CAF Improvement identification, prioritisation and implementation

A study of inspiring practices installed in 20 Public Sector organisations throughout Europe and the methodologies for prioritisation.

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Executive summary

Under the Italian Presidency of the Council of the EU during the second semester of 2014, the focus was on the impact of the use of the Common Assessment Framework CAF on public sector organisations, in particular in the Sector of Education. One of the most remarkable conclusions of the study, undertaken by EIPA on demand of the Italian Presidency[1], was that scores of all eight CAF results sub-criteria increased after each CAF implementation in 12 cases.

The present study builds further on the findings of the Italian study, broadening the scope to organisations of the whole public sector and describing more in detail the different good practices that were installed in 20 organisations from 13 different countries. As the CAF stimulates the holistic approach of the Total Quality Management to improve the performance of the public sector organisations, based on the Plan Do Check and Adapt (PDCA) circle of continuous improvement, the interconnection between the enablers and the results criteria is fundamental. To understand possible impact lines, theoretical insight is not sufficient. Examples of concrete success stories, evidence-based, described by the process owners themselves, indicating what kind of efforts they undertook to improve their performance are indispensable. Thanks to the engagement of all our European National CAF correspondents, the Slovak presidency and the European CAF Resource Centre at the European Institute of Public Administration EIPA received 43 cases and had the difficult task to select 20 of them. The selected organisations were found to be inspiring and innovative, dealing with themes of the Strategy Paper[2] (July 2016 - July 2019) of the European Public Administration Network (EUPAN) and the Rolling Programme of the different presidencies in the coming 3 years[3].

PART 1: 20 improvement actions leading to better performance as the result of CAF

The study presents the 20 cases in-depth per country. Each time, after a short introduction of the organisation, the case description starts with the description of the improved results of the organisation because these are the final criteria for success of the improvement efforts. In chapter 2, the authors deal with the implemented improvement or their change project(s) after the CAF self-assessment, leading to the results mentioned. Finally, they explain how they made their strategic choices for the undertaken actions, sometimes based on a European or national prioritisation methodology, sometimes based on their own approach.

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[1] Refere CAF in the Education Sector. Successful stories of performance improvement. 2014. Italian Presidency of the Council of the European Union. http://www.eipa.eu/files/File/CAF/CAF%20Education%20Research%20Report_20150601.pdf

[2] EUPAN Strategy Paper (July 2016-July 2019)
http://www.eupan.eu/files/repository/20160801161004_First_EUPAN_Strategy_Paper.pdf

[3] Good governance, HR Innovation and organisational development, service innovation and delivery and nearly all the topics under each domain are dealt with in CAF that provides adequate operational approaches at organisational level.

For this executive summary, the cases are clustered according to the relevant domains of public management.

Cluster 1: The effectiveness of stakeholder involvement

The education and guidance needs of the Italian Secondary Education Institute Galilei-Artiglio, Viareggio, Italy

Gathering information on the present and future needs of stakeholders as well as relevant management information is the basis of success for this education institute. 20% increase of the new entrees, 40% increase of the attendances to seminars of in depth study and 20% increase of good reports by companies where students have done their internship. This shows that the main strategic initiatives taken were successful. Most important were the surveys about the future employment of the graduates from this school in the employment market their choices at university, the organisation of seminars and scientific post-graduate courses.

Increased stakeholder involvement in the planning of the Consumer Ombudsman's work and priorities. Consumer Ombudsman, Norway

The organisation has installed a more systematic approach to obtain relevant information from stakeholders in the planning of the organisation's priorities for the coming year. It held a series of meetings with relevant stakeholders during the planning phase of the action plan. Selected stakeholders where invited to give presentations to the organisation. The foreword of the organisation's plan of action 2016 highlights the increased influence of its stakeholders.

Cluster 2: Human Resources Management

HR Management at the District of Upper Bavaria, Germany

The installed HR Management at the District considers the employee as the foundation of its success. The most relevant components that were established were a standardised feedback system for the executive staff by the employees to improve their management skills, a curriculum for the executive staff and middle management, the introduction of an operational health management system within the district and external assessment of the organisation and key processes at the HR department.

Innovative Human Resources Management in the Lisbon Municipality, Portugal

By using CAF as a guide, this Municipality was able to provide a clear vision on HR responsibilities and build up the HR Function by creating training teams that work with managers, promoting voluntary and short-term participation on projects, aligning organisational and individual competences with respective development plans and creating a learning community for performance management. Employees' participation levels on training increased by 21% and more than 126 employees (250 hours of training) were trained on topics such as HR Function and in internal client relations.

Cluster 3: Performance and Strategic Management

Consequences of the implementation of Performance Management in the entire Federal Administration for the CAF-results in DG III of the Federal Chancellery, Austria

The comprehensive introduction of performance management in the Federal Administration in 2013 had a big impact on the CAF results in Leadership and Strategic management in DG III of the Federal Chancellery. With the introduction of the new system of performance management, the Federal Chancellery has developed a mission statement, outcome-goals, measures, indicators on all levels and an evaluation system.

Strategic planning in the Flemish Department of Agriculture and Fisheries, Belgium

The outcome of the CAF exercise at the Flanders Department of Agriculture and Fisheries can be summarised as the need for one overall 'strategic exercise'. Several SWOT analysis with internal and external stakeholders prepared the exercise and identified trends. A two-day strategic seminar with management representatives and key persons resulted in the new strategic framework with a mission statement, vision, strategy and values for the new organisation. Within this strategic framework, the organisation further elaborated several key elements such as the HR strategy, integrity, diversity, wellbeing and communication). It defined and followed up operational plans.

Cluster 4: CAF based TQM Management

Stakeholder analysis in the Hessian Administration for Land Management and Geoinformatics, (HVBG), Germany

HVBG is in the process of reducing personnel expenditure and costs of infrastructure. It concentrates on core duties and offers good products and services to core customers. It improves processes and technology to reduce treatment/process times in order to reduce process costs or to decrease complaints on products/service. HVBG invests at the same time in personnel development and technology. All this is achieved by implementing Strategic Management including contracts with political leadership (2010, 2011-2016 and 2017-2022), partnerships with relevant organisations/core customers, leadership development programs for all hierarchical management, staff development activties/programmes, teamwork-structure in every section of the organisation and Process, Knowledge and Project Management since 2009.

CAF-inspired Leadership in the City of Vienna, Austria

CAF is shown to be a useful tool to enable executives to quickly and successfully take up their new position, and to optimise an organisation in an evolutionary way. The new management optimised values, strategies, structures, processes, facilities for people and other managerial assets. It transformed the former authoritative one-person leadership into a multi-competences leadership team by introducing division coordinators, executive departments and decentralised administrative units. A thorough remodelling regarding the organisational structure and procedures took place, following the principles of modern leadership and involving staff and stakeholders. Targets of the new leadership

culture were for example: enhance trust, promote a positive error and complaint culture, develop management principles, implement a mission statement for leadership and develop an education strategy for senior staff.

Walking hand in hand with taxpayers towards Excellence in the Benidorm Treasury Department, Spain

Thanks to different improvement activities, the Treasury department realised a remarkable increase in the number of tax settlements and reverse-charges paid, tax collections during the voluntary and the enforcement period, economic transparency, interdepartmental coordination, satisfaction of citizens and employees, accessibility of facilities and partner involvement. It decreased the number of complaints filed, the average payment period, the indebtedness level and the local debt amount. It created two professional social communities, simplified processes, made all procedures accessible by electronic means and new electronic payment systems. It established an information exchange system with regular surveys and meetings, a training plan and gradual empowerment and specialisation of some employees, a Services Charter for the citizens and an advanced management and payment system as well as public-private agreements.

Cluster 5: Customer and people oriented continuous improvement

Continuous improvement of the Ministry of Finance, Estonia

Results under criterion No 6 citizens/clients and under the key performance results criterion No 9 strongly improved during the recent years but in criterion No 7 the people results only slightly raised. The citizens/customers and partners needs were better understood which led to more and better e-services for the clients. New agencies started up: the Information Technology Centre of the Ministry of Finance aimed at offering ICT support and the State Shared Service Centre consolidating of all the support services. Changes in the budgeting process and the efficient application of EU Structural Funds resources also led to the advancement of services and a better governing system. Constant changes in the people management took place with the elaboration of a personnel policy document, a better accessibility of information, a more understandable salary system and fundamental changes in the system of appraisal interviews in line with the competency model.

Process innovation in order to improve the customer satisfaction of the Automobile Club d'Italia, Savona, Italy

The Savona Territorial Unit achieved remarkable results regarding the users satisfaction of services (from 40% to the current 70%), the satisfaction of the people (from 50% to the current 90%) and the reduction of the citizen waiting times (from an average of 20 minutes to an average of 5 minutes). This could be realised thanks to the improvement of the front-office processes and, in the meantime, to the development of a systemic and structured system of complaints monitoring to check the status of the improving actions. The major improvement area defined in the CAF self-assessment was managing peak working hours at the front office.

Cluster 6: Staff involvement

The initiative-system in the State Residential School Liminka, Finland

The staff of the residential school is actively involved in the development of activities through the renewed initiative work. The number of initiatives launched by the staff has risen from 16 in 2010 to 84 in 2014. Initiatives are a good tool for improving safety and shared ownership in the very demanding everyday tasks of the organisation. The management made presenting initiatives as easy as possible. People enter the initiatives directly to an electronic 'MAP', i.e. the management and operational system of the organisation. In case somebody wishes so, he or she can ask the management to write the initiatives into the system by face-to-face contact or e-mail. The management team deals with the new initiatives on a monthly basis.

The Bank of Ideas in the Customs Chamber of Bialystok, Poland

The Bank of Ideas improves the process of internal communication, both vertically as well as horizontally. On a regular basis, the management at all levels is informed about all the aspects of activities need to be improved and which are important to staff. The functioning of the Bank of Ideas improves the satisfaction of officers/employees and increases the identification of officers/employees with the service. The Bank of Ideas is a costless platform through which every employee of the local customs chamber can submit any idea to improve the organisational culture and governance. The Bank of Ideas promotes the innovation of processes and the creativity of officers and employees. This case presents three major improvement activities: the Mobile application Granica, providing full information about the waiting time at the Polish border crossing with Russia, Belarus and Ukraine (1), the unification of the email addresses structure for receiving customs declarations (2) and the electronic communication with the district courts (3).

Cluster 7: Working together for better outcome

Target-oriented network leadership of educational services in the Päijät-häme, Finland

A network of independent municipalities in the region of Päijät-häme has built a common vision on educational services and the municipalities are committed to work together in a cooperative manner. The vision is present in the production of educational services and harmonising those though common principles. The network-based approach involving central operators from different municipalities in the same service provision chain and under the same direction has turned out to be a well-functioning method of collaboration. The proposed measures affect all profit centres, customers scores, staff scores, social responsibility scores and key performance scores. The basis is a CAF based operating system for network leadership. The commitment of city and municipality governments to operative cooperation is essential. Plans for developing new networks for substance areas, starting common projects and building an electronic database, are on the table.

Quality route creating passion and commitment in the Six Schools Group Figueira Mar, Portugal

Six Schools Group Figueira Mar is a multilevel institution located in Figueira da Foz, consisting of 6 public schools with 1200 students and all levels of education from pre-school to regular and vocational secondary education. CAF allowed the reflection about the newly formed school cluster. Starting from the vision of each school, they construct a holistic identity and culture, mobilising the entire school community in order to make investments in improving student-learning environment and to enhance stakeholder satisfaction. They developed strategic documents focused on the identity of the recent school cluster such as the Educational Project, the Regulation and the Welcome programme to new teachers, students and parents. The cluster applied satisfaction surveys to stakeholders (partners, students, parents and staff) which highlight leadership, administrative organisation, resource management and educational strategies.

Cluster 8: Sharing information

The Integrated Information System (IIS) of the Hellenic Military Geographical Service, Greece

HMGS has designed, developed and implemented an Integrated Information System (IIS) for the dissemination of all pertinent geographic information to the public, as well as to both public and private institutions. Successful completion relied upon the adaptation of current e-shop technologies and practices. HMGS's objective was to deliver accurate, precise, real-time information on all available, distinct Geospatial Materials and allow for directory browsing, product selection and purchase. Sales and inventory monitoring result in improved production capacity and efficiency. The IIS implementation has proven to be an important aid to leadership. Management practices reflect upon performance and are appropriately fine-tuned to support continuous improvement and innovation, hence fostering effective relations with the stakeholders. Furthermore, the IIS allows for clear vision and proactive planning, since data analytics offer insights on the present and future needs of stakeholders and drive resource allocation.

The Administrative Information Service System (AISS) in the Administrative Unit Celje, Slovenia

The Administrative Information Service System Celje (AISS) contributed to an even better cooperation between the Administrative Unit Celje and other authorities. The information passed through AISS enables their clients to declare their requests with all necessary attachments. Because of this, the authorities can solve the requests more effectively and before legal time limits. Resulting in higher satisfaction of clients and employees. While determining the satisfaction of other authorities of Administrative Unit's Celje work, the grade received was 'excellent'. Since 2013 all cases are being solved in or before legal time limits at the Administrative Unit Celje.

Separate theme: Communication as the driver for change

A quality approach focussed on internal and external communication in the "Haut Ecole" of Hainaut, Belgium

A continuous improvement of the communication and strategic skills led to the promotion of a culture of quality in this education and training institution. It targets the future students, learners and graduates (alumni) as well as teachers, administrative and technical employees of the HEH. Different approaches were installed: a participative organisation for external communication, the elaboration of a Quality Charter and its internal diffusion with planned self-awareness of each item, an effective internal communication with extranet, computerised support, free programmes, online learning tools supported by an IT team, and projects alike a welcome guide and alumni follow-up.

Separate theme: Internal recruitment of managers

The internal recruitment procedure for managerial positions in the Tax Chamber of Wroclaw, Poland

The setting of a transparent procedure for managerial positions not only contributed to better management of human resources as such with reference to the organisation's goals but also improved the satisfaction and motivation of the employees. In the Polish civil service there are no recruitment regulations dedicated to the mid and lower level managerial positions in the tax services. These are treated as regular civil service positions. In order to provide better transparency of recruitment and better alignment of the employees hired to the organisation's goals, a recruitment procedure was established defining rules and selection criteria.

Separate theme: Process Management

The use of 6σ (Lean – Six Sigma) for streamlining processes in the Implementation Agency of the Slovak Ministry of Employment, Social Affairs and Family, Slovakia

The implementation of Lean Six Sigma into the process approach brought measurement of the employee's performance along with the impact to their financial remuneration, the reduction of the error rate and major acceleration of service delivery. A management information system (ATTIS) was introduced to the entire organisation (250 employees). Other aspects were the mapping of the key processes and the assistance of the management and support processes by PRINCE2® project management.

PART 2: The prioritisation methodologies

Self-assessment reports are very rich, point out several areas of improvement and often contain more than 100 to 150 concrete improvement proposals of self-assessment teams. However, successfully managing an organisation towards excellence includes making choices and implementing targeted improvement actions that really contribute to sustainable maturity of the organisation. The CAF model does not prescribe a particular prioritisation methodology and many public sector organisations are struggling with this strategic aspect. Some countries have developed their own prioritisation approach and promote it amongst their users.

Based on the methodologies described in part 2 of the study we can make a distinction between four types of methodologies.

1. The methodology developed by EIPA and spread at the European level

This methodology is based on the Belgian experiences and used during the European trainings and coaching by EIPA. In line with the motto of CAF to concentrate on the most relevant aspect of the analysis, the Self-Assessment Group(s) -with or without the leaders included- are invited to formulate SMART (Specific, Measurable, Acceptable, Relevant and Time bounded) improvement actions related to what they consider the most relevant areas of improvement per sub-criterion. In this sense, the members of the self-assessment groups give already a first direction to the improvement activities. Indeed, from then on, the focus shifts from the analysis of strengths and areas of improvement to the evaluation and prioritisation of the proposed actions and the elaboration of the strategic improvement action plan.

In the prioritisation phase, collaboration between the managers and the members of the self-assessment group(s), representing in some way the whole staff, is very important. In case the management team was not represented in the self-assessment group or did not undertake a self-assessment on it's own, the management team is for the first time actively involved in the decision making process on the future. For the members of the self-assessment team(s) on the other hand, it is very often the first time in their career that they can discuss with the middle and top management on strategic and operational issues. They live this as a very rewarding experience. Often it is for them the start of a long-term involvement in the improvement of the organisation.

Defining the Quick Wins, with the engagement to realise these actions within a short delay, weighing the strategic impact (SW) of the rest of the proposed actions and evaluating the ease of implementation (EIM) of the most important actions, demands in-depth reflection. Defining the priority of implementation (PIM) and the final choice of the actions depend to a high extend of the quality of these discussions and the trust between the actors.

2. Methodologies developed by National CAF Resource Centers

In 2 countries, the national CAF resource centre and the national CAF correspondent developed themselves a methodology that is disseminated in the country.

2a. The Italian approach

In the five phases of the Italian method, the selection of the priority areas for improvement involving staff and management is the important starting point.

In phase 1, the Self-Assessment Group (SAG) makes a cross-sectional synthesis of the weak points that appear in all the sub criteria and classifies them according to three characteristics: recurrence, strategic importance and operational importance.

In phase 2, the SAG and Manager define between 4 to 6 Critical Success Factors (CSF's) related to the mission, vision and strategic objectives of the organisation. They assess the importance or relevance of each sub criterion for the achievement of the CSFs. Per sub criterion, the total score is made and purely mathematically calculated on a scale from 1 to 10 to define the relevance of each sub criterion. By crossing the relevance of each sub criterion with the score obtained in the CAF self-assessment, 4 priority levels are defined amongst the sub criteria. Especially the recurrent and strategically important weaknesses of the sub criteria with priority 1 (high relevance and low score) and priority 2 (low relevance and low score) are analysed, resulting in a preliminary list of weaknesses between 8 and 15.

In phase 3, the SAG defines possible improvement initiatives for each weakness. After clustering, this can lead to 6 to 12 initiatives.

In Phase 4, the SAG defines for each improvement initiative its impact on the critical success factors, the feasibility and the realisation time, information that must help the manager to make his final decision.

In phase 5, the manager decides on executing 3 to 5 actions beside a number of Quick Wins.

Very important in the Italian approach is the cross-sectional synthesis of the weak points during the CAF self-assessment and the definition of the CSF's that are the basis for the evaluation of the relevance of the sub criteria by the SAG and the Manager. To a certain extent, this adds an extra dimension of the use of the CAF, that does not weigh the sub criteria. The four priority levels help to focus on the most needed action radius. As in other methodologies, impact, feasibility and realisation time of the action proposals are evaluated.

2b. The Portuguese approach

The first step in the Portuguese methodology brings the proposals for improvements from the self-assessment teams together with the stakeholder's suggestions from the satisfaction surveys and clusters them in topics. Integrating stakeholder's suggestions is particular in this approach. The Quick Wins amongst the proposed actions are directly set aside as in the EIPA methodology and will be realised anyhow.

Step two defines the relevance of the rest of the improvement actions for the organisational objectives.

In step three, the proposed relevant actions are ranked according to three criteria: the impact of the action on the organisational performance, the capacity of implementation of the action and its impact on the clients' satisfaction, similar to the EIPA's and the Italian criteria. An execution schedule for the overall improvement plan allows monitoring the systematic follow up. Each action form deals with all the aspects that needs to be taken into consideration to make it successful.

3. Recommendations for prioritisation at national level

In other countries, the national CAF Resource Centre did not elaborate a comprehensive national methodology for prioritisation but shares different ways that are used in organisations to come to their action plan.

3a. Poland

In one approach, the self-assessment group defines in advance concrete characteristics for the improvement actions to be formulated, e.g. in one case 12 characteristics were formulated. Amongst the suggested actions, the organisation selects for implementation the actions linked to the sub criteria with the weakest scores.

In another method, the management defines the prioritisation criteria in line with the strategic objectives of the organisation.

In the third methodology, the members of the self-assessment group and the managers reformulate together the proposed actions to bring them more in line with the improvement areas. Then the impact on the strategic objectives and the capacity to implement the action are evaluated and ranked. Out of five proposed actions, three are implemented in the current year.

3b. Austria

The Austrian CAF Centre also recommends a limited number of milestones. A list of by average 80 improvements actions as the result of the consensus meetings of the self-assessment group SAG is discussed in a workshop with representatives of the SAG and the management. Quick Wins are defined. Out of the remaining actions, the 10 to 12 most important are selected and further specified and clustered. Afterwards, working groups draft project descriptions and plenary sessions find consensus. The low prioritised actions are dealt with after the implementation of the project plans.

3c. Finland

The methodology of prioritisation used in the State Treasury can be seen as an example for other public organisations. All proposals for improvement are analysed on their usefulness and the amount of work to install them. The combination of both criteria leads to a ranking from most promising, to potential and least promising actions. Quick Wins are clearly defined and together with the actions leading to

future goals, launched straight away. Potential and future proposals are reflected on the strategic priorities and financial possibilities of the organisation. They are evaluated on their effect on the efficiency and effectiveness of the organisation, on the critical time for action and the importance of the enabling or risk minimising nature of the action. A maximised participatory discussion on the final choice of the action commits staff in the preparation of the future.

4. The methodology of the Slovak case

All employees are invited to introduce proposals for improvement, not only the members of the self-assessment group. The management and the CAF team define the priority of the according to the scores of the CAF criteria (CC) and the CAF Principles of Excellence (PoE). Based on the questionnaire of the 3rd pillar of the CAF Procedure on External Feedback, the fulfilment of the principles of Excellence are analysed and the results integrated in the PoE index, indicating the level of maturity. The CAF index (I_{cc}) shows the urgency of action in a specific sub-criterion. The final priority index (I_p) is an addition of the I_{cc} index (urgency) for 60% and the PoE index (level of maturity) for 40% : $I_p = 0{,}6*I_{cc} + 0{,}4I_{poe}$. In this methodology, the maturity level plays a more important role then in the other approaches.

Characteristics of the different prioritisation methodologies

All the methodologies have a number of aspects in common to a certain extent:

- In the starting phase they all define Quick Wins.
- The appreciation of strategic importance or impact of the improvement actions as such or in relation with the strategic objectives of the organisation are always present.
- The analysis of most aspects of the feasibility of the actions are always taken into consideration.
- The final decision always lays in the hand of the management.

There are differences regarding:

- The involvement of all staff and other stakeholders in the introduction of proposals for improvement.
- The involvement of the SAG members in the choice of the actions.
- The number of chosen actions.
- The integration of the level of maturity according to the Principles of Excellence in the method.

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Acknowledgements

Introduction

Introduction

Under the Italian Presidency of the Council of the EU during the second semester of 2014, the focus was put on the impact of the use of CAF on public sector organisations, in particular in the Sector of Education.

The Common Assessment Framework (CAF)[4] is a result of the co-operation among the EU Ministers responsible for Public Administration. A pilot version was presented in May 2000 and revised versions were launched in 2002, 2006 and 2013. The CAF is an easy-to-use, free tool to assist public-sector organisations across Europe in using quality management techniques to improve their performance. The CAF is a Total Quality Management (TQM) tool which is inspired by the major Total Quality models in general, and by the Excellence Model of the European Foundation for Quality Management (EFQM) in particular. It is especially designed for public-sector organisations, taking into account their characteristics. The model 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; a holistic approach to organisation performance analysis. Since the year 2000, nearly 4500 public sector organisations all over Europe have used the model and the number of CAF Users is still growing.

CAF aims to be a catalyst for a full improvement process within the organisations 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 full-fledged "Plan-Do-Check-Act (PDCA)" cycle;
3. To facilitate the self-assessment of a public organisation in order to arrive at a diagnosis and improvement actions;
4. To act as a bridge across the various models used in quality management;
5. To facilitate bench learning between public-sector organisations.

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 6-8, results achieved in the fields of citizens/customers, people and social responsibility are measured by perception and performance measurements. The external and internal key performance results are measured on well-established key performance indicators.

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[4] The Common Assessment Framework (CAF) – Improving Public Organisations through Self-Assessment, EIPA 2013

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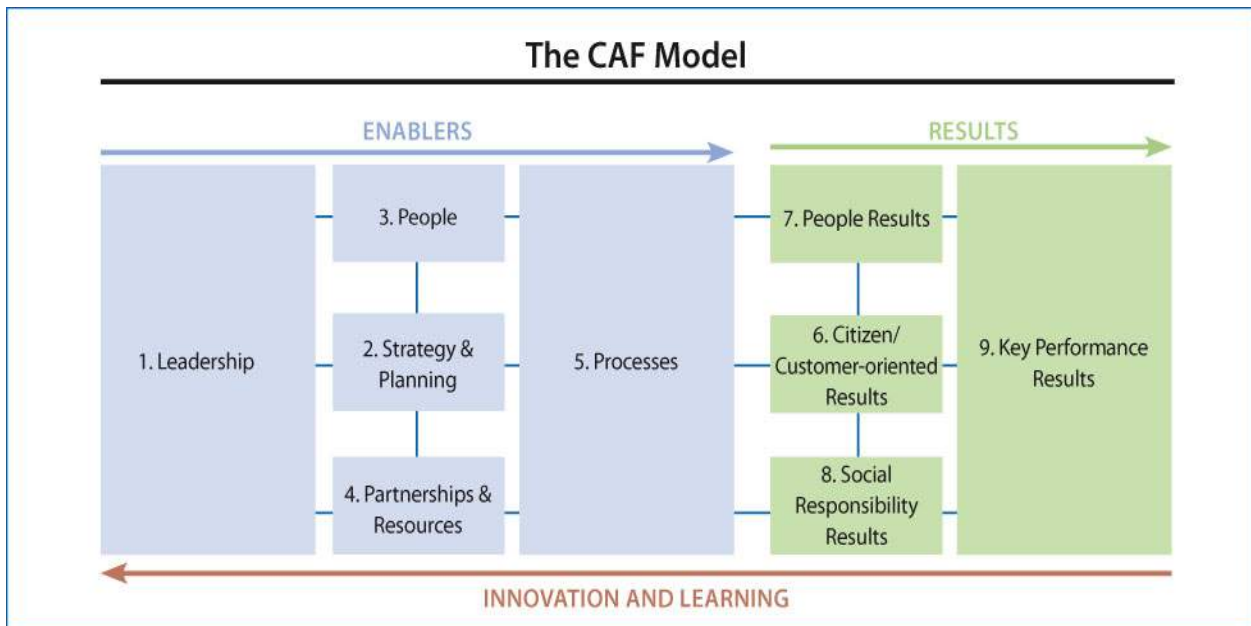
Organisations are free to adapt the implementation of the model to their specific needs and contextual circumstances; however, the structure of the model, with the 9 criteria and the 28 sub-criteria, as well as the use of one of the assessment panels is strongly recommended as it is to implement the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

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.

TEN STEPS TO IMPROVE ORGANISATIONS WITH 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

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.

One of the most remarkable conclusions of the study, undertaken by EIPA on demand of the Italian Presidency[5], was that scores of all eight CAF results[6] sub-criteria increased after each CAF implementation. In some cases it was a rather modest 3 to 4% increase, but in others the increase was rather substantial, up to 8 and 9%. As the result of self-assessment, improvement activities were undertaken that led to this better performance of the organisation. 12 concrete change stories from educational institutions out of 5 countries described how these improvement actions in the areas of the 5 enablers criteria have led to their better performance.

This new study wants to build further on the findings of the Italian study, broadening the scope to organisations of the whole public sector and describing more in detail the different good practices that were installed in 20 organisations from 13 different countries. The self-assessment of public sector organisations, using the TQM mirror of the CAF, indicates strengths of the organisations in the field of 28 sub-criteria as well as areas of improvement. An important added value of the TQM approach in comparison with other methods that focus on internal control standards, is that CAF users also have to evaluate their 4 results domains and are able to measure progress or decline of their performance in time. Choosing the most needed improvement actions after the self-assessment is important to enhance these results. So the link between results and enablers is crucial but not unequivocal, not always in a one-to-one relation. To understand possible impact lines, we need examples of concrete success stories, evidence-based, described by the process owners themselves, indicating what kind of efforts they undertook to improve their performance.

Therefore the transferability of the inspiring practices was an important criterion for the selection of the cases but they should of course be innovative, being part of a coherent approach of organisational

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[5] Refere CAF in the Education Sector. Successful stories of performance improvement. 2014. Italian Presidency of the Council of the European Union. http://www.eipa.eu/files/File/CAF/CAF%20Education%20Research%20Report_20150601.pdf

[6] The 8 sub-criteria of the results area in CAF:
  Criterion 6: Citizen/Customers-oriented Results
    Sub-criterion 6.1: Perception measurements
    Sub-criterion 6.2: Performance measurements
  Criterion 7: People Results
    Sub-criterion 7.1: Perception measurements
    Sub-criterion 7.2: Performance measurements
  Criterion 8: Social Responsibility Results
    Sub-criterion 8.1: Perception measurements
    Sub-criterion 8.2: Performance measurements
  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

development and by preference dealing with themes of the Strategy Paper[7] (July 2016 - July 2019) of the European Public Administration Network (EUPAN) and the European agenda as mentioned below.

Self-assessment reports are very rich, point out several areas of improvement and often contain more than 100 to 150 concrete improvement proposals of self-assessment teams. However, successfully managing an organisation towards excellence includes making choices and implementing targeted improvement actions that really contribute to sustainable maturity of the organisation. The CAF model does not prescribe a particular prioritisation methodology and many public sector organisations are struggling with this strategic aspect. Some countries have developed their own prioritisation approach and promote it amongst their users. EIPA has worked out together with Belgium a prioritisation methodology and presents it during its training sessions and in the coaching of CAF implementation it undertakes. But very often organisations do it in their own way. A lot can be learned from each other in this field. Therefore, the participating organisations were asked to present shortly how they made their choice of the improvement area they wanted to tackle after the self-assessment. The purpose of the chapter on prioritisation in the study can thus not be to create a unified prioritisation approach. It wants to show what is done by our CAF users and how we can learn from each other.

As CAF is a holistic instrument, nearly all the aspects of the functioning of public sector organisations are involved, including these aspects that are in the focus of the new Strategic Plan of EUPAN, and the Rolling Programme of the different presidencies in the coming 3 years. Good governance, HR Innovation and organisational development, service innovation and delivery and nearly all the topics under each domain are dealt with in CAF that provides adequate operational approaches at organisational level.

Before going in-depth into the content and the qualitative impact of the CAF in public sector organisations, it might be useful to give a short quantitative overview of the use of the model in and outside Europe since its creation in 2000. As there is no obligation to register as a CAF User in the CAF Users database at the CAF Resource Centre in EIPA, the following overview is non-exhaustive. The number of registered CAF Users grew from 288 in 2005, over 2066 in 2010 to nearly 4000 in September 2016. Especially after the reviews of 2006 and 2012 a boost in the use of the model took place. Tables 1 and 2 illustrate this growing international users community.

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[7] EUPAN Strategy Paper (July 2016-July 2019)
http://www.eupan.eu/files/repository/20160801161004_First_EUPAN_Strategy_Paper.pdf

Table 1: The CAF Database on 1 September 2016: 3887 registered CAF Users in 52 countries and European Institutions and 74 Effective CAF users Labels

Country	ECU	Country	ECU	Country	ECU
Italy - 913	38	**Czech Republic** - 73	1	**Luxembourg** - 14	4
Poland - 412		**Greece** - 68		**EU Institutions and EC** - 13	1
Germany - 357	4	**Slovakia** - 60	9	**FYROM -** 13	1
Belgium - 342	6	**Spain** - 55		**Bulgaria and Iceland** - 12 **Turkey -** 11	
Hungary - 316		**Romania** - 49		**Latvia and UK** - 8	
Denmark - 248	1	**Lithuania** - 30	2	**The Netherlands, Croatia** - 7 **Ireland** - 6	
Portugal - 195	3	**Switzerland** - 29		**Sweden** - 5	
Finland - 137		**France** - 27		**Cape Verde, Russia** - 4	
Austria - 99	5	**Bosnia-Herzegovina** - 20		**Ecuador -** 3	
Norway - 92		**Cyprus** - 19		**Indonesia, China, Namibia, Tunisia, Serbia, Montenegro, Egypt, Georgia** - 2	
Dominican Republic - 87		**Estonia** - 18		**Kosovo, Morocco, Peru, Ukraine** - 1	
Slovenia - 76		**Malta** - 15		**Brazil, Ivory Coast, South-Africa** - 1	

Table 2: The CAF Database on 1 September 2016: overview of the users per sector

Sector	CAF Users	Sector	CAF Users
Education and Research	1082	Economy, agriculture, fisheries and trade	88
Local administration (municipalities, provinces)	919	Justice and Law	87
Social services and social security	410	Culture	57
Police and Security	175	Home affaires	53
Customs, Taxes and Finances	151	General policy and oversight, coordination	44
Health	144	Environment	31
Public sector management (P&O, budget, ICT etc.)	126	Foreign affairs Post and Communication	11 10
Transport, infrastructure, public works, utilities	89	Others	362

PART 1: 20 improvement actions leading to better performance as the result of CAF

Austria

Case: CAF-inspired Leadership in the City of Vienna

Vienna City Administration
Municipal Department (MD) 63
Commerce and Trade, Legal Aspects of Food Safety
Vienna, Austria

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Sector of the organisation: Local Government

Commercial law has a long tradition in Austria, dating back to the 19th century, and has been considered ever since a rather complex legal matter. Lying basically in the hands of federal legislation it is executed via indirect federal administration, leading, with regard to the Vienna City Administration, to the *Municipal Department (MD) 63 - Commerce and Trade, Legal Aspects of Food Safety* being in charge of matters concerning commercial law. MD 63 is also in charge of corresponding matters, mainly food law, public procurement law, EU/EEA Professional Qualifications Recognition Procedure, EU Services Directive (incl. Single Point of Contact).

This portfolio requires on the one hand a considerable amount of consulting services, on the other hand a highly professional performance, including solution expertise and readiness to innovate. Consequently the Head of Department of MD 63 was appointed *Director for Matters Pertaining to Electronic File Management, Electronic Procurement, the Services Directive, Industrial and Food Law*, being responsible for the coordination of all concerned issues for the entire City Administration. Under this mission MD 63 is also responsible for the programmes 'GEMMA' - expanding electronic file management - and 'eProcurement' within the City of Vienna, as well as being a cooperation partner to the Executive Group for Legal Affairs regarding the project 'e-Recht' (e-Law) and an operative and strategic partner to the cross-sectoral (on federal, provincial and municipal level) programme 'GISA - Gewerbeinformations-system Austria' (Trade Information System Austria). With respect to the challenging assignments the number of staff may be classified rather small: In total, 52 employees (34 female and 18 male) carry out all operative and strategic tasks.

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Criterion 1: Leadership, sub-criteria: 1.2 Manage the organisation

1. Description of the improved result(s) of the organisation

As briefly indicated above, MD 63 has grown to its augmented tasks. Behind this progress lies a profound organisational development. By using CAF as a regular Quality Management Instrument the performance of MD 63 has been gradually optimised in a holistic way. To a large extent the impact of CAF on Leadership was responsible for the successful development process by transforming the whole organisation into a well-structured and well-functioning 'work team'. The main prerequisites regarding leadership are listed in part 3, the main positive aspects of the development process are shown below, using the CAF-Results-Framework as pattern.

Impacts regarding Customers & Stakeholders

All stakeholders are identified and documented, periodical evaluations are performed. These measures provide accuracy in the context of customer orientation, although no major variances have occurred lately, save in connection with single projects.

> **Quote CAF External Feedback 2014: 'External Stakeholders (customers and partners) consider the expertise by the MD 63 staff as highly competent and their procedures well designed, flexible, solution-oriented and customer-oriented.'**

A constant cross-sectoral cooperation with the Economic Chamber ('Wiener Wirtschaftskammer') being one of the main stakeholders in matters of business founders has been established and has offered participation in significant new development projects: The common tool 'Trade online' ('Gewerbe online') allows a faster and more convenient processing of applications: applications are recorded at the Economic Chamber as part of the business-founders-consultation service, MD 63 continues and concludes the process.

The Complaint Management System, including an annual controlling report, shows a very low number of complaints, only 2 to 3 per year. This is the outcome of a sincere policy towards customer satisfaction, focussing on the identification of causes for complaints and preventive measures, accompanied by a high amount of self-responsibility and solution expertise on the side of the staff promoted by their superiors, e.g. by fostering a direct interchange of ideas and problem-solving approaches with the Economic Chamber as first point of contact for tradespersons.

Customer Surveys - with support of the PR-department - are periodically performed and show along the timeline a constantly high degree of customer satisfaction: 1,6 to 2,00 within a range from 1 to 5; specific items like Equality and Diversity included; the results are benchmarked by the PR-department with internal and external reference data.

Impacts regarding People

The awareness of the Head of Department for a supporting work situation is demonstrated by measures fostering *work-life-balance*; e.g. an annual work-time model, part time work for executives and mobile ICT-workplaces promote high staff satisfaction paired with efficiency.

> **Quote CAF External Feedback 2014: 'MD 63 is characterised by a particularly open organisational culture with evaluation-oriented leadership, high intrinsic motivation and excellent working atmosphere.'**

The staff survey on workplace situation and job-related psychic strain featured as an outstanding accomplishment and as an example of superior quality regarding the results (assessed by a medical officer) in the report of the 'CAF External Feedback'-Label.

The effects of *the transparent reward-system* - criteria for remunerations are listed on the intranet – are measured by performance indicators, which show sustained staff engagement, leading to increased productivity and augmented performance.

A new culture of trust promotes continuous improvement by higher willingness to cooperate and support innovation and change, proven by the engagement in voluntary team work, spontaneous work groups, work place mobility and the disposition to accept additional and new tasks eagerly.

High qualification of staff - quotation CAF External Feedback: 'The staff's evident readiness for innovation raises their career opportunities, which leads to a positive fluctuation; MD 63 acts as an elite training centre' - features as one of the facets in the positive image of MD 63.

The personally delivered annual report about the performance of MD 63 by the Head of Department to the staff not only shows the high esteem towards the employees but also leads to discussion on targets and expectations, thus promoting self-evaluation and fostering self-competence.

Impact regarding Social Responsibility

The work of MD 63 shows *direct impact on society in general and on business traders in detail*. Therefore highly professional performance is inevitable to safeguard Vienna as a sought after place for business as well as a city where people like to live. The positive share by MD 63 adds to the success of the City documented by the annual 'Mercer Study', listing Vienna in 2016 the City with the highest living standards for 7 times in a row.

How *effectively laws are executed* is equally important for target groups and society in general, as shown by the example of Food Law: MD 63 is responsible for legal aspects of food inspection and food safety, gives legal advice to other municipal departments engaged in food inspection and renders an expert opinion on amendments to federal food laws. Moreover, issues orders in case of food hygiene shortcomings in enterprises dealing with foodstuffs and fulfils control tasks concerning organic food production, labelling of organic products, imports, processing and trade.

The initiative to define a new target for the Viennese Contract Management System in favour of *promoting women in public procurement procedures* was substantially supported by MD 63.

MD 63 maintains *contact to migrants associations*, thus providing assistance/exchange of information regarding opportunities for business founding.

Impacts regarding Key Performance

The transformation from a monocratically steered organisation into *a matrix-organisation* and the reduction from 22 units to 12 different faculties and 3 executive departments provided the framework for more efficient procedures.

> *Quote CAF External Feedback 2014: 'MD 63 distinguishes itself by its engagement in process management'.*

The increase of productivity is visible by fulfilling additional tasks (e.g. the perennial programme 'GEMMA') despite gradual staff-reduction.

The consistency of quality in times of major changes in the legal framework, is documented by a *constant low number of amendment notifications.*

The proportion of the amount of *education for female and male employees features* in the annual report for the Chief Executive Director and shows a stable high rate of advanced training for female employees. *The proportion of female and male employees in leading positions*, being another feature in this annual report, documents a balanced proportion of male and female employees in higher positions.

The readiness of employees to *participate in additional assignments* and ad-hoc tasks has steadily increased as documented by the number of employees voluntarily engaged in projects and work groups.

The evaluation of *the role as key- and pilot-organisation*, measured by the number of times leading or participating in major projects or programmes as well as participating in the drafting of laws, shows an upward tendency.

The level of *continuous improvement* is documented by the number of optimisation projects within MD 63 as well as the number of CAF-Self-assessments (CAF-SA), topped by the CAF External Feedback-Label in 2014.

The *sincere observance of budget limitations* and the rise of productivity are evaluated by the (non-existent) numbers of budget-transgressions: so far the budget has at no time been exceeded, but constantly fallen below, in spite of extended assignments. Examples of cost reduction add to the evaluation of financial targets: by expanding online-procedures, about 2/5 of the expenses for stationary were saved.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

Starting point for change

At the time the latest change of management occurred, the CAF-SA results had already displayed the necessity for a more suitable organisational structure and a set of effective management instruments for MD 63. Based on detailed suggestions out of an internal development project the transformation from a strict line organisation into a matrix organisation was set in action by the Head of Department in accordance with the Chief Executive Director of the City of Vienna and the Executive City Councillor in charge.

The CAF-SA-report, as further means of advice for the change project acted, stating the complexity of recent challenges for MD 63, while also addressing New Public Management approaches required by the Chief Executive Director, comprising aspects of Diversity and Gender Mainstreaming, Quality Management, Complaint Management System, Customer Surveys, Knowledge Management, Risk Management including business continuity regarding ICT as well as periodical reports on targets and performance. With this blueprint for an ideal organisation CAF contributed to the new organisational design of MD 63.

The role of CAF, and the CAF Action Plan

From the first CAF-SA on, the determined needs for action had been documented in *a 'Work Book'* ('Arbeitsbuch'), including responsibilities and planned completion dates. From the 'CAF-2013' on, the former 'Work Book' was optimised into an *'Action Plan'* with an even more accurate prioritisation of actions.

At the time the new Head of Department started his work at MD 63, the tradition of evaluating the department's performance via CAF acted as a pillar of stability and provided tangible performance indicators, thus convincing the new Head of Department of all the CAF-merits. Consequently, *he used the CAF results, including the accurate list of strengths and areas of improvement, to assess the performance of MD 63, counting on the expertise of an experienced CAF-SA-team*. Furthermore he based his decisions regarding the reorganisation of MD 63 to a large extent on the CAF-expertise, herewith securing the continuity of the department's development while bonding the already identified areas of improvement to his vision of a modernised MD 63. By joining forces with the department's experiences and traditions, he also secured the motivation of the staff and fostered a climate of mutual improvement and innovation.

Tangible Benefits of the CAF-induced role of Leadership

When the new Head of Department showed his confidence in and esteem of the experienced employees by basing his plans for change on a profound analysis of the actual department's situation, taking into account the evaluation-results of the CAF-SA and withstanding an enforcement of unreflected schemes upon the organisation, a profound cultural change regarding the readiness of staff to work on changes and improvement pro-actively was induced. The reward was a noticeable positive development regarding productivity, rise of qualification and rise of satisfaction.

Highly motivated employees, effective management instruments and an orientation towards TQM-principles have built a solid basis for the organisation's ongoing improvement. The continuous use of CAF, actively encouraged by the Head of Department, has supported a deep-rooted cultural change towards an evaluation- and outcome-oriented organisation.

It is evident, that the continuity of the CAF-SA and the experienced CAF-experts-team contributed to the holistic evaluation of the department's performance. A comparison between the CAF's vision of a successful organisation and the evaluation-results by the department's CAF-SA offered a profound guideline for the modernisation of MD 63.

In 2014 the 'CAF External Feedback-Label' was gained for the first time. The latest CAF-SA has started summer 2016, the next CAF External Feedback is planned for 2017. By linking the CAF-SA with the Internal Control System (IKS) and the Knowledge Management System – each of them affording periodical self-evaluation – a further increase in efficiency is expected.

Changes to the Enabler Criteria 'Leadership' and 'People'

Leadership

- *Vision, Mission:* Commitment by the Head of Department to a profound culture of innovation and change; leading to higher self-competence and resulting in challenging new tasks as pilot-organisation.
- *Customer orientation* with rules of conduct, including rules of conduct for the communication with customers, were mutually defined and are documented in the mission statement.
- *Use of modern media* e.g. electronic files and processes, comprising all procedures and communication-processes.
- Establishing *a culture of trust* (assessed via CAF-SA regularly).
- Establishing a culture of *pro-active communication towards the employees.*
- *Increased motivation and engagement* (e.g. evaluated by percentage of sick-leave, which lies below the average of the City Administration; more tasks accomplished despite the diminished staff).
- *Participation in competitions* (victory at Speyer Quality Award and Best Practice Case at EPSA).
- The *CAF External Feedback* in 2014 provided a motivation boost for the entire organisation.

People

- The former solely on professional competence oriented appointment of executives evolved into *a leadership oriented approach*. This resulted in: alterations of job descriptions for managerial functions, leadership principles, management training programmes, network service 'career springboard' ('Karrieresprungbrett') to meet former and now promoted employees.
- Demands on the performance of employees have mounted considerably. Due to the new hierarchy-system of MD 63 most of the *employees face additional responsibilities out of leadership tasks*, project work, team work, ad-hoc-teams.
- *Optimised job descriptions*; *staff surveys* – recently with focus on psychological strain in the workplace; *staff orientation talks*; various work-time models and the involvement of people, secure the MD 63 the image of a sought after workplace.
- *An education coordinator* provides *an annual education concept* (with annually changing focuses) and facilitates the selection of *individual education plans*; MD 63 provides also education facilities for trainees.
- *Job-enrichment:* Due to modern work- and communication-techniques the jobs of typists were no longer needed to the former extent, therefore typists were educated to do (minor) expert tasks.

3. Description of the prioritisation approach that led to the chosen project

As mentioned above, the first CAF-SA opened the doors for a systematic approach towards improvement. Proof for the positive effect of CAF was achieved when the new Head of Department relied on its evidence-based pointers towards areas of improvement. This was the starting point for a target-oriented reorganisation of MD 63, comprising structural and operational measures as well as cultural changes. Therefore the choice of actions for improvement was aligned to the overall plan for reorganisation.

After the major structural changes a continuous improvement process was set into action, keeping the TQM-principles in mind, towards which the improvement actions were chosen by the Head of Department according to the suggestions by the CAF-SA-team and recent contract-targets.

By linking different management instruments to each other, a still more efficient management system will be gained. On forthcoming CAF-SAs these topics will face prioritisation, CAF in this context acting as effective driver, as it has done in the past. In general, the prioritisation of actions during the CAF-SA has been developed since 'CAF 2013' into a more methodical approach: The CAF-SA-team decide on two main criteria – urgency and importance. Additionally, the active involvement of the unit managers at the CAF-SA provides a realistic focus on priorities.

Austria

Case: Consequences of the implementation of Performance Management in the entire Federal Administration for the CAF-results in DG III of the Federal Chancellery

Austrian Federal Chancellery
Wien, Austria

Michael Kallinger
Federal Chancellery III/9/a
Public Administration Innovation

Sector of the organisation: General Policy and oversight/coordination

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
All the 20 sub-criteria of the enablers, except 4.6 Manage Facilities

1. Description of the improved result(s) of the organisation

DG III of the Federal Chancellery is responsible for i.a. the following matters:

- Civil service law
- HR-Management
- Performance controlling (Wirkungscontrolling)
- Civil service innovation
- Coordination of the use of Management Instruments like CAF
- Training programmes for Federal staff

Until 2016, DG III of the Federal Chancellery did three CAF self-assessments, in the years 2006, 2011 and 2015. This case study compares the two self-assessments of 2011 and 2015 in the light of the introduction of Performance Management (Wirkungsorientierung) in the entire Federal Administration in Austria, with a focus on enabler criteria. In a nutshell, we can report significant improvements: CAF-scores for Enablers improved by 17 points on average and results by 10 Points according to the CAF scoring methodology.

Federal Chancellery DG III, Comparison of CAF-scores 2011 versus 2015
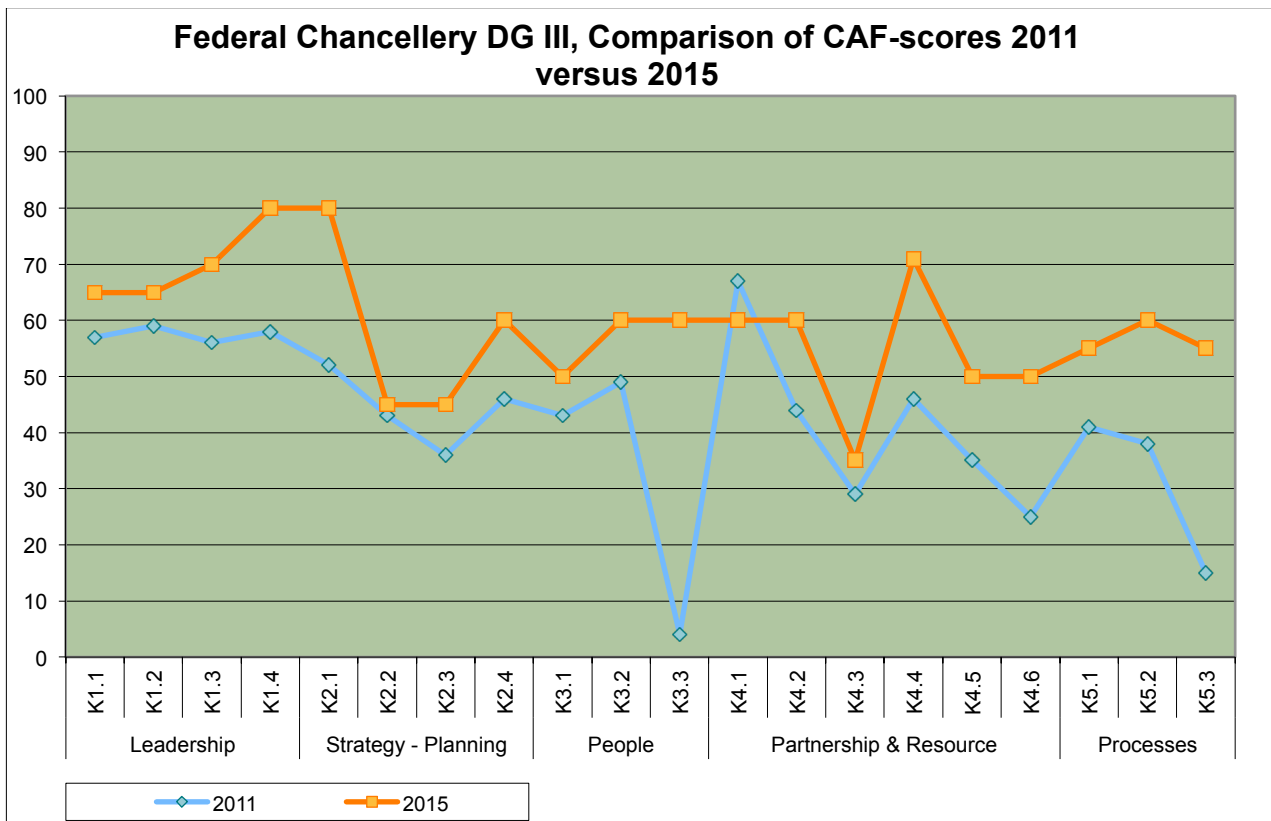
The main reason for the improved results is the implementation of a yearly Controlling Circle (Criterion 1: Leadership and Cirterion 2: Strategy and Planning).

With the implementation of Performance Management (Wirkungsorientierung) in the entire Public Administration as of 2013, also the Performance Controlling Cycle within DG III became more clearly structured and better aligned to strategic political goals. Forms are standardised and quality is assured. As the controlling cycle has been ran through completely three times now (for the years 2013, 2014 and 2015), the scores for several sub-criteria for 'Leadership' and 'Strategy and Planning' have now risen to the zone of 'Check' (51-70 points) and even 'Act' (71-90 points). A key instrument in this connection is the yearly strategy workshop with the upper management of the directorate, where strategic goals are defined. Also a mission statement of the directorate has been developed and made public. Regular meetings of the management of 1,5-2 hours on a weekly basis and bi-weekly meetings in the departments are the main communication instruments.

