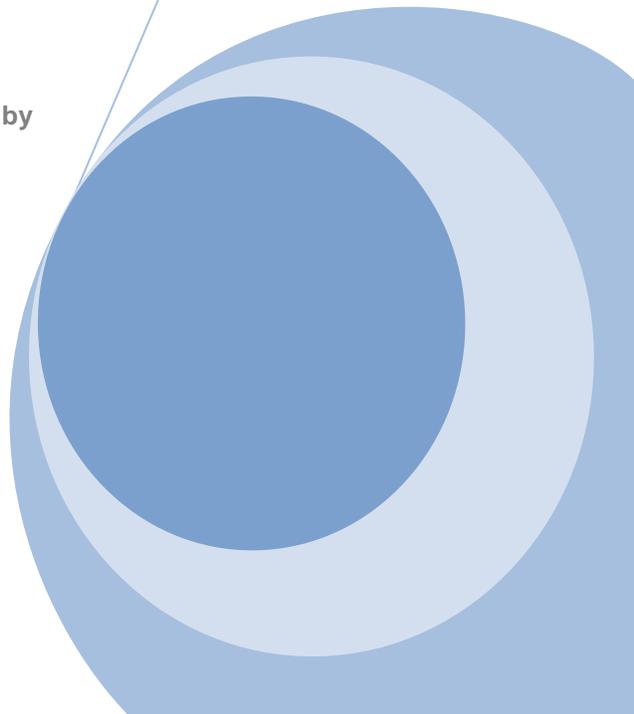


Pilot Project of the Project “The Opportunities of Ensuring Sustainable Professional Activity of European Probation Officers” of the State Probation Service and cofunded by the European Commission:

**“The Change Management Team for Full-Fledged Work with the Client”**

**ANNEX TO THE PRESENTATION “The Vision of Development of the State Probation Service”**

Head of Riga Region Territorial Structural Unit of the State Probation Service  
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**Contents** of the pilot project “The Change Management Team for Full-Fledged Work with the Client” of the project “The Opportunities of Ensuring Sustainable Professional Activity of European Probation Officers” of the State Probation Service and cofunded by the European Commission:

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## INTRODUCTION

In "The Concept of Development of Human Resources of State Administration" approved by the decree of the Cabinet of Ministers of the Republic of Latvia No. 48 of February 6, 2013 (hereinafter - concept) it has been established that "in Latvia the state administration as an employer is incapable of offering its employees crucial motivation and professional growth activities.

In addition to the salary and social guarantees, there is a range of other motivators that are important for the employees, for instance, development opportunities, mobility, working environment, image of the institution, opportunity of participating in solving of strategic issues.

Activities on improvement of professional skills are an additional motivator in state administration, since the salary received by the superiors of higher level is currently non-competitive with the one of the private sector. Moreover, a competent and professional superior is often one of the main motivators for the subordinates to work in state administration.

Corporate culture of the institution is an important condition for improvement of personnel's satisfaction and, hence, performance.

When performing activities on optimization and economy of resources a state administration, the part of the motivation related to the corporate culture of the institution - system of values and traditions, working environment, management system and style, involvement of employees, etc. - is often neglected on the level of institutions.

Performance of state administration significantly depends on motivation and professional knowledge of workers. The effectiveness of state administration significantly depends on the professionalism of superiors of higher level and the level of competence thereof".

The situation in case of well-being of workers at the State Probation Service (hereinafter - service) may be characterized similarly. It is affected by the factors mentioned in the concept, as well as by the job specifics of the service. In order to establish those, the workers of the service have participated in the project No. JUST/2010/JPEN/AG/1574 "The Opportunities of Ensuring Sustainable Professional Activity of European Probation Officers" cofunded by the European Commission (hereinafter - SPORE project).

The results of the surveys of workers of the service and the focus group discussions performed within the framework of SPORE project (hereinafter - conclusion of the workers) have been used for the conclusions and suggestions made by the working group of the pilot project "The Change Management Team for Full-Fledged Work with the Client" (hereinafter - pilot project). **The aim of implementation of the pilot project is to create an effectively functioning team for full-fledged work with a probation client (hereinafter - change management team).**

Suggestions have been prepared taking into account "The Concept of Development of Human Resources of State Administration" approved by the decree of the Cabinet of Ministers of the Republic of Latvia No.48 of February 6, 2013 and the task assigned in the resolution of the Prime-minister of the Republic of Latvia of May 15, 2013 - planning the optimization of the institution's processes and effectivization of the activity thereof, to ensure implementation of the working hours record system as from January 1, 2014.

