the mentoring process.

\_\_\_\_\_  
Signature over Printed Name of

Mentor/Mentee

Date: \_\_\_\_\_

## **SAMPLE MENTORING AGREEMENT**

### **I. Introduction**

This Mentoring Agreement outlines the terms and conditions under which the mentoring relationship between [Mentor's Name], hereinafter referred to as "Mentor," and [Mentee's Name], hereinafter referred to as "Mentee," will operate. This agreement is facilitated by [Audit Institution Name] to enhance the professional development and skills of the Mentee.

### **Parties' Information**

Name of Mentor: \_\_\_\_\_  
Position/Job Title: \_\_\_\_\_  
Email address: \_\_\_\_\_  
Contact Number: \_\_\_\_\_  
Program Cycle:  Fixed  Open-ended

Name of Mentee: \_\_\_\_\_  
Position/Job Title: \_\_\_\_\_  
Email address: \_\_\_\_\_  
Contact Number: \_\_\_\_\_

### **II. Purpose**

The purpose of this mentoring relationship is to support the Mentee's professional growth, guide career development, and foster skills necessary for success in their chosen field.

### **III. Duration**

The mentoring relationship will be under the [Fixed/Open-ended] program cycle. It will commence on [Start Date] and will continue for [Duration, e.g., six months/one year]. Potential renewal upon mutual agreement will be subject to review by the Mentoring Program Committee.

### **IV. Meetings and Communication**

- **Frequency:** The Mentor and Mentee will meet [Frequency, e.g., weekly, bi-weekly] for a duration of [Meeting Duration, e.g., one hour].
- **Mode of Communication:** Meetings will be conducted [Mode of Communication, e.g., in-person, via video conference, or via phone].
- **Scheduling:** Both parties agree to schedule meetings at mutually convenient times and provide [Notice Period, e.g., 24 hours] notice if rescheduling is required.

### **V. Confidentiality**

All discussions between the Mentor and Mentee during the mentoring sessions containing information shared of a personal nature will be treated with strict confidentiality. Information shared with the mentoring program committee will only be limited to the information required on the mentoring tools and forms for proper monitoring and evaluation of the mentoring program. Further, the design and implementation of this agreement shall adhere to the ISSAI 130 and other pertinent frameworks related thereto.

## **VI. Responsibilities**

### **Mentor's Responsibilities:**

- Serve as a trusted and reliable source of support for the mentee and create a safe and non-judgmental environment where the mentee feels comfortable sharing personal and professional challenges, fears, and aspirations.
- The mentor thoroughly analyzes and compares the mentee's assessment results from before and after the mentoring engagement, offering detailed insights into both formal and informal expectations to ensure comprehensive understanding and growth.
- Guide in navigating potential challenges and pitfalls and help create a secure and supportive environment where the mentee can thrive.
- Offer positive reinforcement and provide encouragement so the mentee can feel both secure and empowered to overcome challenges and succeed.
- Pinpoints areas where a competency gap exists, arranges for the necessary interventions or growth opportunities, and connects the mentee with organizations or resources.
- Exemplify the qualities and values (personal or organizational) they hope the mentee will adopt.
- Help develop the mentee's competencies and potential through structured guidance and feedback based on the observations and interactions during the regular mentoring sessions.
- Push the mentee beyond their comfort zone to stimulate growth and aim for higher standards. Set high expectations and provide thought-provoking feedback to help the mentee address competency gaps, unlock their potential and help explore career opportunities.
- Actively advocate for the mentee and endorse the mentee's capabilities and achievements to others. Elevate the mentee's visibility and reputation within their field, facilitating career growth and success.
- Maintain regular contact with the Mentee and be accessible for meetings.

### **Mentee's Responsibilities:**

- Set aside time to be mentored and proactively seek advice and guidance.
- Take charge of his/her growth and identify specific goals and objectives for the mentoring relationship.
- Be open to feedback and willing to make necessary adjustments.
- Attend all scheduled meetings and communicate promptly if changes are needed.

## **VII. Goals and Objectives**

The mentee should establish with the mentor at least three professional development or personal growth goals. Goals should be specific, measurable, attainable and relevant and should include a time frame.:

1. [Goal 1]
2. [Goal 2]
3. [Goal 3]

## **VIII. Evaluation and Feedback**

Both the Mentor and Mentee agree to provide feedback on the mentoring relationship at regular intervals and at the end of the mentoring period. This feedback will help assess the effectiveness of the mentoring relationship and identify areas for improvement.

## **IX. Termination**

Either party may terminate the mentoring relationship at any time with [Notice Period, e.g., two weeks] notice. Reasons for termination should be communicated respectfully and professionally to the other party and the mentoring program committee. The termination process will be conducted in accordance to the rules stipulated in the mentoring program guidelines.