The same improvement of the score applies for sub-criterion 3.3, because employees are regularly included in drawing up, controlling and evaluating performance information. Performance information is also part of annual staff interviews.

Another point is that performance information (at an aggregate level but including goals and indicators) is also discussed at least three times a year in parliament, in the planning and evaluation phases. This happens in the plenary of the National Assembly and in the Budget Committee (Sub-criterion 1.4 Manage effective relations with political authorities and other stakeholders). According to the Performance Management scheme, planning is threefold: a Mid-Term-Strategy for a 4-years-time-horizon and the yearly planning for the Budget Chapter ('Untergliederung' in German) and respective global budget. In 2012, DG III developed a code of conduct to strengthen ethical behaviour.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

Since 2013 the public administration at Federal level is managed according to the principle of outcome orientation. In other words, management is based on contributions towards achieving objectives in connection with solving societal problems.

The state is responsible for a wide variety of services, ranging from key public sector tasks such as providing education and health care or ensuring equal opportunities, legal certainty and social security, to the protection of consumers and workers, as well as more 'exotic' services like avalanche control. As budgets are tight – given the current sovereign debt crisis and the need for budget consolidation – public funds must be optimally allocated in order to meet people's needs and maintain the present high level of service in the long term.

This is where outcome orientation comes in. Federal budgets show the societal effects aimed at by ministries and other public bodies, as well as how to achieve these and how to measure progress. By comparing the intended outcomes to the available budget, it is easy to see whether the resources to be used are proportionate to the objectives pursued.

An example from the area of transport policy

- **Outcome:** fewer traffic accidents involving injuries on Austrian roads.
- **Objective:** improved road safety.
- **Input:** personnel, financial and other resources, external actors.
- **Activities:** setting up a multiphase driver education system, designing an awareness-raising campaign, drawing up proposals for measures to prevent accidents based on the analysis of accident data and patterns.
- **Output:** a regulation on multiphase driver education, an awareness-raising campaign on 'drunk driving', defining and implementing accident prevention measures in cooperation with external actors (e.g. Kuratorium Sicheres Österreich, an association aiming to promote safety and security consciousness).
- **External factors:** increased traffic volume, weather conditions.
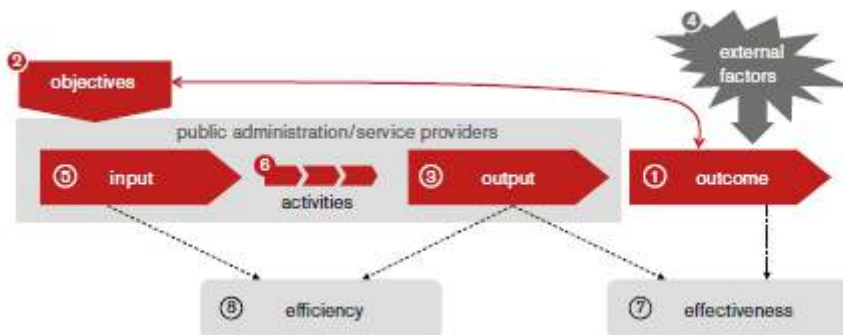
Political objectives relating to a desired societal outcome form the starting point of performance management. It is the task of public administration to provide those services, i.e. the output that will best achieve the intended outcome. However, outcomes cannot always be clearly attributed to particular outputs as external factors can play a role, too. Before services can be provided, the required resources, i.e. the necessary input must be ascertained and allocated.

Finally, the activities required to generate a particular output are carried out, either by public administration itself or by external service providers. The services thus provided produce short–term intermediate outcomes, which in turn give rise to the intended final outcomes in society in the medium and long term.

The degree to which the intended outcomes are attained is evaluated at regular intervals. In this context, effectiveness means 'doing the right thing', i.e. it is a measure of the extent to which the desired effect is achieved. The term efficiency, on the other hand, means 'doing things right', i.e. it is used to evaluate the output in terms of the resources used. In addition to these criteria, it goes without saying that legality continues to be a key standard for public administration activity.

The performance management cycle

As a result of the new budgeting law and the introduction of performance orientation, a new management cycle applies in public administration at Federal level.

Every spring each Ministry and each Supreme State Organ elaborates a multi-annual strategic plan which is laid down in the Strategy Report on the Medium-Term Expenditure Framework. This broad strategy is specified for each financial year in the annual Federal Budget, by means of outcome and output statements.

Outcome statements set out the effects to be achieved in society. The term output refers to priorities to be set and measures to be taken by public administration in order to achieve the desired outcomes. Outcome and output statements are meant to provide orientation for Parliament and the interested public regarding the priorities to be pursued by the respective Ministry or other public body in the next financial year.

Within public administration, the implementation of these priorities is ensured by means of performance mandates. These set out the operative work plan of a particular administrative unit for the following four financial years.

The benefits of this approach lie not only in defining policy aims at different levels but, in particular, in ensuring their achievement through management by objectives. Appraisal interviews form a further key element of the system, as it is there that each employee's contribution to achieving the respective public body's objectives is defined.

Outputs should be evaluated at regular intervals so that any deviation from the plan can be detected in good time, and suitable steps taken to correct it. However, merely evaluating the output would not be enough to show whether the intended effect has been achieved. It is therefore necessary to carry out an evaluation of outcomes too.

The conclusions drawn from the evaluation of outcomes show any potential for increasing the effectiveness and efficiency of public administration activity. Evaluation results are therefore taken into account in elaborating the next strategic plan, and thus the performance management cycle comes full circle.

What are the advantages of this management model?

Members of Parliament are better informed when debating the budget and in a better position to demand that government and public administration achieve objectives. This is conducive to careful management of taxpayers' money.

Citizens gain better insight into the government's work, as well as a better understanding of the machinery of government and what it is responsible for. This will strengthen people's confidence in public institutions.

Public administration can show the range of services it provides for citizens, organised interest groups, politicians and other stakeholders.

The definition of intended outcomes makes the aims to be achieved by public administration transparent to its various institutions and each of their staff members. This makes public administration even better able to target societal priorities with its activities and services, and to work effectively and efficiently.

As outcomes and outputs are geared towards achieving equality of women and men, it is possible to show, analyse and control the different effects of government activity on women and men.

3. Description of the prioritisation approach that led to the chosen project

The primary motivation for introducing performance management on the federal level was to improve budgetary decision-making. Performance management addresses the following weaknesses of the traditional system:

- No binding medium-term perspective
- Prevailing focus on inputs
- Monopoly of cash perspective

As of 2013, the budget is a comprehensive steering instrument for resources, outputs & outcomes.

In this context, CAF comes in in several ways. When the organisation takes through the Common Assessment framework, all stakeholders are sensitised for a better implementation of the Performance Management system, as all CAF-criteria are checked with a view to performance management. Managers and staff in the CAF-team bring in their knowledge and discuss together how to best define and measure the outcomes of the organisation. Whereas Performance Controlling might concern only a small number of people, CAF offers the possibility to broaden the basis and by that realise the full potential of PM. The introduction of PM has also an impact on the culture of the organisation and the CAF-process can support this change.

Belgium

Case: Strategic planning in the Flemish Department of Agriculture and Fisheries

Department of Agriculture and Fisheries
Flemish government, Belgium

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Sector of the organisation: Public Sector – Economy, Agriculture, Fishery and Trade

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Criterion 2: Strategy and Planning, sub-criteria 2.1, 2.2 and 2.3

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1. Description of the improved result(s) of the organisation

When the CAF exercise took place in 2013-2014, we knew a merger was planned for the organisation. The department of Agriculture and Fisheries under its new structure started from the 1th of January 2015 and was the result of a merger of three organisations: the former Department of Agriculture and Fisheries, the former Agency of Agriculture and Fisheries and a part of the Belgian Bureau for Intervention and Restitution. One common structure, strategy and culture was needed and therefore strategic alignment was the priority for the organisation.
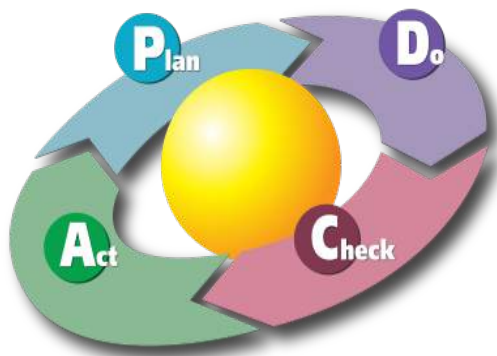
If we look at the 4 results criteria, we can say for the results in the field of **'citizens/customers'** that the new mission statement and clear vision reflects how we work and interact with our target group. The company values have an impact on how we interact with customers and amongst employees. After the merger and the statement

of the new mission/vision and values the management organised seven roadshows to discuss these topics with all the employees at the different locations of our organisation. In an open debate everyone could ask questions and give their view on the topics. Towards the stakeholders an information session was organised to explain changes within the new organisation and receive feedback.

The results in the field of **the 'people'** who work in the organisation are partly due to a better communication strategy and partly to the **new future-oriented Human Resources strategy.** A new communication plan was written to take care of communicating regularly and correctly to all layers in the organisation. An important aspect was also the clear choice to speak as 'one voice' for the whole organisation (sub-criteria 2.3. Communicate and implement strategy and planning in the whole organisation and review it on a regular basis). A new Strategic HR-plan was made to define the HR goals. These three HR-goals focus on several elements such as coaching leadership, motivation, flexibility, commitment, development of talent and aspire an innovative organisational culture through creative and solution-oriented thinking. This is a 5 year future oriented aspiration. The main projects that were launched in 2016 with this purpose are the 'leadership 3.0 project, the project internal mobility policy and the diversity project. The leadership project started with a satisfaction measurement of the exciting HR tools for managers. On this base further tools will be elaborated to sharpen the leadership skills of managers within the organisation. Also the project mobility policy and diversity started with a satisfaction measurement of the current situation in order to focus on the most important and/or urgent matters.

For the results in the field of **'key performance of the organisation'**, there was **a revision of the old balanced scorecard**. So all of the key elements in the organisation could be monitored in the right way. They are monthly discussed by the management team to see where extra work is needed to reach the target. Another tool to monitor the progress of organisational projects is **TRAJECT**. This tool was implemented by the Flemish government and monitors the departmental goals and projects. Using this tool tackles a critical issue in the CAF analysis that there should be more monitoring and evaluation in the future. The new strategy also mentions all the short term strategical and operational objectives of the organisation. Furthermore we can mention that the core tasks were debated broadly and an efficiency programme makes sure that all resources are used correctly, efficiently while decreasing the costs in all fields of the organisation. In our BSC there are 32 KPI's to measure our goals. These KPI's are divided in four dimensions (results, quality, processes, learning and growing). This BSC is updated yearly according to changes or new goals set by the management. The KPI's are discussed monthly in a management meeting.

A new process cascade was created when all existing processes were revised. Within the strategic framework several key elements of the organisation (HR strategy, Integrity, Diversity, Wellbeing and Communication) were further elaborated so it was clear which direction the organisation is heading the next years.

One common mission statement, a clear vision and one strategy were created for the organisation. On top of that, the organisation created **ownership of four core-values** (openness, trust, manoeuvrability, vigour) as they were rolled out to all the employees. These four core-values were determined by the Flemish government and further elaborated within our organisation.

The CAF exercise resulted in a new strategy (sub-cirteria 2.2. Develop strategy and planning, taking into account the gathered information) which resulted in its turn in several useful projects that were needed and sets organisational goals for the coming years. This exercise gave the organisation the opportunity to really prioritise what is important and to cluster improvement programs. After the CAF exercise, a satisfaction survey was conducted to see if the exercise was useful in the future. From the survey we learned that regular communication about the progress of the improvement actions and Quick Wins was key in this field.

Improved result(s) in the field of 'social responsibility' are not yet created, but an action plan has been set up to tackle this topic the coming years. The proposal is that bottom-up proposals of employees are being handled.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

Content of the project

After the CAF self-evaluation, the project resulted in thirteen improvement actions and fifteen Quick Wins. For each improvement action or quick win a responsible person was assigned to tackle the issue. The Quick Wins were tackled first as fast as possible. From the improvement actions nine were allocated to 2014 (the most urgent ones) and four to 2015. The most strategic improvement actions were bundled and put forward in the strategic exercise of 2015. A semi-annual monitoring took place to follow up the progress of all actions.

The new strategic exercise became a top priority project for the department in 2015, so it was important that the project was realised or implemented fast but profoundly.

The following diagram shows the steps that were taken in creating the new strategy of the department.

The starting point and the 'problems' the practice wanted to tackle

During the CAF self-evaluation several issues or problems appeared. Good examples of those issues were the lack of commitment to the mission statement and vision of the organisation. The imminent merger of three organisations into one, the appointment of a new minister under the new government, and thirdly the major changes in the policy of agriculture and fisheries made this problem even more urgent. The employees ended up in a maze so to speak, where goals and exits were not clear at all. The organisation needed one common goal so everyone could be motivated and engaged to work towards this common goal.

The exercise started with **a SWOT-analysis** of the organisation to know the strengths and weaknesses but also all the possible elements that had an effect on the organisation. The SWOT-analysis was executed by the management and the employees. Another step was **surveying the most important stakeholders** about their ideas and expectations regarding the future new organisation.

Different analyses and input made a solid foundation for the strategic exercise such as:

- several SWOT's
- a scientifically reasoned environmental analysis
- the monitoring of the upcoming trends
- the new government agreement and its policy notes (sub-criteria 2.1. Gather information on the present and future needs of stakeholders as well as relevant management information)

The previous mission statement and vision were hard to understand and there was a lack of commitment of the employees within the organisation. Therefore a lot of attention was given to overcome this lack of commitment. Besides the top and middle management, the operational managers, experts as key persons and dynamic volunteers of the organisation were involved in **the two-day strategic seminar.** The outcome of the seminar was a new strategic framework. Translation into operational plans and goals were made and followed up (sub-criteria 2.2. Develop strategy and planning, taking into account the gathered information).

The major steps in the implementation

1. First thirteen improvement actions and fifteen Quick Wins were selected by voting at the prioritisation seminar after the CAF self-evaluation, where a clear strategy was an issue to tackle (sub-criteria 2.1. Gather information on the present and future needs of stakeholders as well as relevant management information).
2. A strategic seminar was organised to tackle several issues that were on the CAF to-do list. The following items resulted from the seminar (sub-criteria 2.2. Develop strategy and planning, taking into account the gathered information):
   - A new strategy, vision and mission statement, accompanied by a comprehensive basis for the four values of the organisation.
   - A new HR strategy.
   - A new integrity, wellbeing and diversity strategy.
   - A new communication plan.

After the seminar, the following projects were initiated to support all of the above-mentioned items (sub-criteria 2.3. Communicate and implement strategy and planning in the whole organisation and review it on a regular basis):

- After having set up the strategic plans, the operational annual plans for all above-mentioned items were clearly set up.
- Unfolding the four values in all layers of the organisation (a value barometer, action plans,…).
- The revision of the process cascade for the new organisational structure.
- An efficiency programme (2015-2016): through thirteen new projects the search began to make the current workflow more efficient than before. Key elements of this programme are: streamlining the current workflows, handle peaks in workload through teamwork, outsource several tasks, digitalisationg and automation.
- New changes to the organisational structure (one year after the merger) that make sure workflow processes are allocated more equally and correctly.

The roles and responsibilities of the major actors involved

All below-mentioned groups have the responsibility to become an ambassador of the results and to work together to create a good communication flow to all employees and the target audience.

The following roles are acknowledged to following groups within the organisation:

- Top and middle management: deliver a mission statement (purpose of the organisation). They are fully aware of political stakes, interest of the stakeholder and employees. These elements are captured in the strategic exercise. This group looks strategically ahead.
- Operational managers: they take into account the interest of the employees and the customer for the strategic exercise. They have the clearest view on specific realisations.
- Experts: they put forward sufficient (background) information about their expertise and apply this when necessary during the exercise.
- Dynamic volunteers: they contribute in a clear, critical, innovative and creative way. They dare to asks critical questions to the management.

The critical success factors

For this project the critical success factors were:

- Sufficient ownership and interest of the employees.
- Getting the buy-in of the political stakeholders at different levels to go through with this kind of exercise.
- The allocation of resources and people for the exercise by the management.

The major mistakes made

The strategic exercise covered most aspects that needed to be tackled. However some aspects weren't covered clearly or specifically because the impact of those aspects were underestimated at the time.

This has lead to supplementary exercises afterwards such as:

- The IT policy: a thorough assessment provided the foundation of an IT policy that matched the headlines of the new strategy.
- The policy on knowledge management/studies: this aspect wasn't tackled sufficiently during the strategic exercise and negotiations and discussions are ahead to do so.

The link of the good practice with the improved results

The five criteria of the enablers show us a good link to the improved results**.**

- In the field of **'Leadership'** we noticed that afterwards it was more clear which way the organisation is heading**.**
- In the field of **'Strategy and Planning'** most aspects were strategically aligned which has a positive impact on a more logical, operational planning.
- In the field of **'People'** involvement, motivation, a broader versatility of personnel, a new HR policy (coaching leadership, talent management, flexibility,…) were elaborated.

- In the field of **'Partnership and Recourses'** we have the IT-digitalising and the search for efficiency gains.
- In the field of **'Processes'** we had an entire process revision after the strategic exercise to design the existing processes more clearly and efficiently.

3. Description of the prioritisation approach that led to the chosen project

The CAF exercise of the Department of Agriculture adn Fisheries took place in 2014. The group of representatives consisted of four subgroups of which two of them were fully composed of volunteers of the entire organisation from different layers of the organisational structure. The third group consisted of the top management of the organisation. The fourth group consisted of volunteers from the HR-service centre.

First each subgroup went over the CAF-model to answer all the questions that were necessary to tackle all obstacles and uncertainties along the way during the CAF-exercise. They were called consensus meetings, where discussions lead the way to consensus. Not all ideas made it at the end, but overall the representatives agreed on which items were chosen by the group to get through to the voting session.

A large additional workshop for all representatives was organised in January 2014 to select the priorities for the organisation. Using a voting system allowing everyone to participate and give arguments gave life to the final action plan which consisted of thirteen improvement initiatives (nine for 2014 and four for 2015) and sixteen Quick Wins. Because of the arguments that were given, several pieces of input could be clustered to one improvement action and sentences were fine-tuned.

The management itself was fully involved during the prioritisation process. After the summary was set up, subsequently the management was briefed about this prioritisation process and the decisions that were taken during the process. The choice of a new overall strategy became the top priority project of the department from 2014 onwards.

Pictures CAF excercise

Case: A quality approach focussed on internal and external communication in the Haute Ecole of Hainaut

Haute Ecole en Hainaut (HEH)

Belgium

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Sector of the organisation: Education: Higher Education

The Haute Ecole en Hainaut (HEH) is a public university college providing courses and training in the areas of *Science and Technology* (Bachelor and Master degrees) and *Human and Social Sciences* (Bachelor degrees). Over 3000 students attend the Haute Ecole located in Wallonia (Mons and Tournai) in 4 campuses (Engineering, Educational, Economics and Social). There are 350 teaching staff members.

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Sub-criterion: 2.3 Communicate and implement strategy and planning in the whole organisation and review it on a regular basis

1. Description of the improved result(s) of the organisation

Our University College, the Haute Ecole en Hainaut (HEH) is a CAF user. We adopted the CAF as a base reference standard in 2008 and have realised since then two self-assessment processes. The use and implementation of the CAF model has led to improvement actions and internal as well as external contributions in better performance. The CAF self-assessment has been realised at the institutional level and was led by the Quality Commission.

As shown in Figure 1, the Quality Commission is the central actor of the CAF process. A continuous improvement of communication skills and strategy has led us to promote a culture of quality in the education and training institution. It targets the future students, learners and graduates (alumni) as well as the teachers, administrative staff and workers of the HEH.

Figure 1: Actions processed by the Quality Commission
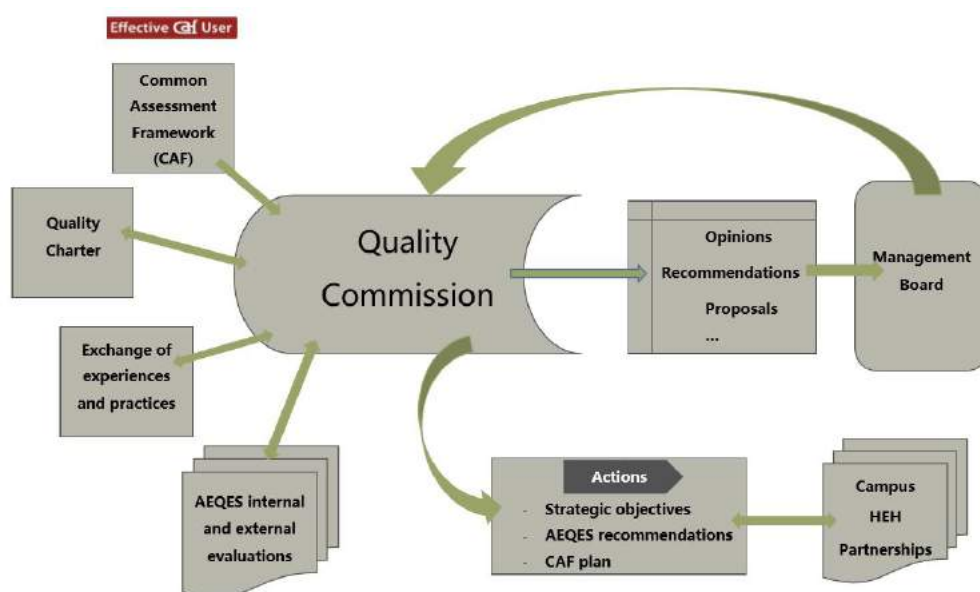
Communication and monitoring (with timeframe) are important in management. A selection of improvement actions and results for 'Communicate and implement strategy and planning in the whole organisation and review it on a regular basis' is summarised in Table 1.

Table 1: Selection of top 5 actions to improve communication skills

Nature of the improvement actions from 2013	Results or outputs
Creation of Communication Department and hiring a communication officer	Support and organisation of the internal and external communication
Creation of the annual communication plan	Improvement of the communication (evolution in Figure 2)
Updating of the annual communication plan	Enhancement of the HEH visibility
Elaboration and diffusion of a Quality charter	Shared reference in Agence pour l'évaluation de la qualité de l'enseignement supérieur (AEQES) assessment; self-awareness of each item (in progress) and selection of KPIs
Website development and sharing of informatics tools	HEH Website for external com; common use of Extranet and transition to Moodle platform (cfr. infra) for internal communication
Information session / Collaborative work Com-Informatics	Follow-up with the academic community: events Newsletters and Quality service Newsletters

As already reported in the previous CAF Education Research Report 2014, 'people' are an important target: good communication about the strategy and the on-going monitoring are significant for staff motivation and satisfaction. The Quality Commission also acted to centralise the improvement actions, as the elaboration and diffusion of a Quality charter.

To improve our actions, we realised **an annual survey about the HEH advertising and visibility.** We analysed it with the following question: 'How do young people get information about our institution?' Based on the results, we have been and are still selecting the best advertising campaigns in relation with student's interests.

The survey helps us understand how students get information and how they get in touch with us. We have therefore adapted our publications and booked online advertising on different media providers. For example, we booked an online advertising campaign on two famous online radios (Pure FM, NRJ).

Table 2a: Identification of the best media to target audience during 3 academic years (in %)

Media	*2013-2014*	*2014-2015*	*2015-2016*
Internet	87	85	88
Social Media	49	37	43
TV and radio	44	38	38

Table 2b: Identification of communication channels to collect information during 3 academic years (in %) (--: results not available; * : survey with limited items)

Channels	*2013-2014*	*2014-2015*	*2015-2016*
Explanations on the website	--	55	52
Word of mouth	70*	26	30
Leaflets and folders	--	12	15

These results show that we continuously need to follow the evolution of used communication channels to target our audience**.**

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

A position was opened in 2013 in order to develop communication skills and strategy as a result of our second CAF self-assessment process in 2012. The Communication officer has 3 tasks:

1. Internal communication
2. External communication
3. Networking and events

Figure 2: Tasks of Communication Officer
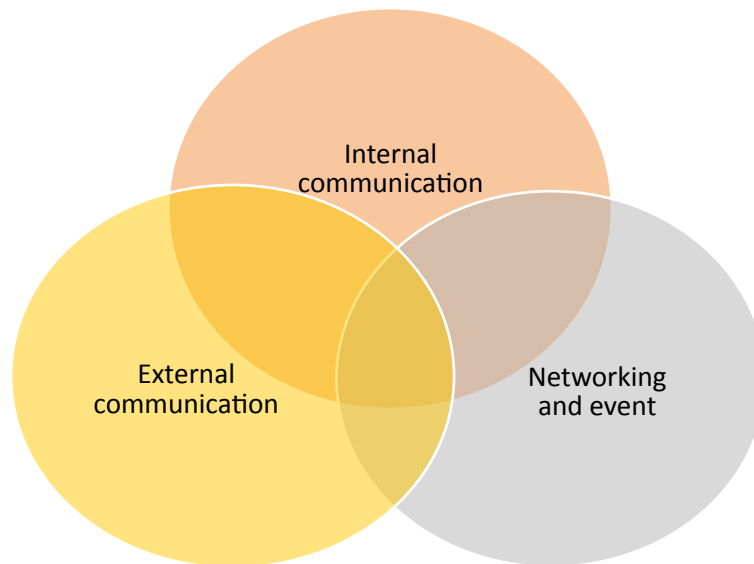
Improvement of the Communication strategy: evolution of the annual Communication Plan

We write an annual Communication Plan with all the events and planned projects in June. The Communication Officer presents all activities planned month by month for the next academic year.

Moreover, the new communication developments on promotional material, partnerships, events, writing and advertising are intended.

The Management Board (Authorities of the HEH) validates this Communication Plan before each academic year. It can be adapted during the academic year as regards to the needs of the institution and new happenings. Sometimes, some interesting promotional offers can also lead to adaptations, repositioning and prioritisation.

Figure 3: Evolution of the annual Communication Plan from 2013-2014 until 2016-2017 (4 years period)
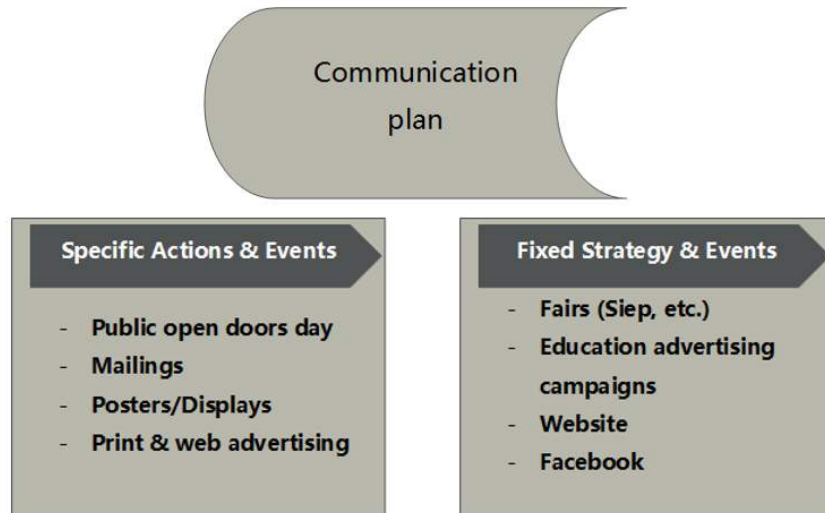
The HEH centralises the external communication for Student and Education fairs as well as information sessions. The Communication Office gives information to teachers by e-mail about their participation in Student and Education fairs, presentation and sessions.

The collaboration with the IT team is essential for the dissemination of information via our website www.heh.be, including the presentation of courses programmes. Briefings are organised on a regular basis. A framework has been established to contact any IT managers.

Communication improvement & enhancement of the HEH visibility

We improved the HEH visibility with the use of a new logo. The old name was too long and the authorities decided to use a new name: Haute Ecole en Hainaut (HEH). Since 2013, we have developed the graphic charter and created a completely new chart for internal and external communication. We have adapted advertising material in accordance with the new graphic charter, i.e. presentation leaflets, signage of the stand for fairs and signposting, etc.

Moreover, other new logos were rethought for the HEH departments including the Quality Department (Social Department, Academic achievement support Department, ...). This is the visible part of the development of our strategy in communication.

From the academic year 2015-2016 on, the HEH organises in September for the newly hired staff a half-day session to present the institution, the quality and the CAF process, the different Departments and contact persons (accounting, human resources, IT, …).

Improved communication for Student and Education fairs

The HEH takes part in several fairs in Belgium and France. The Communication Department informs, invites and centralises the participation of the academic and administrative staffs during the events. Once a year, the Communication Officer organises a debriefing meeting with the people involved. We analyse what can be improved and what is already efficient in logistics and organisation of study fairs. This meeting is useful to notice key points and improve weak points. For example, we could set the orientation of open classes, plan scheduled dates of events, edit new brochures, improve logistics, etc.

Another priority: Internet site development and sharing of IT tools

The whole academic community of HEH requires a solution to manage files. The IT team has developed a specific tool on Internet to meet this need: 'the Extranet'. It's a specific area for authorities, different departments and students. Teachers and people working in the institution can put on and download files. Students can just download files and take part in surveys and teaching assessment. It allows us to have information and a better communication.

Moodle's development

The advantages of digital technology have created new technologies of information and communication tools in the educational landscape to practice new ways of teaching and learning. One of the widely methods of teaching consists in the use of teaching-learning platforms.

In 2010, HEH selected an online teaching-learning tool, '*Claroline*', to develop a digital pedagogy. After a few years, the chosen platform has proved to be used more as a device for online computer resources.

The integration of digital technologies and pedagogies must be defined as well as necessary organisational support structures. However, all staff did not have the necessary skills to successfully use these new technologies and incorporate them into courses. Moreover, the design of the '*Claroline*' platform did not stimulate them.

Last year, in 2015, HEH directed across a new platform: *'Moodle'* (acronym for *Modular Object Oriented term Developmental Learning Environment)* with different tools to improve social interactions between students and teachers and motivations to learn and boost the educational process. This allows teachers to create courses with resources, register students, create their profiles, create websites and discussion forums, post educational material, create student groups, create quizzes,… With these applications, *'Moodle'* combines the presence of students in the school environment during class hours with the possibility to collaborate outside study areas at a time. Of course, the completion of technical devices (Wi-Fi access in the Campus) is provided. This step is essential for developing the digital approach in our University College.

A workgroup composed by computer experts supported Moodle's implementation. They created a guide and trainings to initiate and train the interested teachers so that they can use the platform. In the workgroup, there were also teachers who tested the platform tools and established courses. A programme of further training about specific pedagogic approaches for teachers will be proposed next year.

3. Description of the prioritisation approach that led to the chosen project

The 'Effective CAF User' award in 2014 led to a strategy with an updated plan for 2015-2016. The CAF self-assessment process allowed us to select areas of improvement and to develop our *'prioritisation'* approach. Our strategic plan included in 2013 several actions at the level of the communication such as 'improve the visibility and image of the HEH' or 'improve the communication strategy to all staff'. The self-assessment report in 2014 led to an updated plan with new actions and specific objectives for internal and external communication starting in 2015. The decision making on this new action plan was the result of an involvement of all stakeholders in the self-assessment, including the selection of criteria and the choice of actions. This prioritisation methodology involves a participative management, the Quality Commission and the authorities.

Moreover, we had to implement a new public policy on education and to manage training programmes. The introduction of specific managerial practices depends on choices made in concertation with the authorities (Strategic Plan) and relative to the financial capacities of the University College. A continuous improvement of the communication skills and strategy leads to the promotion of a culture of quality in the education and training institution. It targets the future students, learners and graduates (alumni) as well as teachers, administrative and worker employees of the HEH.

Estonia

Case: Continuous Improvement of the Ministry of Finance

Ministry of Finance of Estonia

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Sector of the organisation: Customs, Taxes and Finances + Regional and local administration

The Ministry of Finance of Estonia is the government´s centre of expertise in the implementation of tax, financial and fiscal policies, and setting economic goals. Besides, MOF is an active player in coordinating strategic planning for all areas of the state – setting the goals and planning resources for carrying out activities in public policy areas. MOF´s main services or activities are planning and implementation of the state's fiscal policy; state budgeting, planning tax and customs policy; financial and insurance policy, public administration, state assets, state treasury, coordinating the aid available to Estonia, spatial planning, regional planning, development of local governments and regional administration. MOF has been responsible for services such as personnel policy of state, public procurement policy and state accountancy, now being integrated to the new State Shared Service Centre.

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Criterion 1: Leadership, sub-criteria 1.2, 1.3 and 1.4
Criterion 2: Strategy and Planning, sub-criterion 2.2
Criterion 3: People, sub-criteria 3.1, 3.2 and 3.3
Criterion 4: Partnerships and Resources, sub-criteria 4.1, 4.2 and 4.4
Criterion 5: Processes, sub-criterion 5.2

2. Description of the improved result(s) of the organisation

First, it is noteworthy that the Ministry of Finance (MOF) has a history of self-assessment from the year of 2002, and therefore we have been literally moving on a road of continuous improvement for 14 years already. No other ministry or government agency in Estonia has been doing it for such a long period.

In order to make a better point on results and approaches that have been the most important for Estonia and MOF during the recent years, we have decided to concentrate on the three latest assessments and changes during the period of 2009-2014. We focus on the improvements **concerning results of citizens and customers (criterion 6)** rising from 14 points (2009) to 37 (2014) and on **the people results (criterion 7),** which have risen from 38 (2009) to 45 (2014) according to the CAF scoring methodology.

Results of Criterion 6 (Citizens/Customers)

MOF has a two-fold approach to its clients. First, to better develop its processes and services, we have been concentrating on asking feedback from the organisations who are directly customers or are affected by the MOF`s activities, those are mainly other ministries and government agencies. Second, a more comprehensive approach is to consider entrepreneurs and third sector organisations as our interest groups and media as an important interest group for mediating and developing MOF´s reputation, allowing better and more effectively to execute our policies. Both approaches are elaborated in the next sections.

Under the citizens/customers related results criterion we have been measuring the satisfaction level of clients concerning one of MOF`s core processes, the budget process and it´s sub processes.

The results of 2010 in comparison to those of 2009 showed a remarkable increase in rating the budget process as a whole (from 3.37 to 3.61 on a 5-point scale) led by the MOF and also in most sub processes (e.g. budget implementation from 3.57 to 3.86; strategical planning from 3.15 to 3.67, except for compilation of economic prognosis, which stayed at the level of 3.38 points.

Feedback from clients concerning the budget process was also collected in 2012 and 2013, but the methodology was changed in the meantime. In 2012, 90% of the clients regarded the budget process as a whole 'good' or 'very good'; the percentage was 88% in 2013; we consider the 2% decline as a marginal one.

Second, from the year 2014 we measure clients´ satisfaction with several E-systems which help the MOF to carry out its services. The four included in the survey were Procurement Register (RHR), E-Treasury (e-Riigikassa), an E-system for applying funding from EU Structural Funds (SFOS) and Property Register (KVR). The first two scored quite high - averages of 7.58 and 7.17 on a 10-point scale - but the Property Register received 5.67 and the SFOS 5.43 points. Analogous research using the same methodology is going to be executed in fall 2016.

Figure 1: Clients' satisfaction rate with MOF e-services in 2014
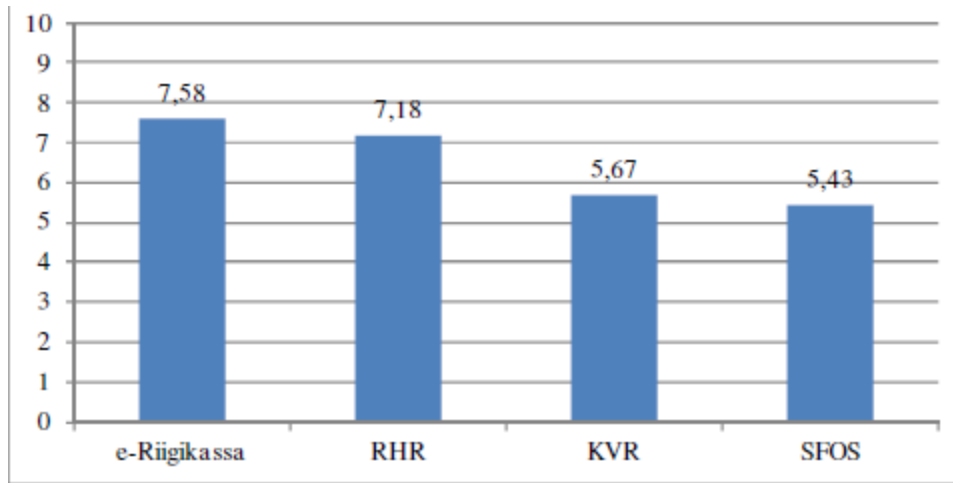
Third, we present the results concerning MOF´s reputation and the availability and adequacy of information as valued by journalists and other partners by the example of MOF`s public website http://www.fin.ee.

The opinions of partners and media over MOF's general reputation were collected through auditing process using the same methodology both in 2008 and in 2011. It appears that when in 2008 there were 60% of respondents evaluating MOF's reputation as 'good' or 'very good' (marked blue on the following scheme), it had risen up to 65% in 2011, while the rate of respondents scoring the reputation as 'satisfactory' (marked red on the scheme) (35%) in 2008 was lowered to 30% in 2011. The level of non-satisfactory partners or media remained on a level of 5%.

Figure 2: Evaluations of partners and media to MOF´s reputation
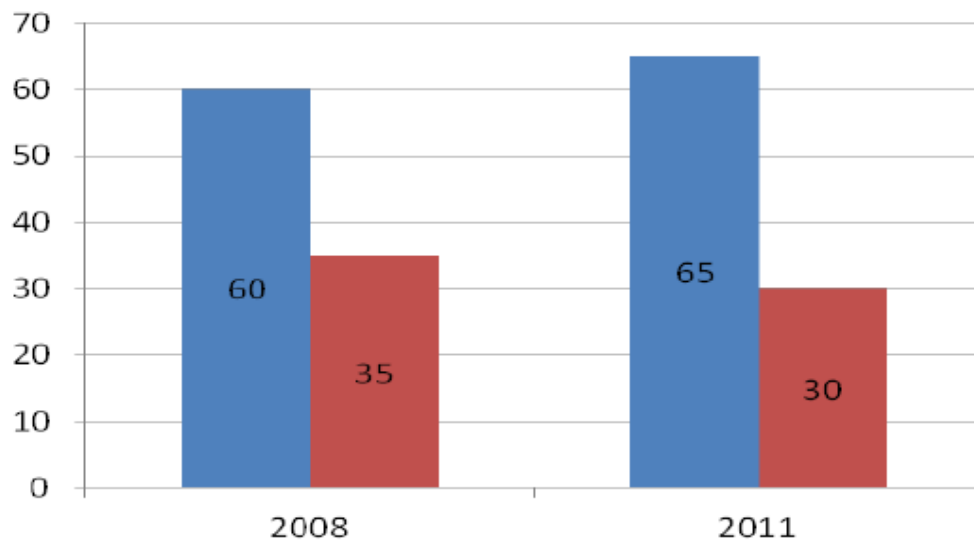
The terms used by partners for describing MOF most often were 'reliable' and 'competent'.

A regular survey on public sector organisations` relationship with media has been carried out in 2008, 2010 and 2013 by a sociological research company. The results showed that while in 2010 MOF´s website was evaluated as highest among all the websites researched (first position among 14 other ministries and state agencies), in 2013 the scores by partners were lower, so that MOF was positioned 9th, still remaining slightly higher than average. Those results have brought out the need for continuous improvement, so that in 2014 there was a communication audit planned and carried out. Although we could not use the results during the CAF assessment process in 2014, the results revealed that partners consider MOF as providing reliable and relevant information, but wider public opinion sees it occasionally too complicated and 'speaking in figures' to understand. It was also suggested to widen the spokespersons` circle and to use different, additional channels for sharing information.

Results of Criterion 7

MOF has been consistent on implementing regular personnel surveys, monitoring satisfaction rates concerning organisation leadership, processes, getting insight on how core and support processes are evaluated and individual satisfaction with the job, and related issues.

The results of 2008, 2010 and 2013 surveys can be presented as evaluated during the last, 2014 CAF assessment process. There was a personnel survey carried out in 2015 as well, but as it has not been taken into account during the CAF assessments, we have to exclude the results of the last one. The scores have been given on a 5-point scale and the methodology (propositions) has been the same. Participation rate has been growing throughout the years: 74% in 2008, 80% in 2010 and 85% in 2013.

Figure 3: Overall satisfaction rate with MOF as an employer
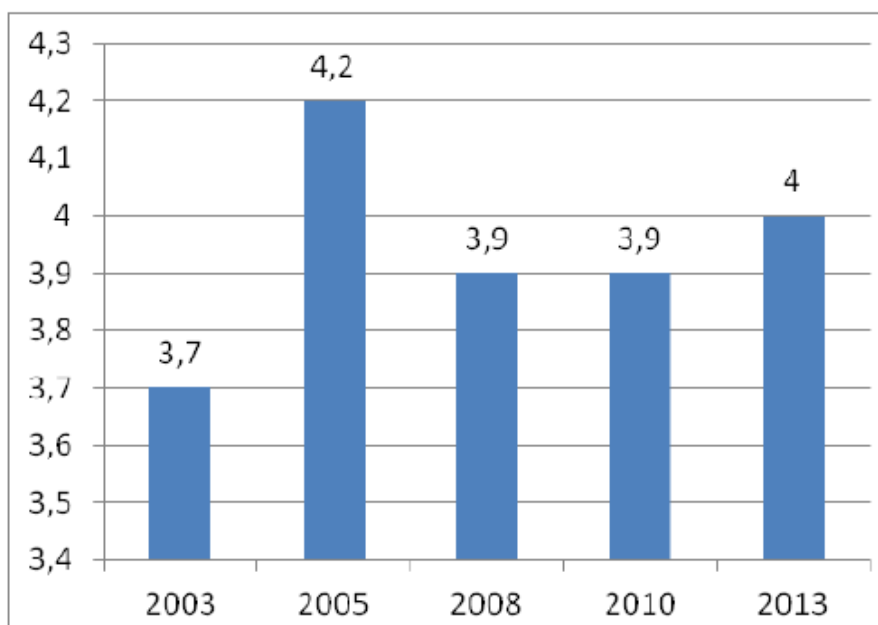
The overall satisfaction level with MOF as an employer has been slightly rising (from 3.9 to 4.0) since 2008 to 2013, which has been the target as well. Attitudes towards readiness of leaving the organisation ('I do not think about leaving') had a remarkable decline in 2010 (3.7) in comparison to 2008 (3.4), but a slight rise in 2013 (3.6).

Awareness of MOF´s strategical goals has risen from 3.8 in 2008 up to 4.1 in 2010 and staying the same in 2013. Satisfaction with self-fulfilment, career and motivational opportunities has been 3.9 in 2008, but lowered to 3.8 in both 2010 and 2013. Satisfaction with accessibility to information has also been rising since 2008 (3.4), being 3.5 in 2020 and 3.7 in 2013.

The role of senior managers (permanent secretary, deputy undersecretaries) leading the organisation and 'leading by example' has been constantly rising, from 3.5 in 2008 to 3.7 in 2010 and to 3.8 in 2013. Still, there were some improvement areas determined in 2013, which also were reflected in the 2014 CAF assessment, most of all the MOF employees` view of MOF´s image and reputation, and second, the most used information channel intranet, which collected several improvement ideas.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

Implementation of improvements towards the clients/citizens direction (connected to results of Criterion 6)

During the 2012 assessment a need for better clarifying MOF´s interest groups was revealed. There is a general understanding, both at political as well as managerial level, that in a wider sense, every citizen of Estonia is a client and is entitled to ask questions about how state finances are planned, so the budget process has to be as transparent as possible. But for MOF as an organisation we needed to narrow the scope of interest groups in order to know from who are we planning to get feedback. It was also stressed that it is crucial to set the target levels of satisfaction measures and start the regular data collection. A service-based approach to processes, especially when policy making is involved, is still quite a challenge in public sector.

So first we zoomed in to the partners who directly use our services, starting with e-services. We started with investigating the clients` satisfaction with the e-systems and from 2014 we are able to present the results mentioned in part 2.

The 2014 CAF assessment brought out the lack of a comprehensive concept concerning the partners and clients of MOF. So as an improvement project it was decided to focus on the partners' issue.

The first communication audit that was carried out in 2014 was planned to zoom in to the results of the 2013 research, which showed a decline in evaluations concerning the website information quality and accessibility. The audit focused on reputation and the information availability - audibility and reliability - issues, but had a new view added about which channels are most preferred and why. The results, especially of the qualitative methods, gave valuable information about what are the expectations to possible new channels as social media. Based on the audit (46% of respondents wished to get more information on fiscal matters over social media) the MOF has developed its Facebook and Twitter accounts and uses them systematically for sharing information.

In 2015 a partners' seminar was launched in MOF. Its main aim was to show willingness on behalf of the management of MOF (including the minister) to answer questions and discuss openly on several issues that might lead to better mutual understanding. Also, referring to the 2012 CAF assessment improvement plan, **partners of MOF were better defined**. We have taken a more visible approach to having good relations with entrepreneurship and their unions, e.g. Estonian Taxpayers Association, Estonian Association of Construction Entrepreneurship, Estonian Service Industry Association, a clearer approach to partners executing regional policy, e.g. Association of Estonian Cities, Association of Municipalities of Estonia. We also consider civil society development as one of the aims supporting MOF strategies, therefore the partners involved are National Foundation of Civil Society and other nongovernmental organisations and professional and academic associations.

Partly going after the improvement decisions set because of CAF, but also following the Estonian Ministry of Economic Affairs and Communications-led project of development of public services, the MOF has **mapped all its e-services and determined the owners of the systems**. Now, we are working on motivating the owners to fully take ownership and work on the possibilities of starting to measure the clients` satisfaction, full costs of the service and, most challenging – the efficiency of those services. We are still moving cautiously, as it is a government-level initiative and the regulation is yet to be elaborated and signed. The overall idea is offering as much virtual services as possible and making the environment as comfortable for clients as possible.

The abovementioned practices have improved, as we see it, the results of criterion 6, the results of criterion 7 and has affected the key performance criterion results (criterion 9), which MOF has set in different public policy areas. In mid-term planning level we set certain key performance indicators (KPI`s) in 7 activities area of MOF, 5 of them in public policy and 2 fields are more or less aimed for supporting the policy fields. While assessing the achievement of those KPI`s we do not differentiate between the policy and administrative fields and treat all the targets as equally important.

During the last 6 years of improvements, the services of MOF have been clarified, also how the clients evaluate the systems through which the services are delivered; or how the partners see MOF as a leading executer of financial and budget policies. It has clarified how to set targets and how to improve our processes, the latter becoming also more important as the constant pressure towards more efficiency and cutting down operating costs, including the personnel management costs, is also a government-level guideline to all public sector organisations.

It is worthy to stress upon some changes in the administrative field of MOF that most probably have helped to receive better results in the clients/citizens view – the formation of two new agencies which started functioning from the beginning of 2012 - **the Information Technology Centre for the Ministry of Finance** (aimed at offering ICT support to MOF as well as to all other organisations in the administrative field, like Taxes and Customs Board and the Statistics Estonia) and the creation of **State Shared Service Center,** with consolidation of some support services to that organisation. The latter means consolidating accounting, personnel administrating processes, procurement etc of all the ministries to a single organisation in order to offer better, more efficient and competent services. The ambitious, but realistic aim has been set by the government that the abovementioned services of all the 12 ministries and State Chancellery have been overtaken by the State Shared Service Centre by July 2017. Those decisions, although made on governmental level and affecting more than just MOF and its partners, have undoubtedly helped MOF to change itself to a more client-focused organisation.

Improvement projects concerning people (leading better results of Criterion 7)

There have been constant changes in the personnel management over the years, mainly as response to the results of the CAF self-assessments.

If we look at the strategical level, we have elaborated **a personnel policy document** (first version in 2009), which is evaluated regularly and changed if needed. Last evaluation is carried out at the moment. In the personnel policy document are stated both the strategic issues coming from the values of the Ministry – which kind of values our employees should have as well as more practical instruments (salary arrangements, requirements on the different positions, principles for trainings etc).

As one of the main areas of improvement has always been **the accessibility of information**, we have since 2008 introduced the principles for different level of meetings, which entered into force since then. We have also had several projects to develop our internal website in order to improve the accessibility of the necessary data in the necessary time.

We have regularly assessed **the salary principles** (in the scope which is allowed in law) concerning performance based pay and changed the system considerably (in 2014). The complicated system of performance based salary was changed into more understandable system more directly connected with exceptional results.

There have been fundamental **changes also in the system of appraisal interviews** (conducted once a year), as these are amended with the **competency model.**

In order to rise the quality of leadership since 2005 there have been **several trainings for leaders** in different levels of ministry and these are still ongoing.

There have been several other different scale projects implementted in the personnel management over the years.

3. Description of the prioritisation approach that led to the chosen project

There has been **almost 10 years** a certain methodology used for prioritisation in our organisation, which we believe has worked very well. All improvement actions have been evaluated according to 3 criteria: **impact** (whether this activity has impact on the whole organisation or just a unit etc), **urgency** (how urgent is the improvement activity) and **implementation costs.** The weighing was done on the scale of 1-3. The prioritisation has been always done by the top management of the ministry (secretary general and the deputy secretary generals). Of course on the background there has also always been the strategic view of the ministry according to which the necessary choices had to be made.

Also efficiency has been the keyword describing the approach in designing and offering services and executing state policies in all fields of the Ministry of Finance, be it budgeting or tax policy or reforming civil service and public administration. As Estonia is a small country, workforce is the most valuable resource, therefore creating the possibilities for concentrating more on core business and processes has been essential for the Ministry of Finance.

🇫🇮 Finland

Case: Target-oriented network leadership of educational services in the Päijät-Häme

The City of Lahti
Education and Cultural Affairs

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Sector of the organisation: Education and research

The service sectors in municipal education services are early childhood education, pre-school and basic education, upper secondary education, library services, sports services, youth services, cultural services, and adult education.

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Sub-criterion: 1.1 Provide direction for the organisation by developing its mission, vision and values
Sub-criterion: 4.1 Develop and manage partnerships with relevant organisations

1. Description of the improved result(s) of the organisation

The modes of operation differ among the municipalities in the network, which are heterogeneous, independent, and of various sizes. Active development of network-based collaboration steers the development of service processes in a mutually selected direction. In particular, the development of mutual collegiality among the members of the development groups engaged in expert duties in the various service sectors in their respective municipalities, discussions over practices in the various municipalities, and mutual sharing have promoted harmonisation of service processes. There is still a long way to go, but the direction is right.

Lahti City Library

The coherent, customer-oriented harmonisation of information and library services throughout the Päijät-Häme region is a tangible result of network-based collaboration. The municipal service sector databases have been pooled, and uniform fees and charges have been introduced throughout the municipalities. Residents of Päijät-Häme can now use the same library card in all the region's libraries and borrow books online from any municipality.

In addition, **uniform service strategies have been introduced for pupil** care and counselling, as well as for **complementary training of teachers** in all the municipalities.

The points scored in the CAF assessment for the first section, **Leadership, sub-criterion: 1.1 Provide direction for the organisation by developing its mission, vision and values**, came to 2.8. Thanks to the project, the score for the Leadership section improved from 2.8 to 3.5 in the 2014 assessment accoring to the original scoring panel.

The network-based approach involving central operators from different municipalities in the same service provision chain and under the same direction has turned out to be a well-functioning method of collaboration. The proposed measures affect all profit centres, customer scores, staff scores, social responsibility scores, and essential performance scores. More time is needed to improve the operations, because of the extent of the area, variation in the service processes, and the large number of operators. The scores for this assessment remain unchanged for the time being, at 2.7.