## I. TOPICAL ISSUES

1. Communication problems.
2. Non-transparency of policy.
3. Bureaucracy of the state administration (service).
4. Limited resources.

### 1. Communication problems:

#### Conclusion of the workers -

Microclimate promoting professional resilience, satisfaction with the work and mutual relations is necessary. Workers feel unvalued, because their contribution is not noticed nor valued. Difference of values and problematic cooperation experience, non-recognition of professionalism.

Participants of the discussion see one of the reasons for non-transparency of policy and difficulties to implement changes in practical work in communication problems - insufficient involvement of practical work performers in planning of the policy; the opinion is left unheard, communication process is complicated wherein important function of a mediator is performed by the superior of a structural unit, direct communication experience of workers with the employees of the headquarters of the service is both successful and less successful.

#### Conclusion of the working group -

### **Human resources management is not based on the competency-based approach (crucial competences of a superior - leadership and emotional intelligence)**

On practice, insufficient competences are emphasized and competences which are worker's strengths are considered to be a matter-of-course.

Workers are reprimanded for fulfilment of the tasks the result of which was beyond the influence of the work performer due to objective reasons.

Conflicts in the structural units are not resolved timely and duly, as well as communication problems between the structural units and the headquarters of the service are not being solved.

Workers are insufficiently involved in development of the goal (vision, mission, strategy plan), allowing them to take independent decisions agreeing on values (the most important one at the service).<sup>1</sup>

**The said situation causes the feeling of unfairness and unequal attitude among workers.**<sup>1</sup>

#### **Two crucial competences of a superior (leadership and emotional intelligence):**

##### **1) leadership -**

ability to prove to the workers their value (to inspire), to highlight their special abilities and skills (potential and talent) and to encourage to use them the best way possible for the common benefit (achievement of common goal);

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<sup>1</sup> **Equity Theory.** Stacey Adams, 1963.

Based on conviction that the work motivation of a person is influenced by the level of fairness in the organization: people are constantly thinking about their contribution to the work and what they receive in return. Then they determine the fairness index and compare it to others (acquaintances, relatives). If they have a feeling that they are treated unfairly, it causes stress. People's motivation is increased by the confidence that they are treated fairly.

**Conclusion for managers:** fair attitude is to be shown and good mutual relations in a team are to be promoted.

Source: Y. Re'em, Motivating Public Sector Employees. Working papers, no.60, July 2011.

**2) emotional intelligence -**

(respect, courtesy, fair attitude (equal workload to the extent possible; salary according to the load; equal and corresponding to the workload number of workers; job duties determined according to the position; information is submitted once), avoidance of intrigues, admission of mistakes, in case of change of the opinion the substantiation is provided, etc.).

**Leadership of workers -**

**Each worker is a leader in his field (scientific worker, professional), a worker competent in his field.<sup>2</sup>**

**2. Non-transparency of policy:****Common conclusion of the workers and the working group -**

The existing policy of the service is non-transparent and insufficiently predictable, **uncertainty in implementation of principles and guidelines defined by the service (participants of the discussion use the word “theory”) on practice**, in personnel policy and budget planning.

Participants of the discussion see one of the reasons for non-transparency of policy and difficulties to implement changes in practical work in communication problems - insufficient involvement of practical work performers in planning of the policy.

**3. Bureaucracy of the state administration:****Conclusion of the workers -**

The time resource invested into the preparation of documents is perceived as incommensurate to the time devoted to the client, thus, concepts of the worker about usefulness and meaningfulness of the performed job are negatively affected.

Too broad range of regulatory enactments regulating the work and regular changing thereof. The language of regulatory enactments is complicated.

Too broad range of functions to be fulfilled negatively affects workers' abilities to perform their job qualitatively. As the number of functions to be fulfilled increases, the number of documents a worker has to manage increases and the changes therein require additional attention from the worker.

Necessity to replace the dominant control with supportive control - controlling practice are dominant and help and support provided by the employees of the headquarters of the service are less noticeable. It can be perceived as distrust and disbelief in the professionalism of the worker.

**Conclusion of the working group -****3.1. Bureaucracy of the state administration.**

The principle of “carrots and sticks” is used. State administration works in accordance with strictly regulated procedures/ reporting/ control/ responsibility.

