

Improving Public Organisations through Self-Assessment



The Common Assessment Framework (CAF)
Improving Public Organisations through Self-Assessment

CAF 2013

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Foreword

Public administrations all across Europe are, more than ever before, being challenged by society to demonstrate and improve their added value to sustain and further develop the social welfare state. In these times of socio-economic crisis and austerity, the policy effectiveness, operational performance and quality of public services are crucial factors in responding to the changing needs and expectations of citizens and enterprises.

Public administrations have been taking up these challenges for many years. Numerous efforts have been undertaken to implement new techniques and methods to improve public organisations' efficiency, effectiveness, economic and social responsibility. Different approaches were launched across all types of public organisations and in all sectors of public responsibility, at the European, national, federal, regional and local level. Many of these initiatives were successful; others failed, sometimes due to the lack of a coherent and sustainable approach.

The European Public Administration Network, the meeting place of civil servants of the Member States of the European Union, was aware of this missing link and invited its experts to develop a holistic tool to assist public administrations in their quest for continuous improvement. In May 2000, the Common Assessment Framework (CAF) was launched as the first European quality management instrument specifically tailored for and developed by the public sector itself. It is a general, simple, accessible and easy-to-use model for all public sector organisations across Europe, and deals with all aspects of organisational excellence.

More than 3000 public organisations have registered to use the CAF Model since its launch and thousands more across and outside Europe use it for their own specific development purposes. In order to respond

to their expectations and to align the Model to cater for the development and evolutions in society and public management, the CAF was revised twice, namely in 2002 and 2006. After six years of working experience with the 2006 version, we have fine tuned the Model again, based on the feedback received from 400 hundred CAF users and the National CAF Correspondents.

This revision has made the CAF 2013 Model even stronger than before – better equipped to support the public sector to the benefit of all its stakeholders in general and the citizens in particular. Concepts such as users' orientation, public performance, innovation, ethics, effective partnerships with other organisation(s) and social responsibility have been deepened, and should result in the creation of new opportunities for further development of public sector organisations.

This new version is the result of the intensive collaboration between the National CAF Correspondents of the Member States of the European Union, supported by the European CAF Resource Centre at the European Institute of Public Administration in Maastricht (EIPA).

The purpose of this manual and guidelines is to support people working in public administrations in their day-to-day journey of delivering a quality service. Thousands all over Europe have already started their journey towards excellence using the CAF Model and have proved that it works. Our invitation is for you to join them and become members of this dynamic CAF community. Welcome to the world of Total Quality in the public sector and good luck on the journey towards Excellence!

The European Network of National CAF Correspondents
and the European CAF Resource Centre at EIPA

September 2012

General Introduction

The content of the CAF 2013 Model

Definition

The Common Assessment Framework (CAF) is a **total quality management tool** developed by the public sector for the public sector, inspired by the Excellence Model of the European Foundation for Quality Management (EFQM®). It is based on the premise that excellent results in organisational performance, citizens/customers, people and society are achieved through leadership driving strategy and planning, people, partnerships, resources and processes. It looks at the organisation from different angles at the same time: the **holistic approach** to organisation performance analysis.

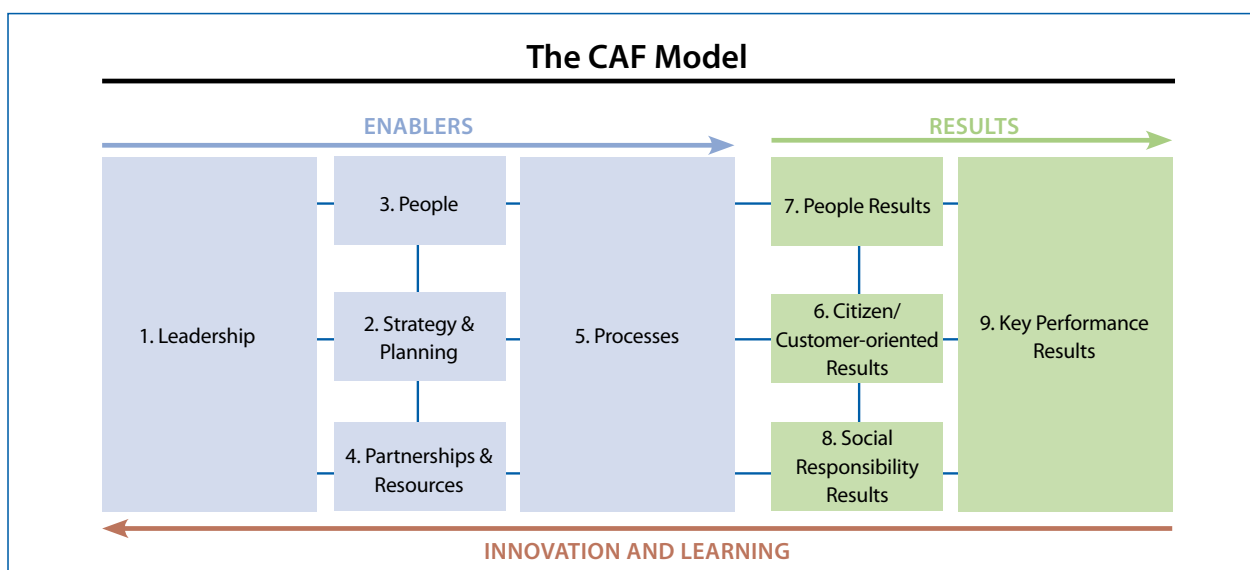
Main purpose

The CAF is available in the public domain, is free of charge and is offered as an **easy-to-use tool** to assist public sector organisations across Europe in using **quality management techniques to improve performance**. The CAF has been designed for use in **all parts of the public sector**, and is applicable to public organisations at the European, national/federal, regional and local level.

The CAF aims to be a catalyst for a full improvement process within the organisation and has five main purposes:

1. to **introduce** public administrations into the culture of excellence and the principles of TQM;
2. to guide them progressively to a **fully-fledged PDCA (PLAN, DO, CHECK, ACT) cycle**;
3. to facilitate the **self-assessment** of a public organisation in order to obtain a diagnosis and a definition of improvement actions;
4. to act as a **bridge** across the various models used in quality management, both in public and private sectors;
5. to facilitate **bench learning** between public sector organisations.

Organisations that are starting to implement the CAF have the ambition to grow towards excellence in their performance and want to introduce a culture of excellence in the organisation. Effective use of the CAF should, in time, lead to the further development of this type of culture and thinking within the organisation.





The nine-box structure identifies the main aspects requiring consideration in any organisational analysis. Criteria 1-5 deal with the managerial practices of an organisation: the so-called **Enablers**. These determine what the organisation does and how it approaches its tasks to achieve the desired results. In criteria 6-9, **Results** achieved in the fields of citizens/customers, people, social responsibility and key performance are measured by perception and performance measurements. Each criterion is further broken down into a list of sub-criteria. The **28 sub-criteria** identify the main issues that need to be considered when assessing an organisation. They are illustrated by **examples** that explain the content of the sub-criteria in more detail and suggest possible areas to address, in order to explore how the administration meets the requirements expressed in the sub-criterion. These examples represent a lot of good practices from all over Europe. Not all of them are relevant for every organisation, but many can be considered as points of attention during self-assessment. Integrating the conclusions from the assessment of the enablers and results criteria into the managerial practices constitutes the continuous **innovation and learning** cycle that accompanies organisations on their way towards excellence.

Cross-functions inside the model

The holistic approach of TQM and CAF does not simply mean that all aspects of the functioning of an organisation are carefully assessed, but also that all the composition elements have a reciprocal impact on each other. A distinction should be made between:

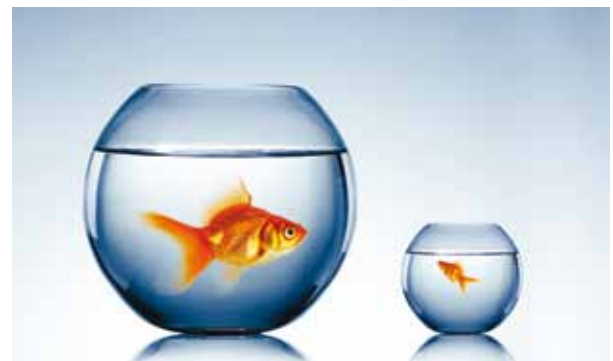
- cause-effect relationship between the left part of the model (the enablers – causes) and the right part (the results – effects); and
- the holistic relationship between the causes (enablers).

Cross-connection between the left and right parts of the model: consists of the cause-effect relationship between the enablers (causes) and the results

(effects), as well as the feedback from the latter to the former. Verification of cause-effect links is of fundamental importance in self-assessment, where the organisation should always check for consistency between a given result (or set of homogeneous results) and the 'evidence' collected on the relevant criteria and sub-criteria on the enabler side. Such consistency is sometimes difficult to verify, since due to the holistic character of the organisation, the different causes (enablers) interact with each other when producing results. In any case, the existence of appropriate feedback from results appearing on the right-hand side to the appropriate criteria on the left-hand side should be checked in the assessment.

Cross-connection between criteria and sub-criteria on the enabler side: since the quality of results is to a large extent determined by the type and intensity of the relationships between enablers, this type of relationship *must* be explored in self-assessment. In fact, their intensity varies between different organisations and their nature determines to a large extent the quality of the organisation.

Relationships are obviously not limited to the criteria level; quite often substantial interaction/relationships materialise at sub-criterion level.



The underlying 8 Principles of Excellence

As a tool of Total Quality Management, CAF subscribes to the fundamental concepts of excellence as initially defined by EFQM, translates them to the public sector/CAF context and aims to improve the performance of public organisations on the basis of these concepts. These principles make the difference between the traditional bureaucratic public organisation and the one oriented towards Total Quality.



Principle 1: Results orientation

The organisation focuses on results. Results are achieved which please all of the organisation's stakeholders (authorities, citizens/customers, partners and people working in the organisation) with respect to the targets that have been set.

Principle 2: Citizen/Customer focus

The organisation focuses on the needs of both, present as well as potential citizens/customers. It involves them in the development of products and services and the improvement of its performance.

Principle 3: Leadership and constancy of purpose

This principle couples visionary and inspirational leadership with constancy of purpose in a changing environment. Leaders establish a clear mission statement, as well as a vision and values; they also create and maintain the internal environment in which people can become fully involved in realising the organisation's objectives.

Principle 4: Management by processes and facts

This principle guides the organisation from the perspective that a desired result is achieved more efficiently when related resources and activities are managed as a process and effective decisions are based on the analysis of data and information.

Principle 5: People development and involvement

People at all levels are the essence of an organisation and their full involvement enables their abilities to be used for the organisation's benefit. The contribution of employees should be maximised through their development and

involvement and the creation of a working environment of shared values and a culture of trust, openness, empowerment and recognition.

Principle 6: Continuous learning, innovation and improvement

Excellence is challenging the status quo and effecting change by continuous learning to create innovation and improvement opportunities. Continuous improvement should therefore be a permanent objective of the organisation.

Principle 7: Partnership development

Public sector organisations need others to achieve their targets and should therefore develop and maintain value-adding partnerships. An organisation and its suppliers are interdependent, and a mutually beneficial relationship enhances the ability of both to create value.

Principle 8: Social responsibility

Public sector organisations have to assume their social responsibility, respect ecological sustainability and try to meet the major expectations and requirements of the local and global community.

These principles of Excellence are integrated into the structure of the CAF Model and the continuous improvement of the nine criteria will in time bring the organisation to a high level of maturity. For each principle, four levels of maturity have been worked out so that an organisation can have an idea of its way forward towards excellence. For more information on these levels we refer to the description of the Procedure on CAF External Feedback (PEF) on page 14.

Common European public sector values

Besides the specific interpretation of the principles of excellence for the public sector, public management and quality in the public sector have a number of unique conditions in comparison with the private sector. They presume basic preconditions common to our European socio-political and administrative culture: legitimacy (democratic and parliamentary), the rule of law and ethical behaviour based on common values, and principles such as openness, accountability, participation, diversity, equity, social justice, solidarity, collaboration and partnerships – all aspects which are to be taken into consideration during the assessment.

Although CAF primarily focuses on the evaluation of performance management and the identification of its organisational causes to make improvement possible, the ultimate goal is to contribute to good governance.



Importance of evidence and measurements

Self-assessment and improvement of public organisations is very difficult without reliable information concerning the different functions of the organisation. CAF stimulates public sector organisations to gather and use information, but very often this information is not available at a first self-assessment. This is why CAF is often considered to be a zero-base measurement. It indicates the areas where it is essential to start measuring. The more an administration progresses towards continuous improvement, the more it will systematically and progressively collect and manage information, both internally and externally.

A common language with the support of a glossary

When confronted with a managerial language, many public sector organisations find it difficult to understand. CAF creates a common language that allows staff and managers in an organisation to discuss

organisational issues together in a constructive way. It promotes the dialogue and the bench learning among public administrations at European level through this common language, which is simple and understandable to all civil servants. To support this and to avoid misunderstanding, the glossary at the end of the brochure is there to assist by providing a more precise definition of the main terms and concepts.

What's new in the CAF 2013?

Users of previous CAF versions will not find it too difficult to find their way around the 2013 version. The model is still composed of 9 criteria and 28 sub-criteria, but some have been reformulated. A table in attachment compares the structure of the CAF 2006 and CAF 2013 models. The major changes are to be found in criterion 5, where two sub-criteria have been merged and a new one has been created. All the examples have been reviewed and adapted to the changes in the structure. The glossary has been updated accordingly. The 8 Principles of Excellence for the public sector are now clearly defined and the maturity levels worked out in the context of the Procedure on External Feedback.

How to use the CAF 2013 Model

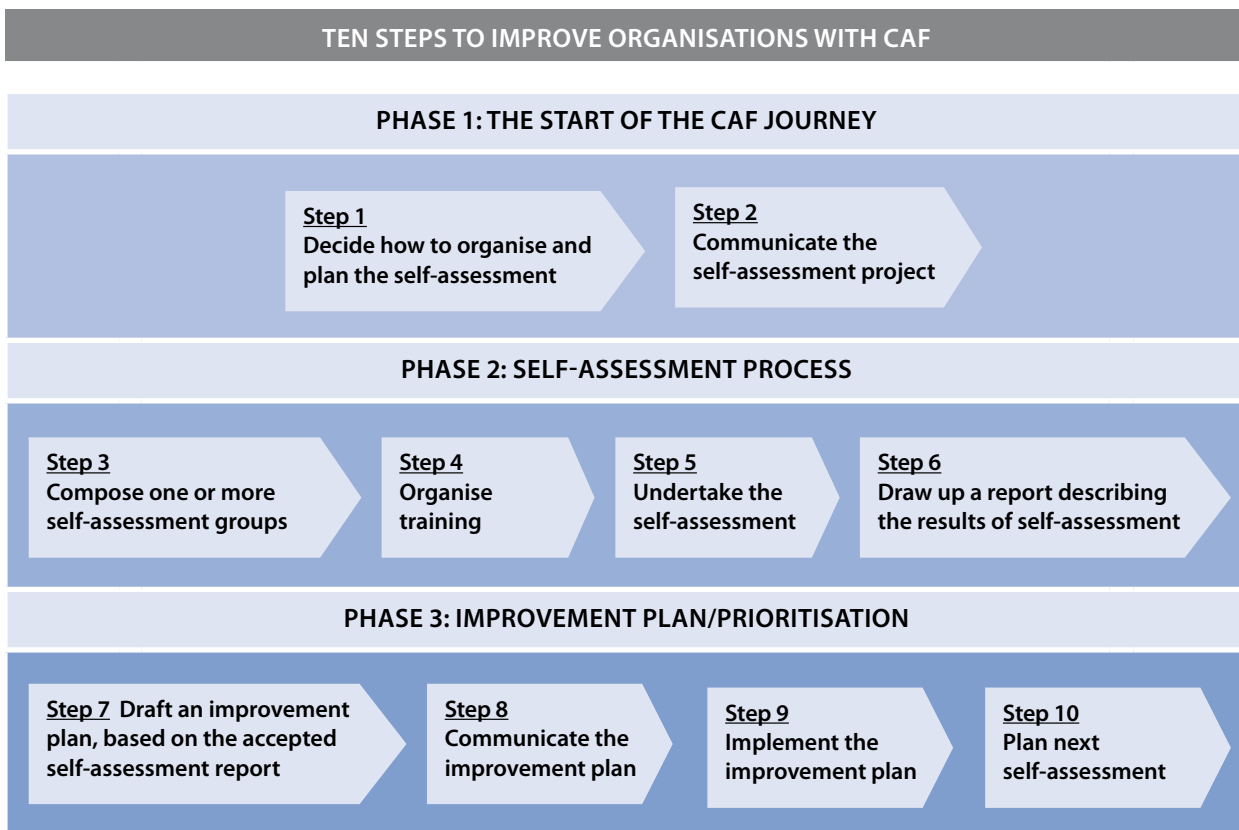
Organisations are free to adapt the implementation of the model to their specific needs and contextual circumstances; however, the structure of the model, with the 9 criteria and the 28 sub-criteria, as well as the use of one of the assessment panels is strongly recommended as it is to implement the process following the given guidelines.

The guidelines for implementation

Using the CAF Model is a learning process for each organisation. However, the lessons learned over several years of implementation can profit every new user. A 10-step implementation plan was therefore developed to help organisations use it in the most efficient and effective way, reflecting the advice of the CAF national experts. What follows are the main points. A more detailed explanation can be found in the brochure.

Role of the scoring system

Whilst the discovery of strengths and areas for improvement and the linked improvement actions are the most important outputs of the self-assessment, the scoring system developed in CAF has a specific function but should not be the main focus.



Allocating a score to each sub-criterion and criterion of the CAF model has four main aims:

1. to give an indication of the direction to follow for improvement activities;
2. to measure your own progress;
3. to identify good practices as indicated by high scoring for Enablers and Results;
4. to help the organisation to find valid partners to learn from.

Two ways of scoring are proposed. The 'classical CAF scoring' and the 'fine-tuned CAF scoring'. More information is given in the chapter on scoring.

How to get support in using CAF 2013

Information and technical assistance

In 2001, a network of national CAF correspondents, as well as a CAF Resource Centre (CAF RC) were created following the decision of the Directors-General in charge of public service. In fact, this network is responsible at European level for the development and follow up of the model. It periodically discusses new tools and strategies for the dissemination of the CAF. It organises a European CAF Users Event almost every two years, in which users discuss good practices and exchange ideas.

In the Member States, the national correspondents develop appropriate initiatives to stimulate and support the use of the model in their countries. Activities vary from the creation of national resource centres to dedicated websites – from national or regional projects or programmes, to national awards or quality conferences based on the model.

The CAF Resource Centre (CAF RC), at the European Institute of Public Administration (EIPA) in Maastricht (NL) is in charge of the coordination of the network and manages the CAF website www.eipa.eu/caf.

The CAF website is the starting and access point for finding all relevant information about the CAF, for registering as a CAF user and finding information on CAF users, or for using the CAF e-Tool – an electronic instrument that supports the self-assessment process. For example, you can also find: the 22 language versions of the CAF Model, information on the national CAF correspondents, all relevant publications on the model, events that are organised at national and European level, announcements of training delivered by EIPA on CAF, and the related TQM issues.

The CAF External Feedback Procedure

To enable public sector organisations applying CAF to see the results of their efforts and to obtain feedback, the CAF offers an External Feedback Procedure which provides external feedback on the introduction of total quality management with CAF. This feedback procedure – to be applied on a voluntary basis – aims to further support CAF users in their journey towards quality, making their efforts visible, both internally and externally. It relates not only to the self-assessment process, but also to the way forward chosen by organisations in order to attain excellence in the long run, and is based upon the principles of excellence.

The CAF External Feedback aims to achieve the following objectives:

1. Support the quality of the CAF implementation and its impact on the organisation.
2. Find out if the organisation is installing TQM values as the result of the CAF application.
3. Support and renew enthusiasm in the organisation for continuous improvement.
4. Promote peer review and bench learning.
5. Reward organisations that have started the journey towards continuous improvement to achieve excellence in an effective way, without judging their obtained level of excellence.
6. Facilitate the participation of CAF users in the EFQM Levels of Excellence.