CAF points 2013 - 2015
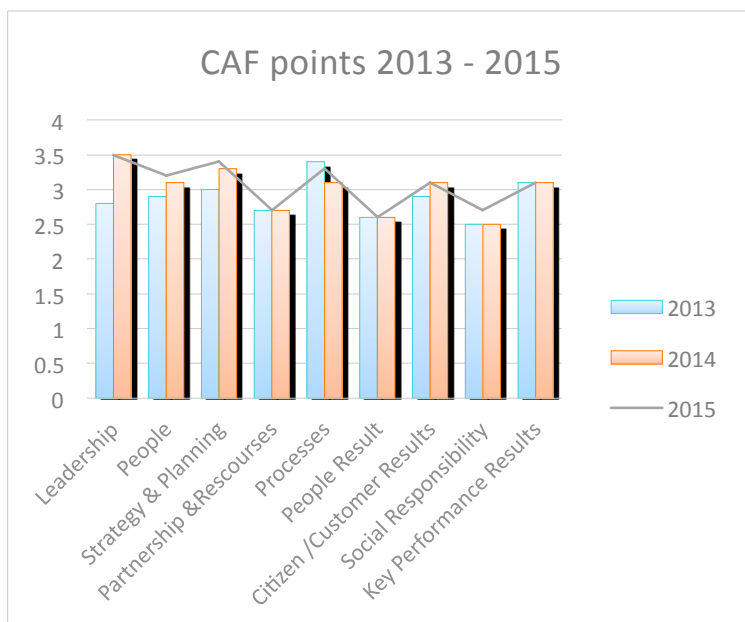
CAF assessment 2015, results
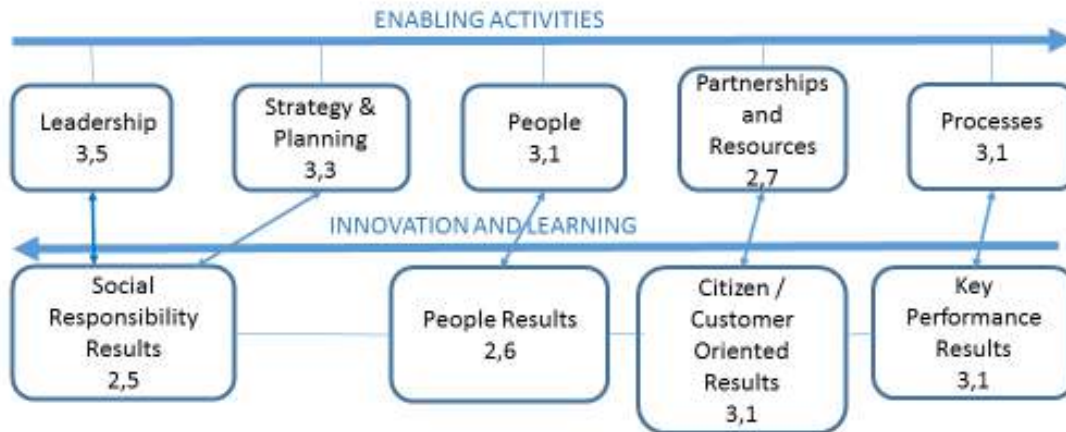
Important in this kind of cooperation is that the interaction between the actors of the same profession in different municipalities has increased while they are working with improvements in the developing groups.

Municipalities have also uniform common agreements with mutual invoicing, for example when the pupil goes to school in different municipality than where he lives.

The steering group decides each year together on common teachers- and student's working- and holiday periods which are the same throughout the region.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

The overall objective in adoption of the network-based collaboration was to improve the quality of the operations. Our mutual vision 'Päijät-Häme as the spearhead of education and culture' outlines the mutually desired direction for the collaboration. The vision requires continuous improvement of municipal cultural and educational services because the residents' needs and the operating environment are changing continuously. The development measures implemented jointly in the collaboration network must be in line with the vision. The vision, based on the operation of the

collaboration network, does not conflict with the visions of individual municipalities in the network, because the collaboration is aimed at improving the provision of municipal educational and cultural services together. The municipalities agreed on mutual collaboration in the network through a collaboration agreement that also received a mandate from the political representatives of the respective municipalities. A mutual operation system for the collaboration network was created to ensure successful collaboration and to focus the development measures. The steering committee's annual self-assessment as an essential part of this system. The steering committee controls the operation of the development groups representing various sectors in educational and cultural services, and it monitors the completion of projects. The operation system defines the interaction between the steering committee and the development groups.

The networks leadership development was the first point of attention

At the outset, the operation of the steering committee was inefficient when compared to expectations.

The members of the steering committee are directors of educational and cultural affairs from each member municipalities, so that the City of Lahti has two members, because of its large size. The steering committee is established in 2009. The committee makes policies in common implementation plans and share the responsibility for carrying out the project to the each selected development group depending on the context. The steering committee has a timetable and a year clock. The members meet every month, excluding July, which is the holiday month in Finland.

The members of the steering committee are busy directors and unique personalities with many irons in the fire. Some of them participated in steering-committee meetings only sporadically and inform of their absence at the last minute. The meeting documents and their attachments were sent to the committee members by email a week before the meeting, but some of the directors did not study the documents in

advance. Some did not study the meeting minutes properly either. Breakdowns in communication occurred in individual municipalities, and the information about steering-committee decisions never reached the personnel engaged in the actual service provision in some municipalities. Therefore, clarification of the role of the steering-committee members (directors in education and culture services) as the most important operators in the regional collaboration network was identified as an important target of development, with the aim of success in the development of municipal service processes and harmonisation of service production as intended. The directors' personal performance is key to continuous improvement of the results of the regional collaboration, particularly with respect to spreading awareness of the mutual vision and the objectives for the service strategy and operations in the organisation in their respective municipalities.

An action programme was drafted in order to improve the results for the Leadership section and implemented in the course of 2014. As a mechanism for improvement, **a regular schedule and set duration for the meetings** were agreed upon. In addition, the meeting schedule was entered in the directors' calendars in advance. The steering committee also agreed on **a deputation system** wherein a deputy is appointed for the director of the education and culture services of each municipality. Should the director be unable to attend the meeting, the deputy is obliged to participate instead. This ensures that each municipality remains fully informed about what is discussed and decided by the steering committee. In 2014, the meetings also addressed **communication gaps** and the problems they cause for interaction in the municipalities. These too turned out to be critical success factors. In addition, the committee agreed that each person participating in the meeting (director or deputy) shall ensure that the discussion output from the meeting (i.e. the agenda) will be discussed by the administrative group of the educational and cultural department in each municipality and passed on to the appropriate committees (political decision-makers) in the future.

A shared online databank was created for storing the meeting documents and materials produced by the development groups in order to provide equal access to the meeting documents and materials for everybody appointed as an operator in the collaboration network in any of the municipalities. All the related documents and minutes, including their appendices, are stored in the databank a week before the meeting, and separate email messages regarding them are no longer sent. This system, created jointly and known to all parties, now forms the core of the network operations. Commitment to it creates a basis for self-assessment and continuous improvement of service provision.

Partnerships and Resources was another important target for development of the collaboration of the steering committee for 2014, agreed upon on the basis of the CAF assessment in 2013. **Sub-criteron 4.1 Develop and manage partnerships with relevant organisations**.

All members of the steering committee are responsible for the provision of educational and cultural services to the residents in their respective areas in the network-based collaboration model, subject to the legislation governing all municipalities alike. The service sectors in municipal education services are early childhood education, pre-school and basic education, upper secondary education, library services, sports services, youth services, cultural services, and adult education. Each municipality has an organisation with **a manager appointed for each of the service sectors**, working under the director of

education and culture services. Development of operations in each of the sectors has an impact on how well the mutual objective can be attained.

At the outset, for some of the service sectors, there were peer groups covering the collaborating municipalities, whose members were responsible for similar operations. Meetings took place arbitrarily, convened by different people. After learning that the mutual communication among colleagues in the various municipalities worked well, the steering committee found it appropriate to strengthen its partnerships in order to manage and develop them. As a mechanism of improvement, all educational and cultural services sectors received equal opportunities to share good practices and develop their operations by learning among peers. Each of the groups was named as **a development group** for its respective operating area, for harmonisation of the operations and description of the operation of the expert groups consisting of managers from the various municipalities. The director of education and culture services in each municipality enabled operation of the development groups by allowing their members to allocate working hours for operating in the regional network. **The entire development network system was organised under the leadership of the steering committee.** At the moment, the steering committee assigns tasks (development projects) to the development groups in order to harmonise staff skills and service operations among the municipalities. The purpose of the development groups' work is to improve the quality of service in their respective sectors. A set of consistent guidelines was created for the development groups, which was discussed at a meeting of each group. The guidelines were also made available in the operation system. The meeting practices were harmonised, and a chairperson, in charge of drafting and implementing the annual action plan, was appointed for each development group. The steering committee is informed of the action plans. In order to facilitate interaction between the development groups and the steering committee, a contact person has been appointed for each development group, to serve as a link to the development groups within the steering committee. All members of the development group can use the online databank used for storing all the material created during the collaboration.

Participation of the appointed experts in the network meetings and in implementation of mutual development actions in the municipalities or introduction of mutual practices in the improved and streamlined service processes is a critical success factor in the operation of the development networks. Any conflicts or suggested deviations from the agreed practices are to be brought before the steering committee, as agreed within the network operation system. All the municipalities in the collaboration network are committed to the collective decision by the steering committee, which is final (a binding agreement).

3. The organisation model for the development of quality in the municipal collaboration in Päijät-Häme and the selection, implementation, monitoring and evaluation of improvement actions

The independent municipalities in Päijät-Häme, of many sizes, have been collaborating in order to develop educational and cultural services since 2006. The directors have worked to a great extent on their own with issues and challenges similar to those in the neighbouring municipalities. Mutual collaboration has provided support for the work of individual directors.

The steering committee compiled an overview before the first CAF assessment, analysing not just the mutual vision but also partnerships, customers, mutual core processes, financial instruments, available resources, and the operating environment. The steering committee also analysed the strengths and weaknesses, opportunities, and risks (threats) of the collaboration. The overview was the basis for self-assessment. The network's operational system has been built on the basis of the CAF areas of operation. Using the assessment tool has led to mutual understanding that all the areas of operation affect the overall results and that, for operations to improve, it is necessary to develop all of them. Also, the CAF has made collection of feedback from staff and residents more systematic.

The network operations are co-ordinated by two persons, whose views have perhaps had the most impact on using the CAF as a tool of self-assessment in the network. The development manager acts as the presenter of the network to the steering committee, and her experience and expertise (Master of Quality) convinced the steering-committee members of the benefits of applying the CAF approach in network-based operation. The steering-committee members had very little experience with self-assessment when it began. Only the basic education sector had self-assessment recommendations in accordance with the CAF for assessing the operation of schools. In the development network, all the municipalities in the area adopted the recommendations, so the education sector has gained experience in using the CAF. Another objective of the network co-ordinators has been to expand the use of the CAF model in municipalities and in other service divisions through the experiences of the director of education and cultural services.

The suggestions for development collected in the CAF assessment report will be thematised into entities, and the steering committee will select the targets for development for the next year. The targets for development will be prioritised on the basis of which area has the most room for improvement, as indicated by the results from the self-assessment, and which measures are in line with the vision for the network-based collaboration. Public organisations should take into account known

changes in legislation, which contribute to directing the selection of certain service processes as targets of development across a broad spectrum of cultural and educational services. Renewal of service processes has been a continuous target for development in all the self-assessments performed so far. The areas for development are distributed among development teams, and an implementation plan will be drafted for them, monitored by the steering committee. The chairperson of each development group is in charge of implementing the measures. If public financing is available for some of the areas for development, it is applied via a mutual application by the entire development network.

When the steering-group members perform a self-assessment together, they also stop to review the operational entity, identify targets of development together, and commit to the objectives they have set. The results with network-based collaboration have continuously improved in quality, even though this work has been taking place for just a short time.

The CAF self-assessment was introduced as an essential element of operations only in 2013. It was preceded by quality- and development-manager training targeted at the needs of the steering-committee members, with the aim of increasing their quality-awareness and development skills. Understanding the purpose of the assessment in the same way was essential, and so was understanding its role in planning the development of operations. Adopting a uniform quality language and shared concepts was also key. A section on using the CAF tool for self-assessment was added to the training. The first CAF assessment was included in the steering committee's annual action plan, and time was allocated for the self-assessment process in the steering-committee's meeting calendar. The self-assessment was created in accordance with CAF criteria, but questions were edited to better suit the network-based operating model.

To facilitate realisation of the vision of the collaboration network**, a mutual Web-based assessment system** was created in parallel with the mutual operation system, with a scheduled implementation plan. A separate expert group representing the various municipalities was created to assess the success of the development measures. The group is in charge of performing assessments for the agreed subject areas and of gathering feedback for the network's steering committee. **The assessment group (ARVO)** drafts the assessment questions in collaboration with appropriate representatives from each service sector to be assessed, using mutual criteria that take into account the special characteristics of each area. Online assessment questionnaires target residents using the services and staff providing them. These include questions specific to each target groups. The quality criteria created by the Finnish Ministry of Education and Culture are used to assess pre-school and basic education, with feedback gathered also from the pupils. The assessment is widely publicised in the area, and each municipality's Web site has a link to the questionnaire. The link to the Ministry of Education and Culture's questionnaire regarding assessment of education services is also sent via online communication channels between schools and homes.

The results cover the entirety of Päijät-Häme, and each municipality receives the results from its area. The results indicate whether the agreed development measures (separate mutual development projects) have improved the services. Also, results for individual municipalities are compared with the results from the entire area. Systematic assessment has been carried out in collaboration among the municipalities for many years now. It has already proved useful in assessment of the effect of development measures. All the municipalities in the network know that the feedback from the

assessment indicates the status of the educational and cultural services of each individual municipality to all participants in the network. That is why commitment to implementing improvements has increased over the years during the collaboration. The questionnaires are the most important indicator in the assessment of the development of educational and cultural services in the network. The principle is that the strengths identified in the entire area are reinforced and the parties invest in the selected targets of development together. Feedback from staff is essential in the CAF-based self-assessment of staff results. Customer feedback is assessed as part of the results from customers and residents.

The development initiative was based on the idea that municipalities will achieve more as a network than individually. The mutual quality vision helps the independent municipalities in the Päijät-Häme region to assess each year whether they have progressed towards the goal via the measures implemented in the network. The programme also aids in sharing good practices more rapidly. The steering committee selected the CAF as the development tool for the network collaboration because it is best suited to the network-based development of organisations, and its adaptability to the needs of the network was considered particularly important. The network aims to utilise CAF self-assessment in the development of its activities every year. The first measures have been initiated in areas where close and fruitful network-based operation is considered beneficial.

🇫🇮 **Finland**

Case: The initiative-system in the State Residential School Liminka

State Residential School Liminka

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Sector of the organisation:

Most demanding child welfare. State residential school play a key role in shouldering the responsibility for the upbringing, education and care of child welfare clients with the most challenging needs. They provide the quality and development standards for substitute care for all those involved in this field of child welfare. A successful implementation of the task of residential school helps strengthen the functional capacity and coping of children and their families and reduces human suffering, as well as diminishing the need for other public service resources.

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Criterion 3: People, sub-criterion: 3.3 Involve employees by developing open dialogue and empowerment, supporting their well-being

1. Description of the improved result(s) of the organisation

As a result of the initiative system, presented under part 2, the number of initiatives submitted by staff has increased. Approximately 25% of initiatives have been submitted with security in mind.

Number of initiatives from staff

Year	Value
2008	0
2009	0
2010	16
2011	34
2012	50
2013	55
2014	84
2015	57
5/2016	55

Security-related initiatives from staff

Year	Value
2008	0
2009	0
2010	2
2011	4
2012	3
2013	11
2014	23
2015	17
5/2016	15
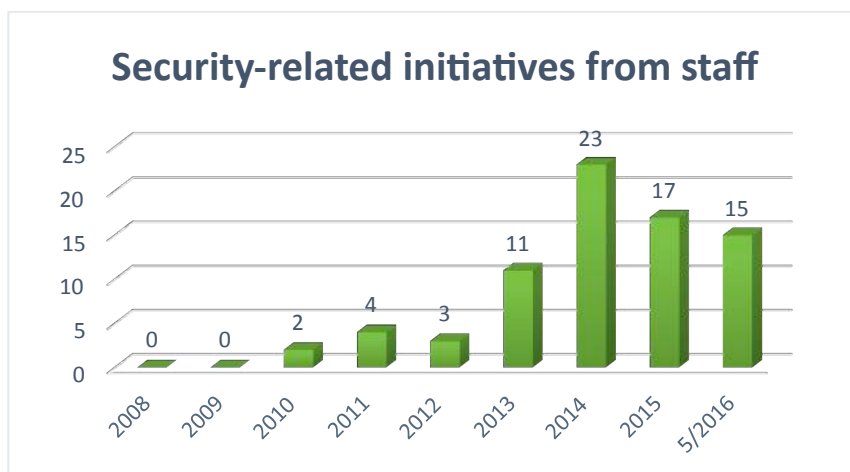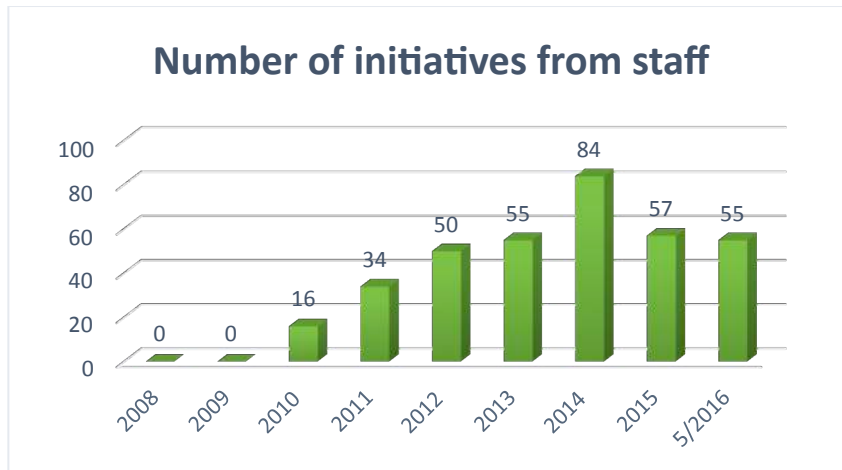
The number of staff sick leave days is decreasing. The vast number sick leave days in 2009 and 2010 had management invest in staff wellbeing and the development of staff related processes and practices.

Sick leave days / man-year

Job satisfaction has been evaluated annually on a scale of 1-5. Job satisfaction appears to be around 3.5.

Job Satisfaction

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

Examples of initiatives made by staff	Improvements made resulting of the initiative
Security drills among teams: Scenario type exercises that mimic real life dangerous situations in everyday ward environment.	Implemented in Fall 2015. Follow up annually.
Renewal of process to address deviant situations: Everybody has the chance to make a note of deviant instances. The internal occupational health and safety committee processes the note before its goes to the review of the management group.	Implemented in 2015. Continuous process.
Professional guidance: Some respondents were unsatisfied with the content of provided professional guidance.	Professional guidance providers were put out to tender. Staff wishes and guidance themes were discussed and agreed upon in detail with new providers.
Acquisition of new sleeping bags and camping mattresses due to the bad condition of existing ones. Also the acquisition of new shared outdoor clothing for children.	New sleeping bags and camping mattresses were acquired. Shared outdoor clothing not acquired due to rapid wear of shared equipment. Children are also eligible for a sum of money to purchase clothing for themselves.
In addition to surveys and questionnaires, it would be beneficial to gather qualitative feedback from children. This way the feedback would serve to improve the content and direction of work.	Implementation incomplete. At the moment the nature of qualitative feedback is being examined, and also how and when it could be collected.

Overview of Quality Management at Liminka State Residential School, the basis for the Initiative System.

Liminka State Residential School has systematically developed its operation and quality management since 2009. As a result of this development process, the quality system MAP was built, an instrumental tool which still today serves as a vessel for everyday guidance, information circulation, surveillance, development, self-assessment and employee familiarisation. The management system and the quality system MAP have been built according to the CAF-model, even though originally they were based on ISO 9001.
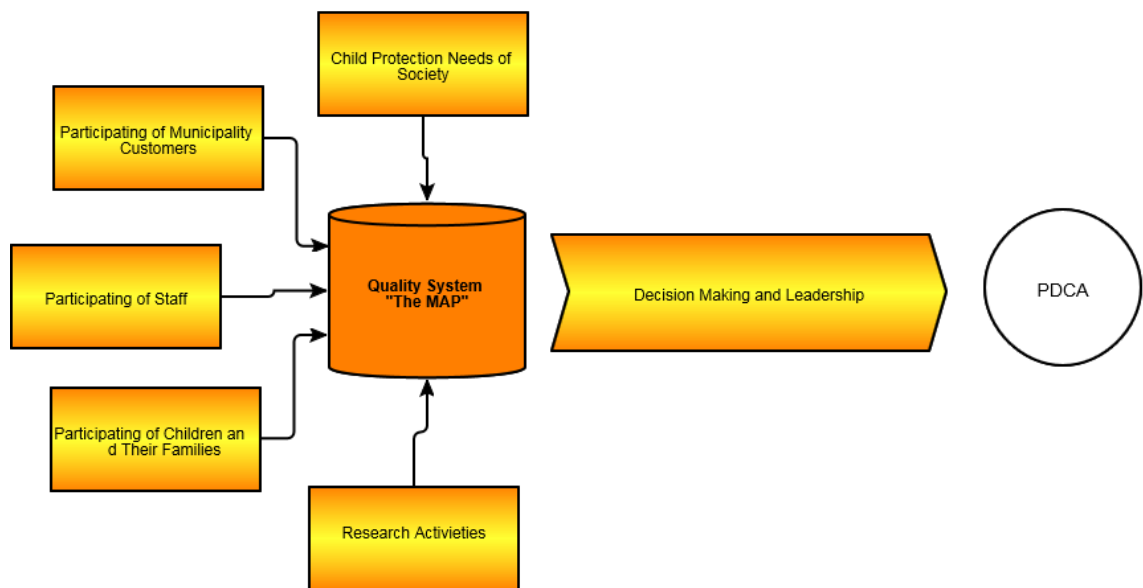
Staff was constantly involved in the development process through multiple forums, such as team meetings, organisation-wide development seminars (3 times a year), co-operation committee meetings, internal reviews, occupational health and safety committee meetings and also through initiatives, feedback and employee performance appraisals. In addition, any divergences encountered and logged by staff are now reviewed and addressed monthly, so they function as sources for further development. The central idea of the management system is that all minutes, memos, decisions, reports and metrics are readily available for staff in the the database called the MAP (excluding those deemed confidential). Also the processing of initiatives, feedback and divergences is accomplished through MAP and thus can be viewed by any staff member.

The benefits gained from the operational development and management have been: the increased transparency and openness of management, improved information circulation, active staff participation in development processes, the involvement of interest groups in development work, goal-directed and strategy adhering management on all levels of the organisation, improved focus on 'ground work' (children), and the production of new pedagogic and educational content, increase in employee wellbeing and safety, strengthening and activation of roles regarding occupational health and safety and union stewards, increased cohesion in employee familiarisation and the implementation of procedures from various plans and manuals into everyday work.

The vast number of sick leave days in 2009 and 2010 caused management to consider the development of staff wellbeing. The possibility for staff members to be able to get involved with the development of their work and working environment, and the transparency of decision-making were seen as crucial factors in increasing staff wellbeing. By involving staff in the development processes, management sends a message that the expertise and professionalism of staff members is held in high regard and trust.

In retrospect, it has been noted that the quality system MAP has functioned as a good basis for the implementation of various involvement procedures. On the other hand, any systematically functioning system can act as a platform for development, but the most crucial factor is management's commitment and persistent repetition of implemented methods until they solidify into established operating models. The creation of established practices creates an atmosphere that staff members' involvement has an impact on groundwork which again creates a feeling of continuity and security.
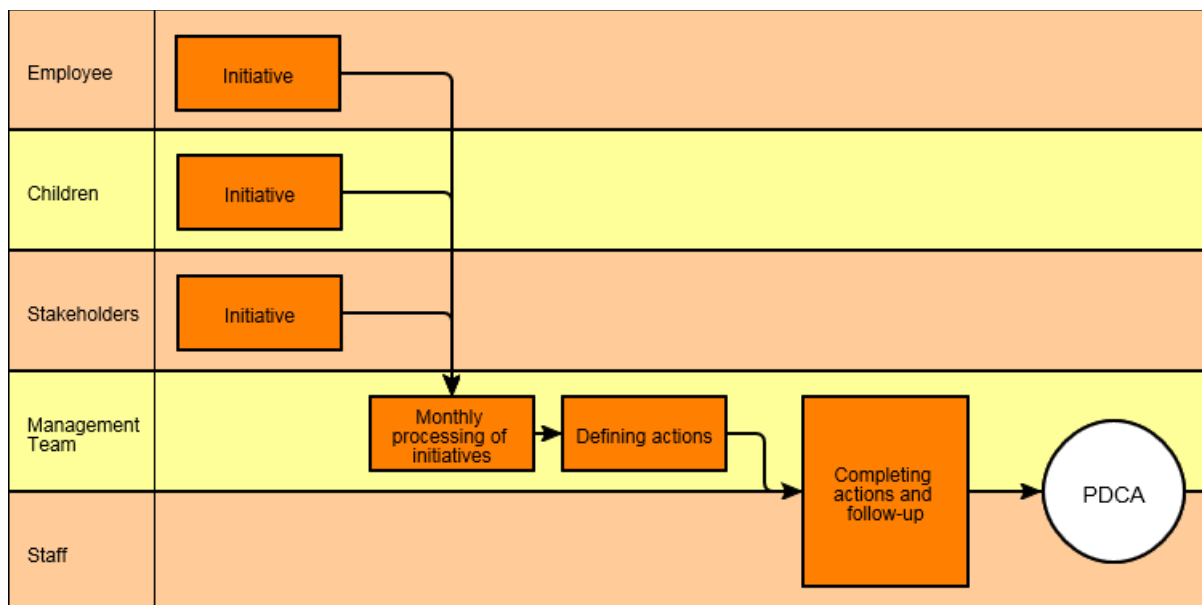
Implementation of the Initiative System

The staff now actively participates in operational development by filing initiatives, through internal reviews, employee development appraisals and job satisfaction surveys.

The ability to file initiatives into the quality system MAP was made available to all staff members starting from day one. In case a staff member does not know how to use the system, their supervisor can file an initiative for them. During the first couple of years, management group and supervisors reminded staff members about filing initiatives whenever they heard development ideas. For example during meetings or coffee breaks.

The management group processes all initiatives monthly. Comments are then added regarding what steps can be taken towards realising these ideas, and also conversely why some ideas cannot be realised. Staff members are able to keep track of how their initiatives are being processed through the quality system. The management group keeps track of the initiative process monthly through 'traffic lights': an initiative in progress is shown in yellow, where a completed one is shown in green. Initiatives are observed until completion.

Completed and realised initiatives were discussed in staff meetings right from the start in order to emphasise the importance of the initiative system, and demonstrate to staff that their ideas were being carried through. As such, no specific reward is granted for successful initiatives, for the transparency of decision making and the ability to influence are rewards in themselves.

Further development of the Initiative System

Further on initiatives were also collected from employee development appraisals, job satisfaction surveys, discussions in staff meetings, internal reviews, management reviews, reviews conducted by government officials and external reviews. This has led to the fact that the initiative system has become a crucial tool in continuous operational development.

Today, teams keep track of the progress and processing of initiatives in monthly team meetings. Team meetings take place more often than staff meetings so they have taken over as the regular forum for discussing initiatives. Teams keep track of initiatives through the quality system MAP, which as such reinforces the habit of making full use of the system.

Staff members are not being rewarded for individual initiatives, although displaying activity in operational development will be taken into account while determining a staff member's personal salary percentage, for which the number of filed initiatives is a good indicator.

What can go wrong?

It is of paramount importance to trust the expertise and professionalism of staff members. The filing of initiatives cannot be made too difficult and the possibility of the entire staff being able to continuously keep track of the processing of initiatives is important.

Management has to take all initiatives seriously, even though some of them might seem minute. It is important to give an explanation if an initiative cannot be realised. Management has to process initiatives on a regular basis and make sure to act on matters that have been agreed upon. If agreements are not adhered to, the very meaning of filing initiatives loses its purpose. Realised and completed initiatives should be brought up and emphasised for example, in staff meetings so that it becomes clear to staff that matters are being carried through via the initiative system.

3. Description of the prioritisation approach that led to the chosen project

Originally the principles of quality management were selected as the methodology for operational development. Meanwhile it became clear that the improvement of the existing quality system was in order, for at the time instructions were missing or no one knew which versions were valid. The new system was designed to act as an archive for instruction manuals, minutes and memos as well as a platform for process descriptions.

After this first stage the staff satisfaction was low and need for improving employee wellbeing and service content arose. The purpose was to create practical solutions such as the initiative system, and later the platforms for security management and sustainable development to be embedded into the quality system itself.

The desire was to improve employee wellbeing by increasing their ability to influence their own work, the contents of their own work and the development of their working environment. This was done to emphasise the fact that each staff member is the best expert in its own work. Giving staff responsibility in operational and occupational development served to increase trust between staff and management. Prioritising of development actions were made in annual planning days, which are held three times a year and involve the whole staff.

Another central theme in employee wellbeing was the openness and transparency of management. The processing of initiatives in a way that all staff members are able fully keep track of all stages of the process with respective explanations and rationalisations is open decision making and preparation.

The implementation of the initiative system began with the requirements stated in the quality certificate, but has over the years developed into a crucial tool for continuous development. A major reason for this is the fact that the initiative system is a practical tool for both the management group and staff. Last CAF self-assessment with was made 2015. Continuous quality work is part of the organisational culture.

Germany

Case: HR Management at the District of Upper Bavaria

District of Upper Bavaria (Bezirk Oberbayern)

Germany

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Sector of the organisation: Regional and local administration - Social services & social security

The district of Upper Bavaria is part of the third level of the local government in Bavaria/Germany.
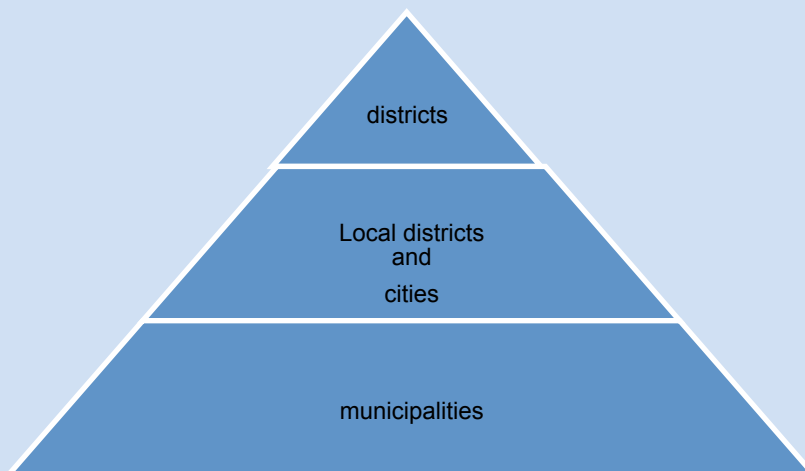
The district is by far the largest and most populous district in Bavaria with over 4.5 million residents (about 1.4 million of them are living in the city of Munich). It is a self-governing body with a parliament (district council/'Bezirkstag') led by an elected President ('Bezirkstagspräsident') which is responsible for various public services exceeding the capability of the municipalities, cities and local districts in the area of public health, social welfare and cultural heritage.

About 800 people work at the main office of the district administration in Munich. Responsible for the operational business is the director.

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Criteria: 1, 2, 3, 4, 5

our main office in Munich

1. Description of the improved result(s) of the organisation

The district of Upper Bavaria and its administration staff are in the process of implementing an integrated quality management system. Our goal is a stakeholder and citizen friendly service.

Beginning in 2005, a structured quality management approach on the basis of a CAF process was introduced. Based on three CAF self-assessments (2005, 2011 and 2013) the district implemented a variety of activities to improve the quality of services and products. These activities were assessed by external feedback experts resulting in the label 'Effective CAF User' being awarded by the Federal Ministry of the Interior in 2015.

In this case study we will focus on various activities in HR management over the last three years, since 2013. HR management was one of the three pillars of our strategic plan (the others were 'communication' and 'knowledge management') to achieve the label and to show how we implemented the results and findings of the CAF self-assessments.

In a dynamic and prosperous region such as Munich it is increasingly difficult to attract candidates for the public sector. Furthermore we want our staff to be satisfied with the working environment and optimise staff retention.

This means for HR management to promote (for details see 3):

- Job development opportunities
- Training courses for everyone
- Special trainee programs
- Executive feedback system
- Performance incentives
- External review of key processes

The first results in the field of HR management are showing promising signs of improvement.

The numbers of trainees have increased since 2012 and have proven that the district is a well-established training organisation:

Figure 1: Number of trainees
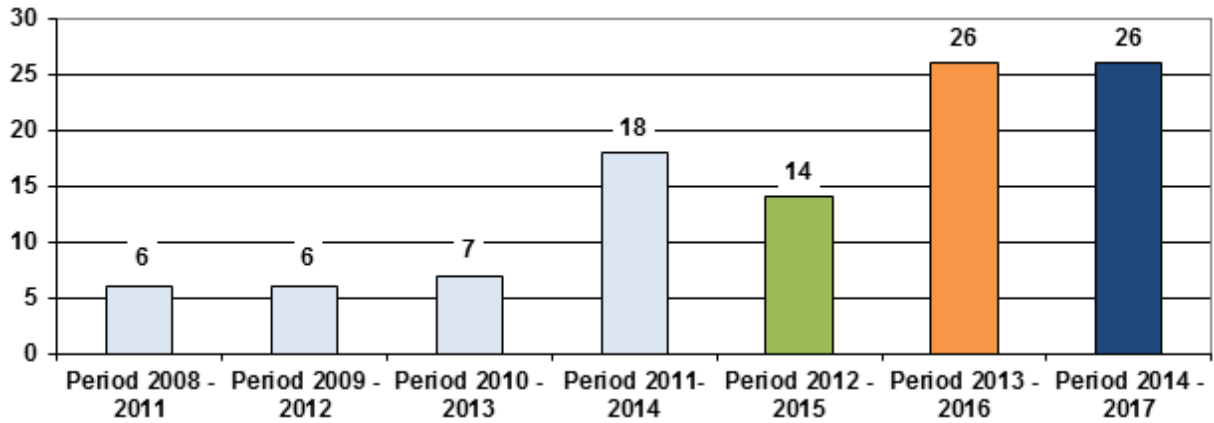
Another important figure was the decline of our staff turnover rate[8].

Figure 2: Turnover rate

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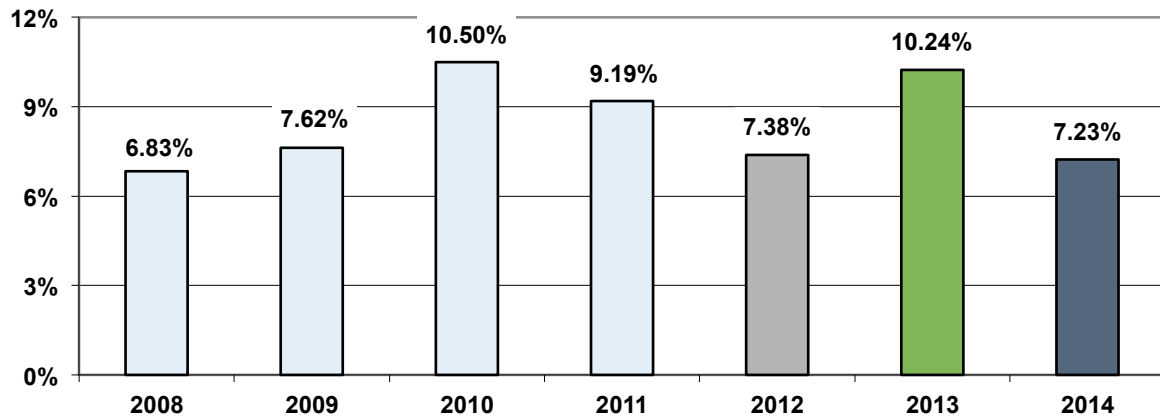
[8] Although the latest data shows a rise in the rate
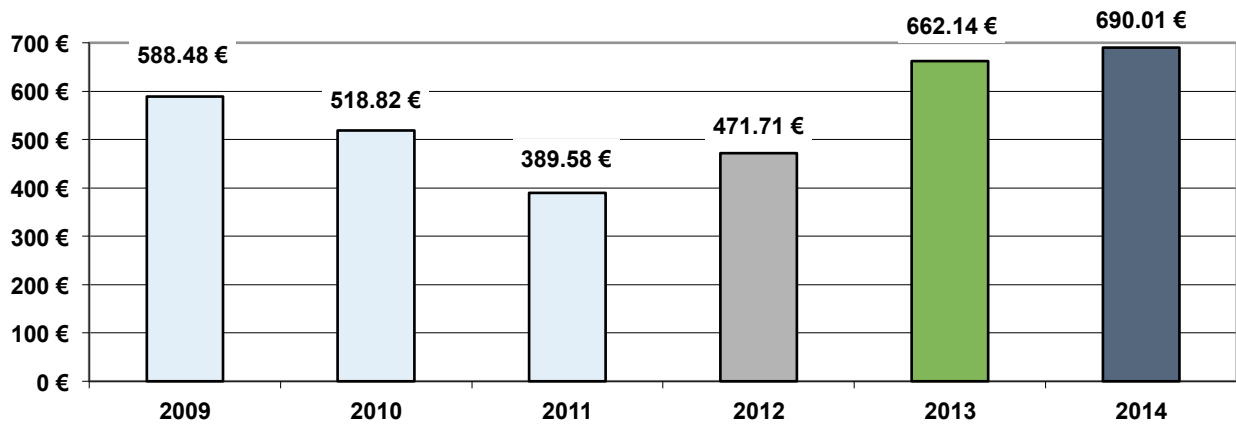
The district is continuing to monitor key numbers and will assess the action undertaken in the next CAF self-assessment in 2016/2017.

How did the staff evaluate the overall working situation? In an survey in 2014, our staff was asked to assess their situation in the following dimensions (blue line= actual state, red line= ideal)

A	scope of action
B	versatile range of working
C	holistic approach of working
D	information and participation
E	social support
F	working atmosphere
G	cooperation among staff
H	work content
I	amount of work
J	customer/client contact
K	processes
L	work environment
M	payment and development opportunities
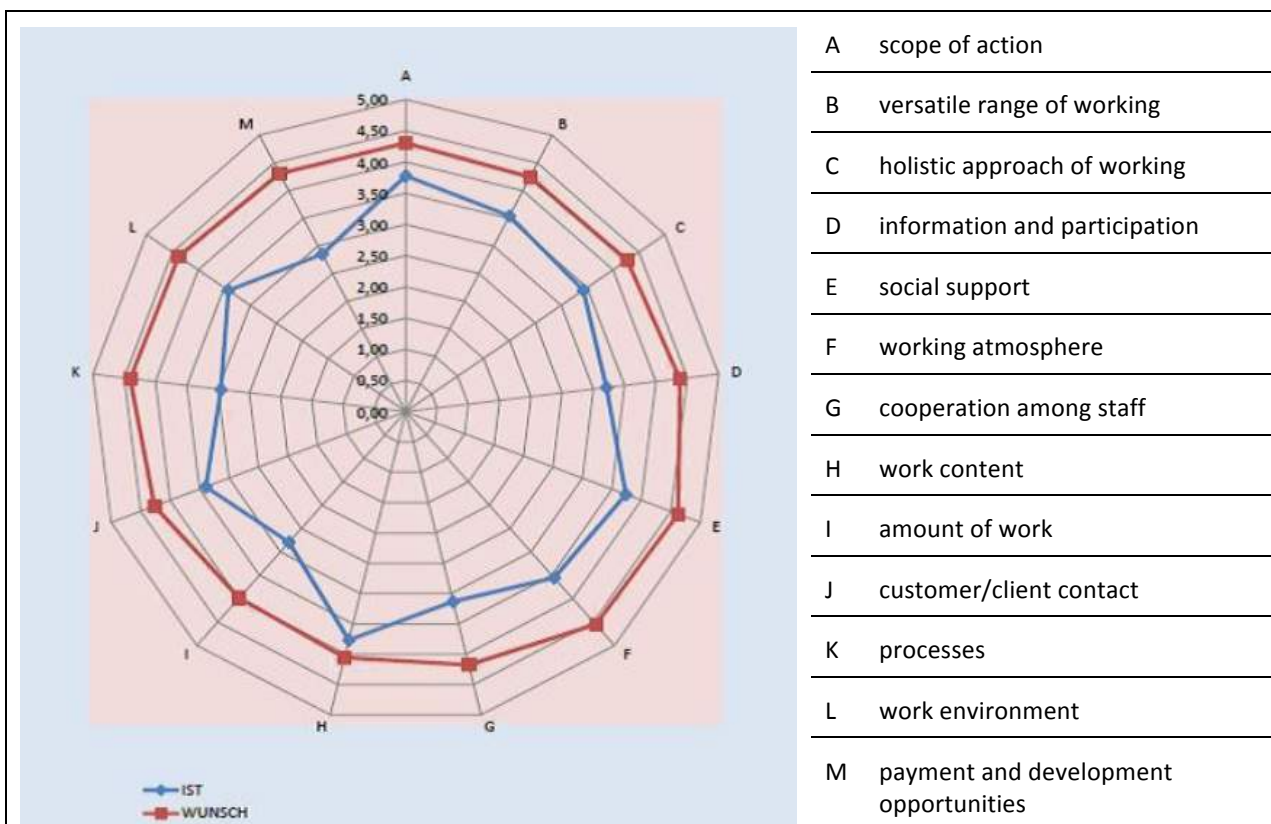
The results were discussed in several workshops and meetings and prepared for a presentation at a leadership meeting.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

Overall goals

The main goals of the activities implemented in the CAF action plan were:

- to describe our philosophy of a people-centred organisation through the classic principles of a selection and developing core competencies;
- establishing knowledge management to enhance learning and organisational specific knowledge and skills;
- improve working conditions through a health management programme.

Starting points

The administrative district of upper Bavaria is located in Munich, a dynamic and prosperous region where on the one hand the public sector must compete with the private sector and on another with high costs of living. In today business personnel management/HR management is one of the most important factors for a well-functioning organisation.

One important starting point in this area was our CAF self-assessment of 2011. It identified the departure and retirement of our staff as a crucial area of the example/indicator sub-criteria 4.4.6[9] : **Ensuring, that key information and knowledge of employees is retained** within the organisation in the event of their departure.

Also a feedback system for our leadership was a field of improvement.

In our 3rd CAF self-assessment 2013 the assessment group did focus on **the HR department** as a whole. How can the HR department become a better internal service provider for the administration? How can we make sure our employees are strengthening their customer orientation? How can the HR department focus on their key task?

Action plan (all actions started 2013 and in the following years)

Together with the HR management the so called 'management support unit' developed a **knowledge management** concept with a structured knowledge transfer interview if an employee leaves the district. With a guided interview and a mind map, the knowledge was well documented and accessible for the successor in the job.

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[9] Based on the CAF 2006 model

Another step taken was the establishment of a **management feedback system** (so called 270-degree-feedback). With the help of an external service, specialised in feedback systems, an online survey was conducted and analysed. The evaluation of the results was followed by workshops and feedback discussion.

The district also introduced an elaborate **health management program**. Special office equipment, a company (district) sports group with various offers (back training, yoga, a free fruit basket placed in our cafeteria etc.) and extensive information coverage in our intranet are also part of health management.

For our **trainees and junior staff**, the district did intensify the personal care and support. In addition to the CAF self-assessment the district applied successfully for the quality label 'Best place to learn' in 2015.[10] This shows that the district is training junior staff internally with respect to the special demands of trainees (e.g. weekly teaching afternoons with experts from the administration).

The **training-on-the-job** was also strengthened. In-house training possibilities as well as external courses and training in several areas like communication skills, conflict management and IT know-how were part of an offer open for all employees.

A **management curriculum** gives our leadership (2nd and 3rd level) the skills to full fill the internal 'Principles of leadership and cooperation'. With the help of a development guide customized training was offered.

To **improve the key processes** of the HR department an external review by the KGSt, (the German regional office for public management) was undertaken. The recruitment process was identified as the most important field of improvement. The process description was revised and the key partners were asked to address their needs.

At the end of 2015 we started a comprehensive online survey and asked the entire stuff about their level of satisfaction with the HR department. The results gave some additional input for the optimisation of internal processes.

All actions were monitored within the 'management support unit' at the office of the director. The action plan was made accessible via the intranet with an implementation status.

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[10] https://www.bestplacetolearn.de/verwaltung-des-bezirks-oberbayern-vorreiter-in-sachen-ausbildung/ (in german)

3. Description of the prioritisation approach that led to the chosen project

The prioritisation process was based on a multi-level approach

First, the CAF Self-Assessment Group was able to discuss and prioritise the results based on their own assessment on the CAF example level. For the first time we consulted our political authorities which are the elected members of the local parliament ('Bezirkstag'). We invited a peer group consisting of the faction leaders and the president of the district to assess and discuss the criteria and sub-criteria. The result was an astonishing agreement between the assessments of employees and the political authorities. The political authorities were unaware of the employees' results.
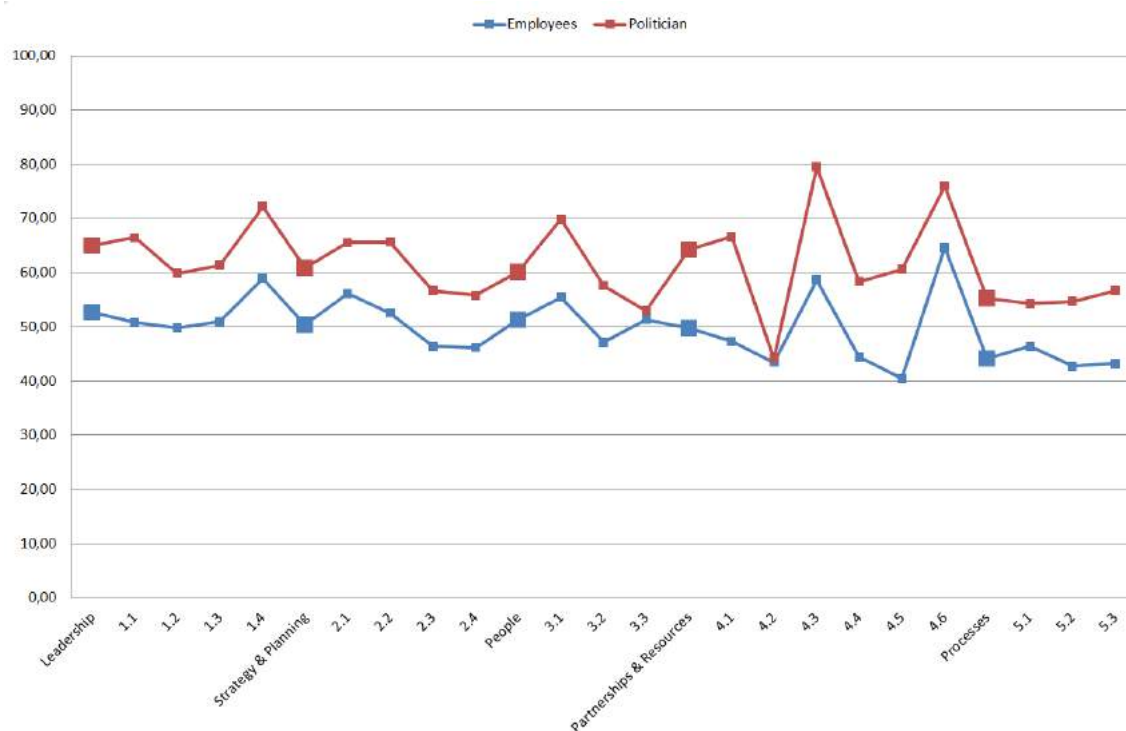
Finally at a two-day workshop with the extended leadership (around 40 people) we prioritised the actions using group-working techniques. Based on all these activities a Top 10 action plan was developed:

- Develop a culture of open communication
- Coordinate political and administrative goals
- Analyse the need for additional staff/recruitment
- Introduce knowledge management
- Revise internal guidelines for HR
- Communicate the need for change
- Evaluate our IT service
- Strengthen mutual trust
- Support the employees in achieving their goals

Germany

Case: Stakeholder analysis in the Hessian Administration for Land Management and Geoinformatics

Hessian Administration for Land Management and Geoinformatics

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Sector of the organisation: Regional and local administration (16)

The Hessian Administration for Land Management and Geoinformatics (HVBG) keeps relevant and comprehensive information on the landscape and land in Hessia/Germany and provides spatial data for various purposes. HVBG runs necessary data processing procedures and integrates spatial data of state administrations and municipalities. HVBG develops urban and rural areas and supports rural infrastructure investments. HVBG's core duties are: national/state survey, land survey register, spatial data infrastructure, land consolidation, site development, property value collections and services

About 1440 employees (670 civil servants + 770 employees) are working currently at HVBG.

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
All the enablers Criteria

1. Description of the improved result(s) of the organisation

The Hessian Administration for Land Management and Geoinformatics in Wiesbaden (in the state of Hessia/Germany) has been driving a far-reaching transformation process since 1999. In the first phase, many public services provided by the Agency were privatised.

employees

- 2100 — 2005
- 1530 — 2011
- 1440 — 2016
- 1250 — 2022

locations

- 56 — 2005
- 23 — 2011
- 15 — 2016
- 12 — 2022
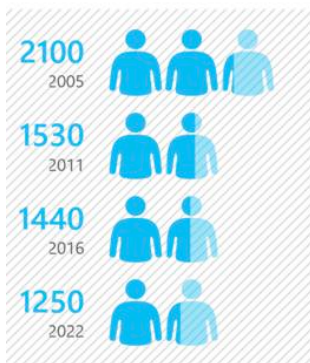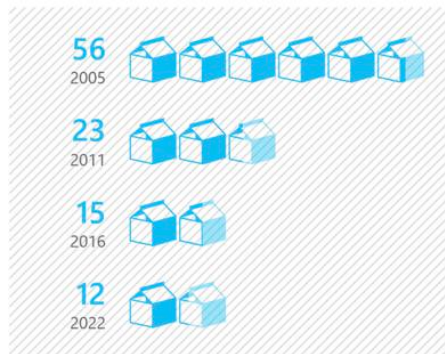
As a result, in 2005 the 56 local offices of the Agency were merged into seven new land survey offices with five outlying branches. At the same time, the Agency reduced staffing numbers by 30% within 10 years through an employment freeze.

It is estimated that the Agency will lose nearly 200 employees by 2022 due to retirement.

For more than 10 years HVBG handles its challenges using consequently methods and tools of a modern management cycle. The interaction of using modern management tools, common assessment framework, strong staff involvement and introducing an understanding of the TQM maturity within the organisation is leading to a continuous way of improvements. Therefore a high quantity and quality of positive outputs and outcomes can be perceived. Political leadership appreciates the improvement activities of HVBG. In 2014/2015 HVBG was recompensed with a management dividend of 1 Million EUR.

Some examples of positive outputs and outcomes are given on the following pages.