Great attention is paid to the control, in order to ensure “four eyes principle”. Excessive control does not create trust. Decisions are signed only by the superior. As a result, unnecessarily large amount of

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<sup>2</sup> “If we help others to promote awareness, responsibility and, hence, self-belief, we will lay the foundation for their leadership skills in future.” (J.Whitmore “Coaching for Performance”, Zvaigznes ABC, p. 175)

resources is wasted. **The aforementioned hinders the possibility of creating small, yet effective state administration.**<sup>3</sup>

### **3.2. Teamwork and principle of competency-based approach in the teamwork is not promoted.**

**At the moment, the worker has to be a “universal soldier” with many competences of high level. It is inadequate and contradicts the human factor:**

1. Methods of work with the client are strictly determined without allowing any deviations based on principles.
2. Method of control of clients' cases are not based on principles.
3. Competency-based approach is not used in selection of workers.

### **4. Limited resources:**

#### **Conclusion of the workers**

Insufficient technical support creates additional load and requests incommensurate time resources.

#### **Conclusion of the working group**

Limited resources do not promote effectiveness of the work and motivation of workers<sup>4</sup>.

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<sup>3</sup> “The greater the abilities and loyalty of a worker, the less directive interference is required, while on the contrary, delegation and participation is needed”<sup>3</sup> (Hersey & Blanchard, 1993. V. Renġe “Modern Organizational Psychology” Zvaigzne ABC p. 99)

<sup>4</sup> Abraham Maslov, 1943. Higher-level needs become dominant only once the needs of the previous level have been satisfied

## II. OBJECTIVES OF IMPLEMENTATION OF THE PILOT PROJECT:

1. To implement the principles of work of the change management team at the service:

1.1. Principle of competency-based approach in human resources management (competences - leadership and emotional intelligence).

1.2. Teamwork and principle of competency-based approach in work with the client (leadership of workers; principle-based work with the client; principle-based control in clients' cases; principle of competency-based approach in selection of workers).

2. To develop an action plan for provision of workers with appropriate salary, additional payments:

2.1. To analyse the use of working hours of the service.

2.2. To develop changes in the load formula by assessing the load of each worker according to the specific contribution of the workers.

2.3. To develop a reorganization plan of the service.

2.4. To develop a client service standard.

**1. To implement the principles of work of the change management team at the service:**

**1.1. Principle of competency-based approach in human resources management (competences - leadership and emotional intelligence):**

**1.1.1. To develop a talent management program**

For development and support (e.g., training free of charge, additional payments, bonuses and other stimulation activities, rotation, etc.) of the competences of workers (independent creative work with the client that is based on principles; independent right to take decisions, etc.) and the competences of superiors (particularly leadership and emotional intelligence).

**1.1.2. To develop and implement the barometer for measurement of well-being of workers**

For monitoring of the mood of workers (allowing to follow well-being of workers at the service and to respond on time).

**1.1.3. To implement the "One-stop agency" principle in the internal communication of the service**

Implementation of the one-stop agency principle at the service (if any data is transferred from a structural unit or a department to a department of the headquarters, structural unit or the relevant department which has already submitted the data once, the data is not to be submitted repeatedly (e.g., paragraph 116 of the internal regulations No. 9005-5/17 of December 20, 2012)).

**Benefits**

The worker - the main value of the service. The worker is a leader in his field. Workers know and understand the vision, strategy and goals of the service and implement them in everyday work. Mutual respect, high level of trust.

## **1.2. To implement teamwork and principles of competency-based approach in teamwork with the client (benefit - smaller, more effective state administration, reduced bureaucracy):**

### **1.2.1. Principle of the leadership of workers**

Leadership of workers - the right to manage the client's case independently, to take decision and to sign documents (which can be done by admitting and promoting the importance of workers and their role in fulfilment of the work; by implementing the control of the work with the client and clients' cases based on principles (work method for work with the client allows deviations from the set procedure, based on principles of sentence execution). To reduce bureaucracy by reconsidering regulatory enactments, eliminating exclusion of unnecessary activities and duplication of activities, unifying fulfilment of all functions to the extent possible.

### **1.2.2. Principle of competency teamwork**

To promote the role of each worker in achievement of common goals, development and the best application of skills and special abilities of each worker in "a team in which the strongest qualities of each worker are productively used, while the drawbacks are rendered non-crucial by compensating them with the qualities of the rest of the team members"<sup>5</sup>

In order to achieve that, it is necessary:

1) to assess competences of workers and determine the most optimal competences by forming teamwork in which the achievements of one worker compensate the drawbacks of another worker (distribution of official duties/tasks depending on the specific abilities and qualities of each worker to the extent possible, e.g., in management of clients' cases one of workers has good knowledge in psychology and the ability to apply it, yet has problems with preparation of more complex documents (e.g., applications to a court). Thus, creating teamwork in which the achievements of one worker compensate the drawbacks of another worker. Not to emphasize the things a worker has problems with, but to emphasize the things a worker succeeds in).