It is built upon the following three pillars:

Pillar 1: The process of self-assessment.

Pillar 2: The process of improvement actions.

Pillar 3: The TQM maturity of the organisation.

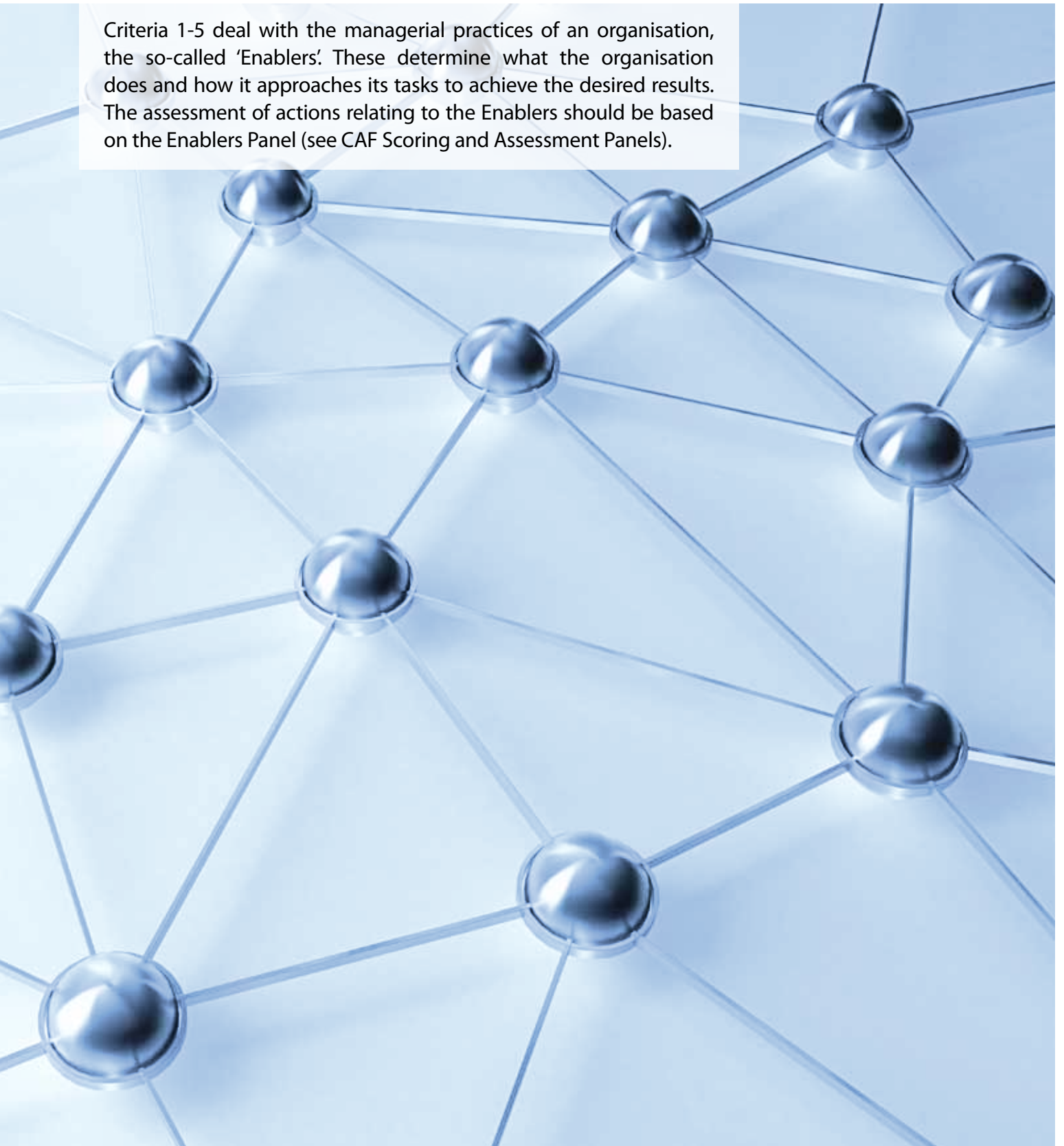
Organisations that have used CAF in an effective way can be awarded the European 'Effective CAF User' label, which is valid for two years. The CAF External Feedback Procedure and the CAF Effective User Label are under the responsibility of the Member States. They create the practical modalities based on a commonly agreed framework, but at their own rhythm. Organisations who wish to apply for the CAF label should inform themselves beforehand about the existing possibilities in their country.

More information is available on the CAF website:

www.eipa.eu/CAF

Enablers **Criteria**

Criteria 1-5 deal with the managerial practices of an organisation, the so-called 'Enablers'. These determine what the organisation does and how it approaches its tasks to achieve the desired results. The assessment of actions relating to the Enablers should be based on the Enablers Panel (see CAF Scoring and Assessment Panels).



Criterion 1: Leadership

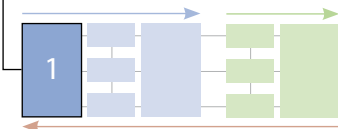


Sub-criterion 1.1
Provide direction for the organisation by developing its mission, vision and values

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



In a representative democratic system, elected politicians make the strategic choices and define the goals they want to achieve in different policy areas. The leadership of public sector organisations assists political authorities in formulating public policies by giving advice based on its expertise in the field. It is responsible for the implementation and realisation of the public policies. CAF makes a clear distinction between the role of the political leadership and that of the leaders/managers of the public organisations, whilst emphasising the importance of good collaboration between both actors in order to achieve the policy results.

Criterion 1 focuses on the behaviour of the people in charge of the organisation: the leadership. Their job is complex. As good leaders, they should create clarity and unity of purpose for the organisation. As managers, they establish an environment in which the organisation and its people can excel, and they ensure the functioning of an appropriate steering mechanism. As facilitators they support the people in their organisation and assure effective relationships with all stakeholders, in particular with the political hierarchy.

Assessment

Consider what the organisation's leadership is doing to...

1 Sub-criterion 1.1

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

The leadership ensures that the organisation is driven by a clear mission, vision and core values. This means that they develop the mission (why do we exist/what is our mandate?), the vision (where do we want to go/what is our ambition?) and the values (what steers our behaviour?) required for the organisation's long-term success. They communicate them and ensure their realisation. Every public organisation needs values that build the framework for all activities of the organisation – values in line with its mission and vision. But in addition, particular attention has to be paid to the values which are of special importance in a public sector organisation. Even more so than private companies which depend on the rules of the market economy, public sector organisations actively have to uphold values such as democracy, rule of law, citizen focus, diversity and gender equity, fair working environment, embedded corruption prevention, social responsibility and anti-discrimination: values that at the same time provide a role model for the whole of society. Leadership creates the conditions to embody these values.

Examples

1. Formulating and developing the mission and the vision of the organisation, involving relevant stakeholders and employees.

2. Establishing a value framework aligned with the mission and vision of the organisation, respecting the general public sector value framework.
3. Ensuring the wider communication of the mission, vision, values, strategic and operational objectives to all employees in the organisation and to other stakeholders.
4. Periodically reviewing the mission, vision and values, reflecting changes in the external environment (e.g. political, economical, socio-cultural, technological (PEST analysis) and demographic environment).
5. Developing a management system that prevents unethical behaviour, but also supports staff in dealing with ethical dilemmas that appear when different values of the organisation are in conflict.
6. Managing prevention of corruption by identifying potential areas of conflict of interest and providing guidelines for employees on how to deal with them.
7. Strengthening mutual trust, loyalty and respect between leaders/managers/employees (e.g. by monitoring the continuity of the mission, vision and values and by re-evaluating and recommending norms of good leadership).

[Award a score using the Enablers Panel]

2 Sub-criterion 1.2

Manage the organisation, its performance and its continuous improvement

Leaders develop, implement, and monitor the organisation's management system. An appropriate organisational structure with clear responsibilities for all levels of staff, as well as defined management, support and core processes, should guarantee the efficient realisation of the organisation's strategy for outputs and outcomes.

The performance management is based on defined measurable targets reflecting outputs and outcomes of the organisation's activities. Integrated performance management systems combine outputs and outcomes with resources to enable guidance based on rational evidence. It allows regular reviewing of performance and results.

Leaders are responsible for improving performance. They prepare for the future by organising the changes necessary to deliver its mission. The initiation of a continuous improvement process is a core target of quality management. Leaders set the ground for continuous improvement by ensuring an open culture for innovation and learning.

Examples

1. Defining appropriate managerial structures (levels, functions, responsibilities and competencies) and ensuring a system for managing processes and partnerships in accordance with strategy, planning and needs and expectations of stakeholders.
2. Identifying and setting priorities for necessary changes regarding the structure, the performance and the management of the organisation.
3. Defining measurable output and outcome targets for all levels and areas of the organisation, balancing the needs and expectations of different stakeholders in accordance with customers' differentiated needs (e.g. gender mainstreaming, diversity).
4. Developing a management information system with input from the risk management and internal control system and the permanent monitoring of the organisation's achievement of strategic and operational goals (e.g. Balanced Scorecard).
5. Applying the principles of TQM and installing systems of quality management/certification such as CAF or EFQM or ISO 9001.
6. Formulating and aligning the e-Government strategy with the strategic and operational objectives of the organisation.
7. Creating appropriate conditions for process and project management and teamwork.
8. Creating conditions for effective internal and external communication, with communication being one of the most important critical success factors of an organisation.
9. Demonstrating leaders' commitment to continuous organisational improvement and innovation through the promotion of a culture of innovation, as well as continuous improvement thereby encouraging feedback from employees.
10. Communicating the reasons for change initiatives and their expected effects to employees and relevant stakeholders.

[Award a score using the Enablers Panel]



Sub-criterion 1.3

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

Through their personal behaviour and their human resource management, leaders motivate and support the employees. Acting as role models, the leaders reflect the established objectives and values, encouraging employees to act in the same way. Employees are supported by the leaders to reach their targets by carrying out their duties. A transparent style of leadership based on mutual feedback, trust and open communication motivates people to contribute to the organisation's success. Besides these issues of personal behaviour, central factors for motivation and support of employees can also be found in the organisation's leadership and management system. Delegation of competences and responsibilities, including accountability, is the main managerial basis for motivated people. Opportunities for personal development and learning as well as recognition and rewarding systems are also motivating factors.

Examples

1. Leading by example, thus personally acting in accordance with established objectives and values.
2. Promoting a culture of mutual trust and respect between leaders and employees with proactive measures to counter any kind of discrimination.
3. Informing and consulting employees regularly on key issues related to the organisation.
4. Supporting employees in carrying out their duties, plans and objectives to enhance the achievement of overall organisational objectives.
5. Providing feedback to all employees to improve the performance of teams and individuals.
6. Stimulating, encouraging and empowering the employees through the delegation of

3 Sub-criterion 1.3

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

- authority, responsibilities and competencies, including accountability.
7. Promoting a learning culture and stimulating employees to develop their competences.
 8. Demonstrating personal willingness of leaders/managers to welcome recommendations/proposals from employees by reacting to constructive feedback.
 9. Recognising and rewarding the efforts of teams and individuals.
 10. Respecting and addressing individual needs and personal circumstances of employees.

[Award a score using the Enablers Panel]

4 Sub-criterion 1.4

Manage effective relations with political authorities and other stakeholders

Leaders are responsible for managing relationships with all relevant stakeholders who have an interest in the organisation or its activities. Therefore, the public managers lead a focused dialogue with political authorities and the other stakeholders. In the public sector, leadership is the interface between the organisation and the political authorities. This sub-criterion describes one of the main differences between public sector and private organisations. Public sector organisations have to focus on relations with political authorities from different perspectives. On the one hand, individual politicians can have a leadership function as they – together with the public sector organisation leaders – formulate targets. In this way, public sector organisations act as managing bodies of the political authorities. On the other hand, political authorities can occur as a specific group of stakeholders to be dealt with.

Examples

1. Developing a stakeholders' analysis, defining their major actual and future needs, and sharing these findings with the organisation.
2. Assisting the political authorities in defining the public policies related to the organisation.
3. Identifying and incorporating the public policies relevant to the organisation.
4. Ensuring that objectives and goals on output and outcome of the organisation are aligned with the public policies and political decisions, and concluding agreements with the political authorities on the related resources required.
5. Involving political and other stakeholders in the development of the organisation's management system.
6. Maintaining proactive and regular relations with the political authorities from the appropriate executive and legislative areas.
7. Developing and maintaining partnerships and networks with important stakeholders (citizens, Non-Government Organisations (NGOs), interest groups and professional associations, industry, other public authorities, etc.).
8. Taking part in the activities of professional associations, representative organisations and interest groups.
9. Building and raising the public awareness, reputation and recognition of the organisation and its services.
10. Developing a product and service targeted concept of marketing that focuses on the stakeholders.

[Award a score using the Enablers Panel]

Criterion 2: Strategy and 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

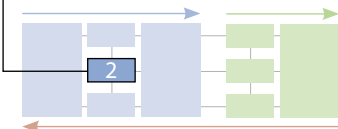
Develop strategy and planning, taking into account the gathered information

Sub-criterion 2.3

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

Sub-criterion 2.4

Plan, implement and review innovation and change



Implementing the mission and vision of a public organisation requires the definition of the 'way forward' which the organisation wants to follow, the setting of the goals it needs to achieve and the way it wants to measure progress. It demands a clear strategy. Setting strategic objectives includes making choices, setting priorities based on the public policies and objectives and the other stakeholders' needs, taking into account the available resources. The strategy defines the outputs (products and services) and outcomes (impact) it wants to obtain, whilst taking into account relevant critical success factors.

The strategy needs to be translated into plans, programmes, operational objectives and measurable targets so that it can be successfully executed. Monitoring and steering should be part of the planning, as well as being attentive to the need for modernisation and innovation, which supports the organisation in improving its functioning. Critically monitoring the implementation of the strategy and planning should lead to updating and adapting them whenever necessary.

Assessment

Consider what the organisation is doing to...

1 Sub-criterion 2.1 Gather information on the present and future needs of stakeholders as well as relevant management information

The PDCA (PLAN, DO, CHECK, ACT) cycle plays an important role in developing and implementing strategy and planning in a public organisation. It starts by gathering reliable information on the present and future needs of all relevant stakeholders, on outputs and outcomes and developments in the external environment. This information is indispensable to support the strategic and operational planning process. It is also fundamental to steer planned improvements in organisational performance.

According to the PDCA approach, regular reviews should be conducted jointly with the stakeholders to monitor their changing needs and their satisfaction. The quality of this information and systematic analysis of feedback from stakeholders is a prerequisite for the quality of the intended results.

Examples

1. Identifying all relevant stakeholders and communicating the results to the whole organisation.
2. Systematically gathering, analysing and reviewing information about stakeholders, their needs, expectations and satisfaction.
3. Regularly gathering, analysing and reviewing relevant information about important variables such as political-legal, socio-cultural, environmental, economic, technological and demographic developments.
4. Systematically gathering relevant management information such as information on the performance of the organisation.
5. Systematically analysing internal strengths and weaknesses (e.g. TQM-diagnosis with CAF or EFQM) including threats and opportunities (e.g. SWOT analysis, risk management).

[Award a score using the Enablers Panel]

2 Sub-criterion 2.2 Develop strategy and planning, taking into account the gathered information

Developing the strategy means defining strategic objectives for the public organisation in line with the public policies, the needs of the relevant stakeholders and the vision of the leaders, including the available management information as well as information on developments in the external environment. Strategic priorities and decisions taken by the top management should ensure clear objectives on outputs and outcomes and the means to achieve them. The social responsibility of public sector organisations should be reflected in their strategy.

Planning involves a conscious and methodical approach that will guide the organisation at all

levels to achieve the strategic goals. The setting of goals and identifying of conditions that must be fulfilled to achieve strategic goals – based on a sound risk analysis and management – plays a crucial part in ensuring an effective implementation and follow up. Indicators and result-monitoring systems used in the subsequent execution phase should be defined during the planning.

It is the work-through on strategies and action plans that creates a framework for the measurement of the results to be assessed in the criteria on citizen/customers (criterion 6), people (criterion 7), eight social responsibility (criterion 8) and key performance (criterion 9).

Examples

1. Translating the mission and vision into strategic (long and medium-term) and operational (concrete and short-term) objectives and actions based on a sound risk analysis.
2. Involving stakeholders in developing strategy and planning, balancing and prioritising their expectations and needs.
3. Evaluating existing tasks in terms of outputs (the products and services provided) and outcomes (the achieved effects in society) and the quality of the strategic and operational plans.
4. Ensuring the availability of resources to develop and update the strategy of the organisation.
5. Balancing tasks and resources, long- and short-term pressures and stakeholder requirements.
6. Develop a policy on social responsibility and integrate it into the strategy and planning of the organisation.

[Award a score using the Enablers Panel]

3 Sub-criterion 2.3 Communicate and implement strategy and planning in the whole organisation and review it on a regular basis

The capacity of the organisation to deploy its strategy depends on the quality of the plans and programmes detailing the targets and results expected from each organisational level as well as from the employees. Relevant stakeholders and employees at the different organisational levels should thus be well informed of the goals and targets related to them to guarantee an effective and uniform implementation of the strategy.

The organisation has to deploy the strategy at each level of the organisation. The management should ensure that the right processes, project and programme management, and organisational structures are put into place to ensure an effective and timely implementation.

Organisations should consistently and critically monitor the implementation of their strategy and planning, adjust practices and processes when necessary, or update and customise them if needed.

Examples

1. Implementing strategy and planning by setting priorities, establishing time frames, appropriate processes and projects and the organisational structure.
2. Translating strategic and operational objectives of the organisation into relevant plans and tasks for departmental units and individuals within the organisation.
3. Developing plans and programmes with targets and results for each organisational unit with indicators establishing the level of change to be achieved (expected results).
4. Communicating effectively in order to spread goals, plans and tasks in the organisation.
5. Developing and applying methods to monitor, measure and/or evaluate at regular intervals the performance of the organisation at all levels (departments, functions, organisational chart) ensuring the strategy implementation.
6. Developing and applying methods to measure the performance of the organisation at all levels in terms of the relation between input and output (efficiency) and between output and outcome (effectiveness).
7. Assessing the need to reorganise and improve strategies and methods of planning involving stakeholders.

[Award a score using the Enablers Panel]

4 Sub-criterion 2.4

Plan, implement and review innovation and change

An effective public sector needs to innovate and change practices to deal with new expectations from citizens/customers, to enhance the quality of the service and to reduce costs.

Innovation can occur in several ways:

- by implementing innovative methods and processes for providing services or goods e.g. by involving citizens/customers in the design and delivery process;
- with new methods of managing work programmes;
- by introducing innovative services or goods that have a higher added value for citizens and customers.

The design phase is crucial: for later decisions, for the operational 'delivery' of services and for the evaluation of the innovations themselves. A prime responsibility of the management is therefore to create and communicate an open, supportive attitude towards suggestions for improvement wherever they come from.

Examples

1. Creating and developing a new culture/readiness for innovation by training, bench learning and establishment of learning labs.
2. Systematic monitoring of internal indicators/drivers for change and external demands for innovation and change.
3. Discussing the planned modernisation and innovation and their implementation with the relevant stakeholders.
4. Ensuring the deployment of an efficient change management system (e.g. project management, benchmarking and bench learning, pilot projects, monitoring, reporting on the follow-up, implementing PDCA, etc.).
5. Ensuring the availability of necessary resources to implement the planned changes.
6. Balancing between a top-down and bottom-up approach to change.
7. Promoting the use of e-Government tools in order to increase effectiveness of delivered services and to raise transparency and interaction between the organisation and the citizens/customers.

