

8th European CAF Users' Event "Leading Quality into the Future"  
12 April 2018, Sofia, Bulgaria

# CAF 2020

Learning lab on the content of the model

Patrick STAES  
Nick THIJS



# Flow of the session



1. "Setting the scene"  
*Short intro presentation on  
changes in the CAF2013*

2. Collected input from  
the participants



3. Participants' discussions



1.

“Setting the scene”  
*Short intro presentation on  
changes in the CAF2013*

## Focus points of the CAF 2013



**Citizens customers involvement** as co-designers, co-decision makers, co-producers and co-evaluators



**Processes:** focus on core-processes in criterion 5, management processes in criteria 1 and 2 and supporting processes in criteria 3 and 4 .



**Coordination of processes** within the organisation and with other relevant organisations,

# Focus points of the CAF 2013



**Performance orientation**, strengthening perception and performance measurements in the results criteria



**Innovation** supported by leadership





**Social responsibility**



2.

Collected input from  
the participants

- 
- Consensus on keeping the general structure (criteria)
  - Introduce new issues in/under the subcriteria
    1. *Examples*
    2. *Rephrase existing sub criteria*
    3. *Replace existing sub criteria*
    4. *Introduce new sub criteria*
  - Suggested topics: *communication, public value, agility, new ways of working, digitisation*

- 
- Introduce good practices
  - Linkages / cause-effect
  - Social responsibility (separate OR cross cutting?)
  - EU / national reform => strategy development
  - PEF link





3.

Participants' discussions

# Criterion 1: Leadership



## Sub-criterion 1.1

Provide direction for the organisation by developing its mission, vision and values

## Sub-criterion 1.2

Manage the organisation, its performance and its continuous improvement

## Sub-criterion 1.3

Motivate and support people in the organisation and act as a role model

## Sub-criterion 1.4

Manage effective relations with political authorities and other stakeholders



# Criterion 2: Strategy & Planning



## Sub-criterion 2.1

Gather information on the present and future needs of stakeholders as well as relevant management information

## Sub-criterion 2.2

Develop strategy and planning, taking into account the gathered information

## Sub-criterion 2.3

Communicate and implement strategy and planning in the whole organisation and review it on a regular basis



# Criterion 3: People



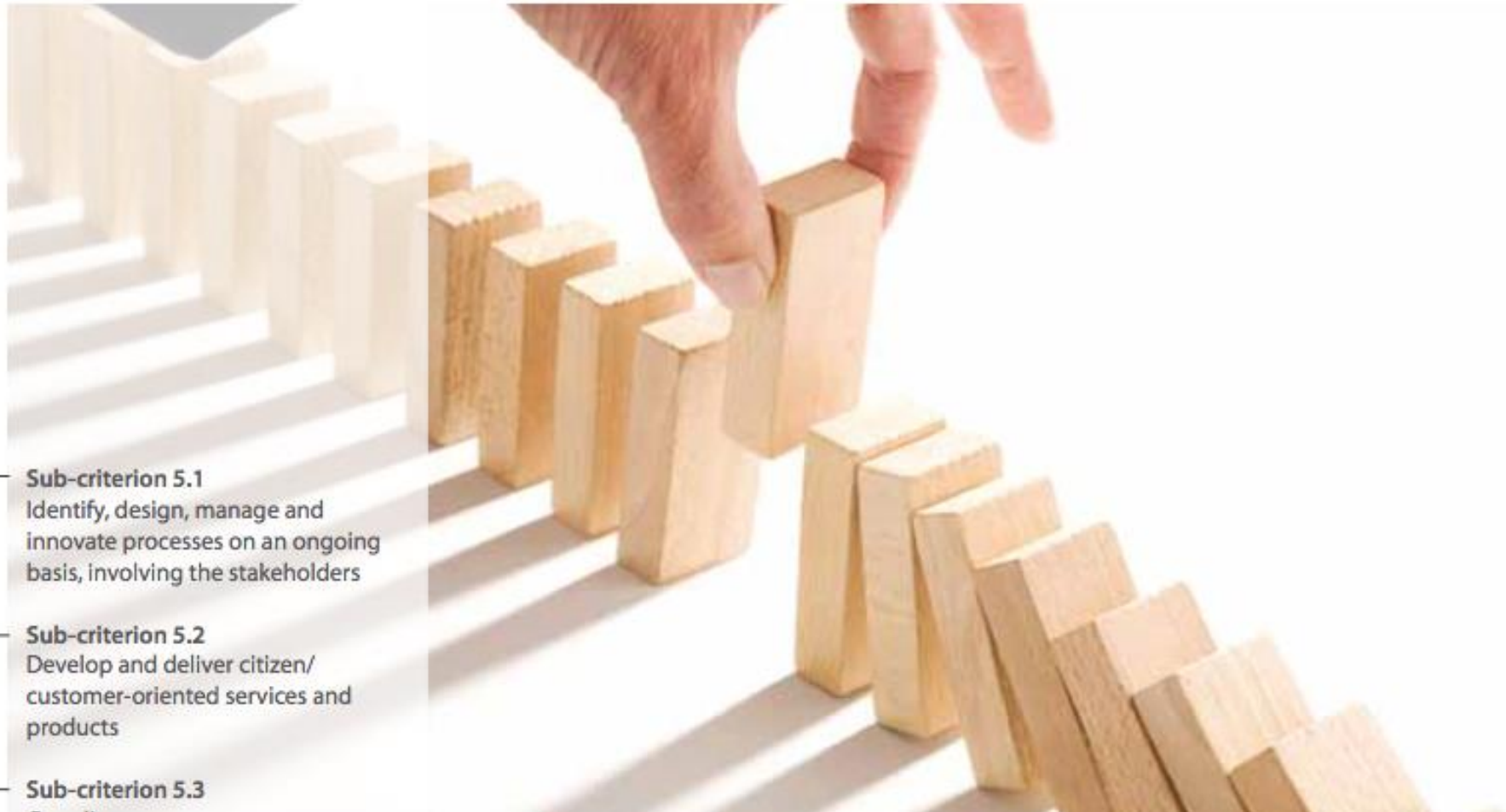
- Sub-criterion 3.1**  
Plan, manage and improve human resources transparently with regard to strategy and planning
- Sub-criterion 3.2**  
Identify, develop and use competencies of people aligning individual and organisational goals
- Sub-criterion 3.3**  
Involve employees in developing...