## **X. Signatures**

By signing this agreement, both parties acknowledge their commitment to the mentoring relationship and agree to adhere to the terms outlined above.

---

[Signature over Printed Name of Mentee]

Date: \_\_\_\_\_

---

[Signature over Printed Name of Mentor]

Date: \_\_\_\_\_

---

[Facilitator's Name, if applicable]

[Audit Institution Name]

Date: \_\_\_\_\_



**SAMPLE MENTEE ACTION PLAN TEMPLATE**

This template will be filled out before the initial meeting session of the mentor and mentee.

As indicated in the mentoring agreement form, write below the professional development or personal growth goals the mentor and mentee have established. Goals should be specific, measurable, attainable, and relevant and should include a time frame.

Please indicate the goals in the below tables and identify if they are short-term, medium-term, and long-term goals. If the mentoring engagement is only for 6 months, please set only short-term and mid-term goals.

Mentee Name: \_\_\_\_\_

Mentor Name: \_\_\_\_\_

Date: \_\_\_\_\_

---

**1. Goal Setting**

**Mentoring Goal #1:** \_\_\_\_\_

**Short-Term (1-3 months)**

**Medium- Term (3-6 months)**

**Long-Term (6+ months)**

What specifically do I want to develop/achieve?	On a scale of 1-10, where are you now in relation to this goal?	What action will I take to develop this?	Start Date and Target Completion Date	Resources Needed	I know I have achieved my goal when...

**Mentoring Goal #2:** \_\_\_\_\_

**Short-Term (1-3 months)**

**Medium- Term (3-6 months)**

**Long-Term (6+ months)**

What specifically do I want to develop/achieve?	On a scale of 1-10, where are you now in relation to this goal?	What action will I take to develop this?	Start Date and Target Completion Date	Resources Needed	I know I have achieved my goal when...

**Mentoring Goal #3:** \_\_\_\_\_

Short-Term (1-3 months)

Medium- Term (3-6 months)

Long-Term (6+ months)

What specifically do I want to develop/achieve?	On a scale of 1-10, where are you now in relation to this goal?	What action will I take to develop this?	Start Date and Target Completion Date	Resources Needed	I know I have achieved my goal when...

**Mentoring Goal #4:** \_\_\_\_\_

Short-Term (1-3 months)

Medium- Term (3-6 months)

Long-Term (6+ months)

What specifically do I want to develop/achieve?	On a scale of 1-10, where are you now in relation to this goal?	What action will I take to develop this?	Start Date and Target Completion Date	Resources Needed	I know I have achieved my goal when...

**Mentoring Goal #5:** \_\_\_\_\_

Short-Term (1-3 months)

Medium- Term (3-6 months)

Long-Term (6+ months)

What specifically do I want to develop/achieve?	On a scale of 1-10, where are you now in relation to this goal?	What action will I take to develop/achieve this?	Start Date and Target Completion Date	Resources Needed	I know I have achieved my goal when...

**Signature Over Printed Name of Mentee**

Date:

**Signature Over Printed Name of Mentor**

Date:

**SAMPLE MENTORING PRE-SESSION FORM**

This pre-session form helps the mentee clearly define their discussion topics while giving the mentor a structured overview of the mentee's progress and needs.

This form needs to be completed by the mentee before each session. Please submit this form to your mentor at least 24 hours before your scheduled session so your mentor can prepare for the session.

---

Date: \_\_\_\_\_

Mentee Name: \_\_\_\_\_

Mentor Name: \_\_\_\_\_

Session Number: \_\_\_\_\_

---

**1. Overview of Session Goals**

What specific goal would you like to focus on or discuss in this session?

On a scale of 1-10, how far are you from your end goal?

What outcomes or goals are you hoping to achieve by the end of this session?

**2. Progress Overview/Update (applicable for 2<sup>nd</sup> mentoring session onwards)**

What progress have you made since our last session? What actions did you perform to help you get closer to your goals? Please highlight key accomplishments.

What challenges or obstacles have you encountered?

### **3. Way Forward**

What is the next action you will take to get more closer to your goals? What do you need to help achieve it?

How have you applied the advice or insights from our previous session?

### **4. Review and Reflection (applicable for 2<sup>nd</sup> mentoring session onwards)**

What actions did you take to make the changes you want to see?

What have you learned about yourself or your work since our last meeting?

### **5. Details for the next meeting**

Date and Time:

Mode of Meeting:

Location (if applicable):

---

Signature of Mentee

Date:

**SAMPLE MENTORING POST-SESSION FORM**

This post-session form helps the mentor document and capture vital information at the end of every mentoring session. This will help the mentor and the mentoring program committee track the progress, document session key takeaways, and ensure alignment for future actions of both the mentor and mentee

The mentor shall complete this form at the end of every session. Please submit a copy of this form together with a copy of the Pre-Session Form from the mentee to the mentoring program committee at least 48 hours after the scheduled session.