2) to reconsider the previous approach to the basic principles of technical management of the case by making the case management a team accomplishment and achievement rather than individual achievement.<sup>6</sup>

### **1.2.3. Principle-based work with the client (work method for work with the client allowing deviations form the set procedure, based on principles).**

Principle-based work with the client is the work when a worker aiming at the most full-fledged achievement of the goal of sentence execution is entitled to deviate from the procedure set in the regulations, referring to the basic principles of sentence execution. Simultaneously giving workers the

<sup>5</sup> Stevens R.Covey 8th Habit. From Effectiveness to Greatness. Zvaigznes ABC, 2008, p. 143

<sup>6</sup> **Importance of strengths:** Development of strengths by **5%** results in more significant improvement than development of weaknesses by **40%**. Poole J. "Leadership: Discover Techniques That Suit Your Personality", Easy Steps Limited, United Kingdom: 2011, 187 p.

Effective superiors work based on strengths. They do not aim at eradicating weaknesses. They do not start with tasks they are unable to solve. Drucker P. "Effective Manager", Zoldnera izdevniecība, Riga: 2011, 221 p.

opportunity, according to the psychological type, of working with the client only by complying with the set procedure.

The threshold of trust to the professionalism of workers should be increased to the extent possible - in case of deviations from the set procedure, not to prescribe mandatory harmonisations with the manager of a structural unit, but to extend the right of workers in taking independent decisions by delegating broader rights to sign documents. For instance, already now in certain cases the workers, while assessing the personality of a client, gravity of violation, progress of fulfilment of compulsory work, express oral warning to the client, even though regulatory enactments do not prescribe such possibility (there is only a written warning for any violation).

Likewise, regulatory enactments prescribe that an application to a court is to be sent for the repeated violation (warning is necessary for each violation) in order to replace compulsory work with an arrest. On practice, in certain cases the workers, while assessing the personality of a client, gravity of violation, progress of fulfilment of compulsory work, issue several warnings to the client. Workers act according to the judicial practice, namely, within the borders of sound mind, simultaneously complying with the task of sentence execution - to execute sentence according to the basic principles set in the Sentence Execution Code of Latvia, where one of which is the following - the aim of sentence execution is not to exclude a probation client from the society.

#### **Benefit -**

Thus, not only the principle of worker's leadership is executed - each worker is a leader in his field (scientific worker, professional), but also the trust is promoted, bureaucracy is reduced and meaningfulness of the work is promoted.

#### **1.2.4. Principle-based control in clients' cases**

**Even though “the leadership without the labour discipline is incomplete and ineffective”<sup>7</sup>, it is necessary to reconsider the principles of control of clients' cases** (changes in regulatory enactments) **and to develop a definition for the principles of teamwork responsibility** (it is necessary to reconsider the existing regulations prescribing that one specific worker is responsible for one specific case. Allowing that some other colleague is responsible for fulfilment of one of the tasks in this case. Possibly, it is necessary to reconsider the regulation of team responsibility in regulatory enactments).

**The control has to be within the bounds of reasons, taking into account individual approach, assessing the necessity, personality of worker.**

To ensure the leadership of a superior, the number of cases to be controlled is determined by the superior of a structural unit. Focuses on A and V risk cases. Examines the cases in detail. Undertakes the risk that some case is left unnoticed and might contain mistakes, but it is justified; on the contrary the superior of a structural unit performs his work in low quality. Prepares a document on assessment of case management in which the assessment of the work is specified for each worker. The superior of a structural unit is responsible for implementation of the policy for all circumstances of the case, for implementation of the quality management regime. For labour discipline.

If the superior of a structural unit has controlled, for instance, 6 cases, he is responsible for his assessment and not for other cases. However, if there are problems in these 6 cases, he is obliged to assess other cases as well. Workers are granted both signatory rights and responsibility (principle of worker's leadership). To give superiors an opportunity of choosing how to control cases and which workers are to control them, rather than to determine the number (leadership principle). Emphasizing that the superior can make this choice according to his opinion, while ensuring that the management quality of clients' cases is compliant with standards, increasing the level of trust. “We cannot demand responsibility for the result of the work from a worker, if we control his work methods.”<sup>8</sup> In a good team, workers are responsible for each other.