CAF assessment

scores caf assessments
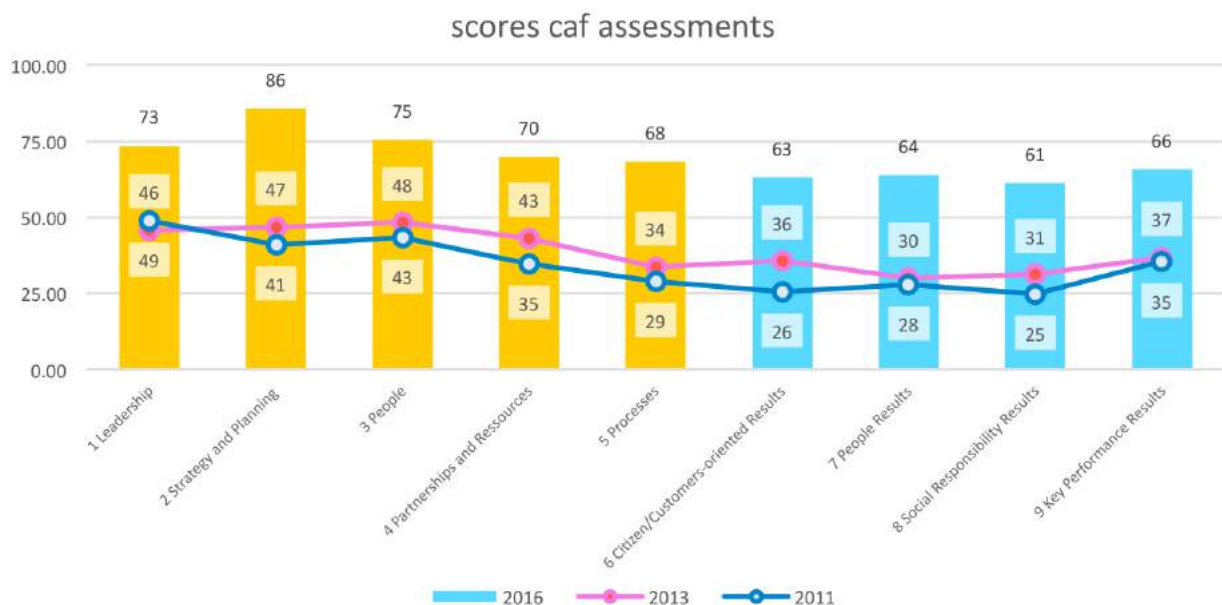
HVBG uses Common Assessment Framework as total quality management tool since 2003. Self-assessments were proceeded in 2003, 2006, 2008, 2011, 2013 and 2016. An enhancement of scores can be observed. The scores of caf assessments enhance significantly in 2016 compared against scores of 2011 and 2013.

Enablers criteria (1-5) are scored higher than 70, which matches to score ACT. Criterion 2 Strategy and Planning is nearly 90 (PDCA)

Results criteria (6-9) are scored higher than 60, which matches to score 'Results show improving trends and/or most of the relevant targets are met.' Increase of Enabler criteria is between 30% and nearly 50%

Increase of Results criteria is about 50%

Manage facilities

Reducing staff necessitates thinking about rented buildings, costs of properties, necessary areas etc..

Rental area was reduced from 60.700 m^2 in 2010 to 50.600 m^2 in 2015. In 2022 the planned rental area will be 48.000 m^2.

As a consequence expenditures for facilities (rent, services, utilities, additional costs etc.) are cut down from 11.150.000 EUR in 2011 to 10.800.000 EUR in 2015, though rent was increased by at minimum 15 percent in the last five years (2010-2015).

Key Performance Results

improvement process time
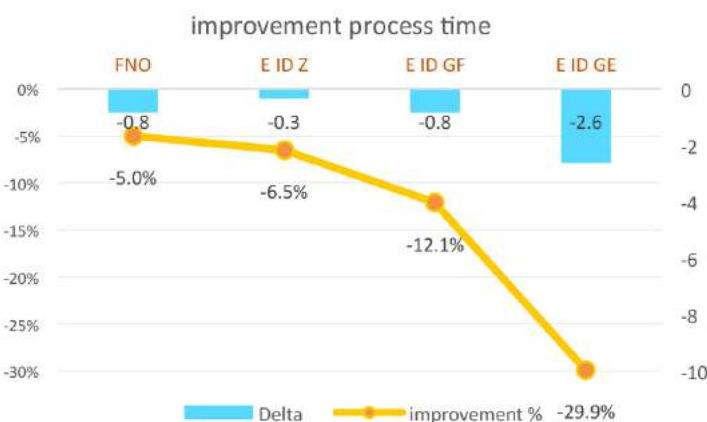
HVBG improves processes and technology to reduce treatment-/process times in core duties up to 30% during five years (2010-2015). Process costs in section sales/distribution are reduced by 100.000 EUR/year and complaints on products/services are decreased lower than 1,5 percent.

improvement cost coverage in core duties
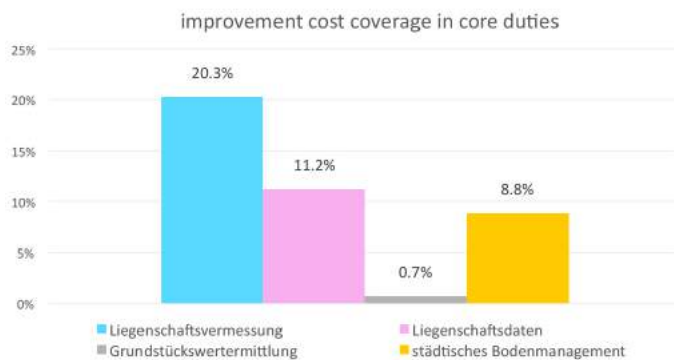
Sector 'Liegenschaftvermessung / Surveying' and sector 'Liegenschaftsdaten / real estate data' generate more than 90 percent of orders and turnover. As a result of different improvement activities (process management, new ICT solutions for geo-data, knowledge management etc.) cost coverage in core duties advances at maximum by 20 percent in period 2010 to 2015.

Citizen/Customers-oriented Results

Since 2010, as a consequence of privatising many public services provided by the Agency and reducing staff, HVBG has to concentrate on core duties (high relevant for society and regional politics) and tries to offer good products and services to core customers (state administration, municipal management, energy etc.) in different sales channel.

sales distribution
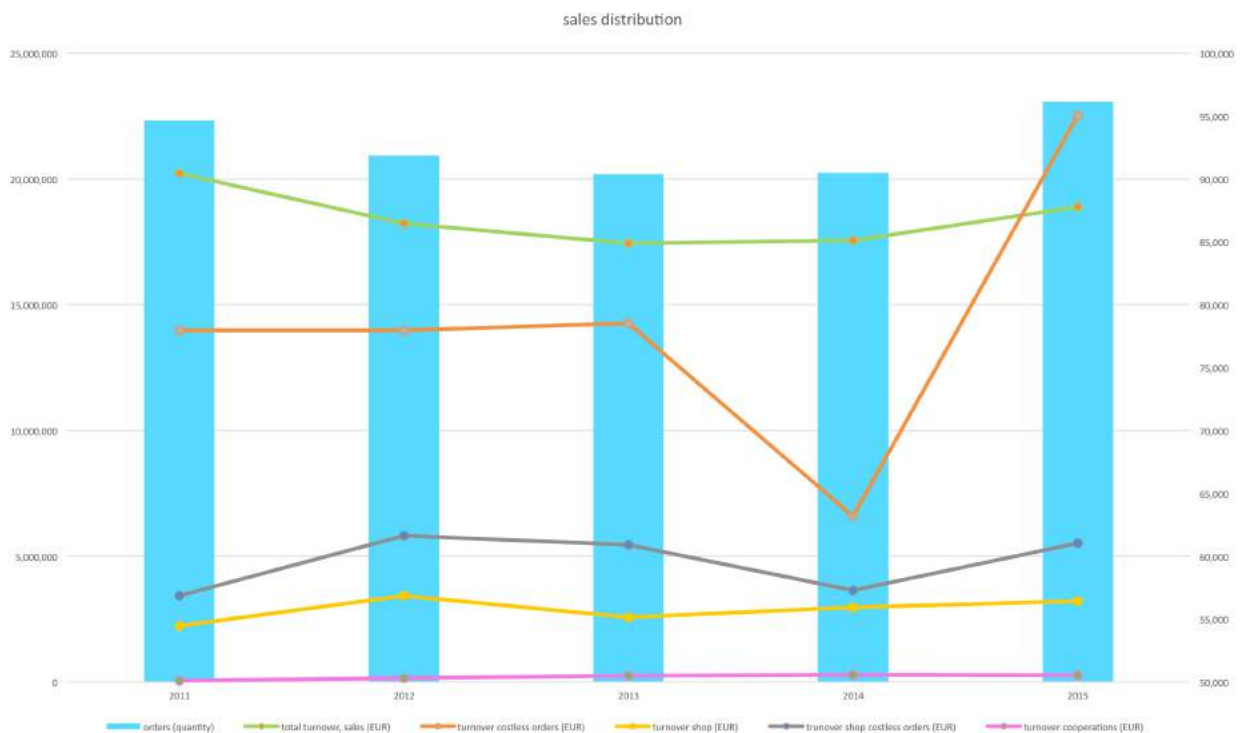
Since 2011 the agency simultaneously strengthens activities in sales, distribution, marketing.

In spite of staff reduction (2500 employees in 56 locations in 2005 to 1440 employees in 8 main locations in 2016) orders and turnover remain (nearly) stable.

For Several administrations it's possible to get products and services for free. From 2011 to 2015 costless turnover raises by more than 60 percent.

HVBG runs the biggest online shop of Hessia's state administrations. Since 2011 turnover, generated in the online Shop, increases by 44 percent. At same time visits raise by nearly 80 percent.

usage Shops-system
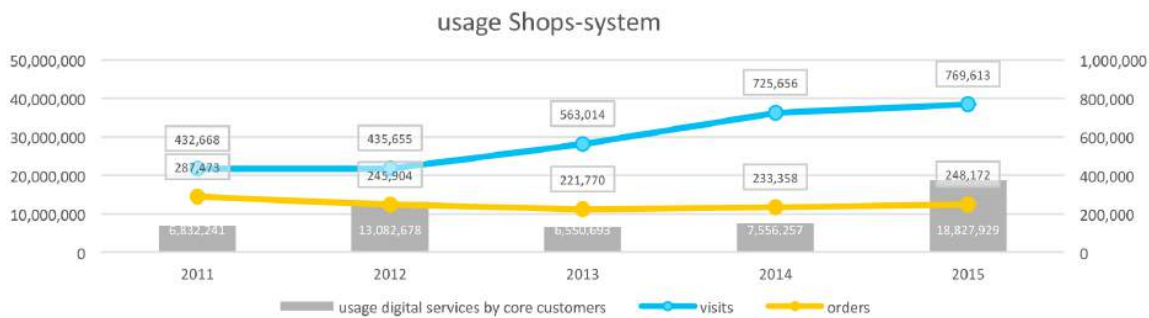
Spatialdata/geoinformatics gets increasingly important to state administrations, municipal management, energy suppliers, environment protection (solar-/wind energy), flood control/climate change etc.

The usage of Digital services, offered by HVBG, advances by 175 percent in the last five years.

People Results

The HVBG has done a lot for work-life balance like

- flexibility in the organisation of working time
- flexibility in alternating telework
- the awareness of managers for the issue up to the corporate culture and appreciative relations

In 2016 HVBG is given the quality label 'Family Friendly Employer'.

line manager | appraisal by subordinates

average (1-very well < > 5-bad)
cooperative leadership - % of positive appraisal
score 1 or 2 (% of 100)

HVBG invests with consistency in leadership development programs for all hierarchical management levels (since 2011 called FKE I, FKE II, FKE III) and in staff development actives/programs since 1998.

Since 2005 (as an improvement action by CAF) different appraisals of line managers by subordinates shows positive average scores. The average scores enhance from 2,14 in 2011 to 2,11 in 2016. Scores of 1 or 2 (1 and 2 are the best scores of 5) advance from 68 percent in 2011 to 73 percent in 2016.

About 93 percent of interviewed persons are satisfied with cooperate leadership of their line manager.

sickness absence rate | average age

HVBG   AOK   AOK-ÖV   Bund   average age
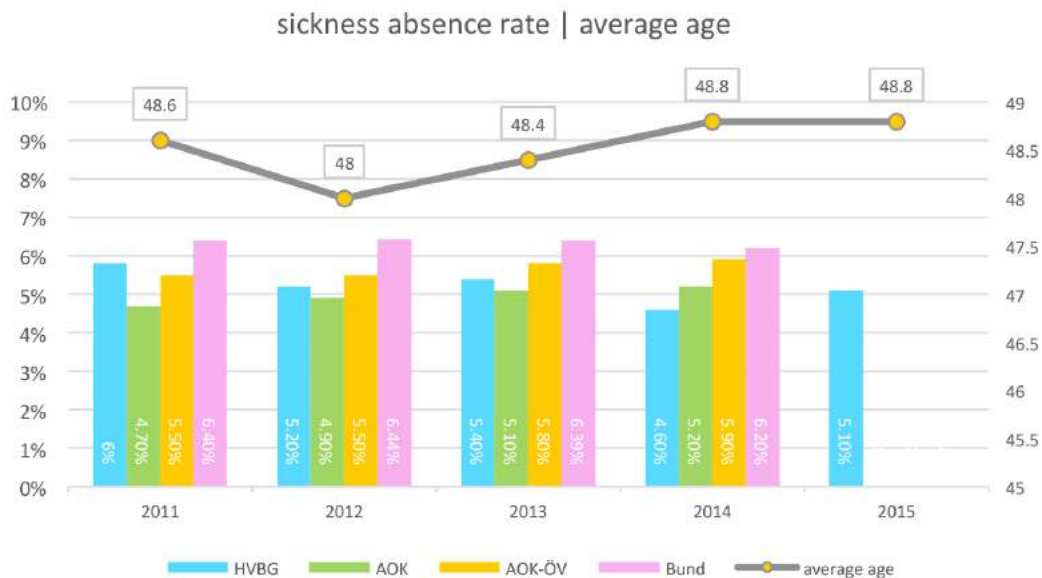
- The average age of staff is currently about 49 years.
- The organisation invests in workplace health management and rehabilitation management.
- Sickness absence rate decreases form 6 percent in 2011 to 5,1 percent in 2016. Sickness absence rate is lower than the average of public organisations in Germany (5,9 to 6,2 percent) and nearly at the level of employees in economy/industry.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

As mentioned before, the Hessian Administration for Land Management and Geoinformatics in Wiesbaden (in the state of Hessia/Germany) has been driving a far-reaching transformation process since 1999. The staff members are expected to continue the transformation process to deal with a number of challenges, including:

- The Agency is faced with an increasing demand for its work, e.g. in land consolidation processes across farms, transport planning, environmental protection and climate change projects.
- At the same time, new ICT solutions for geo-data and the EU INSPIRE-Directive mean that the Agency has to advise local government and state agencies on these issues.
- Continuous ICT investments are required by the Agency in order to keep up with the rapid technological developments in this field.

Starting Point

In 2003 HVBG decided to use an easy to use Total Quality Management Tool to evaluate 30 change projects, which had the objective to introduce performance management throughout the Agency. CAF was considered as the most effective tool to respond to these demands.

The Agency piloted CAF in 2003 and repeated the self-assessment in 2006 and 2008. In 2011 HVBG made CAF-based self-assessments mandatory for the whole Agency. CAF self-assessments followed in 2013 and 2016.

After 2005 the leading management has to overcome enormous challenges as mentioned before (reducing staff, reducing costs, reducing offices, privatization of services, obsolescence of staff etc.). From that period date HVBG starts out for change. For the first time Senior Managers/steering board developed, implemented the mission and vision of HVBG and translated into a strategy and planning. Simultaneously the definition of shared values/cooperate culture/cooperative leadership was developed and communicated to staff.

In 2010 a new organisational concept was developed and implemented. In the sense of a continuous improvement philosophy **two broad strategic and impact-orientated concepts** were developed for the periods 2011-2016 and 2017-2022. The first concept is implemented, the implementation of the second one is starting in 2016.

These concepts are considering determining factors, mission, vision, demographic ageing, influence of stakeholders (politics, core customer, citizen), customer relationship, costs, infrastructure (ICT, buildings etc.), rental area, products and services, innovation, staff recruiting, cultural aspects (cooperate culture, leadership, shared values/company core values, code of ethics/role model etc.). In order to deal with all challenges the Agency has agreed the change strategy with the responsible state government department, which defines the key modernisation reforms for 2011-2016 and as an update for 2017-2022.

Another important step was to implement and to use consequently methods and tools of a modern management cycle.

By applying the Common Assessment Framework model HVBG evaluates all its approaches, its acting, its output and outcome in a holistic way.

HVBG concurrently tries to introduce an understanding and an attitude of the TQM maturity within the organisation/within the staff.

Today

Since 2010 an executive department of strategy and controlling (strategic steering, quality management, organisational development, project management, process management etc.) is supervising and supporting all activities and every actor. Today the interaction of using modern management tools, CAF, strong staff involvement and introducing an understanding and awareness of the TQM maturity within the organisation is leading HVBG to a continuous way of improvements towards the Principles of Excellence.

Self-assessment with CAF is now used:

- to find everything what is still absent;
- to find everything what is not good yet;
- to find everything where a decreasing can be perceived.

About 250 improvement activities (2003-2016) initiated by CAF were started and implemented.

Improvements and impacts

The following improvements (as some examples for good practice) have resulted from different sources and origin [Ⓜ - initiated by Management (-Cycle), Ⓒ - initiated by CAF, ① - improved by CAF]. The activities generate impact on improvement results described in Chapter II/respectively on CAF-Criteria in a different way/score (●high - ●average - ●low - ≠no effect)

activity and impact on improvement results ●●●	scores caf assess-ment	manage facilities	KPI Results	Citizen/ Customer oriented results	People results	origin*	impact on CAF-criteria
Holistic continuous Strategic Management including contracts with political leadership (2010, 2011-2016 and 2017-2022) (customer oriented products and services in/with an appropriate organisation/personnel placement/ICT/technology)	green	green	green	green	green	Ⓜ + ①	1-9
Development and Management of partnerships with relevant organisations/core customers.	green	red	green	green	orange	Ⓜ + ①	4, 9
Development and Implementation of Process Management integrating parts of knowledge management, all core processes of HVBG are described, optimized, evaluated in a continuous way (p-d-c-a)	orange	red	green	green	olive	Ⓒ + ①	4, 5, 9
Development and Implementation of Project Management (methods, tasks/rules/functions, steering/controlling etc.)	green	red	green	green	orange	Ⓒ + ①	9
Development and Implementation of Knowledge Management (ICT-based, Personalised knowledge transfer etc.)	orange	orange	orange	green	green	Ⓒ + ①	4
Implementation of teamwork-structure	green	≠	orange	orange	green	Ⓜ + ①	3, 9
Holistic and continuous Leadership development programs for all hierarchical management levels since 2011	green	green	green	green	green	Ⓜ + ①	1 - 9
Invest with consistency in staff development actives/programs since 1998	green	green	green	green	green	Ⓜ + ①	3
Development and implementation of marketing concept, concept sales/distribution, customer surveys, Customer Relationship Management, Public Relations	orange	≠	green	green	orange	Ⓒ + ①	4, 5, 6 - 9
Consolidation of quality standards	orange	≠	green	green	red	Ⓒ + ①	4, 6, 9
Improving human resource planning	orange	green	green	green	green	Ⓒ + ①	3, 7
Improvements in the internal suggestion system, through incentives for good ideas and introduction of a complaints management system in an integrated approach/ICT-System as an ideas management for staff and customers	orange	red	orange	green	green	Ⓒ + ①	4, 6, 9
Developing and Implementing appraisals of line managers by subordinates	orange	≠	red	orange	green	Ⓒ + ①	1, 3, 7
Definition of shared values/company core values, code of ethics/role model	green	red	green	green	green	Ⓜ + ①	1 - 9
Developing and implementing of a concept for internal information and communication (cultural aspects included)	green	red	green	green	green	Ⓒ + ①	1
Developing and implementing of a concept for advanced education, recruiting	orange	≠	orange	green	green	Ⓜ + ①	3, 5, 7
… TQM is never ending:			(Ⓜ + Ⓒ + ①)awareness = TQM (Maturity + Excellence)				

3. Description of the prioritisation approach that led to the chosen project

It begins and ends with the setting of management.

President, executive-/steering board have to recognise and analyse the situation of an organisation.

They must have courage and determination to change the situation.

They need to communicate and convince in an honest way amongst political authorities and staff:

- to bond people with same ideas, purposes, wishes, visions and goals;
- to generate desire to belong to something, that is worth to do.

CAF Self-Assessment process in HVBG based on this approach and the ten step model of EIPA/ German CAF Centre.

1. Decide how to organise and plan the self-assessment.
2. Communicate the self-assessment project.
3. Compose 8 Self-Assessment Groups.
4. Train Self-Assessment Groups.
5. Undertake the self-assessment.
6. Conduct 8 consensus workshops, develop short project-profiles [on one page: initial situation, objectives, tasks, quick-scoring of efforts (resources, costs, time exposure, simplicity of implementation) and impacts/benefits (customer, quality, processes, employees)] for improvement actions.
7. Conduct Quality conference.
   a. Quality conference (first day: Self-Assessment Group).
   b. After consensus workshops in 8 locations all members of the Self-Assessment Groups propose, unify and develop short project-profiles [on one page: initial situation, objectives, tasks, quick-scoring of efforts (resources, costs, time exposure, simplicity of implementation) and impacts/benefits (customer, quality, processes, employees)] for improvement actions and prioritise 10-15 actions at maximum (method: Portfolio-Analysis).
   c. Quality conference (second day: Self-Assessment Group and steering board).
   d. Self-Assessment Group (delegation of all members) presents/discusses the results/project profiles to/with executive management board of HVBG. An adjustment against strategic determinations/other running activities/projects and prioritisation follows. All activities for
   e. initiation/assignment/implementation are agreed/fixed at the end of the day.
   f. HVBG has developed and implemented a general approach for prioritisation, planning and implementing of activities, proposes or projects:

8. Communicate the improvement plan.
9. Implement the improvement plan.
    a. Afterwards HVBG uses all established project management tools to implement the improvement actions. The actions of improvement are defined in clear, verifiable project contracts (S.M.A.R.T.).
    b. The project contracts are concretised with scheduling, milestone planning etc.
    c. If needed the prioritisation/planning could be adjusted by project steering committee.
10. Plan next self-assessment.

🇬🇷 Greece

Case: The Integrated Information System (IIS) of the Hellenic Military Geographical Service

Hellenic Military Geographical Service (HMGS)

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Athens

Soultana Pouli
Head of the Databases Management's Department
E-mail: poulisou@gmail.com
E-mail: gys@army.gr

Sector of the organisation: Police and security

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Criterion 1: Leadership, sub-criteria: 1.1, 1.2, 1.3, 1.4
Criterion 2: Strategy and Planning, sub-criteria: 2.2, 2.3
Criterion 3: People, sub-criteria: 3.1, 3.2
Criterion 4: Partnerships and Resources, sub-criteria: 4.2, 4.3, 4.4, 4.5, 4.6
Criterion 5: Processes, sub-criteria: 5.1, 5.2

1. Description of the improved result(s) of the organisation

The Geographical Materials Provision Subdivision of the Hellenic Military Geographical Service (HMGS) processes, annually, a large number of applications regarding administration of geographical materials to both public and private institutions as well as citizens.

Statistical data regarding the IIS's years of operation to date (2009-2015) are properly depicted in the following graph with revenue chart per year.

Figure 1: Transactions per annum (2009-2015)
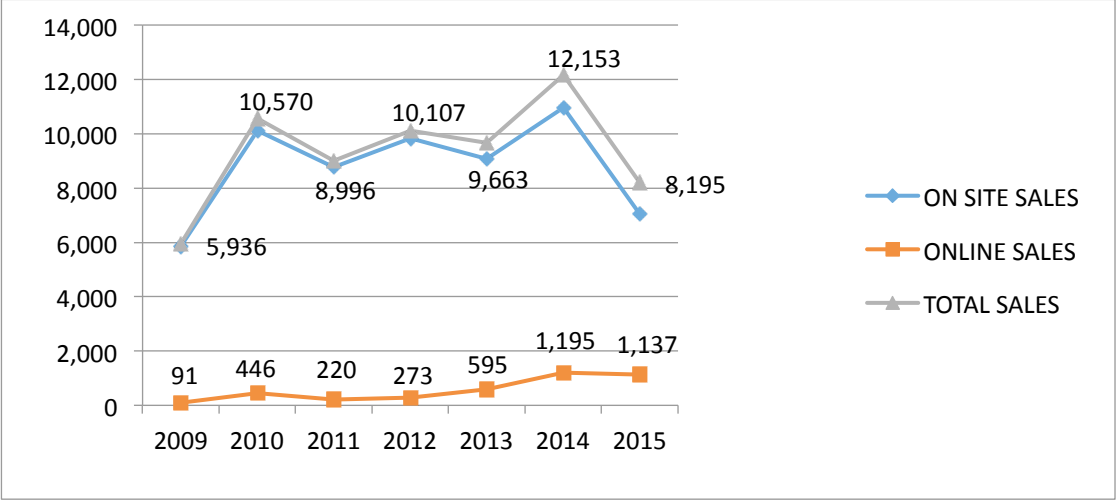
Statistical data regarding online sales indicate that, over time, all the more customers make use of the e-shop subsystem in order to complete their transactions.

Also, online sales, as a percentage, are growing at a steady rate (from 1.195 in 2014 that translates to 9.84% of total sales, to 1.137 in 2015 that translates to 13.87% of total sales), regardless of the steady decline in total sales (from 12.153 in 2014 to 8.195 in 2015) due to the fiscal crisis.

In further detail, for the fiscal year of 2015 the statistical data read as follows:

Figure 2: Aggregate transactions for the fiscal year 2015
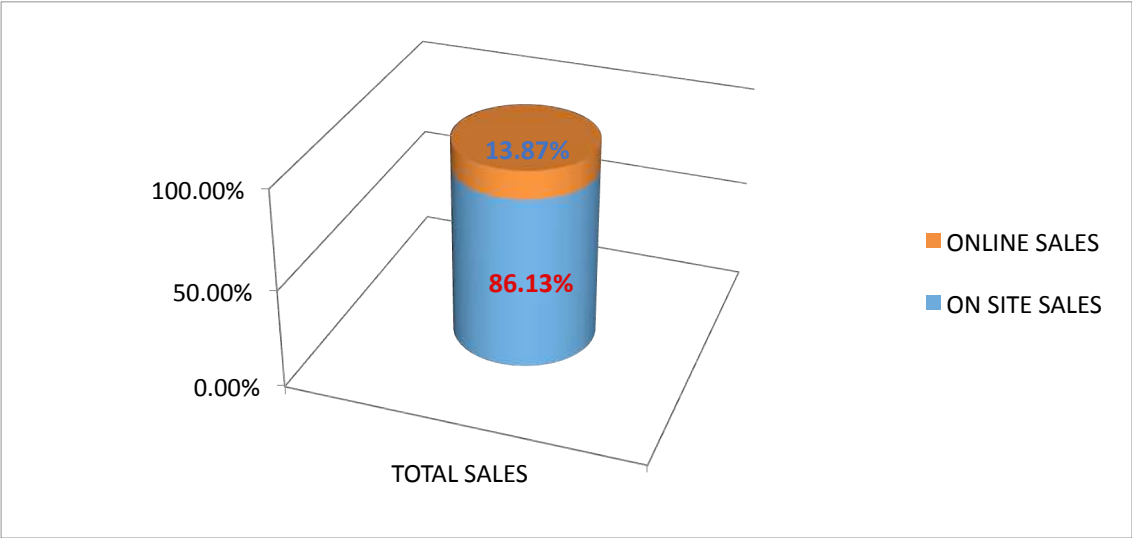
Furthermore, the interest of online visitors on the HMGS's official website follows a steady course as shown in the following graph. It's worth noting that returning visitors constitute a large proportion (58.4%) of the total of 52.529 visitors, plus fact that interest extends outside of Greece.

Since 2009 and the completion of the Integrated Information System (IIS) project on the HMGS's premises, the management and dissemination of geographical information with regard to browsing, ordering, pricing and logistics is fully automated and thus contributes significantly to the technological advancement of the Geographical Materials Provision Subdivision. The automated procedures allow for consistent operation of the Subdivision that results to more efficient administration of products to the public and facilitates staff development.

Furthermore, certain metrics with regard to quality of services offered and transactions completed, are effected by electronic means.

At last, the implementation of a geo-portal in the framework of the afore-mentioned project, enhanced the Service's social profile while improving on the quality of services offered, spreading awareness on geo-information and allowing for successful online transactions.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

In context of the continued attempt to further improve on the quality of services and products offered, certain shortcomings needed to be addressed in order for the Hellenic Military Geographical Service (HMGS) to progress seamlessly to the era of Information and Communication Technology (ICT). Stakeholders should be able to communicate their concerns, ideas, complains and/or gratitude

in an unimpeded way. Customers, either corporate or private citizens, should be able to complete transactions tailored to their needs in a most efficient manner. Production personnel needed to effectively track and fulfill production orders and logistics personnel needed to efficiently keep track of inventory. Geographical Materials Provision Subdivision staff was in need of a robust system that allowed for holistic order management and the introduction of metrics, standards of measurements, by which efficiency, performance and quality could be assessed. Then-current state of the art solutions that allowed for successful implementation of such a vast spectrum of applications were considered, and Information Systems technologies came out on top. In this regard the Hellenic Military Geographical Service (HMGS) green lighted in 2009 the Integrated Information System (IIS) project that upon completion addressed each and every one of the aforementioned issues in an effective and efficient way.

The implementation of the Enterprise Resource Planning system (ERP) allows the Hellenic Military Geographical Service (HMGS) to provide a broad range of commercial capabilities and respond to the growing need for online commerce.

Incorporation with the other subsystems of the Integrated Information System allows for further operational support and additional functionality.

Figure 4: Supplied geographic material
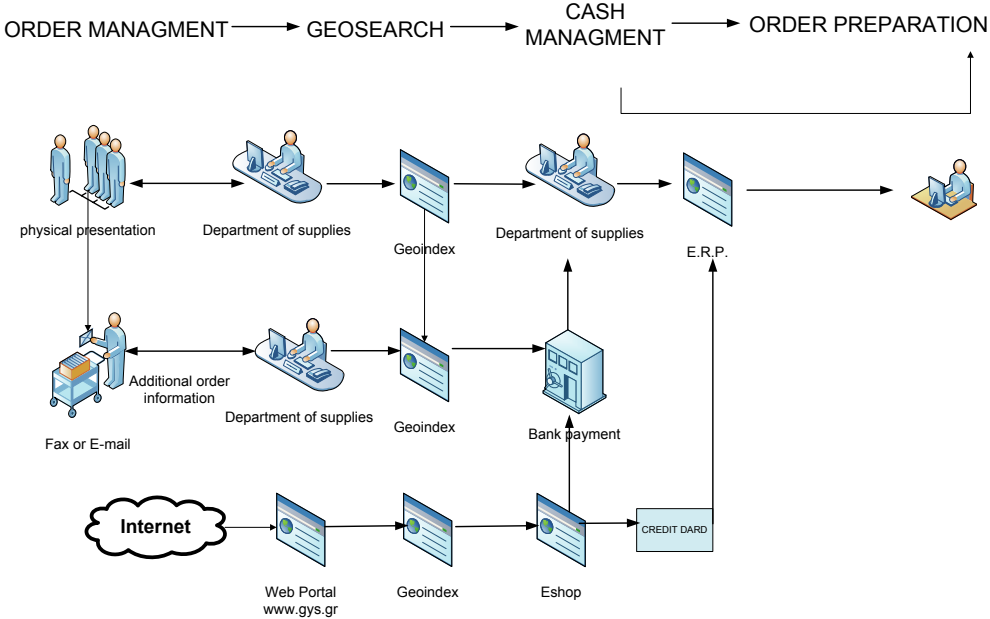
The successful implementation of the Integrated Information System (IIS) within the HMGS's premises for the efficient management and dissemination of geographical information is considered a milestone in the context of Information and Communication Technologies (ICT) and has resulted in a number of benefits, as described below according to the CAF Enablers Criteria.

- Enables operational transparency of the Geographical Materials Provision Subdivision. (**Criterion 1**)
- Allows for instrumental control of the Subdivision's operability. (**Criterion 1**)
- Enables effectiveness regarding the correctness and reliability in which the Subdivision enables the personnel in executing its duties and the public in submitting its claims. (**Criterion 1**)
- Allows for communication of the Subdivision's activities through the HMGS's official website. (**Criterion 1**)
- Enables diffusivity of geographic information. (**Criterion 2**)
- Allows for online sales support and monitoring that enables transparency. (**Criterion 2**)
- Enables efficient logistics management and accounting correctness. (**Criterion 2**)
- As a monitoring system, it allows for enabling due process. (**Criterion 2**)
- The information subsystems' manual drawn under the Integrated Information System is a valuable resource for every user, which allows for efficient operation of said systems and contributes introducing and diffusing knowledge in a structured manner. (**Criterion 3**)
- Innovative solution in the field of awareness that enables browsing of geographical materials administered via the Internet, allowing for efficient execution of orders. (**Criterion 4**)
- The email service enables online communication and transactions between the HMGS and people living in remote areas, thus unable to be physically present on the premises. (**Criterion 4**)
- Application of modern logistics management due to the use of the Enterprise Resource Planning (ERP) Subsystem that effects transaction and logistics management. (**Criterion 4**)
- The ability to export summary statements regarding sales and warehouse stock of administered geographical materials, thus allowing for effective financial management and auditing. Online transaction monitoring provides management with a definitive picture of sales trends. (**Criterion 4**)
- Enables online payment by credit card. (**Criterion 4**)
- Exemplary presence within the market. (**Criterion 4**)
- Documentation of due process regarding the Subdivision's procedures resulted in significant improvement of internal operations and effective provision protocols that allow for efficient transactions and customer support of clients residing in remote locations. (**Criterion 4**)
- Stakeholders are able to submit comments, proposals and complaints regarding the offered services and products either through the official HMGS website (www.gys.gr) or via email (geoarmy@otenet.gr) or by telephone, thus fully engage with the process of geographical materials' provision. (**Criterion 5**)
- The implementation of the e-shop enables provision of geographical materials from people residing in remote locations, thus unable to be physically present on the premises. (**Criterion 5**)
- The use of email for communication purposes and the successful completion of transactions including online payment by credit card, reflect the Subdivision's commitment for the development of innovative processes that enable public engagement with regard to geographical materials provision. (**Criterion 5**)

3. Further areas of improvement of the HMGS to be prioritised

The implementation of the IIS was not the result of a CAF exercise per se, since at the time of its creation, the concept of self- assessment was not a common practice within the broader public sector in Greece. However the HMGS's management, recognising the needs of the times, relied upon its personnel's expertise and pursued the implementation of the IIS as it could bridge the organisation's strategy and vision with its operational procedures and operating structure. The aim was to create an integrated system for the production and diffusion of geographic information to serve the citizens' needs. The project was accomplished under the operational programme 'Information Society' of the third Community Support Framework (CSF) - technical form: regional geographical information systems and innovative actions - priority axis: citizen service and improved quality of life.

Information Systems were at the time, and still are, the most effective technology available that allows companies to evaluate themselves relative to dimensions and help maximize the value and impact of information as a strategic corporate asset, which is among HMGS's high priorities.

As part of the assessment process undertaken by the public with regard to the Integrated Information System, a pilot study regarding customer satisfaction validated the correctness of practices imposed upon.

Nevertheless, the process of implementing the CAF, **highlighted certain areas in need of** improvement for the efficient operation of the Geographical Materials Provision Subdivision.

Specifically, while the Geographical Materials Provision Subdivision of the Hellenic Military Geographical Service (HMGS) certainly meets the needs of the public, it is not aware of **its expectations**, since the Subdivision does not employ **a systematic data collection method.** Consequently, certain important variables such as social, ecological, economic, legal, fiscal etc. are not registered and thus, the Subdivision cannot properly assess strengths, weaknesses, opportunities and threats, nor can it systematically adapt to the constantly changing business landscape.

As far as employee training is concerned, the **lack of metrics results to inconclusive operational needs** that in turn cannot be translated to a specific roadmap that leads to personal and professional development. As a result, educational activities cannot be evaluated on a cost – benefit basis that would determine the extent to which they are necessary.

The Subdivision does **not employ a Total Quality Management (TQM) Tool**, nor does it require certain goals – thresholds to be met. Specific metrics that allow for efficiency and quality of services assessment are yet to be determined, as well as definitive customer and employee satisfaction measurements. These metrics would allow for the continuance of the ongoing improvements of organisational and operational procedures that positively impact corporate culture.

In present time, the CAF exemplified and rewarded the organisation's best practices, and thus introduced a culture of excellence. In order to maintain high standards, an action plan was developed and is currently under implementation.

Figure 5: Part of the action plan

C/N	Sub-criteria	Action	Priority (4-1)	Prerequisites	Estimated Cost	Time frame of Materialization	Actor
1	4.3, 9.2	Restructuring of certain budget and financial goals	4	Approval from the chain of command		Upon approval	HMGS/Leadership
2	1.2, 2.2, 2.3, 2.4, 3.3, 5.1, 5.3, 6.2, 7.1, 7.2, 9.1, 9.2	Employment of a Total Quality Management Tool	4	Appropriate personnel training		Within a year	HMGS/Geographical Materials Provision Subdivision
3	1.2, 2.4, 3.2	Organise personnel participation in a consistent way in training activities & assessments	4			Within a month	HMGS/Geographical Materials Provision Subdivision
4	3.3, 5.1, 7.1	Consistent measurement of customers' and employees' satisfaction, systematic and progressive collection and management of all pertinent data	4			Within 2 months	HMGS/Geographical Materials Provision Subdivision
..29							

For HMGS, **meeting budget and financial goals** is a major priority. Reliable data, **systematically and progressively collected and managed**, is a key factor for performance improvement. Hence, it is of utmost importance for HMGS **to employ a Total Quality Management Tool** that allows for consistent measurement of customers' and employees' contentment and work towards improving results, as well as **to ensure a positive work environment** and encourage **personnel to participate** in a consistent way **in training activities and assessments**.

In conclusion, the implementation of a TQM tool within the Geographical Materials Provision Subdivision is deemed valid, if not necessary, and reflects the management's commitment to strive for continued excellence.

Italy

Case: The education and guidance needs of the Italian Secondary Education Institute Galilei-Artiglio

Istituto Technico Industriale Applicate G.Galilei

Viareggio, Italy

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Sector of the organisation: Education and Research

Galilei-Artiglio is an I.I.S. (Italian Secondary Education Institute) located in Viareggio, Tuscany. It includes a Liceo and two Istituti Tecnici (Industrial and Nautical Technical Institutes). Since 2015 Galilei-Artiglio has also offered post-secondary technical courses in the nautical sector (yacht captains, engineers and refitters). Galilei-Artiglio mission is to prepare its students to be productive citizens and lifelong learners in a rapidly changing world. Galilei-Artiglio stakeholders are its students, their families, its staff, and the whole community they all live in.

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Criterion 2: Strategy and Planning, sub-criteria 2.1: Gather information on the present and future needs of stakeholders as well as relevant management information

1. Description of the improved result(s) of the organisation

In our case presentation the starting point will be a comprehensive description of the best results achieved in relation to the enablers used (Criteria 1-5), and the strategies and approaches employed to achieve them.

Our case has evidenced three types of results with regard to the trends observed in the years **2013-2016.** The results, as expressed in percentage variations, are the following:

1	Number of new students enrolled in the school	increase of 32%
2	Number of students attending the scientific seminars organised by the school	increase of 40%
3	Positive opinions on our students' skills and competences expressed by hosting organisation during and after the students' work experience.	increase of 20%

As detailed below, the 4 criteria of the CAF Model used as reference to better explain such results are those related with the field of 1) citizens/customers, 2) people, 3) social responsibility and 4) key performance.

Number of new students enrolled in the school (increase of 32%)

This result refers to CAF Criterion 9 (Key performance results)

Key performance results relate to all that the organisation has determined as essential for the existence of the organisation itself and for its continuous improvement process, in order to both satisfy the needs and requests of the different stakeholders (external results), and be able to manage and improve the process itself (internal results). The annual monitoring that our Educational Institution carries out to keep track of the number of new students enrolled provides evidence of a meaningful positive trend: 32% increase in three years. This figure demonstrates the effectiveness of the policy carried out by our Institution in order to provide the stakeholders with services aimed at improving the conditions of direct beneficiaries. These key performance results are particularly important because they refer to the effectiveness of the process that is at the heart of any educational institution: the teaching/learning process. The results achieved encourage our Educational Institution to continue and expand the strategies carried out so far, tackling however the residual issues and areas of weakness (e.g. school failure and dropout percentages) that have not been sufficiently resolved yet.

Number of students attending the scientific seminars organised by the school (increase of 40%)

This result refers to CAF Criterion 6 (Citizen/Customer-oriented Results)

Since the recipients or beneficiaries of the services provided by our Education Institution are citizens/customers, the Institution needs to measure directly the degree of its stakeholders' satisfaction, with regard to the overall image of the organisation, the services and products provided, its openness to the territory and its ability to involve the citizens/customers themselves.

Our case points out the organisation of high-level scientific seminars held at our Educational Institution, that is characterised by a highly technological and scientific nature. These seminars have been held in weekday afternoons by University professors and other specialists, and have been aimed not only at our students but also at other schools' students and all interested citizens. The level of the speakers involved has ensured the high quality content. The average number of seminar attendees has evidenced an increase of 40% in three years, which can be considered a satisfying result (as per sub-criteria 6.2 – Performance measurements). As per sub-criteria 6.1 (Perception measurements), after each seminar, attendees have been interviewed about the relevance and interest of the themes proposed for their present and future studies and the communicative skills of the speakers. This is leading us to expand the number and themes of the seminars, increase information about them and improve their dissemination.

Positive opinions on our students' skills and competences expressed by hosting organisation during and after the students' work experience (increase of 20%)

This result refers to CAF Criterion 8 (Society Results)

Such criteria aims at acquiring and processing the results the organisation is achieving in satisfying the needs and expectations of the local, national and international community. Such objective includes the internal measures necessary to verify the effectiveness of the contribution made by the Institution itself to society. In our case the numerous and frequent contacts and partnerships with local companies where our students have their work experience, have led us to measure the perception that the hosting companies have of our students, both in a direct way (personal student/company tutor relation) and in an indirect way (company/school relation). The positive opinions by the companies have increased of 20% in three years, highlighting thus the good level of preparation (both technical and communicational) given the students by our Institution.

Moreover, this result can also be assessed under CAF Criterion 9 (Key performance results), and in particular under sub-criteria 9.1 (Outcomes to goals). The increase in the appreciation of the effectiveness of the institution's plans and strategies to meet the expectations of the external stakeholders (i.e. our students' good level of preparation for their work experience as assessed by their hosting company tutors) is a positive external result in line with our organisation mission.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

The improvement action described below has been adopted after self-assessment with CAF and has been named 'Education and guidance needs'.

Contents

Such action has been structured around two different activities, both converging towards the realisation of the objective of answering the education and career guidance needs of our customers/citizens.

The self-assessment has evidenced the **possible difficulties and/or feelings of inadequacy** our ex-students may face either in their entry into the labour market or in their further studies. The analysis of data, still in progress, has provided us with a benchmarking dataset containing indicators about the changes and trends in the economic sectors of the territory, useful for both a revision and an update of the School educational offer.

A number of different initiatives have been undertaken: work experiences and internships at some of the best local companies and institutions; pre-university career guidance services in collaboration with the University of Pisa; and, in particular, **seminars and workshops called Pomeriggi Scientifici (Scientific Afternoons)** on subjects related to scientific and technological innovation. Seminars and workshops have been addressed mainly to our students but they have also been open to other schools' students and all interested citizens.

Starting point

The choice of this Action has been based on a careful assessment of the Institution's strategies and planning (Criterion 2) that require constant revision and update in order to match our stakeholders' ever-changing needs and expectations.

In this case, our RAV (Rapporto di AutoValutazione, Self-Assessment Report) refers in particular to the 4 Sub-criteria of Criterion 2 to identify some ways of improving our educational policy:

- a more careful identification of all the relevant stakeholders;
- a closer involvement of stakeholders in the process of deploying strategy and planning by prioritising their expectations and needs;
- the creation and development of a new culture/readiness for innovation;
- the measure of its impact on the community.

The main area of weakness found has been the insufficient identification and characterisation of our Institution as a scientific and technological centre within the territory. The action undertaken aims at tackling and solving this misinterpretation.

Main implementation phases

The action has consisted of two main simultaneous implementation phases, covering the time-frame March 2015 - June 2016. The two phases have been broken down into several advancement steps. The first phase has been labelled 'Monitoring Phase', the second one 'Education and Career Guidance Phase'.

On the one side, **the 'Monitoring Phase'** has involved four main actions: 1) revision and improvement of both the questionnaire to be submitted to former students and its method of submission; 2) submission of the questionnaire to the respondents; 3) comparative analysis of the data collected through the latest version of the questionnaire with previously collected data; 4) synthesis and presentation of the data to the Institute faculty.

On the other side, **the 'Education and Career Guidance Phase'** has been developed through four main initiatives: 1) organisation of third-year students' work experience programmes; 2) organisation of the above mentioned 'Scientific Afternoons'; 3) organisation of the so-called 'Giovani al Futuro Days' during which our students can meet and get in contact with the CEOs of important local institutions and companies; 4) participation of our students to the University of Pisa Open Days.

Main objectives of both phases have been to gather, analyse and review relevant information about the present and future needs of our students, so that our Institution can revise and improve its strategies and policies to meet the ever-changing need of all its stakeholders (students, their families, our staff, and the whole community we live in).

The two phases, as per the structure of the PDCA model, have been accompanied by a monthly report on the status of the project that has allowed us to assess its development. Monthly meetings of the quality team have been held.

The results that were targeted at the beginning of the Action (e.g., increase of the number of former students interviewed though questionnaires, increase of the number of students attending the scientific seminars, increase of positive opinions on our students' skills and competences expressed during and after the students' work experience) have all been met.

Roles and responsibilities of the major actors

In the implementation phase of the quality improvement plan, the school leader first selected and officially appointed the person responsible of the quality improvement plan. At the same time, the school leading team chose the people responsible for each project and officially entrusted them.

Critical success factors

At the end of the self-assessment process, the self-assessment team, together with the School Leader, has identified some critical success factors (or organisation key elements) upon which to focus our attention.

One of these key elements has been identified in the **citizen/customer satisfaction**, a fundamental objective for any education institution. In particular, such critical success factor has been related to:

a. the highly technological and scientific nature of our School;
b. the different trends in the demand of the local job market;
c. the professional skills demanded by the various economic sectors at national and European level.

Mistakes/Weaknesses

As pointed out in the description above, as per the structure of the PDCA Model, the case major steps have been accompanied by a monthly report on the status of the project which has allowed us to assess its evolution and provide, if necessary, some reviews and modifications.

In our case, as mentioned above, both the methods through which the questionnaires to former students are administered and the phone interview questions themselves have been reviewed and fine-tuned. Such steps have improved and enriched the information acquired on each specific aspect of the School functioning and organisation. All that has allowed us to review, renew and improve the School educational offer.

Case impact lines

In order to clarify the case impact lines, it is useful to refer to the 5 enablers of the CAF Model. These criteria have helped us better understand the beneficial impact of the action undertaken, also in relation to other important areas and vital parts of the organisation.

The improvement action facilitates the identification of all the strategic partners encouraging thus positive relations and collaborations, and promote the involvement of the citizens/customers in order to meet their needs and expectations (Criterion 4: Partnerships and Resources).

The action strengthens and reinforces the role of the Leadership (Criterion 1: Leadership) in order to formulate and develop our mission (what our goals are) and vision (where we want to go) and translate them into strategic action in both the short and the long term.

The action also promotes and supports the personnel training (Criterion 3: People), especially in innovative technological sectors, involving them in the planning of projects and collaborations with external partners in both the public and private sectors (universities, companies, research institutions etc.).

At last, the action involves the citizens/customers to improve the services provided by the Institution, for example through surveys about the service quality itself (Criterion 5: Processes). The action presented refines and enriches the School educational offer, improving thus the quality of its fundamental process, the teaching/learning process.

3. Description of the prioritisation approach that led to the chosen project

Our RAV (Rapporto di AutoValutazione, Self-Assessment Report) has revealed numerous areas of improvement related to the enablers sub-criteria. With regard to the 'prioritisation' approach, the CAF Model suggests the adoption of two related tables:

1. an Importance/Value matrix;
2. an action priority matrix (Impact/Resources/Time).

Our quality team has used such approach to identify a number of possible actions. Three actions have emerged as fundamental for our improvement plan, and the final choice has been based on the following considerations.

The first action (**Initiatives to fight school failure and drop out**) aims at reducing the high number of students that, especially in the first two years, have to repeat a school year or choose to leave school. This first action has been tackled by applying benchmarking practices already adopted by similar education institutions. Further initiatives to limit this phenomenon, however, need to be explored and implemented.

The other two actions (**Education and guidance needs** – here illustrated – and **Organisation of Work Experience Programmes**) both follow and refine strategies already undertaken in previous years.

Our Education Institution is perfectly aware that its offer is characterised by disciplines with a highly scientific and technological content. Such an educational offer needs to be constantly reviewed, improved and updated. This is the reason why, over the years, we have established closer and closer relations with university teachers and experts on the one side, and with the main companies operating in our territory on the other side. Such relations and collaborations have led us to a better understanding of the skills and competences our students are expected to acquire, and have encouraged us to review and update the knowledge and training we provide. This continuous improvement of our educational offer aims to fully satisfy our citizens/customers, enhancing thus the image our Institution projects onto the community.

Italy

Case: Process innovation in order to improve the customer satisfaction of the Automobile Club d'Italia

Automobile Club d'Italia (ACI)
ACI Territorial Unit (UT)
Savona

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Sector of the organisation: Transports, Infrastructures, Public works and Public services

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Criteria 1: sub-criteria 1.1, 1.2, 1.3 and 1.4
Criteria 2: sub-criterion 2.1
Criteria 3: sub-criteria 3.1, 3.2 and 3.3
Criteria 4: sub-criteria 4.1 and 4.4
Criteria 5: sub-criteria 5.1, 5.2 and 5.3

1. Description of the improved results of the organisation

The increased performance obtained by Territorial Unit ACI of Savona after the application of CAF model are: results relative to customer satisfaction of services delivered by UT (from a target of 40% to current 70%); results related to satisfaction and motivation of UT's personnel (from a target of 50% to current 90%); results relative to internal performance indicators aimed at orienting the organisation towards users' needs and expectations fulfilment, like waiting times at front office (from an average of 20 minutes to target of 5 minutes).

These results have been measured between April 2014 and May 2016 using tools like:

- **Customer satisfaction (CS) measurements** adopted by Savona UT on a sample of 100 citizens-users through a questionnaire structured according the following dimensions: accessibility, reliability, response ability, reassurance ability, empathy and professionalism. CS measurements were performed according to methodological requirements both ex-ante (April 2014) and ex-post (May 2016).
- **Personnel satisfaction (PS) survey** carried out by the office in Savona among the UT's staff (15 resources) to measure their service quality perception, based on the following aspects: accessibility, reliability, response and reassurance abilities. PS survey was carried out, according to CAF methodology requirements, in April 2014, in March 2015 and over the first semester of 2016.
- **Target Indicator:** Waiting Time at Front Office: Data collection, according to sampling criteria for the measurement and assessment of waiting time at the front office. (Target: from an average waiting time of 20 minutes to 5 minutes). In 2014: maximum waiting time was 1 hour and 15 minutes, average service management time (from initial service request to time resolution) was 22 minutes, number of customers at front office was 3000. In 2015: maximum waiting time was 53 minutes, average service management time 19 minutes, and number of customers at front office was 6000. In 2016: the longest waiting time was 41 minutes, average service management time 12 minutes, and number of customers at front office was roughly 6000 (1st semester 2016). The significant decrease in waiting time has led to greater service efficiency.
- **UT Service Response Analysis:** Using various sampling methods, an analysis was carried out to measure how many calls and/or emails the UT received during the period April 2014-May 2015. In the reference time, the requests were recorded in terms of: user type, complex or simple procedures, means of access of the request. On a sample of 65 Customers/Citizens, the highest percentage of requests (43/65) were made by professionals (e.g. agencies handling vehicle-related transactions). Professionals made complex requests while ordinary citizens made simple requests (22/65).
- **Service Quality Problem Assessment:** From April 2014 to May 2015 we analysed the main problems affecting service quality. Problems identified: increased work and fewer staff, and temporary IT problems.