# Criterion 4: Partnerships & Ressources



- Sub-criterion 4.1  
Develop and manage partnerships  
with relevant organisations
- Sub-criterion 4.2  
Develop and implement  
partnerships with the citizens/  
customers
- Sub-criterion 4.3  
Manage finances
- Sub-criterion 4.4  
Manage information  
and knowledge
- Sub-criterion 4.5

# Criterion 5: Processes



**Sub-criterion 5.1**  
Identify, design, manage and innovate processes on an ongoing basis, involving the stakeholders

**Sub-criterion 5.2**  
Develop and deliver citizen/customer-oriented services and products

**Sub-criterion 5.3**



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# CAF 2020

**Learning lab on the content of the guidelines/process  
CAF implementation**

**Patrick STAES**  
**Nick THIJS**



# Flow of the session



1. Short intro presentation by the National Social Security Institute . Bulgaria (BG).

2. Collected input from the participants



3. Participants' discussions





1.

Short intro presentation by the  
National Social Security  
Institute . Bulgaria (BG).

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# Self-assessment through applying the quality management model CAF in the National Social Security Institute (NSSI) of the Republic of Bulgaria in the period in 2017

National Social Security Institute of the Republic of Bulgaria

Zornitsa Tsekova



# Outline



- 1. Background and context of the organisation**
- 2. Background of the case**
- 3. Process/dynamics**
- 4. Results/outcome**
- 5. Lessons learned & key recommendations**

# 1. Background & Context of the organisation



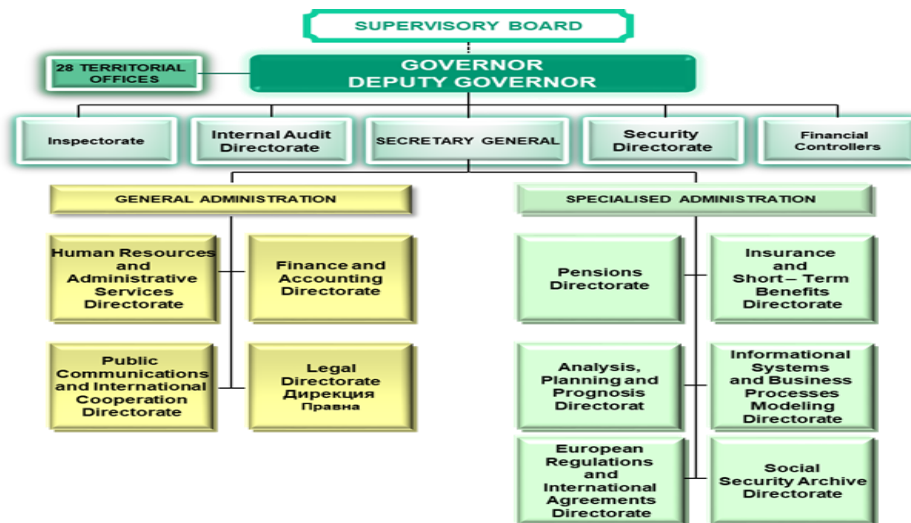
## **National Social Security Institute – short presentation**