<sup>7</sup> Stevens R.Covey. 8th Habit. From Effectiveness to Greatness. Zvaigznes ABC, 2008, p. 302.

<sup>8</sup> Stevens R.Covey. 8th Habit. From Effectiveness to Greatness. Zvaigznes ABC, 2008, p. 316.

### **1.2.5. Principles of competency-based approach in selection of workers**

To reconsider the principles of selection of applicants for the position (changes in regulatory enactments). A lot of functions are delegated to the service and smaller structural units have no opportunity of specializing, one worker is required to have many well-developed competences.

The aforementioned is unjustified and does not correspond to the salary, while non-existence or lack of certain competence, as well as insufficient knowledge and skills cause stress among workers. The work with aggressive client with changed behaviour requires high stress resilience (at the moment, when hiring the applicants, the said aspect is not assessed). It has been studied that the stress is caused by the analysis of court adjudgements over time. Stress is caused due to fulfilment of various, completely different roles - fulfilling several functions simultaneously (Izl., UZ, PD). Thus, stress resilience is to be assessed, psychological type corresponding to the particular team and a worker with competences necessary for the team is to be selected.

In work with high-stress factors, particular attention is to be paid to psychological compatibility of workers in smaller collectives, particularly, since if the work occurs in one room, psychological compatibility is impossible to be ensured. To fix the aforementioned in regulatory enactments and to take it into consideration during the selection process.

We train probation workers ourselves, therefore, we waste resources that are already poor, if it turns out that a person is incapable of performing service work, because he has low stress resilience or, as a personality, is a source of stress himself to other workers or even clients.

#### **Conclusion**

If any competences of a collective are insufficient, to hire people with competences a position and a team lacks, with good stress resilience and psychological type appropriate for the team. To timely assess necessity of competences, when announcing a competition and hiring candidates (paragraph 53 of the internal procedure regulations already prescribes that the requirements set for an applicant shall be agreed with the superior of a structural unit).

#### **Benefit**

Good microclimate, well-being of workers, more effective work with the client.

## **2. To develop an action plan for provision of workers with appropriate salary, additional payments:**

### **2.1. To analyse the use of working hours of the service**

Workers admit that the workload in structural units is uneven causing additional stress and dissatisfaction.

To analyse the use of working hours aiming at assessing distribution of the load among structural units, to establish justification of distribution of different loads (likewise, if the load for workers is uneven, how justified it is to pay the same salary. If the load is smaller, how justified the greater number of workers is). To conclude how much one hour between different loads costs).

### **2.2. To develop changes in the load formula by assessing the load of each worker according to the specific contribution of workers.**

To develop changes in the load formula by assessing the load of each worker according to the specific contribution of the worker.

### **2.3. To develop a reorganization plan of the service**

If necessary, in order to increase salaries, to perform the reorganization of the service by reducing the number of workers and increasing the level of responsibility of the workers at the same time (amount of duties).

To create offices where all workers work with clients, but one of the offices has smaller number of clients and is entrusted with greater authorization in matters of work organization.

To assess the necessity of each working place, borders of duties for each position or competence by determining appropriate job duties (not to order to fulfil tasks that are important to no one, namely, the work is meaningless).

It is necessary to assess duties imposed on workers by the internal regulatory enactments (internal regulations No. 9005-5/17 of December 20, 2012) by determining the competence and responsibility according to the specific position (e.g., paragraph 67 and 67.1 of the regulations prescribe that the superior of a structural unit ensures different labour safety and protection activities, even though paragraph 29 of the very same regulations prescribes that an employee of the service headquarters which is not subordinated to the superior of a structural unit is responsible for these duties. Similar situation is regulated in paragraph 30 of the said regulations which prescribes that the superior of a structural unit ensures a working place appropriately equipped for qualitative fulfilment of job duties to the employee).

Uneven workload among structural units and, hence, unfair salary (not corresponding to the load), as well as the number of workers in structural units does not correspond to the load.

Official duties are not determined in the internal regulations of the service in accordance with the position.

The workers of structural units unjustifiably (repeatedly) have to submit information which is already available in one of the departments of the headquarters, etc.

Thoughtfully assigned duties and consequence in ensuring of fulfilment of duties (control and strict fulfilment on all levels, including the headquarters, or cancellation, if they are non-topical (log of week events)) excludes nihilistic attitude to fulfilment of duties. Sufficient training. Improvement of support functions.

