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**Study on the use of
the Common Assessment Framework
in European Public Administrations
&
2nd European CAF event, Luxembourg 1-2 June 2005**

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Preface

It was a great pleasure for me to open the 2nd European CAF Event on 1 and 2 June 2005, organised in the framework of the Luxembourg Presidency of EUPAN – the European Public Administration Network – in close cooperation with the CAF Resource Centre of the European Institute of Public Administration in Maastricht.

The event took place one week before the 12th informal meeting of Ministers in charge of the Public Service, a political moment of the highest importance for their informal cooperation network because here the medium-term work programme for 2006 and 2007 was adopted. This document is in fact the basis for the legitimisation of the cooperation within the network and provides the action plan that should guide the activities for the next two years in the fields of human resources, innovative public services, e-government and better regulation.

The drafting of the new medium-term programme has been marked by the general political context of the mid-term review of the Lisbon Strategy. It has demonstrated that efforts in the field of European cooperation between public administrations should focus as much as possible on innovative, competitive and effective public administrations and services so that they are capable of supporting economic growth, the creation of jobs and social cohesion and to deliver high-quality public services.

During the preparation and consultation phase I could also see that European administrations are facing comparable and common situations and problems, and that concerns to improve efficiency, performance and transparency are widely shared by the senior levels in the various Member States.

It is therefore all the more important that the EU Member States compare practices and exchange experiences where it concerns modernisation of the administration, simplification and reduction of administrative burdens, human resources management strategies and quality management.

Comparing and finding a common approach and language regarding quality is exactly the objective of the Common Assessment Framework (CAF); the CAF is the result of European cooperation within the Innovative Public Services Group, and its current state is the subject of this publication.

Launched at the First Quality Conference for European Public Administrations in Lisbon in May 2000, a second version of the CAF was presented in Copenhagen in 2002 at the Second Quality Conference and a new version has been announced for the Fourth Quality Conference, to be organised in Tampere, Finland, in September 2006. I am certain that the conclusions of the study and the various contributions in this publication will have an impact on this new version of the CAF model.

Finally, I would like to warmly thank everyone who contributed to the success of the 2nd European CAF Event and to the realisation of this publication.

The Minister of the Public Service and Administrative Reform
Claude Wiseler

**Study on the use of the Common Assessment Framework in
European Public Administrations**

Study on the use of the Common Assessment Framework in European Public Administrations

Introduction

During the Italian Presidency, the European Institute of Public Administration conducted a study on the use of the Common Assessment Framework within the European Public Administrations. The questionnaire-based study sought to identify the way in which CAF was promoted in the different Member States and how the tool helped public administrations to analyse themselves in an efficient way and to implement improvement actions in the context of a total quality approach. The results and major conclusions of the study were presented at the first European CAF Event which took place in Rome on 17 and 18 November 2003. They were discussed by nearly 120 CAF users in 4 workshops on national strategies, lessons learned, CAF and TQM strategy and CAF and other TQM tools.

Nearly a year and a half later, the Luxembourg Presidency asked EIPA, in accordance with the Mid-Term Programme of the European Public Administration Network, to conduct a follow up study.

Purpose of this study

In order to be able to trace effectively the evolution of the use of CAF in the MS and a number of other countries since the autumn of 2003, the new study follows the major objectives and the overall structure of the first one. Where useful, the data collected in the new study were compared with the previous data. In any case, changes will be put forward clearly. As already foreseen in 2003, changes have taken place in many fields. Some of the conclusions formulated in 2003 had to be reviewed or refined.

Since the start of this study, an important development has taken place. During its meeting in Speyer on the 2nd and 3rd of March 2005, the CAF expert group, composed of the national CAF correspondents, decided to launch a review of the CAF 2002 and to prepare a revised version for the 4th European Quality Conference in September 2006 in Finland, the CAF 2006. This study also focuses on useful inputs in this respect.

Scope of the study

As was the case in 2003, a questionnaire, prepared in collaboration with the CAF correspondents, was sent to the CAF correspondents and members of the IPSG to acquire information on the status of CAF in their country. The slight adaptations were designed to collect information related to the evolution since 2003. 26 correspondents answered the questionnaire, some in more detail than others, and not all the questions were answered by all the countries¹. We have tried to take due consideration of the spread of answers and hope that the study gives a good overview of the evolution of the use of CAF in the MS since the end of 2003.

¹ It is not very reader-friendly but, to give compact tables, we will use the official abbreviations for the countries names, listed in table 11.

For the organisations that have used the CAF since then, a questionnaire was put on line on the EIPA CAF website. Thanks to the efforts of the CAF correspondents, this time 67% of the answers came from CAF users that were not registered in the CAF database. The European solidarity shown by our Finnish colleagues seems to have been effective. They offered free entries to the 4th Quality Conference to two persons participating in the CAF survey. The 2 lucky winners will be selected by a draw.

The author would like to thank the Luxembourg Presidency for creating this opportunity to follow up the dissemination of CAF in Europe. He also wants to thank all the National CAF correspondents, members of the IPSG and CAF users who made the effort to fill in these demanding surveys. A special thanks to my colleagues Cosimo Monda, Eugène Deschaux and Franziska Kandolf who helped us with the creation and exploitation of the on line questionnaire. And last but not least I would like to thank my colleague Ann Stoffels. Without her help and continuous encouragement this study would not have come to fruition.

Patrick Staes
EIPA

Chapter I: CAF, the state of affairs mid 2005 in the Member States of the European Union, the candidate countries and Norway

During the Swedish Presidency in the second half of 2001, a network of national correspondents was set up to promote and support, within their own administrations, the use of the CAF as a tool to improve the quality of the public service. The European Institute of Public Administration was assigned the role of international CAF Resource Centre. Since then, on several occasions the Ministers in charge of the Public Administrations in the MS have stressed the need for cooperation in the field of the modernisation of public administrations². At the end of November 2004 the DGs acknowledged the continuing work to promote the use of CAF at European level in this sense³. Following an audit of the CAF RC during the Irish Presidency in 2004, more resources were provided by the institution. The Director-Generals approved a CAF action plan for the years 2005-2006.

It is therefore clear that promotion and coordination of the CAF at central European level has been on the increase since the beginning of 2004. Chapter I gives an overview of what has happened in the MS since then and the lessons that can be learned for the future. In Chapter II we will examine the ways in which the use of CAF and the conditions under which it has been used have or have not changed.

I.1. CAF – the context

First of all, we were interested in how the different correspondents view political support for CAF and other TQM tools in their country, to give us an idea as to the overall position adopted by governments on TQM in general.

Table 1: TQM tools and CAF and the political support

No formal policy (1)	Decreasing (2)	Constant (9)	Increasing (12)
IE	EE, LV	DE, DK, FI, FR, NL, PT, SE, SK, NO	AT, BE, CY, CZ, EL, ES, HU, IT, LT, LU, PL, SI, RO, UK

TQM tools

Table 1 indicates that TQM tools and CAF have found their place in most of the European Countries. As in 2003, EFQM, ISO, BSC and CAF are the most extensively used TQM tools in Europe in general, not counting specific national tools like VIC (Italy), INK (the Netherlands) and the Swedish Quality model. Most of the conferences on “Quality Management or Quality in the Public Sector”, both national (e.g. Germany, Belgium) and European, support the relationships between these different models. In **Austria**, EFQM is mostly used by schools and labour market services and ISO 9000 by specific organisations.

² E.g. Motion approved by the European Ministers responsible for public administration, at their 11th meeting in Rome on 1 December 2003

³ 43rd meeting of the Directors-General responsible for public administration of the European Union. Maastricht 22nd and 23rd November 2004. Resolutions.

CAF is implemented at all levels of government. **Belgium** has built up significant experience with Business Process Reengineering (BPR), trying to integrate self assessment as a preliminary diagnosis before starting a BPR. The introduction of Balance Score Cards aims at developing indicators together with satisfaction surveys for people and citizen/customers. To support vision and missions, codes of values have been introduced in some public organisations. The **Czech Republic** is also encouraging the use of CAF to initiate BSC and satisfaction surveys as well as for project management, internal audits, process management and reengineering. It also has some ISO and EFQM applications. **Denmark** is currently encouraging users of the Excellence Model to use CAF as an additional tool to increase the dissemination of TQM in their organisation. The tools that have been developed in relation to CAF make it easier to ensure a high degree of dissemination with a low use of resources. At local level, the KVIK/CAF is currently a better established brand than the EFQM Excellence Model. **Finland** is suggesting to users that EFQM and CAF can be used alternately: detailed analysis by EFQM every second year and a midway check by CAF in the year in between the EFQM analysis. The **Slovenian** yearly national EFQM reward is linked to CAF. In **Luxembourg**, a few public administrations are implementing ISO 9000.

The political support

The stability of the political support for TQM tools and CAF is evident in countries with some history in this field – such as the Scandinavian and Anglo-Saxon countries –, and in the **UK** the political support is even increasing. In these countries, choices of management tools are basically made at management level. In **Portugal** a law for the assessment of public sector performance was passed in 2004 with a tiny reference to organisations' assessment. The Directorate General for Public Administration recommended CAF as a tool in this field.

In several other countries the political awareness of CAF and TQM is growing and expressed in central government initiatives. In **Cyprus** the Council of Ministers decided, in September 2004, to encourage the dissemination of CAF to the broader spectrum of Public Service Organisations/Departments as a tool to improve their performance. In March 2004 the Government of the **Czech Republic** approved the process and the main targets of the reform and modernisation of the central state administration, where CAF is one of the recommended tools. In **Greece**, the implementation of CAF has been integrated into the programme of administrative reform “Politeia 2005-2006”. The **Hungarian** government promotes in its resolution 1113/2003 the dissemination of the CAF model in the public sector. **Italy** is promoting at national level a culture of quality in public services through a national survey on the adoption of quality management policies in Italian public bodies. The correct use of the CAF as a self-assessment tool is promoted and the planning of related improvement initiatives in public administrations supported. In May 2005 a prize for quality in public administration will be launched, aligned with the CAF model using external evaluation based on the EFQM. CAF will be part of the governmental programme on quality that will be finalised for the public sector in **Luxembourg** in the near future. A number of actions in the **Lithuanian** Action Plan for the year 2005-2006 for the Implementation of the Strategy for the Development of Public Administration by 2010, are related to CAF and other TQM tools in the public sector. The **Polish** Civil Service Office held for the first time on 29 April 2004 in Warsaw the Conference on the Common Assessment Framework (CAF) entitled “CAF as a tool to deepen quality of performance in the government administration”. New tools for modernizing public administration at the central and local level such as CAF are listed in the

Updated Strategy of the **Romanian** government concerning the acceleration of the public administration reform. In **Spain** political support for CAF and other TQM tools is increasing on the whole in the local administrations.

The decreasing support for TQM tools in **Latvia** is due to the demands of the European Commission since 2001 to improve the administrative systems in line with Copenhagen’s political criteria and national requirements. Quality management has not been a substantial issue in the public administration reform lasting recent years although the government did adopt in December 2001 the *Regulations and Recommendations for Introduction of quality management systems in public administration* (based on ISO 9000 standard requirements). Changes at the political level are the source of decreasing interest in **Estonia** since the autumn of 2003.

Current political support seems in any case to be more than sufficient to advance in the field of quality management.

Table 2: The renewal of the political support

Urgent	Permanently needed	Welcome	Not needed or not urgently needed
2	1	2	16

The implementation of CAF: voluntary, recommended or obligatory

In most of the countries, the political support mentioned translates into the recommended use of these tools.

Table 3: The implementation of CAF: voluntary, recommended or obligatory

Voluntary (9)	Recommended (15)	Obligatory (3)
AT, EE, FI, IE, IT, LV, NL, PT, UK,	BE, CY (highly), CZ (local level), DE, DK, EL, ES (for starters), FR, HU, LT, LU, PT, SE (TQM), SI, SK, NO	CZ (central level), SK (central level), RO

CAF is only obligatory in 2 new and 1 candidate Member State: they want all 3 to make a special effort to encourage quality management in their central administrations. On the basis of the information we received, it is impossible to describe the intensity or impact of the recommendations in the other countries. Looking in Table 6 at the activities and actions put into place, even where CAF is applied on a voluntary basis, it is obvious that these activities and actions organised at the central state level provide a very strong impetus.

I.2. CAF – Organisational Patterns and Resources

Organisational facets and networks

Appendix B shows that most of the national organisations/agencies in charge of CAF remain the same. Only in France, due to administrative reforms, has no organisation been officially appointed for CAF for the moment. In Estonia the responsibility for CAF has been transferred to the new Public Governance Policy Department of the Ministry of Finance.

The organisations responsible for the dissemination and promotion of CAF remain located centrally, meaning close to the central government and its Ministry in charge of public administration. Belgium, Germany and Spain maintain their specific way of involving regional and local levels of government. Appendix B also shows that the territorial and organisational partnerships have been kept in place.

Resources

Whilst the organisational facets and networks remain constant, a certain increase in the allocation of financial and human resources cannot be denied.

Table 4: Financial resources for the dissemination of CAF

No resources (5)	Decreasing (3)	Constant (6)	Increasing (10)
EE, ES, IE, LV, LU, SI, UK	FI, NO	DE, DK, FR, NL, PT, SE	AT, BE, CY, CZ, EL, HU, IT, LT, RO, SK

As CAF is not a priority in **Estonia, Ireland and Latvia**, no financial resources are foreseen. In **Spain**, expenditure on CAF is incorporated into the training budgets of the various public administrations.

The normal financial resources remain constant in **Finland** but the co-financing of a regional pilot project on the use of CAF has not been renewed. Since the **Norwegian** Statskonsult became an independent company, expenditures are strictly contractual.

Financial resources have remained constant in **Denmark** as the necessary products are available and the funding is adequate for securing reprint etc. of materials. The **Netherlands** published their Dutch version of the CAF in 2004.

Austria is planning a brochure providing in-depth information for the first half of 2006. Financial resources are seeing a 200% rise in **Belgium**. The Government of the **Czech Republic** is supplying additional financial resources to central state administrations and is expecting resources from the European Regional Development Fund for the implementation of CAF in municipalities and other public bodies. In **Hungary**, a new CAF online system has been financed by the government. The resources available in **Italy** for CAF-related activities are significantly greater than during the preceding initial phase of experimentation and dissemination. **Romania** is still in the planning phase of devoting financial resources to CAF.

Table 5: Human resources available for the dissemination of CAF

No resources (4)	Decreasing -	Constant (7)	Increasing (10)
EE, IE, LV, LU, NL, UK		AT, DE, FI , FR, HU, SK, NO	BE, CY, CZ, DK, EL, ES, IT, LT, PT, RO, SI

In **Latvia**, no specific resources have been dedicated as the dissemination of CAF falls within the remit of the staff responsible for quality development.

In seven countries, the investment in human resources remains at the same level as before. In **Finland**, 2 people at the ministry of Finance are investing about 5% of their time directly in the dissemination of CAF in the context of the selection process for Best Practices for Quality Conferences, giving presentations at various seminars and taking part in some steering groups of different projects involving CAF. Apparently this must be a very effective policy as Finland estimates to have 50 CAF applications and hopes to double the number by the end of 2006.

Cyprus is making a serious jump forward by employing approximately 5 persons on CAF. Given the rising demand for CAF in **Denmark**, more than 2 full-time persons have been working with CAF/KVIK, the adapted Danish version of CAF. In **Spain** more people are involved due to the cooperation between administrations on CAF. In **Italy** a project staff of 3 persons responsible for project activities at an administrative level and a group of 3 experts responsible for the co-ordination of activities at a technical level have been put into place. A technical-scientific committee has also been appointed, with a supervisory role. The learning lab activities are tutored by 5 senior experts and 5 junior experts, and the prize for quality will also involve several teams of evaluators. Four **Portuguese** senior officers are working with CAF but not exclusively. The **Romanian** government plans to assign people to the directorate general in charge of CAF but they will have to be trained first.

In general, apart from a number of countries that are not investing specific resources in CAF, the resources remained at the same level as in the starting phase of CAF up to the end of 2003. They have increased in 9 to 10 countries, in some in a modest way, in others very obviously. In what way political support for TQM tools and CAF is influencing this evolution is difficult to determine on the basis of the information we received but the comparison between Table 1 and Tables 4 and 5 at least suggests a strong link.

On the other hand, the example of **Finland** has taught us not to jump too fast to conclusions concerning the link between the amount of financial and personal investments and the number of CAF applications in a country. Maybe the level of experience with quality management already acquired and the strategy and activities put into place have a greater impact (see for example the result of specific programmes in the Czech Republic, Italy or Denmark). Or maybe we should refer here to what the scientific rapporteurs of the 3QC noticed in their report⁴: “Benchmarking, CAF charters and every other tool will fail to produce their potential

⁴ Christopher Pollitt, Geert Bouckaert and Elke Löffler, Quality Journeys in the European Public Sector: from there, to here, to where?, p. 29.

benefits unless they are led and supported by individuals who believe that they can and should make a positive difference to the quality of government and to the experience of citizens”.

I.3. The promotion and support of CAF

Since the launch of the CAF in 2000, a lot of activities have been undertaken in many European countries to promote and support the use of this common European tool for the improvement of public administrations. A first comprehensive overview was provided in the Italian survey. Apparently, this study and the first European CAF Users Event that followed, inspired a lot of European organisations. Many new countries have become active since then in more fields. In Table 6 we compare the activities and initiatives recorded in 2003 with those recorded at the end of April 2005. At the request of a number of countries we updated some data from 2003.

The table is divided into 6 sections.

1. Information on the CAF Model
2. Additional tools to help implementation of CAF
3. Training
4. Interactive support
5. Exchange of experiences
6. Information on application

In addition, we have made some final remarks on the different type of eTools developed in the context of the above activities.

For each section we have listed the tools or activities involved, the countries that were active in this field in 2003 and those active between 2003 and 2005. To highlight the evolution in each area, countries that have undertaken new activities since 2003 are shown in bold italic in the last column.

Table 6: CAF-related activities and initiatives

Tool or activity	2003	2005
1. Information on the CAF Model		
Publications of CAF (e.g. brochures) and on CAF (e.g. articles)	BE, DE, PL	BE, DE, <i>AT, CZ, DK, EL, FI, FR, LT, NL, NO, PT, SK</i>
Introductory conference or meeting		<i>CY, SI</i>
DVD on self-assessment		<i>DK,</i>
Provision of information on the website		<i>AT, DE, EE, NO, LV, NO</i>
Leaflets	FI	FI <i>CY</i>

Tool or activity	2003	2005
2. Additional tools to help implement CAF		
Special guidelines	HU, PT	HU, PT, CY, DE, DK, EE, EL, IT, SK, NO
Worksheets	AT, DE, IE, PT	AT, DE, PT CY
Case studies	ES	ES, BE, EE, HU, PT, SK
Pilot projects	CZ, EE, HU, IT, NO, PL, PT, SK, SI	CZ, HU, PT AT, CY, DK, FI, LT, RO
CAF-based projects	DK	DK, AT, FI, HU, IT, PL
CAF versions for specific sectors		BE, DE, DK, FR, HU, NO
Electronic application and evaluation tools	AT, DE,	AT, BE, DE (easy CAF), DK, ES, HU, PL, PT, SK
3. Training		
Special training on CAF	AT, BE, DK, EE, ES, PL, SI	AT, BE, DK, EE, ES CY, DE, EL, FI, FR, HU, IT, LT, LU, PL, PT, SE, SK
Seminars, workshops		AT, CY, DE, IT, PL, PT, SK
Learning labs		IT
E-learning	AT, DE, PT	DE, PT PL
4. Individual advice and coaching		
	AT, BE, DE, EE, IT, NO	AT, BE, DE, EE, IT, NO, CY, DK, LT, PL
5. Exchange of experiences		
User conferences	DE, HU, IT	DE, HU PT
Networks and partnerships	AT, BE, DE, DK, ES, IT, PT, SK	AT, BE, DE, DK, IT FI, HU
International Partnerships		AT, CZ, SK, HU
National Quality programmes		CZ
Quality conferences	EE, HU, IT, NO, SK	EE, HU, CZ, DE, FI, LT, PL
Quality awards / contests	AT, BE, EE, DE, IT, PT	AT (Speyer), BE, DE, IT, PT HU, PL
6. Information on application		
Methodological validation		AT, HU,
Database / good practice	AT, BE, DE, ES, HU,	AT, BE, DE, ES, HU CZ, DK, EL, PL
Questionnaires	PT	AT, DE, DK, NO, PL
Evaluation of the effort to disseminate CAF		DK

Information on the CAF model

Many countries have undertaken new initiatives to spread the CAF, mostly through publications of all kinds and information on the website. In others like **Luxembourg**, some work remains to be done in raising awareness of CAF.

The **Czech Republic** has published new brochures: the 2nd edition of the CAF model, Benchmarking in Public administration and Managing processes in the state administration – a case study of the town of Vsetín.

In Denmark, the dissemination of CAF has taken place through the so-called KVIK project, KVIK being the Danish version of CAF. One of the tools developed was a DVD on the self-assessment process documenting the experiences of two organisations as they undergo the phases of self-assessment. This DVD is intended as a way to give a realistic idea of what it actually entails to carry out self-assessment.

2000 copies of CAF have been distributed around the administration in **Finland**. As the distribution is demand driven, interest within the administration is quite high. In **Belgium**, a second batch of 5000 CAF brochures (Dutch and French together) has been printed.

Additional tools to help implement CAF

Special guidelines have been developed by at least 10 new countries. Five countries have drawn up new case studies. Pilot projects, started up before 2003, have been finalised and 6 new ones launched. In some countries, CAF versions for specific sectors have been developed in accordance with the common structure. Seven new countries have made electronic application and evaluation tools available. An overview of the electronic tools put into place can be found in Table 9.

In 2004 the **Czech Republic** conducted a pilot project in 26 regions and local administration bodies in a partnership between the Ministry of Interior, the Czech Republic Quality Council and the Czech Society for Quality. The 2nd round of this project is currently under way for another 25 organisations from regions and local administration bodies and public schools.

At the same time another project of the Government programme of the Czech Republic National Quality Policy is under way: the implementation of CAF by supervision authorities. The implementation of CAF for central state administration authorities is currently being tested in the Ministry of Finance.