- Public sector organization at national level
- Manages the state public social insurance in Bulgaria
- Pays all types of pensions
- Pays all types of sickness, maternity, employment injury and occupational disease benefits
- Pays all types of unemployment benefits
- Competent institution regarding the implementation of the EU regulations in the field of social security schemes coordination

# 1. Background & Context of the organisation

## National Social Security Institute in numbers

- Manages more than BGN 11 bln. (more than EUR 5 bln.)
- Pays the pensions of about 2.2 mln. pensioners
- Pays the benefits of more than 1.7 mln. beneficiaries
- Staff of 3 500 people
- Headquarters (12 directorates) plus 28 territorial branches



## 2. Background of the case

### **Specific conditions at the beginning of the project**

- Institution with many functions and complex structure
- Various and sophisticated internal and external interactions
- No experience in applying quality management systems
- Insufficient experience regarding CAF in Bulgaria in general

### **CAF project in the NSSI – main objectives and characteristics**

- Higher effectiveness and efficiency
- “Inside look” covering all aspects of management
- Introducing a mechanisms aiming at continuous improvement
- Higher satisfaction with the quality of provided services
- Establishing a sense of ownership of the personnel over the organizational aims and values
- Part of the ‘first wave’ for introducing the CAF in Bulgaria following the Government Strategy for Development of the State Administration 2014-2020

## 2. Background of the case

**Focus:** Strategic, fundamental changes which will result in significant improvements both of internal process and external perspective:

- Development of the NSSI' s organizational structure
- Partnership development
- Personnel development
- Embedding corporate social responsibility in the organizational strategy
- Better link between the strategy and results achieved

### **Main, strategic actions**

- Functional analysis of the whole organization
- Developing a comprehensive partnership management policy
- Introducing an innovation impact assessment
- Introducing a Balanced Scorecard as a tool for evidence-based strategic planning and management
- Defining the change management roles within the organization
- Developing a comprehensive personnel development policy

# 3. Process/dynamics

## Main challenges

- Applying the CAF within all organizational units
- Insufficient experience in quality management system application
- What will the staff’ s attitudes towards the project be
- Are the employees willing to provide the senior management an objective feedback
- Is the senior management willing to address the staff’ s assessments and recommendations
- Is the senior management willing to undertake strategic changes
- Is it possible to achieve consensus (two self-assessment groups with 15 members each)

## Time framework

2015 (November, December)		2016			
Proposal	Support from the senior management	Managerial decision	Agreement with IPA	Introduction of the model to the senior management	
2017 (January – October)					
Establishment of two working groups	Training	Self-assessment	Two reports	Consolidated report	Action Plan



# 3. Process/dynamics

## Results achieved by the two working groups



- Over 85 % coincidence of the areas of improvement (different definitions, similar meaning)
- Consensus achieved at a joint meeting

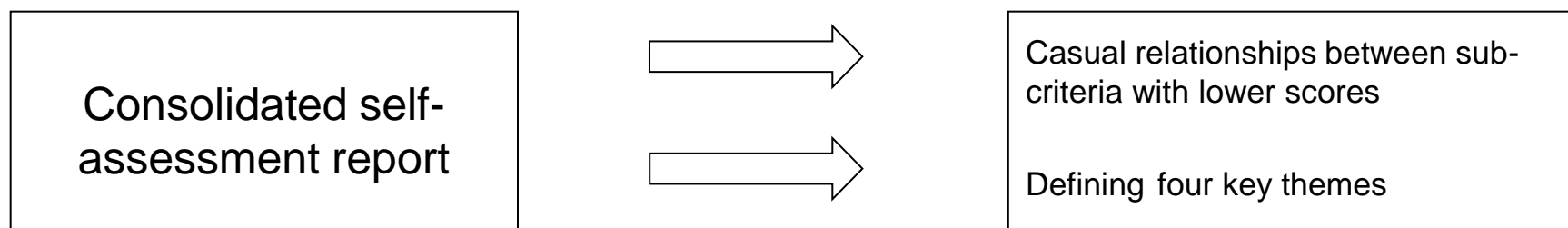
## Prioritization of measures

- EIPA methodology on prioritization applied within the CAF model introduction in Bulgaria project
- Some weaknesses have been identified

