"Quality management in European Public administrations with the Common Assessment Framework

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Introduction

Origin and evolution of the CAF (1)

- Designed by the IPSG working group (EUPAN network)
- Launched at the 1st European Quality Conference, May 2000, Lisbon
- Presentation of the CAF 2002 version at the 2nd European Quality Conference, October 2002, Copenhagen
- 3 CAF Workshops at the 3d European Quality Conference, September 2004, Rotterdam
Origin and evolution of the CAF (2)

- **CAF 2006 version** launched at the *4th European Quality Conference* in September 2006 in Tampere, Finland.

- Used in different European Countries in the context of their national **Quality Conferences** (Belgium, Denmark, Finland, Norway, Germany, Portugal, Italy, Czech Republic, Slovakia, Hungary etc.)

- ca. 1000 CAF applications end 2005

- CAF model translated into 19 languages
**CAF RC: 777 registered users from 29 countries**

<table>
<thead>
<tr>
<th>Country</th>
<th>Users</th>
</tr>
</thead>
<tbody>
<tr>
<td>Belgium</td>
<td>185</td>
</tr>
<tr>
<td>Hungary</td>
<td>15</td>
</tr>
<tr>
<td>Poland</td>
<td>5</td>
</tr>
<tr>
<td>Italy</td>
<td>132</td>
</tr>
<tr>
<td>Estonia</td>
<td>14</td>
</tr>
<tr>
<td>Greece</td>
<td>3</td>
</tr>
<tr>
<td>Portugal</td>
<td>81</td>
</tr>
<tr>
<td>Slovakia</td>
<td>12</td>
</tr>
<tr>
<td>Ireland</td>
<td>2</td>
</tr>
<tr>
<td>Denmark</td>
<td>64</td>
</tr>
<tr>
<td>France</td>
<td>9</td>
</tr>
<tr>
<td>the UK</td>
<td>2</td>
</tr>
<tr>
<td>Germany</td>
<td>45</td>
</tr>
<tr>
<td>Finland</td>
<td>9</td>
</tr>
<tr>
<td>EU Institutions</td>
<td>2</td>
</tr>
<tr>
<td>Austria</td>
<td>47</td>
</tr>
<tr>
<td>Lithuania</td>
<td>7</td>
</tr>
<tr>
<td>EU Commission</td>
<td>1</td>
</tr>
<tr>
<td>Slovenia</td>
<td>36</td>
</tr>
<tr>
<td>Spain</td>
<td>6</td>
</tr>
<tr>
<td>Romania</td>
<td>1</td>
</tr>
<tr>
<td>Czech Republic</td>
<td>51</td>
</tr>
<tr>
<td>Cyprus</td>
<td>5</td>
</tr>
<tr>
<td>Latvia</td>
<td>1</td>
</tr>
<tr>
<td>Norway</td>
<td>18</td>
</tr>
<tr>
<td>Sweden</td>
<td>5</td>
</tr>
<tr>
<td>Bosnia-Herzegovina</td>
<td>16</td>
</tr>
</tbody>
</table>

Other countries: Turkey, South Korea, Namibia, Dominican Republic, Iran, China
Objectives of the CAF

- To introduce public administration to the principles of TQM and progressively guide them, through the use and understanding of self-assessment, from the current “Plan-Do” sequence of activities to a full fledged “PDCA” cycle;
- To facilitate the self-assessment of a public organisation in order to obtain a diagnosis and improvement actions;
- To act as a bridge across the various models used in quality management;
- To facilitate bench learning between public sector organisations.
Total quality Management - TQM

Permanent mobilization of all the resources (especially the people) to improve in a continuous way:

- all the aspects of the functioning of an organisation
- the quality of goods and services
- the satisfaction of its stakeholders
- its integration into the environment
Why revise the CAF 2002

In the surveys and at the Users Events in 2003 and 2005, users indicated areas of improvement

- increase coherence and simplicity
- increase users friendliness by improving the examples and developing the glossary
- a more fine-tuned scoring for some users
- broadening of the approach with guidelines for the planning of improvement actions and
- guidelines for bench learning

March 2005: the network of national CAF correspondents decides to revise the CAF 2002
General introduction to CAF 2006