Denmark has developed Guidelines for self-assessment. More emphasis has been put on the explanation of the self-assessment process, the assessment panels and the concrete examples to support the explanation of the sub-criteria in CAF. Included is also a self-assessment booklet to be used for the individual self-assessment, asking the individual to document strengths and areas of improvement for each of the sub-criteria and award a score based on the assessment panels. The guidelines have been developed in close co-operation with the 11 pilot organisations of the KVIK project. **Poland** has launched 5 projects covering self-assessment, planning and implementation of improvements. **Portugal** has produced a 235-page manual to support CAF application: 125 pages of content and 110 pages of support tools. Furthermore, it has set up a pilot project with the EFQM national partner evolving CAF application to the 1st level of excellence of the EFQM scheme, the commitment to excellence. An electronic worksheet will be developed later this year.

In 2004, **Slovenia** held an introductory conference and training session for CAF assessors. Due to extensive reorganisation of public administration taking place after the elections in November 2004, almost all actions are however temporarily suspended.

For certain sectors, specific CAF versions have been developed in some countries to help them to apply the tool.

Table 7: Specific CAF versions

The education sector	BE
Local government	BE, HU
County level	HU
Judiciary Sector	DE
Police	DE, DK, HU
Border guard	HU
Pension Insurance offices	HU
Adult training centres	DK
Voluntary relief organisations	DK
Music and Art Schools	NO
Ministry of Infrastructure	FR
Church administration	DE

It will be very interesting to examine in the future to what extent these versions can be exchanged among the European countries.

Training

CAF is an introductory tool but good training is a precondition for its successful application, as was already stated in the survey of 2003 and will be confirmed in part II by more than half of the organisations taking part in the survey. Ten countries have developed special training for the CAF since the end of 2003. Eighteen European countries are now providing CAF training. New initiatives have also been undertaken in the field of seminars, workshops and learning labs. Information from 14 countries indicates that approximately 1318 organisations have followed a CAF training programme to date.

Different actors are involved in different roles. In most of the countries, training is organised at ministry level (Belgium, Czech Republic, Estonia, Greece, France, Italy, Poland, Portugal, Slovenia), by the organisations in charge of CAF (SCKK in Denmark) or by the Institutes of Public administration (Hungary, Lithuania, Portugal, Spain). The execution is often in the hands of partners such as KDZ in Austria, the University of Speyer for the German-speaking countries, the Czech Society for Quality, Formez in Italy, The Slovak Society for Quality, the Regional Administrative School of the Murcia province and the Spanish Association of Municipalities and Provinces and the Swedish Institute for Quality. Private sector companies are providing services on CAF in Belgium, Denmark, Luxembourg and Portugal. EIPA has been providing training in Ireland, the Czech Republic and Belgium.

Different levels of training have been worked and presented at different target groups depending on their needs.

Table 8: Types of CAF training

Introductory lectures	CY, DE, DK, EE, EL, FR, IE, RO
Workshops and 1 to 2 days' training with practical exercises for organisations applying CAF	AT, BE, CY, CZ, DE, DK, EE, EL, ES, IT, PL
Trainer or assessor courses:	CZ, HU, SI
5-day training for leaders of CAF teams	CZ, SK
Learning labs	IT
E learning	DE, PT, PL

The **Danish** SCKK, the Centre for Development of Human Resources and Quality Management in charge of CAF/KVIK has supported the formation of 6 learning circles, where organisations share knowledge on how to carry out improvement projects within 4 themes: Strategy, HRM, Working Processes (x2) and Measuring (x2). These learning circles are supported by methods, tools and consultancy and have been an important element in securing on-going focus and commitment from the organisations in continuing their work on improving themselves. A process of development and conceptualisation of the tools and methods used in the learning circles is taking place in order to make these available on a more general basis to organisations not participating in learning circles.

In 2004, **Italy** launched a new project called “Creating Quality” (“Percorsi di Qualità”). The project took the form of a series of gradual steps towards the achievement of better quality: workshops, learning labs and the Award for Quality in Public Administration. Learning labs provide a guided approach to CAF implementation in five major PA sectors: central and regional government bodies, local health authorities, municipal and provincial administrations, schools and universities. They are also intended to help to identify and focus on improvement initiatives. They are run by CAF and TQM experts who will work with the administrations over a period of 8 months. Currently 120 Italian administrations have joined the Learning Labs.

Poland is implementing 2 e-learning training courses. The basic course covers self-assessment with the use of a questionnaire on-line. The advanced course is on improvement planning based on the self-assessment results. The self-assessment workshops that have been held in about 8 organisations can also be considered a form of individual advice.

Portugal completed its 1st edition of CAF e-learning in May 2005, in which 29 participants took part. It was part of a combined learning programme including e-learning and personal attendance sessions. In +/- 200 hours participants train to become versed in CAF and receive a diploma afterwards. This is also the case for **Czech** trainees who follow the training provided in their country.

Individual advice and coaching

The number of countries organising advice or coaching of individual organisations has also increased since 2003. This responds to a clear need as notified in part II of this study. 70% of the 133 organisations received external assistance in the preparation, implementation the exploitation of the CAF.

Exchange of experiences

Most correspondents agree that Quality conferences and Quality awards continue to play an important role in promoting the exchange of experience but also, very evidently, in the dissemination of CAF. Nevertheless, they confirm the conclusion of the previous study that the impact of the European Quality Conference on CAF should not be overestimated and there is certainly room for improvement here. National and regional conferences on the other hand seem to be more effective. Users' networks, partnerships and CAF user conferences have the same objectives as the Quality conferences but are more focused. Another intensive way of exchanging experiences is the first international partnership set up between 4 central European countries, namely Austria, Czech Republic, Hungary and Slovakia.

In **Belgium** all levels of government are involved in the National Quality Conferences that take place every 2 years: central, regional and local, including such sectors as defence, police, justice and education. For the 3rd Conference in November 2005, CAF is still recommended and will be used as a framework to assess the good practices proposed to the international jury, but is no longer compulsory. Participants at the last **Speyer Quality Award** were not obliged to conduct a full self-assessment either. It will be interesting to see if and how this evolution will affect the spreading of CAF in the countries that are concerned. Of course, the 3rd CAF-User Conference scheduled to take place in 2005 in **Germany** guarantees the focus on CAF.

The 1st **Czech** National Conference of Quality in Public Administration was held in December 2004 in Ostrava. The 2nd International Quality Conference in Bratislava, **Slovakia**, had as a theme: the CAF model in the Public Administration. CAF is also on the agenda of the **Slovenian** Quality Conference from 23 to 25 May 2005.

During the first Quality Conference for local administration in the **Flemish** region in April 2005, the CAF model and CAF applications were discussed. This Conference was the result of a new network launched in 2004 among local administrations interested in quality management in general and CAF in particular. CAF was also presented at quality conferences in the Spanish regions of **Galicia** and **Navarra**.

The first **Italian** Award for Quality in Public Administration will be launched in May 2005 and finalised in May 2006. The reference model is the CAF as every applicant administration should apply the CAF. The assessment for the award also involves an external evaluation on site similar to the one used for the EFQM award. The award is not seen as a competition but rather as a further means for CAF implementation and the promotion of a culture focused on quality throughout the major Italian PA sectors.

At the annual conferences of the International School of Quality in **Poland**, the CAF shall be promoted. 4 Polish organisations took part in the EFQM scheme "Levels of Excellence" at level one, "Committed to Excellence". They used CAF for their self-assessment.

Portugal held a Good Practices Contest among Local Authorities in 2004. A workshop to share good practices on CAF is planned for the 2nd semester of 2005.

Information on application

As the application of CAF is expanding and exchanging experiences and good practices is one of the key objectives of this tool, gathering information on the use of CAF in a systematic way is on various countries' agendas. Eight countries currently have a CAF database (see

table 9) and 4 others are planning to create one: **Italy, Latvia, Portugal and Slovakia**. On the other hand, organisations are reluctant to input their experiences into a database, especially their scores. The same applies to the EIPA databank; organisations often don't see a benefit to registering and inputting their scores. Therefore, it is important to foresee the input of qualitative information in the database(s) as a starting point for bench learning.

In **Poland**, a good practice database is run by the Umbrella Association of Consultants.

In **Portugal** a project has been approved, financed by Social European Funds, to create a Digital Database of Public Administration Best Practices which will include successful examples concerning quality and innovation in public services. This database will also include CAF application experiences if considered good practices. This Database will be developed in 2005/2006.

The structures of all CAF databanks have not been mutually compared or analysed in relation to the database of EIPA. Nine countries are linked to this databank. The following suggestions for improvement were made in that respect:

Belgium proposes to develop common databank software linked to the EIPA databank, and to connect the different databanks in a network giving direct access to the national databanks and EIPA. **Germany** suggests providing the national CAF agencies with a direct link to a "register button" at EIPA to complete the database. In **Italy's** view EIPA should first of all improve the visibility of the CAF on its website. Both the section of the Cantieri website (www.cantieripa.it) devoted to the CAF, and the new page with reserved access dedicated to the "creating quality" project on the Formez website, contain links to the EIPA site. Participating administrations should be offered the opportunity to compare their own performance with the overall average achieved by all other organisations and with their own results over time, e.g. through periodic on-line analysis of information in the database.

Several countries such as the **Czech Republic, Denmark, Germany, Greece, Estonia, Italy and Portugal** feel it necessary to expand the nature of the databank from an address database to a knowledge database. This would facilitate in a more effective way the search for bench-learning partners and the mutual learning from each other's good practices. Information could be gathered, for example, by a permanent questionnaire on the CAF website and then installed in the database. In this sense, **Portugal** would like to expand the EIPA databases content to the entire cycle of CAF application, meaning the self-assessment and improvement activities. Information should be added about public achievements (awards, contests, etc.) and a summary of the application process. To develop this good practice database, EIPA could, according to **Italy**, invite organisations to submit a description of their "good practice examples" in a standard format, to be published on the EIPA website. It would be useful to consider appropriate incentives for administrations to participate in this initiative, such as free attendance at EIPA seminars or EPAN (QCs and CAF) events. The **UK** proposes that more or less the same type of information should be put forward: information on initiatives or indicators of good practices identified to describe the examples of the CAF sub-criterion, on good examples of improvements plans based on CAF applications and on experiences with CAF and other TQM models.

The **Czech Republic** wants to go further in the comparison of good practices and seeks more accurate rules for comparable assessment.

Electronic tools

In the promotion and support of CAF, a number of electronic tools have been developed over the last few years by certain countries: AT, BE, CZ, DE, DK, ES, EL, FI, HU, as described already in the previous sections.

Denmark has developed an online tool to be used for compiling the individual scores and providing the KVIK co-ordinator (or moderator) with a coherent document including all individual scores and evidence as input for the consensus dialogue. At the third quality conference in Rotterdam (September 2003), **Hungary** presented the on-line tool it had developed for the same purpose. In order to collect, systemise and analyse the good practices and solutions in the **Hungarian** civil service, an administrative innovation centre (KINCS) was established by the Civil Service Office. The task of this database is to present the good practice results achieved by the public administration.

Table 9: Electronic CAF tools

Website with general information on CAF and/or registration of CAF users	AT, BE, ES, FI, NO
Registration of CAF users in a database	AT, BE, CZ, DE, DK, EL, ES, HU
Training tools “learning about CAF”	AT, DE, HU, PT, SI
Facilitation of CAF application/implementation	AT, DE, DK, HU, SI

The CAF Expert group, composed of the national CAF correspondents, will maximise the mutual learning effect of this tool in the future.

I.4. CAF – its implementation to date

The use of CAF in the different countries

It remains difficult to centralise information on the number of CAF applications at national and European level. This is due to the nature of the tool itself - a stimulus for individual organisational development via self-assessment – as well as the European context in which it was created – an open coordination or voluntary cooperation between countries. Nevertheless, as measuring is one of the key aspects of quality management, we tried to get an idea as to how the use of CAF is developing. As in the 2003 study, the national correspondents were asked to estimate the use of CAF in their country. Some had access to no information at all, some didn't want to guess and others warned that care was needed when generating the figures. In the autumn of 2003, 22 countries estimated roughly having generated 500 applications. In 2005, 20 countries estimated having generated around 885 applications in their countries, a 75 % increase. 17 countries made an estimation as to potential additional applications by the end of 2006: 990. Italy claims a significant portion of these: 270. By the end of 2006, this could lead to +/- 1875 CAF applications in the European countries.

Things have changed rapidly since the end of 2003. It no longer seems worthwhile ranking the countries, categorising them into 6 groups in relation to the number of their CAF applications. To provide an idea of the spread of CAF, 2 groups are sufficient. Countries with more than 30 applications can be considered to have already established a sound basis for the further use of the CAF. Countries with fewer than 30 applications can be credited with having gained initial experience with the model. Maybe they are on their way to joining the first group.

Table 8: The use of CAF in different countries

More than 30 applications	AT, BE, CZ, DE, DK, FI, HU, IT, NO, PT, SE, SI
Fewer than 30 applications	CY, EE, EL, ES, FR, IE, LV, LU, PL, SL, UK, RO, BG

Plans and problems in disseminating CAF and corrective measures

Looking for an explanation for this growth in the use of CAF is not easy. The questions relating to the plans drawn up in the different countries since 2003, the difficulties they encountered in implementing these plans and the corrective measures they undertook, gave little or no information. 8 of them just answered that they had fully implemented all their plans, 2 only partially and 6 others had developed no specific plans at all. In comparison with 2003, more countries are planning their CAF support in a structured way, such as, for example, Austria, the Czech Republic, Denmark and Italy, but there is certainly room for improvement. Even more than in 2003, the whole range of different activities offered by the different Member States to their CAF users as demonstrated in Tables 6 to 9 has invited organisations to appeal for CAF to improve their functioning. The impact of national quality conferences or awards involving CAF is diminishing and CAF is being more and more “spontaneously” used. It seems to have become a tool that has proven its added value.

Methodological confirmation of the CAF application

The question arose whether the application of CAF requires methodological confirmation. The opinion of the correspondents is really divided into 2 equal camps.

Eleven countries do not see the need for methodological confirmation as CAF is an introductory tool and mostly implemented on a voluntary basis. **Sweden** is even trying to get away from the focus on the different models and instead is focusing on content and context. In this sense a methodological validation for CAF is contradictory.

Ten countries consider that such a validation could be useful for 3 different reasons. First of all, the context of awards demands rigorous external evaluation alongside the process of self-assessment. This could also help organisations that want to start up benchmarking on the basis of the results of a CAF application. And last but not least, external validation can help organisations to improve their CAF implementation procedures.

The latter could be done by public or private experts with a formal qualification following CAF assessor training organised at European level, e.g. by EIPA as **Belgium** and **Italy** suggest. **Portugal** suggests a double role for these auditors or assessors. They could ex-post validate the results of the self-assessment process or even take part in a self-assessment team to validate the process. In any case, these experts should have a good background in public administration.

I.5. Plans for the future

In the European countries

24 countries transmitted information on the actions they plan for the future.

In some countries actions are not planned (**Estonia**) or not finalised (**France**) due to political or administrative changes. In France, the government will probably recommend the use of CAF in the future. **Luxembourg** hopes that the inclusion of CAF in the national Quality programme will give new impetus to the model. **Ireland** foresees the use of CAF only as part of a tool set in organisation development projects. The same applies to **Latvia** where CAF is one of the suggested quality management tools besides the Latvian Quality Award, ISO, citizens' charters and recommendations by the Government. The **UK** will continue to support the use of CAF in Europe and to act as the conduit for information/communications about CAF to the UK Public Sector. It will not actively promote CAF in the UK as it will continue to promote the wider adoption and use of the EFQM Excellence Model, but when approached it will provide information and support to those organisations that request it.

Other countries like **Austria**, **Finland**, **Italy**, **Lithuania** and **Spain** will continue to execute their current strategy. **Italy** will decide whether to extend the learning labs and the prize for quality in public services after an evaluation of the results achieved by the current project. It will certainly continue to work on the promotion of the network involving the administrations that have applied the CAF, raise the profile of the administrations that receive prizes for quality and to disseminate their experiences across the wider public sector.

In many countries training is top of the CAF agendas. **Belgium** plans to organise regular CAF training twice a year in the official training office. **Cyprus** intends to prepare an action plan on behalf of the Council of Ministers by examining the possibilities for further training on

CAF-related matters and the preparation of a quality conference. **Greece** also seeks to promote the further dissemination of CAF by means of training programs. **Poland** plans to hold training sessions for the Directors-General. **Portugal** will continue with its CAF training courses, focused on the implementation of the tool. **Romania** envisages training by EIPA for 4 or 6 members of the Central Unit for Public Administration Reform to become trainers of the members of the national modernisation network. **Slovenia** will also further invest in training.

The **Czech Republic** plans to continue the pilot project of implementing the CAF model at regional and local administration level, to train civil servants as “regional experts and assessors” for neighbouring PA organisations and to develop a CAF manual for organisations at local and regional level. At central state administration level, the activities of the central state administration reform project “Introduction and development of quality management in central state administration” will continue and a CAF manual for central state administration will be updated.

Germany wants to expand the “easy CAF” to a knowledge database and to continue organising CAF user conferences and producing CAF publications. **Denmark** aims to increase the number of users of CAF and CAF tools, stressing that CAF is a tool of dialogue that is relevant in a period of transformation and can be used in combination with the Excellence Model.

Like Germany, **Hungary** will promote its new online CAF system and disseminate CAF further. It wants to increase the efficiency of CAF and is participating in the pilot project of regional bench-learning.

The **Norwegian** Agency in charge of CAF, “Statskonsult”, will continue to disseminate the CAF in its daily work and to offer assistance with CAF applications. It will improve its website and conduct a survey to gather more information.

In **Poland**, the Office of Civil Service plans to continue implementing the information actions in the form of CAF conferences and seminars, and by taking part in similar events in other countries, particularly in EU countries.

To support the CAF users’ community, **Portugal** decided to create the «CAF post» on the site of the Directorate-General for Public Administration and to create an electronic worksheet for the self-assessment process to be used by CAF users. The development of a survey of CAF users, of pilot projects or case studies on CAF implementation and on CAF versus other TQM models is also planned.

Slovenia wants to set up a national database on best practices in 2005-2006 and to develop indicators for measuring performance of ministries based on CAF criteria.

Demands placed on the CAF Resource Centre at EIPA

During the Irish Presidency, an external evaluation of the functioning of the CAF Resource Centre at EIPA was made. The users, i.e. the European Member States, were also asked for their opinion. The CAF network was also involved in the drawing up of the CAF action plan 2005-2006 that was approved by the Directors-General in November 2004. In the context of this study, some countries advanced more suggestions as to ways to strengthen the relationship between the CAF Resource Centre, the national correspondents and the public administrations in Europe.

First of all, national CAF correspondents should be themselves more proactive in informing the CAF RC about the CAF actions at national level, according to **Sweden** and **Finland**. They could be invited to do so by a regular letter such as “Tell us about your organisation” from the CAF RC and forward this to the national administrations. Once this kind of information is transmitted on a regular basis to the RC, it could be put on the CAF website or sent in the form of a regular newsletter.

Regular sharing of information in an appropriate way is considered part of the core business of the CAF RC by many countries. This can be done by publishing relatively short but convincing articles or analyses, showing the benefits for organisations, as the **Netherlands** propose. **France** wants to see such articles appear in the ministries’ journals, contacting the modernisation networks that exist in each ministry. Interventions by the CAF RC during special events in the respective countries, such as the presenting of Quality Awards, are also recommended.

Germany would like CAF Events to be held at regular intervals and suggests installation of a discussion forum or a mailing list on the CAF website. **Estonia** sees an even more active role for the CAF RC in enhancing the cooperation between organisations that want to share best practices and learn from others through the launch of international projects. More generally, **Italy** is seeking the support of the CAF RC for the development of communities of practice to facilitate the launch of benchmarking activities. Communities of practice of this kind would benefit from the regular dissemination of information on CAF-related initiatives undertaken by EIPA at European level, on relevant projects carried out within Member States, and on recent additions to the CAF database. A regular newsletter would also provide useful support for administrative bodies (whose performance has been validated through external evaluation) interested in participating in benchmarking activities.

I.6. Evaluation

In the first part of this study we tried to get an idea of the further development of the CAF model in Europe since the situation was first reviewed in November 2003.

On the basis of the rough estimates of the national CAF correspondents it can be concluded that the use of the CAF has undeniably further increased: from 500 applications in late 2003 to nearly 900 in mid-2005. Furthermore, expectations are that by the end of 2006 the milestone figure of 1900 applications may well be exceeded, i.e. another doubling. All tables indicate that the difference between “old” and “new” Member States is fading, which is also apparent in Part II of this study.

This means that the CAF has clearly gained a foothold among the TQM tools used in Europe. The political support in European countries for the dissemination and use of these models is considerable and is even generally increasing. This support is nearly always of an encouraging nature and not imperative. This fits in very well with the character of these quality models. They are there first and foremost for the development of the organisations themselves. The extent to which these organisations “make them their own” makes or breaks their effectiveness.

The resources available to the CAF remain constant or are increasing. Every country decides for itself what investments are most appropriate and best suited to its own situation. This means that there is not much point in comparing the levels of these investments, all the more since the primary aim is to learn from each other and not for everyone to reinvent the “expensive” wheel. Whether there is a direct cause and effect relationship with the increased number of initiatives is moreover difficult to say. The approach and engagement of the people involved seem to be just as important. The support from the European network may also have an impact here.

The fact that the activities regarding the CAF have increased considerably, also in diversity, is shown by Table 6. Guidelines, training, databases and electronic tools are more widespread than ever. Over 1300 European government organisations have already followed CAF training. In some cases first steps can be seen towards training in improvement actions resulting from CAF self-assessment. The background to this development is that the instrument is increasingly used for organisations’ own development, whereas in the initial phase the aim was often a place on a conference podium. Such conferences continue to be important for information purposes but are becoming less significant for providing incentives. Other, smaller-scale initiatives such as user networks are emerging.

The increase in databases and the expectations from the CAF Resource Centre at EIPA also demonstrate the large need for exchange of data. Indeed, considerable progress can still be made in this field. Besides establishing more intensive personal cooperation within the group of CAF correspondents, these initiatives may help in removing the divide between countries that have more than 30 CAF applications and those that have fewer.

The wish of a remarkable number of countries to gain more methodological certainty about the quality of the application of the model also arises from the desire for a reliable exchange

of information. This moreover indicates that the need for a “common” assessment framework continues to exist, despite the fact that adapted models for specific sectors are emerging. In the context of the development of the CAF 2002 to the CAF 2006 due attention will have to be paid to this.