[Award a score using the Enablers Panel]

Criterion 3: People



Sub-criterion 3.1

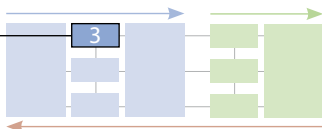
Plan, manage and improve human resources transparently with regard to strategy and planning

Sub-criterion 3.2

Identify, develop and use competencies of people aligning individual and organisational goals

Sub-criterion 3.3

Involve employees by developing open dialogue and empowerment, supporting their well-being



People are the organisation's most important asset. The organisation manages, develops and releases the competences and full potential of its people at individual and organisation-wide levels in order to support its strategy and planning and the effective operation of its processes. Respect and fairness, open dialogue, empowerment, reward and recognition, care and also providing a safe and healthy environment are fundamental to building the commitment and participation of people on the organisational journey to excellence. Managing the organisation and managing people is increasingly important in times of change. Improving leadership development, talent management and strategic workforce planning are critical since people are often the organisation's biggest investment. Effective human resource management and leadership of people allow the organisation to accomplish its strategic objectives, and to take advantage of the strengths of people and their ability to contribute to the accomplishment of strategic objectives. Successful human resource management and leadership promote people's engagement, motivation, development, and retention. In the context of total quality management, it is important to realise that only satisfied people can bring the organisation towards satisfied customers.

Assessment

Consider what the organisation is doing to...

1 Sub-criterion 3.1

Plan, manage and improve human resources transparently with regard to strategy and planning

A strategic and comprehensive approach to managing people and the workplace culture and environment is a key part of strategic planning in an organisation. Effective human resources management enables people to contribute effectively and productively to the organisation's overall mission, vision and to the accomplishment of the organisation's objectives. The sub-criterion assesses whether the organisation aligns its strategic objectives with its human resources so that they are identified, developed, deployed and improved transparently and taken into account to achieve optimum success. It questions how the organisation succeeds in attracting and retaining people capable of producing and delivering services and products in accordance with the objectives established in strategies and action plans taking into account customers' needs and expectations. It involves regular analyses of current and future human resource needs and the development and implementation of a human resources management policy with objective criteria regarding recruitment, career development, promotion, remuneration, rewards and the assignment of managerial functions.

Examples

1. Regularly analysing current and future human resource needs, taking into account the needs and expectations of stakeholders and the strategy of the organisation.
2. Developing and implementing a human resources management policy based on the strategy and planning of the organisation, taking into account the necessary

competencies for the future, as well as social considerations (e.g. flexible work time, paternity and maternity leave, sabbaticals, equal opportunities, gender and cultural diversity, employment of disabled people).

3. Ensuring that HR capability (recruitment, allocation, development) is available to achieve the mission, as well as balancing tasks and responsibilities.
4. Developing and implementing a clear policy containing objective criteria with regard to recruitment, promotion, remuneration, rewards and the assignment of managerial functions.
5. Supporting a performance culture (e.g. by implementing transparent remuneration/recognition schemes on the basis of the individual and team results achieved).
6. Using competence profiles and job and function descriptions for (a) recruiting and (b) personal development plans, for both employees and managers.
7. Showing particular attention to the human resources needed for the development and operation of e-Government and net services (e.g. by providing the necessary training and framework).
8. Managing recruitment and career development with regard to fairness of employment, equal opportunities and diversity aspects (e.g. gender, sexual orientation, disability, age, race and religion).

[Award a score using the Enablers Panel]



Sub-criterion 3.2

Identify, develop and use competencies of people aligning individual and organisational goals

An important component of criterion 3 is assessing how the organisation identifies, develops and maintains people's competencies. When the organisation creates frameworks to allow people to continually develop their own competencies, to assume greater responsibility and to take more initiative, people contribute to the development of the workplace. This can be achieved by making sure they associate their own performance goals with the strategic objectives of the organisation and also by involving them in the establishment of policies related to the training, motivation and rewarding of people. In practice this enabler can be condensed into a competency strategy describing the need to develop people's competencies and the methods to be applied (e.g. learning from the colleague, job swapping/mobility, further training).

Examples

1. Identifying current competencies of people at the individual and organisational levels in terms of knowledge, skills and attitudes, and systematically comparing them with the needs of the organisation.
2. Discussing, establishing and communicating a strategy for developing competencies. This includes a training plan based on current and future organisational and individual competency needs.
3. In line with the strategy, developing, agreeing on and reviewing personal training and development plans for all employees and/or teams, taking into account the accessibility for part-time workers as well

as people on maternity and paternity leave. The individual competency development plans may form part of an employee development interview, which can provide a forum for mutual feedback and matching expectations.

4. Developing managerial and leadership skills as well as relational competences of management regarding the people of the organisation, the citizens/customers and the partners.
5. Leading (guiding) and supporting new people (e.g. by means of mentoring, coaching, individual counselling).
6. Promoting internal and external mobility of people.
7. Developing and promoting modern training methods (e.g. multimedia approach, on the job training, e-Learning, using social media).
8. Planning of training activities and developing communication techniques in the areas of risk, conflict of interest, diversity management, gender mainstreaming and integrity or ethics.
9. Assessing the impacts of training and development programmes on the workplace and transfer of content to colleagues in relation to the costs of the activities through monitoring and cost/benefit analyses.
10. Reviewing the necessity for promoting women's careers and develop plans accordingly.

[Award a score using the Enablers Panel]



Sub-criterion 3.3

Involve employees by developing open dialogue and empowerment, supporting their well-being

People involvement is creating an environment in which people have an impact on decisions and actions that affect their jobs. It involves the creation of a culture that supports the mission, vision and values of the organisation in practice, e.g. by acknowledging and rewarding creativity, good ideas and special efforts.

The sub-criterion focuses on the ability of managers/ leaders and employees to actively cooperate in developing the organisation, breaking down organisational silos by creating dialogue, making room for creativity, innovation and suggestions for improving performance. People should be assisted in order to achieve their full potential. The proper execution of people policies depends upon all leaders and managers throughout the organisation demonstrating that they care about people issues and well-being and that they actively promote a culture of open communication and transparency. People commitment can be attained through formal forums such as consultative committees and through daily dialogue (e.g. about ideas for improvements). It is also a good practice to implement satisfaction surveys and leader assessments to obtain more specific assessments of the climate at work and to use the results to make improvements.

Examples

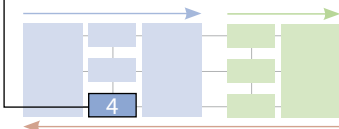
1. Promoting a culture of open communication and dialogue and the encouragement of team work.
2. Proactively creating an environment for gaining ideas and suggestions from employees and developing appropriate mechanisms (e.g. suggestion schemes, work groups, brainstorming).
3. Involving employees and their representatives (e.g. Trade Unions) in the development of plans, strategies, goals, the design of processes and in the identification and implementation of improvement activities.

4. Seeking agreement/consensus between managers and employees on goals and on ways of measuring goal achievement.
5. Regularly conducting staff surveys, publishing and giving feedback on results/ summaries/interpretations/improvement actions.
6. Ensuring that employees have an opportunity to give feedback on the quality of the management they receive from their line managers/directors.
7. Ensuring good environmental working conditions throughout the organisation including taking care of health and safety requirements.
8. Ensuring that conditions are conducive to achieving a reasonable work-life balance for employees (e.g. the possibility to adapt working hours) as well as paying attention to the need for part-time workers or people on maternity or paternity leave to have access to relevant information and be involved in appropriate organisational matters and education.
9. Paying particular attention to the needs of socially disadvantaged employees and people with disabilities.
10. Providing adapted schemes and methods for rewarding people in a non-financial way, (e.g. by planning and reviewing people's benefits and supporting social, cultural and sport activities focused on people's health and well-being).

[\[Award a score using the Enablers Panel\]](#)

Criterion 4: Partnerships and Resources

- 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
Manage technology
- Sub-criterion 4.6
Manage facilities



Public sector organisations need resources of different kinds to achieve their strategic and operational goals in line with their mission and vision, in addition to the people that are working in the organisation. They can be of a material and immaterial nature, but they all have to be managed carefully.

Partners stimulate the external focus of the organisation and bring in necessary expertise. In this way, key partnerships, e.g. private providers of services or other public organisations, but also citizen/ customers, are important resources for the good functioning of the organisation and need to be built up carefully. They support the implementation of strategy and planning and the effective operation of its processes. Public organisations are increasingly seen as part of a chain of organisations that all together are working towards a specific outcome on citizens (e.g. in the area of security or health). The quality of each of these partnerships has a direct impact on the outcome of the chain.

Besides partnerships, organisations need to manage in an efficient way the more traditional resources – such as finances, technology, facilities – to assure their effective functioning and the knowledge they need to achieve their strategic goals. Knowledge resources cover the knowledge and experience of organisation employees, its strategic partners, customers and citizens.

Well developed resource management, presented in a transparent way, is essential for public organisations to ensure accountability towards the different stakeholders on the legitimate use of the available resources.



Assessment

Consider what the organisation is doing to...

Sub-criterion 4.1

Develop and manage partnerships with relevant organisations

In our constantly changing society of growing complexity, public organisations are required to manage relations with other organisations in order to realise their strategic objectives. These can be private, non-governmental and public partners. Organisations should thus define who their relevant partners are. These partnerships can be of a different nature: suppliers of services and products, outsourced services, close partnerships on common goals, etc.

For the success of public policies in a specific domain or sector, the collaboration between public administrations of the same institutional level (e.g. federal level) but also between organisations of different institutional levels (federal, regional and local) could be crucial. Organisations should define the sector networks or policy chain they belong to and the role they play to assure the success of the whole network.

Examples

1. Identifying private, civil society and public key partners, and the nature of the relationship (e.g. purchaser - provider, supplier, co-production, complementary/substitution product provider, owner, founder, etc.)
2. Developing and managing appropriate partnership agreements taking into account the different aspects of social responsibility, such as the socio-economic and environmental impact of the delivered products and services.
3. Stimulating and organising task-specific partnerships and developing and implementing joint projects with other public sector organisations belonging to the same policy sector/chain and to different institutional levels.
4. Regularly monitoring and evaluating the implementation and results of partnerships.
5. Identifying the need for long-term public-private partnerships (PPP) and develop them where appropriate.

6. Defining each partner's responsibilities in managing partnerships including controls as well as evaluation and review.
7. Increasing organisational capacity by exploiting the possibilities of work placement.
8. Exchanging 'good practices' with partners

- and using bench learning and benchmarking.
9. Selecting providers with a socially responsible profile in the context of the public procurement.

[Award a score using the Enablers Panel]

Sub-criterion 4.2

Develop and implement partnerships with the citizens/customers

Citizens/customers play an increasingly active role as key partners in the public sector. The term citizens/customers refers to the citizens' varying role between stakeholder and service user. The involvement of citizens/customers is increasingly seen as a necessary lever for improving the efficiency and effectiveness of public organisations. Their feedback by the way of complaints, ideas and suggestions is regarded as important input towards improving services and products.

The role of the citizens/customers in general can be approached from four angles: as co-designers, co-decision makers, co-producers and co-evaluators. As **co-designers** they have an impact on what and how the public organisations want to deliver as a service in response to a specific need. As **co-decision makers** the citizens will acquire greater involvement in and ownership of the decisions that affect them. As **co-producers**, citizens themselves will be involved in the production and/or delivery cycle of services and their quality. And last but not least, as **co-evaluators** citizens will express themselves on the quality of public policies and the services they received.

In this criterion, CAF focuses on the involvement of citizens in public matters and in the development of public policies, as well as the openness to their needs and expectations. Public organisations should support citizens/customers in these roles if they want them to be played in an effective way.

Examples

1. Ensuring a proactive information policy (e.g. about how the organisation works, about the competences of the different public authorities, about the structure and processes of the organisation, etc.).
2. Actively encouraging citizens/customers to organise themselves, express their needs and requirements and supporting partner-

ships with citizens, representative citizen groups and civil society organisations.

3. Encouraging the involvement of citizens/customers and their representatives in the consultation and active participation in the decision-making processes of the organisation (co-design and co-decision) e.g. via consultation groups, surveys, opinion polls and quality circles.
4. Defining the framework to actively seek ideas, suggestions and complaints of citizens/customers, collecting them by appropriate means (e.g. surveys, consultation groups, questionnaires, complaints boxes, opinion polls, etc.). Analysing and exploiting this information, and disseminating the results.
5. Ensuring transparency concerning the organisation's functioning as well as its decision-making processes (e.g. by publishing annual reports, holding press conferences and posting information on the internet).
6. Defining and agreeing on ways to develop the role of citizen/customers as co-producers of services (e.g. in the context of waste management) and co-evaluators (e.g. through systematic satisfaction measurements).
7. Developing effective expectation management by explaining to customers what services they can expect, including a number of quality indicators e.g. through Citizens Charters.
8. Assuring updated information on how citizens'/customers' individual and social behaviour evolves, to avoid installing outdated processes of consultation or producing outdated services.

[Award a score using the Enablers Panel]

3 Sub-criterion 4.3 Manage finances

The ability of public organisations to generate additional financial resources may be limited as may be its freedom to allocate, or reallocate its funds to the services it wishes to deliver. Although public organisations often have little say in resource allocation, carefully preparing the budgets, preferably together with the financial authorities, is the first step in cost-effective, sustainable and accountable financial management. Detailed accountancy systems and internal control are necessary to continuously monitor the expenses. It is the basis for sound cost accounting, demonstrating the organisation's ability to deliver 'more and improved services for less cost' if needed, and creating the opportunity for more innovative services or products to be introduced more quickly.

Examples

1. Aligning financial management with strategic objectives in an efficient, effective and economic way.

2. Analysing risks and opportunities of financial decisions.
3. Ensuring budgetary and financial transparency.
4. Ensuring the cost-efficient, effective and economic management of financial resources by using effective financial cost accounting and controlling systems.
5. Introducing systems of budgetary and cost planning and monitoring (e.g. multi-annual budgets, programme of project budgets, energy budgets, gender/diversity budgets).
6. Delegating and decentralising financial responsibilities and balancing them with central controlling.
7. Basing investment decisions and financial control on cost/benefit-analysis, sustainability and ethics.
8. Including performance data in budget documents, such as information on output and outcome goals.

[Award a score using the Enablers Panel]



4 Sub-criterion 4.4 Manage information and knowledge

It is important to identify the organisation's information and knowledge requirements for reaching the strategic goals and preparing for the future. This necessary knowledge and information should enter the organisation in a systematic way, be shared with all the staff who need it and remain in the organisation when people leave. Employees should have prompt access to the appropriate information and knowledge they need to do their job effectively. The organisation should also ensure that it shares critical information and knowledge with key partners and other stakeholders according to their needs.

Examples

1. Developing systems for managing, storing and assessing information and knowledge in the organisation in accordance with strategic and operational objectives.
2. Ensuring that externally available relevant information is acquired, processed, used effectively and stored.
3. Constantly monitoring the organisation's information and knowledge, ensuring its relevance, correctness, reliability and security. Also aligning it with strategic planning and the current and future needs of stakeholders.

4. Developing internal channels to cascade information throughout the organisation to ensure that all employees have access to the information and knowledge relevant to their tasks and objectives (intranet, newsletter, house magazine, etc.).
5. Ensuring a permanent transfer of knowledge between staff in the organisation (e.g. mentorship, coaching, written manuals).
6. Ensuring access to and exchange of relevant information and data with all stakeholders in

a systematic and user-friendly way, taking into account the specific needs of all members of society such as elderly people, disabled people, etc.

7. Ensuring that key information and knowledge of employees is retained within the organisation in the event of their leaving the organisation.

[Award a score using the Enablers Panel]



Sub-criterion 4.5 Manage technology

ICT and other technological policies of the organisation need to be managed so that they support the strategic and operational goals of the organisation in a sustainable way. When managed strategically they can be important levers for the improvement of the performance of public sector organisations and develop e-Government. Key processes can be remarkably improved by introducing the appropriate technologies in an appropriate manner. In service provision, e-Services can render services more accessible for the customers and considerably lessen their administrative burden. Within the administration smart ICT solutions may allow for more efficient use of resources.

Examples

1. Designing technology management in accordance with the strategic and operational objectives.
2. Implementing, monitoring and evaluating the cost-effectiveness of the used technology. Time for return on investment should be short enough and there should be reliable metrics for it.
3. Ensuring a safe, effective and efficient use of the technology, with special attention to the skills of people.
4. Efficiently applying appropriate technology to e.g.:
 - manage projects and tasks;
 - manage knowledge;
 - support learning and improvement activities;
 - support interaction with stakeholders and partners;
 - support the development and maintenance of internal and external services.
5. Defining how ICT can be used to improve service delivery, e.g. using the enterprise architecture method for information management in public administration.
6. Adopting the ICT framework and resources needed to deliver intelligent and effective services online, so as to improve service delivery to the customers.
7. Being permanently attentive to technological innovations and review the policy if needed.
8. Taking into account the social-economic and environmental impact of ICT, e.g. waste management of cartridges, reduced accessibility of non electronic users.

[Award a score using the Enablers Panel]

Sub-criterion 4.6 Manage facilities

Public organisations have to evaluate at regular intervals the state of the infrastructure they have at their disposal. The infrastructure available needs to be managed in an efficient, cost-effective and sustainable way so that it serves the needs of the customers and supports the working conditions of the staff. The sustainability of the materials used in the organisation and the impact on the environment are also critical success factors for this sub-criterion, as well as for its social responsibility.

Examples

1. Balancing the cost-effectiveness of the infrastructure with the needs and expectations of staff and customers (e.g. centralisation vs. decentralisation of offices/ service points, allocation of rooms, accessibility by public transport).
2. Ensuring a safe, effective and efficient use of office facilities (e.g. open plan offices vs. individual offices, mobile offices) based on strategic and operational objectives, taking into account the needs of employees, local culture and physical constraints.
3. Ensuring an efficient, cost effective and sustainable maintenance of buildings, offices, equipment and materials used.
4. Ensuring an efficient, cost effective and sustainable use of transport and energy resources and their optimisation.
5. Ensuring appropriate physical accessibility of buildings in line with the needs and expectations of employees and citizens/ customers (e.g. disabled access, parking or public transport, etc.).
6. Developing an integrated policy for managing physical assets, including their safe recycling/disposal, e.g. by direct management or subcontracting.
7. Putting facilities at the disposal of the local community.

[Award a score using the Enablers Panel]

Criterion 5: Processes



Sub-criterion 5.1

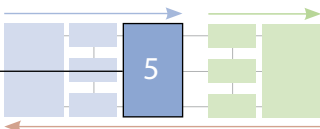
Identify, design, manage and innovate processes on an ongoing basis, involving the stakeholders

Sub-criterion 5.2

Develop and deliver citizen/customer-oriented services and products

Sub-criterion 5.3

Coordinate processes across the organisation and with other relevant organisations



Each organisation is run by many processes, each process being an organised set of inter-related activities that transform resources or inputs in an efficient way into services (outputs) and impact on society (outcomes).

A distinction can be made between three types of processes that make an organisation function effectively depending on their quality and the quality of their interactivity:

- core processes, realising the mission and strategy of the institution and thus critical to the delivery of products or services;
- management processes, steering the organisation; and
- support processes, delivering the necessary resources.

The Common Assessment Framework assesses only the key processes amongst these three types of processes, namely those that contribute effectively to achieving the mission and strategy of the organisation.

Criterion 5 deals in particular with the core processes of the organisation, while criteria 1 and 2 handle the management processes, and criteria 3 and 4 the support processes. For horizontal units such as the strategic unit, the HR and financial departments, their management or support activities are of course part of their core processes.

An effective and efficient organisation identifies its core processes, which it performs in order to deliver its services (outputs) and impact (outcomes), considering the expectations of the citizens/customers and other stakeholders, in line with its mission and strategy. The nature of these core processes in public service organisations may vary greatly, from relatively abstract activities, such as support for policy development, or regulation of economic activities, to very concrete activities of service provision.

The need to generate increasing value for its citizens/customers and other stakeholders and to raise efficiency are two of the main drivers in process development and innovation. The increasing involvement of the citizen/customer in the public administration as described in the introduction of sub-criteria 4.2 (the citizens as co-designers, co-decision makers, co-producers and co-evaluators) stimulates organisations to continuously improve their processes, taking advantage of the changing environment in many areas such as technology, economy and population.