Other improvement areas as follows:

- **Sub-criterion 6.1** Results regarding the overall image of the organisation and proper implementation of the practice; personnel courtesy and professionalism; flexibility and adaptability to users' requirements; results regarding accessibility.
- **Sub-criterion 6.2** Reputation of the organisation and its services; number of hours of training of personnel dedicated to effective management of competence and relationships with users processes; extent of efforts to improve the transparency of information; number and the complaint handling times.
- **Sub-criterion 7.1** Results relating to personnel satisfaction compared to the overall image; respect of the approach of the organisation in the face of the strategic factor innovation.
- **Sub-criterion 7.2** Evidence on the ability to relate with clients and respond to their needs; indicators regarding motivation and involvement of staff in changing process; the development of skills concerning the internal mobility between back office and front office.
- **Sub-criterion 9.2** the output efficiency in terms of costs, evidence of success in improving and innovating organisational strategies, structures and processes; process performance.

2. Implementation of improvement or changing project following the CAF self-assessment from which are obtained results mentioned

The project carried out by the UT of Savona - started on April 1 2014 and finished on January 31 2015 - implied an improvement of the front office processes and the setting up of a system monitoring the service quality perceived by users with respect to complaints management in particular.

These improvement actions were taken in response to problems encountered by the front-office in managing peak working hours. The workload had increased since the staff of the UT of Savona was entrusted to deal with car tax related matters too, after an agreement (2014) between Liguria Region and the Automobile Club d'Italia (ACI).

In particular, the above mentioned augmented workload, caused a significant lowering in quality of delivered services at front office, of customer satisfaction and in general the satisfaction of stakeholders (professionals, lawyers, public administrations, fiscal experts, associations, official receiver) and also of the front-office personnel. Moreover, this situation also caused a decline in quality of working environment.

The described plan of action was implemented in the following steps:

1. **Mapping the processes of the UT. This implied a process analysis, which also took into account the distintion between core processes and their sub-processes:**
   - **Core processes:** managing the Public Register of motor vehicles (Pubblico Registro Automobilistico - PRA); managing PRA sub-processes such as: a) management of requests from ordinary citizens; b) management of requests from private agencies dealing with any kind of car related transactions; (c) car tax management.
   - **Supporting processes:** being present in areas where private agencies dealing with any kind of car related transactions operate; active cycle accounting, i.e. management of cash inflows and of slip payments; passive cycle accounting i.e. management of cash outflows, reimbursements and operational expenditures; URP (public relations office) i.e. management of particularly sensitive user requests and of relationships with other public administrations; running of the UT secretariat and of office automation systems, as well as management of IT protocols and of certified mailboxes.

2. **Final aim of the project was to reduce waiting times from an average of 20 minutes to the present average of 5 minutes.**

   This was achieved through sub-phases like:

   a. Recording of workloads at the front-offices.
   b. Assessment of different cases treated at the desks and measurement of response time on all customer inquiries, classified in the following way: simple information; consultations; user requests concerning car related transactions and car tax payment.
   c. Recording waiting times of users at front office desks.

3. **Installation of the software recording the number of citizens/clients queuing up, and the queue waiting times.**
4. **Better cooperation between front and back-office staff with a view to further reducing procedure working times.**
   This was made possible through standard training courses for all the staff dealing with PRA and Tax matters and through a targeted training meant for front office staff.
5. **Devoting 2 out of 4 total front-offices to car tax matters, without extending opening hours of these offices.**
6. **The new front-office processes were made more efficient by establishing a system to manage citizen/client complaints.** The following principles must be respected in reference to the complaints: accessibility of users in terms of clarity about how and where making claims; transparency and impartiality guaranteeing an equal opportunities treatment; gratuitous and privacy; customer/citizens oriented approach; clear identification and responsibilities of who is in charge in managing the claims; continuous improvement of the complaint management system and of the service quality provided by the Savona UT.
7. **Starting a structured system of Customer Satisfaction (CS) as part of the process improvement phase carried out in March 2015.** Customer Satisfaction aimed at determining: accessibility and reliability; completeness and clarity of information provided to users and stakeholders; reassurance abilities; empathy and professionalism of front office staff.
8. **Setting up a structured survey of Personnel Satisfaction (PS).** This was carried out in March 2015 and meant for UT staff (15 resources) with the purpose of analysing perceptions about service quality delivered at the front office according to: accessibility, reliability and reassurance abilities.

The main roles and responsibilities of the key managers

a. The Head of the ACI Territorial Unit of Savona was fully responsible for the 'Improvement Plan' consisting of the improvement actions described above. She also supervised the activities carried out by all the other employees.
b. A member of staff at ACI Headquarters in Rome played the role of facilitator of the service improvement process in line with the Quality Strategy of the Automobile Club d'Italia.

The main success factors are as follows

a. **Citizens/Clients Customer Satisfaction.** As a result of self-assessment, the value of time was considered a key priority. This helped to build an image of the UT as a public service providing concrete and tangible benefits to users. Before the improvement, the UT had several problems affecting Citizen/Customer Satisfaction: overcrowding in the waiting room of the UT Savona with deterioration of the ACI's brand value; increase of waiting time at the front office; deterioration of trust between citizens/clients and ACI.
b. **Staff motivation.** As a result of self-assessment, staff motivation proved to be a key priority. The employees themselves were actually well aware of their responsibilities and contribution to keeping a high level in the quality of services delivered at the front office. Before the improvement the UT had several problems affecting staff motivation. The front office staff was stressed due to the increase in the number and type of requests. The staff felt to be unable to cope with its job. These problems caused a failure of trust between the staff and the head of the ACI UT of Savona, although he was acknowledged as an authoritative leader.

The <u>biggest mistake</u> was that quality assessment (waiting time, handling of dossiers) - perceived both internally and externally – was based on a small sample. This aspect was amended by increasing the sample (not 10%, but 100% of users coming to the Office) and considering busy office hours in particular.

3. Description of the prioritisation process that led to the chosen project

The defining process used by Territorial Unit of ACI Savona, was implemented according to the following logical sequence:

A. To promote good practices implemented by the ACI Territorial Unit in accordance with:

1. the regulation Act No. 15 of 2009 and following Legislative Decree 150/2009;
2. the current general approach adopted to streamline the Public Administration (PA) system and make it more efficient and effective;
3. ACI's guidelines on internal strategic policy, which are shaped on the CAF model, as a tool aimed at planning, management, evaluation, correction and continuous improvement of production processes and services provided to the community.

B. Identification of improvement actions with respect to ACI's vision and mission on the theme of mobility, and by taking into account the following priorities:

External priorities:

a. Guaranteeing customer satisfaction by meeting the needs of citizens/clients and stakeholders.
b. Partnerships with different social, economic, cultural and institutional actors operating locally in order to address problems related to local mobility, thus achieving a common goal and creating value for users and stakeholders.

Internal priorities:

a. Taking into account organisational, economic and internal technological skills, and favoring those improvement actions that could be implemented by using internal resources, both human (number and expertise) and material (equipment, systems, processes, investment budget), thus respecting the logic of spending review.
b. Timeframe to complete the project - start and end of the activity according to the Territorial Unit's improvement plan, with a view to showing, in the short term, the impact of the model on improving organisational performance.

Norway

Case: Increased stakeholder involvement in the planning of the Consumer Ombudsman's work and priorities

Consumer Ombudsman (CO)

Norway

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Sector of the organisation: Justice and Law

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Criterion 2: Strategy, sub-criteria 2.1 Gather information on the present and future needs of stakeholders as well as relevant management information

1. Description of the improved result(s) of the organisation

After conducting the CAF in 2015, the Consumer Ombudsman has increased its direct contact with stakeholders while planning the organisation's priorities for coming year.

The implemented improvements have led to a more systematic approach to obtaining relevant information from stakeholders, and the stakeholders are directly involved in the planning process.

As the diagram shows, you can see that the number of contact meetings during the planning process has increased with about 200%.

Number of contact meetings with stakeholders while making the plan of action
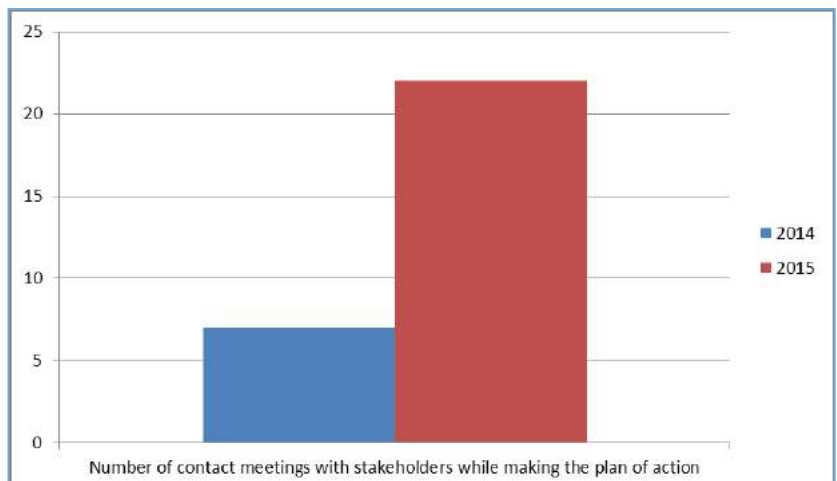
In addition to more meetings, our contact with stakeholders is now based on a more systematic approach. This can be illustrated by our new form of contact meetings, see the illustration below:

Plan for contact meetings 2016			
Who?	When?	Why?	Person responsible for organising the meeting

The form has several functions. First, when it is filled in, it gives us an overview of stakeholders that we should be in regular contact with each year. Secondly, it helps us to spread the meetings throughout the year. We do not have capacity to meet with all our relevant stakeholders in the autumn during the planning process. By focusing on contact meetings throughout the year, we are able to meet with more stakeholders, and in this way, we are improving the stakeholder involvement.

As shown in the right column, we also select a person responsible for organising each meeting, which increases the likelihood that we actually will follow through with the plan for contact meetings.

In the Consumer Ombudsman's plan of action, which states the priorities of the CO's work for the upcoming year, the stakeholder involvement in the planning process is highlighted in the foreword.

Photo: pixabay.com

An example where the stakeholder involvement has had an influence on our priorities in 2016 can be obtained from our supervision with the ICT-market. In this marked we find misleading use of test results in advertisements for internet and telephone services, thus it is important for the Consumer Ombudsman to try to stop this misinformation.

Coverage and speed are important factors for consumers, and are often emphasised in the marketing of Internet and telephony services. Strong competition between the operators on offering consumers the best coverage and speed, have led to a practice where different operators refer to test results showing that their products gives consumers the best coverage and/or speed.

However, determining which operator that can offer best coverage and speed is a difficult task. Often there can be large local variations, and different tests may show different results. Hence, several operators all publish advertisements claiming to have the best coverage and speed, leaving consumers confused.

After inputs from the stakeholders, we planned to participate and give a lecture on code of conduct when using tests results in advertisement at an annual ICT-conference where all market players usually attend. The conference was conducted in May 2015 and had about 250 participants. After the conference an identical letter was sent to all operators, with information on code of conduct when using test results in marketing. The Consumer Ombudsman also has initiated proceedings against two operators, who do not comply with the law.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

The Consumer Ombudsman (CO) is an independent administrative body which carries out supervision of the Marketing Control Act. When deemed necessary in the interest of consumers the CO has authority to issue decisions banning unlawful marketing, or unlawful contract terms and conditions in standard contracts in all sectors. As a small supervisory agency with only 26 employees and a large area of supervision, it is vital to prioritise the most important issues and find the best working methods, to achieve the greatest impact. In order to achieve this, we not only need legal expertise, but also good trade knowledge on the sectors we superintend, such as the financial market, the housing market and the market for ICT services. Stakeholder involvement is vital to obtain good trade knowledge.

Before carrying out the CAF assessment we had the impression that we had sufficient points of contact with our stakeholders. To some extent the CAF assessment did confirm our impression. We have a system allowing consumers and businesses to advise us on violation on the Marketing Control Act to the detriment of the consumers. We also attend conferences throughout the year, and carry out contact meetings with traders, industry organisations, the Consumer Council, other supervisory authorities etc. However, the assessment identified some weak points when it came to systemising the stakeholder involvement as well as involving stakeholders in the planning of the Consumer Ombudsman's plan of action. We discovered that the organisation didn't have sufficiently clear procedures for arranging contact meetings with stakeholders during the planning phase of the action plan. Only a small part of the organisation did actually hold such meetings during the planning phase.

The CAF assessment also made us consider whether there were other methods, than regular contact meetings, to involve stakeholders in the planning of our work.

As a result of the CAF assessment, the management team issued clear instructions to all sections of the organisation, to arrange contact meetings with relevant stakeholders as part of the process of making our action plan. The different sections of the organisation were required to identify and arrange meetings with relevant stakeholders, in their respective sectors. We also systemised our existing practices for contact with stakeholders. This was considered necessary in order to ensure that the opportunity for stakeholder involvement, in the different sectors of our organisation, wasn't due to chance.

Photo: pixabay.com

In addition to increasing the number of contact meetings, and developing a more systematic approach to obtaining relevant information from stakeholders, we arranged an internal seminar where three large industry organisations where invited to come and talk to us about their views on the CO's work in their respective sectors. They were also asked to talk about which challenges their industry were facing, and give their opinion on what the CO should focus on in its supervision of their respective sectors in the coming year. The three industry organisations represented the majority of the companies in their respective sectors, which is the financial industry, the realtor brokerages and the ICT industry.

It was a great success inviting the major industry organisations to come join us for half a day, while we were in the middle of planning our priorities for the upcoming year. The industry organisations appreciated the opportunity to give us their view on our performance, and we received useful information on their focus areas for the upcoming year, which confirmed our main priorities. The representatives from the organisations were also invited to stay for lunch, which gave a nice opportunity for network building between our staff and the representatives from the organisations.

3. Description of the prioritisation approach that led to the chosen project

The CO carried out the CAF self-assessment in January 2015. The final self-assessment report was made available to the management team by the end of February. In April the CAF Self-Assessment Group presented the report, including a description of the process and the major findings, to the entire staff. The entire staff then spent one full day discussing the major findings and everyone were invited to give their opinions and suggestions for improvements.

Photo: pixabay.com

There were four major findings of the self-assessment. We identified a need for increased knowledge on the effects of our work. This we were aware of even before the self-assessment. We do measure effects in terms of less misleading marketing, or less unfair contract terms in standard contracts offered to consumer. However, it is challenging to measure effects in terms of decreased conflict level, or decreased social costs, as a result of better contracts and more clear information in marketing.

The second finding was the potential of increased stakeholder involvement in the planning of the Consumer Ombudsman's plan of action. The third major finding was related to criterion 7; people results. We didn't have regular staff surveys, or other concrete measurements of the staff's perception of the organisation. The final major finding was related to sub-criterion 4.5; manage technology. The website of the organisation did not support showings on new devises, such as mobile phones or pads, very well. In addition, the website did not fulfil requirements to ensure that it would be user-friendly to people with a poor vision. However, prior to the self-assessment the organisation had already started on a project to renew the website. The project was fulfilled in the first half of 2016. In addition there were some other findings regarding the ICT tools used by the organisation.

After getting inputs from the staff, the management team decided to follow up on most of the major findings from the CAF self-assessment. However, some findings demanded more time and resources than others, such as finding a way to measure effects in terms of decreased social costs or conflict level. The management group therefor decided to start with increasing stakeholder involvement in the planning of the CO's plan of action, as this was considered an important issue where the organisation with relatively simple measures could make improvements shortly.

Portugal

Case: Innovative Human Resources Management in the Lisbon Municipality

Lisbon Municipality
Human Resources Municipal Directorate
Portugal

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Sector: Local administration

Main Figures: Lisbon as **547.000 inhabitants** and a **commuting population** of **926.000 individuals**. **Lisbon Municipality** has **8.206 workers**, from which **160 are Managers** and **375** work for the **Human Resources Directorate**. The **Innov(ation)HR** team as an effective of **10** workers.

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
All Criteria

1. Description of the improved result(s) of the organisation

Our approach to CAF was unconventional at first, back in 2011. We started by using it as an inspiration for the development of management models and not as an evaluation tool. Therefore, our results are very significant and cross related with all the criteria of enablers and also with the four results criteria.

In the scope of **customers' side results** of the several projects that we have implemented with direct impact in our customers, the civil servants working for the municipality of Lisbon, we found results in two dimensions in all the three kinds of customers we have:

Perception

1. Managers: They state that the creation of the HR Function *team 'was a contribution to standardise the way activities are done'* they also emphasise that now *'their teams are better trained'*.
2. Interlocutors, the contact persons on HR in the city services: **80% are extremely pleased** with the information they receive and **78% ensure** that it had a positive impact in their performance. **97% consider that it is important and very important** all the initiatives which aim to share knowledge.

3. Workers: **68% consider** our health programme extremely useful. And our canteens are **rated with 3,85/5** by our workers.

Performance

1. Managers: **All city services designated** their interlocutors with HR and **83% of them** implemented the HR Function. **All services presented** their Evaluation and Accountability Framework.
2. Interlocutors: **Reduction** of payroll mistakes and also **reduction** in the 'helpdesk' phone calls.
3. Workers: **More than 7000 participants** in our health programme initiatives. **More than 200 workers** show their 'talents' in our Talent Workshops.

The HR Directorate also benefits from the impact of our CAF approach in **our people**, and before going through the results it is important to state some quotes from our workers which emphasise that programs like the Participation Day 'improve workers motivation', 'gives the opportunity to meet and mingle with co-workers', 'allows the discussing and worries sharing related to the ongoing projects', 'gives the opportunity to share ideas for continuous improvement'. From this criteria we can extract the following results:

- **240 participants** (workers from the HR Directorate and also interlocutors).
- Almost **400 participants** (HR Directorate workers, interlocutors, and in less significant numbers, managers and workers from other services) in 4 edition of the Participation Day (Dia P).
- In 2015 the number of **participants in internal training** is almost the same as in **2012: 14**.
- **28 workers evolved** in the construction of HR Ethical Charter, our code of conduct.
- **29** internal project managers.
- Workers who are self-willing to participate in projects **more than double** from 2014 to 2015.
- **18 news items** regarding internal teams in our newsletter.

The third criteria from where our organisation harvests results was **social responsibility,** where we had **48 new workers** received through 4 procedures, **869 workers moved** within or between careers and **199 workers consolidated** or changed career due to internal procedures. All of this happened in a time of social crisis. Also:

- **8% of our workers** enjoy special permits to conciliate personal life with work (work-life balance).
- We received **more than 250 interns** (national and international).
- We **promoted 22** seminars and conferences.
- We have **signed 45** training conventions.
- **100 training sessions** where given to citizens, with **more than 3000** participants each year.
- **More than 1400 workers** saw their scholar and professional qualification upgraded.
- **7 articles** in the Media regarding our HR Model as a good practice.

Last, but not least, the **performance** of the HR Department was improved with this approach, both intern and external, as proved by the following results:

Internal

- **300 workers per year** move within different city services.
- **844 independent workers** integrated in the permanent staff.
- During the 2011 service restructuration **84% of the redeployment** where satisfied as chosen by the worker.
- **Reintegration in the permanent staff** of the workers from an extinguished municipal company.
- During the administrative reform of 2014, **1200 workers were transferred** to the Board of Parishes **keeping all their achieved working rights**.
- **Celebration of Public Employment Entity Agreements** with all the Unions.
- **Outturn rates**: Personnel Budget: **97,5%** |Training: **86,3%** | Internal trainers use: **94%**.
- **126 Health and Safety** audits.
- **181 workers recognised** (128 as speakers in Staff Encounter Seminars and 53 with Recognition Letters).
- **28 workers** with collaborative network agreements.

External

- **Best practices** acknowledgement in 2013, 2014 and 2015.
- **Excellence in HR** award in 2013.
- **Best Internal Communication Strategy** Award 2014.
- **Runner-up in the Internal Communication** Award 2015.
- Merit Award as **Family Awareness Municipality** (since 2012).
- **Honour Mention in the Healthy Workplaces** Awards 2015.
- **Representing Portugal** in the 8th Quality Conference in Luxembourg 2015.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

As stated before our approach covered a vast array of CAF sub-criteria, so we will focus all the criteria and sub-criteria.

Criterion 1: Leadership

With the restructuration of the services in 2011 new managers where appointed, and with this new mix of old managers and new managers, the HR detected some lack of experience and alignment among them. So we acknowledged the importance of having a straight forward focus for our work and the development of a self-identity perception among all the managers, who must see themselves as a team.

We started gathering our stakeholders' opinions regarding people's management strategy to create the conditions for an open discussion about our vision, mission, values and how could we share knowledge among the organisation to empower our managers. With that information we had the building blocks to launch **a monthly newsletter with the main HR indicators,** enforcing the strategic alignment and co-accountability.

We have also launched **an executive coaching programme** to boost people's management skills within the manager's board, also we've held **focus groups** with them to shape a management model that fit all the municipality.

Evaluation is key in all this approach, and with the inputs from the latest (2015) we developed **the Ethical Charter** (very demanded by all the workers) and we are now working on a 360º evaluation to apply in the HR Department, which we aim to apply also in other city departments.

Criterion 2: Strategy and Planning

In a very early stage we wanted to know the needs and wishes of all our stakeholders' and at the same time gathering relevant management information, and we wanted to do it in a participatory way. From this first approach (2011) a strategic plan set upon three goals emerged: workplace environment, training for a new management model and collaborative work.

In 2013, **the skills charter** was created aiming to be a tool that allowed the alignment between core organisational skills and the pursued strategy.

Again, and as we are sure that evaluation is very important to guide us in the right direction, we

developed **a model to operationalise the city government program**, so that goals defined by managers within city services could shape those defined by the city elected board.

Also to ensure that everything has a true meaning we set indicators and targets in all activities of our plan deepening our management system and streamlining the individual goals, for example for the axle 'Support board of parishes in HR development and management in the scope of the city administrative reform' one of the indicators we use is 'Rate of achievement of the HR sectorial indicators of support to the administrative reform', other example is on the axle 'Implementing a management system focused in knowledge sharing, quality and innovation' we have as an indicator the 'rate of city services with participation initiatives.

Criterion 3: People

Here is where our management model and our business get mixed around, mainly because we use ourselves as beta-testers before spreading it among the other departments. So that we can evolve

from a traditional administrative HR model we endowed our people with a new set of skills, **creating the HR Innovation Team.**

We've made a huge bet in internal communication and in the creation of team spirit, doing teambuilding actions and several other leisure activities.

Nevertheless, one of the workers recognition and valuing flagship actions had been **the Participation Day (Dia P),** which is at the same time a training, alignment and participation mechanism. As in our approach the border between criteria is very tenuous, we were able to stream the needs and training with the skills charter and the individual development needs.

Also, we are creating a recognition and valuing programme which, while keeping the traditional company-employee recognition, will boost the peer-to-peer recognition. And in October 2016 we'll not have a participation day, but a full week, where first we're going to ask our customers to give us their inputs in our performance and then we'll get together with our workers to build upon in the results of our customers' assessment and discuss new improvement goals. The intention is to use CAF as a self-evaluation tool.

Criterion 4: Partnerships and Resources

Optimising resources and developing **long term partnerships** are key elements in our management model. We've been working closely with organisations relevant both for our activities (universities, other municipalities, public services, etc.) and for our workers (services companies, social services, etc.).

Sharing information is another key bet, and we use **a monthly newsletter, an intranet area and a thematic newsletter just for managers.** We also endorse the shared use of resources, both knowledge and human, every two years we promote an internal seminar, where the speakers are the workers, aiming to disseminate best practices.

Another success initiative that was a response to the needs both from managers and workers, was the creation of **the collaborative network**. Workers from a different department can (by a three-parts agreement) be allocated to a project out of their normal scope remediating on the one hand a lack of skill that a department may have and on the other hand allowing the worker to get more motivation and learning opportunities, for instance having a lawyer from the Law Department delivering shiatsu therapy in our Health Department.

Also, and very popular among our workers are ours health and safety programs as well as our talent workshops.

Criterion 5: Processes

Over and above being a participated and strategic management system, our system also ingrains a process approach.

Back in 2012 and strongly supported by the assessment made in 2011 (Criterion 1) we started to map our processes. We draw and optimised part of our processes, emphasising requirements standardisation and dematerialisation, and of course focusing in all time monitoring.

In 2013 we created the Reference Framework for HRM, an annual HR policy document where managers will find information on how to deal with the most common HR responsibilities, such as hiring, work schedules, training, and so on.

One of our main projects that also enforces co-accountability in HR Function is the creation and training of **teams to support managers** fulfilling their legal obligations and also making use of management best practices.

3. Description of the prioritisation approach that led to the chosen project

We have pursued our approach, incremental and centered on gradual learning of all the stakeholders. Since 2011 we have made a significant evolution in the way we apply the model, as well as in the achieved results, that were only possible due to wise choices and prioritisation.

To get to the chosen projects, and as stated before, the HR management team in 2011 decided that projects that aimed an innovative and improved way of work culture and that allowed trial space should be in our top priorities. Then, using CAF as model, developing a common vision and a process of change, with a long learning curve, we developed in the last five years a vast array of projects aligned with all the CAF criteria.

We are aware that prioritisation is a critical success factor to any project that results from a CAF approach. We centered our **approach** in three main axes that respond both to our strategy and the identified needs: 1) Provide managers with HR tools, 2) Increase workers participation in management decisions, 3) Share knowledge and information to raise awareness and manage an ambitious change process, from a procedural HR management system to a strategic people management system. Nevertheless, and as it's very important to note, even though we didn't want to use CAF as a self-assessment tool in the beginning, it, with no doubts, has been our guide in our management choices and our inspiration to internalise the need to evaluate each project we have implemented.

At this stage, we are working on our self-assessment methodology to use during the Participation Week in October 2016. Once again, CAF methodology is our guide and we will have, for the first time, a complete formal self-assessment and a new action plan to improve our management model and our results. For that we are planning a three stage approach: 1) we will deliver an awareness session to HR workers regarding CAF and the goals we aim to achieve, inviting all of them to use an assessment survey to evaluate our management practices and results. 2) We will consult the customer side by promoting a pack of focus groups to discuss on the CAF results criteria and collect their inputs and suggestions on our ongoing and future projects. 3) Finally, we will gather the HR workers (in our Participation Day) to discuss on the results from the previous stages and deliver improvement suggestions.

To sum up: we believe that management models must foster experimentation and provide room for error. A model isn´t carved in stone, it must be a source for inspiration and must make sense in each organisation. CAF model has allowed us to set our own path for improvement and to achieve very interesting results. Let´s see if a formal self-assessment increases our performance even further.

Portugal

Case: Quality route creating passion and commitment in the Six Schools Group Figueira Mar

School grouping Figueira Mar

Portugal

Pedro Mota Curto and Paula Parracho
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Sector of the organisation: Education and Research

Agrupamento de Escolas Figueira Mar is a multilevel institution located in Figueira da Foz, Portugal consisting of 6 public schools with 1200 students and all levels of education from pre-school to regular and vocational secondary education.

Refrence number of the sub-criteria of the CAF enablers related to the good practice(s):
Sub-criterion: 1.3 Motivate and support people in the organisation
Sub-criterion: 2.1 Gather information on the present and future needs of stakeholders as well as relevant management information
Sub-criterion: 4.3. Manage finances

1. Description of the improved result(s) of the organisation

The sub-criteria that stood out the best practices were 1.3, 2.1 and 4.3. The motto of the School follows a Quality Route Creating Passion and Commitment. It is the only public school in Portugal recognised as Effective CAF User and 1 star Committed to Excellence EFQM.

CAF allowed the reflection about the newly formed school cluster (2012, June). Starting from the vision of each school, we construct a holistic identity and culture, mobilising the entire school community in order to make investments in improving student learning environment and to enhance stakeholder satisfaction.

The self-assessment was conducted in 6 schools from January to April 2013 and were observed great potential in the involvement of employees (teachers - 154; technical and operational assistants - 61),

a well-established partner network and a sustainable financial management. These three good practices would synergy for the achievement of better results in CAF least scored criteria in a dynamic PDCA. Thus, the sub-criterion 1.3 received a score of 79, the sub-criterion 2.1 received a score of 80 and the sub-criterion 4.3. got a score of 88.5.

Building up an institutional reality, adding people who do not know each other, involves creating emotional and business values. We applied satisfaction surveys which demonstrates, among others, the following levels of involvement of employees:

- 76% of employees are satisfied with the conditions/working environment.
- 84% of employees prefer teamwork.
- 88% of employees see their training valued and recognises a school cluster with a project to change.
- Higher than 84% enhance the leadership, communication peer, the delegation of powers and the commitment given the new reality.
- 96% of students value the work of the staff and teachers.

Students opinions about their schools:

- 89% value the performance of the school cluster.
- 83% recognise to be treated with equal opportunities, gender and referral to success.
- 80% feel supported by staff.
- 80% identified as a school cluster that respects the citizen and maintains discipline.
- 80% watch the reward value and excellence in performance.
- 87% recognise the pedagogical relationship.
- 80% identify good teaching practices in a dynamic class and evaluation.

The opening of the school cluster to the community is a success factor as a catalyst for learning, experience, resources and relaunch for future active life/integration into the labour market of students and reveals the concern to meet present and future needs. Over the past four years the school cluster:

- Over 50 partnerships with business entities were established, some well-grounded in the world for internships/training in the job and assignment of merit awards to good students.
- Protocols with health units were created for training of students - prevention of risk behaviors and behaviors of healthy life - 6 protocols.
- Integration EPIS programme - entrepreneurs for social inclusion.
- Integration in entrepreneurship projects at national and international level.
- Relationship with government departments - Environment (EcoEscolas), Town Hall.
- Relationship with universities - training new teachers, scientific training to students.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

CAF allowed reflection about the newly formed school cluster. Starting from the vision of each school we construct a holistic identity and culture, mobilising the entire school community in order to make investments in improving student learning environment and to enhance stakeholder satisfaction. We developed strategic documents focused on the identity of the recent school cluster such as Educational Project, Regulation and a Welcome programme to new teachers, students/parents. We applied satisfaction surveys to stakeholders (partners, students, parents, staff) which highlight leadership, administrative organisation, resource management and educational strategies.

As a result of self-assessment, improvement opportunities were analysed and we defined the objectives and goals in the split actions:

Quality Route - Improving the quality of school organisation

- Creation of unifying strategic documents: Educational Project, Internal Regulation.
- Organisation of Integration Dossiers of teachers, students/guardians that guide the educational practice and communication between stakeholders.

Methodology

- Meetings with the educational guidance sector to assess, integrate and build plans based on the needs and expectations of students, to select and consult documents and to define better ways to monitor and evaluate.
- Various levels were involved such as middle managers, students and staff.
- Critical success factors: motivation and involvement of stakeholders.
- Obstacle: integrate all levels of education and expectations of all stakeholders in the documents that were produced.

Results/Impact of the action

- Use of documents that guide the educational activity.
- Integration dossiers were evaluated as very effective.
- Sharing the spirit of maintaining and improving the dossiers in 2015/2016.
- Launch of new additional documents - Statistical Reports, Class Plans; Curriculum Development Plan and Strategic Plan for the promotion of educational success (2016/2017).

The art of voices - strengthening communication strategies

- Total reformulation of the web page of the school cluster and creation of a Business Card.
- Institutional emails creation for employees and students (access to parents and guardians).
- Access to administrative tool - GIAE for booking meals and consulting movements and expenditure at buffets, cafeterias, print and administrative services by students and guardians.
- Communication Plans - Reinforcement of publication of the good practices and activities in local, regional and digital press, newspapers, the MEO Channel and blogs created by teachers (example Special Education and 1st Cycle).

Methodology

- Consultation of all stakeholders to identify communication difficulties and how to streamline and improve common line.
- Development actions - Google+ and digital communication platforms.
- Creating surveys online.
- Conjunction with IT teachers.

Results/Impact of the action

- Privileged use of digital information across the group.
- Greater visibility for partners and educational community.
- Increase the number of students in regular secondary education.
- Recognition of partners since they too are targeted by this disclosure and sharing.
- Intensification of publication of the courses.
- Increasing the number of parents meetings.
- Increasing the number of institutional contacts for partnerships.
- Personalised service in administrative services.
- Increased demand for psychology and guidance services; increase business request to schools by parents/EE and entities.

Education Action Miles (promote greater community mobilization in educational action)

- Construction of original satisfaction surveys, adapted to target audiences.
- Application of surveys to stakeholders (partners, students, parents, staff). Treatment of results.
- Presentation of the results to representatives of stakeholders and bodies of management and administration of the School Cluster.

Methodology

- Survey based on the CAF Education criteria.
- Working meetings with representatives of stakeholders to define pilot surveys.
- Implementation.
- Questionnaires online.
- Treatment and presentation meetings.

Results/Impact the action

- Survey Enhancement to improve practices.
- Stimulate continuous improvement in PDCA cycle.
- Development of new surveys satisfaction - services.
- Recognition of the School Cluster (highlighting positive leadership, administrative organisation, resource management and education strategies).
- Mobilising partners in the allocation of performance bonuses to students of different educational levels; increased involvement of partners in joint initiatives.

In conclusion, CAF Education was the motto for an entire work in growing, shared with the participation in the 38th Colloquium of the Quality panel (APQ). APQ, as a partner organisation of EFQM - European Foundation for Quality Management, is responsible in Portugal for the promotion, training and qualification of professionals in the Excellence Model and associated methodologies, as well as the translation and commercialisation of its materials. The APQ is also responsible for the recognition scheme management Levels of Excellence. APQ Colloquium is the premier annual event of the APQ and is recognised nationally as being the most important event around the themes of quality and organisational excellence.

The First National Meeting of CAF in 2014, marked the award of the Effective CAF User certification, following the External Feedback Process. The grouping is experiencing a continuous challenge, achieved with the commitment of faculty, staff, students, parents and partners.

This commitment and persistence to launch the challenge of the Improvement Plan, presented in this paper synthetically, according to the EFQM assumptions leading to the internalisation of the PDCA cycle. The Ministry of Education, partners and institutions that evaluate good practice, particularly DGAEP and APQ, have recognised the leadership, administrative organisation, resource management and educational, visible strategies in prizes awarded. The Group of Schools Figueira Mar replicates a DNA excellence: School 2014 Prize awarded by the Ministry of Education and is the only public school institution in Portugal recognised as Effective CAF user and 1star EFQM.

And from above, Quality Route creating passion and commitment is our identity.

3. Description of the prioritisation approach that led to the chosen project

Being a newly formed school cluster in 2012/2013, it was necessary to prioritise strategic goals in the 6 schools regarding a sustainable management of human, financial resources and time. The focus for the selection of the improvements was to create and convey a brand image to clients, partners and community

The prioritisation of improvement actions was developed in a workshop, applying the following prioritisation criteria: impact, capability and satisfaction.

The results of the self-evaluation were analysed and grouped into interconnected actions and we defined 5 improvement actions (IA) of which 3 were selected.

The prioritisation method was the rating given by the Improvement Team.

1. **Impact**
   High (5): mean impact on more than one goal or performance indicators.
   Medium (3): Impact on at least one goal or performance indicator.
   Low (0): Impact unlikely in objectives or performance indicators.

2. **Capacity**
   High (5): The action can be implemented in the short term, requires few resources, it can be controlled by the organisation.
   Average (3): The action can be implemented in the short term requires a reasonable number of features can be controlled by the organisation.
   Low (0): The action is hardly implemented in the short term requires a significant number of resources, it depends on factors external to the organisation.

3. **Satisfaction (students)**
   High (5): The action has a direct impact on improving satisfaction.
   Average (3): The action has indirect impact on improving satisfaction.
   Low (0): Improbable impact on improving satisfaction.

The 3 most important agreed improvement projects were:

Project 1	Rota da Qualidade **Quality Route** (Improving the quality of school organisation)
Project 2	As Vozes da Arte **The art of voices** (Strengthening communication strategies)
Project 3	Milhas na Ação Educativa **Education Action Miles** (Promote greater community mobilisation in educational action)

Poland

Case: The Bank of Ideas in the Customs Chamber of Bialystok

Customs Chamber

Bialystok, Poland

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Sector of the organisation: Customs, Taxes and Finances

About 1200 officers and employees performing their tasks in units and sections specified in the organisational structure are employed in the Customs Chamber in Białystok. The organisational structure consists of: (1) three customs offices, which include customs border branches and other organisational units and (2) the Customs Chamber, superior over the customs offices, which includes specific organisational units. Customs Chamber is an organisation of hierarchical type in which the principle is to maintain official channels of the information flow.

Reference number of the sub-criterion of the CAF enablers related to the good practice(s):
Criterion 3: People, sub-criterion: 3.3 Involve employees by developing open dialogue and empowerment, supporting their well-being

1. Description of the improved result(s) of the organisation

The Functioning of the Bank of Ideas has an indirect impact on improving the processes carried out by the Customs Service. It contributes to the process of increasing the quality of services and expanding the catalogue offered to customers with new and inventive services. It contributes to the improvement of key business performance, customer relationships and, as a result, the improvement of the organisation image.

Here are some examples of better functioning of the organisation, resulting from the implementation of some ideas proposed in the Bank of Ideas. This part focusses on the obtained results. The practices themselves are explained in part 2.

The Customs Service has implemented an innovative service for travellers crossing Polish border. **The free app 'Granica'** (*border*), which enables travellers with mobile devices access to information about the current situation at the Polish border crossings in such areas as the queue length, average waiting time for clearance, the estimated change in waiting time in the coming hours, messages relating to border crossings and other relevant information e.g. cameras view. The service is useful for customers and is evaluated positively.

The application has been **downloaded by 15.735 of our customers** from different countries: Belarus, Poland, Russia, Ukraine and other. As of April 2016 the application attracted most users from Belarus – number of taken apps – 4189, from Ukraine - 4069, from Russia - 3959, from Poland – 2112 and from other countries – 1407. The users made 433 applications ratings exposing the average assessment of 4 to 5 point scale.
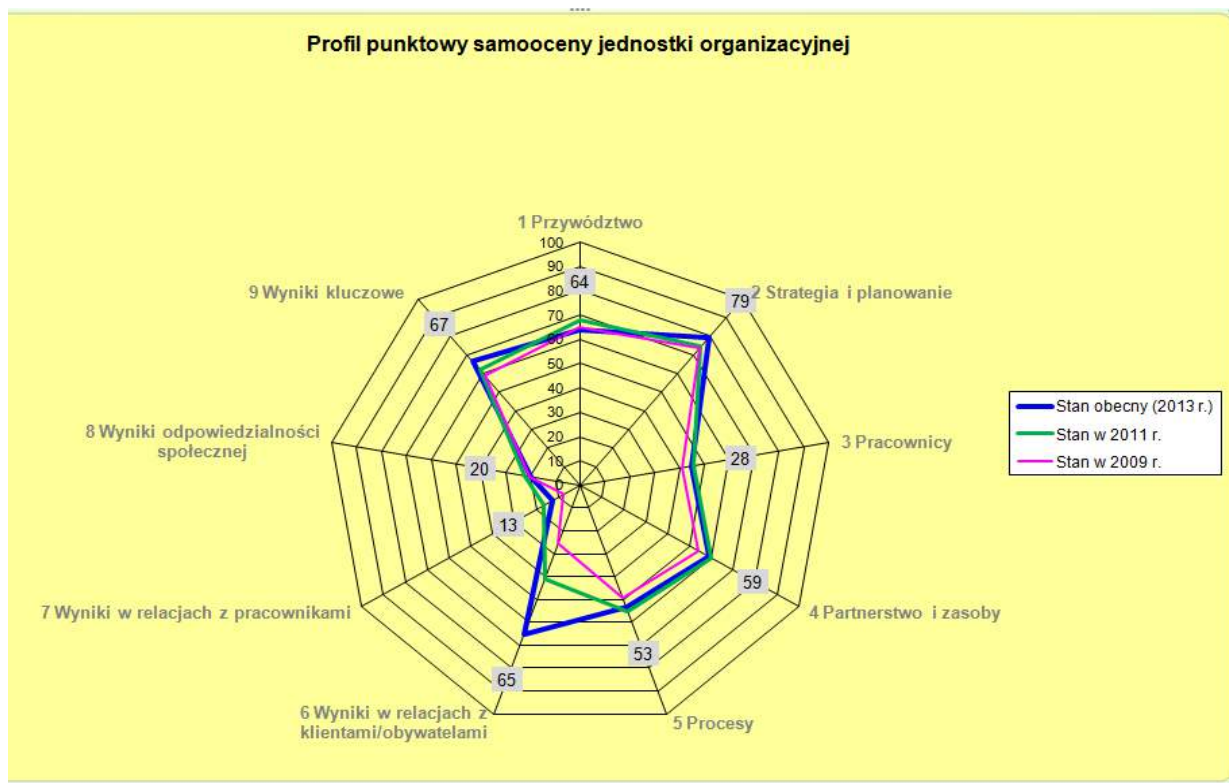
The implementation of the service resulted in the improvement of one of the key performance results concerning the service of cargo / passenger traffic. In 2014, before the implementation of the service, the number of shifts with line of vehicles waiting (export, import) at road border crossings reached the level of 60.75% at the Customs Chamber in Bialystok and 17.58% in the whole customs service. In 2015, after the implementation of the service, the number of shifts decreased to the level of 46.16% at the customs Chamber in Bialystok and 12.82% in the whole customs service.

The improvement of the customer service and the electronic handling of customs declarations is illustrated by the increase in the rate of electronic handled customs declarations to the level of 98.98%. It was achieved, among the others, by the implementation of **standardised email addresses**, intended for the collection of customs declarations in the customs service. Before the implementation of the idea, the rate stood at approx. 92%.

Streamlining the process and reducing the costs of penal – fiscal proceedings as a result of launching electronic communication, involving the exchange of pleadings in cases concerning tax offenses, fiscal offenses, other offenses and data relating to such cases, which are registered in IT systems of district courts and in the Register of Penal – Fiscal Cases (ESKS) of the Customs Service. Electronic exchange of letters between the authorities carrying on proceedings arose from the need to optimise the penal fiscal proceedings. The implemented measures resulted in the reduction of time spent on investigations conducted and the reduction of costs generated by sending letters by post. Nowadays, approx. 25% of all cases sent monthly is transmitted electronically (59 out of 230 cases per month). This project is under development.

Employee satisfaction surveys conducted in the Customs Chamber in Bialystok draw a positive trend of changes. The Bank of Ideas becomes a permanent part of the organisation culture. There was a slight increase in the assessment of superior's attitude to the innovative ideas from 67.5% positive ratings in 2011 to 71.79% in 2013, improved by 5.5% assessment of relationships with superiors from 74.3% positive rating in 2011 to 78.43% positive ratings in 2013. 22.73% increase in rate of change of officers / employees satisfaction because of taking part in and the impact on achieving the objectives of the organisation.

The functioning of the Bank of Ideas improved the assessment of sub-criterion 3.3. CAF from 23 points in the first assessment to 28 points in the final. In the assessment we apply the scale of 0 to 100, based on the Deming circle (scoring of potential area) and the evaluation of achievement of the objectives taking into account the trend of subsequent measurements (scoring of results area).

Profil punktowy samooceny jednostki organizacyjnej

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

The Bank of Ideas created as a result of the implementation of the recovery programme after the evaluation of the CAF, improves the process of internal communication both vertically and horizontally. Bank of Ideas, developed **as a web application**, allows to **forward remarks** concerning all aspects of activities and to remain anonymous. Managers at all levels of the organisational structure receive the updated message concerning different aspects that should be improved and are important for employees. Some entries are used by the heads of the organisational units to improve the current management within existing resources at the lowest possible cost. Non-interference in the content of the message posted by the sender improves the effectiveness of internal communication. The recipients of the message at different levels of management (head of the organisational unit, head of customs office, the director of Customs Chamber) receive message in accordance with the contents intended by the sender.

Implementation of the ideas and suggestions for the improvement affects the efficiency. Bank of Ideas also confronts management with the voice of criticism. After their evaluation for suitability and possibility of executing them, some entries initiate innovative activities throughout the Customs Service. During the functioning of the Bank of Ideas 560 entries have been posted, 12 of them (2%) have been used to implement innovations in the Customs Service in Poland. The essence of the Bank of Ideas is a proper attitude to the dialogue in order to improve the internal flow of vertical and horizontal information, streamlining the management. The implementation of the Bank of Ideas increased openness of management to discussions any subject with employees. Each entry is evaluated by the team in terms of suitability for the organisation and the possibility of realisation. Most entries relate to matters relevant and important to the employees in their position and are settled on regular basis.

To illustrate the impact of the Bank of Ideas, 3 major improvement activities, suggested through the Bank of ideas are presented here.

Mobile application 'Granica'

Polish eastern border is also the external border of the European Union. Passenger and cargo traffic have been growing year by year and causing the necessity to provide accurate information about conditions before and at the border crossings points. Such knowledge allows the drivers to select the most convenient border crossing in both cargo and passenger traffic.

Mobile application 'Granica' provides the customer with full information about the waiting time at the Polish border crossings with Russia, Belarus and Ukraine.

Photo 1. The screen displays waiting time on selected border crossing.

There is a possibility to switch between these sections, as well as the possibility to change the type of vehicle (passenger/truck) and the direction of travel (arrival/departure). The driver planning to cross the border has the possibility to calculate an individual time left to enter the border crossing in both directions. The application also detects the direction of movement of the user and on this basis displays entry or exit data according to positions relative to the Polish border.

The new application of the Customs Service also shows predicted waiting time for the upcoming week, based on historical data that has been collected on this website www.granica.gov.pl. Thanks to the Synchronisation there is also the possibility to send notifications and messages to the user in several languages, available to choose. Messages can be general or relate to specific border crossings.
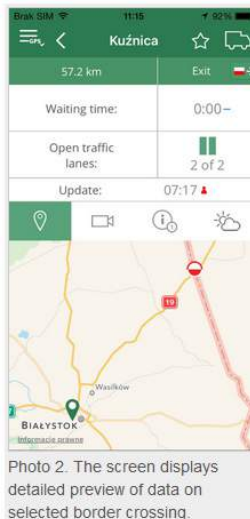

Photo 2. The screen displays detailed preview of data on selected border crossing.

Photo 3. The screen displays camera view at the border crossing.
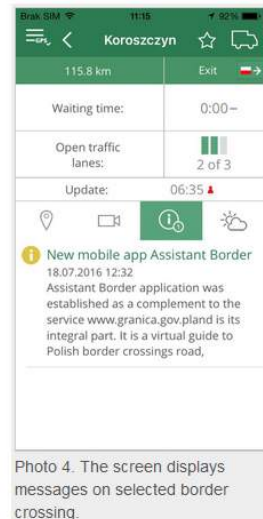
Photo 4. The screen displays messages on selected border crossing.
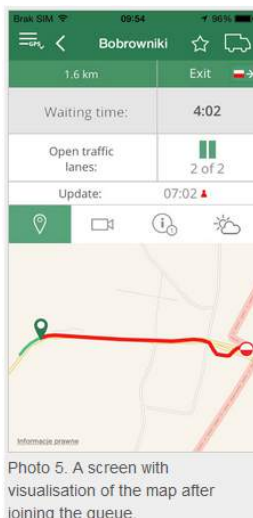

Photo 5. A screen with visualisation of the map after joining the queue.

An additional functions of 'Granica' available after its downloading is interface of 'widget' type for Android and 'the tile' for Windows Phone. It shows the traveller the current waiting time at selected border crossings in the abridged form, and allows for quickly launching of full application.

Application 'Granica' provides travellers, truck drivers as well as entrepreneurs involved in international trade with Personalised information on how long it takes to cross the border. They are also provided with current information on the situation before and at selected border crossing. Implemented service also makes it easier for drivers to plan a trip by using the waiting time forecasts module for the upcoming week and helps to choose the most convenient place to cross the border.
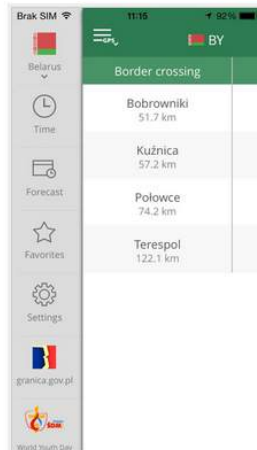

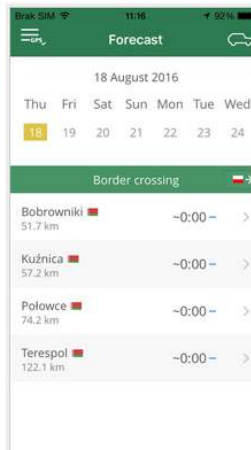Photo 6. A screen with expanded options off app menu.

Photo 7. A screen with forecasted waiting time.

Photo 8. A screen with forecasted wating time put in diagram.

Synchronisation with service provides the user the possibility to send notifications and announcements in selectable languages. Messages can be general or concern specific border crossings - e.g. difficulties in getting to a particular border crossing, which is especially helpful for truck drivers.
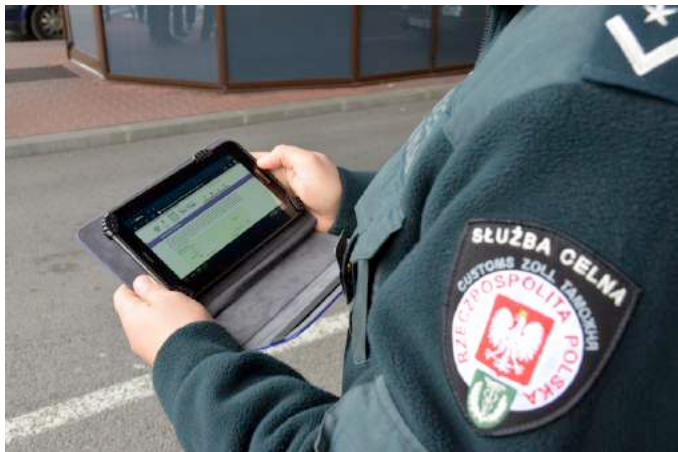
Information about the number of trucks waiting in line for the 'departure from Poland' are updated every 12 hours and are currently available on the website www.granica.gov.pl. Waiting time forecasts are updated once a day. The application was implemented by using Customs Service own resources.

The application is working correctly and according to the assumptions. However, it should be noted that the correct application performance is also affected by factors not always dependent of the Customs Service, such as e.g. GPS signal strength and access to the Internet in a particular location.

The free app 'Granica' is available on mobile devices with the most popular operating systems (iOS, Android, Windows Phone) in stores of particular systems (App Store, Google Play, Windows Phone Store) in 6 languages: Polish, English, Russian, Ukrainian, Belarusian and German.

Unification of the email addresses structure for receiving customs declarations

Unification of transferring XML files to the customs systems in all customs branches in the country - has provided customers with the opportunity to send their declarations in case of partial system failures and the inability to send applications via dedicated paths. Before the implementation of this idea, existing instructions did not provide detailed, unified mode of transmitting XML files to the customs branch - it could be done via e-mail, floppy disk or other media storage.

Using an electronic signature CELINA and ECS system provides the possibility to submit declaration at any customs branch without having to appear in person at the headquarters (also in another city). It required however to standardise the method of delivering electronic declarations in all branches for any declarants, in particular for customs agencies. The proposal was based on the idea that each customs branch has to create a separate e-mail account with the address consistent with the number of the unit.

Electronic mailbox is exclusively for submitting customs declarations, so you can easily identify the order of their submission. Each agency knows the address for sending customs declarations in each customs branch, there is no need to determine each time a method for transferring a XML file in case of any failure. Such unification required to add the appropriate entries in each instruction manual ECS/ICS and CELINA and spread the information among those making customs declarations. The idea did not generate any costs and is consistent with the facilitating customs formalities.

Customs Department of the Ministry of Finance, after analysing the proposals and consultations with the coordinators of IT systems has decided to implement this solution. As we are living in the era of automation and virtualisation of customs clearance, simple and clear rules of communication between traders and customs branch are extremely important. Especially that there is often a separate place of submitting the goods from the office of lodging customs declaration. One of the fundamental aspects of this simple communication is standardised and thus easily identifiable structure of email addresses of customs branches.

Electronic communication with the district courts

The idea of electronic communication involves the exchange of pleadings in such cases like tax offenses, fiscal offenses, other offenses and data relating to such matters, which are recorded in the computer systems of district courts and in the Register of Penal fiscal Cases (ESKS) of the Customs Service.