- More attention for underlying concepts and values of CAF: European values, specificity of the public sector environment, principles of excellence, contribution to good governance
- More emphasis on modernisation, innovation and change
- The holistic character of the model and the internal cross connections
The CAF model shows that the results obtained by the people, the citizen/customer, and the society depend very much on the role played by the leadership, the strategy and the planning, the People, the partnerships and the Resources, and the processes. The harmonious interaction between all these elements – through innovation and learning – delivers excellent results in the field of the key performances of the organisation.
The 8 principles of excellence

1. results orientation
2. customer focus
3. leadership and constancy of purpose
4. management by processes and facts
5. involvement of people
6. continuous improvement and innovation
7. mutually beneficial partnerships
8. corporate social responsibility
Public administration context

1. Democratic responsiveness/accountability
2. Legalistic, legal and regulatory framework
3. Communicating with the political level
4. Involvement of stakeholders and balancing of their needs
5. Excellent in service delivery
6. Value for money
7. Achievement of objectives
8. Management of modernisation, innovation and change
CAF 2006: the structure

CAF structure

- Revision of criteria and subcriteria
- Reformulating the introduction to the criteria
- Appropriate examples
CAF 2006

ENABLERS

Leadership

People

Strategy & Planning

Partnerships & Resources

Processes

RESULTS

People Results

Citizen/Customer -Oriented Results

Society Results

Key Performance Results

INNOVATION AND LEARNING

Comparison CAF 2002- CAF 2006 : the structure
1. Leadership

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

1.2. Develop and implement a system for the management of organisation, performance and change

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

1.4. Manage the relations with politicians and other stakeholders in order to ensure shared responsibility
2. Strategy and Planning

- 2.1. Gather information relating to present and future needs of stakeholders
- 2.2. Develop, review and update strategy and planning taking into account the needs of the stakeholders and the available resources
- 2.3. Implement strategy and planning throughout the whole organisation
- 2.4. Plan, implement and review modernisation and innovation

9. Key performance Results
CAF 2006 - criterion 3

3. People

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

3.2 Identify, develop, and use competencies of the employees, aligning individual and organisational goals

3.3 Involve employees by developing open dialogue and empowerment

7. People results
CAF 2006 - criterion 4

4.1. Develop and implement key partnership relations

4.2. Develop and implement partnerships with the citizens/customers

4.3. Manage finances

4.4. Manage information and knowledge

4.5. Manage technology

4.6. Manage facilities

6. Citizen/customer oriented results

9. Key performance results

CAF 2006: the structure
5. Processes

5.1. Identify, design, manage and improve *processes* on an ongoing basis

5.2. Develop and deliver *customer-oriented services* and *products*

5.3. *Innovate* processes involving the *customers/citizens*

9. Key performance results
CAF 2006 - criterion 6

6. Citizen/customer oriented results

6.1. Results of customer/citizen satisfaction measurements

6.2. Indicators of customer/citizen-oriented results
CAF 2006 - criterion 7

7. People results

7.1. Results of people satisfaction and motivation measurements

7.2. Indicators of people results
CAF 2006 - criterion 8

8. Society results

8.1. Results of societal measurements perceived by the stakeholders

8.2. Indicators of societal performance established by the organisation
9. Key performance results

9.1. External results:
outputs and outcomes to goals

9.2. Internal results:
Results in the field of management, innovation and finances
Summary

- 28 instead of 27 sub criteria
- Sub criteria of leadership and strategy strengthen their role in strategic change management
- Focus on the continuous improvement of the processes
- Attention for output and outcome in the key performance results
Scoring: classical ~ and fine-tuned ~

- Scoring on 100 instead of 5 for reasons of benchmarking
- PDCA as driver for continuous improvement even more in the focus
- 2 types of scoring, free to choose
- Classical CAF scoring: more clear wording, one level of PDCA assessed
- Fine tuned scoring: allows more output from the scoring but demands more input, all levels of PDCA assessed
### CAF 2006 - Enablers classical assessment panel

<table>
<thead>
<tr>
<th>Phase</th>
<th>ENABLERS PANEL</th>
<th>Score</th>
<th>2002</th>
</tr>
</thead>
<tbody>
<tr>
<td>PLAN</td>
<td>We have a plan to do this.</td>
<td>11 – 30</td>
<td>1</td>
</tr>
<tr>
<td>DO</td>
<td>We are implementing/doing this.</td>
<td>31-50</td>
<td>2</td>
</tr>
<tr>
<td>CHECK</td>
<td>We check/review if we do the right things in the right way.</td>
<td>51-70</td>
<td>3</td>
</tr>
<tr>
<td>ACT</td>
<td>On the basis of checking/reviews we adjust if necessary.</td>
<td>71-90</td>
<td>4</td>
</tr>
<tr>
<td>PDCA</td>
<td>Everything we do, we plan, implement and adjust regularly and we learn from others. We are in a continuous improvement cycle on this issue.</td>
<td>91-100</td>
<td>5</td>
</tr>
</tbody>
</table>
## CAF 2006 - Enablers fine tuned assessment panel