**MAIN PROBLEM:** fundamental, strategic measures remain out of the scope of the Action Plan. Without these measures, all other actions will have limited influence and will not lead to significant improvements

### 3. Process/dynamics

## Our practice of prioritization



- Prioritization of measures according to the EIPA methodology
- Ensuring compliance between measures and defined key themes and preparing an action plan
- Fixing deadlines, responsible staff members and performance indicators
- Plenary session in order to achieve consensus on the measures
- Action plan containing 15 measures, including 10 with strategic importance
  
- **MAIN ADVANTAGE:** we put the emphasis on a few measures with strategic importance which will establish the base of the successful implementation of all other measures for improvement

### 3. Process/dynamics

Main actors	Roles and responsibilities
Project manager	Provides overall guidance and support at all stages
Senior management	Makes the decisions to introduce the CAF. Demonstrates support for the project. Approves the consolidated version of the report and plan for improvement. Exercises monitoring
Line managers	Assist in gathering evidence Directly participate in the self-assessment process
Territorial branch directors	Propose members of the self-assessment working groups Participate in self-assessment
Self-assessment working groups	Perform the self-assessment Reach consensus within and between the working groups
Self-assessment working group leader	Coordinate work within the groups. Summarize results. They guide and promote consensus. Coordinate efforts in drafting reports
Task force for preparation of an Action Plan – 9 staff members (8 representing SAG)	Prioritizes measures for improvement. Achieves consensus on performance indicators, responsible units and deadlines
External consultant	Carries out training for self-assessment working groups Supports the whole process of self-assessment
Bulgarian Institute for Public Administration (IPA)	Supports the administration during the implementation of the CAF Provides tailored training. Provides feedback on the CAF implementation process

# 4. Results/outcome

## Main characteristics

- Early stage of implementation of the measures for improvement
- Strategic character of the measures. Verifiable results require sufficient time



## Achieved results

- Approved report
- Approved Action Plan
- Influence on the strategic concept on the NSSI management
- Key measures from the Action Plan are part of the NSSI Strategy and 2018 Operational Plan

## Expected results

- Higher satisfaction with the services provided
- Achieving higher efficiency by better planning and measuring the impact of innovations
- Better performance by higher staff motivation
- Better effectiveness and efficiency of the main processes (process-oriented approach and Balanced Scorecards)

# 4. Results/outcome

## Next steps

- Monitoring – every four months
- Periodic reporting to the senior management
- Next self-assessment (two years after the initial introduction)

## Project sustainability

- Monitoring provides the senior management with information on the process of implementation of the measures for improvement and is a prerequisite for meeting the deadlines determined in the Action Plan
- The planned forthcoming self-assessment ensures the implementation of the Plan-Do-Check-Act (PDCA)



## 5. Lessons learned & key recommendations

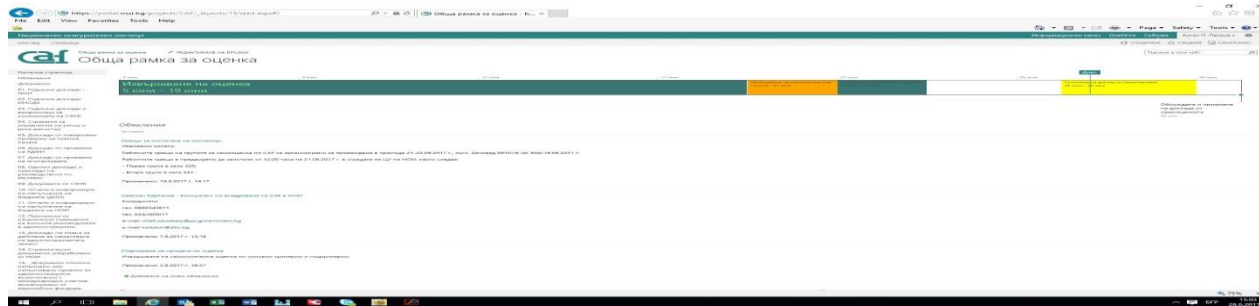
- **The model is not a dogma.** It is sufficiently flexible and can be adapted. We applied a different approach in the process of prioritization of measures
- **The scope is not an obstacle.** Our first self-assessment covered the whole organization
- **Consensus can be reached.** We established two self-assessment working groups, each with 15 members. It was not difficult to reach consensus within and between the groups
- **The model is reliable.** Its application leads to similar results in similar conditions. The two self-assessment groups worked independently but produced similar results
- **The staff members can be critical towards the senior management.** The consolidated report consist of 138 areas of improvement and 117 measures