Assessment

Consider what the organisation is doing to...

1 Sub-criterion 5.1

Identify, design, manage and innovate processes on an ongoing basis, involving the stakeholders

This sub-criterion examines how the processes support the strategic and operational goals of the organisation and how they are identified, designed, managed and innovated. How managers and people of the organisation as well as the different external stakeholders are involved in the processes of design, management and innovation is very relevant for the quality of the processes and needs to be analysed carefully.

Examples

1. Identifying, mapping, describing and documenting processes on an ongoing basis.
2. Identifying process owners (the persons who control all the steps in the process) and assigning responsibilities and competences to them.
3. Analysing and evaluating processes, risks and critical success factors, taking into consideration the objectives of the organisation and its changing environment.
4. Ensuring that the processes support the strategic goals, are planned and managed to achieve the targets established.
5. Involving employees and relevant external stakeholders in the design and improvement of processes on the basis of their measured efficiency, effectiveness and results (outputs and outcomes).
6. Allocating resources to processes based on the relative importance of their contribution to the strategic objectives of the organisation.
7. Simplify the processes on a regular basis, proposing changes in the legal requirements if necessary.
8. Setting stakeholder-oriented performance goals and implementing performance indicators to monitor the effectiveness of the processes (e.g. citizen charters, performance contracts/service level agreements).
9. Monitoring and evaluating the impact of ICT and e-Services on the organisation's processes (e.g. in terms of efficiency, quality, effectiveness).
10. Innovating processes based on regular national and international bench learning, paying careful attention to the obstacles to innovation and the necessary resources.

[Award a score using the Enablers Panel]

2 Sub-criterion 5.2

Develop and deliver citizen/customer-oriented services and products

Sub-criterion 5.2 assesses how organisations develop and deliver their services/products in order to satisfy the needs of the citizens/customers by involving them. Drawing on the expertise and creativity of citizens and civil society will foster an efficient, effective and innovative public sector, delivering adequate public services at a fair cost.

In order to enhance the quality of services and products, the role of citizens/customers at three levels can be very beneficial:

- by involving representative citizens/customers, associations or ad hoc panels of citizens in the design and evaluation of the organisations services and products (co-design, co-evaluation);
- by empowering the citizen/customer in the decision on the type of services and products to be delivered (co-decision);
- by collaborating with citizens/customers in the implementation of services and products or by empowering citizens/ customers in the realisation of services and products themselves (co-production).

2 Sub-criterion 5.2

Develop and deliver citizen/customer-oriented services and products [continued]

Co-producing services increases the sustainability of quality because the production becomes co-owned and because the way of producing becomes more visible, more understandable and therefore more legitimate and satisfying.

Examples

1. Identifying the outputs (services and products) of the core processes.
2. Involving citizens/customers in the design and improvement of services and products (e.g. by means of surveys/feedback/focus groups/inquiries concerning the suitability of services or products and whether they are effective in taking into account gender and diversity aspects).
3. Involving citizens/customers and other stakeholders in the development of quality standards for services and products (the process output), responding to their expectations and manageable by the organisation.
4. Involve citizens/customers in the delivery of services and prepare the citizens/customer as well as the civil servants for the new relation and changing roles.
5. Involving citizens/customers in the design and development of new kinds of interactive services and information delivery and effective communication channels.
6. Ensuring the availability of appropriate and reliable information, with an aim to assist and support citizens/customers as well as to inform them about implemented changes.
7. Promoting accessibility of the organisation (e.g. flexible opening hours and documents in a variety of formats e.g. on paper as well as an electronic version, appropriate languages, posters, brochures, Braille and audio notice boards).
8. Developing sound response query handling and complaint management systems and procedures.

[Award a score using the Enablers Panel]

3 Sub-criterion 5.3

Coordinate processes across the organisation and with other relevant organisations

This sub-criterion assesses how well the processes are coordinated within the organisation and with the processes of other organisations functioning within the same service chain. The effectiveness of public organisations often largely depends on the way they collaborate with the other public organisations, with whom they form a kind of a service delivery chain, oriented to a common outcome. Cross-functional processes are common in public administration. It is vital to successfully integrate the management of such processes, since the effectiveness and efficiency of processes greatly depend on that integration.

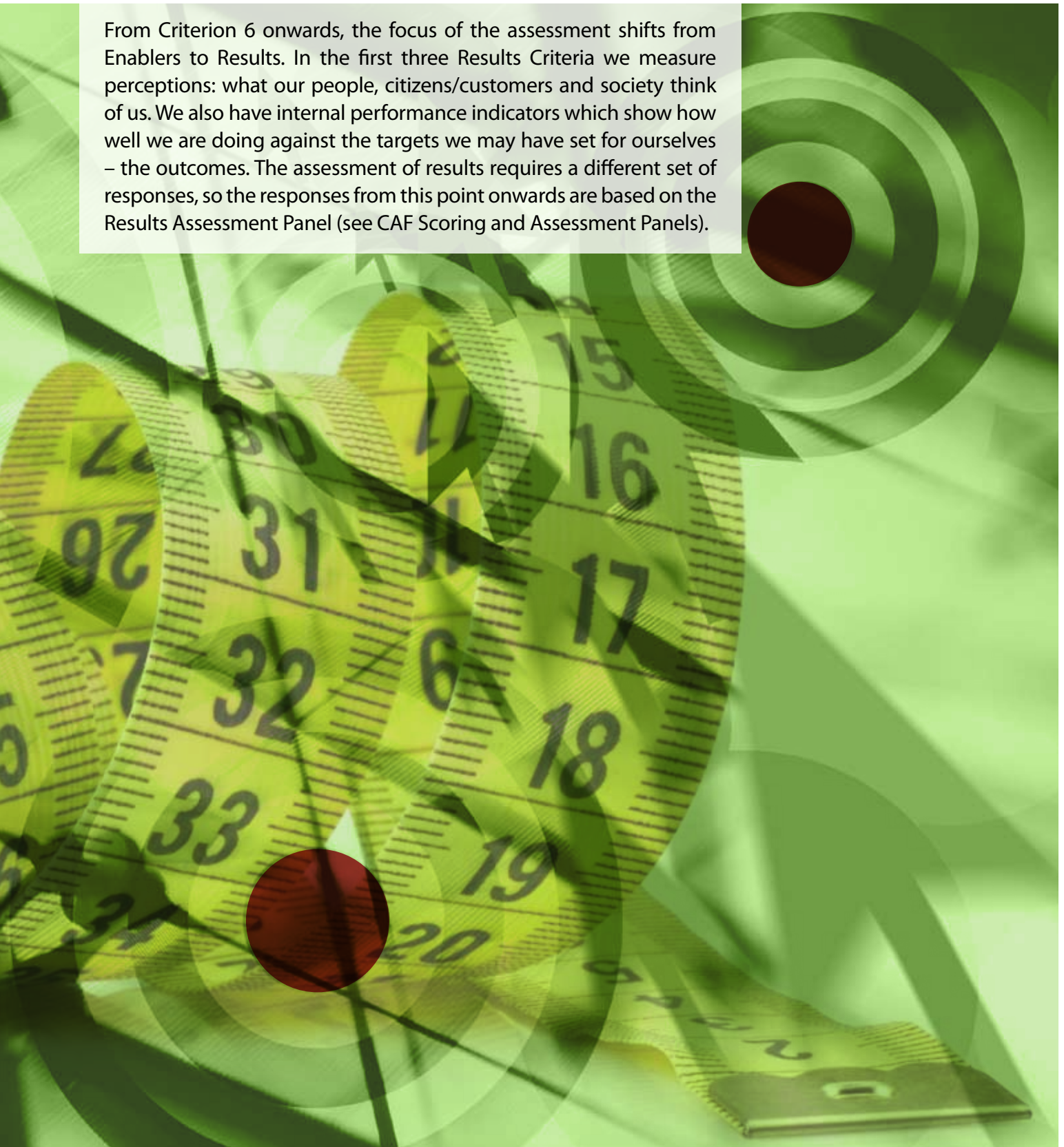
Examples

1. Define the service delivery chain to which the organisation belongs and its partners.
2. Coordinating and linking processes to key partners in the private, NGO and public sector.
3. Develop a common system with partners in the service delivery chain to facilitate data exchange.
4. Undertake citizen/customer journeys across different organisations to learn about better coordination of processes and overcome organisational boundaries.
5. Creating task forces across organisations/service providers to tackle problems
6. Build in incentives (and conditions) for management and employees to create cross-organisational processes (e.g. shared services and common process development between different units).
7. Create a culture for working across borders in the process management, getting out of the silos thinking, coordinating processes across the organisation or developing cross organisational processes (e.g. undertake self-assessment for the whole organisation rather than different units).

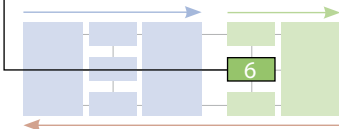
[Award a score using the Enablers Panel]

Results Criteria

From Criterion 6 onwards, the focus of the assessment shifts from Enablers to Results. In the first three Results Criteria we measure perceptions: what our people, citizens/customers and society think of us. We also have internal performance indicators which show how well we are doing against the targets we may have set for ourselves – the outcomes. The assessment of results requires a different set of responses, so the responses from this point onwards are based on the Results Assessment Panel (see CAF Scoring and Assessment Panels).



Criterion 6: Citizen/Customers-oriented Results



The term citizen/customer reflects the complex relationship between the administration and its public. The person to whom the services are addressed has to be considered as a **citizen**, a member of a democratic society with rights and duties (e.g. tax payer, political actor, etc.). The person should also be considered as a **customer**, not only in the context of service delivery where he adopts the position of a beneficiary of services, but also in a context where he has to fulfil duties (taxpayer or payment of fines), where he has the right to be treated with fairness and courtesy without neglecting the interests of the organisation. Since the two cases are not always clearly separable, this complex relationship will be described as a citizen/customer relationship.

Citizens/customers are the recipients or beneficiaries of the activity, products or services of the public sector organisations. Citizens/customers need to be defined, but not necessarily restricted to only the primary users of the services provided.

Criterion 6 describes the results the organisation is achieving in relation to the satisfaction of its citizens/customers with the organisation and the products or services it provides. CAF distinguishes between perception and performance results. It is important for all kinds of public sector organisations to directly measure the satisfaction of their citizens/customers (perception results). Furthermore performance results have to be measured. Here, additional information about the citizens' and customers' satisfaction is collected by measuring internal indicators. Working on increasing the results of internal indicators should lead to higher satisfaction of the customers/citizens.

Assessment

Consider what the organisation has achieved to meet the needs and expectations of customers and citizens through the results of...

Sub-criterion 6.1 Perception measurements

The direct measurement of the satisfaction or perception of the citizens and customers is of essential importance. Measuring the perception of citizens and customers means directly asking them and getting direct feedback and information on different aspects of the organisation's performance. Following the principle of evidence-based management, it is not the organisation making assumptions on the satisfaction level; instead, direct information from the customer/citizen themselves provides the objective information. In most cases this is done by customer or citizen surveys. Complementary tools such as focus groups or users panels are also used. This sub-criterion assesses whether the organisation performs these measurements and shows the results of these measurements.

Examples

Result of perception measurement regarding:

1. The overall image of the organisation and the public reputation (e.g. friendliness, fairness of treatment, openness, clarity of the provided information, the employees' willingness to listen, the reception, flexibility and ability to address individual solutions, etc.).
2. Involvement and participation of the citizen/customer in the working and decision-making process of the organisation.
3. Accessibility (e.g. accessibility with public transport, disabled access, opening and waiting times, one-stop-shops, cost of the services, etc.).

4. Transparency (e.g. on functioning of the organisation, of the explanation of the applicable legislation, and decision-making processes).
5. Products and services (e.g. quality, reliability, compliance with quality standards, processing/providing time, quality of advice given to the customers/citizens, environmental approach).
6. The organisation's differentiation of services related to different needs of customers (e.g. gender, age, etc.).
7. The available information: quantity, quality, reliability, transparency, readability, appropriateness for the target group, etc.
8. The good receipt of the information by the citizen/customer.
9. The frequency of citizens/customers opinion survey on the organisation.
10. Level of public trust towards the organisation and its products/services.

[\[Award a score using the Results Panel\]](#)

2 Sub-criterion 6.2 Performance measurements

Besides the direct measurement of citizen and customer perception, the quality of services delivered to citizens and customers can be measured by internal indicators. Here, measurable results of internal management indicators (e.g. processing time, waiting time, number of complaints) are used. Based on these measurements lessons about the quality of the service delivery can be learnt. CAF gives an overview of examples for internal indicators which measure the performance in order to fulfil the needs and expectations of customers and citizens.

Examples

Results regarding the involvement

1. Extent of involvement of stakeholders in the design and the delivery of services and products and/or the design of decision-making processes.
2. Number of suggestions received and implemented.
3. Extent of use of new and innovative ways in dealing with citizens/customers.
4. Indicators of complying with gender aspects and cultural and social diversity regarding citizens/customers.
5. Extent of regular reviews jointly with the stakeholders to monitor their changing needs and the degree to which they are satisfied.

Results of accessibility of the organisation

1. Opening hours of the different services (departments).
2. Waiting time
Handling/processing time of service delivery.
3. Cost price of the services.
4. Availability of information concerning management responsibilities of the different services.

Results regarding the transparency of the delivery of services and products

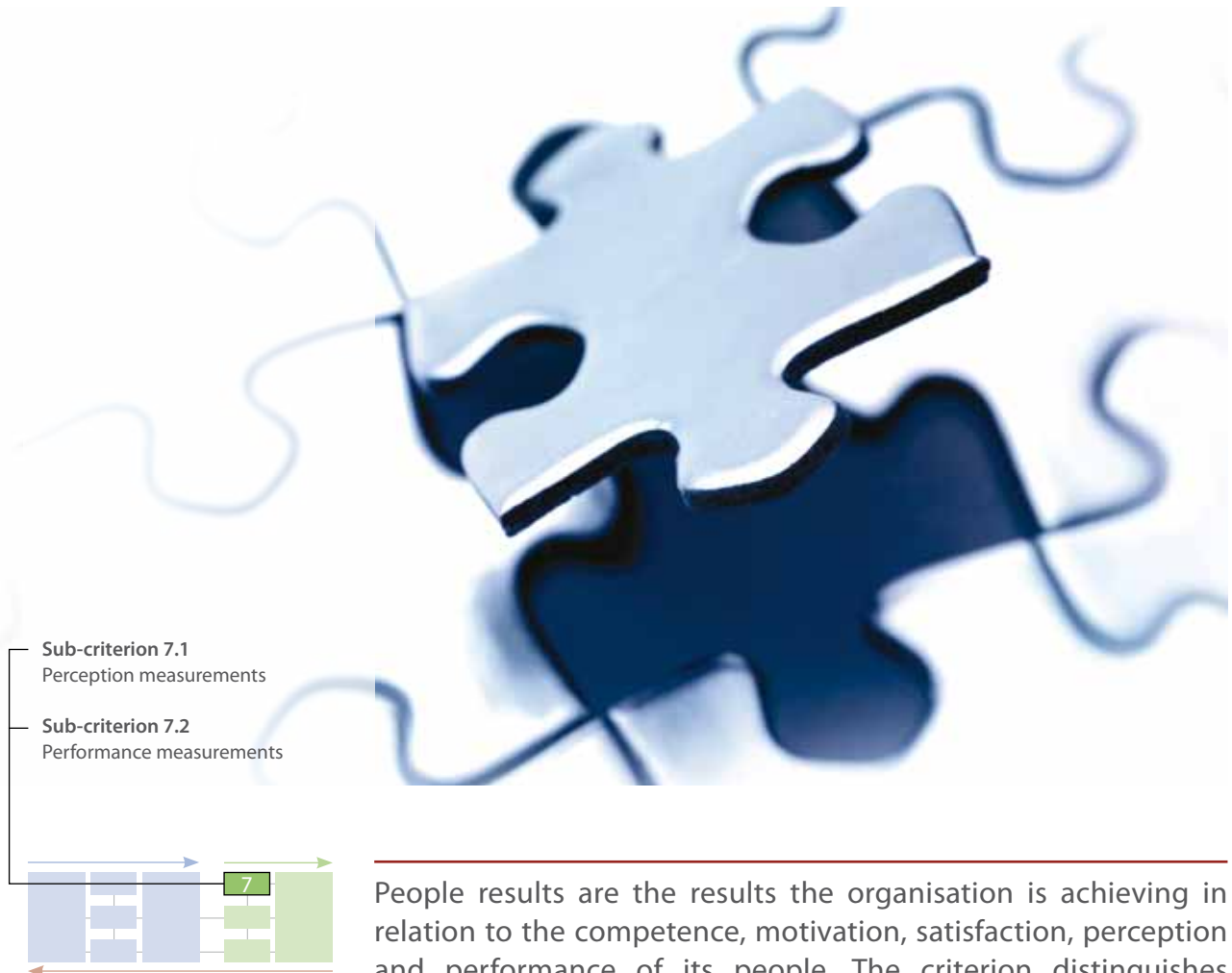
1. Number of information channels and their efficiency.
2. Availability and accuracy of the information.
3. Availability of performance goals and results of the organisation.
4. Number of interventions by the ombudsman.
5. Extent of efforts to improve availability, accuracy and transparency of information.

Results of indicators regarding the quality of products and service delivery

1. Number and processing time of complaints.
2. Number of files returned back with errors and/or cases requiring repeated processing/compensation.
3. Adherence to published service standards (e.g. legislative requirements).

[\[Award a score using the Results Panel\]](#)

Criterion 7: People Results



People results are the results the organisation is achieving in relation to the competence, motivation, satisfaction, perception and performance of its people. The criterion distinguishes two kinds of people results: on the one hand **perception measurements** where the people are asked directly (e.g. via questionnaires, surveys, focus group, appraisals, interviews, consultation of staff representatives), and on the other hand **performance measurements** used by the organisation itself to monitor and improve people satisfaction and performance results.

Assessment

Consider what the organisation has achieved to meet the needs and expectations of its people through the results of...

Sub-criterion 7.1

Perception measurements

The sub-criterion assesses whether people perceive the organisation as an attractive workplace and whether they are motivated in their everyday work to do their best for the organisation. It is important for all public sector organisations to systematically measure people's perception of the organisation and the products and services the organisation provides.

Examples

Results regarding the overall perception of people of:

1. The image and the overall performance of the organisation (for society, citizens/customers, other stakeholders).
2. People's involvement in the organisation, the decision-making process and their awareness of its mission, vision and values.
3. People's involvement in improvement activities.
4. People's awareness of possible conflicts of interest and importance of ethical behaviour.
5. Mechanisms of consultation and dialogue.
6. The organisation's social responsibility.

Results regarding the perception of the management and management systems:

1. The organisation's top and middle management's ability to steer the organisation (e.g. setting goals, allocating resources, evaluating the global performance of the organisation, HRM strategy, etc.) and to communicate about it.

2. The design and management of the different processes of the organisation.
3. The division of tasks and the evaluation system regarding people.
4. The extent and the quality to which individual and team efforts are recognised.
5. The organisation's approach to changes and innovations.

Results regarding the perception of the working conditions:

1. The working atmosphere (e.g. how to deal with conflicts, grievances or personnel problems, mobbing in the workplace) and the organisation's culture (e.g. the promotion of transversality between departments, units, etc.).
2. The approach to social issues (e.g. flexibility of working hours, work-life balance, health protection).
3. The handling of equal opportunities and fairness of treatment and behaviour in the organisation.
4. The layout of the workplace and environmental working conditions.

Results regarding the perception of the career and skills development:

1. Systematic career and competency development.
2. Encouragement and empowerment.
3. The access to and quality of training in relation to the strategic objectives of the organisation.