Pilot-phase involves

1. Customs Office in Bialystok
2. The courts of the District Court in Bialystok
   - District Court in Bialystok
   - District Court in Sokolka
   - District Court in Bielsk Podlaski

Type of papers and data transmitted in electronic form

1. Head of the Customs Office in Bialystok transfers:
   - indictments
   - data on the case in XML format, generated from ESKS system
   - other documents resulting from the course of the court proceedings
2. The president of the courts of the District Court in Bialystok transfers:
   - judicial decisions, including not legally binding
   - data on the case in XML format, generated from ESKS system
   - other documents resulting from the course of the court proceedings

Pleadings are sent through inbox electronic mail fixed on the Digital Office of Government Administration Platform of Podlaskie Voivodeship http://e-podlaskie.eu/.

A prerequisite for the commencement of pilot electronic communication was the tripartite agreement between the President of the District Court in Bialystok, Director of the Customs Chamber in Bialystok, and the Governor of Podlaske on the electronic exchange of pleadings signed on 28 August 2014.

Digital Office of Government Administration Platform of Podlaskie Voivodeship launched another internal email service, through which the Customs Office in Bialystok sends and receives pleadings from the district courts of Bialystok. This pioneering solution accelerates the settlement of court cases. In the agreement the Voivode of Podlaske is a guarantee of the safety of technical data exchange between the customs office and the courts.

3. Description of the prioritisation approach that led to the chosen project

After CAF assessment, carried out by the team consisted of employees and executives of Customs Chamber in Bialystok, areas that needed to be improved were identified. The self-assessment team, as a result of 'brainstorming', has identified the criteria for selecting the project. Hierarchy was determined after identifying the criteria by voting. The area which first required the improvement, was the area included in Criterion 3: People. It was recognised that it is necessary to create the project, which will apply to wide range of employees, and at the same time will be clear and understandable to all.

It was agreed that it should not generate additional costs and should be implemented on the basis of own resources. In addition, the project must keep versatility and cover all areas of activity, be adequate to the needs, easy to implement and not too engaging the organisation's resources during the activity.

It was agreed that the implemented project should be effectively monitored, bring real benefits, new quality to the functioning of the organisation and at the same time bring real benefits to the organisation, customers. The intention was to implement the project that allows to achieve the objectives and to improve the functioning of the organisation in all areas.

Top management approved the selected criteria. It approved the choice of recovery actions that would contribute to the sustainable development of the organisation. A project team, appointed among the staff, commenced actions to implement the project. The whole project has been implemented successfully.

Poland

Poland flag graphic appears at top left.

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Case: The internal recruitment procedure for managerial positions in the Tax Chamber of Wroclaw

Tax Chamber Wroclaw
Poland

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Sector of the organisation: Customs, Taxes and Finances

Reference number of the sub-criterion of the CAF enablers related to the good practice(s):
Sub-criterion: 3.1 Plan, manage and improve human resources transparently with regard to strategy and planning

</div>

1. Description of the improved result(s) of the organisation

The self-assessment process in the Wroclaw Tax Chamber is regulated by the Instructions I/017/2 'The self-assessment according to the CAF model in the process of organisation improvement' *(Samoocena według modelu CAF w procesie doskonalenia organizacji).*

The internal recruitment procedure for managerial positions, implemented as a result of CAF self-assessment in the Tax Chamber, has improved satisfaction and motivation of the employees at work. It has opened the possibility and perspective for career promotion. It has been confirmed in the satisfaction and motivation survey, that has been conducted among the employees, in the Tax Chamber cyclically, once per year, since 2008.

The questionnaire: 'Analysis of the satisfaction and expectations of the Tax Chamber employees' was developed for the Criterion 3: People and sub-criterion 3.1 Plan, manage and improve human resources transparently with regard to strategy and planning, within the framework of the CAF

methodology. The objective of the survey is to acquire an objective information on the satisfaction level and expectations of the heads of units, heads of organisational units and employees as regards the working conditions in the Tax Chamber. The questionnaire, separate for employees and managers, was placed in the system 'Qasystent', i.e.: the knowledge base available for each member of the organisation.

The survey of the employees' satisfaction and expectations, that drew the attention of the Tax Chamber authorities to possible areas for improvement, was conducted in the Tax Chamber in Wroclaw in 2012. Below there is a detailed description of motivation and satisfaction survey conducted in October 2012.

The survey was planned and conducted as a questionnaire study on the basis and in accordance with the regulations included in the dedicated instructions titled 'The investigation of the satisfaction and expectations of the employees'. The form was distributed among the persons via the Qasystent application. Participation in the survey, directed to all employees of the Tax Chamber in Wroclaw (except of the Director and Vice-Directors of the Tax Chamber), was voluntary and fully anonymous. The desirable questionnaire return rate was not established.

The data included in the questionnaire filled-in electronically, was downloaded from Qasystent with use of the reports including: the number of the surveyed employees, the number of the questionnaires returned, the number of the answers for particular questions etc. and the lists of the answers for so called 'open questions'. On the basis of the collected data, the average values were calculated, comprising in the range from 0 up to 100 (where 0 means the lowest score and 100 - the highest score). Next, from the average values of all questions, three arithmetical averages (for the whole of the persons under investigation, for the managers and for the employees) were calculated, expressed as % values, that may be considered as the general indicators for the categories present in the questionnaire.

In 2012 the satisfaction level of the employees in the survey was 67.58%; within the employees group the satisfaction level amounted to 65.3%. It was lower by 12.96 percentage points when compared to that achieved in the group of managers (78.33%). In comparison to the previous investigation, the satisfaction level of all employees increased by 0.98 percentage point.

Respondents (the whole of the employees) evaluated best the following:
- Their own competences (85.96%, an increase by 1.33 percentage point in comparison to previous investigation).
- Good professional relations with the co-workers (85.70%, a decrease by 0.56 percentage points in comparison to previous investigation).
- The employment stability (80.72%, an increase by 1.62 percentage point in comparison to previous investigation).

Respondents evaluated worst:

- A possibility of the professional promotion (42.43%, an increase by 0.66 percentage point in comparison to previous investigation).
- The housing conditions of the Office, the work safety and health conditions (50.83%, a decrease by 0.4 percentage point in comparison to previous investigation).
- The perception of the Office by the customers (47.76%, an increase by 1.99 percentage point in comparison to previous investigation).

As regards the motivation – in 2012 respondents assessed their own commitment to work performance and organisation on the level of 86.67%. The employee group assessed their own commitment on the level of 85.42%, with a slight decrease in the ratings compared to 2012. The manager group assessed their own commitment on the level of 92.81%, with a slight increase in the ratings compared to 2012.

In the survey 24-28.09.2012, 172 people filled in the forms, that constituted 61% of the whole personnel (present at work during the study).

The results of the questionnaire, conducted in 2012, indicated one of the lowest values within the possibilities of the professional promotion. Therefore, the proposal of designing and implementing of internal recruitment procedure, developed after the self-assessment, was indicated as a proposed improving action. The team for CAF indicated this action as second the most important one in the ranking. During the meeting of the Tax Chamber top management, after presentation of the self-assessment results and the proposals of improvement actions, the Tax Chamber Director accepted 3 out of 5 proposed actions for realisation. One of them was 'Internal recruitment procedure for managerial positions' as explained in part 2.

In 2016 another survey referring to the employees' satisfaction and motivation was conducted. Although content of the some questions and methodology of the study has been changed, according to the achieved result of the survey, employee satisfaction indicator was improved and amounted to 76% (an increase by 8.42 percentage point in comparison to 2013).

These results allow assuming that the direction of changes are correct and implemented improvements as **internal recruitment procedure for managerial positions** brings the desired effect.

It is important to notice that these procedures are still in force although significant organisational changes faced by the tax administration in Poland in the mid-2015. After consolidation of the fiscal services, by a decision of the Director of Tax Chamber, the instruction concerning the CAF self-assessment was repealed. The next CAF self-assessment of the organisation is planned after the join of the fiscal and custom services, planned by the Polish government in 2016.

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

The main reason for designing and implementing of the internal recruitment procedures for management position was information obtained in 2013 from the analysis of the satisfaction and expectations of the Tax Chamber employees in terms of the professional promotion – employees' perception of professional promotion possibilities in the TCH was one of the lowest value.

Designing of the internal recruitment procedures took place in 3 stages:

1. January/February 2014 – analysis of the internal law provisions in order to introduce the provisions on the principles and criteria of internal recruitment for managerial positions in the TCH in Wroclaw.
2. February 2014 – designing of the internal recruitment rules for managerial positions titled: 'The principles of internal recruitment for the positions that involve leading a team in the Tax Chamber in Wroclaw' and submitting them for the acceptance to the Director of the Tax Chamber. The justification for introducing the procedures was to achieve: 1) transparent rules of the internal recruitment and 2) improved employee' motivation.
3. 24 February 2014 – acceptance of the internal recruitment rules and their publication in the application Qasystent and Intranet. The information was also distributed among all employees by e-mail.

The current provisions concerning the internal recruitment rules were updated and apply to the entire Lower Silesia tax administration reporting to the Director of the Tax Chamber of Wroclaw, i.e. 3.515 people, equivalent to 3.497,31 full-time posts.

The rules of internal recruitment for the positions, which involve leading a team in the Tax Chamber in Wroclaw and tax offices of Lower Silesia

'Manager' is understood as the person in charge or supervising the work of the organisational unit, which is a separate part of the Chamber or the tax office (e.g. unit, department, division, an independent division, an independent section, section, multi-person position) established to implement the tasks defined in the organisational rules of the Chamber or organisational regulations of tax offices.

- In order to fill the vacancy for the position of manager, the Director of the Tax Chamber of Wroclaw may announce an internal recruitment for the vacant post. The person supervising the given position put forward the motion to conduct an internal recruitment, via the HR unit.
- An employee of the HR unit prepares the announcement for the vacancy. This includes, among others, the necessary and additional requirements resulting from the job description, the conditions of submission of an application for a managerial position, the duties and rights of the manager and the deadline for submission of applications. The employee submits it for approval to the Director of the Tax Chamber in Wroclaw.

- The announcement of the vacancy is transmitted to the employees of the Tax Chamber in Wroclaw and the tax offices province Lower Silesia by:
  - An internal information system, i.e. applications Qasystent, the internet webpage of the organisation to which all the employees have an access and even an obligation to browse messages.
  - E-mail boxes of all employees.
- The effectiveness of the communication is at the highest level. All employees can easily find out about the internal recruitment, there is no danger that some of them will not be familiarised with the announcement.
- Candidates submit their offer, including the description of their qualifications and motivation to take up the job, in the manner specified in the announcement. The employees of the HR unit register the offers, received in response to the announcement of an internal recruitment for the manager position.
- The director of the Tax Chamber of Wroclaw decides on the composition of the recruitment committee, which includes minimum 3 persons.
- The employees of the HR unit verify if submitted offers meet the formal requirements. Offers that do not meet the requirements are rejected.
- Uniform rules are applicable to all participants of the process. In the course of the internal recruitment process for the managerial position, particular attention is put to the principle of equal treatment, the principle of professionalism, the principle of independence and impartiality.
- Applicants are invited for an interview. The Commission assesses the candidates, using tools adapted to the requirements associated with the workplace. The Commission documents its work. Depending on the number of applications submitted, the commission (composed of at least 3 people) provides the director of the Tax Chamber with the list of 5 candidates, arranged from the highest to the lowest number of points that the candidates have received in the process.
- The results of the committee's work are presented for approval to the Director of the Tax Chamber, via the HR unit, in the form of the protocol from the conducted recruitment.
- The director of the Tax Chamber of Wroclaw makes the final decision on the selection of a candidate for the managerial position. As a rule, the director should choose the person selected by the committee.
- Employees of the Tax Chamber in Wroclaw are informed of the outcome of recruitment process in any standard form (by e.g.: Qasystent applications, Intranet IS, e-mail).

Thanks to the developed and implemented improvement, information on the internal recruitment process for a managerial position is commonly known to all employees and transparent. When recruiting for a managerial position, the unit responsible for the human resource management in the Tax Chamber sends the information concerning the recruitment for the managerial positions to the personal boxes.

Examples of internal recruitment processes, conducted in accordance with the implemented solution are:
- Senior Specialist Managing III Multi-person IT position.
- Senior Specialist Managing Multi-person Communication position.
- Senior Specialist Managing II Multi-person Budget Accountancy position.
- Senior Specialist Managing III Multi-person Budget Accountancy position.
- Manager I of the Independent Unit of General Affairs the Tax Chamber in Wroclaw.
- Managing of the Multi-person Internal Audit position.

The implemented rules, titled Internal recruitment procedure for managerial positions, were the subject of verification 6 months after coming into force. The CAF coordinator, responsible for monitoring the way how each improvement action is functioning, checked the operating rules within the framework of conducted supervision. The CAF coordinator verified the number of managers recruited after coming into force the procedures and then the conformity of the processes with the procedure (if everyone was properly informed about the recruitment process, the way of verifying the application, who conducted interviews).

3. Description of the prioritisation approach that led to the chosen project

The approach that led to the chosen project is based on general rules related to the CAF self-assessment and implementation of the improving action plan binding in the Tax Chamber in Wroclaw. It is explained in detail under part 1.

Slovakia

1. Description of the improved result(s) of the organisation

The Implementation Agency of the Slovak Ministry of Employment, Social Affairs and Family (IA MPSVR SR) is implementing CAF in its management system since 2015, but in fact IA MPSVR SR just followed activities of its predecessor, the Social Implementation Agency, an Effective CAF User since 2013.

The actual Improvement Plan was designed in June, 2015 and its consequences are visible in many areas. The development of the process approach in the organisation is represented in two approved activities. Here are some examples from the area of process approach (Criterion 5):

Results	2015*	2016*
% of employees with access to software support for process management	2%	100%
Nr. of visited organisations with the purpose of benchlearning (incl. area of process approach) in the home country	0	2
Nr. of visited organisations with the purpose of benchlearning (incl. area of process approach) abroad	0	3
Nr. of partner organisations for benchlearning (incl. area of process approach) abroad	0	2
Nr. of employees trained in specific TQM methods: tools used in process management	1**	5**
Nr. of process designers in organisation	2**	4**

* meant by the beginning of the year
** total: 250 employees by 2015/01/01 and 198 employees by 2016/01/01

Results	2015*	2016*
Nr. of employees trained/certified in PRINCE2® Foundation lev. the methodology used for design of processes in National Projects implementation	2/2**	70/68**
Nr. of employees trained/certified in PRINCE2® Practitioner lev. the methodology used for design of processes in National Projects implementation	1/1**	11/7**
% of National Projects managed by processes with PRINCE2® methodology integrated	0%	20%
The effectiveness of the measurement system used in process management in the area of Demand-Driven Projects implementation (1 worst – 10 best)	2 – random audit	6 - measure without human influence
Nr. of activities in the area of the social responsibility planned for the year (through easier creation and management of ad-hoc teams)	5	12

* meant by the beginning of the year
** total: 250 employees by 2015/01/01 and 198 employees by 2016/01/01

Although the realised actions from the improvement plan were sometimes not popular, the employee satisfaction showed growth. Next graph indicates main changes in satisfaction of employees in various areas (difference between April 2015 and November 2015).

Comparison of the employee satisfaction surveys
percentage difference between April and November, 2015
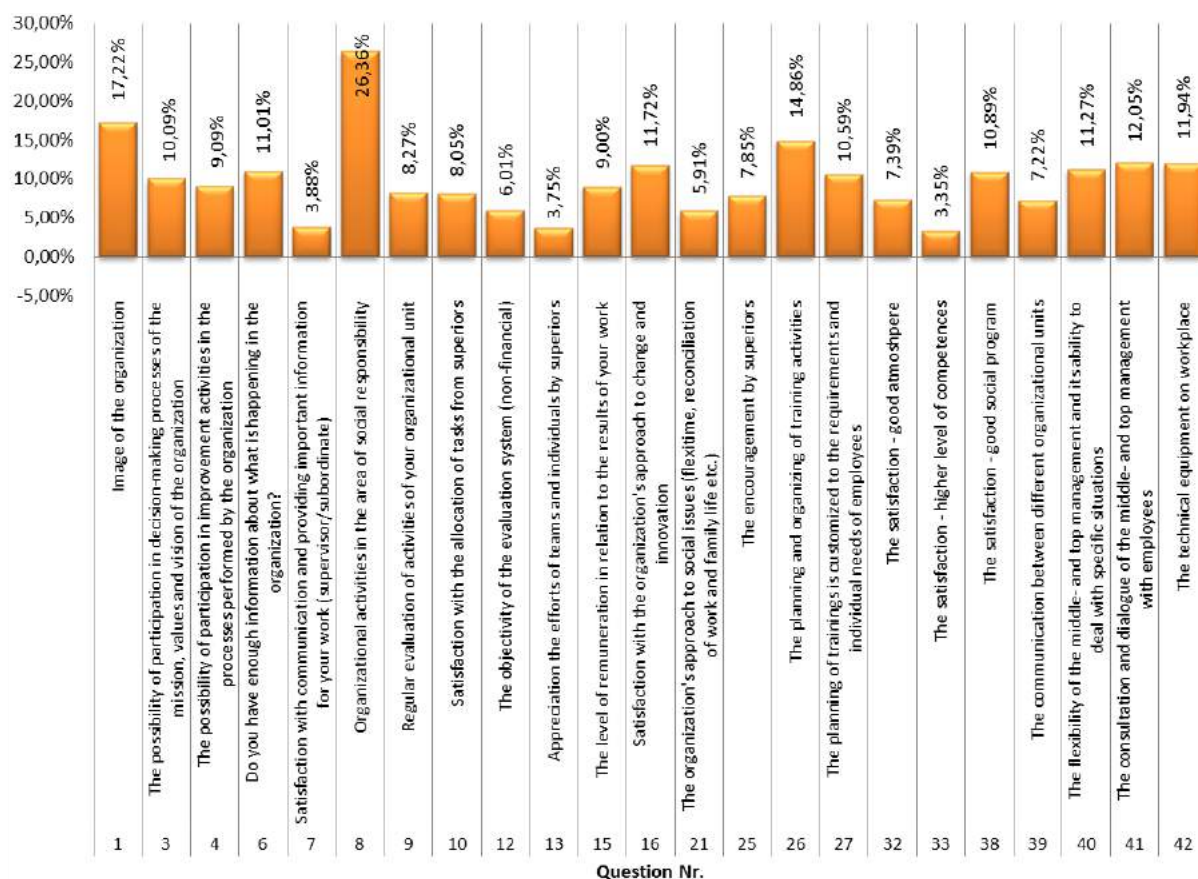
2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

The year 2015 represents the year of activities related to ending the programming period 2007-2013 of the European Commission. The realised self-assessment helped by evaluating, defining and prioritising the problems that need to be solved in the next funding programming period 2014-2020.

The customer satisfaction survey made on April 2015 showed that there were some problems in the processes with various importance. Customer oriented results was the worst evaluated criterion at all (right after the social responsibility results). That´s why the importance of the priority index (described in the part 3) was so high by suggestions for improvement in the area of key processes,

preferably with the positive synergy in social responsibility. Because, if you want to have more satisfied customers, you must change your key processes.

The mission was clear: we have to set up a key process to be able to satisfy our customer and respond to the regulatory requirements. The system should allow fast access to data for all employees, clarify all the relations in the audit trail, where all employees can find their competences to their processes, subprocesses, activities and type of responsibility like e.g. 'performs', 'deputises', 'approves', 'signs', 'cooperates', 'is informed' etc. together with the possibility of the integration of the PRINCE2® methodology into relevant processes. Secondary the system should be able to support the creation of ad-hoc teams and work as a basic platform for benchlearning/benchmarking with other partners at home and abroad. Six sigma (lean 6δ) was selected as a basic tool to streamline key processes with its data-driven improvement cycle DMAIC. The single steps of the cycle are described in detail below.

D – Define phase

If you want to improve (lean) some of your processes, just be sure, that your process is clearly described. In fact, this can help you define all components needed in other tools later (like SIPOC Diagram or Quality function deployment (QFD)).

The starting point for our efforts in the process improvement was the fact that our organisation has prepared detailed flowcharts based on graphic swim lane diagrams for all of the key processes. This is the first one simply step, which can be done in every organisation in a short time. There are many various free software tools that can help and make the work with diagrams much more effective.

Key process: 'Administration of payment request' – e.g. here in swim lanes
(situation before improvement)

143
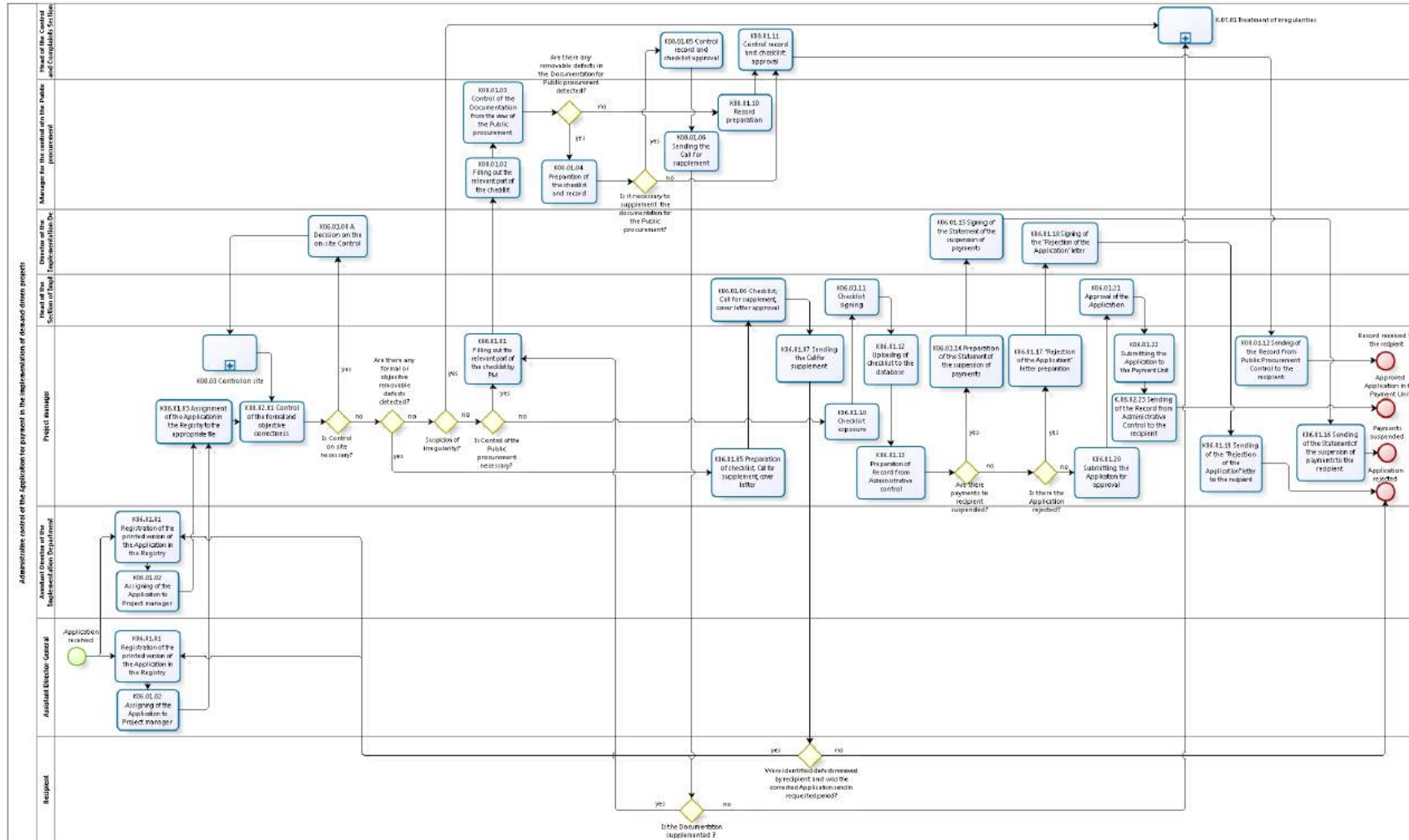
The elaboration of the Project charter in this step was not easy because of the variety of customers' needs. When we wanted to set the primary metric (data that we will improve), the Quality function deployment (QFD) method helped us to transform customer needs (VOC) into engineering characteristics for the offered service.

QFD I: with weight of customers' requirements transformed into KPIs
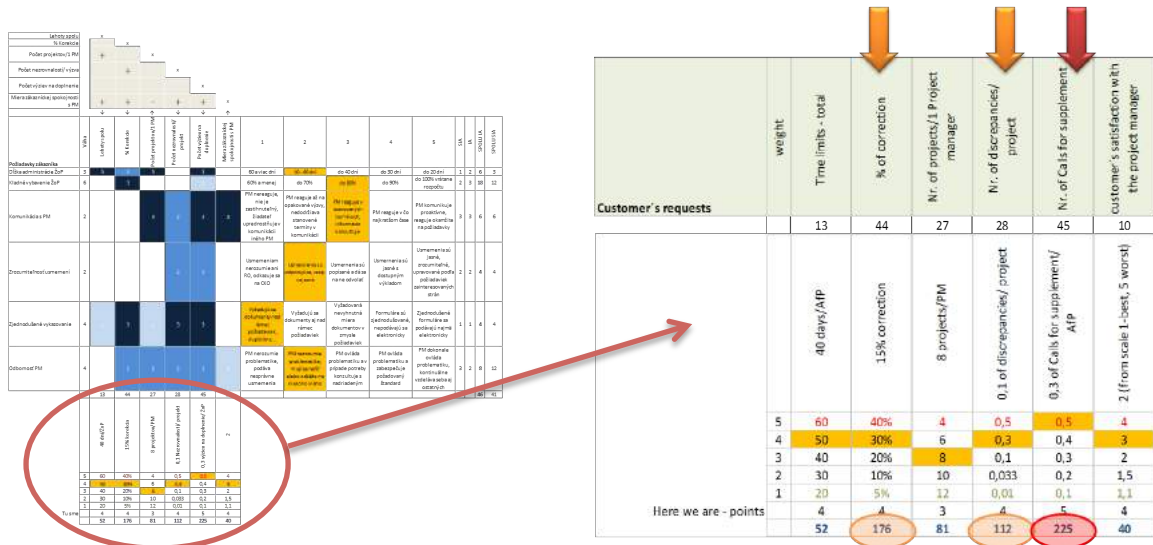
Based on QFD, the lead-time of the administration and the number of requests of completion of the documentation were set up as the primary metrics. Secondary metric (that we will not change) is represented by the number of employees, wage costs and the number of projects administrated by one employee.

M – Measure phase

It´s all about how can you trust to the data you are measuring. Our Measure system analysis (MSA) basically shows e.g. the disability of project manager–newcomer for defect identification in the administration process. That´s why we don´t need to cancel the four-eyes principle control, when the control process administered by project manager is revised by supervisor. Enhanced trainings were automatically added to the adaptation process.

A – Analyse phase

Usually you have to use many various tools to find and analyse problems in your process. You can not only see your current situation in detail but you have also to examine the development in time. The analysis evaluates all the previous solutions.

First we want to know how the variables or data that we work with are in relationship with each other. For this analyse we use correlation diagrams. Then we need to know, how data are changing in time.

Individual Control Chart: e.g. for development of administration of applications for payment (AfP) corresponding to calls for proposal 2012-2013 (administered January 2015 - September 2015) with histogram

Variability of administration time of AfP in the monitored period
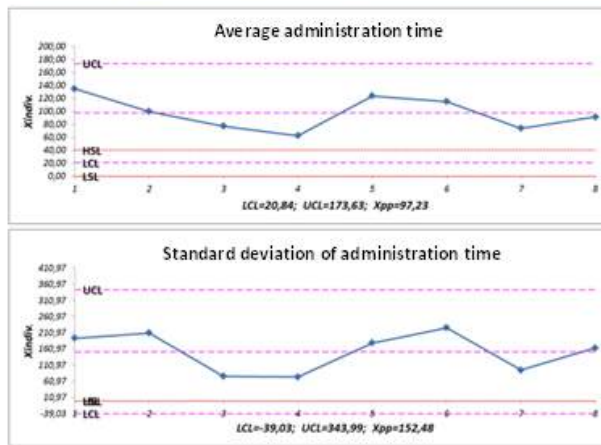
Administration time of AfP in the monitored period (in days)
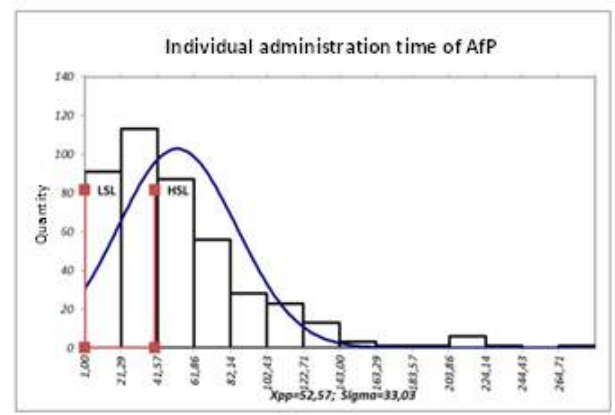
If all the data are available and reliable, it is possible to make a detailed analysis or e.g. the design of experiments (DoE). Thanks to this, we know that the age of project manager has the greatest impact on his performance and stability in this process. Greater than e.g. the salary or praxis.

But sometimes data are missing or lost. When the process is clearly described, there is still the possibility to make Failure mode and effects analysis (FMEA). It helps orient improvement activities to areas of process steps with higher priority and impact.

FMEA for the key process: 'Administration of Application for payment (AfP)'

Red boxes basically indicate all process steps and concrete situations, where the Risk Priority Number (RPN) is high (in our organisation 200 and more from 1000 potential). Proposals for improvement actions subsequently reduce RPN below the required limit.

I – Improve phase

It is our practice, that all suggested activities are integrated into CAF Improvement plan as an update.

C – Control phase

Our implemented management information system helps us now to manage and standardise all improvements in processes.

Leaned key process: 'Administration of AfP' in management information system

Leaned key process: 'Administration of AfP' in management information system – detail

Administrative control of the Application for payment (AfP) in the implementation of demand-driven projects
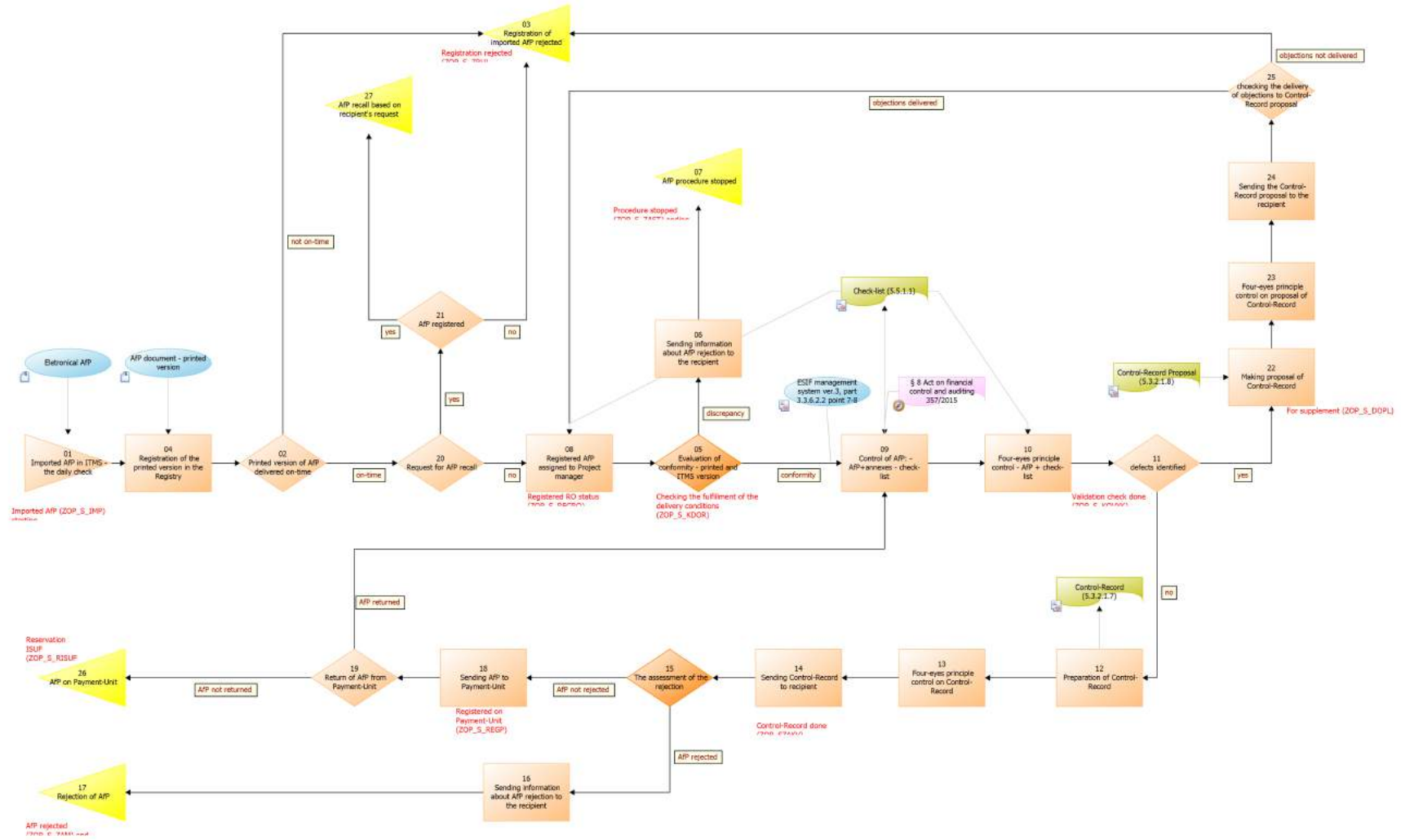
3. Description of the prioritisation approach that led to the chosen project

Our prioritisation process is determined by a few premises:

1. **People** (excepting CAF team members and some representatives of top management) **don´t read the complete self-assessment report** even when we implement all activities from the communication plan for the self-assessment phase and we inform them all shortly about the main results (strengths and areas for improvement) after the end of the self-assessment process. That´s why we offer to all employees the opportunity to send any proposal for improvement (even anonymously). Experience has shown us, that in this way we will get more proposals as in the process of consideration of the self-assessment report.

2. **Scoring in the self-assessment report basically shows the importance of the proposed improvement actions regarding the 9 criteria of the CAF model, but not regarding the fulfilment of the 8 principles of excellence.** That´s why after collecting of all the suggestions for improvement, we usually arrange a meeting of the top management with the CAF team. All participants get a summary of the proposals divided into:
   a. CAF criteria (CC)
   b. CAF principles of excellence (PoE)

   This meeting starts then with the analysis of the fulfilment of principles of excellence, based on the questionnaire used in the CAF External Feedback procedure (3rd pillar). The analysis is made in small groups and its result creates the basis for the PoE index.

   Finally we can set up two different indexes:

   1. Index depending on the CAF evaluation criteria (I_{CC}) that basically shows urgency for individual suggestion for improvement based on self-assessment (0 points for criterion in self-assessment means I_{CC} = 1 or 100% urgency).
   2. Index depending on 8 principles of excellence (I_{PoE}): if we analyse that we are in the maturity level in general principle of excellence, then I_{PoE} = 0 or 0% and conversely.

3. **The consensual scoring used in the self-assessment report is more accurate than the consensual rating of principles of excellence based on CAF External Feedback procedure**. It is because the scoring scale in the case of self-assessment is between 0-100 and the process of the self-assessment is more complex. We always evaluate every sub-criteria, every example separately – that is why the consensus meeting take usually two days (at least). The scale in the case of rating the principles of excellence is based only on 4 levels (0, Initiation, Realisation, Maturity – we modify them into 0-100 scale) and we make evaluation usually on a workshop in small separate groups.

That´s why we use various scales for the final priority index (I_p): **$I_p = 0,6*I_{CC} + 0,4*I_{PoE}$**

Slovenia

Case: The Administrative Information Service System (AISS) in the Administrative Unit Celje

Administrative Unit Celje

Slovenia

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Sector of the organisation: Regional and local administration

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Sub-criteria 4.1 and 4.4

1. Description of the improved result(s) of the organisation

The implementation of the Administrative and Information Service System Celje (hereinafter: AISS) primarily represents the improvement of administrative services and the consequent increase of the administrative standard. It makes it possible for users of our services to find answers to general questions in relation to many administrative matters in one place while they do not need to know which administrative authority has jurisdiction in the matter. To gain information, clients do not have to go to the premises of the authorities because they are able to obtain all the information on their personal computer. Through AISS, 164 requested pieces of information were provided to our clients in 2010, 154 in 2011, 165 in 2012, 227 in 2013, 213 in 2014, and 162 in 2015. AISS has been operating for six years and, in this time, it has been visited by 47.500 people or averagely by 8000 visitors per year. Each visitor checks 2.89 pages of online service on average (sub-criterion 6.1. CAF).

Access to updated information is available not only to clients from the Celje area, but also clients from other parts of Slovenia and to inhabitants of other countries who are managing their administrative affairs in the Republic of Slovenia. It was discovered through Google Analytics that most AISS visitors are from Ljubljana (40.57%), Celje (22.80%), Maribor (9.66%), Novo Mesto (2.46%), Velenje (2.28%) and Koper (2.11%). The majority of AISS visitors are from Slovenia (95%) and the other 5% are from the USA, Croatia, Serbia, Germany, Bosnia and Herzegovina, Austria, Russia, and Switzerland.

Since 2003, the Celje Administrative Unit (Celje AU) has been interviewing clients about their satisfaction with the work of Celje AU. Each year, the level of our clients' satisfaction has been high. Interviews in 2012 and 2014, which were done after the implementation of AISS, showed that satisfaction increased even more. The quality of Celje AU services was given a score of 4.67 in 2012 and 4.79 in 2014 (sub-criterion 9.1. CAF).

Table 1: Client satisfaction scores with regard to the work of Celje AU

Year	Client satisfaction score
2009	4.63
2010	4.62
2012	4.67
2014	4.79

▢ Before implementation of AISS

▢ After implementation of AISS

Interviews of Celje AU clients are also used to measure our clients' satisfaction with accessibility and understandability of the information they need. Firstly, users score their expectations (E) upon coming to Celje AU and then they score the perception or actual condition (P). The actual condition or perception of all interviewees is higher than their expectations before they came to Celje AU. The difference between perception and expectation has been increasing each year. It has been discovered that, after the implementation of AISS, the accessibility and understandability of information have improved and they have been exceeding expectations of our clients (Table 2) (sub-criterion 6.2. CAF).

Table 2: Comparison of clients' perception (P) and expectations (E) relating to the accessibility and understandability of information needed

Year	Expectations (E)	Perception or actual condition (P)	Difference between expectations and perception
2009	3.79	4.51	0.72
2010	3.92	4.55	0.63
2012	3.76	4.54	0.78
2014	3.79	4.69	0.9

Before the implementation of AISS

After the implementation of AISS

Since AISS has been implemented at Celje AU, the share of clients who obtain information on the management of their affairs online has been increasing and it is higher than the average in the Republic of Slovenia. There were 12.20% of such clients in 2009, 13.78% in 2010, 15.48% in 2012, and 15.87% in 2014.

AISS was made and is now developing as a common project with other state authorities, local self-government authorities, and other public sector organisations in the area of Celje (hereinafter: authorities). Celje AU monitors and evaluates how results of different partnerships are achieved. Among other things, the authorities involved are interviewed about their satisfaction with Celje AU's work. It has been discovered that, after the implementation of AISS, cooperation between the authorities in our area has additionally improved and that satisfaction of other authorities with Celje AU's work has considerably increased (sub-criterion 8.2. CAF). Celje AU had been measuring other authorities' satisfaction with its work even before the implementation of AISS in 2006, 2007, 2008, and 2009. The satisfaction was scored highly each year (average score: 3.93 - 4.26). The first interviews after the implementation took place in 2012. After the implementation of AISS, the satisfaction with Celje AU's work increased significantly (average score: 4,88). Authorities in the area of Celje will be interviewed again at the end of 2016, in accordance with our action plan.

Table 3: Scores of the satisfaction of Celje area authorities with the work of Celje UE

year	Score of authorities' satisfaction
2006	3.93
2007	4.26
2008	4.14
2009	4.10
2012	4.88

Before the implementation of AISS

After the implementation of AISS

The information obtained through AISS enable our clients to file complete claims to different authorities and local government offices with all necessary attachments. This is why authorities are able to resolve such claims more effectively and within legal time limits (30-60 days). Celje AU constantly monitors the number of matters resolved after the expiry of the legal time limit. After the implementation of AISS, there was an immediate (as early as 2010) decrease in the number of matters resolved after the expiry of the legal time limit. In 2013, 2014, and 2015, Celje AU resolved all matters before the expiry of legal time limits and was operating with no delays.

Table 4: Number of cases resolved after the expiry of the legal time limit in the 2008-2015 period

Year	Number of cases resolved after the expiry of the legal time limit
2008	31
2009	15
2010	7
2011	7
2012	3
2013	0
2014	0
2015	0

Before the implementation of AISS

After the implementation of AISS

The added value of AISS with regard to the improvement of the quality of our services was also recognised by the Regional Chamber of Commerce in Celje, which gave Celje AU a bronze award for innovation in 2011 (sub-criterion 9.2.)

Figure 1: Regional Chamber of Commerce Celje Award Ceremony, where the bronze award was received in June 2011

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

Celje AU has been answering our clients' questions relating to administrative matters in different media for a few years now. It has been discovered that the Celje AU is not competent to answer many of these questions, but this is in the jurisdiction of other authorities. Clients have been asking questions regarding taxes, inspectional procedures, health and retirement insurance, employment, social services and much more that is not in the jurisdiction of Celje AU. Several times, questions were received, for which only partial answers were possible because, according to jurisdiction, more authorities would be needed to provide complete information.

Considering that the Republic of Slovenia does not have administrative districts and regions, authorities work independently on the territorial level in the area of their jurisdiction. According to dispersed activities of the authorities, good cooperation is that much more important to provide effective administrative services.

Therefore, a decision was reached to offer our clients online, interactive, publicly accessible service where clients will obtain answers to general questions about administrative matters in one place. To gain information, clients will not have to go to the premises of the authorities, because they will be able to obtain all information online on their personal computer. Furthermore, they will not have to know exactly in jurisdiction of which authority the matter of their question is (sub-criterion 4.4 CAF).

The Head of Celje AU, Damjan Vrečko, has presented the idea about AISS online service to the heads of authorities operating together within the Coordination Advisory Committee of the Head of the Celje Administrative Unit. Heads of all mentioned authorities have supported the idea and have joined the common project of introducing AISS to practice (sub-criterion 4.1. CAF).

In February 2010, Celje AU signed the agreement on the establishment of AISS with all of the authorities who committed to participate in accordance with standards agreed upon in advance. An agreement was reached that the executive editor of the online service (online administrator) will be employed by Celje AU. Each of the authorities agreed to appoint a sectoral editor within their authority who will be responsible for preparing answers in the area of their jurisdiction. In the agreement, all of the authorities undertook to answer the questions in the shortest time possible, preferably in three days after receiving the question in the notification system.

That is how the Administrative Information Service System was invented. AISS has been active on the website www.uis.si since 31th of March 2010.

Figure 2: AISS Homepage, www.uis.si

22 authorities provide answers to our clients within AISS. There are Celje AU, four municipalities, police and authorities that are working in the fields of environment, spatial planning, agriculture, surveying and mapping, finances, health, retirement and disability insurance, veterinary, food safety, employment, social work, protection against natural and other disasters...

AISS works by allowing clients to ask questions through an online form. If they want to receive the answer by e-mail, they can provide their e-mail address. Each question asked on our web site is processed by the executive editor of AISS, who works at the Celje AU. He examines the question, publishes it online and forwards it (tickets it in the system) to the sectoral editor of the authority which has jurisdiction over the topic of the question. The system sends a notification about the question and a link to the question in the online service by e-mail to the sectoral editor. The sectoral editor logs into the AISS with a user name and a password and prepares an answer to the question, The executive editor (online administrator) publishes the answer and marks it as 'finished'. At this point, the system

sends an e-mail with the answer to the asked question to the client's e-mail address in case the client provided it in the online form upon asking the question.

Clients that do not list their e-mail address upon asking the question can see the answer on the web page www.uis.si.

Furthermore, clients can track the status of their question. All newly received questions which were published and assigned by executive editor to the sectoral editor from the authority which has jurisdiction over the matter of the question have the status 'new.' The status 'pending' means that the sectoral editor is preparing the answer. The status 'finished' is for all already answered questions. When the executive editor (online administrator) assigns the status 'finished' to the question, the e-mail is sent to the client who asked the question and also provided their e-mail address.

All questions and answers are published online. They form a database, so clients who do not ask questions themselves can find answers as well. Questions and answers can be found by areas, authorities, statuses and by means of a search engine. The operation and use of AISS are easy and user-friendly.

All of the authorities who are cooperating within AISS try to answer the questions in the shortest time possible. The reaction time needed for answering the questions is constantly monitored and measures are immediately taken when the preparation of an answer takes too long. Most of the questions in AISS are answered the same or the next day, and the average time for the preparation of the answer is from four to six days. This time is successfully becoming shorter. Our goal is to answer all questions in fewer than three days.

Heads of the authorities that are cooperating in the AISS in addition to Celje AU introduced the launch of AISS at the press conference in April 2010. AISS was also introduced at the Days of Slovenian Public Administration in Portorož in September 2010.

Figure 3: The Head of the Celje Administrative Unit introducing AISS at the Days of Slovenian Public Administration in Portorož in September 2010

AISS is the result of the development of a common partnership with other authorities in the public sector in the area of Celje (sub-criterion 5.3. CAF).

By implementing the AISS, we improved the satisfaction of our clients (sub-criterion 6.1. CAF). We improved and enabled access to updated information not only to clients from the area of Celje, but also to clients from other parts of Slovenia and from other countries (sub-criterion 6.2. CAF).

Clients who file claims at Celje AU and at other authorities that are cooperating within the AISS can gain information even before filing their claim. This helps authorities resolve the claims even before the expiry of legal time limits. At Celje AU, the number of cases resolved after the expiry of a legal time limit decreased and, in last three years, all cases have been resolved before the expiry of the legal time limit, which means that the Celje AU has been operating without any administrative delays.

Regular meetings of the Coordination Advisory Committee of the Head of the Celje Administrative Unit with the other authorities are held in order to monitor the operation of the AISS, what the reactive times are, and new solutions for improving the AISS are sought.

3. Description of the prioritisation approach that led to the chosen project

After the self-assessment with the CAF model was performed at Celje AU in 2006, the action plan with measures was adopted, in which Criterion 4: Partnership and Resources, included the measure 'Proactive informing of clients through the Celje AU web page and the media', which should be performed as a permanent task. We assigned second stage priority to this measure.

Celje AU continues to effectively inform clients in various ways about its services and it looks for new ways of doing this. Our web site includes information on new and changed legislation that influences administrative proceedings. For a number of consecutive years, Celje UA has been answering its clients' questions about administrative matters in different media. It has presented its work at different trade conventions and other events.

AISS is the result of the strategical decision reached by the Celje AU management. Damjan Vrečko, the winner of the Golden Swallow Award for the best manager in Public Administration in 2007 and the Head of the Celje Administrative Unit, prepared a plan to provide information in the fastest, most effective, and client-friendly way possible, regardless of which authority is responsible for such information. He believes that clients primarily do not need to know the delimitation of working areas between different authorities.

There are 22 independent authorities cooperating in the AISS. Celje AU is not superior to these authorities, but it acts as their coordinator. Celje AU is putting a lot of positive energy into this cooperation, which is always excellent and high-quality.

The vision of Celje AU is performing administrative services in a legal, effective, innovative and client-friendly way. What is more, it wishes to develop a high level of trust from its clients with regard to the performance of our procedures and the satisfaction of its employees.

🇪🇸 Spain

Case: Walking hand in hand with taxpayers towards Excellence in the Benidorm Treasury Department

Benidorm Treasury Department

Spain

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Sector of the organisation: Regional and local administration

The treasury department of the City Council of Benidorm is a management centre incorporated in the economic area of the Finance Department. Its mission is to issue tax assessments and other public revenues that emerge from public services provided by the City Council and to manage other economic processes such as payments to suppliers or the refund of bank guarantees, etc. The treasury counts on a staff of 14 people. The treasury department has its headquarters located on the ground floor in the main building of the City Hall, 14 deconcentrated management centres and 5 external administrative offices (outside the main building) in the various neighbourhoods of the city.

Reference number of the sub-criteria of the CAF enablers related to the good practice(s):
Criterion 1: Leadership, sub-criterion 1.3
Criterion 2: Strategy and planning, sub-criteria 2.1, 2.2
Criterion 3: People, sub-criteria 3.1, 3.2, 3.3
Criterion 4: Partnerships and Resources, sub-criteria 4.1, 4.2, 4.4, 4.5
Criterion 5: Processes, sub-criteria 5.1, 5.2, 5.3

1. Description of the improved result(s) of the organisation

Criterion 6: Citizen/Customer-oriented

Increasing satisfaction of citizens. Surveys: general average score of 8.30 points in 2013 to 8.92 in 2015.
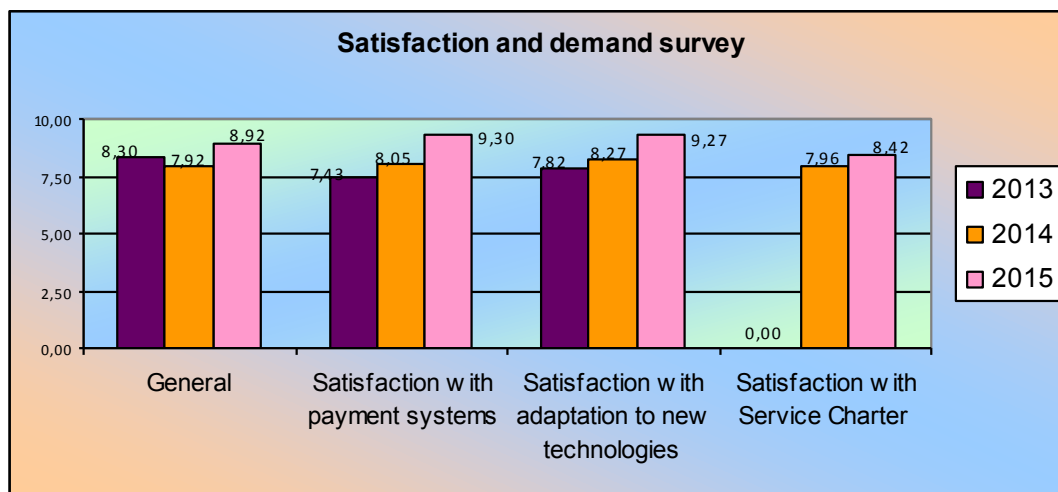
Results in **adaptation to new technologies**, increased use every year (implemented in 2014):

	Electronic Work Volume	2014	2015
Aimed at citizens processes	Number of processes initiated online	429	694
	Total number of administrative steps	11.333	20.795
Internal work processes	Number of processes initiated online	45	46
	Total number of administrative steps	1.018	1.120
Processes regarding administrative task	Number of processes	1.495	1.175
	Total number of administrative steps	21.574	17.405

Results in **use of corporate cash dispensers**, installed to facilitate the task of paying in situ:

Corporate Cash Dispenser (number of monthly operations)											
	Jan.	Feb.	Mar.	Apr.	May	Jun.	Jul.	Aug.	Sep.	Oct.	Nov.	Dec.
2013	495	456	448	387	366	448	600	280	484	306	295	282
2014	453	453	391	382	395	874	514	227	492	325	305	342
2015	373	388	365	330	303	760	506	255	405	335	462	228

Results in **using new tools** to facilitate the task of paying and booking activities:

	Payment Gateway in website		Deporwin[1]: Request and booking of local facilities and courses	
	Number of transactions	**Income**	**Number of operations**	**Income**
2013	1.132	124.693,85 €	0	0 €
2014	1.457	130.536,85 €	6.763	69.362,95 €
2015	1.360	126.048,10 €	3.972 (Some bookings transferred to concessionaire)	61.758,37 €

Total of SUMA[2] Call Center received calls:
in 2013: 9.993, in 2014: 11.818. and in 2015: 6.283 (others still appear in person or use internet).