**WORRIES ARE GREATER THAN THE REAL DIFFICULTIES!**

# 5. Lessons learned & key recommendations

## Critical success factors

- Support by the senior management
- Good communication between the actors involved in the self-assessment. We created an internal communication tool as a part of the NSSI intranet platform



- Well-designed selection process and easy access to evidence
- Well-chosen composition of working groups
- Participation in the self-assessment groups – on a voluntary basis
- Well-selected working group leaders
- Good theoretical knowledge of the participants in the working groups
- Sufficient time and supporting working environment
- Continuous monitoring and feedback on the implementation of the measures

# 5. Lessons learned & key recommendations

## Key recommendations

- To be cautious about the results of models which are based on numerical assessments. In certain conditions (depending on the organizational maturity level) they could be misleading
- It needs to be clearly stated that organizations could be creative throughout the prioritization process



# Questions



## Contact details



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2.

Collected input from  
the participants

# A. More guidance

- Need for templates
  - Team leader profile
  - Communication plan
  - Self-assessment worksheet
  - Prioritization methodologies
  - Improvement plan(ning)/monitoring
  - benchlearning
  
- PEF link

## B. Stronger focus in the process

- Leadership engagement
- Necessary time for SAG members
- Ongoing monitoring (role for SAG)
- Step 9: implementation AND MONITORING
- Intermediate quick scan ?
- Flexible approach (?)

## C. “Methodological” issues

- “translation” to the organisation
  - Who ?
  - When ? (between training and SA)
  - How detailed ?
- External stakeholders IN self-assessment
- Need for collecting evidence (pro-active) ?
- Scoring:
  - More info
  - Need ?! Adaptation ?!



3.

## Participants' discussions

# Issues to discuss further



1. Management involvement / engagement
2. Stakeholders IN Self-assessment
3. Collecting evidence
4. Scoring
5. Translation
6. Flexible approach



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**Learning lab on PEF**

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# Flow of the session



1. "Setting the scene"  
*Short intro presentation  
on the PEF*



2. Introduction: State  
Treasury & City of Hyvinkää .  
Finland (FI).

3. Collected input from  
the participants



4. Participants' discussions





1.

“Setting the scene: *Short intro presentation on the PEF*”

# Overview



1. Aims of the Feedback Procedure
2. General principles
3. The 3 pillars: the What of the feedback
4. Steps in the feedback procedure