[Award a score using the Results Panel]

2 Sub-criterion 7.2 Performance measurements

Performance measurements are comprised of internal people-related performance indicators that enable the organisation to measure the results achieved regarding people's overall behaviour, their performance, the development of skills, their motivation and their level of involvement in the organisation. Such results typically include internal measurements of the behaviour people display in practice (e.g. sick leave, staff turnover, number of staff complaints, number of proposals for innovation, etc.)

Examples

Results of:

1. Indicators regarding people's behaviour (e.g. levels of absenteeism or sickness, rates of staff turnover, number of complaints, number of days on strike).
2. Indicators regarding motivation and involvement (e.g. response rates for staff surveys, number of proposals for innovation, participation in internal discussion groups).
3. Indicators regarding (personal) performance (e.g. results of the evaluation of people).
4. The level of involvement in improvement activities.
5. Level of use of information and communication technologies.
6. Indicators regarding skills development (e.g. participation and success rates in training activities, effectiveness of training budgets).
7. Indicators regarding people's ability to deal with citizens/customers and to respond to their needs (e.g. number of employee training hours concerning citizen/customer relationship management, number of complaints of citizens/customers concerning the behaviour of staff, measurement of people's attitude towards citizens/customers, etc.).
8. Frequency of recognising individuals and teams.
9. Number of ethical dilemmas (e.g. possible conflicts of interest) reported.
10. The frequency of voluntary participation in the context of activities related to social responsibility, promoted by the organisation.

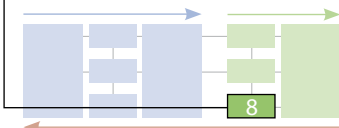
[\[Award a score using the Results Panel\]](#)

Criterion 8: Social Responsibility Results



Sub-criterion 8.1
Perception measurements

Sub-criterion 8.2
Performance measurements



The main mission of a public organisation is always dedicated to satisfying a category of needs and expectations of the society. Beyond its main mission, a public organisation should adopt responsible behaviour in order to contribute to sustainable development in its economic, social and environmental components, related to the local, national and international community. This may include the organisation's approach and contribution to quality of life, protection of the environment, preservation of global resources, equal employment opportunities, ethical behaviour, involvement with communities and the contribution to local development.

The main feature of social responsibility translates the will of the organisation, on the one hand, to integrate social and environmental aspects in its decision-making considerations (criterion 2), and on the other hand, to be able to respond to the impact of its decisions and activities on society and the environment. Social responsibility should be an integral part of the strategy of the organisation. Strategic objectives should be checked in terms of social responsibility in order to avoid unintended consequences.

The performance of an organisation towards the community in which it operates (local, national or international) and its impact on the environment have become a critical component of the measurement of its overall performance. An organisation working on its social responsibility will:

1. improve its reputation and image to the citizens as a whole;
2. improve its ability to attract and retain staff members and maintain motivation and commitment of its staff;
3. improve its relations with companies, other public organisations, the media, suppliers, citizens/customers and the community in which it exists.

The measures cover both qualitative/quantitative measures of perception (8.1) and quantitative indicators (8.2). They can be related to:

- ethical, democratic and participative behaviour of the organisation;
- environmental sustainability;
- quality of life;
- economic impact as effects of organisational behaviours.

Assessment

Consider what the organisation is achieving regarding its social responsibility, through the results of...

1 Sub-criterion 8.1 Perception measurements

Perception measurements focus on the perception of the community of the performance of the organisation on a local, national or international level. This perception can be obtained through different sources, including surveys, reports, public press meetings, NGOs, CSOs (civic service organisations), direct feedback from stakeholders and the neighbourhood, etc.

The perception gives an indication of the effectiveness of the social and environmental strategies. It includes the view on transparency, the impact on the quality of life and quality of

democracy, the view about ethical behaviour to support the citizens, the approach and results on environmental issues, etc.

Examples

1. Public awareness of the impact of the organisation's performance on the quality of citizens'/customers' life (e.g. health education, support of sport and cultural activities, participation in humanitarian operations, specific actions towards disadvantaged people, cultural activities open to the public, etc.).

2. Reputation of the organisation (e.g. as an employer/contributor to local/global society).
3. Perception of the economic impact on society at the local, regional, national or international level (e.g. the creation/attraction of small business activities in the neighbourhood, creation of public roads or public transport that also serve existing economic actors).
4. Perception of the approach to environmental issues (e.g. perception of the ecological footprint, energy management, reduced electricity and water consumption, protection against noise and air pollution, stimulating mobility by public transport, waste management of potentially toxic waste).
5. Perception of the social impact regarding sustainability at the local, regional, national or international level (buying fair trade products, reusable products, renewable energy production, etc.).
6. Perception of the social impact, taking into account the quality of democratic participation of citizens at the local, regional, national or international level (e.g. open conferences, consultation and decision-making processes about the possible impact of the organisation on safety, mobility).
7. Public's view about the organisation's openness and transparency, ethical behaviour (strict respect for the principles/values of public services such as equality, continuity, etc.).
8. Perception of the involvement in the community in which the organisation is imbedded, through financial or other support, by organising cultural or social events, etc.
9. The perception of the institution in the media coverage received regarding its social responsibility.

[Award a score using the Results Panel]

Sub-criterion 8.2 Performance measurements

Performance measurements focus on the measures used by the organisation to monitor, understand, predict and improve the performance regarding its social responsibility. It should give a clear indication of the effectiveness of the approaches of the organisation on societal issues. They can consider the ethical behaviour, the initiatives and results of prevention of health risks, the initiatives to exchange knowledge, the initiatives to preserve the resources and reduce the environmental impact, etc.

Examples

Indicators on social responsibility

1. Organisation's activities to preserve and sustain resources (e.g. the presence of providers with socially responsible profile, degree of compliance with environmental standards, use of recycled materials, use of environmentally friendly modes of transport, reduction of nuisance, threats and noise, reduction in use of utilities e.g. water, electricity, gas).
2. Quality of the relationship with relevant authorities, groups and community representatives.
3. Amount and importance of positive and negative media coverage (number of articles, content).
4. Support dedicated to socially disadvantaged citizens (e.g. estimation of the cost price of this help, the number of beneficiaries).
5. Support as an employer for a policy on diversity and on integration and acceptance of ethnic minorities and disadvantaged people (e.g. organising specific programmes/projects to employ ethnic minorities).
6. Support for international development projects and participation of employees in philanthropic activities.
7. Support for civic engagement of citizens/customers, other stakeholders and employees.
8. Productive exchange of knowledge and information with others (number of open conferences organised, number of interventions in national and international colloquia).
9. Programmes to prevent health risks and accidents for citizens/customers and employees (number and type of prevention programmes, assistance in the fight against smoking, healthy food education, the number of beneficiaries and the relation to cost/quality of these programmes).
10. Result of social responsibility measurement (e.g. extra-financial rating).

[Award a score using the Results Panel]

Criterion 9: Key Performance Results

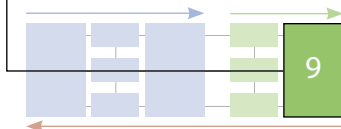


Sub-criterion 9.1

External results: outputs and outcomes to goals

Sub-criterion 9.2

Internal results: level of efficiency



Key performance results relate to whatever the organisation has determined as essential, measurable achievements for the success of the organisation in the short and longer term. They represent the capacity policies and processes to reach goals and objectives as defined in the institution's mission, vision and strategic plan. Criterion 9 focuses on the organisation's abilities to achieve these key performance results.

Key performance results can be divided into:

1. **External results: outputs and outcomes to goals**, focusing on the link with/between the mission and vision (Criterion 1) strategy and planning (Criterion 2), processes (Criterion 5) and the achieved results for the external stakeholders.
2. **Internal results: level of efficiency**, focusing on the link with people (Criterion 3), partnerships and resources (Criterion 4) and processes (Criterion 5), and the achieved results in building up the organisation towards excellence.

Assessment



Consider the results being achieved by the organisation, in relation to...

1 Sub-criterion 9.1

External results: outputs and outcomes to goals

The external results are the measures of the effectiveness of the organisation's strategy in terms of the capacity to satisfy the expectations of the external stakeholders, in line with the organisation's mission and vision. Any public sector organisation should assess to what extent its key activity goals are achieved, as defined in the strategic plan in terms of outputs – services and products – and outcomes – impact of the organisation's core activities on external stakeholders and on society, in order to be able to improve its performance in an effective way.

Examples

1. Results in terms of output (quantity and quality in the delivery of services and products).

2. Results in terms of outcome (the effects of the delivered output of services and products in society, and on the direct beneficiaries).
3. The level of quality of services or products delivered in relation to standards and regulations.
4. Degree of achievement of contracts/agreements between authorities and the organisation.
5. Results of inspections and audits on outputs and outcomes.
6. Results of benchmarking (comparative analysis) in terms of outputs and outcomes.
7. Results of the innovation of services/goods on the improvement of the outcome.

[Award a score using the Results Panel]

2 Sub-criterion 9.2

Internal results: level of efficiency

The internal results are related to the efficiency, the effectiveness of internal processes and the economy measures of the functioning of the organisation. They consider its process management (e.g. productivity, cost effectiveness or defectiveness), financial performance (effective use of financial resources, conformity with the budget), the effective use of resources (partnerships, information, technology, etc.), the capacity to involve the stakeholders in the organisation, and the results of the internal inspections and audits.

Examples

1. The response of leaders to results and findings of measurements, including risk management.
2. Efficiency of the organisation in managing the available resources, including the HRM, knowledge management and facilities in an optimal way (input versus output).
3. Results of performance improvements and innovations of products and services.
4. Results of benchmarking (comparative analysis).

Sub-criterion 9.2

Internal results: level of efficiency [continued]

5. Effectiveness of partnerships (e.g. degree of achievement of partnership agreements, joint activities).
6. Added value of using information and communication technology to increase efficiency, diminish administrative burden, improve quality of service delivery (e.g. reduced costs, less paperwork, working together with other providers, interoperability, time saving).
7. Results of measurements by inspections and audits on the functioning of the organisation.
8. Results of participation in competitions, quality awards and the quality management system certification (Excellence Awards, etc.).
9. Budgets and financial target fulfilment.
10. Results of inspections and audits on the financial management.
11. Cost effectiveness (outcomes achieved at the lowest possible cost).

[Award a score using the Results Panel]



CAF Scoring and Assessment Panels



Why score?

Allocating a score to each sub-criterion and criterion of the CAF model has four main aims:

1. to provide information and give an indication on the direction to follow for improvement activities;
2. to measure your own progress, if you carry out CAF assessments regularly, each year or every two years, considered to be good practice according to most Quality approaches;
3. to identify Good Practices as indicated by high scoring for Enablers and Results. High scoring of Results are usually an indication of the existence of Good Practices in the Enablers field;
4. to help to find valid partners to learn from (Benchmarking: How we compare; and Bench learning: What we learn from each other).

With regard to bench learning however, it should be noted that comparing CAF scores has limited value and carries a risk, particularly if it is done without experienced external assessors trained to validate the scores in a homogeneous way in different public organisations. The main aim of bench learning is to compare the different ways of managing the enablers and achieving results. The scores, if validated, can be a starting point in this regard. That is how bench learning can contribute to improvement.

How to score?

CAF provides two ways of scoring: the PDCA cycle is the fundament of both. The 'classical' CAF scoring gives a global appreciation of each sub-criterion by indicating the PCDA phase in which the sub-criterion finds itself. The 'fine-tuned' CAF scoring is suitable for

organisations that wish to reflect in more detail on the analysis of the sub-criteria. It allows you to score – for each sub-criterion – all phases of the PDCA (PLAN, DO, CHECK, ACT) cycle simultaneously.

1. CAF classical scoring

This cumulative way of scoring helps the organisation to become more acquainted with the PCDA-cycle and directs it more positively towards a quality approach.

In the enablers assessment panel the PDCA phase is in place only when bench learning activities are part of the continuous improvement cycle.

In the results assessment panel a distinction is made between the trend of the results and the achievement of the targets.

2. CAF fine-tuned scoring

The fine-tuned scoring is a simultaneous way of scoring closer to the reality where e.g. many public organisations are doing things (DO) but sometimes without enough planning (PLAN).

- In the enablers panel, the emphasis lays more on the PDCA as a cycle and progress can be represented as a spiral where in each turn of the circle improvement may take place in each phase: PLAN, DO, CHECK and ACT.
- Bench learning activities are normally taken into account at the highest level of all the phases.
- This way of scoring gives more information on the areas where improvement is mostly needed.
- The results panel shows you if you have to accelerate the trend or focus on the targets achievement.

Assessment Panels:

Classical scoring

PHASE	ENABLERS PANEL - CLASSICAL SCORING	SCORE
	We are not active in this field, we have no information or very anecdotal.	0-10
PLAN	We have a plan to do this.	11-30
DO	We are implementing / doing this.	31-50
CHECK	We check / review if we do the right things in the right way.	51-70
ACT	On the basis of checking / reviews we adjust if necessary.	71-90
PDCA	Everything we do, we plan, implement, check and adjust regularly and we learn from others. We are in a continuous improvement cycle on this issue.	91-100

Instructions

- Choose the level that you have reached: PLAN, DO, CHECK or ACT. This way of scoring is cumulative: you need to have accomplished a phase (e.g.: CHECK) before reaching the next phase (e.g.: ACT).
- Give a score between 0 and 100 according to the level that you have reached inside the phase. The scale on 100 allows you to specify the degree of deployment and implementation of the approach.

RESULTS PANEL - CLASSICAL SCORING	SCORE
No results are measured and/or no information is available.	0-10
Results are measured and show negative trends and/or results do not meet relevant targets.	11-30
Results show flat trends and/or some relevant targets are met.	31-50
Results show improving trends and/or most of the relevant targets are met.	51-70
Results show substantial progress and/or all the relevant targets are met.	71-90
Excellent and sustained results are achieved. All the relevant targets are met. Positive comparisons with relevant organisations for all the key results are made.	91-100

Instructions

- Give a score between 0 and 100 for each sub-criterion on a scale divided in 6 levels.
- For each level, you can take into account either the trend, the achievement of the target, or both.





Assessment Panels:

Fine-tuned scoring

ENABLERS PANEL - FINE-TUNED SCORING								
	SCALE	0-10	11-30	31-50	51-70	71-90	91-100	Tot.
PHASE	EVIDENCE	No evidence or just some ideas	Some weak evidence, related to some areas	Some good evidence related to relevant areas	Strong evidence related to most areas	Very strong evidence related to all areas	Excellent evidence, compared with other organisations, related to all areas	
PLAN	Planning is based on stakeholders' needs and expectations. Planning is deployed throughout the relevant parts of the organisation on a regular basis.							
	Score							
DO	Execution is managed through defined processes and responsibilities and diffused throughout the relevant parts of the organisation on a regular basis.							
	Score			Areas of improvement				
CHECK	Defined processes are monitored with relevant indicators and reviewed throughout the relevant parts of the organisation on a regular basis.							
	Score							
ACT	Correction and improvement actions are taken following the check results throughout the relevant parts of the organisation on a regular basis.							
	Score							

Instructions for each sub-criterion

- Read the definition of each phase (PLAN, DO, CHECK and ACT);
- Find evidence of strengths and weaknesses and give a global judgement for each phase in the appropriate box. This judgement can be illustrated by some examples or evidence in order not to overcomplicate the scoring exercise. However, those who want to go further can put all the examples or evidence in the different boxes of the four phases and calculate the average for each phase.

RESULTS PANEL - FINE-TUNED SCORING						
SCALE	0-10	11-30	31-50	51-70	71-90	91-100
TRENDS	No measurement	Negative trend 	Flat trend or modest progress 	Sustained progress 	Substantial progress 	Positive comparison with relevant organisations for all results
SCORE						
TARGETS	No or anecdotal information	Results do not meet targets	Few targets are met	Some relevant targets are met	Most of the relevant targets are met	All the targets are met
SCORE						

Instructions

- Consider separately the trend of your results for 3 years and the targets achieved in the last year.
- Give a score for the trend between 0 and 100 on a scale divided in 6 levels.
- Give a score for the targets achievement of the last year between 0 and 100 on a scale divided in 6 levels.

Examples:

Fine-tuned scoring

Sub-criterion 1.1

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

EXAMPLE ENABLERS PANEL - FINE-TUNED SCORING - SUB-CRITERION 1.1

	SCALE	0-10	11-30	31-50	51-70	71-90	91-100	Tot.
PHASE	EVIDENCE	No evidence or just some ideas	Some weak evidence, related to some areas	Some good evidence related to relevant areas	Strong evidence related to most areas	Very strong evidence related to all areas	Excellent evidence, compared with other organisations, related to all areas	
PLAN	Planning is based on stakeholders' needs and expectations. Planning is deployed throughout the relevant parts of the organisation on a regular basis.			1b				
	Score			50				50
DO	Execution is managed through defined processes and responsibilities and diffused throughout the relevant parts of the organisation on a regular basis.			1a				
	Score			40				40
CHECK	Defined processes are monitored with relevant indicators and reviewed throughout the relevant parts of the organisation on a regular basis.					1c		
	Score					85		85
ACT	Correction and improvement actions are taken following the check results throughout the relevant parts of the organisation on a regular basis.	1d						
	Score	5						5

Synthesis of the evidence emerged in self-assessments (starting points for improvement planning and basis for scoring).

1a A vision and a mission for the administration was elaborated three years ago. It was requested by the director general and the discussion involved all the first line managers. An elegant, coloured card with the vision and mission statement was distributed to all employees.

1b Nothing has been done yet in the area of values statement and code of conduct. The Human Resources Manager has developed a project to this end. Middle management will be invited to a seminar to reflect together on the values of the organisation. The values will be crystallised into teaching what positions have to be taken in difficult situations.

1c Employees, customers/citizens and other stakeholders have not been involved up to now in the vision and mission definition process. However, awareness of the importance of such involvements arose two years ago, when some managers of our administration participated in TQM Seminars, particularly one dedicated to the CAF model. The decision was then taken to make internal and external surveys to collect employees' and citizens perceptions. Results indicated that middle managers and employees considered the vision and mission as 'image' statements, totally detached from reality and that the objectives quite often did not seem in tune with such statements. As far as customers are concerned, surveys indicated that alignment of management perceptions with customer perceptions is needed. Meetings with managers and employees and with representatives of citizens have been planned and will take place soon. The decision was also taken to conduct employees and

customer surveys every year. An administration wide self-assessment is also being planned.





1d The above mentioned surveys should guarantee that in the future the vision and mission statements will be periodically reviewed and updated taking into accounts customer/stakeholder needs and expectations; that employee's involvement will increase as well as communication within the organisation.

The above findings have been placed in the Enabler Matrix, to help elaborate a global scoring for the sub-criterion: Notice: that does not necessarily mean giving scores to the individual examples; the blank boxes of the matrix are used as a memo pad, to pass from the evidence collected during the sub-criterion assessment to a global sub-criterion scoring, and to guide the discussion in the consensus meeting.

Sub-criterion 9.1

External results: outputs and outcomes to goals

EXAMPLE RESULTS PANEL - FINE-TUNED SCORING - SUB-CRITERION 9.1

SCALE	0-10	11-30	31-50	51-70	71-90	91-100
TRENDS	No measurement	Negative trend 	Flat trend or modest progress 	Sustained progress 	Substantial progress 	Positive comparison with relevant organisations for all results
SCORE			45			
TARGETS	No or anecdotal information	Results do not meet targets	Few targets are met	Some relevant targets are met	Most of the relevant targets are met	All the targets are met
SCORE				65		

Synthesis of the evidence emerged in self-assessments (starting points for improvement planning and basis for scoring).

In preparation on the strategic meeting in the beginning of the new working year, a report was prepared for the board of directors on the key performance results of last year in order to

optimise the strategic planning for the next year. The conclusions of the report were clear: the performance's goals were met for more than 50% and in comparison with the year before a progress of 10% was established. The appreciation of these conclusions was far from unanimous and led to intensive discussions among the members of the board.