Chapter II: Using the CAF in practice

Chapter I of this study showed that the use of CAF is further spreading in the European countries since the end of 2003. Therefore, it is for example not surprising that we received answers on the questionnaire for the CAF users from 5 more countries than in 2003. In chapter II we'll examine if and how the use of CAF itself has changed. In 2003, the authors of the study disposed of a period of 4 years of CAF use to reflect on. During that time, the original and the first adapted version of the model were both implemented. For the current study, the reference period was only one year and a half and the CAF 2002 version was the far most used version.

Chapter II is based on the information gathered from the 133 questionnaires returned to EIPA by individual organisations from 23 different countries.

The questionnaire has been addressed by EIPA to 101 organisations in Europe that used the CAF 2002 since November 2003 and had communicated this to EIPA (i.e. those registered in the CAF database kept at EIPA). Simultaneously, the national CAF correspondents have approached known and potential CAF users in their country. Organisations were offered a special incentive to fill in the questionnaire by the Finnish organisers of the 4 QC in the form of 2 free entrances.

On the 5th of April, 133 organisations had completed the on-line questionnaire through the CAF pages on the EIPA website www.eipa.nl. These organisations have thus provided the information upon which the following analysis is based. We would like to thank them all for their readiness to take the time to participate in this survey.

The table on the next page summarises information on the 23 countries which have participated in the survey (on an individual basis), compared to the 18 countries which participated in the previous survey in 2003. Whilst there is a clear link between the numbers of organisations contacted in each country by EIPA (column 3) and the received answers, with for example less new CAF users registered from Austria, Belgium and Italy, it also appears clearly that many CAF users not yet known to EIPA have participated in this survey thanks to the effort of the national CAF correspondents.

In this chapter we will analyse first the basic characteristics of the administrations that have replied to the questionnaire (section II.1.), then the context within which the CAF was used (section II.2.), the self-assessment process (section II.3.) and the experiences made (section II.4.). A final section will be devoted to good practices and benchmarking (section II.5.).

Table 11: The number of administrations that participated in the survey

	Replies Italy 2003	Replies Lux 2005	Sent EIPA Lux 2005 (1)	EIPA dbase Feb 05
EUROPEAN UNION				
AT - Austria	20	6	7	33
BE - Belgium	45	17	18	93
CY - Cyprus	-	5	0	0
CZ - Czech Republic	2	21	27	29
DK - Denmark	-	10	0	0
DE - Germany	21	6	0	38
EE - Estonia	8	3	1	12
EL - Greece	4	3	0	0
ES - Spain	3	2	0	0
FR - France	1	4	3	4
IE - Ireland	1	1	0	0
IT - Italy	19	6	3	44
LV - Latvia	-	1	0	0
LT - Lithuania	-	-	0	0
LU - Luxembourg	-	2	1	1
HU - Hungary	3	8	14	14
MT - Malta	1	-	0	0
NL - Netherlands	-	-	0	0
PL - Poland	-	3	0	0
PT - Portugal	6	14	2	4
SI - Slovenia	10	3	18	29
SK - Slovakia	9	8	0	8
FI - Finland	1	3	0	2
SE - Sweden	-	3	0	0
UK - United Kingdom	-	-	0	2
CANDIDATE COUNTRIES				
Romania	1	1	0	0
NORWAY	1	3	7	8
TOTAL	156	133	101	321

II.1. Basic characteristics of the administrations

Country of origin

Most of the countries present in the previous survey, are again represented now

- some to a lesser extent (Austria, Belgium, Estonia, Germany, Italy and Slovenia)
- some to a bigger extent (Czech Republic, France, Hungary and Portugal)

Furthermore, we have been able to gather information from several countries that were not yet represented namely Denmark, Cyprus, Latvia, Poland and Sweden.

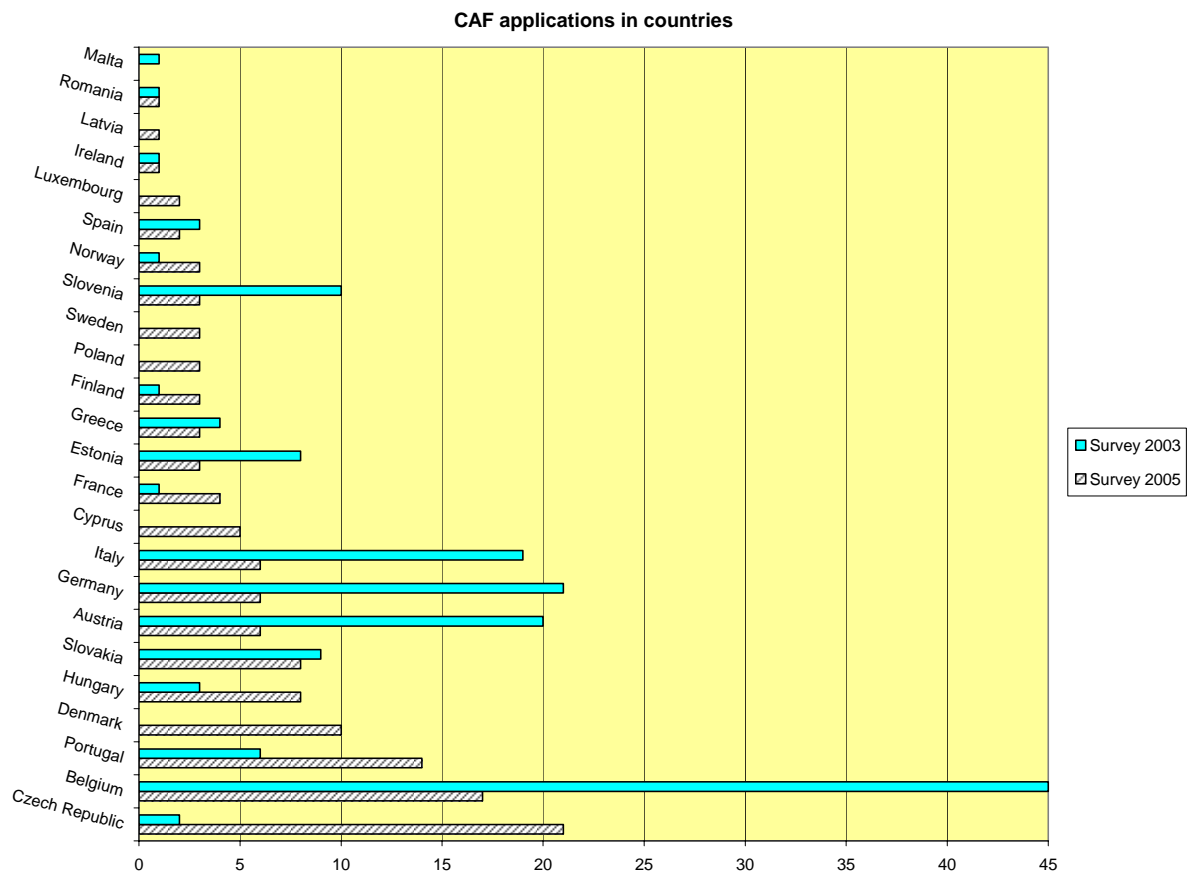
In Cyprus, the process has just started and the 5 organisations concerned could therefore only provide limited input, in particular with regard to the follow-up still to take place.

Italy also just launched a new project in 2004 “Creating Quality” and its effect will only be tangible after the ending of this survey.

As the on-line survey was only available in two languages (English/French), this might explain a more limited participation in Austria and Germany than the previous time, when a German version of the questionnaire was available.

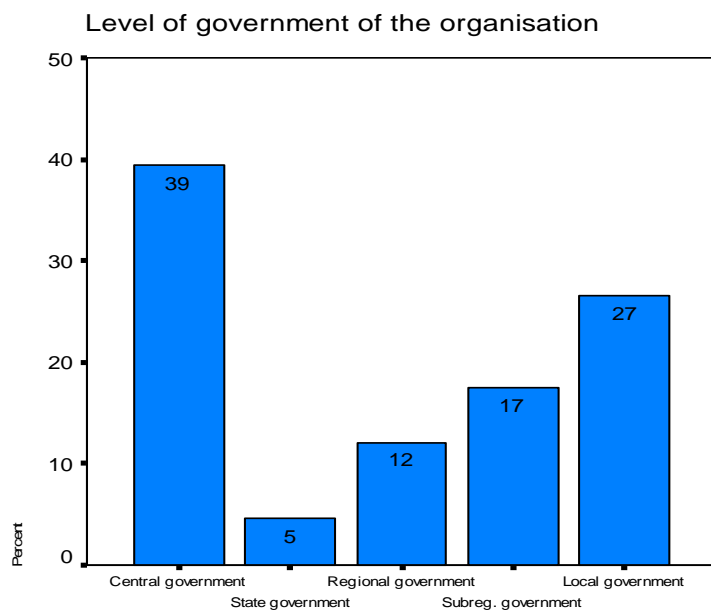
In any case, this feedback from more and new countries, creates a very reliable basis for reflections and conclusions on the use of the CAF model from a broad European perspective.

GRAPH 1



Level of government

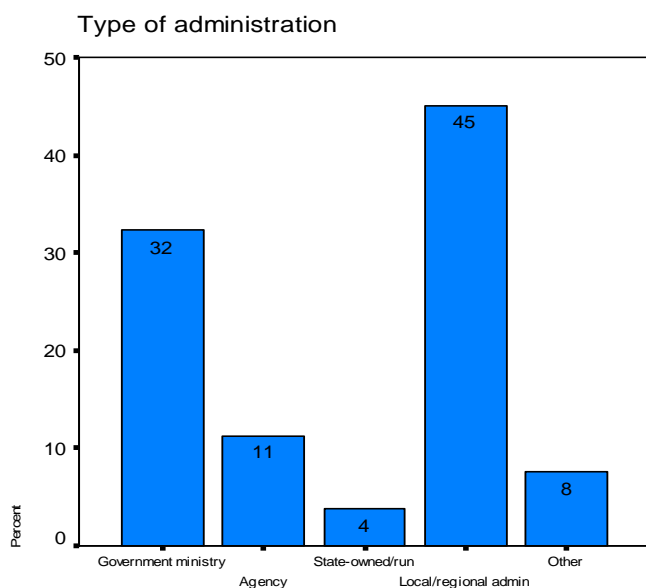
GRAPH 2



The organisations from the central and state governments (44 %) are the best represented in this survey at the expense of the local governments. This gives at least an indication that CAF is finding its way also in the central levels of government.

Type of administration

GRAPH 3



Here we also notice a slightly better representation of government ministries. Compared to 2003, 2 more state-owned or state-run enterprises answered the questionnaire.

Sector of activity

Table 12

	N°
Local administration (municipality, province)	44
Education and research	18
Social services & social security	16
Economy, agriculture, fisheries and trade	10
General policy and oversight / coordination	7
Transport, infrastructure, public works, utilities	7
Public sector management departments (P&O, budget, ICT etc.)	5
Environment	4
Justice and law	4
Customs, taxes and finances	3
Health	3
Police and security	3
Culture	2
Home affairs	2
Post and communication	1
Foreign affairs	-
Other	3

132 replies

Three organisations could not be inserted in one of the sectors. Two are from Austria: the “*Heerespersonalamt*” and the Upper Austrian Court of Audit. The third one is the Slovakian Office of public procurement.

Although local administrations certainly run activities that can be situated in one of the other sectors of activity defined above, as a public administration they clearly want to be considered as belonging to one specific sector.

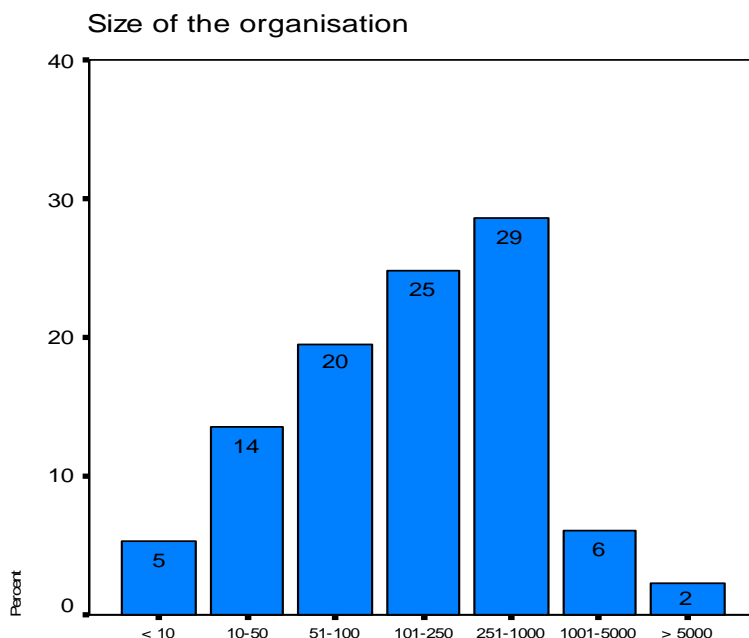
With regard to Portugal, it is important to note that several departments within the Ministry of Social Security participated independently in a CAF project, and provided individual answers to the questionnaire, which explains why the sector of Social services & social security is so well represented here.

In Norway, a specific programme was set up to implement CAF in the Norwegian music and arts schools, organised at municipality level. We find them here in the education sector.

In any case, from the perspective of bench learning activities in the future, it is interesting to see that CAF has been implemented in a wide range of sectors.

Size of the organisation

GRAPH 4



The size of the organisations is comparable with those who took part in the survey of 2003. The model is applied in all size of public organisations but more than 50% have between 101 and 1000 employees. The very small (<10) and the very big organisations (>1000) remain the exception. As 95% is ready to use the CAF again (see table 44), this indicates that the model suits all sizes.

Application in the whole or a part of the organisation

Table 13

2005

2003

N*	%		%
95	71 %	In the whole organisation	72 %
38	29 %	In part of the organisation	28 %

As so many big administrations indicated to have applied the CAF, it should not surprise that 38 did so in only a part of the organisation.

Existence of a special quality unit / team or group in the organisation before the use of the CAF

Table 14

2005		2003	
N°	%		%
40	30 %	<i>Yes</i>	41 %
92	70 %	<i>No</i>	59 %

Experiences with other tools of quality management or improvement before the use of the CAF

Table 15

2005		2003	
N°	%		%
37	28 %	<i>Yes</i>	49 %
93	72 %	<i>No</i>	51 %

The 2 comparisons above show clearly that this time more answers came from organisations with less experience on quality management and with less support from a special quality unit or team. They reflect more or less the target group for which CAF was as a starting up tool was made for.

The use of TQM tools and quality or management instruments at the moment CAF was applied is also more reduced than in 2003. The EFQM excellence model has this time a higher score than quality circles and ISO 9000/2000 but the differences between these 3 are limited. They are the best known tools as they were in 2003.

TQM models and Quality or management instrument(s) in use when the CAF was applied

Table 16

TQM models in use when the CAF was applied	N°
EFQM Model	15
Quality circles	10
Speyer Qualitätswettbewerb	3
QFD (Quality Function Deployment)	1
FMEA (Fehlermöglichkeits- und -Einfluss-Analyse)	2
Other TQM model (national or sector)	9 (*)

(*) The following models were mentioned (under "other"): USK (Sweden); Polish Quality Award; Valutazione Integrata del Cambiamento (VIC); Iso 9001:2000 (2x); Management reports, Plans of Activities.

Table 17

Quality or management instrument(s) in use when the CAF was applied	Current use	Future use
Customer satisfaction surveys	11	44
External and internal audits	11	21
ISO 9000 /2000 standard(s) with certification	10	12
Employee satisfaction surveys	9	54
Project management	8	25
Balanced Scorecard (BSC)	6	30
Leadership development tools (assessment centres,...)	5	20
Complaint Management	5	12
Contract management/ management by objectives	4	15
Suggestion system	4	13
Cost accounting and result accounts	3	15
Deming Approach (PDCA)	3	13
Appraisal by subordinates	3	11
Service Level Agreement (SLA)	3	6
ISO 9000 /2000 standard(s) without certification	3	5
Planning and policy development tools	2	31
Business process re-engineering	2	12
Strategic management of competencies	1	13
Eco-Management and Audit Scheme (EMAS)	1	3
Performance management development systems		17
Investment In People (IIP)		11
Supply chain		2
Kaizen		1
Other	3	6
	97	392

Actually, the use of quality or management instruments was limited before they applied CAF. Most used are customer and employees satisfaction surveys, external and internal audits, ISO 9000 /2000 standard(s) with and without certification, project management and BSC. But the ambition to use more of these tools in the future is very high. It is not clear in which way the use of CAF has influenced this evolution but one could consider the possibility.

II.2. The use of the CAF: the context

A second, updated and improved, version of the CAF was launched in October 2002 under the Danish EU Presidency. This version was used by the majority of organisations participating in this survey (89 %). As only 14 organisations from 10 different countries indicate they have used the original CAF version, we consider that this study applies to the CAF 2002.

Number of use and time span in between

Table 18

How many times have you used the CAF	N°	%
Once	103	80
Twice	17	13
Three times	8	6

Table 19

Time span between the last two uses of CAF	N°
One year	17
Two years	9
Three years (Norway)	1
Four years	-
More than four years (Norway)	1

In 2003, 85% of the organisations had only used the CAF once, in 2005 there is a slight reduction (80%). As the CAF is used for five years now (including the pilot phase), it makes sense that more organisations have been able to apply the CAF a second time. We would however not like to draw conclusions on the numbers. It should indeed be noted here that we have addressed the CAF users/ applications since the end of 2003 to participate in this survey. Most of them are starters who used the model for the first time and their remarks should be considered from this perspective.

Reasons for using the CAF

Much more relevant of course is the question why organisations went for the CAF. On the basis of the closed questions in the previous questionnaire and the answers on the open questions, a number of possible reasons that could be decisive for using the CAF were presented to the organisations. They were both internal and external.

Table 20

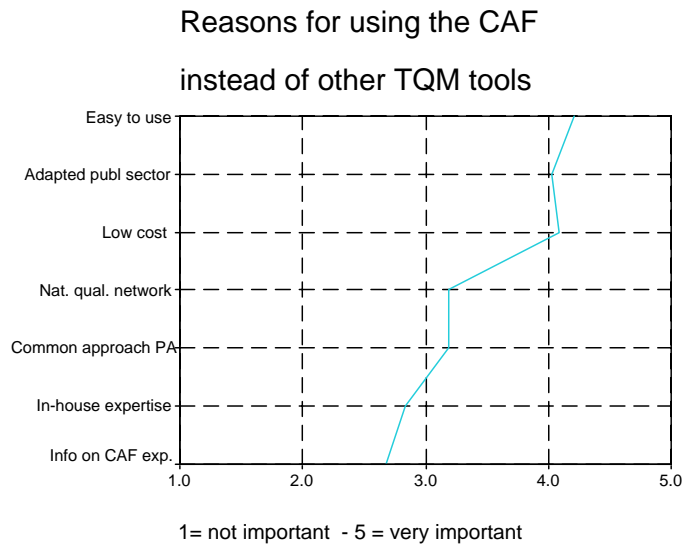
Reasons	Average	Type
The organisation wanted to identify strengths and areas for improvement	4,20	Int
To develop sensitivity to quality issues	3,63	Int
Intention to involve staff in managing the organisation and to motivate them	3,57	Int
As an input into ongoing improvement activities, restructuring etc.	3,54	Int
The organisation used the CAF as a first diagnosis in the start of a strategic planning process	3,53	Int
To promote the exchange of views in the organisation	3,51	Int
Because the top management wanted it	3,43	Int
To prove that the organisation is willing to change	3,17	Int
To promote cultural change in the organisation	3,14	Int
To embed a new system of performance management/measurement	3,09	Int
Need for a quick "health check" of the administration	3,07	Int
Increased sensitivity of staff to quality	3,07	Int
Because the CAF was communicated in a convincing way	3,05	Ext

We were looking for a tool to launch benchmarking	3,03	Int
To face a growing need for accountability and strengthen the legitimacy towards all the stakeholders	2,90	Ext
As a reaction to a general review of the organisation (external or internal)	2,87	
Because the CAF is promoted across Europe	2,86	Int
Explicit demand from those politically responsible for the organisation to start an improvement action	2,85	Ext
The CAF as part of the normal operating context of the organisation (no particular organisational or other changes)	2,81	Int
Marketing and public relations reasons (to show modernisation efforts)	2,76	Ext
Participation in a national quality contest or conference for which the CAF application was a condition	2,50	Ext
A national or regional action plan for improvement of the public sector organisations was launched on the basis of CAF	2,48	Ext
Explicit citizen or customer demands for improvement	2,14	Ext
Sudden events showed the necessity to do something	1,90	Ext
Because other administrations close to us also used it	1,89	Ext
Budgetary reasons	1,80	Ext
Cuts in the number of staff	1,50	Ext

The 12 reasons considered to be the most important are all internal reasons. They have the upper hand with a clear accent on the wish to identify strengths and areas for improvement, which is exactly the purpose of a self-assessment tool. Organisations want to use CAF in the first place for themselves, the ownership is very high. This explains, together with the intrinsic quality of the tool, why they all want to use it again (table 44). On the other hand, external reasons can also be valuable in case the application of CAF responds to a demand from the stakeholders. The benefits from involving stakeholders apparently still have to be discovered.

Reasons for choosing the CAF instead of other TQM tools

GRAPH 5



As could be expected, the great advantage of the CAF as an easy-to use model at low cost, is also referred to as the main reason to opt for CAF in the first place. Organisations have also appreciated the adaptation of the model to the public sector as can be read in the scheme above.

Decision to use the CAF

Table 21

The final decision to use the CAF was taken by:	N°
The administrative top management	52
The political level at the suggestion of the administrative top management	31
The political level	24
The top management at the suggestion of a quality or improvement team	19
The top management at the suggestion of staff members or their representatives	15
The idea came up and was decided in a staff meeting	14
The quality or improvement team	5

As was stated in part I of this study, the political support for TQM models and CAF is growing but most of the time expressed by recommendations on the national level. The administrative top management seems to have understood these signals and plays it role. With a high degree of probability, the direct impact of the politicians can be located at the local level were political and administrative leadership is much more related.