Date: \_\_\_\_\_

Mentor Name: \_\_\_\_\_

Mentee Name: \_\_\_\_\_

Session Number: \_\_\_\_\_

Session Duration: \_\_\_\_\_

**6. Overview of Session Goals**

What were the main topics discussed during the session? Please provide key points and goals.

On a scale of 1-10, how much help do you think you have provided to your mentee at the end of this session?

**7. Progress Overview/Update (applicable for 2<sup>nd</sup> mentoring session onwards)**

What progress has the mentee made? What goals or actions were addressed from the previous session?  
(provide updates on goals or tasks from previous meeting)

**8. Session Key Takeaways**

What were the key insights from this session?

What were your and the mentee's challenges during this session?

## **9. Way Forward**

What specific goals or tasks were set for the next session?

## **10. Review and Reflection**

How did the mentee feel about the progress made? (The mentee's reflection on the session)

What is your assessment of the mentee's development? (The mentor's reflection on the session)

## **11. Details for the next meeting**

Date and Time:

Mode of Meeting:

Location (if applicable):

\_\_\_\_\_  
Signature of Mentee

Date:

**SAMPLE MENTORING LOG FORM**

This template is a shared form that will be filled out after every meeting session by the mentor and mentee. This should be submitted by the mentoring pair at the end of every month to the mentoring program committee.

This log document highlights the discussion of each mentoring pair after every engagement/mentoring session.

Mentee Name: \_\_\_\_\_

Program Cycle: \_\_\_\_\_

Mentor Name: \_\_\_\_\_

Program Duration: \_\_\_\_\_

	<b>Period</b>	<b>Session #</b>	<b>Date &amp; Time/ F2F or Virtual</b>	<b>Goals worked on</b>	<b>Remarks</b>
1 <sup>st</sup> month	1 <sup>st</sup> half				
	2 <sup>nd</sup> half				
2 <sup>nd</sup> month	1 <sup>st</sup> half				
	2 <sup>nd</sup> half				

	Period	Session #	Date & Time/ F2F or Virtual	Goals worked on	Remarks
3 <sup>rd</sup> month	1 <sup>st</sup> half				
	2 <sup>nd</sup> half				
4 <sup>th</sup> month	1 <sup>st</sup> half				
	2 <sup>nd</sup> half				
5 <sup>th</sup> month	1 <sup>st</sup> half				
	2 <sup>nd</sup> half				
6 <sup>th</sup> month	1 <sup>st</sup> half				
	2 <sup>nd</sup> half				

## ANNEX L

### SAMPLE MID-POINT REVIEW\_MENTOR FORM

This form will be used by the mentor for assessing the mentoring relationship midway from its initiation. It provides an insight into the progress of the mentoring relationship. This form should be submitted to the Mentoring Program Coordinator confidentially.

Mentor Name: \_\_\_\_\_

Mentee Name: \_\_\_\_\_

Date: \_\_\_\_\_

---

#### 1. Mentoring Relationship

- a. What has your general experience with the monitoring program been like up until now?

- b. Has a comfortable working connection been developed between you and your mentee?

#### 2. Goals and Progress

- c. What has been the primary focus of the meetings?

- d. What do you consider as successes or wins so far?

### 3. Challenges and Obstacles

e. Has anything been challenging so far?

f. How were the issues or challenges addressed?

### 4. Support and Resources

g. Do you think you were adequately prepared for your role as a mentor by the resources the mentoring program coordinator provided?

h. What additional support or resources does the mentee need to continue progressing toward their goals?

i. Do you think the Mentoring Action Plan Template and Pre-Session Forms helped keep your meetings on track? Why or why not?

## 5. Reflection and Feedback

j. What aspects of the mentoring relationship have been most beneficial?

k. What aspects of the mentoring relationship need improvement?

How would you rate your satisfaction with the mentoring experience so far?

Extremely dissatisfied       1       2       3       4       5      Extremely satisfied

Please share additional comments here if there are any:

Signature of Mentor: \_\_\_\_\_  
Date: \_\_\_\_\_

**SAMPLE MID-POINT REVIEW\_MENTEE FORM**

This form will be used by the mentee for assessing the mentoring relationship midway from its initiation. It provides an insight into the progress of the mentoring relationship. This form should be submitted to the Mentoring Program Coordinator confidentially.

Mentee Name: \_\_\_\_\_

Mentor Name: \_\_\_\_\_

Date: \_\_\_\_\_

---

**6. Mentoring Relationship**

1. What has your general experience with the monitoring program been like up until now?

m. Has a comfortable working connection been developed between you and your mentor?

**7. Goals and Progress**

n. What has been the primary focus of the meetings?

o. What do you consider as successes or wins so far?

8. Challenges and Obstacles

p. Has anything been challenging so far?

q. How were the issues or challenges addressed?