Guidelines for Improving Organisations using CAF

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

The process of continuous improvement can be designed and carried out in a number of ways. The size of the organisation, the culture and prior experience with Total Quality Management tools are some of the parameters that help to determine what the most appropriate way of launching the TQM approach will be.

In this chapter we have identified a 10-step process of continuous improvement with CAF that may be considered relevant to most organisations.

It is important to emphasise that the advice given here is based on the experience of the many organisations that have used CAF. However, each improvement process is unique and therefore this description should be seen as an inspiration for the people responsible for the process of self-assessment rather than as a precise manual for the process.

After this process of applying the CAF and launching improvement actions, CAF users can apply for the CAF External Feedback Procedure. The process of applying CAF plays a crucial role in this feedback procedure. For CAF users who want to have a more detailed view of the different steps in the CAF process and to be fully aware of the elements which CAF users are assessed upon during the Feedback Procedure, we recommend consulting the Feedback Manual on the CAF website.

Phase 1: The start of the CAF journey

1

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

A high level of commitment and shared ownership between the senior management and the people of the organisation are the most crucial elements in securing the success of the self-assessment process.

In order to gain commitment and ownership, the experience of many organisations shows that a clear management decision through a sound consultative process with the stakeholders of the organisation is necessary. This decision should clearly illustrate the willingness of the management to be actively involved in the process by recognising the added value of the self-assessment and guaranteeing the openness of mind, respect for the results and readiness to start improvement actions afterwards. It also includes the commitment to set aside the resources needed to carry out the self-assessment in a professional way.

Knowledge about the potential benefits of a CAF-self-assessment and information about the structure of the model and the process of self-assessment are necessary elements in providing management with a basis for decision-making. It is very important for all managers to be convinced of these benefits from the outset.

Survey 2011 – Reasons for using CAF

The most important reasons are all internal drivers. Identifying strengths and areas for improvement were the most significant causes; suffering financial stress is the least important driver. These are exactly the same findings as in 2005. Organisations want to use CAF in the first instance for themselves, and to improve their organisations – which is exactly the purpose of a self-assessment tool.

In this phase it is vital that one or more persons in the organisation take responsibility for securing these basic principles. A good idea is to contact the organisation responsible for dissemination of CAF in your country (for information on this see www.eipa.eu/caf) and either ask them to make a presentation of the CAF model or get information on/from other organisations

that have already used the model and who are willing to share their experiences.

In order for the people from the organisation to support the process of self-assessment, it is important that consultation takes place before the final decision about carrying out self-assessment has been made. Apart from the general benefits of carrying out self-assessment, experience shows that many people find CAF to be an excellent opportunity to gain more insight into their organisation, and that they want to be actively involved in its development.

For some organisations it may also be relevant to seek the acceptance or approval of external stakeholders before deciding to carry out self-assessment. This may be the case with politicians or senior management of higher level organisations who are traditionally closely involved in management decision-making. Key external stakeholders may have a role to play, particularly in data collection and processing information, and they can also potentially benefit from changes regarding some of the areas of improvement that may be identified.

Initial planning of the self-assessment

Once a decision has been made to carry out self-assessment the planning process can start. One of the first elements – which may have been included in the management decision – is the definition of the scope and the approach of self-assessment.

A frequently asked question is whether the self-assessment has to cover the whole organisation or if separate parts, such as units or departments, can undertake self-assessment. The answer is that separate parts can perform self-assessment, but in order to assess all criteria and sub-criteria in a meaningful way, they should have enough autonomy to be considered as a mainly autonomous organisation with a proper mission and significant responsibility for human resources and financial processes. In such cases the relevant supplier/customer relations as well as stakeholder relations between the selected unit and the remaining part of the organisation should be assessed.

It is recommended to include in the management decision the choice of the scoring panel to be used. Two ways of scoring are offered. An organisation should choose depending on the time available to invest in scoring and on its level of experience and maturity.

A very important action by top management to undertake in this phase is the appointment of a **project leader** for the self-assessment process. Tasks that are normally performed by the project leader include:

- detailed planning of the project, including the communication process;
- communication and consultation with all stakeholders regarding the project;
- organising training of the self-assessment group;
- gathering of supporting documents and evidence;
- active participation in the self-assessment group;
- facilitation of the consensus process;
- editing of the self-assessment report;
- supporting the management in prioritising actions and outlining of the action plan.

The demands regarding the competences of the project leader are high. The person has to have both a high level of knowledge regarding his or her own organisation, knowledge of the CAF model, as well as knowledge about how to facilitate the process of self-assessment. Appointing the right project leader who has this knowledge, as well as the confidence of senior management and people within the organisation is one of the key management decisions that can affect the quality and outcome of the self-assessment. Appropriate project management training is available at national and European level.

For some organisations, the language and the examples used in the CAF model are unfamiliar and too far away from their daily practise to be used directly. If this is not resolved at an early stage in the familiarisation of the model, it can later become an obstacle in the self-assessment process. What can be done in such cases – in addition to the training efforts that are later described – is to ‘adapt’ the model to the language of the organisation. Prior to embarking on this action it is a good idea to check if this has already been done by an organisation similar to your own. This can be done through the organisation responsible for disseminating CAF in your country or by the CAF Resource Centre at EIPA.



2

Step 2 **Communicate the self-assessment project**

A very important planning activity once the project approach has been defined is the outlining of a communication plan. This plan includes communication efforts targeted at all stakeholders in the project, with a special emphasis on middle managers and people from the organisation.

Communication is a core field in all change management projects, but especially when an organisation is performing self-assessment. If communication regarding the purpose and the activities of the self-assessment is not clear or appropriate, it is likely that the self-assessment effort will be seen as ‘just another project’ or ‘some management exercise’. The risk here is that these assumptions become self-fulfilling prophecies as there may be reluctance from middle managers and other people to be fully committed or involved.

Feedback CAF users - The importance of communication to create ownership by the employees is generally underestimated

An important conclusion from the CAF users’ surveys is that the users of CAF find that they have generally not sufficiently prioritised the communication efforts regarding employees during the process. The lessons learned show that one of the major potential benefits of CAF is to increase the level of awareness and communication across the organisation. But this can only be realised if management and the people responsible for the CAF self-assessment are active at a very early stage in communicating and involving people and middle managers in the organisation about the purpose and the potential benefits of self-assessment.

An important result of early communication is to stimulate the interest of some of the employees and managers to be directly involved in a self-assessment group. Involvement should ideally be pursued through personal motivation. Motivation should be the basic element that links people to the whole process of self-assessment. People should have a completely clear view of the purpose of the CAF self-assessment process: **the improvement in the overall performance of the organisation**. The communication policy on the CAF self-assessment process should focus on win-win outcomes for all stakeholders, people and citizens/clients.

Thus, clear and coherent communication to all stakeholders during the relevant phases of the project is key to securing a successful process and follow-up action. The project leader, along with the top management of the organisation, should reinforce that policy by focusing on:

1. how self-assessment can make a difference;
2. why it has been given priority;
3. how it is connected to the strategic planning of the organisation;

4. how it is connected (for example as the first step) to a general effort for improvement in the organisation's performance, for instance through the implementation of an innovative operational reform programme.

The communication plan should be differentiated and consider the following elements: focus group, message, medium, sender, frequency and tools.

Phase 2: Self-assessment process



3

Step 3 **Compose one or more self-assessment groups**

The self-assessment group should be as representative of the organisation as possible. Usually people from different sectors, functions, experience and levels within the organisation are included. The objective is to establish as effective a group as possible, while at the same time a group which is able to provide the most accurate and detailed internal perspective of the organisation.

The experience of CAF users shows that groups are composed of between 5 to 20 participants. However, in order to secure an effective and relatively informal working style, groups of around 10 participants are generally preferable.

If the organisation is very large and complex it could be relevant to compose more than one self-assessment group. In this case it is critical that the project design takes into consideration how and when the appropriate coordination of the groups will be taking place.

Participants should be selected on the basis of their knowledge of the organisation and their personal skills (e.g. analytical and communicative skills) rather

than professional skills alone. They can be selected on a voluntary basis, but the project leader and the management remain responsible for the quality, the diversity and credibility of the self-assessment group.

The project leader of the group may also be the chair; this can help with project continuity but care should be taken in order to avoid conflicting interests. What is important is that the chair of the group is trusted by all the members of the group to be able to lead discussions in a fair and effective way that will enable everybody to contribute to the process. The chair can be appointed by the group itself. An effective secretariat to help the chair and organise meetings is essential, as well as good meeting facilities and ICT support.

A frequently asked question is whether senior managers should be included in the self-assessment group. The answer to this will depend on the culture and tradition of the organisation. If management is involved, they can provide additional information and it will increase the likelihood that management has ownership of the later implementation of the improvement actions identified. It also increases diversity/representation. However, if the culture is not likely to support this, then the quality of the self-assessment can be jeopardised if one or more of the group members feels inhibited and unable to contribute or speak freely.

4

Step 4
Organise training**Information and training of management**

It could be of value to involve top or middle management and other stakeholders in self-assessment training, on a voluntary basis, in order to widen knowledge and understanding of the concepts of TQM in general and self-assessment with CAF in particular.

Information and training of the self-assessment group

The CAF model should be introduced and the purposes and nature of the self-assessment process explained to the group. If the project leader has been trained prior to this phase, it is a very good idea that this person plays a major role in the training. In addition to theoretical explanations, training should also include practical exercises to open the minds of participants to the principles of total quality, and also to experience consensus building as these concepts and behaviour may be unfamiliar to most members.

The CAF Resource Centre at EIPA arranges 'train the trainer' sessions every year, and similar activities take place in a number of European countries.

A list provided by the project leader with all relevant documents and information needed to assess the organisation in an effective way should be available for the group. One sub-criterion from the enablers criteria and one from the results criteria could be assessed in common. This will give the group a better understanding of how the CAF self-assessment is operating. A consensus has to be reached on how to evaluate evidence of strengths and areas for improvement and how to assign scores.

Another relevant session that will later – during the consensus phase – save time is to get a common picture of the key stakeholders of the organisation, those which have a major interest in its activities: customers/citizens, politicians, suppliers, partners, managers and employees. The most important services and products delivered to, or received from, these stakeholders and the key processes to assure this should also be clearly identified.

5

Step 5
Undertake the self-assessment**Undertake individual assessment**

Each member of the self-assessment group, using the relevant documents and information provided by the



project leader, is asked to give an accurate assessment, under each sub-criterion, of the organisation. This is based on their own knowledge and experience of working in the organisation. They write down key words of evidence about strengths and areas for improvement. It is recommended to formulate the areas for improvement as precisely as possible in order to make it easier to identify proposals for action at a later stage. They should then make an overview of their findings and score each sub-criterion, according to the scoring panel that has been chosen.

The chair must be available to handle questions from the members of the self-assessment group during the individual assessment. He/she can also coordinate the findings of the members in preparation for the consensus meeting.

Undertake consensus in group

As soon as possible after the individual assessments, the group should meet and agree on the strengths, areas for improvement and the scores on each sub-criterion. A process of dialogue and discussion is necessary – indeed essential as part of the learning experience – in order to reach consensus, as it is very important to understand why differences regarding the strengths and areas of improvement and scoring exist.

The sequence for assessment of the nine criteria can be established by the self-assessment group. It is not necessary for this to be in strict numerical order.

The consensus finding

How can the consensus be achieved?

In the process of arriving at consensus, a four-step method may be used:

1. presenting all evidence concerning the identified strengths and areas for improvement per sub-criterion - identified by each individual;
2. reaching consensus on strengths and areas for improvement. This is usually reached after the consideration of any additional evidence or information;
3. presenting the range of individual scores under each sub-criterion;
4. reach consensus regarding the final scoring.

A good preparation of the meeting by the chairperson (e.g. collection of important information, coordination of the individual assessments) can lead to a smooth running of meetings and important time saving.

Feedback CAF users – The added value of discussions

The majority of users reached consensus after discussions. The discussion itself is very often seen as the real added value of a self-assessment: when a consensus is reached, the end result is more than the pure sum of the individual opinions. It reflects the common vision of a representative group and in this way it corrects and goes beyond the subjective individual opinions. Clarifying evidence and expressing the background to different views on strengths and weaknesses are often considered to be more important than the scores.

The chair is responsible and has a key role in conducting this process and arriving at a group consensus. In all cases, the discussion should be based on **clear evidence** of actions undertaken and **results achieved**. In the CAF, a list of relevant examples is included, to help provide assistance in identifying appropriate evidence. This list is not exhaustive nor is it necessary to meet all the possible examples – only those relevant to the organisation. However, the group is encouraged to find any additional examples which they feel are relevant to the organisation.

The role of the examples is to explain the content of the sub-criteria in more detail in order to:

- explore how the administration meets the requirements expressed in the sub-criterion;
- provide assistance in identifying evidence; and
- be an indication of good practices in that particular area.

How to score

The CAF provides two ways of scoring: the classical approach and the fine-tuned approach. Both scoring systems are explained in detail in this brochure. It is recommended to use the classical scoring system if an organisation is not familiar with self-assessment and/or inexperienced in Total Quality Management techniques.

Duration of the self-assessment exercise

Comparing the reality and the preference, and based on the different surveys, two to three days seems to be rather short to carry out a reliable self-assessment, whilst ten days or more is considered too long. It is difficult to suggest an ideal time schedule for a CAF self-

assessment as there are too many variables, including the objectives of management, the time, resources and expertise available for investment, the availability of data, stakeholder time and information and political pressures. However, for the majority of organisations a duration of up to five days is the norm. This includes individual assessment and consensus meeting(s).

The large majority of organisations completed the whole CAF application process in three months, including the preparation, the self-assessment, the drawing of conclusions and the formulation of an action plan.

Three months seems to be an ideal lapse of time to remain focused. Taking more time raises the risk of reduced motivation and interest of all parties involved. Furthermore, the situation might have changed between the start and the end of the self-assessment process. In such a case, the assessment and scoring may no longer be accurate. This is highly likely as improving an organisation using CAF is a dynamic, continuous improvement process, and updating data and information is therefore part of that process.



6

Step 6

Draw up a report describing the results of self-assessment

A typical self-assessment report should follow the structure of CAF (as shown in Scheme A, page 68) and consist at least of the following elements:

- The strengths and areas for improvement for each sub-criterion supported by relevant evidence.
- A score which is justified on the basis of the scoring panel.
- Ideas for improvement actions.

In order to use the report as a basis for improvement actions, it is crucial that senior management officially accepts the self-assessment report, and ideally endorses and approves it. If the communication process has worked well this should not be a problem. Senior management should reconfirm its commitment to implementing the improvement actions. It is also essential at this stage to communicate the main results to people in the organisation and other participating stakeholders.

Phase 3: Improvement plan/prioritisation

7

Step 7 Draft an improvement plan

Feedback CAF users: Lack of measurements

Many organisations encountered obstacles during their first CAF application. The lack of measurement has obviously been the major problem in many public organisations carrying out self-assessment for the first time, very often resulting in the installation of measurement systems as the first improvement action.

The self-assessment procedure should go beyond the self-assessment report in order to fulfil the purpose of CAF implementation. It should lead directly to a report of actions to improve the performance of the organisation.

This action plan is one of the main goals of the CAF self-assessment effort and also the means to feed vital information to the strategic programming system of the organisation. It must realise an integrated plan for the organisation to upgrade its functioning as a whole. Specifically the core logic of the report is that:

1. It is an integrated systematic action planning for the whole span of the organisation's functionality and operability.
2. It comes as a result of the self-assessment report, so it is based upon evidence and data provided by the organisation itself and – absolutely vitally – from the aspect of the people from the organisation.
3. It builds on the strengths, addresses the weaknesses of the organisation and responds to each of them with appropriate improvement actions.

Prioritise areas of improvement

In preparing an improvement plan, the management might wish to consider the use of a structured approach, including the questions:

- Where do we want to be in two years in line with the overall vision and strategy of the organisation?
- What actions need to be taken to reach these goals (strategy/task definition)?

The process for building an improvement plan could be structured as follows: the management, in consultation with relevant stakeholders,

1. collects ideas for improvement from the self-assessment report and collates these ideas for improvement under common themes;
2. analyses the areas for improvement and suggested ideas then formulates improvement actions taking into account the strategic objectives of the organisation;
3. prioritises the improvement actions using agreed criteria to calculate their impact (low, medium, high) in the improvement areas, such as:
 - strategic weight of the action (a combination of impact on the stakeholders, impact on the results of the organisations, internal/external visibility);
 - ease of implementation of the actions (looking into the level of difficulty, the resources needed and the speed of realisation);
4. assigns ownership to each action as well as a time schedule and milestones, and identifies the necessary resources (cf. Scheme B, page 68).

It can be useful to link the ongoing improvement actions to the CAF structure in order to keep a clear overview.

One way to prioritise is to combine:

1. the level of scoring per criterion or sub-criterion, which gives an idea of the organisation's performance in all fields;
2. the key strategic objectives.

Recommendations

While a CAF self-assessment is recognised to be the start of a longer-term improvement strategy, the assessment will inevitably highlight a few areas that can be addressed relatively quickly and easily. Acting on them will help with the credibility of the improvement programme and represent an immediate return on time and training investment; it also provides an incentive to continue – success breeds success.

It is a good idea to involve the people who carried out the self-assessment in the improvement activities. This is usually personally rewarding for them and boosts their confidence and morale. They may also become ambassadors for further improvement initiatives.

The members of the self-assessment groups (SAG)

The members of the SAG have invested a lot of their energy in the exercise, very often in addition to their usual daily work. Very often they start their work in the SAG with some suspicion about the usefulness of the task, the involvement of the management, the dangers of being open and honest, etc. After a while, when they see that things are taken seriously, motivation and even some enthusiasm are raised and at the end they take the full ownership of the results. They have the potential to become the most motivated candidates for improvement teams and should be treated in accordance with this role.

At best, the action plan resulting from the self-assessment should be integrated into the strategic planning process of the organisation and become part of the overall management of the organisation.

8

Step 8 Communicate the improvement plan

As mentioned previously, communication is one of the critical success factors of a self-assessment and the improvements actions that follow. Communication actions must provide the appropriate information with the appropriate media to the appropriate target group at the appropriate moment – not only before or during but also after the self-assessment.

An organisation should decide individually whether or not it will make the self-assessment report available, but it is good practice to inform the whole staff about the results of the self-assessment, i.e. the main findings of the self-assessment, the areas in which action is most needed, and the improvement actions planned. If not, the possibility to create an appropriate platform for change and improvement runs the risk of being lost.

In any communication about results it is always good practice to highlight the things that the organisation does well and how it intends to further improve. There are many examples of organisations taking for granted their strengths and sometimes forgetting, or even not realising, how important it is to celebrate success.

9

Step 9 Implement the improvement plan

As described in step 7, the formulation of the prioritised improvement action plan is very important. Many of the examples in the CAF model can be considered as a first move towards improvement actions. Existing good practices and management tools can be linked to the different criteria of the model. Examples of them are shown opposite.

The implementation of these improvement actions should be based on a suitable and consistent approach, a process of monitoring and assessment; deadlines and results expected should be clarified; a responsible person for each action (an 'owner') should be assigned, and alternative scenarios for complex actions should be considered.