II.3. The self-assessment process (the implementation of the CAF)

The responsibility for the SA process

Table 22

Who was responsible for the SA process	N°
A specific project team	86
The quality coordinator/service	26
An internal consultant	11
An external consultant	12
Others	9

The responsibility for the self assessment process lays in 70% of the answers in a specific project team. This responds to one of the underlying principles of excellence models: the empowerment of people. In 37 applications, the responsibility was given to civil servants or a unit of civil servants belonging to the organisation and specialised in quality management. Here the ownership is already less strong and she is the weakest when external consultants received the responsibility over the self assessment process. This doesn't mean that consultants can't play an important role in the self assessment process but it is preferable that the ownership remains in the hand of people of the organisation itself.

Communication before the exercise

Table 23

To whom did you communicate that the exercise would take place	N°
The whole staff	62
An existing improvement team (group, department, unit)	30
All the stakeholders (management, staff, political authority, customers/citizens)	28
Management only	19
The political authority	18
Customers / citizens / users	2
Others	2

Communication is one of the critical success factors of a self assessment and the improvements actions that should follow. Communication actions have to provide the appropriate information with the appropriate media to the appropriate target group at the appropriate moment: before, during and after the self assessment. Even if we consider that several options in table 23 include information to staff, still remains the fact that not all the organisations informed the whole staff. The possibility to create a platform for improvement actions runs the risk to be lost this way.

External stakeholders and especially the citizens/customers are nearly never involved. Without jumping to conclusions, we could say that without stronger external communication, the opportunity to strengthen the legitimacy of public services by showing that they are working on better performance will be missed.

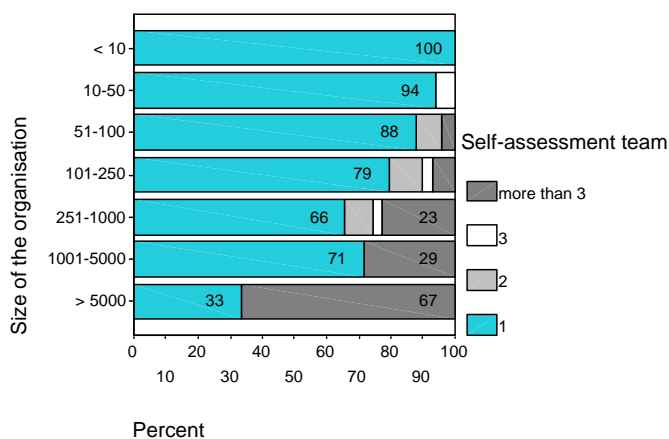
Number of self-assessment teams

Table 24

How many self-assessment teams were created	N°
1	98
2	8
3	3
> 3	15

GRAPH 6

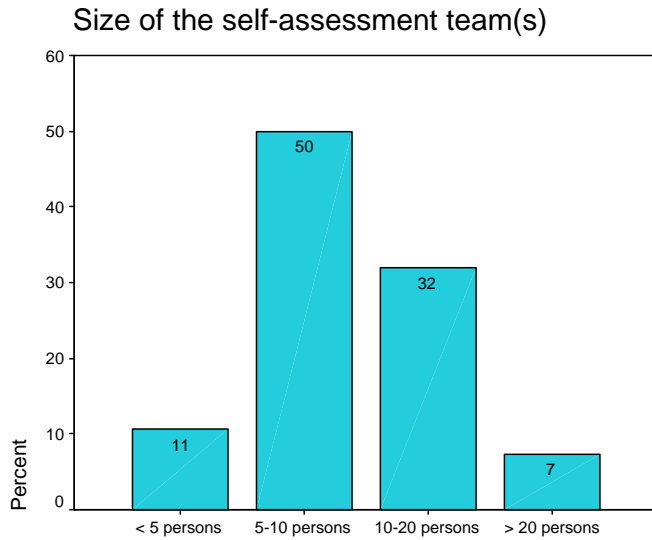
Size of organisation and self-assessment teams created



Far most of the organisations created 1 self-assessment group (SAG). In big or decentralised organisations, different self assessment teams can be necessary to capture a representative opinion of all parts of the organisation. Of course, the correct integration of the results of the different SAG in one overview is an additional challenge and should reflect the differences of opinion.

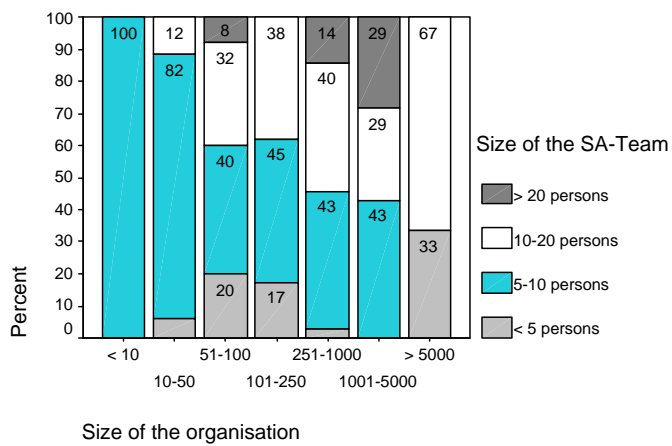
The size of the self-assessment team(s)

GRAPH 7



GRAPH 8

Size of the organisation and
size of the self-assessment teams



The number of self-assessment team members in relation to the whole staff of the organisation (in %).

GRAPH 9



As was the case in 2003, nearly half of the SAG was composed of 5 to 10 persons and nearly a third by 10 to 20 persons. In 5 years of CAF, the SA groups seem to have found their most effective form: 5 to 20 persons. In the majority of the organisations, the SAG represented less than 10% of the staff. It is not the number nor the proportion of staff members participating but rather the skills of the team and their knowledge of the organisation that affects the impact of the self assessment on the whole of the organisation. Of course, members of the SAG learn a lot about their organisation and the mutual exchange of experiences and opinions between people coming from different parts of the organisation is a powerful stimulant for a more intensive internal communication policy. It will be even more the quality of this internal as well as external communication policy on the self assessment report and the total quality management context in which it is set up, that will determinate the final outcome.

Composition of the self-assessment group: type of staff that took part in the self-assessment (SA) group

Table 25

Which type of staff took part in the SA group	N°
Middle management	106
Experts (A-level staff members)	91
Top management	84
Technical assistants (B-level staff members)	75
Supporting staff (secretaries, office clerks....)	71

The selection of the members of the SA team

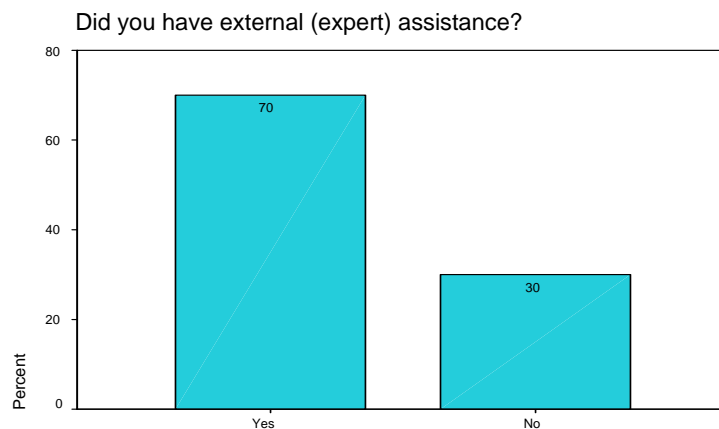
Table 26

Selection of the members of the SA team	N°
The management composed the SA group	85
Volunteers were asked	31
The Quality Unit designated the members	16
Others	8

In the guidelines, a number of criteria were suggested for selecting the members of the SAG. The SAG should be as representative of the organisation as possible, include members from different sectors/levels and provide the most accurate information. The members should dispose of the appropriate personal skills (e.g. analytical and communicative). In the reality of these 133 organisations, the middle management and the A-level experts are the best represented in the SAG. The top management is also well involved in contrast with the B-level staff members and the supporting staff. The latter who do not usually speak up should have a chance to have a say in the evaluation. Very often they have a more realistic view on the daily live of an organisation. As we also notice that the management took its responsibility in the composition of the SAG, this rather high level nature of the SAG indicates that for these organisations with only a limited experience in TQM (see table 15), the first self assessment is quite challenging, even if they are supported by good training and external support. The concern for success should nevertheless not lead to exclusion of B-level staff members and supporting staff from the SAG.

External (expert) assistance

GRAPH 10



External assistance by different actors and at different moments

Table 27

External assistance	In preparing the self-assessment (explanation of the CAF and its purpose, methodological support etc.)	During the self-assessment	In identifying strengths and areas for improvement
Actors			
National agency responsible for disseminating CAF	26	19	17
External private consultant	22	21	20
National CAF correspondent	17	12	10
Other organisation with CAF experience	13	7	6
State consultancy office	7	5	2
Internal consultant	6	6	7
Quality office	6	6	8
Training centre	7	4	2
National efficiency units	2	3	1
EIPA	2	2	2

Almost two third of the organisations received external assistance, in particular during the preparation of the self assessment. More than in the start up period for CAF, the assistance was given by public services but private consultants stay on the scene. Part I of the study demonstrates a whole rang of activities that were undertaken at the central level to guide and coach CAF applications. The role of the national agencies and the CAF correspondents decrease during and after the self assessment. The internal and external consultants and the quality offices however are contacted for the entire operation. Nevertheless, graph 13 indicates that the presence of external assistance does not prevent organisations from meeting the same amount of obstacles as those who didn't receive this kind of assistance.

The nature of the preparation

Table 28

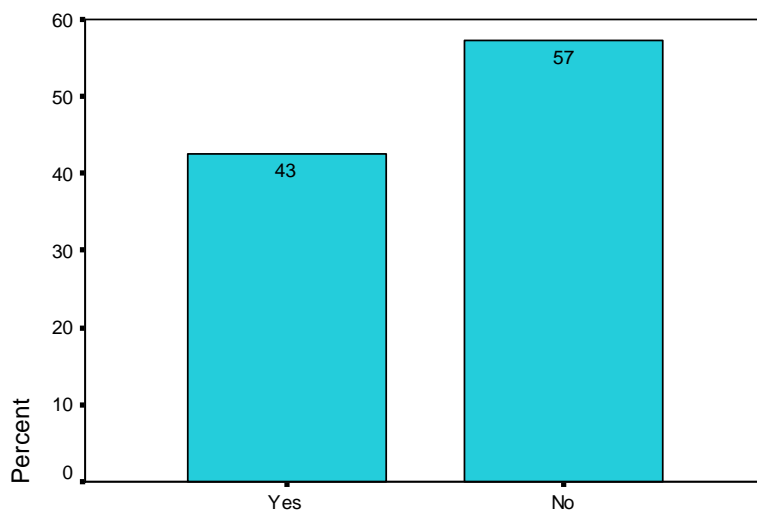
Preparation received	What you actually received	What you consider useful or what kind of preparation you would wish to have
A simple explanation of the CAF	60	17
Training	62	58
Documentation	61	35
E-learning (e.g. Speyer)	3	13
Cases	17	39
International exchange of experience	5	38

As in the first survey, organisations prefer to dispose of more cases and methods that allow them to learn and make progress on their own. A simple explanation and pure documentation is clearly not enough and thus without much effect. An interactive preparation seems to be most wanted.

Need for external (expert) assistance

GRAPH 11

Do you think it would have been better to have external (expert) assistance?



Preferred external assistance and preferred assistants

Table 29

External assistance	In preparing the self-assessment (explanation of the CAF and its purpose, methodological support etc.)	During the self-assessment	In identifying strengths and areas for improvement
Actors			
National CAF correspondent	13	13	13
National agency responsible for disseminating the CAF	11	11	9
State consultancy office	5	5	3
National efficiency units	3	2	3
Internal consultant	1	2	3
Quality office	7	6	8
Training centre	7	2	3
EIPA	9	4	6
External private consultant	3	2	2
Other organisation with CAF experience	8	11	11

Among those who didn't receive any external assistance, 43 % thought this would have been useful. They are not so keen on external private consultants and prefer help from public organisations before, during and at the end of the self assessment. Only a minor part of all participating organisations reject external assistance overall.

The nature of the desired preparation

Table 30

What kind of preparation would you have liked to receive	N°
Simple explanation of the CAF	8
Training	22
Documentation	18
E-learning (e.g. Speyer)	7
Cases	22
International exchange of experience	20

The preferences of this group match with the preferences of those who effectively received assistance. Cases, training and international exchange of experiences are appreciated as the best preparation for a self-assessment with CAF.

Duration of the self-assessment exercise

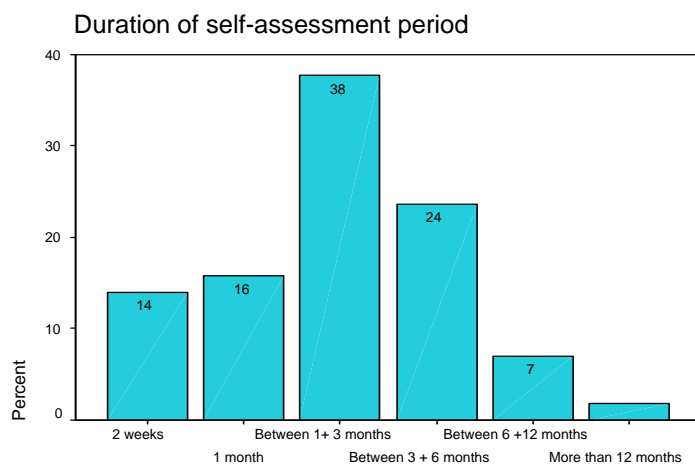
Table 31

Time needed for the self-assessment exercise	In reality	Preference
2-3 days	60	42
4-5 days (a full working week)	25	41
Between 6 and 10 working days (2 working weeks)	19	17
More than two weeks (10 days)	17	15

Comparing the reality and the preference, 2 to 3 days seems to be rather short to do a decent self assessment whilst 2 working weeks or more is too long. The ideal time schedule for a CAF self assessment does not exist because too many variables are at stake such as the objectives of the management, the time and resources invested, the availability of data etc. But to the majority of organisations a duration of 2 to 5 days looks appropriate.

Duration of the self-assessment period

GRAPH 12



The very far majority ended the CAF application in 3 months, including the preparation, the self assessment itself, the drawing of conclusions and the formulation of an action plan.

Three months seems to be an ideal lapse of time to stay focused. Taking more time raises the risk of a weakening engagement of all parties involved. Furthermore, the situation might have changed in between the start en the end of the self assessment. In that case, the diagnosis isn't accurate anymore.

Reaching consensus in the group

Table 32

Reaching consensus in the group	N°
Intense group discussions until we reached agreement	92
We took the statistical means of the scores	50
Arbitration by the chairperson of the SA group	14
Other	4

Table 33

In reaching consensus within the group, we focused	N°
On the evidences/indicators used by different group members to support their assessment	74
On the background to different views/assessments	47
On the scores attributed by different group members	33
Other	1

One SAG reached consensus without any problem at all. Another eliminated the lowest and highest score. And a third organisation nearly did not use the scoring tables and did not reach a consensus. But overall, the practice of coming to conclusions was the same as observed in 2003: the majority reached consensus after discussions. The discussion itself is very often seen as the real added value of a self assessment. Evidences and the background to different views became more important this time than the scores.

Taking the statistical means of the scores doesn't necessary mean that there was no discussion or an exchange of ideas. But the risk is higher that the overall result is nothing but the sum of the individual scores and opinions. When a consensus is reached, the end result is more then

the pure sum of the individual opinions. It reflects the common vision of a representative group and in this way it corrects and goes beyond the subjective individual opinions.

Obstacles in the course of the self-assessment with the CAF

Table 34

Yes	88
No	29

The main obstacles

A list of typical obstacles encountered was provided, relating to the following kind of difficulties:

- A. Difficulties linked to the CAF itself
- B. Difficulties linked to the maturity level of the organisation
- C. Difficulties linked to lack of support and time
- D. Difficulties linked to the lack of information

The organisations were invited to indicate/appreciate their importance in their organisation on a scale from 1, not important, to 5, very important.

Table 35

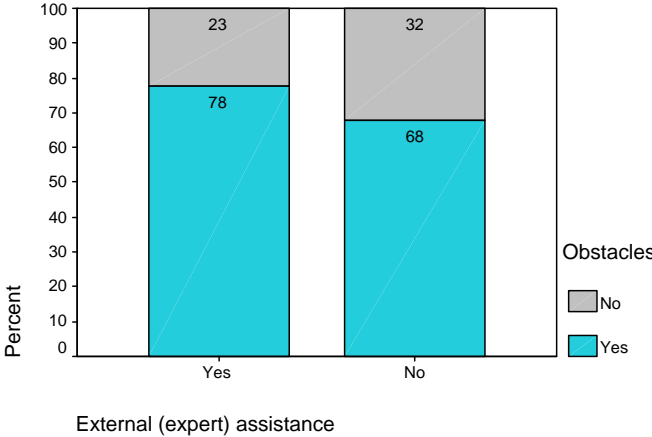
Obstacles	type	average
Not enough measurement in the organisation	D	3,36
Additional work due to CAF implementation alongside business as usual	C	3,08
Participants did not have overall view of the organisation	D	3,06
Understanding the concept of the criteria	A	2,95
Insufficient experience in sharing views and information in the organisation	B	2,87
Understanding the scoring system	A	2,81
Lacking training	C	2,70
Difficulty in getting sufficient data/information from other colleagues outside the SA group	D	2,43
Our organisation was, on the whole, not prepared for self-assessment	B	2,37
Problems with identifying strengths and areas for improvement	D	2,36
Understanding the language	A	2,34
Uncertainty about the purpose and outcome of the self-assessment	D	2,30
Lack of faith in the relevance of the whole exercise	B	2,21
Lacking expert support	C	2,21
Lacking management support	C	2,06
Problems with being honest and outspoken	B	1,97
Self-assessment was imposed and not “owned” by the group members	B	1,93
Lacking involvement of the members of the SA group	C	1,73
A lack of trust in the self-assessment group	B	1,65
Lacking leading support in the SA group (CAF project leader)	C	1,52

Many organizations encountered obstacles during their CAF application. The opposite would have surprised us. The lack of measurement is obvious the major problem in many public organisations, very often resulting in the installation of measurement systems as the first improvement action. The 3 most important obstacles are linked at the organisational context

rather than at the model itself. But difficulties with the good understanding of the criteria and the scoring system confirm the lack of training or a possible need to adapt the model and guidelines. The self assessment process created often only minor obstacles. In any case, as can be noted from graph 13, external assistance could not prevent the obstacles. They had to be assumed by the self assessment groups themselves and have an impact on the changes planned for future assessments (see table 48).

GRAPH 13

External (expert) assistance and obstacles during self-assessment



The main benefits obtained from self-assessment

Self-assessment may have a number of possible benefits. Again a list of typical benefits was provided and in order of importance the following ones were identified:

Table 36

Main benefits	Average
Identification of the need to share information and improve communication	4,12
A clear identification of strengths and areas for improvement	3,97
We were able to identify a number of important actions to be undertaken	3,92
People developed a better understanding of the organisational issues/problems	3,89
Self-assessment gave rise to new ideas and a new way of thinking	3,67
The ability to contribute and to share views was felt positively	3,65
We realised how previous improvement activities could be taken forward	3,28
People started to become aware and interested in quality issues	3,22
We developed an understanding of how different initiatives in place fit together	3,21
People started to develop a stronger interest in the organisation	3,15
We did not see any benefits at all	1,25

The most appreciated benefits fit perfectly with the most important reasons for using the CAF as registered in table 20. Other than in the survey of 2003, the relationship between the reasons given for undertaking the CAF and the results achieved is obvious. One could say that the organisations have found what they were looking for. Probably they were better informed this time and knew better what they could expect.

A methodological validation of the CAF application

Table 37

Methodological validation of the CAF application	N°
No validation	34
By an external evaluator/assessor	39
By the national ministry/ agency responsible for disseminating the CAF	32
By the national CAF correspondent	16
Other	9

Organisations want to know if they did it well. As for most of them it was the first time that they did a self assessment, somebody or some organisation had to give comments on their performance. This should be seen more as an aspect of the continuous improvement circle than an inspection or an external control in the light of an award. In part I, the opinion of the national correspondents on this issue is ambiguous and needs to be discussed more in depth in the future.

II.4. The follow-up

Using the CAF should lead to a structured improvement process addressing the areas for improvement identified through self-assessment. However, ensuring an adequate and structured follow-up is not always easy. This chapter deals with the follow-up process in the organisation.

Communication of the results and/or conclusions of the self-assessment

Table 38

The results and/or conclusions of the self-assessment were communicated to	N°	Table 23
The whole staff	57	60
The CAF Self Assessment Group	44	
All the stakeholders (management, staff, political authority, customers/citizens)	27	27
Management only	33	19
The political authority	24	16
The CAF Resource Centre at EIPA, Maastricht	16	
An existing improvement team (group, department, unit)	7	30
Customers / citizens / users	2	2
Others	4	2

The remarks we made on the communication before the CAF exercise (see table 23) can be repeated concerning the communication on the results.

It is understandable that the management and the political authority are better informed about the results than about the launching of the exercise. They are most interested by the results. But it is surprising that only 44 of the organisations informed the SAG of these results. Even when we take into account some misunderstanding of the question and the possible combination of answers, the lack of feedback to the most involved actors is striking. It demonstrates that there is still much room for the improvement concerning open communication and transparency in our public administrations. The members of the self assessment teams have invested a lot of their energy in the exercise, very often besides their usual daily work. Very often they start their work in the SAG with some suspicion about the usefulness of the task, the engagement of the management, the dangers of being open and honest etc. After a while, when they see that things are taken seriously, motivation and even some enthusiasm raise and at the end they take the full ownership of the results. They have the potentiality to become the most motivated candidates for improvement teams and should be treated in accordance with this role. If not, the frustration will be high and the opportunity to improve the organisation will be lost for many years.

Sustainable improvement activities in the organisation as the result of the CAF

Table 39

2005 **2003**

<i>N</i>	%		%
104	85 %	Yes	62 %
18	15 %	No	26 %

Table 40

Did the use of the CAF result in sustainable improvement activities in the organisation?

Count

				Total
		Yes	No	
Country	Austria	4	2	6
	Belgium	14	2	16
	Cyprus	1		1
	Czech Republic	18	2	20
	Germany	5		5
	Denmark	8	1	9
	Spain	2		2
	Estonia	2	1	3
	France	4		4
	Finland	3		3
	Greece	2	1	3
	Hungary	7		7
	Italy	4	2	6
	Ireland	1		1
	Luxembourg		2	2
	Latvia		1	1
	Norway	2		2
	Portugal	13	1	14
	Poland	3		3
	Romania		1	1
	Sweden	2	1	3
	Slovenia	3		3
	Slovakia	6	1	7
Total		104	18	122

This is a remarkable increase compared to 2003. Noticing that nearly 9 organisations on 10 that applied CAF started up improvement actions does not prove that CAF guarantees the improvement of the organisation but it clearly indicates that it is at least a powerful incentive to start up improvement actions. Probably, a combination of reasons is at the basis of this evolution: improved tool, more training, etc.