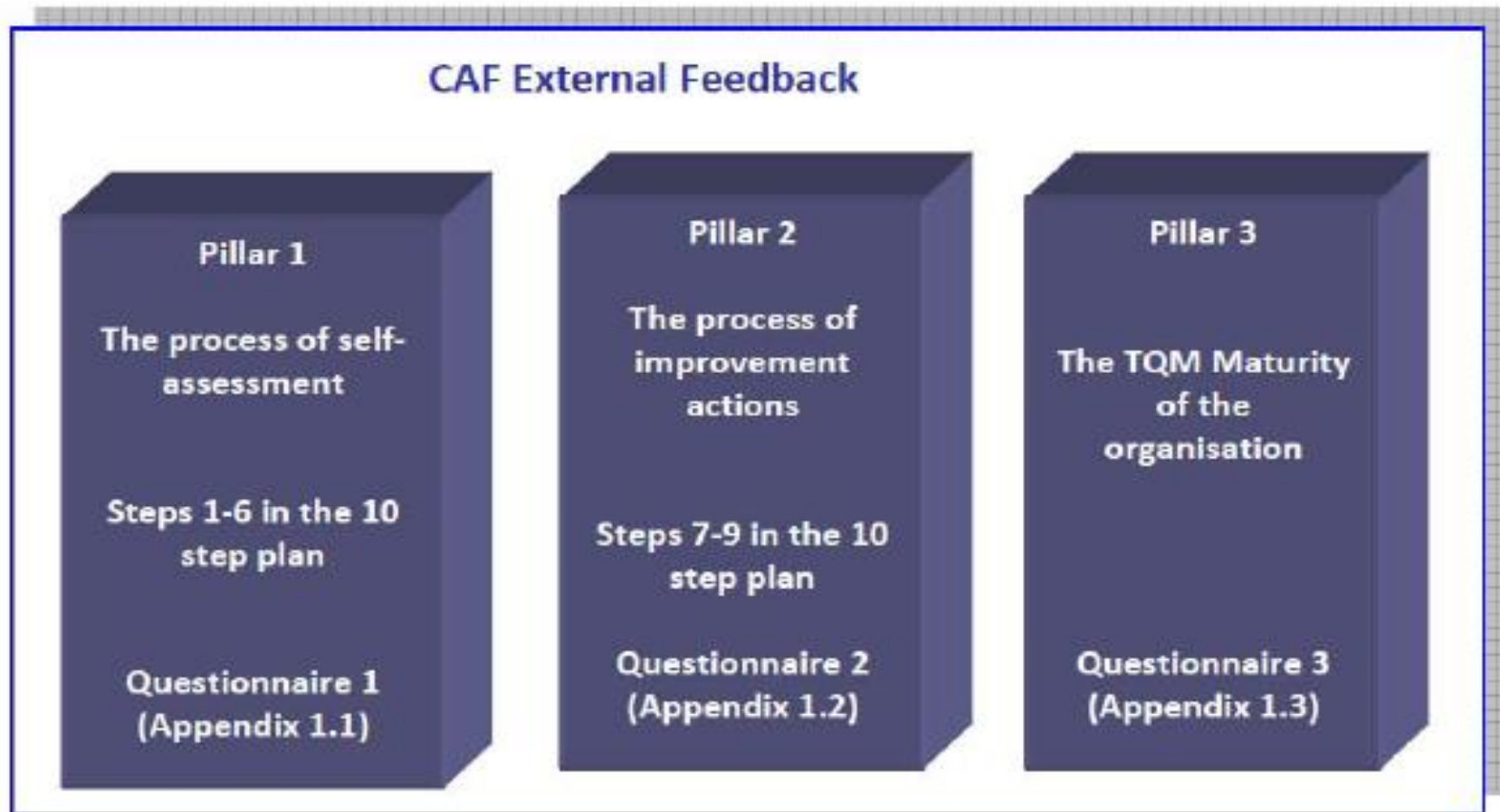
# 1. Aims of the CAF External Feedback Procedure

- ✓ Support the quality of the CAF implementation and its impact on the organisation.
- ✓ Support and renew enthusiasm in the organisation for continuous improvement.
- ✓ Reward organisations that started the journey on continuous improvement toward excellence in an effective way, without judging their obtained level of excellence.

## 2. The general principles

- The CAF External Feedback Procedure is *a common European framework*, to be implemented according to the national contexts on a voluntary basis.
- The CAF External Feedback Procedure leads to the *label of Effective CAF User (ECU)* for 2 years, not the recognition or accreditation of an excellent organisation.
- The CAF External Feedback Procedure is build upon *3 pillars*.

### 3. The different pillars



# Different steps in the CAF & the Pillars

## Phase 1 – The start of the CAF journey

Step 1: Decide how to organise and plan the self-assessment

Step 2: Communicate the self-assessment project

## Phase 2 – Self-Assessment Process

Step 3: Compose one or more self-assessment groups

Step 4: Organise training

Step 5: Undertake the self-assessment

Step 6: Draw up a report describing the results of self-assessment

## Phase 3 – Improvement plan/ prioritisation

Step 7: Draft an improvement plan, based on the accepted self-assessment report

Step 8: Communicate the improvement plan

~~Step 9: Implement the improvement Plan~~ - - - - -

Step 10: Plan next self-assessment

*PILLAR 1*

*PILLAR 2*



## Pillar 3 Towards a TQM culture



# Steps in CAF External Feedback Procedure

## CAF and Application

- CAF Self Assessment and SA Report
- 6-12 months later application to the National Organiser

## Self assessment on 3 pillars

- Organisation carries out self-assessment on the 3 pillars

## CAF External Feedback Actors

- Document analysis by CAF External Feedback Actors
- Site visit by team of CAF External Feedback Actors

## Feedback and ECU Label

- The applicant organisation receives feed back
- If positive on 3 pillars: “Effective CAF User” Label



2.