Results in **savings as a result of the implementation of new technologies:**

SAVINGS		2013	2013	2014	2014	2015	2015
	Estimated per operation[3]	Operations	Estimated	Operations	Estimated	Operations	Estimated
Start of electronic file	75 €	-	-	429	32.175,00 €	807	60.525,00 €
PDAs prompt notification discount (reduction of time from 26% to 50%)	60 €	20.559	1.233.540,00 €	16.840	1.010.400,00 €	16.202	972.120,00 €
Deporwin immediate conclusion	200 €	-	-	3.627	725.400,00 €	3.969	793.800,00 €
Deporwin prompt response (reduction of time from 26% to 50%)	60 €	-	-	3.084	185.040,00 €	-	-
TOTAL			**1.233.540,00 €**		**1.953.015,00 €**		**1.826.445,00 €**

What we infer from all the data provided in these graphs is that the implementation of new tools has made people feel more satisfied with all the services provided, even if some new tools are not used more often than the previous year. In some items the score in 2014 was lower as new innovations employed took some time to be installed.

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[1] Software to book cultural and sport facilities and activities.

[2] SUMA is the delegated tax management body in matters of fees and taxes.

[3] Savings calculated according to the *Handbook of administrative simplification and reduction in administrative burdens for General Administration* edited by the Ministry of Finance and Public Administration in 2014.

Criterion 7: People

Increasing satisfaction of employees. Surveys: general average score of 7.71 points in 2013 to 8.18 in 2015 and very high satisfaction increasing in many items, so this means that everything done is making employees feel better.
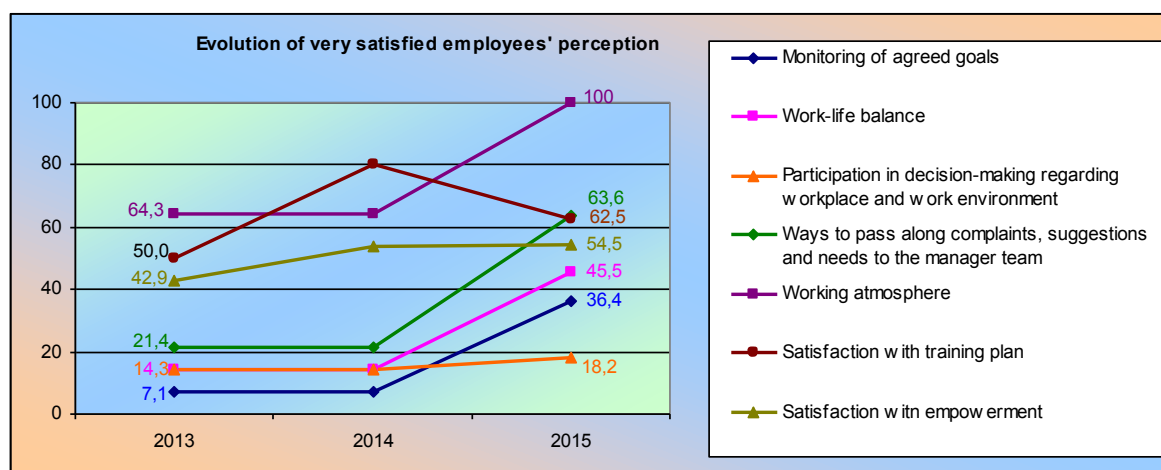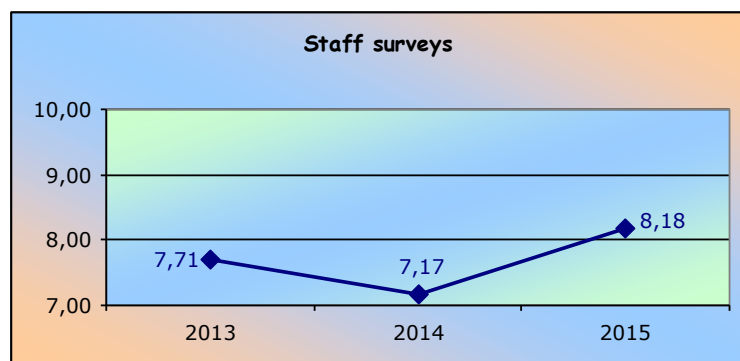
Criterion 8: Social Responsibility

Social responsibility activities by:	2014	2015
Hidraqua[4]	8 activities	8 Activities
Caixabank[5]	6 activities	8 Activities
SUMA Gestión Tributaria	1 activity	4 Activities
Total	**15 activities**	**20 Activities**

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[4] Hidraqua is the water supplier in Benidorm (private company).

[5] Caixabank is the bank that acts as only manager of all bank activities which have to do with Benidorm Town Council, so that is the one to contact other banks and unify all the revenue and use of telematics.

One of the activities carried out by SUMA:	2013	2014	2015
Help to fill tax returns for people who can't afford paying a consultancy	456	445	461

Social responsibility is a key concern in periods of economic crisis as the one we are going through, and activities are not only focused on cultural and sport activities for children, but also on helping people to, for example, fulfil their economic duties.

Criterion 9: Key Performance

Tax settlements collected by Treasury Department	n.º 2013	Amount 2013	n.º 2014	Amount 2014	n.º 2015	Amount 2015
Direct tax collection (Land Value Appreciation)	5.380	5.121.860,47 €	4.743	5.574.865,74 €	4.237	5.663.262,54 €
Indirect taxation (Tax on construction, installations and building works)	923	328.470,22 €	1.139	373.230,76 €	1.270	1.196.141,71 €
Fees and other income	19.941	10.216.424,34 €	20.115	10.891.447,19 €	16.908	8.921.470,65 €

Tax settlements collected by SUMA: Independent Tax Administration Body

	n.º 2013	Amount 2013	n.º 2014	Amount 2014	n.º 2015	Amount 2015
Direct tax collection (Property, road, business)	133.423	41.923.324,18 €	133.372	42.148.535,61 €	133.410	42.721.648,18 €
Indirect taxation	-	-	-	-	-	-
Fees and other income (Solid urban waste tax,...)	93.173	14.728.050,28 €	89.612	13.428.265,05 €	88.678	13.102.498,52 €
Self-assessments paid (the citizen settles the payment himself according to city ordinances)	-	-	8.748	117.256,67 €	5.706	112.068.07 €

The previous tables show how the **global amount of revenue** varies according to the years, these data cannot be much influenced unless the City Council changes the ordinances (increasing or decreasing percentages) or the real estate market begins to build again (as it is happening from 2014 with Taxes on construction).

Percentage of tax settlements' collection	2012	2013	2014	2015
During the voluntary period (treasury)	90,78	91,11	92,00	89,41
During the voluntary period (SUMA)	91,21	90,06	90,04	90,63
During the enforcement period (SUMA)	92,52	91,46	87,51	32,42[6]
Self-assessments	-	-	100,00	100,00

Sanctioning system	2013	2014	2015
Percentage imposed by PDA	80,31%	76,54%	78,46%
Amount collected	2.590.640,00 €	2.313.620,00 €	2.267.811,00 €

The previous data show how the **global system** is adopting new tools, we can see that during the first year there is a boom to use new elements and then it is settled down.

Other relevant economic data

Economic Transparency (Transparency International Index for municipalities -ITA)	It was 14,3 in 2012 and it achieved 81,8 in 2014
Complaints filed	Decreasing from 88.930 in 2013 to 17.242 in 2015
Payment average period	Decreasing from 69 days in 2012 to 33 in 2015
Indebtedness level	Decreasing from 102,1% in 2012 to 75,6% in 2015
Local debt amount	Decreasing from 130.604.414,22 € in 2012 to 87.530.683,09 € in 2015

This table gathers the main results, after some efforts done on particular items: for example, a huge effort was done to enhance the information published on the webpage and so ITA score has increased, or also for example, the fact of using more electronic devices which reduces the time taken to pay invoices.

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[6] Still collection for another year

2. The implemented improvement or change project after the CAF self-assessment, leading to the results mentioned

The treasury department was an old-fashioned department which had not been the subject of many changes for many years. It has been only since 2006 when the new Treasurer arrived that a new system began to be implemented based on managerial and organisational techniques. A first strategic plan was implemented from 2010 to 2012 and many changes took place and it was in 2013 when the management team realised that the organisation was mature enough to take a step further. A self-assessment was carried out and a second strategic plan was developed, so in some way all the improvements have to do with Criterion 2.

Affecting Criteria 1, 2, 3 and 4

In order to achieve better results in surveys (satisfaction and work climate) and a lower number of complaints, an **information exchange system** was established that included:

- the system of surveys itself, to collect relevant data;
- regular group meetings and two professional social communities to collect concerns, get feedback and communicate activities with: employees, politicians, other departments, partners, suppliers of software and colleagues working for other public administrations;
- a new system of complaints and suggestions to collect citizens' concerns.

The establishment of regular surveys and meetings has been a cornerstone for almost all our activities: for the innovation field with improvement teams (software, payment methods, SUMA, and others), for interchanging information with all the stakeholders mentioned and it has also been the best way to collect new suggestions and listening to the different needs and complaints. We also decided to gather better information

about different items of our interest by means of creating two social communities related to quality management to get in touch with other colleagues and share experiences with them.

To implement both systems (surveys and meetings), the management team established **a calendar** and presented it to local authorities who ratified the agreements in official documents. In the case of **surveys**, the technical specifications were fixed, budgets were requested and contracts were

awarded, surveys were carried out and conclusions were met, and so is done every year since 2013. In the case of **meetings**, there is a different frequency depending on the stakeholders. For example, meetings with employees individually take place once a year and in groups several times a year, while meetings with politicians are held once a week. Suppliers of software are

invited more frequently when implementing new tools and less frequently during the rest of the year. Regarding **the social communities**, it is advisable to publish at least one **subject** a month. For all these three items, one of the managers is responsible for arranging meetings, prepare contracts and publish the threads.

The **obstacles faced** were: 1. None of the persons in the self-assessment team had done something similar before and they felt strange judging the facilities and the work done. So it was necessary to explain how this was going to help in the evolution of the department, 2. Nobody was used to the system of regular meetings and sometimes it was difficult to establish a date for a meeting. It was through insistence that meetings were held, 3. Customers did not want to collaborate with surveys during the first year (as they were reluctant to give that kind of opinions). More explanation than the one we offer today was needed before filling the surveys. 4. Employees do not use very frequently the social communities, but they do read everything that is posted. In this field, we cannot talk about mistakes. What we have done is to work with the PDCA cycle and, for example, we have added new questions or changed the text in the surveys carried out both with citizens and employees to gather information that is more accurate.

Affecting Criteria 2 and 3

In order to achieve better results, specifically in staff surveys, a **training plan** was also defined as big concern in the strategic plan abovementioned and **an Employee Handbook** was designed, as both aspects had been neglected during many years by previous managers.

A calendar for general training was not necessary in this case, as the application period corresponds to the Human Resources Department. The field to work here was **to focus on developing individual skills**, so the managers assessed individually which were the abilities to enhance in each case. Apart from that, there was a specific training programme for the Department and the self-assessment team on quality matters and **introducing CAF 2013** that was agreed with AEVAL (the National Agency for supporting and evaluating public policies and programmes). A calendar was established so that everybody could attend the training without interfering in the day-to-day work and Mr. Cuellar (the national CAF correspondent at the time in Spain) provided the training. One of the managers was in charge of the conversations with AEVAL and preparing the Employee Handbook. The other managers coordinated the rest.

The factors of success are probably and mainly the **gradual empowerment and the specialisation** in certain processes of some employees. The obstacle instead was always found when an innovation was going to be implemented and some of the employees **resisted to change,** as they never received a financial reward. But soon they saw how the measures taken improved the performance and how

their colleagues were progressing. Another very relevant obstacle is that the training policy is ultimately depending on the **Human Resources Department**, so even if the management team advises and recommends, not all the employees are selected to be receive training every year.

Affecting Criteria 2 and 5

There are two points to mention:

1. To improve the service offered to citizens, it was thought as a basic item to develop **a Services Charter** to enable to define customers' rights and explain how their complaints will be handled.
2. On the technological aspect, **an advanced management and payment system** was the unique scope for several strategic goals:
   - **New payment systems with online services available for the citizen** that would facilitate the task of paying taxes, other fees and self-assessments. In the **corporate cash dispensers,** an innovation has been implemented. It is now possible to pay taxes and fees with direct connection with the bank, transferring all the files to the treasury department directly incorporated into the management and payment registration software without the intervention of any person. **Payment gateway** and **an app with catches** are the other two new systems.
   - Simplified processes.
   - Accessibility by electronic means to all processes on the website.

For the Services Charter: bench learning and brainstorming prepared the charter and one of the managers conducted all the process until publication in 2013. The revision is scheduled for 2016 and the Treasury will apply for certification.

The rest of activities have been coordinated through improvement teams were seven suppliers of technology have been involved: from software to apply for a course to software to post the revenue and ranging from file managers.

It has been a hard task to coordinate all the suppliers and bring them together to produce an integrated system which unites different steps: application and processing of administrative files, issue of self-assessment and acquittance (document that permits payment), booking, paying, transfer to the bank, standardisation of type of income, transfer to the Treasury department, registration in the tax management software tool and post of the revenue. In a certain way, the fact of working so close has brought about greater cohesion among all the stakeholders.

This time **all the managers were involved in the improvement teams** scheduling, preparing files and looking for new solutions to progress in the project. As the time goes by, new innovations have been

incorporated along the process improving in different ways the payment systems, the simplification of processes and different possibilities for accessibility. In these cases, a meeting of the improvement team is arranged and new decisions are incorporated to the strategic plan in the short term.

Sometimes the problem was technological and it has caused delays in execution, but in the end, we are all managing very well, as the products are available for citizens and they include new advantages every time a new goal is reached.

Affecting Criterion 4

A way to enhance our relation with partners and stakeholders and offer a better service was through **public-private agreements** after the initial service contracts that had been signed with SUMA, Caixabank and Hidraqua.

With the passing of years several partnership agreements have been added, such as the transfer contracts with SUMA (the cession of PDAs[7] for sanctioning regime and cession of a corporate cash dispenser), Caixabank (advanced telematic payment systems) and Hidraqua (agreements to incorporate payment through corporate cash dispensers).

The beginning was the usual relationship between Public Administration and the service provider. Now we call them partners or allies. In all cases, the starting point was the public bidding and working in the improvement team meetings created alliances in order to enrich each other experiences. **The implemented innovations** can now be transferred and used in other public administrations as it's already happening in other Town Councils that are adopting our systems in a

modular way, as for example in Torre Pacheco, San Javier, Sabadell, Azuqueca de Henares, Sant Joan d'Alacant, Cieza, San Vicent del Raspeig, El Vendrell, Puerto de Santa María o Elda. At the moment, other administrations and public-private bodies are also interested in our projects.

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[7] PDAs are Personal Digital Assistants used by police officers to impose fines.

3. Description of the prioritisation approach that led to the chosen project

Once the first self-assessment was carried out, suggestions were made which would affect all the enablers' criteria. It was then the time for the management team to analyse all the proposals and take the appropriate decisions for quality improvement. On the one hand, they took into consideration in which fields they would strategically obtain better results according to their vision. On the other hand, they considered the feasibility of required actions and they also weighed the advantages and disadvantages of the different tools available.

Then they delivered their plan to local authorities and the strategic document was ratified. Improvement teams started working. The management team and two more employees formed the team for the Services Charter. Another improvement team coordinated actions with SUMA with periodic meetings almost every week. A third team coordinated all the payment systems where different software companies usually gather with the management team and also by their own to complete the actions discussed on the session agendas.

From that moment on, every year the same process was followed gathering information not only from the second self-assessment, but also from individual and group meetings, surveys and the results in the balanced scoreboard.

PART 2: The prioritisation methodologies

Prioritisation methodology
The EIPA approach.[1]

Introduction

For a successful implementation of the Common Assessment Framework, many public sector organisations follow the 10-step process as defined in the CAF 2013 brochure, that covers the 3 major phases of the implementation: the start of the CAF journey, the self-assessment process and the improvement planning and implementation.

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

Based on the CAF model, the TQM diagnosis of the organisation is made and besides this, also various areas of improvement are discovered across the 28 Sub-criteria of the model. Concrete proposals for actions to tackle these areas of improvements (some call them weaknesses) are

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[1] The EIPA approached is based on the Belgian prioritisation methodology, developed by Jean-Marc Dochot and Patrick Staes. A number of additional features have been elaborated by Patrick Staes and Nick Thijs from the European CAF Resource Centre.

formulated. Some self-assessment reports contain more the 100 proposals for actions. But at a certain moment choices have to be made in a rational way, options have to be taken for the future. It would be a signal of bad management to try to go for everything. Unfortunately, this reflection remains often a relic of the old Weberian bureaucratic administrations were everything had to be perfect but at the end many things did not work. Making no choices would be very inefficient but making choices is not easy. In one of the previous CAF studies, CAF users indicated that they struggled a lot with this decision making process because they were lacking a sound and operational methodology. Nevertheless, in **step 7** the moment comes to draft conclusions and to launch an action plan. During step 5 indications have already been given in what direction solutions should go but the final choice needs special attention in the beginning of step 7.

Objective of the methodological approach. The way to the final decisions should be systematic but simple at the time. Management and members of the Self-Assessment Groups(s) are involved in different stages and create a common platform for change in this way.

Definition of the relevant areas of improvement for each sub-criterion of the CAF by the Self-Assessment Group (SAG) during the self-assessment process and the formulation of proposals for improvement actions

During the self-assessment consensus meetings, the SAG agrees for each sub-criterion on the strengths, areas of improvement and proposals for improvement actions. Some strengths might need to be further improved but that should be mentioned as a specific area of improvement. In the EIPA approach, the SAG is invited to bring on the table their expertise to propose adequate improvement actions for the most relevant improvement areas. Managers welcome self-assessment reports indicating what should be improved but they appreciate even more concrete suggestions for solutions.

Sub-criterion	Strengths	Areas of improvement
1.0	1. 2. 3. 4.	1. 2. 3. 4.
Score	Proposed Improvement Actions: Action 1: Linked to area of improvement 2 because this area was considered to be one of the most important to be improved. Action 2: Linked to area of improvement 3 because this area was considered to be one of the most important to be improved.	

Members of the SAG are invited to formulate improvement actions for what they consider to be the most relevant improvement areas in relation to the achievement of the mission and vision of the organisation. This means that a first selection of critical areas for improvement is done by the members of the SAG who have an in-depth knowledge of the state of the art of the sub-criterion as they prepared the analysis individually and discussed it during the consensus meeting in group. This is not very easy to be done, especially not for the first time, as analysing managerial practices and formulating improvement actions is not exactly a required core competence for the normal civil servant.

Nevertheless, clear wording at this stage is very important for the rest of the selection process. Very often it happens as illustrated below:

...From statement to action...

Statement - Discussion — During a discussion lots of elements are mentioned, it is key to distinguish between different elements, see the interconnection and to capture and understand them.

Area of improvement — Some statements are rather large, ambiguous and cryptic. It is important to clearly identify the area of improvement.

Action — To improve, the area of improvement needs to be translated into a concrete improvement proposal or an action.

Improvement actions should be formulated in a **SMART** way**:**

- **Specific:** in line with the most relevant areas of improvement.
- **Measurable:** it must be possible to measure the progress in the execution of the action.
- **Acceptable:** all stakeholders, especially managers and staff, support the action.
- **Relevant:** as they are linked to the most relevant area of improvement, the actions will have the potential direct or indirect impact on the organisational performance.
- **Time(bounded)**

In this stage, the actions proposals should not be formulated too much into detail as later in the process, they shall be collected, sometimes integrated with each other and/or rewritten.

1. The prioritisation fase: a selection of the Quick Wins and Key improvement Actions by the management and the members or representatives of the SAG. The standard approach

By preference, managers and all members of the SAG meet during a one- or two-day seminar to select the most appropriate improvement actions for the coming 2 years.

Priorisation methodology
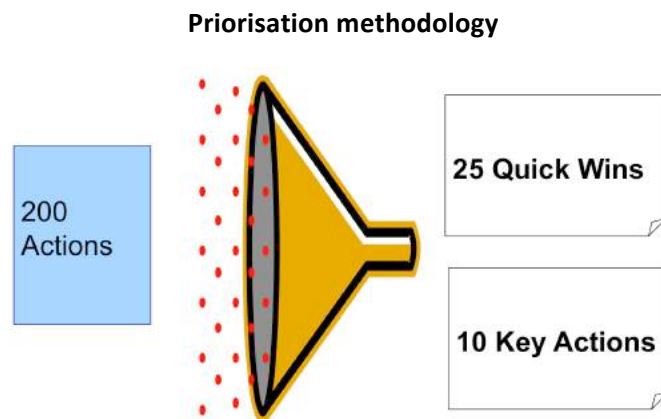
1. Preparatory work: screening and cleaning of the action list

All the proposed actions, linked to the most relevant areas of improvement of the different sub-criteria of CAF, are listed. The CAF project leader or the SAG chair receives the mandate from the SAG to make this list coherent and consistent: actions related to similar areas of improvement are integrated, eventually through reformulation, to complex actions are simplified or split into different actions etc. All this is done in respect with the original proposals so that no valuable ideas are lost. Trust is a condition sine qua non for every change process and for CAF in particular. Confidentiality and respect for the input of the members of the SAG are crucial.

2. Selection of the Quick Wins

In the first part of the seminar, the project leader creates mixed groups of managers and the members of the SAG(s). By preference, staff will not be in the same group as their direct superiors to assure open discussions. These groups **go through the actions list** and select actions they consider to be Quick Wins**.** Quick Wins are actions that can be realised easily and quickly (within a few weeks) and encourage staff to implement actions that are strategically more important but also more difficult. In the plenary session, the results of the working groups are compared and a consensus on the Quick Wins is build up. The Quick Wins will not be taken further in the prioritisation methodology, they do not need to be weighed on their strategic importance or feasibility as it is decided to execute them in a short delay. It is very important that this selection of Quick Wins is done in a serious way as management and staff engage themselves to implement them. It is absolutely to be avoid that proposals for complex and in depth actions with great impact come on the Quick Win list.

3. Define the Strategic Weight of the actions (SW)

Once all Quick Wins are taken out of the action list, the remaining actions will be first evaluated on their strategic importance. As mentioned before, during the self-assessment, a first selection of actions per sub-criterion has already been done as only actions in relation to the most important areas of improvement are maintained for further discussions.

In the actual phase, managers and members or representatives of the SAG, deepen out the strategic importance of the prosed actions based on 4 criteria they have to score: the impact of the action on the citizen/customer, on the staff, on the internal results and on the social responsibility. By preference, they evaluate the impact in mixed working groups and find consensus on the results of the working groups in the plenary session. The impact on citizen/customer, staff and internal results have the same importance, they have the same weight. The impact on the social responsibility has a lower weight.

The impact on citizen/customers (IMCC) has to be scored from 1 (= minor impact) to 4 (= major pact). To score, different aspects can be taken into consideration such us the impact on the quality of output and outcome, on the satisfaction of the citizen/customer, on the visibility of the organisations' performance etc. Organisations are free to involve the aspects they consider to be of the highest importance regarding the IMCC.

The impact on the staff (IMST) follows the same scoring logic: from 1 (= minor impact) to 4 (= major pact). Aspects to be taken into consideration can be: the impact of the action on the performance of staff, their motivation and satisfaction etc. Organisations are free to involve the aspects they consider to be of the highest importance regarding the IMST.

The impact on the internal results (IMIR) also follows the same scoring logic: from 1 (= minor impact) to 4 (= major pact). What are the consequences of this action regarding the management of the resources, the partnerships and the processes etc. Organisations are free to involve the aspects they consider to be of the highest importance regarding the IMST.

Regarding the impact on the social responsibility of the organisation (IMSR). Here it is only important to know whetever there is a (positive) impact or not: score 0 no, score 1 yes. Does the action has a positive impact on sustainable development, on socio-economic issues beyond its core business, on ethical behavior etc.

The Strategic Weight of the action is defined by adding the 4 scores: from 3, very little strategic importance to 13, huge strategic importance.

The scoring of the Impact of an improvement action on the citizen/customer (IMCC), the staff (IMST) and the internal results (IMIR) has to be done from a broad holistic perspective and not based on a simple one to one cause/effect relation. Actions directly linked to citizens/customers can e.g. also have a great impact on staff and vice versa or even on the internal results.

Table 1: An example of evaluating the Strategic Weight of the proposed actions

N°	Sub-crit.	Proposed improvement actions	CAF Score	Strategic weight SW				
				IMCC	IMST	IMIR	IMSR	SW
1	3.1	Build up a recruitment system for internal and external experts within 6 months	30	2	3	3	0	**8**
2	3.1	Develop a competence identification and measurement system	30	1	4	2	0	7
3	3.3	Do bench learning on internal communication and dialogues and decide what action to undertake	35	1	4	4	0	**9**
4	3.3	Implement the 360° evaluation system on the top and middle management	35	1	2	3	0	6
5	9.1	Develop a system to better monitor output and outcome indicators	31	4	2	3	1	**10**
6	9.1	Create a coordination council with partners on strengthening cooperation	31	2	2	3	1	8
7	9.2	Analyse and improve the financial planning system, including risk management	20	1	1	4	0	6
8	9.2	Develop project management in the different activities of the organisation	20	3	4	4	0	**11**

4. Define the Ease of Implementation of the most important actions (EIM)

In the next step, we continue examining the proposed improvement actions with the highest strategic **weight.** Every organisation can define for its own the minimum score that is needed for an action to be further taken into consideration but in general only actions with a strategic weight of 8 and higher should be further discussed. Before any decision can be taken on which action out of the most important will be chosen to be implemented, it is important to have an idea of the feasibility of the action.

As in the previous phase, managers and staff will discuss in working groups the feasibility of the actions based on 3 criteria: the level of difficulty of the action, the resources needed and the speed of realisation. They will find consensus on the results of the working groups in the plenary session.

The Level of Difficulty (LD) has to be scored from 1 (= very difficult) to 4 (= very easy). Different aspects can be taken into consideration such as the level of complexity, the level of interdisciplinary, the scope of the implementation of the action (it concerns the entire organisation or just a part of it) or the process of implementation (first via a pilot project or immediately deployed throughout the whole organisation).

The Resources Needed (RN) have to be scored from 1 (= many) to 4 (= very few). This can be resources of a different nature e.g. internal resources of the organisation, with or without extra training, support from horizontal or logistics services from the public sector, support from private consultants, financial or technical resources etc.

The Speed of Realisation (SR) has to be seen in addition to the level of difficulty and the needed resources but at the same time as a kind of an integrator of both aspects. This criterion has to be scored from 1 (very slow) to 4 (= very fast). A guiding example could be: score 1 Long term (= 2 years), score 2 Medium term (= 1 year), score 3 short term (= 6 months) and score 4 very short term (= 3 months).

The Ease of Implementation of the action is defined by adding the 3 scores: from 3, very difficult to realise to 12: very easy to realise.

Table 2: An example of evaluating the Ease of implementation

N°	Sub-Crit.	Proposed improvement action	CAF Score	Ease of implementation			
				LD	RN	SR	EIM
1	3.1	Build up a recruitment system for internal and external experts within 6 months	30	3	2	3	8
2	3.3	Do bench learning on internal communication and dialogues and decide what action to undertake measurement system	35	4	3	4	11
3	9.1	Develop a system to better monitor output and outcome indicators	31	2	2	1	2
4	9.2	Develop project management in the different activities of the organisation	20	2	2	2	6

5. Define the priority of implementation (PIM)

Now that the strategic weight and the feasibility of the most important actions are known, the priority of implementation has to be defined. It gives an indication of the extent to which the proposed action has to be taken into consideration for the final choice. A score from 1 (low priority for implementation) to 4 (high priority for implementation). **How to define the PIM?**

Step 1: Make the total of the Strategic Weight and the Ease of implementation of the actions with the highest SW as defined before. The maximum score is 25 (13 + 12).

Step 2: All the actions with a total score higher the 20, are very important actions that can easily be implemented. They are called **starters**. They automatically receive the highest PIM score 4 and will be seriously taken into consideration for the final choice.

Step 3: It is obvious that most of the actions will not score higher than 20, meaning being very important and at the same time easy to be implemented. That would be very unrealistic. Some can be very easy to be implemented but not of the highest importance. Other can be very important but demand a lot of efforts to be realised.

How to select the other actions that should that should be seriously taken into consideration for the final choice and give them a high PIM score of 3 and 4? First identify amongst the actions with a score lower then 20, the actions with the highest Strategic Weight. Some of them might have a low score on the Ease of Implementation, which means that they might be difficult to be realised. Nevertheless, this should not be an argument not to give them a high PIM score. An important indicator for the PIM score is the CAF score for the related sub-criterion. A low CAF score might be an argument for a high PIM score, despite the high difficulty rate as it indicates that there is a great need for improvement. But also other aspects may have an impact on the definition of the PIM e.g. the priorities of the governmental programme on Public Administration Reform, the link with rolling improvement programs in the ministry etc. Defining the PIM is not just a calculation. Mangement and staff are invited to reflect, discuss and make strategic choices. With the available information on the Strategic Weight of the action, the Ease of Implementation, the CAF score and other stakeholder's needs, they are well armed to do so in a rational way.

As in the previous phase, managers and staff will discuss in working groups the PIM of the action and find consensus on the results of the working groups in the plenary session, creating a list of PIM scores for all the proposals for improvement actions.

Table 3: An example of defining the PIM

N°	Sub-Crit.	Proposed improvement action	CAF Score	SW	EIM	TOT	PIM
1	3.1	**Build up a recruitment system for internal and external experts within 6 months**	30	8	8	16	3
2	3.3	**Do bench learning on internal communication and dialogues and decide what action to undertake measurement system**	35	9	11	20 starter	4
3	9.1	**Develop a system to better monitor output and outcome indicators**	31	10	5	15	4
4	9.2	**Develop project management in the different activities of the organisation**	20	11	6	16	3

6. Make the final choice of the improvement actions that will be implemented

The final choice of the key improvement actions will be done amongst the improvement actions with a PIM score of 3 and 4. It is strongly recommended not to go for more the 10 improvement actions to be implemented in the coming 2 years but it is up to every organisation to estimate its own capacity for change.

Table 4: An example of the final table

N°	Sub-Crit.	Proposed improvement action	CAF Score	SW	EIM	TOT	PIM	Chosen action
1	3.1	**Build up a recruitment system for internal and external experts within 6 months**	30	8	8	16	3	
2	3.3	**Do bench learning on internal communication and dialogues and decide what action to undertake measurement system**	35	9	11	20 starter	4	x
3	9.1	**Develop a system to better monitor output and outcome indicators**	31	10	5	15	4	x
4	9.2	**Develop project management in the different activities of the organisation**	20	11	6	16	3	

In annex 1, an integrated prioritisation table is presented.

2. The prioritisation fase: a selection of the Quick Wins and Key improvement Actions by the management and the members or representatives of the SAG. The concentrated approach

The standard approach presented under chapter 1 is the more rich and deepened approach and forces management and members or representatives of the SAG to reflect on the different criteria for the strategic weight and the ease of implementation and to score them. In case there are many proposals for improvement actions to be discussed, this might demand a considerable investment in time and analysis.

The concentrated approach presented in this chapter allows to go faster without neglecting the different aspects of the decision making but not analysing and scoring them one by one. After the selection of the Quick Wins, **only one score will be given for the Strategic Weight from 1 (= an action with low strategic importance) to 10 (= an action with very high strategic importance)**, globally reflecting on the impact on citizens/customers, staff, internal results and social responsibility. In this approach, only actions with a weight of 7 and higher will be taken further for the analysis of their Ease of Implementation. **Also for the Ease of Implementation, only one score**

will be given from 1 (= an action that is very difficult to be implemented) to 10 (= an action that is very easy to be implemented) globally reflecting on the level of difficulty, the resources needed and the speed of realisation.

Adding SW and EIM gives a maximum of 20. Actions with more than 14 are considered to be starters and receive automatically the PIM 4. Defining the PIM for the other actions is done in the same way as in the standard approach, as well as the final decision making on the chosen improvement actions.

Table 5: The prioritisation table is of course much simplified this approach

N°	Sub-Crit.	Proposed improvement action	CAF Score	SW 1-10	EIM 1-10	TOT 20	PIM 1-4	Chosen action
1	3.3	Do bench learning on internal communication and dialogues and decide what action to undertake measurement system	35	7	9	16	4	x
2	9.1	Develop a system to better monitor output and outcome indicators	31	9	4	13	4	x

3. The prioritisation fase: a selection of the Quick Wins and Key improvement Actions by the management and the members or representatives of the SAG. The concentrated approach including policy decisions by the political decision makers.

In the standard approach, the policy decisions on public management or administrative reforms are taken into consideration when relevant at the moment the PIM has to be defined (see point 5 step 3). Some organisations want to include the evaluation of the link between the proposed improvement action and the policy decisions more explicitly in the strategic weighing of the action. To satisfy their need, an extra column can been added to the concentrated approach, splitting the strategic weighing into 2 parts: 50% of the score will be given to the level of connection of the action with the policy decisions (to what extend joins the proposed actions the policy of the political decision makers) and 50% for the impact on citizen/customer, staff, internal results and social responsibility.

Table 6: In this approach, the table will look as follows

N°	Sub-Crit.	Proposed improvement action	CAF Score	Link policy decisions 1-10 x 50%	SW 1-10 x 50%	EIM 1-10	TOT 20	PIM 1-4	Chosen action
1	3.3	Do bench learning on internal communi-cation and dialogues and decide what action to undertake measurement system	35	4 x 50% = 2	7 x 50% = 3.5	9	14,5	3	
2	9.1	Develop a system to better monitor output and outcome indicators	31	9 x 50% = 4,5	9 x 50% = 4,5	4	13	4	x

The prioritisation seminar

The prioritisation of the proposed improvement actions are first of all the responsibility of the management of the organisation. They receive the self-assessment report from the Self-Assessment Group that explains the major findings on strengths and areas of improvement of the organisation and what the SAG considers to be valuable suggestions for improvement actions.

Sometimes part of the management is involved in the self-assessment process and shares the outcome with the other managers. But often the discussion on the self-assessment report is the moment when management joins the CAF process again after the launching of the process months ago. As they have not always gained the same insight in the different aspects of the functioning of their organisation as the members of the Self-Assessment Group who really analysed the organisation into depth, it might be difficult for them to understand the underlying reasons for a number of proposed improvement actions.

This is way the EIPA methodology is very much in favour of bringing together top- and middle managers in a one- or two-day seminar to discuss the outcome of the self-assessment in mixed groups and plenary sessions. Experience learned that this meeting is highly appreciated by the staff as it is often the first opportunity they have to discuss with their management openly on organisational issues and strategic options to be taken for the future. But also for the managers, this kind of a seminar is often an moment of corporate discussions on the improvement of the whole organisation and not only the part of the organisation they are responsible for. This silo breaking exercise opens new perspectives for staff as well as for the leadership of the organisation. Both will be responsible anyway for the successful implementation of the improvement plan they decided on.

Discussions between staff and management are very enriching but at the end, the management committee or the board of directors will have to take the final decisions. The seminar can be seen as the last preparatory stage. The active support and engagement of the top manager in the seminar and the final decision making can therefore not be underestimated.

				Strategic weight (SW)					Ease of implementation (EIM)				TOTAL SW+ EIM	PIM	Chosen actions
N°	**Sub-Crit.**	**Proposed Action**	**Score CAF**	IMCC	IMST	IMIR	IMS	SW	LD	RN	SR	EIM			
	1.1	Update the vision and mission with participation of all the employees	34-40												
	1.2	Introduction and application of the CAF model.	30-35												
	1.3	Motivate and reward employees for good individual or team work	25-30												
	1.4	Etc.	40-45												
	2.1	Etc.	31-35												

Application file: prioritise improvements actions

ORGANISATION XXXXXXXX

Prioritisation methodology
The Italian approach[1]

The first step in the process of drafting an improvement plan is to rationalize the results described in the Self-Assessment Report (SAR), in order to better understand how to make use of them. As a matter of fact, a good SAR can highlight numerous strengths and weaknesses with respect to the 28 sub-criteria of the CAF model, from strategic issues to the operational ones. In most cases, the available resources are not sufficient to implement all the improvement actions. Focusing the attention on the crucial improvements (the so-called vital few) allow to adequately target the factors with the greatest impact on the organisation's performance and on its ability to achieve the strategic objectives. By consequence, it is fundamental to define the importance of the potential improvements identified during the self-assessment phase (define priorities) and to use a structured method to select the priorities for action.

How to identify priorities based on the Self-Assessment Report (SAR)?

This chapter illustrates the method of selection of priority areas for improvement. This method not only makes direct reference to the fundamental components of the CAF model, but also introduces several innovative assessment tools. It has been disseminated in the form of guidelines and applied in a large number of schools and in other public administrations in Italy.

The method includes five phases:

- **Phase 1**: Analysis and aggregation of the results of the self-assessment to select strengths and weaknesses of the organisation.
- **Phase 2**: Use of the 'Relevance-Value' matrix in order to graphically show the results of the self-assessment, underlining the significance of each single sub-criterion and its score.
- **Phase 3**: Identification of possible improvement initiatives on priority areas detected through phases 1 and 2.
- **Phase 4**: Identification of a hypothesis of priorities of intervention based on the concepts of relevance and feasibility of the actions.
- **Phase 5:** Decision on priorities of intervention.

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[1] The Italian National Correspondent.

Activities identified in the first two phases are completely in charge of the Self-Assessment Group (SAG) which, in phases 3 and 4, can be integrated with representatives of the sectors potentially involved in improvement activities, if the manager considers it appropriate. The manager can closely monitor all the different phases of the process or delegate their implementation to the SAG, ensuring his support and availability to meet the group. He must participate to the definition of Critical Success Factors (CSF), to the assessment carried out with the 'Relevance-Value' Matrix (Phase 2), and approve the results of all these activities. The decision on priorities of intervention (Phase 5) is an exclusive competence of the manager because of its overall knowledge of the organisation, its responsibilities in managing the organisation and defining strategic plans and objectives.

Phase 1

What: Analysis and aggregation of the self-evaluation results

Who: SAG

The starting point is the SAR, articulated according to the CAF model criteria, and containing for each sub-criteria:

- Strengths
- Weaknesses
- Areas for improvement
- Ideas for improvement
- Score and evaluation

The SAG reviews strengths and weaknesses for each sub-criterion and implements a cross-sectional analysis of the different criteria of the model, searching for connections (for example between the enabler 3 related to human resources and the result 7) and causes of the identified weaknesses. For instance, the analysis can classify weaknesses related to each sub-criterion according to three characteristics:

1. **Recurrence:** when a weakness appears in several sub-criteria. It is appropriate to indicate the sub-criteria in which the recurrence appears.
2. **Strategic importance:** when a weakness is important because it has a potential impact on policies and strategies of the organisation
3. **Operational importance:** when a weakness is connected to a particular process of the organisation and/or has limited impact to that process.

The output of this phase is a first synthesis of the weak points. It is not a scored list but just a list of the weak points classified according to their recurrence, strategic and operational importance. The most relevant weak points in this case are the recurrent and strategic ones. This will be useful later when there will be the classification of criteria according to the relevance value matrix.

Table 1: An example of the list of weak points

Sub-criterion[1]	Weak Points[2]	Score[3]	Recurrent[4]	Strategic[5]	Operational[6]
1.1	Lack of communication	38,75	x	x	
1.2		68,50			x
1.3		56,25			x
1.4		60			x
2.1		66,25		x	
2.2		67,5		x	
2.3		67,5		x	
2.4		70			
3.1	Lack of communication	42,5	x	x	
3.2		65			
3.3		62,5			
4.1		70			
4.2		57,50			
4.3					
4.4		65			
4.5		60			
4.6		65			
5.1		70			
5.2		70			
5.3		63,75			

[1] In this column there is the list of all the criteria

[2] In this column there is the list of the weak points related to each criterion

[3] In this column there are the scores given during the consensus meeting to each criterion

[4] The weak point is classified according its recurrence: when a weakness appears in several sub-criteria

[5] The weak point is classified according its strategic weight: when a weakness is important because it has a potential impact on policies and strategies of the organisation

[6] The weak point is classified according to operationality: when a weakness is connected to a particular process of the organisation and / or has limited impact to that process.

6.1		**55**			
6.2		**60**			
7.1	Lack of communication	**10**	**x**	**x**	
7.2		**35**			
8.1		**35**			
8.2		**35**			
9.1		**75**			
9.2		**65**			

Phase 2

What: Use of the 'Relevance - Value' matrix

Who: SAG and Manager

Through this phase it is possible to link the score attributed to each sub-criterion (Value) to the importance that it has for the organisation (Relevance). In order to define the relevance, the first step is to identify the **Critical Success Factors (CSFs),** namely the essential conditions which, if implemented, would allow the success of the strategies of the organisation and the achievement of the most relevant results. The Manager must collaborate to the identification of the CSFs.
The inspiration for defining the **CSF** are the mission, vision and strategic objectives of the organisation.

Here are **some examples of CSFs** (indicatively they have to be between 4 and 6). Others can be identified, but they have always to be connected to the mission, vision and strategic objectives the key factors of the organisation:

    a. Customer/citizen satisfaction
    b. Efficiency of the structure (or cost reduction or productivity growth)
    c. Motivation and employee satisfaction (or competences)
    d. Diversification of the services (or introduction of new services)
    e. Added value to the social environment
    g. ...

As a support to identify the CSF, the SAG and the Manager can use the table below:

Table 1

Strategic objectives of the organisation	Enablers for the achievement of each objective
Example: X % Increase in students' scores in the evaluation test / in tests administered by the school at the end of the school year	Sharing of the educational programme Improvement /reformulation of the training plan for teachers Introduction of new technologies …

Subsequently, the SAG and the Manager assess the importance (in terms of contribution) that each sub-criterion has for the achievement of the CSFs identified, considering the scale below:

Table 2

Criteria for assessing the significance/contribution of the sub-criteria to CSFs		
High relevance	**Medium relevance**	**Low relevance**
3 POINTS	**2 POINTS**	**1 POINTS**
The sub-criterion provides an important contribution to the Critical Success Factor	The sub-criterion provides some contribution, however, clearly perceptible to the Critical Success Factor	The sub-criterion provides little or no contribution to the Critical Success Factor

This assessment of the importance of each sub-criterion for the achievement of the CSF is done after the self-assessment. In our experience the results of the SA have never had an impact on the assessment of their importance for the CSF. Improvement is the main aim of self-assessment and if the organisation pursues this aim during the assessment, the risk that the results of the SA may have an impact on the assessment of the importance of the CSF will not occur.

The given value is noted in the table at the intersection of factor (1,2, ..., n) and sub-criterion.
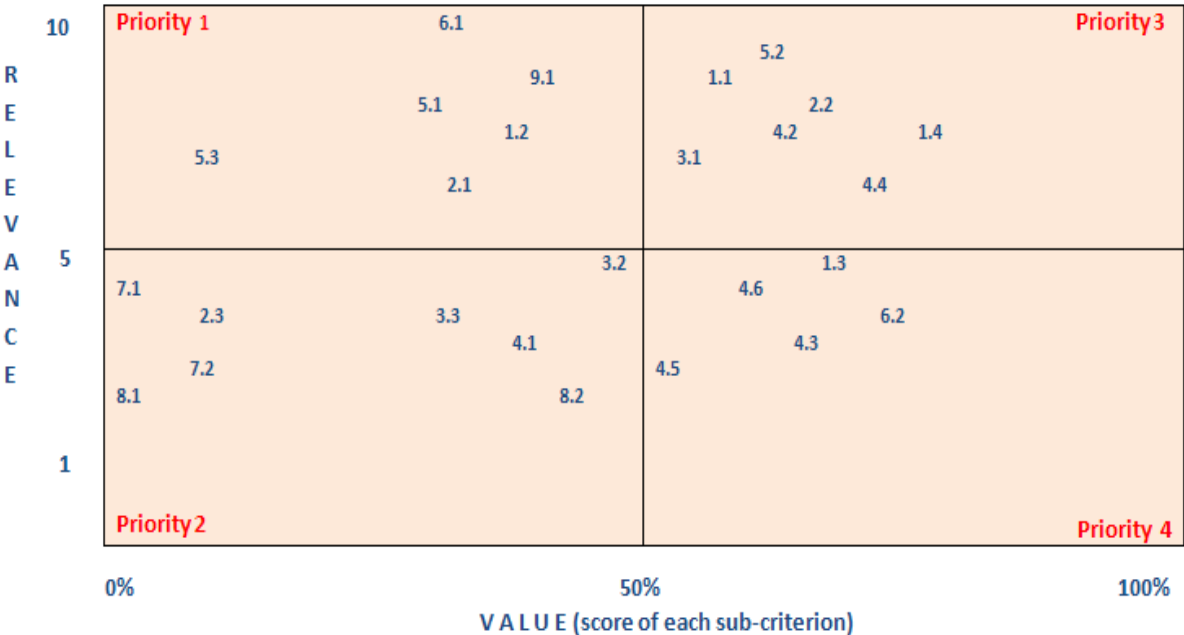
Table 3

Definition of the degree of relevance of each sub-criterion									
Relevance (1: low; 2: medium; 3: high)	**Sub-criterion**								**Total**
Critical Success Factors	**S 1.1**	**S 1.2**	**S 1.3**	**S 1.4**	**S 2.1**	**S 2.2**	……	……	
Factor 1									
Factor 2									
Factor 3									
…………									
Total scores (addition)									
Normalised scores (transforming into base 10 the highest value of the sub-criteria)									

The row **'Total score'** indicates the overall impact of the sub-criterion on all the CFS, and therefore the impact on the elements that determine the success of the strategies and the achievement of results.

The row **'Normalised Scores'** indicates Total Scores base 10 in order to make them comparable with the score of the sub-criteria in the Relevance - Value Matrix. It is a simple mathematical operation that is obtained by placing the highest value of the Total score row equal to 10, and changing all the other scores accordingly.

Figure 1

Example: in the row **Total Scores** of the table, 12 for sub-criterion 1.1, 25 for sub-criterion 1.2, 18 for sub-criterion 1.3, 16 for sub-criterion 1.4, 15 for sub-criterion 2.1, 11 for sub-criterion 2.2, 17 for sub-criterion 2.3, etc. The highest value (25) has to be 10 (by multiplying it by 10/25); all the other values must be multiplied by 10/25 to obtain the normalised value to 10. The normalised values will be respectively: 4.8 (12 * 10/25), 10 (25 * 10/25), 7.2 (18 * 10/25), 6.4 (16 * 10/25), 6 (15 * 10 / 25), 4.4 (11 * 10/25), 6.8 (17 * 10/25) etc.

Along with scores assigned to different sub-criteria of the SAR, total scores for each sub-criterion allow to visualise the priorities as in the example. In the graph, the horizontal axis shows the scores attributed to the sub-criteria of the SAR, the vertical axis the scores (in terms of relevance) assigned to the sub-criteria in achieving CFSs and in the quarters each sub-criterion.

For the sake of clarity, it is best to report the **Normalised Scores** on the vertical axis.

The matrix allows for the analysis of sub-criteria according to four priority classes:

Quarter 1 (top left): Sub-criteria with low Value (score) and high Relevance (priority 1). The themes addressed by the sub-criteria that appear in this quarter are those with **the highest priority given** that they are strategically important issues with high potential and which had **low scores** from the self-assessment.

Quarter 2 (bottom left): Sub-criteria with **low Value and low Relevance** (priority 2): sub-criteria that may be subjected to a later improvement.

Quarter 3 (top right): Sub-criteria **with high Value and high Relevance** (priority 3): sub-criteria with high scores that have to be maintained at this level or that have to be the subject of further improvement for their crucial contribution to the achievement of strategic objectives .

Quarter 4 (lower right): Sub-criteria with **high Value and low Relevance** (priority 4): sub-criteria with high scores but little strategic importance and must therefore be monitored and maintained at this level of efficiency, or possibly even reduced if the use of resources for this maintenance is high.

Conclusion: Firstly, the analysis must focus on the sub-criteria of the quarter 1 and then on those ones of the quarter 2.

Despite being a very effective tool to identify the main areas (sub-criteria) on which to focus, the matrix is not sufficient for the selection of priority areas for action, and thus, it is fundamental to focus the analysis on the segmented data of the sub-criteria located in quarters 1 and 2.

The manager along with the SAG, after having selected the sub-criteria to be examined, **analyses the weaknesses,** with particular attention to those ones which are recurring and strategically important: **the result of this analysis is a preliminary list of weaknesses** (generally between 8 and 15).

Note: in the example, the four quarters are determined by the vertical line on the 50% of the scores and by the horizontal line on the level of importance 5. In the real case, it will be appropriate that these lines are drawn so as to leave the half of sub-criteria to the left, half to the right, half below and half above. The sub-criteria are distributed like that to detect the sub-criteria with low score and high relevance that is to say the sub-criteria where it is necessary to improve. It is always possible if you put the vertical axis and the horizontal axis at a certain stage according to the global value of the scores.

Phase 3

What: Identification of feasible improvement initiatives

Who: SAG

For each weakness that has been chosen, the SAG defines **the possible improvement initiatives** (i.e.: the weakness 'The administration does not have available data on the clients/citizens' satisfaction' can be translated into the following initiative 'Development and implementation of a customer satisfaction survey'; or, the weakness ' The competencies of employees does not appear suitable to the use of ICT' can be translated into the initiative 'Creation of a classification of ICT skills of employees' and 'Preparation of a specific formation plan to decrease the gap between available skills and needed skills').

As a whole, the improvement initiatives that can be achieved vary from 10 to 18, according to the dimension and the complexity of the administration. Some of identified initiatives, which deal with similar or correlated subjects, could be probably gathered (in the second example above mentioned the two initiative, related each other, could get involved in the same improvement project), and so from 10-18 starting initiatives you could arrive to 6-12 initiatives.

Phase 4

What: Identification of a priority intervention hypothesis based on Value and Feasibility concepts

Who: SAG

For each of improvement initiative a form is filled out with the following information:

- Short description of the initiative.
- **Potential contribution**, stated in concise qualitative terms, that the initiative could offer to the administration's policies and strategies, through critical success factors (i.e. specifying on which of these critical success factors it has an impact and the level of that impact).
- Estimate of **resources needed** to realise the initiative in terms of people commitment (months/man) and needed skills, both in terms of costs and investments to evaluate the tangible realisation possibility and the potential critic aspects.
- Estimate of **time needed** in terms of months to complete the project.

On the basis of these data, the SAG completes the following table about the priority levels:

Table 4

A	B	C	D	
Improvement initiatives	**Impact** (1 – 5)	**Feasibility** (1 - 5)	**Priority level** (B*C)	**Realisation timing (months)**
Initiative 1 - ………………. (Sub-criterion ..)				
Initiative 2 - ………………. (Sub-criterion..)				
Initiative 3 - ………………. (Sub-criterion..)				
……………………………………				

1. List of all the improvement initiatives taken into consideration in the column A) Indicating the denomination and the sub-criterion (or sub-criteria) which they are related to.
2. With regards to the column B) **Impact** represents the assessment of the importance of the initiative on the critical success factors of the organisation that have been previously identified and bearing in mind the previously analysis about the relevance of the sub-criterion which the initiative is referred to. On this basis, the SAG assigns a score of relevance from 1 to 5 based on the following table.

Table 5

Evaluation criterion of the parameter 'Impact'		
High impact	*Medium impact*	*Low impact*
SCORE 5	**SCORE 3**	**SCORE 1**
The initiative could offer a relevant contribution to the Critical Success Factors	The initiative could offer some contribution, clearly perceptible to the Critical Success Factors	The initiative could offer a low contribution to the Critical Success Factors

3. **'Feasibility'** is considered as the ability of the administration to implement the improvement initiative that can have a score from 1 to 5 according the following chart, and the data is filled out in the column C of the chart to priority assignment.