The nature of the improvement activity

Table 41

Improvement activity	N°
Input into the strategic planning process of the organisation	51
A full action plan (directly linked to the results of the CAF SA)	38
Implementation of surveys for the staff	32
Improvement of the process	30
Improvement of the quality of the leadership	26
Improvement of knowledge management	25
Implementation of surveys for the customers/citizens (needs and satisfaction)	22
Some individual improvement activities (but no full action plan)	19
Implementation of result measurement (targets)	18
Input into running improvement programme(s)	18
A consolidated report handed to the management (leaving the implementation to the latter)	16
Implementation of HRM tools (please specify)	14
Improvement of technology	14
Better management of buildings and assets	6
Implementation of new financial management tools	6
Other	1

The fact that the results of a self assessment are integrated into the strategic planning process of the organisation and/or that full action plans are developed shows that self assessment is better integrated in the overall management of the organisation than before. Comparing these improvement activities with the quality or management instruments the organisations plan to use in the future as shown in table 17, gives us an idea by which tools these planned improvement actions could be executed in the future.

Table 42

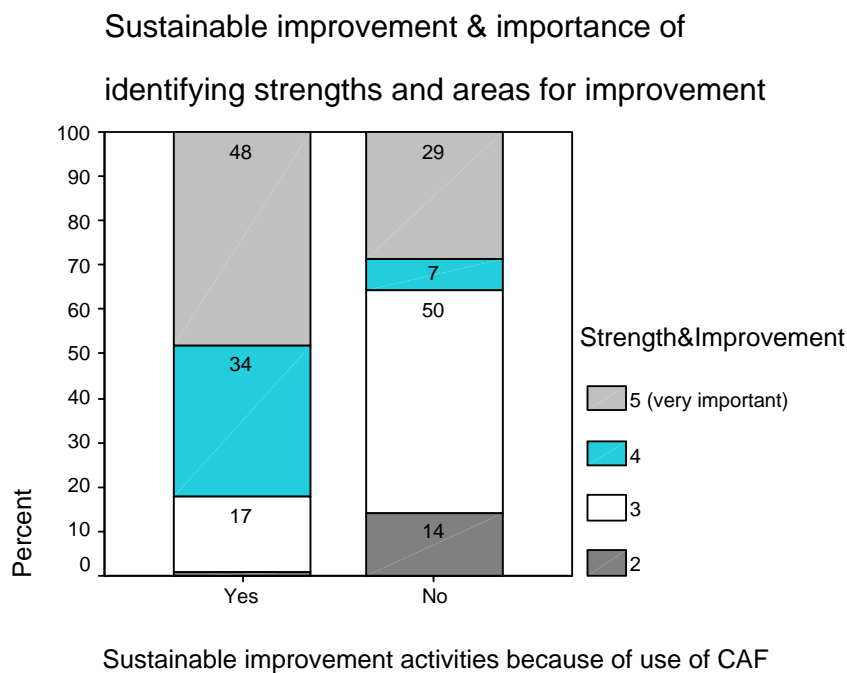
Improvement activity	N°	Quality or management instruments planned	N°
Input into the strategic planning process of the organisation	51	Planning and policy development tools	31
		Balanced Scorecard	30
		External and internal audits	21
		Contract management/management by objectives	15
		Deming approach	13
Implementation of surveys for the staff	32	Employee satisfaction surveys	54
Improvement of the process	30	Business process re-engineering	12
		ISO 9000/2000 standards with certification	12
		ISO 9000/2000 standards without certification	5
		Project management	25
Improvement of the quality of the leadership	26	Leadership development tools	20

Implementation of surveys for the customers/citizens (needs and satisfaction)	22	Customer satisfaction surveys	44
		Complaint Management	12
		Suggestion system	13
Implementation of result measurement (targets)	18	Performance Management development systems	17
		Cost accounting and results account	15
Implementation of HRM tools (please specify)	14	Strategic management of competences	13
		Investment in People	11
		Appraisal by subordinates	11

The link between sustainable improvement activities and the wish to identify strengths and areas for improvement.

There appears to be a very clear link between the importance for an organisation to identify strengths and areas for improvement and the subsequent action of organising improvement activities. In the left column 82 % of those who have undertaken improvement activities had indicated that the identification of strengths and areas for improvement was of great importance (options 4-5). For those who did not undertake improvement actions, only 36 % had indicated they applied the CAF with the purpose of finding out about their strong and weak points.

GRAPH 14



Reasons for not undertaking improvement activities

The 13 % of the organisations that did not undertake any improvement activity as the result of a self assessment with CAF were offered a list of typical reasons. They are listed below in order of importance. Lack of time and other priorities are still high on the list as was the case in 2003. This proves once more how important the involvement of the top management is in setting up a self assessment with CAF as the start of a TQM approach in an organisation. Without their support it maybe is even better not to launch a CAF in order to avoid wasting people’s energy and expectations.

The reasons for not undertaking any improvement activities liked to the model itself are considered as less important as well as the fact that a self-assessment with CAF was only conducted in view of participating in an award contest (one of the main reasons in 2003).

Table 43

Reasons	average
Lack of time	3,00
Other priorities	2,71
No real willingness to change	2,41
Lack of financial resources	2,38
Lack of support for giving follow-up	2,32
The results of the self-assessment were not seen as concrete enough	2,24
The results of self-assessment were not accepted as an adequate picture of the organisation	2,00
Key players had not been involved in the self-assessment	1,94
Self-assessment was never meant to lead to improvements (it was just a “health check” of the administration)	1,94
We did not succeed in identifying relevant areas for improvement	1,81
The results of self-assessment were not accepted by key persons	1,81
Other	1,70
The reason for conducting self-assessment was only to take part in an award contest	1,44

The intention to use the CAF again

Table 44

2005 2003

N°	%		%
118	95 %	Yes	82 %
6	5 %	No	12 %

Table 45

Do you intend to use the CAF again?

Count				Total
		Yes	No	
Country	Austria	5	1	6
	Belgium	14	2	16
	Cyprus	1	1	2
	Czech Republic	21		21
	Germany	5		5
	Denmark	9		9
	Spain	2		2
	Estonia	3		3
	France	4		4
	Finland	3		3
	Greece	3		3
	Hungary	6	1	7
	Italy	5	1	6
	Ireland	1		1
	Luxembourg	1		1
	Latvia	1		1
	Norway	2		2
	Portugal	14		14
	Poland	3		3
	Romania	1		1
	Sweden	3		3
	Slovenia	3		3
	Slovakia	8		8
Total		118	6	124

The fact that 95 % intends to use the CAF again is the best confirmation of the value of this tool. As the test of the pudding is by the eating, 118 of 124 organisations must have had very satisfying experience with the CAF. We notice also a remarkable increase of this satisfaction compared to 2003 where “only” 82 % were ready to use it again. It is also interesting to see that this readiness is well spread over all the 23 European countries that were represented, even those with only 1 application.

The intention not to use CAF any more

Table 46

We used CAF as a first-level tool and want to move towards EFQM	4
We consider CAF to be too difficult	-
Other	4

Four organisations will immediately pass over to EFQM. The others seem to need more experiences with CAF before doing so.

Time table to use the CAF again

Table 47

	N°	%	% in 2003
Every two years	52	44	38
Annually	39	33	37
Every three years	12	10	11
No preference	8	7	8
At a later date	5	4	5
Every four years	1	1	

In a certain way, the 117 organisations above consent that in order to be effective, the CAF has to be applied several times as shown in table 45. There is a slight change in preference towards the use of CAF every 2 years. The investments in the exercise and the time needed to generate results in the improvement actions motivate this rhythm.

Planned changes in the conduct of the self-assessment

Table 48

Answer	average
More data collection (facts on results etc.) to support the assessment	3,37
Stronger involvement of the employees	3,23
More time for discussions within the self-assessment team	3,13
More (or better) preparation and explanation	3,08
Stronger management involvement	3,07
A stronger involvement of key persons	3,07
Make sure that other priorities and activities will not be in the way	3,03
Better clarification of why self-assessment is undertaken	2,82
More time for convincing people/colleagues of the purpose	2,70
More careful selection of the right moment for self-assessment	2,55
Different composition of the self-assessment team	2,53
More (or better) external assistance	2,27
Change of method in reaching consensus in the group	2,01
Involvement of trade union / employees' representatives	1,83
Other	1,58

There is a clear link with the obstacles encountered. The fact that a lack of measurement was causing problems for several organisations clearly relates to the intention to improve data collection to support the next self-assessment.

Nearly all the other changes in conduct are related to the internal communication towards the whole of the employees, the management, the people involved in the exercise, key persons in the organisation. The organisations want to prepare the self assessment better by explaining more the objectives, by selecting more carefully the self assessment team, by looking more carefully for the right time and by foreseeing enough time for discussion. They discovered by themselves the remarks we made in this study on several occasions concerning the power of

communication related to self assessment and change. In the revision of the model, more attention should be paid in the guidelines concerning this aspect.

II.5. Good practices and benchmarking/ benchlearning

The CAF is also intended to encourage and to serve as a starting point for benchmarking/ bench learning projects, at the domestic or European level. The purpose of the survey was therefore also to gather information on good practices in the organisations and to determine their interest in bench learning/benchmarking.

Good practices present in or of interest for the organisations

During the self-assessment 67 % of the organisations had discovered strengths that they could describe as good practices. As we didn't reach an agreement at the European level on the definition of a good practice, we left the appreciation over to the organisations themselves. Of course what is a good practice for one organisation isn't necessary a good practise for another but presenting oneself as an example on a certain aspect of good management could be a first step in a bench learning approach. Therefore we asked whether they were prepared to include their good practice(s) in the CAF database of the CAF Resource Centre at EIPA to facilitate bench learning and 68% answered positively.

The good practices discovered related to all sub criteria of CAF. Also when looking for good practices of other organisations, all sub criteria were of interest. Table 49 gives a good overview of the offers and the demands on good practices among the 133 participants at this survey. If we compare the good practices they are looking for and the quality or management instruments they plan to install as described in table 42, there is a great similarity. So it would be interesting for them, before starting up the process of introducing new tools, to first have a look at the tools others indicated to have been beneficial to them. It probably could save a lot of efforts and money.

Table 49

Subcriteria	GP present in the organisation	GP of interest for the organisation
1.1. Give a direction to the organisation: develop and communicate vision, mission and values	16	30
1.2. Develop and implement a system for managing the organisation	21	28
1.3. Motivate and support the people in the organisation and act as a role model	20	35
1.4. Manage the relations with politicians and other stakeholders	15	13
2.1. Gather information relating to present and future needs of stakeholders	9	14
2.2. Develop, review and update strategy and planning	18	22
2.3. Implement strategy and planning in the whole organisation	17	30
3.1. Plan, manage and improve human resources with regard to strategy and planning	18	30
3.2. Identify, develop and use competencies of the employees aligning individual, team and organisational targets and goals	11	27
3.3. Involve employees by developing dialogue and empowerment	21	20
4.1. Develop and implement key partnership relations	12	17
4.2. Develop and implement partnerships with the citizens/customers	12	18
4.3. Manage knowledge	6	22
4.4. Manage finances	14	13
4.5. Manage technology	17	13
4.6. Manage buildings and assets	11	8
5.1. Identify, design, manage and improve processes	18	28
5.2. Develop and deliver services and products by involving the citizens/customers	10	13
5.3. Plan and manage modernisation and innovation	20	21
6.1. Results of customer/citizen satisfaction measurements	13	21
6.2. Indicators of customer/citizen-oriented measurements	10	21
7.1. Results of people satisfaction and motivation measurements	8	23
7.2. Indicators of people results	11	19
8.1. Results of societal performance	6	14
8.2. Results of environmental performance	4	11
9.1. Goal achievement	10	23
9.2. Financial performance	7	12

Participation in benchmarking/ learning

Table 50

2005 **2003**

N°	%		%
36	31 %	Yes	35 %
80	69 %	No	65 %

Compared to 2003, there was a bit less experience with benchmarking/ bench learning this time.

Benchmarking projects were registered in the following countries:

- Czech Republic (6x),
- Austria (5x),
- Germany and Slovakia (4x),
- Belgium, Finland, Poland and Portugal (3x)
- Denmark (2x)
- France, Norway and Sweden (1x)

Some of this experience must be found in the bench learning project on the basis of CAF that recently was launched between Austria, the Czech Republic, Slovakia and Hungary.

Interest in taking part in a benchmarking project with other organisations that have used the CAF and would like to learn from others

Table 51

Interested in taking part in a benchmarking project	2005	2003
At the national level	36	27
At the European level	9	23
Both	67	91
Not interested	8	14

We note the same preference as in 2003 for both the national and the European level, but there are clearly more organisations interested in projects at the national level, whilst in 2003 both the national and European level were well represented.

Readiness to respond

Table 52

2005 **2003**

N°	%		%
110	94 %	Yes	95%
7	6 %	No	5 %

It is encouraging to notice that 94 % would be willing to consider the idea (although there may be obstacles) if they were contacted by another organisation interested in carrying out a benchmarking project on the basis of a concrete proposal.

II.6. Evaluation

Basic characteristics of the organisations

According to this reliable sample of organisations from 23 countries having used the CAF, the CAF is finding its way in the central levels of government in different sectors of activity besides its important use in local administration. Of course, the model has to be adjusted to the proper context of each organisation. The model suits all sizes and helps organisations with little experience on quality management to find their way into Total Quality and Public management.

The use of the CAF: the context

Most of these respondents were starters and used the CAF mainly for internal reasons. Of course the existence of more elaborated national programmes to support the use of CAF as described in chapter I must have stimulated them but this survey shows an important shift from external towards internal reasons. They appreciated the major adaptations to the first version namely the simplification and adaptation to the public sector. The top management discovers more and more the benefits of self assessment for the development of their organisation.

The self assessment process

Ownership by the employees themselves of the self assessment is crucial for the success of the subsequent improvement actions. The survey indicates that more emphasis on the importance of communication should be put into the guidelines of CAF, including communication towards external stakeholders.

The number and the size of the self assessment groups reflect the ambition to assess the entire organisation properly. The ideal size of the SAG itself lies between 5 and 20 persons. Attention should be paid to the representation of the lower levels of the hierarchy in the SAG.

Even though the CAF is considered to be an easy to use tool, external assistance is needed in the different stages of the exercise, especially in the preparation. Because of their knowledge of the public sector, public organisations have the preference but private consultants are also active in this field. Cases, training and international exchange of experiences are seen as the best preparation. More elaborated guidelines which make the process of self evaluation clear and concrete certainly would help too.

The ideal timetable for a CAF exercise is 2 to 5 days within 3 months at the most. Two to 5 days seem to be necessary to reach consensus after discussions, what the majority of the organisations did. Clarifying evidences and expressing the background to different views on strengths and weaknesses became more important than the scores.

Obstacles were important but not insurmountable. The most important obstacles are linked at the organisational context rather than at the model itself. The good understanding of the criteria and the scoring system should be assured in the adapted version of the model.

The most appreciated benefits match perfectly with the most important reasons for using the CAF: the identification of the need to share information and improve communication, of the strengths and areas for improvement and of a number of important actions to be undertaken. To be sure that the work is well done, the users appreciate a confirmation of the validity of their self assessment in one way or another.

The follow up

Communication on the results of the self assessment is a weak point as is communication on the whole. Nevertheless, nearly 9 organisations on 10 that applied CAF started up improvement actions. This is conspicuously more than in 2003 and proves that CAF is attaining one of its major objectives, which is undeniably the most important conclusion of this study. Moreover, there appears to be a very clear link between the importance for an organisation to identify strengths and areas for improvement, the subsequent action of organising improvement activities and the management tools they plan to install. To strengthen this circle, the guidelines of the model should be extended.

The fact that 95% of the organisations want to apply the model again confirms the quality of the model but is most of all a very hopeful sign that a permanent culture of TQM has been launched. The organisations seem to have learned a lot from their first experience as there is a clear link between the changes they want to introduce in the self assessment process and the obstacles encountered. Communication is the key issue.

Good practices/benchmarking

Two third of the organisations claim to have discovered good practices during their self assessment and are prepared to share them with others. They are looking themselves for good practices in the field of the improvement actions they want to undertake and the management tools they want to implement. Benchmarking/learning at the national level is more attractive than benchmarking/learning on the European level.

Conclusions

The objective of this questionnaire-based study was double. It wanted to identify the further development of the CAF model in Europe since the end of 2003 and to analyse how the use of CAF and the conditions under which it has been used have or have not changed since then. From February to April 2005, 26 countries completed the questionnaire for the national correspondents and 133 CAF Users from 23 countries filled in the questionnaire on line. This is a very good response, taking into account that the previous survey took place only 1 year and a half ago.

The use of CAF keeps growing from +/- 500 at the end of 2003 to +/- 900 in the middle of 2005 and could reach 1900 applications by the end of 2006. The increasing supporting activities have certainly an impact on this growth but it rather seems to be the awareness of the added value of the model for the organisational development that stimulates its use. The demand for more tools to exchange experiences and to learn from each other illustrates this as well as the need for some methodological validation.

The CAF also finds its way in central levels of governments and in different sectors of activities, sustained by the top managers. The communication towards all the stakeholders and especially towards the people in the organisation remains an area for improvement. The revision of the model could strengthen this aspect through adapted guidelines or through the provision of case descriptions. Maybe the external assistance providers who seem to be needed by the overall majority during all stages of the exercise could also pay more attention to the communication. But CAF should stay an easy to use tool and the self assessment ideally should not take more than 5 days in a period of 3 months. This should be kept in mind when working on the revision. As nearly 9 users on 10 started up improvement actions as a result of the CAF and 95% want to use the CAF again, the value of the CAF is clear. Using it in benchmarking/ learning projects is the great challenge for the future.

2nd European CAF event

Debate among European experts on “Quality and the modernisation programmes of the EU Member States”

Chairperson: Dr Hermann Hill, German University of Administrative Sciences Speyer

Statement of Dr Hermann Hill

- 1. Understanding quality in the Guarantor State as “Quality of the concert”. How can we organise the governance or coordination of the quality contributions by the different actors? And how can we draw up a balance sheet of all these contributions?**

In the last decades, we have seen a shift from the Providing State to the Ensuring or the Guarantor State, which means that the state does not deliver all services itself, but only guarantees the results. We have therefore to include service delivery by private enterprises, public-private partnerships and the fulfilment of public functions by the citizenry. In the new era, public administrations have to develop new competences: providing the infrastructure, regulating, coordinating, networking, empowering, supervising, etc.

CAF is above all a management model for improving the performance of the organisation. This self-assessment model has to be extended on these outward-orientated activities of public administrations. The quality of public services is the “quality of the concert” (Bovaird/Löffler). Ensuring this overall quality means to orchestrate all these contributions, to integrate them in a development plan, to support them and, last but not least, to evaluate them, i.e. to draw up a balance sheet from the view of the common good.

- 2. Understanding quality management as organisational readiness for innovation. How can we create organisational capacities for perceiving and coping with new challenges, risks, opportunities?**

Performance indicators are often focused on best practice from the past. We call this “management by rear-view mirror”. But isn’t it necessary to be prepared for the challenges of the future, to offer best conditions for innovations? Therefore, we need reflexive tools that evaluate the results of previous actions, but also prospective tools that can perceive and analyse weak signals and develop a set of options for possible futures. We need flexible organisations and those who initiate changes to have the possibility to shape and design potential developments. Therefore, the quality concept has to be linked to a knowledge management system that detects and analyses differences, changes and progress as well as potential ways for acting and improving.

- 3. Recognising that the qualification and motivation of the personnel is the most important factor for a good administration. How can we achieve an intrinsic motivation of the staff for quality management? What values or guiding principles are appropriate to deliver a future-oriented vision for the public sector?**

Public servants are paid with tax payers' money. They are assigned to act for the common good and to create public value. Public servants can be proud of this role, but on the other hand this leads to a great responsibility. Many people depend on their work, therefore people must be able to count on good quality and a good governance.

Many administrations have therefore drawn up "Codes of Ethics" or "Codes of Good Practice" with principles for good administrative behaviour that corresponds to the authority and distance of state representatives and expresses the impartiality, neutrality and credibility that is necessary for the balancing of interests.

Because of their important role for the common good, it should be a personal quality standard of each public employee to perform as well as he or she is able to do. To be in line with these requirements, personal best performance and respectable behaviour can be an excellent vision for the future.

4. Public administrations are forced to cut down their expenses, but quality programmes are not for free. What is the relation between quality and efficiency? Are they contradictory?

Needless to say, establishing quality management saves money. You have to invest for educating public employees and assessing your organisation. If you did not, your performance and your efficiency would even worsen. All organisations tend to produce slack, negative routines and red tape over time. Therefore, quality assessments are necessary to maintain performance and to build up capacities for new challenges.

If you analyse and reengineer your processes and products and the modes of cooperation and delivery, you will find many opportunities for smarter and more efficient working. Therefore, quality management is also the key to more efficiency.

5. Do quality programmes tend to cause bureaucracy? How can they stimulate innovation?

If quality only means conforming or going through the motions, if you follow prescriptions, rules and fixed patterns slavishly without reflecting on their sense and benefits, you will only fulfil the basic requirements. This pure conformity leads to schematism and rigidity. We call this bureaucracy.

But if quality management seeks to achieve continuous improvement and searches for better ways to fulfil the tasks of the administration, if quality management is open to innovation and welcomes the ideas and the initiatives of the employees you will achieve a learning and vibrant organisation and sustainable modernisation.

Quality Management in the Public Sector: Using Different Clubs for Different Shots

By:

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The game of golf can be quite instructive for public managers coordinating quality initiatives such as the CAF or leading quality projects in public agencies. It teaches us a number of lessons and throws up questions which we easily forget in our daily endeavours to achieve better quality.