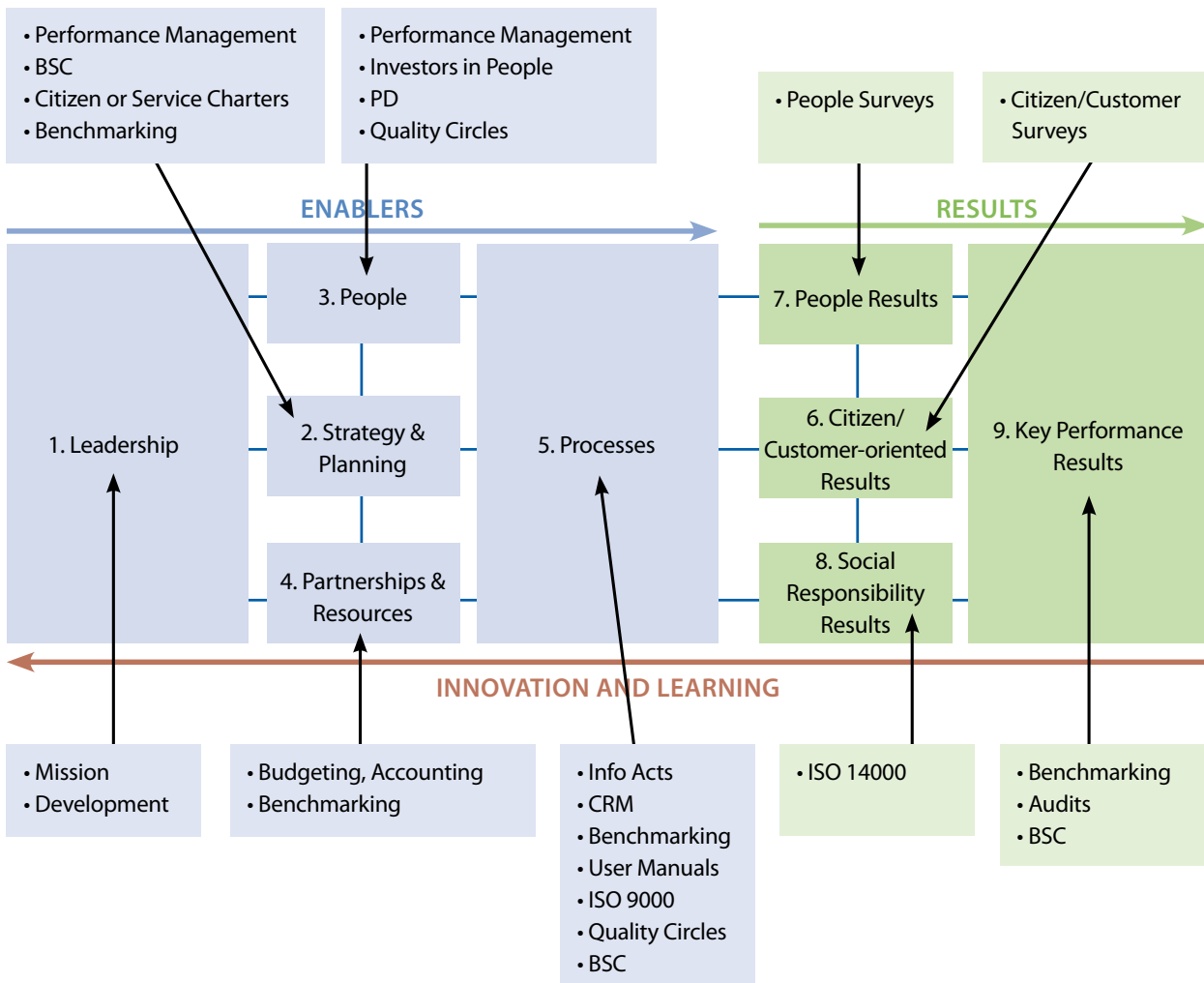
Any quality management process should be based on regular monitoring of implementation and evaluation of the outputs and outcomes. With monitoring it is possible to adjust what was planned in the course of implementation and post evaluation (results and outcomes), to check what was achieved and its overall impact. To improve this it is necessary to establish ways to measure the performance of the actions (performance indicators, success criterion, etc). Organisations could use the PDCA (PLAN, DO, CHECK, ACT) cycle to manage improvements actions. To fully benefit from the improvements actions they should be integrated in the ordinary processes of the organisations.

On the basis of the CAF self-assessment, more and more countries are organising recognition schemes. The CAF self-assessment could also lead to recognition from **EFQM® Levels of Excellence** (www.efqm.org).

Implementation of CAF action plans facilitates the permanent use of management tools such as Balanced Scorecard, customer and employee satisfaction surveys, performance management systems, etc.



The CAF Model – Improvement Actions



10 Step 10 Plan next self-assessment

Using the PDCA cycle to manage the Action Plan implies a new assessment with CAF.

Monitor progress and repeat the assessment

Once the improvement action plan is formulated and the implementation of changes has begun, it is important to make sure that the changes have a positive effect and are not having an adverse effect on aspects in which the organisation was previously doing well. Some organisations have built regular self-assessment into their business planning process – their assessments are timed to inform the annual setting of objectives and bids for financial resources.

The evaluation panels of the CAF are simple but powerful tools to use when assessing the ongoing progress of the improvement action plan.

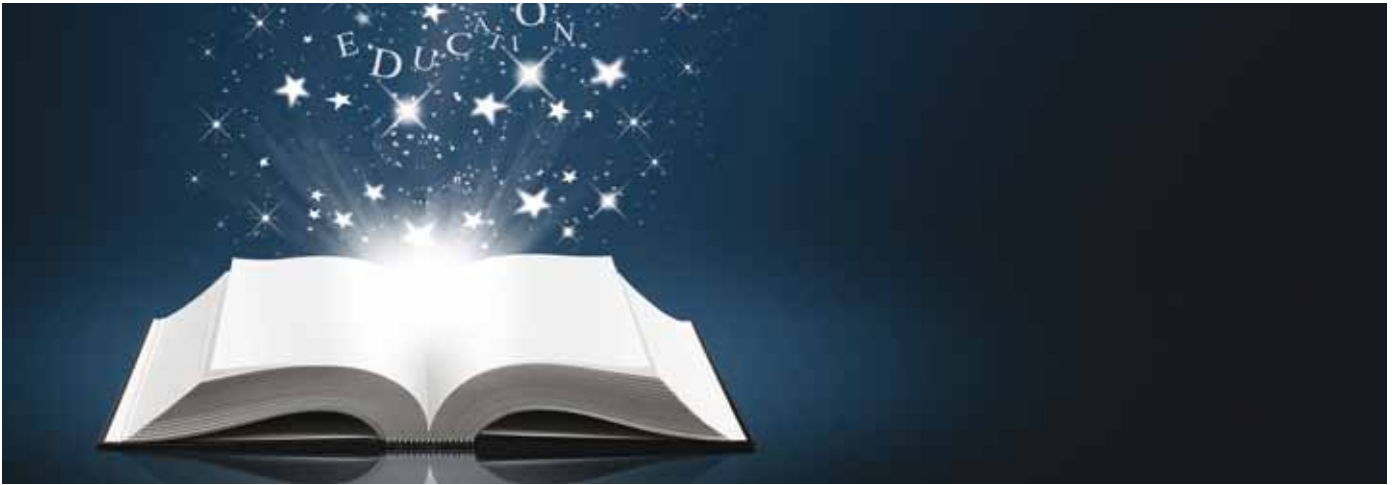
Scheme A : Pro forma self-assessment sheet for classical scoring

CRITERION 1: LEADERSHIP				
Evaluation of Criterion 1				
Consider evidence of what the organisation's leadership is doing to...				
SUB-CRITERIA				
1.1 Provide direction for the organisation by developing its mission, vision and values				
1.2 Manage the organisation, its performance and its continuous improvement				
1.3 Motivate and support people in the organisation and act as a role model				
1.4 Manage effective relations with political authorities and other stakeholders				
Sub-criteria	Strengths	Areas for improvement	Score and Justification / 100	(Optional) Action items
1.1				
1.2				
1.3				
1.4				
Total / 400				
Average on 100				

Scheme B : Action sheet

ACTION PROGRAMME 1 (E.G. LEADERSHIP)	
Action 1.1	Description of the action.
Sponsor	The highest authority that is responsible for the item and wants and supports a specific action; could be considered as the end user.
Action leader	The person or service who is in charge of the action.
Action team	The individuals identified to work in implementing the action; can be people from inside and/or outside the organisation.
Contact	
Scope	
Stakeholders	
Strengths as defined in self-assessment	
Context and areas for improvement	
Alternatives to explore	
Constraints	
Human resources needed (in man/days)	
Budget	
Deliverable	
Starting date	
Estimated Deadline	

Glossary



A

Accountability

Accountability is the obligation to answer for responsibilities that have been conferred and accepted, and to report on the utilisation and management of resources entrusted. The people who accept accountability are responsible for answering questions and reporting on resources and operations that are under their control to those people who have to hold accountability. So both parts have their own duties.

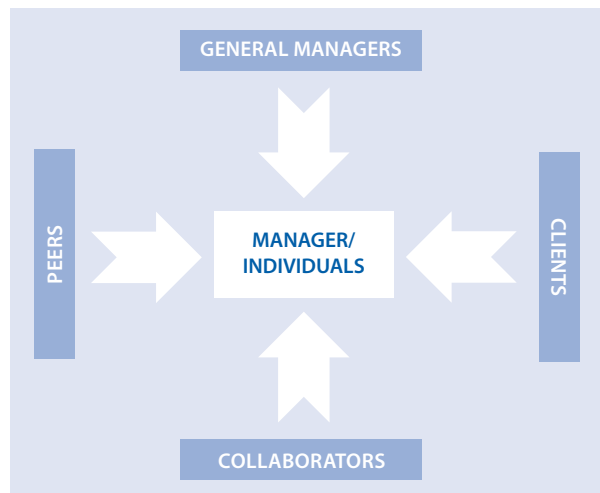
Action Plan

A document containing a plan of tasks, allocation of responsibilities, goals for the implementation of the project (e.g. targets/deadlines) and resources needed (e.g. hours, money).

Appraisal/ Performance appraisal

'Performance appraisal' needs to be understood in the management context. Usually, the management system of an organisation will include the assessment of individual employees' job performance. This practice helps to monitor the departmental and overall organisational performance by aggregating the individual performance at different management levels within the organisation. The personal appraisal interview between the individual employee and his/her line manager is the most common way for an appraisal to be carried out. During the interview, in addition to an appraisal of performance, other aspects of the individual's employment can be assessed, including level of job knowledge and competences from which training needs can be identified. In a TQM approach, the PDCA – based on continuous improvement – is used at the individual level: PLAN the job for the coming year, realise the job (DO), CHECK your realisation during the performance appraisal interview and adapt (ACT) if necessary for the next year: the objectives, the means and the competences. There are several ways to increase the objectivity of performance appraisal:

- the upward appraisal where managers are evaluated by employees directly reporting to them;
- the 360 degrees appraisal, where managers are evaluated from different points of views: general managers, peers, collaborators and customers.



Audit

Auditing is an independent appraisal function to examine and evaluate the activities of an organisation and its results. The most common audits are: financial audit, operational audit, ICT audit, compliance audit and management audit. Three levels of auditing control activity can be distinguished:

1. internal control carried out by management;
2. internal auditing by an independent unit of the organisation. In addition to compliance/regulation activities, it may also have a role in controlling the effectiveness of the organisation's internal management;
3. External auditing carried out by an independent body from outside the organisation.

B**Balanced Scorecard**

The Balanced Scorecard (BSC) is a whole set of quantitative measurements evaluating to what extent the organisation is succeeding in realising its mission and strategic objectives. These measurements are built up around four viewpoints: innovation and learning (people management); internal processes; customers; and financial management. The indicators of each approach are linked to each other through a cause-effect relationship. These relationships are based on hypotheses that have to be monitored permanently. The BSC is also very useful as a communication tool for management to inform the people in the organisation and the stakeholders of the extent to which the strategic plan has been realised. The Balanced Scorecard is increasingly being used in the public sector in Europe. It should be noted that the Balanced Scorecard can be used within the CAF assessment.

Benchmark

A measured achievement at a high level (sometimes referred to as 'best-in-class': see Benchmarking below); a reference or measurement standard for comparison; or a performance level which is recognised as the standard of excellence for a specific process.

Benchmarking

There are numerous definitions of benchmarking, but the key words associated with this term are 'to make comparison with others'. 'Benchmarking is simply about making comparisons with other organisations and then learning the lessons that those comparisons reveal' (Source: European Benchmarking Code of Conduct). In practice, benchmarking usually encompasses:

- regularly comparing aspects of performance (functions or processes) with those organisations that are considered to be good practitioners; sometimes reference is made to best in class, but as no one can ever be certain as to who is best, the term 'good' is preferred;
- identifying gaps in performance;
- seeking fresh approaches to bring about improvements in performance;
- following through with implementing improvements;
- following up by monitoring progress and reviewing the benefits.

Benchmarking in European public administrations usually focuses on the learning aspects and is now more commonly referred to as '**Bench learning**', since learning how to improve through sharing knowledge, information, and sometimes resources, is recognised to be an effective way of introducing organisational change. It reduces risks, is efficient and saves time.

• Strategic benchmarking

Strategic benchmarking is used where organisations seek to improve their overall performance by examining the long-term strategies and general approaches that have enabled high performers to succeed. It involves comparisons of high-level aspects, such as core competencies; the development of new products and services; a change in the balance of activities or an improvement in capabilities for dealing with changes in the background environment.

Best/Good practice

Superior performances, methods or approaches that lead to exceptional achievement. Best practice is a relative term and sometimes indicates innovative or interesting business practices, which have been identified outside the organisation through benchmarking and bench learning. Since it is difficult to determine what is best, it is preferable to talk about 'good practice'.

Bottom-up

Direction of the flow of, for example, information or decisions from lower levels of an organisation to higher levels. The opposite is top-down.

Brainstorming

Used as a team working tool to generate ideas without constraints in a short period of time. The most important rule is to avoid any kind of criticism during the ideas production phase.

C**Change management**

Change management involves both, generating the needed changes in an organisation, usually preceded by modernisation and reform agendas, and mastering the dynamics of change by organising, implementing and supporting the change.

Citizen/Customer

The term citizen/customer reflects the complex relationship between the administration and its public. The person to whom the services are addressed has to be considered as a **citizen**; a member of a democratic society with rights and duties (e.g. tax payer, political actor, etc.). The person should also be considered as a **customer**, not only in the context of service delivery where he adopts the position of a beneficiary of services, but also in a context where he has to fulfil duties (payment of taxes or fines) where he has the right to be treated with fairness and courtesy without neglecting the interest for his needs.

Co-design/Co-decision/Co-production/Co-evaluation

The role of the citizens/customers in general can be approached from four angles: as co-designers, co-decision makers, co-producers and co-evaluators. As **co-designers**, they have an impact on what and how the public organisations want to deliver as a service in response to a specific need. As **co-decision makers**, the citizens will acquire greater involvement in and ownership of the decisions that affect them. As **co-producers**, citizens themselves will be involved in the production and/or delivery cycle of services and their quality. And last but not least, as **co-evaluators**, citizens will express themselves on the quality of public policies and the services they received.

Code of conduct

May be expressed or implied, rules and guidelines, for standards of behaviour for individuals, professional groups, teams or organisations. Codes of conduct may also apply to specific activities, such as auditing or benchmarking and often refer to ethical standards.

Competence

Competences include the knowledge, skills and attitudes of an individual used in practice in a job situation. When an individual is able to carry out a task successfully, he/she is regarded as having attained a level of competence.

Conflict of interest

A 'conflict of interest' in the public sector refers to a conflict between the public duty and the private interest of a public official, in which a public official's private-capacity interest could improperly influence the performance of his/her official duties. Even if there is no evidence of improper actions, a conflict of interest can create an appearance of impropriety that can undermine confidence in the ability of that person to act properly.

Consensus

As the word implies, this is about reaching agreement and usually follows an initial self-assessment when individual assessors get together to compare and discuss their individual assessments and individual scores. The process usually ends with individual assessors reaching an agreement, resulting in a combined overall score and assessment for the organisation.

Consensus or self-assessment report

A report describing the results of self-assessment. This report must include strengths and areas of improvement for the organisation. It may also contain (optional) proposals for improvement in some key projects.

Continuous improvement process

The ongoing improvement of organisational processes in terms of quality, economy or cycle time. The involvement of all stakeholders of an organisation is normally a pre-requisite in this process.

Cost effectiveness

The relationship between the effects that are implied by the goals of the organisation and the costs – possibly including the full social cost – of achieving them. See also 'effectiveness'.

Critical success factor

The prior conditions that must be fulfilled in order that an intended strategic goal can be achieved. It highlights those key activities or results where satisfactory performance is essential in order for an organisation to succeed.

D**Diversity**

Diversity relates to differences. It may refer to values, attitudes, culture, philosophy or religious convictions, knowledge, skills, experience and lifestyle between groups, or individuals within a group. It may also be on the basis of gender, national or ethnic origin, disability or age. In public administration, a diverse organisation would be considered to be one which reflects the society it serves.

E**Economy**

Economy and economising refer to prudent financial management, including reducing costs through more efficient purchasing processes and saving money without affecting the quality of outputs or objectives.

Effectiveness

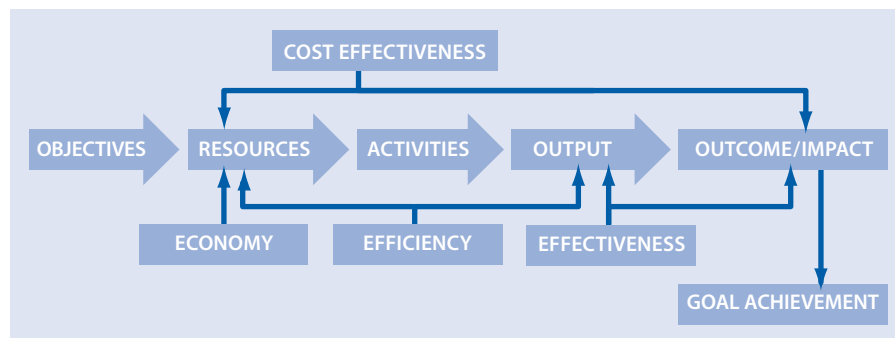
Effectiveness is the relation between the set goal and the impact, effect or outcome achieved.

Efficiency

Outputs in relation to inputs or costs. Efficiency and productivity may be regarded as one and the same. Productivity may be measured in ways that capture either the input of all factors of production (total factor productivity) or a specific factor (labour productivity or capital productivity).

Efficiency/Effectiveness/Economy/Ethics/Environment

The rule of the 3 E's – Economy, Effectiveness and Efficiency (see definitions above) – used in the public sector recently added Ethics and Environment, thereby creating the rule of the 5 E's, useful for quality management.

**e-Government**

The use of information and communication technology (ICT) in public administrations. Combined with organisational change and new skills, it helps to improve public services and democratic processes, as well as strengthen support to public policies. e-Government is regarded as an enabler to realise a better and more efficient administration. It can improve the development and implementation of public policies and help the public sector to cope with the potentially conflicting demands of delivering more and better services with fewer resources.

Empowerment

A process by which more authority is given to an individual or a group of people in the decision-making process. It may apply to citizens or employees by involving the person/group and by granting them a degree of autonomy in their actions/decisions.

Enterprise architecture

A framework that enables an organisation to plan how technology can be used to support its strategic and operational goals. It includes descriptions of how processes, information and information systems form a unity to reach the targets set for the organisation.

e-Services

Public services provided by utilising information and communication technology.

Ethics

Ethics in public service may be defined as those common values and norms to which public servants subscribe in carrying out their duties. The moral nature of these values/norms, which may be stated or implicit, refer to what is considered to be right, wrong, good or bad behaviour. Whereas values serve as moral principles, norms may also state what is legally and morally correct in a given situation.

Evaluation

Examining whether actions undertaken have produced the desired effects and whether other actions could have achieved a better result at a lower cost.

Evidence

Information that supports a statement or fact. Evidence is considered to be essential in forming a firm conclusion or a judgement.

Excellence

Outstanding practice in managing an organisation and achieving results which are based on a set of fundamental concepts from Total Quality Management, as formulated by EFQM. These include: results orientation, customer focus, leadership and constancy of purpose management by processes and facts, involvement of people, continuous improvement, innovation, mutually beneficial partnerships, and corporate social responsibility.

Extra-financial rating

Extra-financial ratings assess the levels of commitment by organisations in the fields of human rights, conditions of work and employment, social dialogue, protection of the environment, governance and the contribution of the organisation to the development of the community where it operates. These notions are addressed to investors who want to guide their investment decision towards activities whose impact strikes an ecological balance and which, as far as possible, contribute to social progress and the strengthening of transparency and business ethics. Public institutions with the ability to borrow on the markets can help their request for a CSR rating assigned by an extra-financial rating agency to obtain loans from socially responsible funds (SRI: social responsible investment).