To distribute the loads as evenly as possible; to set salary according to the load (system of additional payments). Workers are granted both signatory rights and responsibility. The greater the competences and responsibility, the greater the salary.

The lowest salary of workers after tax deduction - not less than Ls- 500. Additional payment for dangerousness - not less than 25%.

The salary is increased according to the specific load and assessment as well (according to the results of the work).

### **2.4. To develop a client service standard**

Workers indicate that “they can’t see the client behind the piles of documents.”

To develop a client service standard aiming at understanding how to improve the work with the client (versatile and qualitative work with the client, as a result of which the relapse decreases).

The client service standard will be used as an assistant in management and control of cases, as well as a measurement for qualitative work with the client.

#### **Benefit**

Smaller, more effective state administration, reduced bureaucracy.

### III. Work management scheme of the change management team and benefits

Action	Benefits
1. Preparation of questionnaires. 2. Audit of competences of the workers. 3. Duties in clients' cases are distributed according to separate competences of workers and common competences of a team.* 4. Planning of work.** 5. Fulfilment and supervision of work.*** 6. Assessment of activity effectiveness of the competency team.	1. Strengthening of the leadership principle (competent worker). 2. Effective use of workers' skills.* 3. Understanding of individual goals of each worker and orientation thereof to the result.** 4. Self-control, responsibility of workers. 5. Mutual training of workers.*** 6. Unity of the collective. 7. Versatile and qualitative work with the client, as a result of which the relapse decreases.

#### Comments to the section "Action" of the table

\* Duties in clients' cases are distributed according to separate competences of workers and common competences of a team

E.g., in management of clients' cases one of the workers has good knowledge in psychology and the ability to apply it, yet has problems with preparation of more complex documents and vice versa.

\*\* Planning of work

Creation of teamwork fulfilment scheme; cooperation; distribution of tasks; determination of team meeting time; superior's participation and support.

\*\*\* Fulfilment and supervision of work

Team meets once a week; each worker has got acquainted with the case, has prepared an opinion and expresses it; team agrees what every member will do according to his best-developed competences; the superior participates as well.

#### Comments to the section "Benefits" of the table

\* Effective use of workers' skills

Dissatisfaction of workers with bureaucracy is reduced. Trust is created. Self-development is encouraged and self-control is promoted. As a result, it is possible to think of reducing the number of workers and superiors. If we want to create small, yet effective state administration.

\*\* Understanding of individual goals of each worker and orientation thereof to the result

Understanding of individual goals of each worker and orientation thereof to the result

Harmonisation with the goal of the service and common orientation of each worker and the whole team to the result (e.g., personal goal of one worker is to improve skills in preparation of applications, the goal of the service is to reject less applications, more qualitative work; personal goal of another worker is to improve communication skills with the client, the goal of the service is more effective work with the client, reduction of crime) (NOT practical implementation and understanding of activity and meaning of the said system).

\*\*\* Mutual training of workers

Joint teamwork, as well as mutual training of workers (e.g., an application is prepared by the worker whom this skill is perfect, while the worker whom this skill is to be improved has an opportunity of seeing how a colleague does it practically and improving his skills based on colleague's example, etc.).

## CONCLUSION

Even without performing any studies, it was clear that the well-being of workers did not depend on material situation only. It is known from the practice that only the respected worker who receives fair salary and who is treated kindly is truly interested.

Service work has its stressors resulting from the job specifics. From the international studies, it follows that a stressor is, for instance, analysis of court adjudgements (often enough extremely violent offences, difficultly conceivable, cruel or simply absurd motives have to be analysed). Undoubtedly, the work with depressive clients with changed behaviour is a stressor. Likewise, since workers of the service have to fulfil different functions, fulfilment of several, highly different roles is a stressor.

**At the moment, the worker has to be a “universal soldier” with many competences of high level. it is inadequate and contradicts the human factor.**

We have planned several changes within the framework of the pilot project in order to change the well-being of workers.

At the same time, no changes will take place, if only some of us see such need.

In order to improve the mood of oneself and one's colleagues, as well as the situation, there is a lot we can do already today and it requires no additional finances (respect, courtesy, recognition of workers).

Let's start now!

Fulfil your job duties with greatest care!

Do not try to prove someone's weaknesses, emphasize positive aspects!

Approach others' weaknesses with compassion, rather than condemnation; it allows avoiding disputes!

Hear first and then want to be heard!

Admit your mistakes!