1. No quality instrument has the right answers to all problems.

While golf beginners typically try to use just one club for all shots, more advanced players quickly notice that this is dysfunctional. The same applies to quality management. The CAF can certainly be used as a ‘club for beginners’ but it may not be adequate to deal effectively with all quality problems. For example, in order to deal with corruption, which is one of the biggest quality problems in the public sector (although not much talked about at quality conferences), self-assessment may not be the right approach. Documenting procedures, based on a structured set of guidelines such as provided by the new ISO 9000 2000 series, may be much more helpful in making explicit what kind of behaviour is expected. On the other hand, when standardising procedures in personal services such as social care, sufficient flexibility must be retained for the service provider to vary behaviours according to the needs of different users. Choosing the right tool, i.e. the right quality initiative, for each problem is an important skill for public managers.

2. Whose quality is it?

Whether we visit a private or public golf course, we will see that golf is typically played by middle-class white men and that they are the ones who mainly benefit from this very expensive game. Women, children or ethnic minorities are not prominent users of golf courses anywhere in the world. By the same token, we have to wonder who benefits most from improvements to service quality. For example, there has been a discernible improvement in public service quality in most Eastern European countries, but, at the same time, more inequality in access to those services (this phenomenon has been long observed in Western Europe). A different emphasis, which specifically focuses on improving public service quality for disadvantaged users (or for those potential users who have no access to the service at present) would involve new ways of talking to and working with those users, going far beyond today’s typical satisfaction surveys.

3. Quality management has to improve people’s quality of life, not just public services

Everybody knows that golf is not only a leisure activity undertaken by rich business people (and, in the UK, by poor taxi drivers and pensioners, since every town and city has publicly-funded golf courses), golf courses are also places where important business deals are struck. Without seeking to defend the secret decisions involved, we have to recognise that there is

more to golf than just fun. If a business person is attacked for spending too much time on the golf course, he or she may validly say “But look at the contracts that it achieves for my business!”. Something similar applies to the impact of public service quality initiatives. It is the final outcome that really matter. So we may have:

- an efficient refuse service but dirty streets because residents continue to drop litter;
- great hospital services but unhealthy patients, who eat badly at home and don’t exercise;
- professional police forces but unsafe homes, because neighbours won’t report domestic violence.

Again, good golfers don’t do everything all by themselves; even Tiger Woods needs a really good, well-informed and trustworthy caddy to help him win championships. Similarly, achieving impacts that matter to citizens and politicians involves cooperation between all public agencies, their users and the community at large. As the last 3QC conference showed, such partnerships can produce impressive results but they require risk-taking and patience.

Finally, for those public managers who want to take quality seriously and to improve things out in the community, golf teaches us that we often have to play risky shots, and that, when they fail, we simply have to forget them quickly and concentrate on playing the next shot as well as possible. Quality management is not risk-free, but it involves assessing and managing those risks.

Quality and quality models in the context of the Lisbon strategy

By:

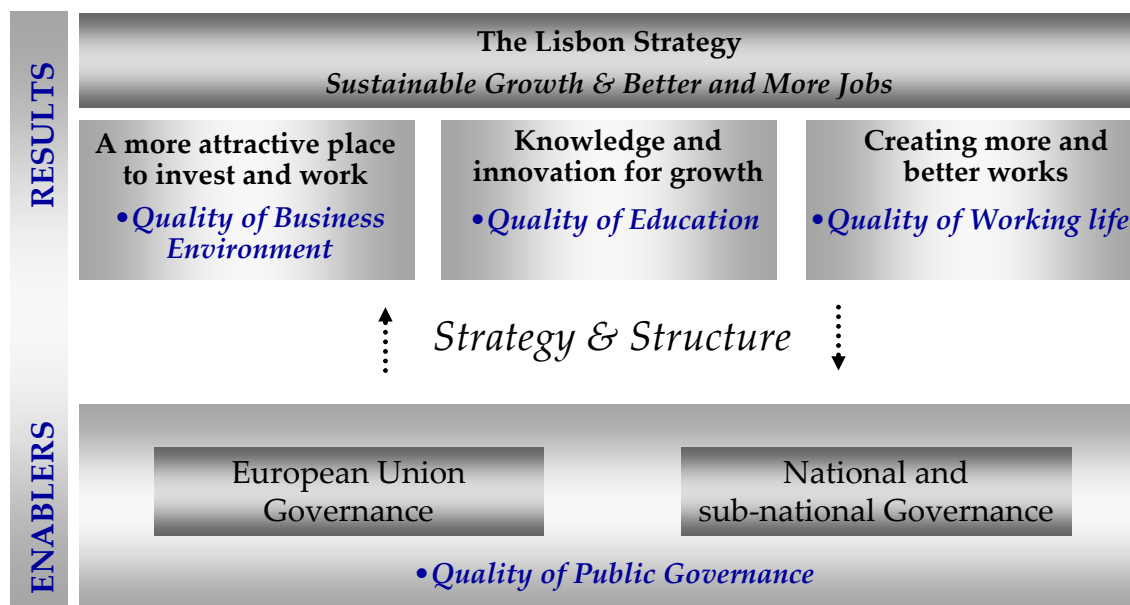
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At the Lisbon summit in the spring of 2000, the Member States of the European Union agreed to make their labour markets more flexible, stimulate innovation, encourage entrepreneurs, spend more on research and development and complete the single market. This agreement called *the Lisbon strategy* aims to make Europe the most competitive and dynamic knowledge-based economy in the world, capable of sustainable economic growth with more and better jobs and greater social cohesion.

The strategy has been followed up on a yearly basis and a special mid-term review was carried out in 2004-2005. A widely shared view at the midpoint of the strategy period is that the growth performance of the European Union has lagged far behind expectations from the time that the Lisbon strategy was launched. However, despite disappointments, it is not fair to put all the blame on the Lisbon strategy. Neither would it be fair either to heap all the credit on it if the situation was the reverse. Like all grand strategies, this one has its potential, but also its limitations. The Lisbon strategy requires support. More than one country, region, government or company needs to come forward, take the initiative, act and deliver in order to make a difference.

The Lisbon strategy can be said to have a generally valid and widely agreed content. Consequently, it provides both general and detailed answers to the *what question*. However, the problem has not been so much analysing and agreeing on *intended* objectives and targets on “*what should be done*”. The real challenge for some time has been on the implementation side, and therefore the *how question* in combination with the *who question*. In other words, the focus has been too much on the intended results instead of addressing the importance of those critical enablers that make the strategy happen. Leading foresight (strategy content) is no use without an proper execution of actions (strategy implementation). Both are needed, but in the end, it is the latter that makes the difference.



Picture: The Lisbon Strategy and its governance

The European Council's conclusions in March 2005⁵ state that the re-launch of the Lisbon strategy is based on three core pillars:

- 1) making Europe more attractive for investment and employment, e.g. by improving the *quality of the our business environment*;
- 2) making knowledge and innovation the power behind lasting growth, e.g. by improving the *quality of our educational system*; and
- 3) creating better and more work and placing growth and employment at the service of social cohesion, e.g. by improving the *quality of our working life*.

In order to make this all happen, a high *quality of public governance* is urgently needed. Governance is about putting together people, technology, processes and institutional structures for enabling effective, productive and innovative policy-making. Moreover, it is about turning high-level intellectual debates into grass-root actions. High quality public governance includes issues such as openness, innovation, productivity and efficiency, ethics and integrity, research and development, e-government, strategic leadership, strategic programming, a life-cycle view of learning and employment, performance management and knowledge creation.

Without doubt, the competitiveness of businesses – and countries to a large extent – is created by companies. However, with regard to many aspects of the Lisbon priorities, it is the task of people, processes and technology used in universities and other educational and research institutions, employment offices, ministries and agencies, social institutions and healthcare providers, to provide high quality societal infrastructure both for companies and citizens in order to succeed.

When discussing and developing different aspects of quality, the following might be useful reminders for not considering quality as an easily manageable and measurable phenomenon.

- Quality is embedded in the mysterious, but dynamic mixture of processes, structures and people. At best, this mixture is capable of providing good quality results and sustainable effects.
- Quality is a complex issue, challenging various stakeholders linked to the quality chain to make their contribution.
- Quality is an interdisciplinary concept, emphasising the importance of cross-institutional and cross-professional problem-solving and strategy delivery.

The moment of truth is not when something is thought, said or decided, but primarily when something is actually done. This is also an important yardstick for assessing the quality of the Lisbon strategy.

⁵ Council of the European Union. Presidency Conclusions, 22-23 March 2005.

The role of quality in modernisation programmes of the new Member States based on the Hungarian experience

By:

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After the change of the political and economic systems, the process of modernisation of public administration could be divided into two stages based on the main objectives: the fulfilment of the requirements arising from accession to the European Union and the enhancement of the administrative capacity necessary for Hungary to function as a Member State.

Preparation for accession to the European Union

The Hungarian experience concerning the period of restructuring may be summarised as follows.

- a) After the change of the political and economic regime, significant restructuring had to be implemented in line with the requirements of a market economy.
- b) In the period following the change of the regime, the emphasis was placed on restructuring, which was driven by two forces: preparation for accession to the European Union and maintaining the financial and budgetary balance.
- c) The structural changes reduced the stability of personnel, however no significant progress was achieved for a more efficient and cost-effective operation.
- d) Insufficient attention has been paid to the enhancement of the efficiency of internal operation and the improvement of the quality of public administration services (the latter became the task of the subsequent period).

Improvement of the administrative capacity required for successful operation as a Member State

Following accession to the European Union, Hungary's public administration system faces two major challenges: the development of a public administration and legal environment in which – based on the equal rights of citizens and enterprises – a standard quality of public administration services can be guaranteed and national interests enforced. As a result, the quality development of public administration has taken precedence in the past few years. A national survey was conducted among 3,200 public administration agencies in the first half of 2004 in order to lay down the professional foundations for quality development in Hungary. The major conclusions of the survey may be summarised as follows.

- Customer satisfaction is higher according to the public administration agencies than according to the citizens themselves.
- More than half of the agencies do not involve their customers in the enhancement of the quality of services.
- The speed of administration is basically in line with the legal regulations and customer complaints are examined within the time frame set by law (15 days on average).
- The most important requirement of a constitutional state regarding the public administration system is lawful operation. In this respect, the trend is unanimously positive.
- The overwhelming majority (90%) of public administration agencies are making great efforts to enhance the quality of customer information.

- There is a considerable shortfall in further training courses on how to treat customers.
- The location of organisational units is satisfactory. However, the state of repair and the maintenance level of the buildings are rather varied and accessibility is far from assured for disabled people.
- Administrators rarely use personal identification instruments (13%).

Based on the experience, a quality development strategy was developed.

- Public administration agencies receive financial support for quality development projects.
- The national version of the CAF self-assessment model got an online application, which supports the entire process of self-assessment.
- A quality development network in conjunction with the county public administration offices helps to continuously collect, evaluate and publish the best solutions for quality development. An electronic newsletter on this issue has several hundreds of registered users.
- The Public Administration Customer Service Charter has been introduced across the country, including general quality requirements. Special requirements include the introduction of the Customers' Day, as well as the institutionalisation of the customers' patron, the simplification of administrative procedures, the reduction of unnecessary legal interventions as well as active cooperation with the representatives of civil organisations, and small and medium-sized companies.
- The Minister of the Interior has founded the annual Public Administration Quality Award.
- Within the framework of public administration manager training, we have worked out a further training programme on quality issues providing the fundamental quality policy-related knowledge required for the application of CAF.

While implementing the above measures, we gained several experiences that could serve as lessons for the future.

- Instead of looking at the CAF self-assessment as a tool assisting the management, public administration agencies regard it as tangible evidence on the basis of which the managers of the agency could be heavily sanctioned. The same distrust is experienced in relation to the operation of the self-assessment group, presumably as a result of the former political system, in which criticisms and out-of-line opinions were not tolerated.
- The approach, which finds errors as a first step towards continuous quality development, is missing.
- Great emphasis must be placed on defining customer needs that appear in different ways in different types of public administration agencies.
- Quality assurance and management can lead to unnecessary over-regulation and growing bureaucracy, as the operation of the organisations is completely regulated instead of decreasing the level of regulation.
- Many public administration agencies introduced the ISO 9001 system and therefore find the use of CAF unnecessary.

Modernisation of the public administration system can only be successful if the structural changes are linked to the renewal and quality enhancement of internal operation. A quality enhancement strategy should be developed within the modernisation process, defining the most important development directions and goals, as well as the tools required for their implementation. Without a strategic approach, permanent results cannot be achieved in this area. The essence of this long-term strategy of quality development can be stated in one sentence: we need a public administration system where administration is replaced by problem solving.

Quality and modernisation programmes in Italy

By:

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The approach to public sector modernisation adopted by the Italian Department for Public Administration sees innovation not as a set of one-off initiatives, but as an ongoing process of organisational development that enables public administrations to evolve constantly, to respond to the needs of stakeholders and achieve better results. The key themes for modernisation focus on building the capability of public bodies to anticipate and address complex issues and assume new governance roles. Particular attention is devoted to developing the internal conditions necessary to support change and innovation within public sector organisations, which has been highlighted by the OECD as the crucial factor in creating flexible, adaptable government institutions able to meet the challenges of the future.

Within this broad framework, five priorities for change have been identified that guide the activities of the *Cantieri* programme, launched in 2002 to provide coordinated central government support for innovation in the public sector. *Cantieri* seeks to support public administrations in:

1. **Developing a streamlined administration able to respond to the needs of citizens and businesses**, including increasing the capacity to consult and involve citizens and businesses in the planning and delivery of services, understanding and anticipating the needs of stakeholders and transforming services to meet these demands, and measuring the quality of services to ensure they are delivering promised results.
2. **Adding value for citizens through better policy-making** by basing policy on a sound understanding of local needs, improving citizen involvement in decision-making and evaluating the effectiveness of policy and its delivery
3. **Managing change effectively** by developing a sound strategic approach to innovation based on appropriate organisational structures, effective management and financial practices, integrated human resources strategies, and the innovative use of new technologies.
4. **Creating an environment to support improvement** through the promotion of values, attitudes and behaviours throughout the organisations that support change and innovation.
5. **Building networks as a resource for change** by developing strong relationships with other public authorities, private enterprise, civil society and centres of knowledge and learning to channel energy, activity and resources for the delivery of better services to local communities.

Overall, nearly one-in-four public administrative bodies in Italy has had some involvement with the activities of the *Cantieri* programme since its launch in 2002. Public sector bodies

report that participation in a programme that has the explicit support of central government and provides structured activities requiring organisational commitment through formal enrolment confers a sense of legitimacy to innovation initiatives. Innovators explain that this has enabled them to access resources and gain organisational support to focus on innovation and implement projects that they would not otherwise have been able to. Administrations also emphasise that on-going support for projects throughout both the planning and implementation stages and the networking of innovators in other administrations provided by the *Cantieri* programme has greatly strengthened the sustainability of innovation initiatives, enabling them to deliver their full benefits over time.

Parallel Programmes

Programme 1: CAF and the exchange of experiences

Reporter: Elisabeth Dearing

PROGRAMME 1.1. FIRST EXPERIENCES WITH REGIONAL BENCHLEARNING PROJECTS (AUSTRIA, HUNGARY, SLOVAKIA AND THE CZECH REPUBLIC)

By:

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CAF Regional Benchlearning Project

At their 43rd meeting in Maastricht in November 2004, the directors-general responsible for Public Administration of the European Union encouraged the further construction of partnerships between Member States and supported the implementation of the CAF action plan by gaining the support of their ministers for its goals. One of the goals was to investigate the possibilities for using CAF as a benchlearning tool.

A regional benchlearning project has been established. The main aim of the project is to study the feasibility of international benchlearning based on the CAF, to promote the CAF and to improve the CAF results of the participating organisations. The project implies the selections of partners abroad, recognised for the development of good practices. It searches for ways to achieve new solutions.

Period:	January – December 2005
Participating countries:	Austria, Hungary, Slovakia, Czech Republic
Project team:	Michael Kallinger, Thomas Prorok, Ákos Kovács, Monika Jurkovicova, Jiří Marek
Reporting:	IPSG meetings, CAF Working Group meetings, CAF users conference

Reasons for international benchlearning

Many areas of activity demonstrate good practices in organisations

The partners are looking for innovative and creative solutions

They want to measure the level of performance in the view of global partners

Working together with partners located outside the country has added value

Objects of benchlearning

Registering the results of a self-assessment using CAF (according to assessment panels)
Benchlearning or comparison of different action plans (results, experiences, plans and their manner of implementation)
Establishing national CAF projects (from organiser's/coordinator's point of view)
Discovering routes to excellence (best practices).

Goals of the benchlearning project to be achieved

Study of the feasibility of international CAF benchlearning
Improvement of the results of a self-assessment using CAF
Promotion of CAF
Increasing cross-border cooperation of public administrations in the region

Project steps

- STEP 1: Planning the study (October 2004 – February 2005)
 - Initiative to implement the feasibility study on benchlearning (October 2004, CAF Expert Group meeting, EIPA)
 - Formation of a project team (December 2004)
 - Preparation of the project schedule (January 2005)
 - Adjustment of the Code of Ethics (February 2005)

- STEP 2: Collecting Data (February – March 2005)
 - Decision on suitable benchlearning partners within each country (February 2005)
 - Linking benchlearning organisations/partners between the partner countries (February 2005)
 - Preparation of introductory information by the selected benchlearning organisations (February/March 2005)
 - Kick-off meeting: Defining and linking benchlearning partners in the selected organisations (Vienna, March 9, 2005)

- STEP 3: Analysing data (April – November 2005)
 - Exchanging the CAF Results (mid-April 2005)
 - Analysing the background of the partner (mid-April 2005)
 - Identification of best practices (mid-April 2005)
 - 1st/2nd site visit/workshops (agenda and structure suggested by project team) (May/June 2005)
 - Reporting the results of the site visits (late-August 2005)
 - Start of the project to improve the own organisation based on the site visit results (September 2005)
 - 3rd site visit/workshop (October 2005)
 - Final Report (November 2005)

- STEP 4: Adapting - Improvement Process (after November 2005)
 - Communicate findings and gain commitment to change (after November 2005)
 - Set goals to close gaps
 - Develop and introduce an implementation
 - Monitor and report progress

- STEP 5: Final review –Evaluation (2006)
 - Conduct a post-completion review (2006)
 - Assess outcomes and learning following the study
 - Share experiences with others involved in similar processes
 - Identify opportunities for further improving and sustaining performance

Expectations:

- Be acquainted with foreign organisation's experiences – learning from others
- Implement the results of CAF benchlearning – e.g. in improvement plans
- Apply good practices in the organisations
- Collect data and improve weak points
- Meet the continuously growing citizens' demand
- Find synergy of methods, activities and QM

Project 1: Local Government 1 - Capitals	
A	XV District of Vienna
H	XIII District of Budapest
H	I District of Budapest
Topics of benchlearning	
<ul style="list-style-type: none"> - e-learning - human resources (database of employees skills) - complaint management - criterion 6: customer/citizen-oriented results - criterion 8: society results 	
Project 2: Local Government 2 - Cities	
CZ	Municipality of Vsetin
H	Municipality of Sopron
SK	Municipality of Martin
Topics of benchlearning	
<ul style="list-style-type: none"> - all criteria of CAF 	
Project 3: Regional Government	
A	County Level Administration Eisenstadt-Umgebung
H	Budapest County Level Public Administration Office
H	Baranya County Level Public Administration Office
Topics of benchlearning	
<ul style="list-style-type: none"> - criterion 4: partnerships and resources (key partnership relations, partnership with customers/citizens, managing knowledge, finances, buildings and assets) - criterion 6: customer/citizen-oriented results (long-term data gathering from citizens) - criterion 7: people results (employee satisfaction) - criterion 8: society results - criterion 9: key performance results 	
Project 4: Federal Government	
A	Ministry of Infrastructure and Innovation
SK	Ministry of Constructions and Regional Development of the Slovak Republic
SK	Ministry of Economy of Slovak Republic
SK	Civil Service Office
Topics of benchlearning	
<ul style="list-style-type: none"> - Criterion 5 - Change management - Controlling - Performance indicators - Supplier selection procedures - the Personal Information System - the service evaluation 	

PROGRAMME 1.2. THE CAF AND DIVERSITY IN THE PUBLIC SECTOR (BELGIUM)

By:

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Good practice is the result of a joint initiative of all six Ministers of Public Administration that Belgium has. The conceptualisation and organisation were accounted for by the Federal Public Service Personnel & Organisation, Department of Organisational Development. It was actively supported by the expertise of the Institute for Equality of Women and Men and the Centre for Equal Opportunities and Opposition to Racism. It concerned the public services at every level of the Belgian administration, of any type or any sector (federal level, communities, regions, provinces, cities, education, social care, welfare, defence).

Summary

A questionnaire, based on the CAF 2002, was used as an instrument in a selection procedure for existing good practices that promote the diversity and/or equality within the public services. By scoring 98 items (21 questions in total), an interested public service could assess its efforts with regard to the topic. The questionnaire is structured according to all nine of the CAF criteria and the items are linked to a maximum of the 27 subcriteria.

Reasons and aims

Diversity is a synonym of variation or heterogeneity. It refers to all the differences that exist between people of the same society, city, enterprise, and public service. People differ with regard to values and standards, culture, age, gender, religion, sexual preference, physical wellness, knowledge and skills... *but they also differ with regard to working opportunities, treatment, salaries, promotion opportunities... and employment in public administration.*

Public administration, being an instigator of diversity and equality policies directed towards the private sector on the one hand and not being the best pupil in the class on the other, realised that it had to intensify its efforts regarding the employment of people belonging to certain target groups. As an example, here are some figures for the Belgian federal level (2004)⁶: only 0.55% of civil servants do not have Belgian nationality (0.2% in 2003), only 0.8% are disabled persons (compared to the objective of 2%) and 48.7% of civil servants are women. However, at the two highest function levels, men are over-represented with 65% and 57%. In short, Belgian public administration was and still is far from being a good reflection of the diverse society to which it offers its services.

On 15 March 2004, the Ministers of Public Administration decided to organise an event concerning diversity and equality. This event would be the climax of a selection procedure for existing good practices aiming to promote the employment in public office of people from abroad, people with a disability and men and women where they are under-represented.

⁶ Three academic studies conducted in 2004 by the Catholic University of Leuven in collaboration with the Université Libre de Bruxelles and the Facultés Universitaire Notre-Dame de la Paix de Namur.

The objectives of the joint initiative are sensitising the public services with regard to diversity and equality, offering tools to assess the efforts already made in this field, drawing attention to the existing good practices developed in various public administrations and finally, exchanging experiences.