F**Follow up**

Subsequent to a self-assessment process and changes to an organisation, a follow up aims at measuring goal achievement against stated objectives. The analysis may result in the launching of new initiatives and adjusting strategy and planning in accordance with the new circumstances.

G**Governance**

The main elements of good public governance are determined by the appointed framework of authority and control. It sets out: the

reporting obligation on the goal achievement, transparency to the stakeholders of actions and decision-making process, efficiency and effectiveness, responsiveness to the needs of society, anticipation of the problems and trends and respect of the law and rules.

H**Human resources management**

Managing, developing and utilising the knowledge, skills and full potential of the employees of an organisation, in order to support policy and business planning and the effective operation of its processes.

I**Impact**

The effects and consequences of possible and actual actions, interventions or policies in public, private and third sectors.

Indicators

Measures that are indicative, i.e. showing the outcome of an action.

• Performance indicators

These are the numerous operational measures used in public administration to help us monitor; understand; predict; and improve how we function and perform.

There are several terms used to measure organisational performance: outcomes, measures, indicators, parameters. However, measurement terminology is less important and we should use terms with which we are comfortable and familiar. If we follow Pareto's principle, we realise that around 20% of what we do will deliver 80% of our outcomes. It is therefore important that we at least measure the performance of those processes that are essential to the delivery of our desired results.

• Key performance indicators

Those measures that are most critical, and measure the performance of those key processes, essentially contained in CAF criteria 4 and 5, which are most likely to influence the effectiveness and efficiency of our key performance outcomes. A good example of customer satisfaction may be measurements in customer/citizen results of the performance of the processes we have put in place to deliver customer/citizen products and services.

Information

Information is a collection of data organised to form a message; it is a data that has made sense. One of the common ways to define information is to describe it as the facts provided or learnt about something or someone.

Example: Law, rule, legislation, procedure, report, guideline, mail, email, article, instruction, presentation, message, graph, form, book or journal content, plan.

Innovation

Innovation is the process of translating good ideas into new services, processes, tools, systems and human interaction. An organisation may be described as innovative when an existing task is performed in a way new at the workplace, or

when the organisation offers customers a new service in a different way.

Input

Any kind of information, knowledge, material and other resources used for production.

ISO

ISO (International Organization for Standardization) is a global network that identifies what international standards are required by business, government and society; develops them in partnership with the sectors that will put them to use; adopts them by transparent procedures based on national input; and delivers them to be implemented worldwide. ISO standards specify the requirements for state-of-the-art products, services, processes, materials and systems, and for good conformity assessment, managerial and organisational practice.



Job description

A complete outline of the function (description of tasks, responsibilities, knowledge, competences and abilities). The 'job description' is a fundamental instrument for human resources management. It constitutes an element of knowledge, analysis, communication and dialogue. It represents a type of charter between the organisation and the holder of the position. Furthermore, it is a key factor for making employers as well as employees aware of their responsibilities (according to B. Dubois, and K. Rollot).



Key performance results

The results the organisation is achieving with regard to its strategy and planning related to the needs and demands of the different stakeholders (external results); and the results of the organisation in relation to its management and improvement (internal results).

Knowledge

Knowledge can be defined as 'information altered by experience, context, interpretation and reflection'. Knowledge is the result of transformation work that has been done on the individual piece of information. We consider knowledge to differ from data or information as it requires a human cognitive capacity of appropriation.

Example: practice, know-how, expertise, technical knowledge.

Knowledge management

Knowledge management is the explicit and systematic management of vital knowledge – and its associated processes of creation, organisation, diffusion, use and exploitation. It is important to note that knowledge encompasses both tacit knowledge (contained within people's minds) and explicit knowledge (codified and expressed as information in databases, documents, etc.). A good knowledge programme will address the processes of knowledge development and transfer for both these basic forms. The most vital knowledge in most organisations is often related to: customer knowledge, knowledge in processes, knowledge in products and services customised to

users' needs, knowledge in people, organisational memory, drawing on lessons from the past or elsewhere in the organisation, knowledge in relationships, knowledge assets, and measuring and managing intellectual capital. A wide variety of practices and processes are used in knowledge management. Some of the more common ones are: creating and discovering, sharing and learning (communities of practices), organising and managing.



Leaders

Traditionally we associate the term 'Leader' with those responsible for an organisation. The word may also refer to those people who, thanks to their competence in a particular area, are recognised as a role model by the others.

Leadership

The way in which leaders develop and facilitate the achievement of the mission and vision of the organisation. It reflects how they develop values required for long-term success and implement them via appropriate actions and behaviour. It indicates how leaders are personally involved in ensuring that the management system is developed, implemented and reviewed and that organisations permanently focus on change and innovation. The word 'leadership' as such can also refer to the group of leaders that steer the organisation.

Learning

The acquiring and understanding of knowledge and information that may lead to improvement or change. Examples of organisational learning activities include benchmarking/bench learning, internally and externally led assessments and/or audits, and best practice studies. Examples of individual learning include training and developing skills.

• Learning environment

An environment within a working community where learning takes place in the form of skill acquisition, knowledge sharing, the exchange of experience, and dialogue on best practice.

• Learning organisation

An organisation where people continually expand their capacity to achieve the results they desire, where new and expansive patterns of thinking are fostered, where collective aspiration is set free, and where people are continually learning within the context of the whole organisation.



Management information system

Provides operational information to manage the organisation on the basis of permanent measurement of goal achievement, risks, quality measurements, internal audits, internal control systems and information from self-assessment.

Mission

A description of what an organisation should achieve for its stakeholders. The mission of a public sector organisation results from a public policy and/or statutory mandates. It is the organisation's *raison d'être*. The final goals an organisation

sets out to achieve in the context of its mission are formulated in its vision, translated into strategic and operational goals.



Network

An informal organisation connecting people or organisations that may or may not have a formal line of command. Members of the network often share values and interests.



Objectives (goals/aims/targets)

A formulation of a desired situation describing the desired results or effects as defined in the mission of the organisation.

• Strategic objectives

Global objectives for the mid- and long-term indicate the overall direction in which the organisation wants to go. It describes the final results or effects (outcomes) it wants to pursue.

• Operational objectives

They are a concrete formulation of the strategic objectives, e.g. at unit level. An operational objective can be immediately transformed into a set of activities and tasks.

Organisational culture

The total range of behaviour, ethics and values which are transmitted, practised and reinforced by members of organisations; influenced by national, socio-political and legal traditions and systems.

Organisational structure

The way an organisation is structured, i.e. the division of work areas or functions, formal chains of communication between management and employees, and the way tasks and responsibilities are divided throughout the organisation.

Output

The immediate result/results of a process. There is a distinction between intermediate outputs and final outputs: the former regarding intermediate phases of the process, whether or not related to the transition from a department to another or from a process to another; the latter related to the direct beneficiaries of the outputs. These beneficiaries can be internal or outside the administration

Outcome

The overall effect that outputs have on direct beneficiaries and stakeholders (internal or external) or the wider society.

Example of output and outcome: Stricter conditions for possessing firearms lead to fewer permits. The intermediate output is that there are fewer permits issued. The final output is that there are fewer firearms circulating in society. These outputs lead to the outcome that a higher level of safety or feeling of security is achieved.



Partnership

A durable working relationship with other parties on a commercial or a non-commercial basis to reach a common goal, thus creating added value for the organisation and its customers/stakeholders.

PDCA cycle

A cycle of four stages one has to go through to realise continuous improvement, as described by Deming:

- PLAN (project phase)
- DO (execution phase)
- CHECK (control phase)
- ACT (action, adaptation and correction phase)

It emphasises that improvement programmes must start with careful planning, must result in effective action, be checked and eventually adapted, and must move on again to careful planning in a continuing cycle.

People

All individuals employed by the organisation, including full-time, part-time, and temporary employees.

Perception measurement

Measurement of subjective impressions and opinions of an individual or a group of people, e.g. the customer's perception of the quality of a product or service.

Performance

A measure of attainment achieved by an individual, team, organisation or process.

Performance management

Performance management is an agreement-based interactive control model. Its operational core is in the ability of the agreement parties to find the appropriate balance between the available resources and the results to be attained with them. The basic idea of performance management in operations is, on the one hand, to balance resources and targets as well as possible, and on the other, efficiency and quality; ensuring that the desired effects are achieved in a cost-efficient manner.

PEST analysis

Stands for 'Political, Economic, Social, and Technological analysis' and describes a framework of macro-environmental factors used in the environmental scanning component of strategic management. Also used in this context are **STEER** (considering Socio-cultural, Technological, Economic, Ecological, and Regulatory factors) or **PESTLE** (Political, Economic, Sociological, Technological, Legal, Environmental). The assumption is that if the organisation is able to audit its current environment and assess potential changes, it will be better placed than its competitors to respond to changes.

Public policy

A purposeful course of action followed by governmental bodies and officials in dealing with a problem or a matter of public interest. This includes government action, inaction, decisions and non-decisions, and it implies choices between competitive alternatives.

Procedure

A detailed and well-defined description of how activities should be carried out.

Process

A set of intertwined activities which transforms a set of inputs into outputs and outcomes, thereby adding value.

Process diagram

A graphical representation of the series of actions taking place within a process.

Process map

A graphical representation of the series of actions taking place between processes.

Process owner

The person responsible for designing, improving and performing processes, their coordination and integration within the organisation. Her/his responsibilities include the following:

- Understand the process: how is it carried out in practice?
- Target the process: how does it fit into the broader vision? Who are the internal and external stakeholders and are their expectations met? How does the process relate to other processes?
- Communicate the process to the internal and external stakeholders.
- Monitor and measure the process: to what extent is the process efficient and effective?
- Benchmark the process: how do other organisations perform and what can we learn from them?
- Envisage the process: what is the long-term vision for the process and what do we have to do to reach it?
- Report the process: what exactly can be improved? Where are the weaknesses and how can they be targeted?

By employing these steps the process owner has the chance to improve the process continually.

Public service organisation/ public administration

A public service organisation is any institution, service organisation or system, which is under the policy direction of and controlled by an elected government (national, federal, regional or local). It includes organisations that deal with development of policy and enforcement of law, i.e. matters that could not be regarded strictly as services.

Q**Quality (in the context of the public sector)**

Delivering a public service with a set of characteristics/features that meet or satisfy, in a sustainable way:

- the specifications/requirements (law, legislation, regulation);
- the citizen/customer expectations;
- all other stakeholders' expectations (political, financial, institutions, staff).

The concept of quality has evolved over recent decades:

• Quality control

Quality control is focused on the product/service, which is controlled on the basis of written specifications and standardisations. The methods for statistical quality control (sampling methods) have been developed since the 1920-30s.

• Quality assurance

Quality assurance is focused on the core processes in order to guarantee the quality of a product or service. The quality assurance includes quality control. This concept, born in the 1950s and largely used in the 1980s and 1990s through the ISO 9000 norms, is no longer used. It has been replaced by the concept of total quality management.

• Total quality management or quality management

Total quality management (TQM) is a management philosophy that involves the whole organisation (core, management and support processes) in taking responsibility and ensuring the Quality of their products/services and the processes by constantly seeking to improve the effectiveness of their processes at every stage. TQM should address most of the dimensions of the organisation using a holistic management approach to satisfy customer needs or requirements. The approach involves the stakeholders. The TQM concept emerged in the 1980s. Total quality management (TQM), quality management (QM) or TQ (Total Quality) are the same concept, although some authors make some differentiation.

• Quality management system (QMS)

A set of coordinated activities to direct and control an organisation in order to continually improve the effectiveness and efficiency of its performance.

Quick Win

Action that can be realised easily and quickly (within a few weeks) and which encourages staff to implement actions that are strategically more important but also more difficult.

R**Resources**

Resources include the knowledge, labour, capital, buildings or technology used by an organisation to perform its tasks.

Role model

Persons or organisations who serve as a model, in a particular behavioural or social role for other persons to imitate or learn from.

S**SMART objectives**

Objectives state what an organisation has set out to achieve. It is recommended that objectives should be SMART:

- **Specific:** precise about what you are going to achieve;
- **Measurable;** with quantified objectives;
- **Achievable;**
- **Realistic:** are the necessary resources available?
- **Timed:** within manageable timing.

Social responsibility

Social responsibility is a commitment by private and public sector organisations to contribute to sustainable development by working with employees, their families, local communities and society to improve the quality of life. The aim is to bring benefits both for organisations and the wider society.

Stakeholders

Stakeholders are all those who have an interest, whether financial or not, in the activities of the organisation. Internal and external stakeholders can be classified in four major categories: the political authority; the citizens/customers; the people working in the organisation; the partners.

Examples of stakeholders: political decision-makers, citizens/customers, employees, society, inspection agencies, media, partners, etc. Government organisations are also stakeholders.

Strategy

A long-term plan of prioritised actions designed to achieve a major or overall goal or to fulfil a mission.

Survey

To collect data on opinions, attitudes or knowledge from individuals and groups. Frequently only a cross-section of the whole population is asked to participate.

Sustainable development

Development suitable for meeting present needs without compromising the possibility of meeting the needs of future generations.

SWOT analysis

Analysis of the Strengths, Weaknesses, Opportunities (potential advantages) and Threats (potential difficulties) of and to an organisation.

**Term**

Period of time in which results should be achieved.

Short term: refers usually to less than one year.

Medium term: refers usually to periods of one to five years ahead.

Long term: refers usually to periods of more than five years.

Top-down

Flow of information and decisions from upper levels to lower levels within an organisation. The opposite is bottom-up.

TQM (Total Quality Management)

A customer-focused management philosophy that seeks to continuously improve business processes using analytical tools and teamwork involving all employees. There are several TQM models: the EFQM, the CAF, the Malcolm Baldrige (USA), ISO 9004 are the most commonly used.

Transparency

Transparency implies openness, communication, and accountability. It is a metaphorical extension of the meaning used in the physical sciences: a 'transparent' object is one that can be seen through. Transparent procedures include open meetings, financial disclosure statements, the freedom of information legislation, budgetary review, audits, etc.

**Value**

Value refers to monetary, welfare, cultural and moral values. Moral values are considered to be more or less universal, whereas cultural values may shift between organisations as well as between countries. Cultural values within an organisation should be transmitted and practised, as well as being related to the mission of the organisation. They may differ quite significantly between non-profit organisations and private businesses.

Vision

The achievable dream or aspiration of what an organisation wants to do and where it would like to be. The context of this dream and aspiration is determined by the mission of the organisation.




Annex:

Structure CAF 2006 versus structure CAF 2013

ENABLERS	
CAF 2006	CAF 2013
Criterion 1: Leadership Consider evidence of what the organisation's leadership is doing to...	Criterion 1: Leadership Consider what the organisation's leadership is doing to...
Sub-criterion 1.1 Provide direction for the organisation by developing its mission, vision and values	Sub-criterion 1.1 Provide direction for the organisation by developing its mission, vision and values
Sub-criterion 1.2 Develop and implement a system for the management of organisation, performance and change	Sub-criterion 1.2 Manage the organisation, its performance and its continuous improvement
Sub-criterion 1.3 Motivate and support the people in the organisation and act as a role model	Sub-criterion 1.3 Motivate and support the people in the organisation and act as a role model
Sub-criterion 1.4 Manage the relations with politicians and other stakeholders in order to ensure shared responsibility	Sub-criterion 1.4 Manage effective relations with political authorities and other stakeholders
Criterion 2: Strategy and Planning Consider evidence of what the organisation is doing to...	Criterion 2: Strategy and Planning Consider what the organisation is doing to...
Sub-criterion 2.1 Gather information relating to present and future needs of stakeholders	Sub-criterion 2.1 Gather information on present and future needs of stakeholders as well as relevant management information
Sub-criterion 2.2 Develop, review and update strategy and planning taking into account the needs of the stakeholders and the available resources	Sub-criterion 2.2 Develop strategy and planning taking into account the gathered information
Sub-criterion 2.3 Implement strategy and planning in the whole organisation	Sub-criterion 2.3 Communicate and implement strategy and planning in the whole organisation and review it on a regular basis
Sub-criterion 2.4 Plan, implement and review modernisation and innovation	Sub-criterion 2.4 Plan, implement and review innovation and change
Criterion 3: People Consider evidence of what the organisation is doing to...	Criterion 3: People Consider what the organisation is doing to...
Sub-criterion 3.1 Plan, manage and improve human resources transparently with regard to strategy and planning	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 the employees aligning individual and organisational goals	Sub-criterion 3.2 Identify, develop and use competencies of the employees aligning individual and organisational goals
Sub-criterion 3.3 Involve employees by developing open dialogue and empowerment	Sub-criterion 3.3 Involve employees by developing open dialogue and empowerment, supporting their well-being
Criterion 4: Partnerships and Resources Consider evidence of what the organisation is doing to...	Criterion 4: Partnerships and Resources Consider what the organisation is doing to...
Sub-criterion 4.1 Develop and implement key partnership relations	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 4.2 Develop and implement partnerships with the citizens/customers
Sub-criterion 4.3 Manage finances	Sub-criterion 4.3 Manage finances
Sub-criterion 4.4 Manage information and knowledge	Sub-criterion 4.4 Manage information and knowledge

Sub-criterion 4.5 Manage technology	Sub-criterion 4.5 Manage technology
Sub-criterion 4.6 Manage facilities	Sub-criterion 4.6 Manage facilities
Criterion 5: Processes Consider evidence of what the organisation is doing to...	Criterion 5: Processes Consider what the organisation is doing to...
Sub-criterion 5.1 Identify, design, manage and improve processes on an ongoing basis	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 5.2 Develop and deliver citizen/customer-oriented services and products
Sub-criterion 5.3 Innovate processes involving the citizens/customers	Sub-criterion 5.3 Coordinate processes across the organisation and with other relevant organisations

RESULTS	
CAF 2006	CAF 2013
Criterion 6: Citizen/Customer-oriented Results Consider what results the organisation has achieved (in its efforts) to meet the needs and expectations of citizens and customers through...	Criterion 6: Citizen/Customer-oriented Results Consider what the organisation has achieved to meet the needs and expectations of customers and citizens, through the results of...
Sub-criterion 6.1 Results of citizen/customer satisfaction measurements	Sub-criterion 6.1 Perception measurements
Sub-criterion 6.2 Indicators of citizen/customer-oriented results	Sub-criterion 6.2 Performance measurements
Criterion 7: People Results Consider what results the organisation has achieved to meet the needs and expectations of its people through...	Criterion 7: People Results Consider what the organisation has achieved to meet the needs and expectations of its people through the results of...
Sub-criterion 7.1 Results of people satisfaction and motivation measurements	Sub-criterion 7.1 Perception measurements
Sub-criterion 7.2 Indicators of people results	Sub-criterion 7.2 Performance measurements
Criterion 8: Society results Consider what results the organisation has achieved in respect of impact on society, with reference to...	Criterion 8: Social responsibility results Consider what the organisation is achieving in respect of impact on society, with reference to the results of...
Sub-criterion 8.1 Results of societal measurements perceived by the stakeholders	Sub-criterion 8.1 Perception measurements
Sub-criterion 8.2 Indicators of societal performance established by the organisation	Sub-criterion 8.2 Performance measurements
Criterion 9: Key performance results Consider the evidence of defined goals achieved by the organisation in relation to...	Criterion 9: Key performance results Consider the results being achieved by the organisation, in relation to...
Sub-criterion 9.1 External results: outputs and outcomes to goals	Sub-criterion 9.1 External results: outputs and outcomes to goals
Sub-criterion 9.2 Internal results	Sub-criterion 9.2 Internal results: level of efficiency



The Common Assessment Framework (CAF) is a result of the co-operation among the EU Ministers responsible for Public Administration.

The CAF is offered as a common tool to assist public sector organisations to use quality management techniques in public administration. It provides a general, simple, easy-to-use framework, which is suitable for a self-assessment of public sector organisations and their development towards Excellence!

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