Table 6

Evaluation criterion of the parameter 'Feasibility'		
High feasibility	**Medium feasibility**	**Low feasibility**
SCORE 5	**SCORE 3**	**SCORE 1**
• implementation with moderate resources • implementation only with administration's resources • autonomous implementation by the administration	• implementation with reasonable resources • implementation only with administration's resources • implementation depends partially on external constraints	• implementation with considerable resources • implementation depends on external factors that are not under the complete control of the administration • implementation depends completely on external constraints

4. It is important to notice that the term **'Feasibility'** refers to the autonomy degree of the administration and to the availability of the entire amount of the resources that the administration has to use to get the examined initiative done, among which **human resources** (number and skill) and **material resources** (tools, ICT, processes, investment budgeting,..).
5. The priority of every improvement initiative is determined by the multiplication of the value in the column B and C and noting down the resulting value in the column D.
6. The improvement initiatives are listed in a decreasing order of priority. For each initiative, the estimated time for the realisation is noted down.

The results of this evaluation provide information about the priorities that has to be submitted to the management for the final decision and the choice of actions to implement, taking also into consideration the implementation timing.

Phase 5

What: Final decision of the Manager on the priority of the intervention

Who: The Manager

The final decision on the priorities is up to the Director who cannot delegate it, since the choice of the area on which focusing the improvement is a key decision for the success of the organisation.

The SAG presents to the top management the results of the assessment of the possible initiatives and on the assessment of the connected priorities.

The initiatives and the priorities are discussed and the final result is a scale of priority that is shared with the Director who decides how many initiatives have to be launched, considering their impact, the capability of the administration and the time needed to get them done.

Indicatively the number of the initiatives chosen as prioritary could vary from 3 to 5, according to their complexity, the availability of resources and other priorities of the organisation.

Some actions can support the initiatives, because they do not require the elaboration of a structured project plan and can be realised at the end of the self-assessment. They are simple initiatives, Quick Wins, whose implementation allows to give an immediate visibility to the results of the self-assessment process, strengthening the perception of their usefulness among the stakeholders. For example, the presentation of a synthesis of the SAR in the hall, its publication on the website, the arrangement of a format to report the meetings, the decision of sending the meeting memorandum for email are quick win actions.

Prioritisation methodology
The Portuguese approach[1]

Portugal presents its prioritisation methodology in the context of its 'Improvement Plan Template', available on their website, which is a guide to develop improvement plans and contains information on the prioritisation methodology. This support material is used on training sessions. Organisations are free to adapt the content of these guidelines to their own needs.

IMPROVEMENT PLAN

[Identify the organisation's name]

[Insert date]

Model – adapt and add whatever may be necessary]

Executive summary

The executive summary includes the objective and structure of the Improvement Plan and a summary of Improvement Actions (IA) to be implemented.

Framework

Explains the methodology for drafting an improvement plan, without forgetting to refer that these actions have resulted from a self-assessment procedure based on the CAF model.

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[1] The Portuguese National Correspondent.

Self-assessment results

In this point a list of improvement suggestions identified during the diagnosis is shown, and these ones must be aggregated by topics.

Table 1: List of improvement suggestions aggregated by topics		
Topics / Self-assessment team's improvement suggestions	**Topics**	**Stakeholders' suggestions (source: satisfaction surveys)**
	Leadership	
	Planning and strategy	
	People	
	Partnerships	
	Resources	
	Processes	
	Clients	
	Communication	

Improvement actions wide-ranging scope and relevance

Table 1 has contributed to creating wide-ranging actions and Table 2 shall serve to know whether the IAs are relevant taking into account the organisational objectives.

Table 2: Relevance of actions for the objectives	
Organisational objectives	**Improvement actions**

(Add the necessary rows)

Wide-ranging priority improvement actions

Prioritisation criteria

Organisations have to describe their prioritisation criteria for improvement actions. The following criteria can be used to enable the ordering of the improvement actions, according to a priority ranking but they are not compulsory to all organisations.

C 1: **Impact** on organisational performance

C 2: **Capacity** of implementation in terms of time, resources and autonomy

C 3: (Impact on) **clients' satisfaction**

Prioritisation criteria		
Prioritisation criteria	**Points**	**Description**
C 1 **Impact**	5	The IA shall have a significant impact on two or more organisational objectives or performance indicators
	3	The IA shall have some impact on, at least, one organisational objective or performance indicator
	1	It is unlikely that has impact on any organisational objective or performance indicator.
C 2 **Capacity**	5	It may be implemented in the short term. It requires few material or human resources to be attained It may be controlled by the organisation
	3	It is possible to implement in the medium term It requires a reasonable number of resources to be attained It may be controlled by the organisation.
	1	Unlikely to be implemented in the short term It requests a significant number of resources to be attained It depends on the decision or external factors to the organisation
C 3 **Clients**	5	The IA has direct impact on the improvement of the citizen/client satisfaction or service/client.
	3	The IA has indirect impact on the improvement of the citizen/client satisfaction or service/client
	1	Unlikely impact on the citizen/client satisfaction or service/client

Table with improvement actions ranking

Presentation of improvement actions by priority order, according to the scoring obtained.

Improvement actions	Impact (a)	Capacity (b)	Clients (c)	Scoring (axbxc)	Ranking

(Add the necessary rows)

Justification of improvement actions

Justification - improvement action _____		
Criterion	Scoring	Justification of the scoring
Impact		
Capacity		
Clients		

[Fill in a table for each priority improvement action]

Improvements to be quickly implemented (*Quick Wins*)

Identify the action list for quick implementation, referred to as *Quick win*. This type of actions are extracted directly from the Table 1 and <u>are not subject to the subsequent prioritisation process</u>, given that: may be implemented within the deadline of one month; need for a minimum investment on human and financial resources; have effectiveness and quick visibility at collaborators and managers.

Planning of improvement actions

Draft a summary-framework of improvement actions to be implemented (Table 4) enabling to obtain a general and synchronised vision of improvements underway and shall serve to monitor their implementation.

Table 4: Improvement plan execution schedule											
Improvement actions	Responsible for IA	Completion date	Key-activities	Execution schedule							State*
				M 1	M 2	M 3	M 4	M 5	M 6	M 7	
1											
2											
3											
Quick win											
Quick win											
Quick win											

* ● red ● yellow ● green

(Add the lines and columns that are necessary)

Detailed planning of IA

For each priority improvement plan a planning form must be created where the responsibilities, schedule, resources needed, *inter alia* are defined.

Improvement Action form 1

Designation of the Improvement Action		
(Name of the IA)		
Manager in charge	**Coordinator of the action**	**Operational team**
Dominance criterion of CAF	**Stakeholders**	
	(Who is involved in the implementation of the action and who may have interest in the action results)	
Description of the improvement plan		
(What does the action consist of? Brief presentation of the action)		
Objective(s) of the improvement action		
(What is the purpose of the action?)		
Activities to be carried out		
(What the organisation has to do – step by step – in order that the action may be implemented; where the action shall be implemented – what are the organic units covered; who contributes to implementing the action)		
Results to be achieved		
(What is expected to attain with the action? What are the quick results? Measurable goals must be set to assess the results achieved)		
Critical success factors		**Date of start**
(What is essential to guarantee the success of the action, the materialization of results expected (e.g. partnership with other services; collaborators involvement)		(Start-up of the implementation phase that coincide with the first activity to be carried out)

Constraints	Date of completion
(The circumstances that exist or that may arise and that can hinder the action, such as, the resistance to change by collaborators)	(Date in which the action implementation is completed, that coincides with the last activity to be carried out programmed)
Human resources involved (number of persons/day)	**Cost**
(This information serves to assess the cost with human resources needed to implement the action)	(Cost with goods and services)
Review mechanisms/action and dates assessment	
(The review serves to monitor the action implementation; the assessment serves to check whether the results achieved correspond to those expected. In any case, a number of corrections may arise to be introduced in relation to what is planned)	

Prioritisation methodology
The Polish approaches[1]

When considering Polish cases, there are three methods of improvements' selection.

1. Prioritisation based on concrete criteria agreed in advance by the Self-Assessment Group. Those criteria allow to identify possible improvements that were suggested to be implemented. The final decision to implement the given improvement actions was made after taking into consideration the results of areas' assessment. Actions in areas assessed as the most requiring improvement were first implemented. Below the description from 2 introduced cases:

The project was chosen according to the adopted approach that the proposals of the improvements were assessed against 12 criteria agreed by the SAG. These criteria were:

1. Be transparent and understandable
2. Encompass the highest possible number of clients
3. Be universal, multi-area
4. Be cost-free
5. Be easy to implement and execute
6. Give satisfaction to large number of employees
7. Improve the image of the organisation
8. Be fit for purpose
9. Bring tangible benefits
10. Be monitorable
11. Bring new quality
12. Be useful for reaching goals of the organisation

Additionally the general principle was adopted that the first improvements are developed in those areas that scored the least during the self-assessment. In other words the deficiency areas are first to be improved.

2. Prioritisation based on concrete criteria determined by the top management, after taking into consideration to the major goals of the organisation. Below the description from 2 other cases:

Based on self-assessment worksheet listing improvement actions. Prioritisation criteria are determined by the top management, with regard to the primary goals of the organisation: providing

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[1] The Polish National Correspondent.

revenue for the state budget from taxes, to facilitating legitimate business, removing bureaucratic barriers and improving cooperation.

3. Prioritisation based on the decision of the top-management after taking into consideration the result of the CAF self-assessment and familiarisation with the suggestions/opinions of the employees. Below the description from the Tax Chamber in Wroclaw.

The approach that led to the chosen project is based on general rules related to the CAF self-assessment and implementation of the improving action plan binding in the Tax Chamber in Wroclaw. According to these principles:

1. After the self-assessment, the CAF coordinator prepares the meeting aiming to select the improving actions, by filling in the form 'Planning the improving actions on the basis of the self-assessment of the office functioning' – part I, column: 'the areas for improvement' – and on the basis of the management strategic choices, part II.
2. The CAF coordinator, in consultation with the head of office, calls the meeting in order to develop the draft improvement action plan. In the meeting, all members of the CAF team and, if necessary, the other managers or office employees are to participate.
3. Participants of the meeting reformulate all areas to be improved into the improving actions proposal in accordance with the form: 'Planning the improving actions on the basis of the self-assessment of the office operation functioning'.
4. Next, the participants of the meeting attribute to each improving action two scores in the scale from 1 up to 10, i.e. they assess the possible effect of the action on the execution of the priorities, established by the management and the office capacity to implement the action. Prioritisation criteria are determined by the top management, with regard to the primary goals of the organisation: providing revenue for the state budget from taxes, to facilitating legitimate business, removing bureaucratic barriers and improving cooperation. The product of the two evaluations gives the total assessment of the action.
5. After completion of the assessment of all the improving actions proposed, they are organised in decreasing order according to the number of points obtained.
6. The list of at least 5 proposals of improving actions, that gained the highest score, is presented to the office management.
7. The head of office approves at least 3 improving actions from the list for realisation in the current year.
8. The information about the improving actions assumed for realisation in the given year is disseminated among the employees, in the mode accepted in the office.

The key results in relations with employees were decisive in the selection of improvement actions, proposed by the CAF team. The assessment of the evidence in this regards, with the use of the Deming cycle, indicated the lowest values. Hence the choice of this action and the desire to improve relationships in the workplace.

Prioritisation methodology
The Austrian approach[1]

The Austrian CAF Centre does not offer a common systematic and documented guideline for the priorisation of improvement actions. Nevertheless the following 'milestones' can be observed in the majority of the CAF implementations and are recommended by the CAF Center.

Consensus Workshop

1. The SAG collects improvement actions during the consensus workshop (strengths, improvement areas and improvement actions).
2. After the consensus workshop the facilitator/moderator compiles the list of improvement actions. This list (average 80 improvement actions) is the basis for the 'action plan workshop'.

Action Plan Workshop

Participants: in most cases half of the SAG, in some cases full SAG takes part in the Action Plan Workshop. The participation of the leadership is based on agreement during project start. When high management does not participate in the SAG it is often agreed that they are involved in the Action Plan Workshop.

Moderation/Facilitation: The moderator of SAG is preparing and moderating the Action Plan Workshop and compiling the results.

1. **Quick Wins:** The list of improvement action is screened for Quick Wins (easy to implement, no or very low costs, realised in one month). The moderator suggests and the list which will be discussed, changed and accepted by the workshop team. (1,5 hours).
2. The rest of the improvement list will be **prioritised** based on a points query selecting the most important actions. Further distinctions between effects, importance and urgency are not done. Each participant gets 5-8 points (1 hour).
3. The 10-20 highest prioritised improvement actions are selected for being further specified. During the priorisation process similar improvement actions are combined or clustered.
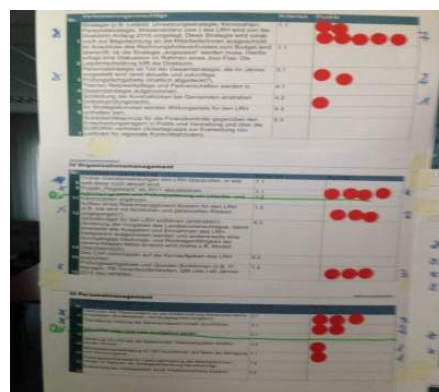
Group Work: The participants will be split in 2-3 groups (each 2-5 persons) with a notebook to develop draft project descriptions for 10-20 actions which should be implemented in the next 2 years. The template covers a half page with title, milestones, responsibilities and time schedule.

1. Each group compiles 2-3 actions and presents it to the plenum (duration 2 hours).
2. A second round of group work is foreseen (2 hours).
3. As result 10-20 draft project plans are compiled.
4. The low prioritised actions are documented in a topic-storage and will be dealt with after the implementation of the project plans.

As result a list of Quick Wins, 10-20 draft project plans and a topic storage is foreseen.

The 10-20 project plans are categorised to 3-6 actions with 10-20 subactions. The 3-6 actions are broadly communicated as THE CAF-result.

Thomas Prorok, CAF Centre Austria

Prioritisation methodology
The Finish approach[1]

In State Treasury we have been using a prioritising model focusing on benefit and amount of work in selecting development plan measures after the CAF self-assessment. The same tool has been used also in prioritising other development challenges in public sector organisations. The model can be used in different ways starting from a thorough analysis of proposed development directions and their impact and ending up to a quick look of impacts different proposals would mean in every day work.

Prioritising of proposals is done on two-fold dimensions:
1. Anticipated usefulness or benefit of the development action.
2. The amount of work needed to take that particular action.

All the development proposals are assessed according their nature and placed on the model in relation to these dimensions. After that the proposals form groups of different kind of potentiality. For example:

High usefulness	Small amount of work	Most promising
High usefulness	Medium amount of work	Very good potential
High usefulness	Lots of work	Future potential
Medium usefulness	Small amount of work	Quick benefit
Medium usefulness	Medium amount of work	Potential
Medium usefulness	Lots of work	Possibly potential
Some usefulness	Small amount of work	Potential
Some usefulness	Medium amount of work	Possibly potential
Some usefulness	Lots of work	Least promising

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[1] The Finish National Correspondent.

The model works best when used in visual form:
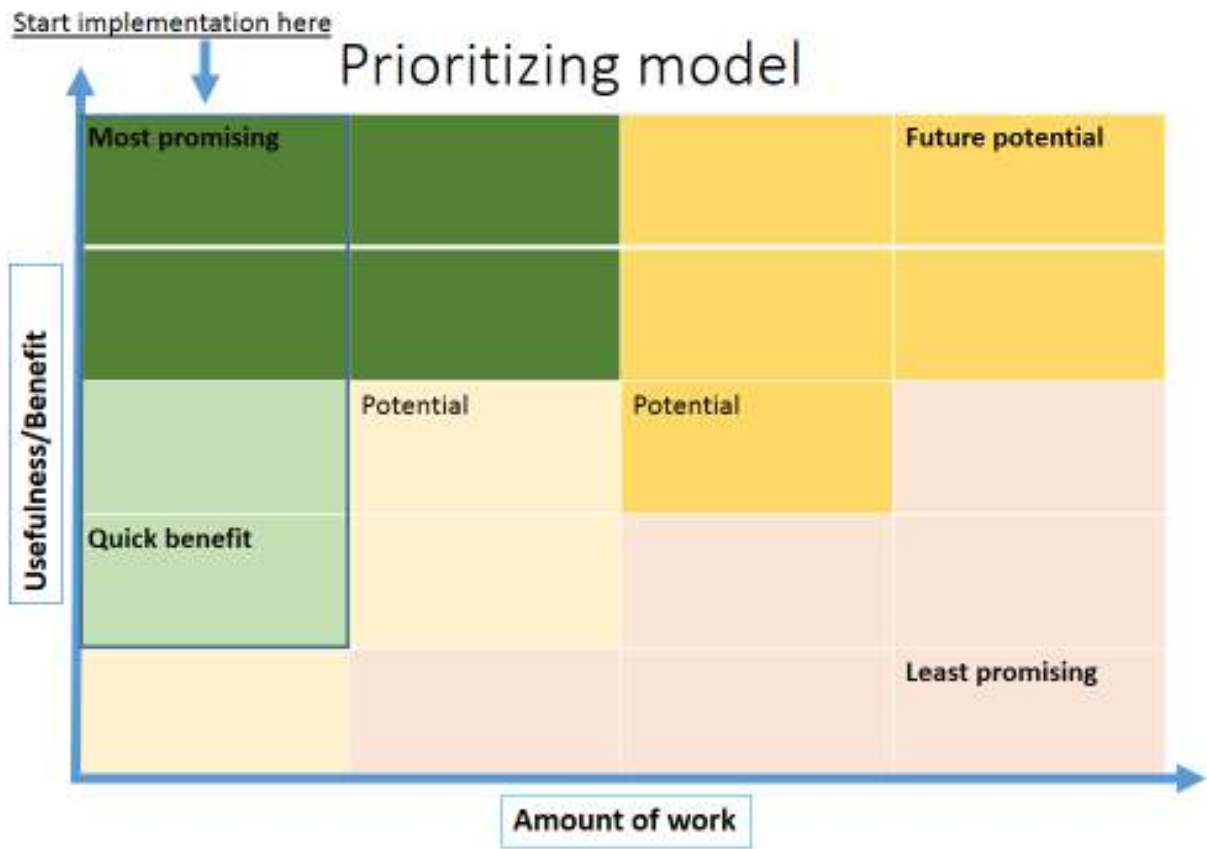
After grouping the proposals on the table it is easy to start implementing the development actions from the upper left corner, where the most promising and quickly beneficial actions are found. With these 'Quick Wins' the development actions can be started straight away and that sets the development work going. These are usually matters of will and effort of the organisation itself.

Furthermore it is important to examine the potential or future potential proposals and make decisions how to proceed with them. These are typically actions that require more preparation, planning work and assigning human as well financial resources and building partnerships. At this stage it is useful to reflect the proposals on the strategic priorities and financial possibilities of the organisation. Some proposals might need remarkable financial and human input, inquiring new finances or developing new partnerships/networks. They might not be implemented quickly or easily, but they can still (or just because of that) be vitally important for the future of the organisation. It is important to pick a decent number of this kind of more challenging and longer term actions to the development plan and start with first actions leading to future goals straight away.

In case there are several proposals requiring remarkable effort and resources, there might be a need for additional criteria in prioritising them. Often useful criteria at this stage are

- effect on productiveness and savings
- effect on customer/citizen benefit and long term effectiveness
- critical/beneficial time for action
- important enabling or risk minimising action

The criteria above could also be given weights according to the strategic priorities of the organisation and the situation at hand. Instead of giving each criteria the weight of 25% out of 100%, some of them can be more and some less important in the given situation and getting a prioritised order according to that.

One advantage if this prioritisation model is that it is visual and therefore can be easily used for participatory prioritisation with a larger group. The picture below illustrates the use of the model after CAF self-evaluation of one department. After the self-evaluation group had finalised its work by formulating the main proposals for a development plan, the whole department was gathered in one room to hear about the results and go through the proposals and prioritise them. Each proposal was written on a post-it paper and after common discussion placed on the board, where the dimensions of usefulness and amount of work where drawn. After that the discussion continued to actions needed for the implementation to start and the responsible persons/groups for each action were written down on the same post-it papers. After a two-hour meeting the whole department was aware of the results of the CAF evaluation, had personally participated in prioritising and had a shared view of the contents of the implementation plan.

Prioritisation methodology
The Slovak approach[1] and the approach of the Slovak case

1. Prioritising for improvement and breakthrough

Self-assessment to the European CAF model quite reliably identifies improvement opportunities. This will create a very long list of things to do. So the next step is the prioritisation, first of all the division of processes into two main groups. The first group compromises those processes, that are managed pretty well. We can subject them to a continuous improvement regime and set priorities. The second group consists of those processes which we identify as being poorly carried out or even badly managed. We may subject them to a complete re-visioning and re-design. I think that's what friends are for. In this case our friend is BPR (Business Process Re-engineering).

So what we are doing at this stage is prioritising for improvement or breakthrough. At the end of this effort, we can have a tool kit for improvement identification and prioritisation. Perhaps it could be a compilation and modification of some tools that have been around for a long time that are meant to be used together in making better informed decisions about processes and their continuous improvement or redesign and re-engineering.

We are also having a very intense discussion on the 3 functional analysis methodologies, designed as a self-assessment tool for use in civil service and other public sector organisations. The tool can be used *inter alia* for prioritisation that is governed by merit-based principles of stabile, professional and politically neutral civil service. By understanding the level of merit principles application, we can begin to decide how to improve an organisation through redesign (by BPR). Those principles are as follows:

1. Recruit, select and advance on merit.
2. Treat fairly and equitably.
3. Provide equal pay for equal work. Reward excellent performance.
4. Maintain integrity, conduct and concern for public interest.
5. Manage efficiently and effectively.
6. Retain on the basis of performance.
7. Educate and train for better performance.
8. Protect from political influence.
9. Protect whistle blower against reprisal.

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[1] The Slovak National Correspondent.

2. Prioritisation in the Slovak case is determined by a few premises:

1. **People** (excepting CAF team members and some representatives of top management) **don´t read the complete self-assessment report** even when we implement all activities from the communication plan for the self-assessment phase and we inform them all shortly about the main results (strengths and areas for improvement) after the end of the self-assessment process. That´s why we offer to all employees the opportunity to send any proposal for improvement (even anonymously). Experience has shown us, that in this way we will get more proposals as in the process of consideration of the self-assessment report.

2. **Scoring in the self-assessment report basically shows the importance of the proposed improvement actions regarding the 9 criteria of the CAF model, but not regarding the fulfilment of the 8 principles of excellence.** That´s why after collecting of all the suggestions for improvement, we usually arrange a meeting of the top management with the CAF team. All participants get a summary of the proposals divided into:
   a. CAF criteria (CC)
   b. CAF principles of excellence (PoE)

   This meeting starts then with the analysis of the fulfilment of principles of excellence, based on the questionnaire used in the CAF External Feedback procedure (3rd pillar). The analysis is made in small groups and its result creates the basis for the PoE index.

   Finally we can set up two different indexes:

   1. Index depending on the CAF evaluation criteria (I_{CC}) that basically shows urgency for individual suggestion for improvement based on self-assessment (0 points for criterion in self-assessment means $I_{CC} = 1$ or 100% urgency).
   2. Index depending on 8 principles of excellence (I_{PoE}): if we analyse that we are in the maturity level in general principle of excellence, then $I_{PoE} = 0$ or 0% and conversely.

3. **The consensual scoring used in the self-assessment report is more accurate than the consensual rating of principles of excellence based on CAF External Feedback procedure**. It is because the scoring scale in the case of self-assessment is between 0-100 and the process of the self-assessment is more complex. We always evaluate every sub-criteria, every example separately – that is why the consensus meeting take usually two days (at least). The scale in the case of rating the principles of excellence is based only on 4 levels (0, Initiation, Realisation, Maturity – we modify them into 0-100 scale) and we make evaluation usually on a workshop in small separate groups.

That´s why we use various scales for the final priority index (I_p): $\mathbf{I_p = 0,6 \cdot I_{CC} + 0,4 \cdot I_{PoE}}$

Conclusions

Conclusions

Sustainability is one of the conditions for success in public sector reforms. It takes time to change the direction of the large tanker the public sector can be considered. A consensus between the different stakeholders on a long time vision that guides the reform establishes the solid basis for a sustainable change. Constant feedback has to maintain the strength of the vision and the engagement of all stakeholders in its fulfilment. This counts also for the instruments developed to implement the vision. European Union Member States created in 2000 the Common Assessment Framework to introduce and implement Total Quality Management in the Public sector and its organisations. They were convinced that this holistic approach of organisational development would lead public sector organisations systematically to the level of excellence in performance and results achievement for the different stakeholders, in particular for the citizens/customers. The revised versions of 2002, 2006 and 2013 maintained the consensus on the importance of TQM for the Public sector and guaranteed the sustainability of this effort. The last study undertaken by the European CAF Resource Centre (CAF RC) on demand of the Italian presidency in 2014 was an additional moment of critical reflexion on the validity of the CAF. This study focused on the impact of the use of the model on the results achieved by the CAF Users, in particular in the sector of Education. As mentioned in the introduction, one of the most remarkable conclusions of the study was that the scores of all eight CAF results sub-criteria increased after each CAF implementation.

What are the lessons to be learned from the selected 20 good practices introduced by 13 countries?

This new study builds further on these finding, broadening the scope to organisations of the whole public sector. Apparently, there was a need for more concrete examples illustrating the inner logic of the CAF model and the way forward. The call for case descriptions put the emphasis on the obtained results in performance by implementing improvement activities chosen after the self-assessment with CAF. 43 CAF Users from over all Europe responded on a voluntary basis. 'After 16 year, CAF is still alive and kicking', could be a side conclusion of this high response rate.

 It was a difficult task for the CAF RC and the Slovak presidency to select 20 cases that were invited to deepen-out their case description and present their case at the 7th European CAF Users Event in Bratislava on 30 November 2016. The study itself presents them in-depth per country. These conclusions however present some clusters of similar good practices that public organisations prioritised and implemented. It helps organisations to find inspiration in other organisations achievements. It is difficult to find general tendencies in organisational improvement strategies, as the context of each organisation in each country is specific. But the clusters give an idea of the major domains of public management the improvement activities dealt with.

In most case descriptions, clear data illustrated the link between the better results of the organisation and the undertaken improvement actions. This proves once more that a sound diagnosis is needed for an effective decision making process on improvement activities that matter and make the difference. A number of cases show the use of CAF as a long-term steering mechanism for building up an excellent organisation.

Cluster 1: The effectiveness of stakeholder involvement

The education and guidance needs of the Italian Secondary Education Institute Galilei-Artiglio, Viareggio, Italy

Gathering information on the present and future needs of stakeholders as well as relevant management information is the basis of success for this education institute. 20% increase of the new entrees, 40% increase of the attendances to seminars of in depth study and 20% increase of good reports by companies where students have done their internship. This shows that the main strategic initiatives taken were successful. Most important were the surveys about the future employment of the graduates from this school in the employment market their choices at university, the organisation of seminars and scientific post-graduate courses.

Increased stakeholder involvement in the planning of the Consumer Ombudsman's work and priorities. Consumer Ombudsman, Norway

The organisation has installed a more systematic approach to obtain relevant information from stakeholders in the planning of the organisation's priorities for the coming year. It held a series of meetings with relevant stakeholders during the planning phase of the action plan. Selected stakeholders where invited to give presentations to the organisation. The foreword of the organisation's plan of action 2016 highlights the increased influence of its stakeholders.

Cluster 2: Human Resources Management

HR Management at the District of Upper Bavaria, Germany

The installed HR Management at the District considers the employee as the foundation of its success. The most relevant components that were established were a standardised feedback system for the executive staff by the employees to improve their management skills, a curriculum for the executive staff and middle management, the introduction of an operational health management system within the district and external assessment of the organisation and key processes at the HR department.

Innovative Human Resources Management in the Lisbon Municipality, Portugal

By using CAF as a guide, this Municipality was able to provide a clear vision on HR responsibilities and build up the HR Function by creating training teams that work with managers, promoting voluntary and short-term participation on projects, aligning organisational and individual competences with respective development plans and creating a learning community for performance management.

Employees' participation levels on training increased by 21% and more than 126 employees (250 hours of training) were trained on topics such as HR Function and in internal client relations.

Cluster 3: Performance and Strategic Management

Consequences of the implementation of Performance Management in the entire Federal Administration for the CAF-results in DG III of the Federal Chancellery, Austria

The comprehensive introduction of performance management in the Federal Administration in 2013 had a big impact on the CAF results in Leadership and Strategic management in DG III of the Federal Chancellery. With the introduction of the new system of performance management, the Federal Chancellery has developed a mission statement, outcome-goals, measures, indicators on all levels and an evaluation system.

Strategic planning in the Flemish Department of Agriculture and Fisheries, Belgium

The outcome of the CAF exercise at the Flanders Department of Agriculture and Fisheries can be summarised as the need for one overall 'strategic exercise'. Several SWOT analysis with internal and external stakeholders prepared the exercise and identified trends. A two-day strategic seminar with management representatives and key persons resulted in the new strategic framework with a mission statement, vision, strategy and values for the new organisation. Within this strategic framework, the organisation further elaborated several key elements such as the HR strategy, integrity, diversity, wellbeing and communication). It defined and followed up operational plans.

Cluster 4: CAF based TQM Management

Stakeholder analysis in the Hessian Administration for Land Management and Geoinformatics, (HVBG), Germany

HVBG is in the process of reducing personnel expenditure and costs of infrastructure. It concentrates on core duties and offers good products and services to core customers. It improves processes and technology to reduce treatment/process times in order to reduce process costs or to decrease complaints on products/service. HVBG invests at the same time in personnel development and technology. All this is achieved by implementing Strategic Management including contracts with political leadership (2010, 2011-2016 and 2017-2022), partnerships with relevant organisations/core customers, leadership development programs for all hierarchical management, staff development activties/programmes, teamwork-structure in every section of the organisation and Process, Knowledge and Project Management since 2009.

CAF-inspired Leadership in the City of Vienna, Austria

CAF is shown to be a useful tool to enable executives to quickly and successfully take up their new position, and to optimise an organisation in an evolutionary way. The new management optimised values, strategies, structures, processes, facilities for people and other managerial assets. It

transformed the former authoritative one-person leadership into a multi-competences leadership team by introducing division coordinators, executive departments and decentralised administrative units. A thorough remodelling regarding the organisational structure and procedures took place, following the principles of modern leadership and involving staff and stakeholders. Targets of the new leadership culture were for example: enhance trust, promote a positive error and complaint culture, develop management principles, implement a mission statement for leadership and develop an education strategy for senior staff.

Walking hand in hand with taxpayers towards Excellence in the Benidorm Treasury Department, Spain

Thanks to different improvement activities, the Treasury department realised a remarkable increase in the number of tax settlements and reverse-charges paid, tax collections during the voluntary and the enforcement period, economic transparency, interdepartmental coordination, satisfaction of citizens and employees, accessibility of facilities and partner involvement. It decreased the number of complaints filed, the average payment period, the indebtedness level and the local debt amount. It created two professional social communities, simplified processes, made all procedures accessible by electronic means and new electronic payment systems. It established an information exchange system with regular surveys and meetings, a training plan and gradual empowerment and specialisation of some employees, a Services Charter for the citizens and an advanced management and payment system as well as public-private agreements.

Cluster 5: Customer and people oriented continuous improvement

Continuous improvement of the Ministry of Finance, Estonia

Results under criterion No 6 citizens/clients and under the key performance results criterion No 9 strongly improved during the recent years but in criterion No 7 the people results only slightly raised. The citizens/customers and partners needs were better understood which led to more and better e-services for the clients. New agencies started up: the Information Technology Centre of the Ministry of Finance aimed at offering ICT support and the State Shared Service Centre consolidating of all the support services. Changes in the budgeting process and the efficient application of EU Structural Funds resources also led to the advancement of services and a better governing system. Constant changes in the people management took place with the elaboration of a personnel policy document, a better accessibility of information, a more understandable salary system and fundamental changes in the system of appraisal interviews in line with the competency model.

Process innovation in order to improve the customer satisfaction of the Automobile Club d'Italia, Savona, Italy

The Savona Territorial Unit achieved remarkable results regarding the users satisfaction of services (from 40% to the current 70%), the satisfaction of the people (from 50% to the current 90%) and the reduction of the citizen waiting times (from an average of 20 minutes to an average of 5 minutes).

This could be realised thanks to the improvement of the front-office processes and, in the meantime, to the development of a systemic and structured system of complaints monitoring to check the status of the improving actions. The major improvement area defined in the CAF self-assessment was managing peak working hours at the front office.

Cluster 6: Staff involvement

The initiative-system in the State Residential School Liminka, Finland

The staff of the residential school is actively involved in the development of activities through the renewed initiative work. The number of initiatives launched by the staff has risen from 16 in 2010 to 84 in 2014. Initiatives are a good tool for improving safety and shared ownership in the very demanding everyday tasks of the organisation. The management made presenting initiatives as easy as possible. People enter the initiatives directly to an electronic 'MAP', i.e. the management and operational system of the organisation. In case somebody wishes so, he or she can ask the management to write the initiatives into the system by face-to-face contact or e-mail. The management team deals with the new initiatives on a monthly basis.

The Bank of Ideas in the Customs Chamber of Bialystok, Poland

The Bank of Ideas improves the process of internal communication, both vertically as well as horizontally. On a regular basis, the management at all levels is informed about all the aspects of activities need to be improved and which are important to staff. The functioning of the Bank of Ideas improves the satisfaction of officers/employees and increases the identification of officers/employees with the service. The Bank of Ideas is a costless platform through which every employee of the local customs chamber can submit any idea to improve the organisational culture and governance. The Bank of Ideas promotes the innovation of processes and the creativity of officers and employees. This case presents three major improvement activities: the Mobile application Granica, providing full information about the waiting time at the Polish border crossing with Russia, Belarus and Ukraine (1), the unification of the email addresses structure for receiving customs declarations (2) and the electronic communication with the district courts (3).

Cluster 7: Working together for better outcome

Target-oriented network leadership of educational services in the Päijät-häme, Finland

A network of independent municipalities in the region of Päijät-häme has built a common vision on educational services and the municipalities are committed to work together in a cooperative manner. The vision is present in the production of educational services and harmonising those though common principles. The network-based approach involving central operators from different municipalities in the same service provision chain and under the same direction has turned out to be a well-functioning method of collaboration. The proposed measures affect all profit centres,

customers scores, staff scores, social responsibility scores and key performance scores. The basis is a CAF based operating system for network leadership. The commitment of city and municipality governments to operative cooperation is essential. Plans for developing new networks for substance areas, starting common projects and building an electronic database, are on the table.

Quality route creating passion and commitment in the Six Schools Group Figueira Mar, Portugal

Six Schools Group Figueira Mar is a multilevel institution located in Figueira da Foz, consisting of 6 public schools with 1200 students and all levels of education from pre-school to regular and vocational secondary education. CAF allowed the reflection about the newly formed school cluster. Starting from the vision of each school, they construct a holistic identity and culture, mobilising the entire school community in order to make investments in improving student-learning environment and to enhance stakeholder satisfaction. They developed strategic documents focused on the identity of the recent school cluster such as the Educational Project, the Regulation and the Welcome programme to new teachers, students and parents. The cluster applied satisfaction surveys to stakeholders (partners, students, parents and staff) which highlight leadership, administrative organisation, resource management and educational strategies.

Cluster 8: Sharing information

The Integrated Information System (IIS) of the Hellenic Military Geographical Service, Greece

HMGS has designed, developed and implemented an Integrated Information System (IIS) for the dissemination of all pertinent geographic information to the public, as well as to both public and private institutions. Successful completion relied upon the adaptation of current e-shop technologies and practices. HMGS's objective was to deliver accurate, precise, real-time information on all available, distinct Geospatial Materials and allow for directory browsing, product selection and purchase. Sales and inventory monitoring result in improved production capacity and efficiency. The IIS implementation has proven to be an important aid to leadership. Management practices reflect upon performance and are appropriately fine-tuned to support continuous improvement and innovation, hence fostering effective relations with the stakeholders. Furthermore, the IIS allows for clear vision and proactive planning, since data analytics offer insights on the present and future needs of stakeholders and drive resource allocation.

The Administrative Information Service System (AISS) in the Administrative Unit Celje, Slovenia

The Administrative Information Service System Celje (AISS) contributed to an even better cooperation between the Administrative Unit Celje and other authorities. The information passed through AISS enables their clients to declare their requests with all necessary attachments. Because of this, the authorities can solve the requests more effectively and before legal time limits. Resulting in higher satisfaction of clients and employees. While determining the satisfaction of other authorities of Administrative Unit's Celje work, the grade received was 'excellent'. Since 2013 all cases are being solved in or before legal time limits at the Administrative Unit Celje.

Separate theme: Communication as the driver for change

A quality approach focussed on internal and external communication in the "Haut Ecole" of Hainaut, Belgium

A continuous improvement of the communication and strategic skills led to the promotion of a culture of quality in this education and training institution. It targets the future students, learners and graduates (alumni) as well as teachers, administrative and technical employees of the HEH. Different approaches were installed: a participative organisation for external communication, the elaboration of a Quality Charter and its internal diffusion with planned self-awareness of each item, an effective internal communication with extranet, computerised support, free programmes, online learning tools supported by an IT team, and projects alike a welcome guide and alumni follow-up.

Separate theme: Internal recruitment of managers

The internal recruitment procedure for managerial positions in the Tax Chamber of Wroclaw, Poland

The setting of a transparent procedure for managerial positions not only contributed to better management of human resources as such with reference to the organisation's goals but also improved the satisfaction and motivation of the employees. In the Polish civil service there are no recruitment regulations dedicated to the mid and lower level managerial positions in the tax services. These are treated as regular civil service positions. In order to provide better transparency of recruitment and better alignment of the employees hired to the organisation's goals, a recruitment procedure was established defining rules and selection criteria.

Separate theme: Process Management

The use of 6σ (Lean – Six Sigma) for streamlining processes in the Implementation Agency of the Slovak Ministry of Employment, Social Affairs and Family, Slovakia

The implementation of Lean Six Sigma into the process approach brought measurement of the employee's performance along with the impact to their financial remuneration, the reduction of the error rate and major acceleration of service delivery. A management information system (ATTIS) was introduced to the entire organisation (250 employees). Other aspects were the mapping of the key processes and the assistance of the management and support processes by PRINCE2® project management.

What insights do the introduced prioritisation methodologies provide?

Under the Polish presidency of the European Union, The European CAF Resource Centre made an extensive study on the use, the support and the future of the Common Assessment Framework: Five years of CAF 2006: from adolescence to maturity. 407 CAF users from of 27 countries answered a list of questions not avoiding the critical issues related to the use of CAF. Regarding the obstacles encountered in developing the improvement plan after the self-assessment, 43,7% found the lack of a good methodology for prioritising the actions to a limited extend a problem, 17,5% even to a large extent, but 34,3 didn't see here a problem at all.

Obstacles encountered in developing the improvement plan:

Percentage of organisations (n = between 281 and 287)
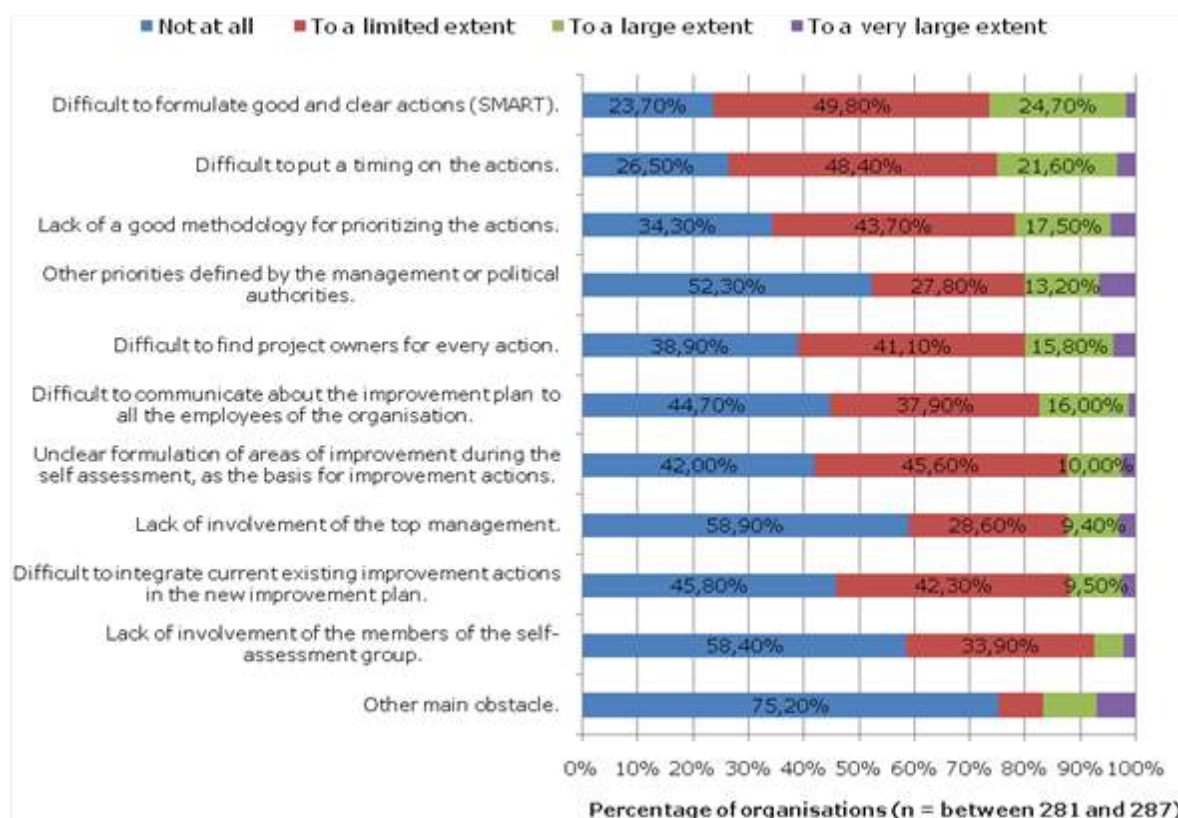
 CAF can only be successful if the self-assessment leads to a sound improvement plan, based on consulting the major stakeholders, especially staff. Under the responsibility of the management choices have to be made to use the limited resources in the most effective way.

So there are plenty of reasons trying to find out how CAF users in the different countries prioritised their actions, as there is not a common European methodology imposed to do so.

Based on the methodologies described in part 2 of the study we can make a distinction between four types of methodologies.

1. The methodology developed by EIPA and spread at the European level

This methodology is based on the Belgian experiences and used during the European trainings and coaching by EIPA. In line with the motto of CAF to concentrate on the most relevant aspect of the analysis, the Self-Assessment Group(s) -with or without the leaders included- are invited to formulate smart (Specific, Measurable, Acceptable, Relevant and Time bounded) improvement actions related to what they consider the most relevant areas of improvement per sub-criterion. In this sense, the members of the Self-Assessment Groups give already a first direction to the improvement activities. Indeed, from then on, the focus shifts from the analysis of strengths and areas of improvement to the evaluation and prioritisation of the proposed actions and the elaboration of the strategic improvement action plan.

In the prioritisation phase, collaboration between the managers and the members of the Self-Assessment Group(s), representing in some way the whole staff, is very important. In case the management team was not represented in the Self-Assessment Group or did not undertake a self-assessment on it's own, the management team is for the first time actively involved in the decision making process on the future. For the members of the self-assessment team(s) on the other hand, it is very often the first time in their career that they can discuss with the middle and top management on strategic and operational issues. They live this as a very rewarding experience. Often it is for them the start of a long-term involvement in the improvement of the organisation.

Defining the Quick Wins, with the engagement to realise these actions within a short delay, weighing the strategic impact (SW) of the rest of the proposed actions and evaluating the ease of implementation (EIM) of the most important actions, demands in-depth reflection. Defining the priority of implementation (PIM) and the final choice of the actions depend to a high extend of the quality of these discussions and the trust between the actors.

2. Methodologies developed by National CAF Resource Centres

In 2 countries, the national CAF resource centre and the national CAF correspondent developed themselves a methodology that is disseminated in the country.

2a. The Italian approach

In the five phases of the Italian method, the selection of the priority areas for improvement involving staff and management is the important starting point.

In phase 1, the Self-Assessment Group (SAG) makes a cross-sectional synthesis of the weak points that appear in all the sub criteria and classifies them according to three characteristics: recurrence, strategic importance and operational importance.

In phase 2, the SAG and Manager define between 4 to 6 Critical Success Factors (CSF's) related to the mission, vision and strategic objectives of the organisation. They assess the importance or relevance of each sub criterion for the achievement of the CSFs. Per sub criterion, the total score is made and

purely mathematically calculated on a scale from 1 to 10 to define the relevance of each sub criterion. By crossing the relevance of each sub criterion with the score obtained in the CAF self-assessment, 4 priority levels are defined amongst the sub criteria. Especially the recurrent and strategically important weaknesses of the sub criteria with priority 1 (high relevance and low score) and priority 2 (low relevance and low score) are analysed, resulting in a preliminary list of weaknesses between 8 and 15.

In phase 3, the SAG defines possible improvement initiatives for each weakness. After clustering, this can lead to 6 to 12 initiatives.

In Phase 4, the SAG defines for each improvement initiative its impact on the critical success factors, the feasibility and the realisation time, information that must help the manager to make his final decision.

In phase 5, the manager decides on executing 3 to 5 actions beside a number of Quick Wins.

Very important in the Italian approach is the cross-sectional synthesis of the weak points during the CAF self-assessment and the definition of the CSF's that are the basis for the evaluation of the relevance of the sub criteria by the SAG and the Manager. To a certain extent, this adds an extra dimension of the use of the CAF, that does not weigh the sub criteria. The four priority levels help to focus on the most needed action radius. As in other methodologies, impact, feasibility and realisation time of the action proposals are evaluated.

2b. The Portuguese approach

The first step in the Portuguese methodology brings the proposals for improvements from the self-assessment teams together with the stakeholder's suggestions from the satisfaction surveys and clusters them in topics. Integrating stakeholder's suggestions is particular in this approach. The Quick Wins amongst the proposed actions are directly set aside as in the EIPA methodology and will be realised anyhow.

Step two defines the relevance of the rest of the improvement actions for the organisational objectives.

In step three, the proposed relevant actions are ranked according to three criteria: the impact of the action on the organisational performance, the capacity of implementation of the action and its impact on the clients' satisfaction, similar to the EIPA's and the Italian criteria. An execution schedule for the overall improvement plan allows monitoring the systematic follow up. Each action form deals with all the aspects that needs to be taken into consideration to make it successful.

3. Recommendations for prioritisation at national level

In other countries, the national CAF Resource Centre did not elaborate a comprehensive national methodology for prioritisation but shares different ways that are used in organisations to come to their action plan.

3a. Poland

In one approach, the Self-Assessment Group defines in advance concrete characteristics for the improvement actions to be formulated, e.g. in one case 12 characteristics were formulated. Amongst the suggested actions, the organisation selects for implementation the actions linked to the sub criteria with the weakest scores.

In another method, the management defines the prioritisation criteria in line with the strategic objectives of the organisation.

In the third methodology, the members of the Self-Assessment Group and the managers reformulate together the proposed actions to bring them more in line with the improvement areas. Then the impact on the strategic objectives and the capacity to implement the action are evaluated and ranked. Out of five proposed actions, three are implemented in the current year.

3b. Austria

The Austrian CAF Centre also recommends a limited number of milestones. A list of by average 80 improvements actions as the result of the consensus meetings of the Self-Assessment Group SAG is discussed in a workshop with representatives of the SAG and the management. Quick Wins are defined. Out of the remaining actions, the 10 to 12 most important are selected and further specified and clustered. Afterwards, working groups draft project descriptions and plenary sessions find consensus. The low prioritised actions are dealt with after the implementation of the project plans.

3.c. Finland

The methodology of prioritisation used in the State Treasury can be seen as an example for other public organisations. All proposals for improvement are analysed on their usefulness and the amount of work to install them. The combination of both criteria leads to a ranking from most promising, to potential and least promising actions. Quick Wins are clearly defined and together with the actions leading to future goals, launched straight away. Potential and future proposals are reflected on the strategic priorities and financial possibilities of the organisation. They are evaluated on their effect on the efficiency and effectiveness of the organisation, on the critical time for action and the importance of the enabling or risk minimising nature of the action. A maximised participatory discussion on the final choice of the action commits staff in the preparation of the future.

4. The methodology of the Slovak case

All employees are invited to introduce proposals for improvement, not only the members of the Self-Assessment Group. The management and the CAF team define the priority of the according to the scores of the CAF criteria (CC) and the CAF Principles of Excellence (PoE). Based on the questionnaire of the 3rd pillar of the CAF Procedure on External Feedback, the fulfilment of the principles of Excellence are analysed and the results integrated in the PoE index, indicating the level of maturity. The CAF index (I_{cc}) shows the urgency of action in a specific sub-criterion. The final priority index (I_p) is an addition of the Icc index (urgency) for 60% and the PoE index (level of maturity) for 40% : $I_p = 0{,}6*I_{cc} + 0{,}4I_{poe}$. In this methodology, the maturity level plays a more important role then in the other approaches.

Characteristics of the different prioritisation methodologies

All the methodologies have a number of aspects in common to a certain extent:

- In the starting phase they all define Quick Wins.
- The appreciation of strategic importance or impact of the improvement actions as such or in relation with the strategic objectives of the organisation are always present.
- The analysis of most aspects of the feasibility of the actions are always taken into consideration.
- The final decision always lays in the hand of the management.

There are differences regarding:

- The involvement of all staff and other stakeholders in the introduction of proposals for improvement.
- The involvement of the SAG members in the choice of the actions.
- The number of chosen actions.
- The integration of the level of maturity according to the Principles of Excellence in the method.

The CAF network

The CAF network

The Common Assessment Framework is a product of the IPSG (the Innovative Public Services) working group embedded in the European Public Administration Network (EUPAN). EUPAN is an informal network of Directors-General responsible for Public Administrations in EU Member States and the European Commission. It is a platform for exchange of views, experiences and good practices to improve the performance, competitiveness and quality of European central public administrations. The IPSG working group especially focuses on quality management and the customer orientation in public administrations. The CAF, as one of the most important products of the IPSG working group, has its own subgroup, the CAF Expert Group, which is supported by the European CAF Resource Centre.

The CAF Expert Group is composed of the CAF national correspondents (the representatives of the countries), the European CAF Resource Centre and representatives of the European Foundation of Quality Management (EFQM). The major tasks of the CAF expert group are:

- to improve and regularly update the CAF;
- to define in collaboration with EIPA the role of the European CAF Resource Centre (tasks, mandate, placement, financing);
- to develop in collaboration with EIPA CAF support tools (e.g. CAF website);
- to analyse the problem of self-assessment validation;
- to validate the different ways to adapt CAF for national or sectoral use;
- to assist and promote the exchange of good practices of operational managerial tools between European Member States;
- to organise the CAF Users' Events (content papers and programmes);
- to report back to the IPSG at least twice a year.

The CAF Expert Group meets twice a year. The meetings are organised by the Presidency – the country presiding over the Council of EU – assisted by the European CAF Resource Centre.

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The European CAF Resource Centre

The European CAF Resource Centre (CAF RC) was established in May 2001 at the European Institute of Public Administration (EIPA) in Maastricht. Its mission is:

- to be a centre of expertise in CAF implementation promoting the CAF and good practice in its use in public administrations in Europe;
- to act as a complement to, and in coordination with, the existing national centres of expertise, and with a focus on countries without a national centre of expertise;
- to be a training and consultancy centre;
- to carry out research on the use of the model and further develop it;
- to support and stimulate the European network of national CAF contacts and the community of CAF users;
- to maintain the CAF database for registered users and good practices.

www.eipa.eu/caf