Implementation and results † ♿ † ♂

The selection procedure consisted of three phases: a questionnaire and a description of an existing good practice, an on-site visit and a final selection by a panel of independent experts.

The 9 criteria, 27 subcriteria and 244 examples of the CAF 2002 were translated by the workgroup into a 21-question questionnaire (98 items). Through the holistic perspective of the CAF, promoting diversity and equality becomes a mission for the entire public service and does not – as is all too often the case – remain a preoccupation of the human resources and legal department. By completing the questionnaire, the public service in question could assess its efforts or its policy with regard to diversity and equality. This translation was a process of consecutive brainstorming sessions, with an evaluation and feedback moment in each case. To avoid the case description becoming too lengthy, an example for CAF enabler “HRM” is enclosed at the end of this document. Similar questions and items have been formulated for all five enablers and four results.

In addition to the questionnaire, the candidate had to give a concise description of a good practice: context, intended participation, objectives, stakeholders, stages or planning, situation or results and added value for the organisation.

- All leading civil servants received the questionnaire in June 2004 (approx. 2,000 mailings), 24 practices were introduced (five federal, nine communities, three regions, two provinces and five cities).
- Thirteen nominees received an on-site visit, after they were selected on the basis of a double ranking:
 - o Score on the questionnaire (PDCA/Results logic, no weights and score brought back to a 100).
 - o Assessment of the good practice (transferability, maturity and total approach).
 - o The good practice was further placed in perspective by interviewing leading civil servants, project leaders and witnesses.
- Finally, a panel of independent experts selected five laureates who eventually presented their good practice during the event in October 2004:
 - o The City of Gent: an on-line questionnaire for monitoring the progress and results of the diversity policy in all the decentralised services.
 - o The Ministry of the Flemish Community: an integrated methodology for a diversity policy as well as its application in the field.
 - o Flemish Radio and Television Broadcasting: a package of initiatives aimed at employment and equal opportunities for young people from abroad.
 - o The Federal Police: consecutive recruitment campaigns for people from abroad.
 - o The Ministry of the Brussels-Capital Region: policy and assistance for disabled persons.

Three hundred and forty participants attended the event. The completed evaluation forms indicated that 87.4% had gained new ideas for their own organisation and that 98.5% would recommend and participate at a second event.

Lessons learned, innovative nature and transferability † & † ♂

The innovative nature is the flexible use of a translated CAF. i.e. the CAF is a window through which you can look at any specific topic. In this case, it was translated with regard to the issue of diversity and equality. You could just as well look at sustainable development, the use of e-tools, etc. Such an approach combines several advantages: a comprehensive and holistic framework with made-to-measure items in order to make an assessment within this framework.

The importance of involving topic experts in the translation process cannot be stressed enough. Using the right definitions and terminology is crucial. All the more as a questionnaire is required that includes a generic and valid set of items with regard to the topic.

As a result of the remarks on the evaluation forms we also learned that the five selected practices had every right to be presented as a good practice at the event. However, these practices had in general already benefited from the sponsorship of the leading civil servants in question and therefore had budgets at their disposal. This finding could indicate a possible side effect of a CAF-based questionnaire. The inherent holistic perspective tends to favour more developed practices in contrast to smaller but maybe more interesting practices. Using such a questionnaire as the only selection tool may therefore create a certain bias.

More generally, as is the case for any selection procedure, the use of several phases is recommended. The on-site visits revealed some good practices of politically correct answers and flexible interpretation of the PDCA cycle.

We also considered the limited response to the questionnaire (24/2000 or 1.2%). After some reflection, we identified several likely factors:

- The limited response could reflect the limited number of initiatives in public services.
- The selection procedure was interrupted by regional elections, which had some influence on the response.
- Due to a lack of address databases, the questionnaire was sent to all leading civil servants and not directly to people responsible for diversity and/or equality projects/policies. Some filtering might have resulted. A second event should make more use of existing networks.
- Last but not least, the questionnaire used was quite extensive (21 questions featuring 98 items). As mentioned above, the inherent holistic perspective might have discouraged some public services from introducing good practice for reasons of size, it being an ad hoc, hardly formalised, initiative.

Is this a transferable good practice? It all depends on what you are trying to achieve. The general idea of translating the CAF with regard to a certain topic can be seen as quite generic. However, the legislative, economical and political context of the country in question, as well as the characteristics of the chosen topic, demand a specific translation process with the right experts involved.

➤ **(QUESTION 12)** TO WHAT EXTENT DO THE STATEMENTS BELOW APPLY TO THE ORGANISATION'S STAFFING POLICY?

(Tick one of the 6 possible answers for each item: **⓪** / **P** / **D** / **C** / **A** / **☒**)

	⓪	P	D	C	A	☒
34 Objectives are defined that have diversity within the organisation as a priority where the planning of staffing levels is concerned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35 When drafting recruitment notices and job and competency profiles*, neutrality as regards gender*, origin, disability and age is taken into account	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36 As many different recruitment channels as possible are covered in the event of job vacancies, so that target groups have the maximum opportunity to apply	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
37 All new employees are allocated a personal mentor for a set period (buddy system)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38 The organisation offers a whole set of training activities that take the diversity of the staff into account (time of the training, training methods, content of the training etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
39 The employees of the organisation's personnel department are trained and coached in relation to diversity/equal opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
40 The managers in the organisation (<i>line management</i>) are trained and coached in relation to diversity/equal opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
41 The employees of the organisation receive training and coaching in relation to diversity/equal opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
42 The criteria for promotion are evaluated in relation to their neutrality with regard to gender, origin, disability and age	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
43 The organisation has various opportunities for growth or career choices in which diversity is stimulated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
44 The evaluation criteria are checked in relation to their neutrality with regard to gender, origin, disability and age	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



⓪ = No action/approach in this field

Plan = Action/approach is planned

Do = Action/approach planned + implemented (done)

Check = Action/approach planned, implemented + evaluated (checked)

Act = Action/approach planned, implemented, evaluated + modified

☒ = Action/approach planned, implemented, evaluated, modified + integrated

PROGRAMME 1.3. AN INTEGRATED MODEL FOR CAF APPLICATION IN PORTUGAL

By:

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Short description of the organisation/organisations where the good practice has been applied

The Ministry for Labour and Social Solidarity⁷ is the government department responsible for the definition and implementation of policies of relating to employment, professional training, labour, social security, social integration, as well as the rehabilitation of disabled people. It embodies different organisations, committees, services and monitors other structures.

In its first phase, the Quality Programme consisted of a CAF application in 17 organisations with different profiles, covering 26,000 people, including organisations with approximately 16,000 people serving about 10,000,000 customers. It covered the entire country, including organisations responsible for legislation and organisations responsible for the managing of social security budgets and funds. To develop this programme, a working group was created consisting of one coordinator and four members. These people also held other positions in addition to this project.

Description of the case/good practice

Taking into account the importance of quality management as a means of improving public services, a Quality Programme was established for the entire ministry. The main objective of the Quality Programme is to promote quality management as a means of achieving excellence in an innovative approach to benchmarking and developing partnerships leading to:

- reduction of non-quality costs
- circuit rationalisation and process optimisation
- senior management involvement
- people motivation
- citizen-customer orientation
- promotion of continuous learning, innovation and improvement
- resources and partnerships optimisation
- a result-oriented approach
- meeting actual social needs

In the initial phase of the programme, CAF was applied to 17 organisations within the ministry in order to obtain a diagnosis, identify strengths and areas for improvement and define important actions to be undertaken.

⁷ Due to restructuring, this ministry followed the former Ministry for Social Security and Labour where this project began.

In order to do so, an integrated model for CAF application was designed and implemented with success in all the organisations involved. This model does not aim to award a prize or to rank the different organisations involved. It enables a proper consideration of organisational performance as well as the identification of areas to be developed through the creation of an internal reference, which facilitates improvements as result of new means of self-assessment. Developed (see illustration attached) for the application of CAF in 17 organisations, it is innovative, aims to promote benchmarking and partnerships, considers key factors, and is based on material, technical and human resources, as well as on implementation of actions and self-assessment processes.

The key factors considered were the highest-level sponsorship, top management commitment, communication and people involvement. There was an informal structure based on the working group, interlocutors in each organisation, dynamic initiators, self-assessment teams and collaborators.

This model was implemented during a six-month period.

Results of the case/good practice.

In addition to the specific actions to be implemented in each organisation, plans for improvement appeared in joint areas of the organisations involved leading to the development of transversal actions to the entire ministry. These transversal actions have several advantages and result in the establishment of the following seven axes: evaluation and continuous improvement, benchmarking, innovation and change management, communication and customer orientation, motivation and involvement, environment, focus on excellence. The results of CAF application in the 17 organisations demonstrated the necessity of promoting an evaluation culture.

It was possible to identify positive effects such as: commitment of all the people involved, sharing of experiences and implementation of improvement actions, creating a dynamic process in the ministry according to the goals established.

Outputs included the identification of improvement actions, the plan for selected actions and pilot projects, the awareness of top management to quality, a global dynamics-oriented approach for the future, aiming at meeting the needs of the interested parties: customers, collaborators, partners and society in general.

Innovative nature and transferability of the case/good practice

The rapid success of this innovative CAF application model in such a wide variety of organisations led to a growth of interest prompted by its publication in specialised magazines and on websites in Portugal, South American and other countries.

The results achieved demonstrated that the *Integrated Model for CAF Application* was effective and adaptable to different environments, and therefore suitable for possible use in other organisations.

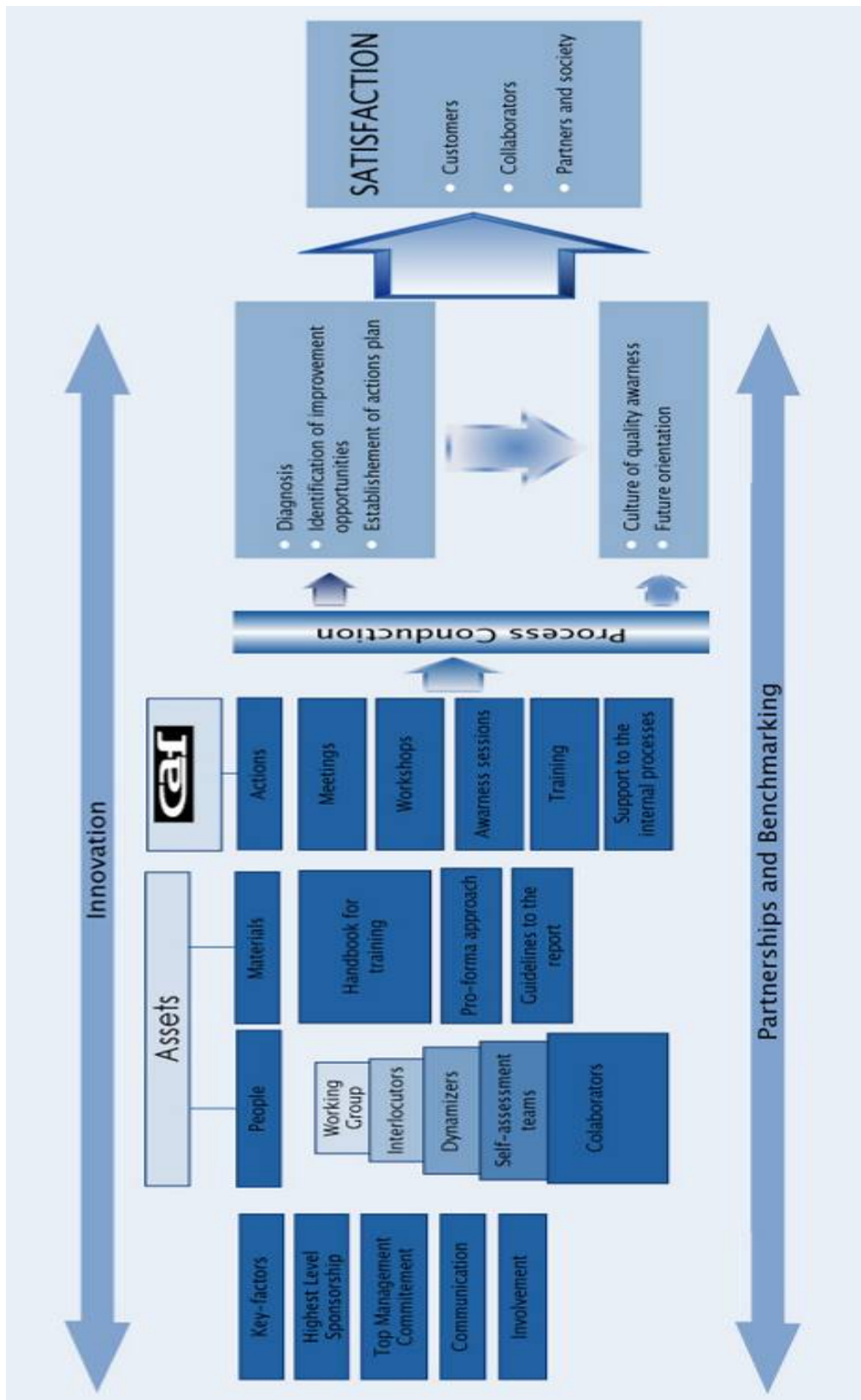


Fig 1: Integrated Model for CAF Application

CONCLUSIONS OF THE PROGRAMME 1 REPORTER

- when using the CAF, a balance must be maintained between being flexible and keeping to the CAF as the basis for international benchlearning;
- the CAF is very useful as a structural basis for exchange in a large variety of organisations and cultures;
- the CAF can be applied in a large ministry with 17 organisations covering 16,000 people serving 10 million customers.

Programme 2: CAF & Recognition Schemes

Reporter: Sabina Bellotti

PROGRAMME 2.1. THE INTERNATIONAL SPEYER QUALITY AWARD

By:

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This presentation aims to illustrate the make-up and development of the International Speyer Quality Award. It describes the origins of the award from the New Public Management paradigms in the 1990s, outlines the framework of the application process, and shows that with the Common Assessment Framework, a tool for the introduction of quality management at European level was developed with help from experiences gained during the Speyer Quality Awards.

The International Speyer Quality Award (ISQA) was initiated in 1992 by Dr Hermann Hill and Dr Helmut Klages at the German University of Administrative Sciences in Speyer. At that time, various business models originally developed for the private sector were introduced into the public sector, often without taking into account the different nature of both sectors. In the public sector, the New Public Management (NPM) paradigm emerged as the widely accepted model. One main goal of all these efforts was to establish a culture of benchmarking and evaluation in the administrative world. The ISQA shared the aims of the NPM paradigm in its goal to promote innovative developments of public sector administrations. The key elements of the award were self-application and self-assessment. With the university as an independent and well-known institution organising the award, participants can be sure that the award has a high scientific basis.

Since 1996, Austrian and Swiss public sector organisations have been invited to participate in the award. From the time of the fifth award in 2000, the categories have been constantly revised to reflect current trends in public sector reforms. For the 7th ISQA, there were six categories:

- partnerships implemented in public affairs
- quality management
- innovative fiscal and budget planning
- electronic government
- human resources management
- fight against corruption

The written application had to be based on questions/indicators published in a brochure available on our website (<http://www.dhv-speyer.de/qualitaetswettbewerb/>) and was limited to 30 pages. Together with a voluntary presentation, the documents were analysed by a group of experts in each category. In a second round, pre-selected applicants were visited on-site. Finally, the advisory board of the ISQA made a decision based on recommendations by the experts.

In retrospect, the 7th ISQA was a great success. With 100 participating organisations, the number almost doubled compared to 2002 when the 6th ISQA took place. All in all, 28 awards and 16 recognition awards (for organisations that only narrowly missed the award)

were presented at a congress in Linz in Austria in September 2005.

Assessment scheme of the Quality Award

Since 1992, there has been a constant development in the criteria list of the Quality Award. As with the categories, it was the aim that these criteria should cover all aspects of the developing modernisation process. For the 7th award, the criteria consists of:

- quality of the concept
- link with the general modernisation process
- implementation/maturity
- innovation
- quality of process and project management
- gender mainstreaming
- value and advantages of the concept
- transferability

The original CAF version may be seen as a combination of the EFQM model and the Speyer Quality Award scheme, so it was obvious to test the use of CAF for the award. For the 6th ISQA in 2002, CAF was chosen as an essential element of the application procedure. As a result, there were some complaints that a CAF assessment together with an application based on special criteria was a considerable handicap for the applicants. In 2005, only the Quality Management category asked applicants for the results of a self-assessment, e.g. CAF/EFQM/ISO 9000ff.

It can be concluded that the ISQA has backed quality management and CAF in Germany, Austria and Switzerland (as a non-Member State of the EU).

A combination of CAF and the Quality Award has provided no clear evidence that administrations that have used CAF in combination with the ISQA are truly interested in a systematic improvement process or whether they have used CAF only to be able to participate in the award. On the other hand, organisations that are looking for an easy but nevertheless profitable start in quality management tools are strongly encouraged to use CAF, as the German CAF Centre is closely connected with the Quality Award.

In a vision for the future, the ISQA could be open to all Member States of the EU who are interested in a self-assessment in accordance with the CAF (or other well-established tools) and who then apply at a national and/or international level for the different categories.

PROGRAMME 2.2. THE ITALIAN QUALITY AWARD BASED ON THE CAF

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CAF dissemination in Italy

An analysis of the experience of the Italian project “Routes to Quality”

Introduction.

“Routes to Quality” is a project promoted by Formez and the Department for Public Administration to disseminate CAF in Italy. The project was started in October 2004 and is currently in progress.

It originated from the need to carry out continuous and well-planned integrated actions so as to guarantee success in disseminating CAF in Italian administrations. In effect, the previous actions taken by Formez in this direction were useful but isolated and without a defined plan.⁸ For this reason, Routes to Quality was conceived as a real option to assist administrations in the self- assessment process by using CAF.

It involves three steps:

1. **Seminars**, which are activities to gain awareness and promotion.
2. **Labs, which are learning-on-the-job activities to assist the administration in CAF application**
3. **Italian Public Administrations (PAs) Quality Award**, which completes the path recognising administrations involved in improvement processes.

Results

As the project is currently in progress, the final results cannot yet be provided. However, some comments about participation can be made. Two hundred and two administrations (central, regional and local administrations) took part in the first phase (seminars). They represented schools, municipalities, universities, healthcare units, ministries, i.e. the entire range of Italian PAs.

To fully involve the entire country, the seminars were held in different geographical areas (north, south and centre of Italy). They dealt with different topics such as organisational change, self-evaluation and planning with the aim of providing public managers with a first insight into TQM tools and the concepts of quality-oriented organisations and effectiveness of performances. Some of the administrations participating in the seminars (79) joined the labs and are currently working to implement improvement actions.

⁸ Formez started to test the CAF in pilot administrations (11 local level, 6 provincial level and 1 central level) in 2002 using training activities and providing assistance to the administrations in the application process. In 2003, on occasion of the Italian Presidency of the EU, Formez was appointed to organise the first European CAF event. The event took place in Rome on the 17 and 18 November 2003, with about 150 representatives of European PAs participating.

For further details on the learning labs, see Programme 5.2. Learning labs: a guided approach to CAF implementation

The improvement plan was launched on 13 May 2005. The final step in the project will be the Italian PAs Quality Award. The award ceremony will be held in May 2006. It has not been conceived as a competition but more as a further tool for the implementation of CAF and the promotion of a quality culture throughout the major Italian PA sectors. This is the first Italian prize to reward those public administrations that have excelled in self-assessment using the CAF as a reference model. A significant number of participants are expected, and useful data about the outcome of the project can be provided around that time. In addition, measuring and monitoring tools are being prepared to obtain a complete overview of everything related to CAF application in Italian PAs (difficulties, aspects needing improvement, modalities of application, analysis of achievements).

Conclusions

The project aims to define and implement a systematic ordered strategy of quality dissemination and self-assessment tools in Italian PAs, and in this respect the project is strongly innovative. Moreover, it is a good opportunity to stimulate learning from the others, openness, collaboration and performance improvement. As such, it constitutes a powerful tool for raising the standard of public services.

Last but not least, the project offers great opportunities for benchmarking. The organisations participating will be invited to enter the results of the self-assessment into the EIPA database, which will increase the application of and opportunities for such projects.

PROGRAMME 2.3. EFQM LOCAL AND REGIONAL GOVERNMENT PRIZE

By:

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What is the Local & Regional Government Prize?

EFQM Local & Regional Government Prize is a scheme that is run in conjunction with EFQM & some member organisations as sponsors. The agreed objectives of all members are to spread the use of excellence in a specific group of public administration organisations and increase efficiency through technology

This project was introduced in 2004. It was focused on Local & Regional Government organisations e.g. municipalities, city councils. The prize was a combination of the EFQM Levels of Excellence scheme and a tool developed for this called eReadiness. There were two levels of prize winners. Level 1 was the Committed to Excellence Level and level 2 the Recognised for Excellence Level.

Prize winners were selected by a jury which included a representative from the Commission. There were a total of 27 entries for the 2004 prize, more than expected as the target was only 20. Applications came from 14 different national partners and were very diverse in terms of maturity, culture and services provided to the public.

The 2004 Winner at Level One was the Municipality of Dordrecht, The town council counts 1,600 employees. The structure of the organisation is divided into programmes, sectors and businesses. The jury was impressed with the way Dordrecht's senior management and staff followed a well-structured approach from self-assessment to the prioritisation of their improvement actions. The actions chosen were clearly linked to policy and strategy and designed to have major positive impact on the organisations goals.

The 2004 Winner at Level Two was Liverpool City Council, Liverpool is a major city in the North-West of England. The city council counts 19,000 staff members organised into five portfolios: education, lifelong learning and leisure, housing, supported living and community safety, regeneration, central services and resources. The jury noticed, in particular, how leaders in the organisation displayed role model behaviour inspiring managers and staff to higher level of professionalism.

A Special Prize for Excellent Progress in the development of e-services for citizens has been given to the Bursa Nilüfer Municipality, Turkey. The jury felt that the all round performance improvement through the development of a range of e-services to citizens was particularly impressive.

How is CAF part of this?

Level 1 of the prize is based on Committed to Excellence, a part of the European Recognition Scheme run by many EFQM National Partners. It involves undertaking an assessment against the nine criteria of the EFQM Model and it was agreed some years ago that a CAF assessment was a suitable tool for performing this assessment. It then requires an organisation to identify

the strengths and areas for improvement, prioritise these against their own criteria, implement three improvements and show that they have been implemented and benefits achieved. These are all things expected from a CAF assessment!