Introduction: State Treasury & City of  
Hyvinkää . Finland (FI).

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# **Learning together during the Quality Journey**

## **External Feedback Procedure**

### **of City of Kuopio**

**State Treasury, Aila Särmälä, National Organizer**  
**City of Hyvinkää, Jaana Ilomäki, Head of FAs**



# Outline



- 1. Background and context of the organizations**
- 2. Background of the case**
- 3. Process/dynamics**
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# 1. Background & Context of the organisations (1/3)

State Treasury, the national organizer

City of Kuopio, Urban Environment, Effective CAF User

City of Hyvinkää, employer of the head of FAs Team  
Leader

## **The Finnish Local Government Act of 2015**

- The Finnish municipalities shall strive to advance the well-being of their residents and to promote sustainable development on a local basis.
- Basic public services arranged by municipalities include social welfare, health care, education and culture, technical and environmental services

# 1. Background & Context of the organisation (2/3)

- State Treasury, Ministry of Finance's most important partner with regard to the implementation of central government steering
- Key processes
  - Financing activities, supporting financial management, shared financial administration and its development
  - Supporting personnel management, shared personnel administration and its development, PEF National Organizer
  - Services for citizens and communities
  - <https://www.youtube.com/watch?v=4UEcEQ8h6AU>

# 1. Background & Context of the organisation (3/3)

## City of Kuopio in brief

- Centre of Eastern Finland
- 9th largest city in Finland, approx. 118,000 inhabitants
- An urban environment of strong growth and bold development
- An active university city focusing on well-being, health and security competence
- A good environment for children to grow up
- <https://www.kuopio.fi/en/etusivu>



## 2. Background of the case

- City of Kuopio, Urban Environment Department is the first Effective CAF User Label applicant organization in Finland
- The national organizer, State Treasury arrange training and invite an external feedback actors´ team (altogether 6 actors).
- The national organizer, the Feedback Actors´ Team and City of Kuopio collected and documented experiences and lessons learnt during the self-assessments and external feedback procedure.

### 3. Process/dynamics

- Self-assessment processes in Kuopio – CAF joint project for management and staff
- External feedback process
  - Self-assessment 01-03/2017, application and site visit 10/2017, feedback report and ECU label in the beginning of November
- A common challenge of the Finnish CAF users, as well as at European level, is to make the model, assessment tools and learning from each other, bench learning more visible. That is why we want to share these experiences with you.

## 4. Learning results/outcome

- Participation as a key success factor, staff involvement
- Recognition of key partnerships with citizens, customers and stakeholders and their participation in the assessment process in the future
- Quality of data and documentation of self-assessments
- A complex operational environment of public sector organizations requires management of information, knowledge and technologies.
- Linkage between the CAF Model assessment results and strategic planning process of the organization

## 5. Lessons learned & key recommendations (1/2)

- Key recommendations:
  - **Partnerships and resources:** key partnership relations with citizens and customers, involvement of partners in PEF
  - **People:** involvement of staff, open dialogue and empowerment are key success factors in PEF
  - **Strategy:** planning, implementation, reviewing modernization and innovation, taking into account stakeholders and available resources, gathering information relating to present and future needs of customers and stakeholders
  - **Leadership:** motivation and support the people in the organization and act as a role model

## 5. Lessons learned & key recommendations (2/2)

- Key recommendations:
  - **Pillar 3** is number 1
  - **Principles of Excellence** should be the heart of PEF
  - **Looking forward** instead of looking backwards
  - CAF + PEF excellent tools for development – digital, agility assessment tools are needed to develop attractiveness
  - An organization can use PEF as “external internal” assessment tool (bench learning between different departments)
  - It is important to find the place for CAF Model among other assessment and audit tools and awards (e.g. EPSA)

# Questions



# Contact details

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3.

Collected input from  
the participants



- 
- Importance of oral feedback
  - Follow-up of the feedback report
  
  - Label for 3 years
  
  - Benchlearning on PEF
    - Peer review
    - EFAC's & ECU's
    - PEF Event
  
  - Pillar 3 !



4.

## Participants' discussions