<table>
<thead>
<tr>
<th>PHASE</th>
<th>Scale</th>
<th>0-10</th>
<th>11-30</th>
<th>31-50</th>
<th>51-70</th>
<th>71 - 90</th>
<th>91-100</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence</td>
<td>No evidence or with very low rating</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evidence</td>
<td>Some evidence with low rating, related to some areas</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evidence</td>
<td>Evidences related to relevant areas, with average rating</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evidence</td>
<td>Evidences related to most areas, with good rating</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evidence</td>
<td>Evidences related to all areas, with very good rating compared with others</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**PLAN**

<table>
<thead>
<tr>
<th>Score</th>
</tr>
</thead>
</table>

**DO**

<table>
<thead>
<tr>
<th>Score</th>
</tr>
</thead>
</table>

**CHECK**

<table>
<thead>
<tr>
<th>Score</th>
</tr>
</thead>
</table>

**ACT**

<table>
<thead>
<tr>
<th>Score</th>
</tr>
</thead>
</table>

**Total /400**

**SCORE /100**
<table>
<thead>
<tr>
<th>PLAN</th>
<th>Planning is based on stakeholders’ needs and expectations. Planning is deployed throughout the relevant parts of the organisation on a regular basis.</th>
</tr>
</thead>
<tbody>
<tr>
<td>DO</td>
<td>Execution is managed through defined processes and responsibilities and diffused throughout the relevant parts of the organisation on a regular basis</td>
</tr>
<tr>
<td>CHECK</td>
<td>Defined processes are monitored with relevant indicators and reviewed throughout the relevant parts of the organisation on a regular basis</td>
</tr>
<tr>
<td>ACT</td>
<td>Correction and improvement actions are taken following the check results throughout the relevant parts of the organisation on a regular basis</td>
</tr>
</tbody>
</table>
### CAF 2006 - Enablers fine tuned assessment panel: an example for sub criterion 1.1

<table>
<thead>
<tr>
<th>PHASE</th>
<th>Scale</th>
<th>0-10</th>
<th>11-30</th>
<th>31-50</th>
<th>51-70</th>
<th>71-90</th>
<th>91-100</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Evidence</td>
<td>No evidence or with very low rating</td>
<td>Some evidence with low rating, related to some areas</td>
<td>Evidences related to relevant areas, with average rating</td>
<td>Evidences related to most areas, with good rating</td>
<td>Evidences related to all areas, with very good rating</td>
<td>Evidences related to all areas, with excellent rating compared with others</td>
</tr>
<tr>
<td>PLAN</td>
<td></td>
<td>1b</td>
<td>1a</td>
<td>1c</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Score</td>
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<tr>
<td>DO</td>
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<td>1d</td>
<td>1c</td>
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<tr>
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<td>Score</td>
<td>20</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CHECK</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1d</td>
<td></td>
<td></td>
</tr>
<tr>
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<td>Score</td>
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<tr>
<td>ACT</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1d</td>
</tr>
<tr>
<td></td>
<td>Score</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>30</td>
</tr>
<tr>
<td></td>
<td>Total</td>
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<td>120</td>
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</tr>
<tr>
<td></td>
<td>SCORE</td>
<td></td>
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<td></td>
<td></td>
<td>30</td>
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</tbody>
</table>
## CAF 2006 Results classical assessment panel

<table>
<thead>
<tr>
<th>RESULTS PANEL</th>
<th>Score</th>
<th>Level 2002</th>
</tr>
</thead>
<tbody>
<tr>
<td>No results are measured and/or no information is available.</td>
<td>0 – 10</td>
<td>0</td>
</tr>
<tr>
<td>Results are measured and show negative trends and/or results do not meet relevant targets.</td>
<td>11 – 30</td>
<td>1</td>
</tr>
<tr>
<td>Results show flat trends and/or some relevant targets are met.</td>
<td>31-50</td>
<td>2</td>
</tr>
<tr>
<td>Results show improving trends and/or most of the relevant targets are met.</td>
<td>51-70</td>
<td>3</td>
</tr>
<tr>
<td>Results show substantial progress and/or all the relevant targets are met.</td>
<td>71-90</td>
<td>4</td>
</tr>
<tr>
<td>Excellent and sustained results are achieved. All the relevant targets are met. Positive comparisons with relevant organisations for all the key results are made.</td>
<td>91-100</td>
<td>5</td>
</tr>
</tbody>
</table>
### CAF 2006 Results classical assessment panel