9. Support and Resources

r. Do you think you were adequately prepared for your role as a mentee by the resources the mentoring program coordinator provided?

s. What additional support or resources does the mentor need to provide to you to help your progress toward your goals?

t. Do you think the Mentoring Action Plan Template and Pre-Session Forms helped keep your meetings on track? Why or why not?

## 10. Reflection and Feedback

u. What aspects of the mentoring relationship have been most beneficial?

v. What aspects of the mentoring relationship need improvement?

How would you rate your satisfaction with the mentoring experience so far?

Extremely dissatisfied

<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
----------------------------	----------------------------	----------------------------	----------------------------	----------------------------

Extremely satisfied

Please share additional comments here if there are any:

Signature of Mentee: \_\_\_\_\_

Date: \_\_\_\_\_

**SAMPLE FINAL EVALUATION FORM \_MENTOR FORM**

The form gathers feedback from both mentors and mentees to evaluate how well the program met its goals and expectations. It helps identify what aspects of the program were successful and where improvements can be made. This form may be revised to add questions depending on the specific objectives of the program.

---

Mentee Name: \_\_\_\_\_

Mentor Name: \_\_\_\_\_

Number of goals established with Mentor: \_\_\_\_\_

Number of meeting sessions with Mentor: \_\_\_\_\_

---

**I. Overall Experience:**

1. How would you rate your overall experience in the mentorship program?

Extremely dissatisfied  1  2  3  4  5 Extremely satisfied

2. Did the mentorship program meet your expectations?

- [  ] Exceeded expectations
- [  ] Met expectations
- [  ] Partially met expectations
- [  ] Did not meet expectations

3. Would you recommend this mentorship program to others?

- [  ] Yes
- [  ] No

4. Provide additional comments on your overall experience:

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**II. Personal and Professional Growth:**

1. I feel confident that I was able to help the mentee advance both professionally and personally.

Strongly Disagree  1  2  3  4  5 Strongly Agree

2. I feel this mentoring program contributed to my own career and personal growth.

Strongly Disagree

 1 2 3 4 5

Strongly Agree

3. I feel confident I can make an impact on and influence the development of other individuals.

Strongly Disagree

 1 2 3 4 5

Strongly Agree

### **III. Program Support and Structure**

1. How would you rate the structure and organization of the mentorship program?

Poor

 1 2 3 4 5

Excellent

2. What improvements would you suggest for the program structure or support?

---

---

---

---

### **IV. Commitment to Self-Development**

1. I plan to continue mentoring and supporting others in their career.

Strongly Disagree

 1 2 3 4 5

Strongly Agree

---

**I would like to continue serving as a mentor in the future:**

[  ] Yes

[  ] No

[  ] Not sure

Additional comments:

---

---

---

---

Mentor signature: \_\_\_\_\_

Date: \_\_\_\_\_

**SAMPLE FINAL EVALUATION FORM\_MENTEE FORM**

The form gathers feedback from both mentors and mentees to evaluate how well the program met its goals and expectations. It helps identify what aspects of the program were successful and where improvements can be made. This form may be revised to add questions depending on the specific objectives of the program.

---

Mentee Name: \_\_\_\_\_

Mentor Name: \_\_\_\_\_

Number of goals established with Mentor: \_\_\_\_\_

Number of meeting sessions with Mentor: \_\_\_\_\_

---

**I. Overall Experience:**

1. How would you rate your overall experience in the mentorship program?

Extremely dissatisfied  1  2  3  4  5 Extremely satisfied

2. Did the mentorship program meet your expectations?

- [  ] Exceeded expectations
- [  ] Met expectations
- [  ] Partially met expectations
- [  ] Did not meet expectations

3. Would you recommend this mentorship program to others?

- [  ] Yes
- [  ] No

4. Provide additional comments on your overall experience:

---

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**II. Personal and Professional Growth:**

1. I feel that I have reached all or some of my goals for personal growth.

Strongly Disagree  1  2  3  4  5 Strongly Agree

2. I have more confidence in my ability to advance both professionally and personally.

Strongly Disagree  1  2  3  4  5 Strongly Agree

3. My mentor had a significant influence on my progress.

Strongly Disagree  1  2  3  4  5 Strongly Agree

### III. Program Support and Structure

1. How would you rate the structure and organization of the mentorship program?

Poor  1  2  3  4  5 Excellent

2. What improvements would you suggest for the program structure or support?

---

---

---

---

### IV. Commitment to Self-Development

1. I plan to continue to work towards reaching my current and future career goals.

Strongly Disagree  1  2  3  4  5 Strongly Agree

---

**I would like to serve as a mentor in the future:**  Yes  No  Not sure

Additional comments:

---

---

---

---

Mentee signature: \_\_\_\_\_

Date: \_\_\_\_\_



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