<table>
<thead>
<tr>
<th>RESULTS PANEL</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Scale</strong></td>
</tr>
<tr>
<td><strong>TRENDS</strong></td>
</tr>
<tr>
<td>Score</td>
</tr>
<tr>
<td><strong>TARGETS</strong></td>
</tr>
<tr>
<td>Score</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total/200</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Score/100</th>
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</table>
CAF 2006 Results classical assessment panel: an example for sub criterion 9.1

<table>
<thead>
<tr>
<th>RESULTS PANEL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scale</td>
</tr>
<tr>
<td>TRENDS</td>
</tr>
<tr>
<td>Score</td>
</tr>
<tr>
<td>TARGETS</td>
</tr>
<tr>
<td>Score</td>
</tr>
<tr>
<td>Total/200</td>
</tr>
<tr>
<td>Score/100</td>
</tr>
</tbody>
</table>

TARGETS:
- No or anecdotal information
- Results do not meet targets
- Few targets are met
- Some relevant targets are met
- Most of the relevant targets are met
- All the targets are met

TRENDS:
- No measurement
- Negative trend
- Flat trend or modest progress
- Sustained progress
- Substantial progress
- Positive comparison with relevant organisations for all results

Score:
- 45
- 65

Total:
- 110

Score:
- 55
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
Benchlearning

- Definition: from benchmarking to bench learning
- CAF and bench learning
- Bench learning cycle and project
  - Plan
  - Collect, measure and compare
  - Analyse
  - Adapt
  - Evaluate and repeat
- Potential pitfalls
Glossary

- from 50 to 91 items
- more information per item: on average 5 lines rather than 2
- (clear) language
The CAF cases and sectors of activity in detail

![Bar chart showing the number of CAF cases in different sectors.]

- Customs, Tax and Finances: 1
- Economy and Agriculture: 2
- Health: 3
- Social Services: 4
- Education, Music, Art: 7
- Regional Administration: 6
- Local Administration: 5
- Transport and Infrastructure: 7

CAF Works: better service for the citizens by using CAF
Some conclusions on the cases (1)

- CAF provides a framework for introducing public management strategy and tools
- The view and understanding on mission and vision has to be sharpened
- CAF assessments reveal
  - the lack of results
  - weaknesses in existing results
  - sometimes poor methods of measurement
- 29 cases show that CAF self-assessment leads to measurable improvements
Some conclusions on the cases (2)

- Innovative improvement actions are mostly related to the usage of modern ICT
- Job descriptions, skill profiles, job interviews, target setting etc. as aspects of modern HRM lead to better results in criterion 7
- Open information and communication policies inside and outside the organisation contribute to a fresh, modern culture of organisations
General conclusions on CAF

- CAF works – only if the management encourages and stands by the self-assessment
- Using CAF leads to better results for the organisation
- CAF motivates people
- CAF needs transparency and openness
- The awarding of scores is not the most important part of the self-assessments; defining improvement actions and benchlearning is most essential
General conclusions on CAF

- Quality management with CAF is a continuous process.
- The CAF self-assessment is an eye-opener for the linkages between enablers and results within the complex system of an organisation.
- CAF requires an introduction in certain concepts of public management and governance which are not in common use in everyday life – experienced moderation is helpful.

CAF Works: better service for the citizens by using CAF
Perspectives for the future (1)

- Mid Term Programme: 2010 registered CAF users by 2010:
  - Register actual and future users
  - New users
- New Action plan 2007-2008 at the end of 2006
- Registration of CAF as a Community Trademark (CTM)
- CAF Centre at 4QC (Tampere, 27-29 September 2007)
- 3rd CAF Users Event (Lisbon, 11-12 October 2007)
- Further development CAF eCommunity and good practices database (www.eipa.eu)
Perspectives for the future (2)

- CAF newsletter
- CAF and other quality instruments (BSC, EFQM)
- CAF in different sectors (CAF and Justice, Education, Local administration ...)
- Learning tools: eLearning, DVD
- Networks in specific countries (e.g. Belgium)