An additional item is to complete an eReadiness assessment, a simple questionnaire about the level of e implementation.

What are the benefits of getting involved?

As part of the process, structured approaches to prioritising, describing and implementing improvements are provided. This, too, is in line with CAF objectives. If you are successful, national recognition follows but international recognition as European winners may follow. Finally, improved performance is the main benefit.

Some government organisation examples.

The first example comes from a Belgian government organisation showing that the Committed to Excellence and CAF is not linked only to the Local and Regional Government Prize. The organisation identified an action to implement a Management Performance System. Previously reporting had been *ad hoc* and ill-defined. A change implied a need to look at real qualitative and quantitative results that by definition implied new measures. There was a rapid impact on results. Improved business planning meant that project and target management improved and this, in turn, had an impact on results. Resources were concentrated where needed.

In the second case, a mayoral office in Poland had Regional administrations (150 organisations) reporting budgets on a regular basis. Previously, this was a paper-based process and therefore very time consuming and costly. New online reporting meant that time was saved, customers were happier with the situation as this was an improved process, and costs were reduced as the process was electronic and, consequently, quicker.

A borough council in England built a Customer Service Centre. Many customers visited the council offices with enquiries. In former times, enquiries had to be made at the council building, which was not the best place for discussing matters, etc. A new centre was build with input from all parties involved. Customers are happier with the building, as well as the level of service they receive, as new performance targets were introduced and staff were trained to meet these targets. Staff were happier because they had an improved environment to work in. Better training and development was introduced to meet their needs, and they knew what was expected of them as a new performance management system was introduced at the same.

PROGRAMME 2.4. THE CZECH APPROACH TO REWARDING QUALITY IN PUBLIC ADMINISTRATION (INCLUDING THE CAF)

By:

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The Czech Republic has got to grips with the problem of work quality thanks to a decision of the Czech Government relating to the Quality Council of the Czech Republic. This body advises the Czech Government and it was the Ministry of Industry and Trade that was entrusted with its foundation. The Council has its own statutes and it is composed not only of designated representatives from several central administrative bodies, but also representatives from all walks of life. The main task of the Council is to prepare the “National Quality Policy” programme. The Council receives financial support from the state budget for supporting quality projects and for promoting this issue, too.

Quality, as an important part of the public administration in the Czech Republic, became a topic of discussion in connection with the accession to the European Union, and also due to activities relating to the IPSG (Innovative Public Services Group). Within the framework of the Quality Council, a special working group for quality in public administration was established. This special working group is divided into two committees in line with their competencies. These committees are the Committee for the Central State Administration (sponsored by the Government) and the Committee for Territorial Public Administration (sponsored by the Ministry of Interior). The working group meets several times a year in order to solve various problems. The Commission for Central State Administration also meets in order to prepare related projects for the central state administration and Commission for Territorial Public Administration in order to prepare projects for territorial public administration.

The proposal to the Quality Council to implement the CAF method in municipalities and regions came from the Ministry of the Interior. The Quality Council approved the project and funds were allocated. On the basis of a selection procedure, the Czech Society for Quality was awarded the assignment and during the first year of the project (2004), this method was applied in 25 municipalities and regions. The project consisted partly of training provided by two representatives of certain organisations, partly by training during the implementation of the project and, finally, evaluation by a third party. The aim was to help an organisation to take an objective view regarding its position. This project is continuing along similar lines this year, too, but next year public administrations will have to look elsewhere for resources as the Quality Council has already completed its mission as an initiator in this particular field.

In late 2004, the first Administration Quality Conference took place in Ostrava. During the conference, the results achieved in implementing the CAF model and using benchmarking were presented. In addition, experiences using both methods were discussed not only European countries but also by Canada. More than 220 representatives from municipalities, cities and regions took part in this conference, where awards were presented to those municipalities that had implemented the CAF model in 2004.

From the 22 August 2001, the Czech Republic initiated the Czech National Quality Award Programme by Government decree No. 806. This programme is based on a consequential and objective verification of the efficiency and quality of all activities of the organisation, particularly from the view of meeting the requirements of the customer and achieving economic benefits. The Czech National Quality Award model is consistent with the European Quality Award model (the benefit model – EFQM excellence model). The Czech National Quality Award programme is implemented once a year. The new award is promoted by the Czech Quality Council chairman and is presented by the Czech Prime Minister in the company of other state and Czech Quality Council representatives. In 2004, the prize was awarded to the representatives of Eurotel Praha and T-Mobile Czech Republic Ltd. These awards were presented the Czech Prime Minister, the Minister of Trade and Industry and the Minister of the Environment.

The Czech National Quality Award is awarded only to the best organisations. However, in public administration we need to solve the quality problem broadly and to motivate the greatest number of organisations to improve quality. Therefore, other grades are being introduced to complete the National Quality Award. The lower grade will be called the “Organisation for Increasing Quality in Public Administration”, which will be given to those administrations that have already taken up the activities leading to the increase of quality of their services, e.g. the implementation of the instruments for quality management. The relevant committees will decide who will receive awards. The other grade will be the “Organisation for High-Quality in Public Administration”. This prize will be awarded for a long-term effort and also for gaining certain point averages for this award/prize, e.g. the resulting classification average could be 3.2 in the CAF Model and/or 320 marks according to the EFQM. The Quality Working Group in Public Administration will decide who the winner is going to be. Finally, the third and the highest grade is the National Quality Award.

The Ministry of Interior of the Czech Republic is interested in encouraging other non-traditional solutions, which will be introduced in order to improve the way the administration functions. This year, the Ministry of Interior is going to set up the Award for Innovation in Territorial Public Administration, which will be awarded at the National Quality Conference in Public Administration by the Minister of the Interior. The administrations can obtain this award for their application of new approaches that verifiably result in increased effectiveness, or implementations in quality management. A condition for being awarded the prize will be a successful presentation at the conference. The Czech representatives for the “Fourth Quality Conference in Public Administration in the EU Countries” in Tampere, Finland in September 2006 will be chosen from the participants.

Other quality awards include the “Local Democracy Award for Public Administration”. This competition for different municipalities is focused on the best public participation in local and regional development. The aim of the “Best Web Pages and Electronic Services of Municipalities and Towns Award” is to strengthen modernisation of local and regional public administration by the development of IT services for citizens and other specific groups of users, including the use of the Internet and other electronic media. Without doubt, this helps to improve the quality of life in towns, municipalities and regions in the Czech Republic. Another quality award in public administration is the “Village of the year”. This award consists of assessing conceptual documents, social life, the involvement of citizens and their

activities, development, real estate management and the village in general. Civic facilities, engineering networks, energy saving, care for public open spaces and the landscape are important, too. The “Discovery of the Year” competition highlights websites of smaller municipalities or possibly their associations.

Following accession to the EU, there was a keen interest in rewarding quality in public administration and this is now one of the priorities of the Czech Republic. Experiences from other EU countries led the Czech Republic to develop and implement suitable programs and methods to make the public sector more effective and bring it closer to its citizens.

CONCLUSIONS OF THE PROGRAMME 2 REPORTER

Common features

- Presentations showed government support, demonstrating commitment and adding credibility.
- The programmes presented revealed a structured approach to supporting CAF Self-Assessment and continuous improvement.
- Underlined a need to acknowledge different levels of development.

Results/effects

- Helps to increase the use of CAF in Public Administrations.
- Strengthening the network of CAF users around Europe; more forums, greater recognition, more sharing of experience and good practice.

Conclusions

- Recognition programmes **CAN** support CAF & CAF objects relating to improvement and sharing.
- Care should be taken not to make programmes too bureaucratic or recognition an aim in itself
- Different types of recognition are recommended to sustain motivation to continue improvement.

Programme 3: The CAF in practice

Four examples of CAF being used as a vehicle for organisational change

Reporter: Joanna Nurmi

PROGRAMME 3.1. ESTONIA: ESTONIAN LABOUR MARKET BOARD

By:

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A short description of the organisation(s) where good practice has been applied

The Labour Market Board operates as part of the Ministry of Social Affairs and the institution is funded from the state budget. The Labour Market Board has four departments and 16 Employment Offices. The aim of the Labour Market Board and employment offices is to reduce unemployment and provide assistance to employers and those seeking work by means of an efficient labour market policy.

Description of the case/good practice

The essence of the good practice case was the experience gained in using two assessment groups. This presentation provides a brief overview about how it worked out in practice and the positive aspects and observations.

The self-assessment was carried out as part of the project entitled “Increasing the Administrative Capacity of the Labour Market Board and the Employment Offices”, as this was its overall goal. It is co-financed by the European Social Fund. The target group of the 29-month project is officials working in the labour market system. In connection with improving the quality of the labour market services, the more specific objectives aim to increase the professionalism and motivation of personnel. To achieve this, strategies, policies and principles supporting the organisation management will be developed and implemented and the labour market system officials will receive the required training.

The aim of the self-assessment was to:

- identify critical issues in the organisation management process;
- obtain supportive information by working out strategic organisational development papers;
- involve the staff; and
- evaluate the strengths and weaknesses of the organisation.

Implementation

During the first stage, support was gained from the organisations management and the CAF method was briefly introduced to all staff. The CAF project leader and the chairperson were then chosen. The project leader and chairperson selected the members of the assessment group. As we have offices all over Estonia (in every county), we wanted to select the members in the assessment group from various counties. This resulted in the assessment group we wanted being too large (18 persons) to work efficiently. We decided to form two separate groups, with nine persons in each. In forming the group, we took into account differences in sex, age, length of service, position in the organisational structure and the

geographical position. Three members were from the senior management level. External support came from the Ministry of Finance. This Ministry discussed how to draw up the assessment time schedule and carried out CAF training for members of the assessment group. The self-assessment process (the meetings) was carried out in a period of one month. During the period four meetings were held.

The first meeting was the training session in which aims, an action plan, a time schedule and criteria were introduced. It was opened by the director who inspired and encouraged members of the assessment group.

By the second meeting, the members of the assessment group had started to fill in the assessment forms. The idea of the meeting was to obtain specific answers from the CAF expert by e-mail in a fixed period of time.

The third meeting was the consensus meeting, which was held in two parallel groups on the same day. Both meetings were productive and constructive. Both assessment groups evaluated all nine criteria and at the end of the consensus meeting, every member was given one criterion to prepare for the final consensus meeting.

At the final consensus meeting the groups were combined. Group members from both sides asked about the result and briefly explained the arguments used in reaching it. Subsequently, both groups had to reach consensus.

What have been the most important results of the case/good practice?

Positive aspects of using two assessment groups:

- possibility of involving more people;
- assessment group are more active; and
- assessment group members communicate in order to prepare for the final consensus meeting.

Observations (both positive and negative):

- information was more important than evaluation;
- two groups had understood the criteria in the same way;
- group members tended to highlight processes rather than results;
- group members were vague when evaluating and commenting on the criteria;
- a strict time schedule should be followed;
- problems as to whether to evaluate the Labour Market Board, the Employment Office or the whole system; and
- less information, fewer.

Innovative nature and transferability of the case/good practice

This CAF implementation was unique as two parallel assessment groups were involved. This is beneficial to organisations who want to involve as many staff as possible in the assessment process and whose departments are not located in one place. However, they have to cooperate in everyday life.

PROGRAMME 3.2. AUSTRIA: AUSTRIAN STUDY GRANT AUTHORITY

By:

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CAF and ISO 9000

The Austrian Study Grant Authority [*Studienbeihilfenbehörde*] deals with students in the post-secondary educational sector. These are students of universities, universities of the arts and colleges of higher education, students of the teacher training colleges, colleges for medical technicians and conservatory students. They are potential customers of the Study Grant Authority, but the services are also open to persons who are going to study in the future and to parents of students as far as questions of study financing are concerned.

The Study Grant Authority is part of the State administration. The legal basis is the Student Support Act [*Studienförderungsgesetz*]. Decisions are given by notice. The organisation is subordinated to the Ministry for Education and to the Ministry for Health with regard to colleges for medical technicians. The students are the focus of interest. Approximately 65,000 applications have to be handled in a single academic year. About 22 % of Austrian students meet the requirements and receive direct support. The total amount of direct support given in 2004 was approximately EUR 182 million. The Study Grant Authority is located in Vienna, with regional offices [*Stipendienstellen*] in Graz, Innsbruck, Salzburg, Linz and Klagenfurt. The local competence depends on the place of study. There are 134 employees in 109 permanent positions. Of these 67% of staff are working part time; 84% are female. The controlling division is in charge of quality management. Therefore, the responsibility for running the quality management system, the further development and all CAF initiatives are based there.

A never ending story: “The Way to Administrative Excellence”

During the past years, the main areas of development were customer focus, focus on people, quality management system, personnel and organisation development, cost accounting, controlling, support of junior executives, an important e-government project and the Common Assessment Framework.

All these actions are based on one another, they are related connected and are sometimes difficult to separate. Three aspects make up the framework for all fields of development: customer focus, people-orientation and the efficient use of public funds.

Quality management system based on ISO 9000

An important step was the adoption of a quality management system. “What is the meaning of quality in the organisation, who are the customers, who are the interested parties?” These questions and many others were discussed, many documents were written, and quality was the subject of intensive focus. In 1996, the ISO 9001 certification was given, and the following step had to be taken in 2003. The revision of the ISO 9000 system in 2000 required a total reorganisation of the quality system; a process approach was introduced. At present, the

quality system has to be maintained, and annual external audits ensure that the system maintains its high level.

CAF

In 2002, the Common Assessment Framework was implemented for the first time. At first, there were objections to a new tool. The management and the staff had to be convinced that there were benefits to be obtained. The existing quality team was enlarged. Management and employees at all levels and of all departments were integrated. The CAF was used on three occasions and will be used again in 2006.

Using the CAF provided an opportunity to involve people at different levels and of different departments. It was possible to provide them with a general picture of the entire organisation. Using the Common Assessment Framework helps to give a new impulse to quality issues, and to increase sensitivity to quality. Using the CAF provides input for improvement activities. Experience has shown that there is a need for new impulses and new initiatives for the continual improvement of the overall performance of an organisation.

At present, three aspects can be mentioned

- A comprehensive management system: in addition to the core processes, this includes the controlling system, the accounting, the budgeting process, need analysis and all personnel processes, etc. The management system is designed to improve performance continually while addressing the needs of the concerned parties.
- Comprehensive documentation: all processes and the entire organisation are described, which results in a high degree of transparency.
- The requirements of the ISO standard are over-fulfilled: the Study Grant Authority has designed its own system and progressing towards a total quality management system.

The external view

When the project to adopt a quality management system was launched, the quality objectives were defined and are still valid today for the purpose of increasing customer satisfaction, increasing people satisfaction and ensuring efficient use of public funds. The consequent pursuit of quality objectives was rewarded in Speyer in 1998. The jury underlined the customer-orientated approach of the Austrian Study Grant Authority.

In 2003, the Study Grant Authority was monitored by the Austrian Court of Auditors. In the final report, the quality management system, the customer focus and the controlling system were referred to as “exemplary”. As a third example, the ÖQS, the external organisation in charge of renewing the ISO 9001 certificate wrote the following in its most recent audit report, “a comprehensive management system, many innovative projects and new milestones to optimise customer focus”. These external views are extremely important for the staff of the Study Grant Authority, because they do not always have the support of public opinion. State administration is sometimes regarded as ineffective, inefficient and not focussed on the interests of citizens. Therefore, the positive opinion of external experts is significant and enhances the motivation of the organisation staff.

Put into practice

Quality activities and development of state administration are not ends in themselves. All measures have one purpose: to provide service for customers and citizens. In periods of change, this challenge is particularly significant. The introduction of tuition fees allowances

in 2001 resulted in an increase of applications of approximately 50%. An enormous expansion in staff, offices and equipment ensued, and many measures were introduced in a short period of time.

The use of a new program, the Stubis 2000 electronic data processing system, resulted in an important reorganisation, as well as many faults and problems. Further system application will mean a change of paradigm. Until now, study grants have only been awarded following applications by students. As from the next winter term, one application only will be needed and this will be continued automatically for several years. This change is part of an important e-government project.

Handling these change processes is a crucial test for each management system. I am pleased to say that the Austrian Authority for Study Grants has until now successfully negotiated this test.

The path to excellence

There are many paths to excellence; different models of approach to high quality. Some are straight forward, others are more difficult. I am convinced that each organisation must find its own way, combining models, using different tools, sometimes making mistakes, learning through experience and the experience of others. However, the strong desire to improve – always taking account of the organisation's objectives – helps to find the correct path. The Study Grant Authority path is influenced by customer focus, focus on people and the efficient use of public funds. This path is outlined in a general model, is measurable according to quality objectives, is based on surveys and checks, and acts as a starting point for further development and improvement. It is our mission to serve customers and we hope to achieve it.

PROGRAMME 3.3. CAF IMPLEMENTATION IN NORWEGIAN MUSIC AND ART SCHOOLS

By:

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The Norwegian phenomena of music and art schools [*kulturskoler*] are quite unique. Norway is one of few countries where municipalities are obliged to offer education in the arts to their inhabitants. This arrangement has been in place since 1998. The municipalities have one music school, or share the responsibility with one or two neighbouring municipalities. In order to comply with music school legislation, the municipality has responsibility for running the school and for the financial and economic aspects.

In the education sector, there have been many examples of how modernisation trends have been put into action. The focus on quality in the universities, colleges, primary and secondary schools is quite strong, but there is no requirement for such in the music and art schools.

The music and art schools have no compulsory national curriculum or framework. The municipality itself decides the structure and format of the school. Consequently, there is no organisation to control quality. The development of this sector has been transferred to the national council/organisation – *Norsk Kulturskoleråd*. This organisation offers voluntary membership to municipalities and organises development work on behalf of the Ministry of Education/Directorate of Education.

The organisation took responsibility for writing the framework/curriculum for the schools, although this curriculum is not binding. The quality aspects do not have an obligatory structure either. In this context, the organisation has also developed a branch-specific quality development system, which includes CAF.

The complete system was finished in 2001. The system also included the use of service declarations and consumer polls. To implement and test the system, a pilot project was launched. Some municipalities were invited to join, and the *Norsk Kulturskoleråd* received funding from the government. The main objectives of the project were to test, implement and market the system, to gain experience and to acquire knowledge.

The project was very successful and was brought to an end in 2004. The system will now be offered to all municipalities/schools in Norway, by means of the book “*Bedre og bedre? – Kvalitetsutvikling i kulturskolen*”, as well as courses, seminars, network and conferences. The Minister of Education has given the quality system strong support and recommendation.

The quality system has already yielded very good results. During the project, all project members attained a higher quality level between the first and second CAF evaluation. It has resulted in satisfactory learning processes, both organisational and individual. Quality awareness has also reached a high level among participants. Evaluation groups have been important in schools, also in view of employees’ participation in both evaluation and planning

processes. In this way, accountability has been strengthened. The average quality increase was 12.3 %, with some of schools even attaining more than 15%.

We have learned that focusing on measurement has been important both for establishing a comparable platform with other schools and as a starting point for development. For many schools, this was the first time they had the possibility to document their own development. The good quality results were used in local marketing to build trust and to raise status and were seen as important assets for attracting additional resources into the organisations. These results were also used as political arguments for the important role of music and art schools in local societies.

An increase in satisfaction of students, parents, teachers and other customers of the schools were subsequently documented. The system was seen as an important factor in creating and maintaining good practice. The focus on quality has been seen as one of the most tasks of school managers, and cannot be fulfilled without the full support of the managerial system.

The development tools used following the CAF evaluation were directed towards the processes of the organisation. The processes were mapped out and the more important processes highlighted. These processes were selected for improvement and their quality was carefully described. The work of planning quality was considered very important for the quality results and the link between the quality planning and the quality results according to the various CAF criteria were relatively clear.

I believe that our success and satisfactory results were based upon the fact that CAF was not implemented in isolation, but as part of a complete system for quality development, with a Deming/Shewart approach. The system was launched as a complete system, suitable for continuous and obligatory work with a focus on quality. This type of work requires a long-term approach and should not be seen in terms of short projects or an *ad hoc* focus. Organisations should have a strong belief in being a customer service provider and have the potential to improve. The CAF alone will not provide quality. But incorporated into a system of continuous quality development, the CAF will provide a reliable description of the organisation, and pinpoint its strengths and weaknesses. Our experiences has also revealed that this way of working has some significance for results. The various schools involved in the project have clearly stated the value of working in a network, having the possibility to share experiences and views with colleagues on the same level.

I also believe that good-quality documentation and demonstrating a willingness to strive for improvement has given these schools a considerable asset. There is now great competition for public funds both in the local municipality and at a national level. In our opinion, a focus on quality and improvement without government interference will be the right solution.

CONCLUSIONS OF THE PROGRAMME 3 REPORTER

Motivation for using CAF

- The motivation for implementation is:
 - renewing processes and administrative structures;
 - identifying quality factors;
 - locating strengths and weaknesses of existing functions, etc.

Joint conclusions

- CAF is (and should be?) used with many other quality tools;
- self-assessment in CAF increases internal communication within an organisation;
- an organisation using CAF for the first time can make good use of different pilot projects
 - implementation is supported;
 - information is shared with other participating organisations;
 - results of pilot projects can also be well used by other organisations;
- CAF assessment applications increase the transparency of the organisational functions;
- many different actions follow the assessments;
 - quick repairs, “easy wins”;
 - new strategic plans;
 - streamlining of processes;
 - long lists of recommendations, from which the management should choose the most important ones.
- the obstacles of implementing CAF do not seem to relate to the use of the model but to organisational support;
 - necessary to “sell” self-assessment and the tool to management and staff in advance.

Programme 4: CAF in Specific Sectors

Reporter: Jens Henning Ravnsmed

PROGRAMME 4.1. THE CAF AS AN AUDITING INSTRUMENT

By:

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On 1 January 2000, the Court of Audit of Upper Austria [*Oberösterreichischer Landesrechnungshof*] was established as an independent body of the regional parliament. It carries out audits relating to the financial management of the State of Upper Austria, its foundations, funds and institutions, companies in which the federate state has a minimum 50% share, and the use of regional grants. Its work is geared towards a risk-oriented audit approach and its audit and advisory activities are designed to help improve the use of public funds. Of particular importance to the Court of Audit is the modernisation of administration in accordance with New Public Management. Since its foundation, the organisation has been in a process of permanent development. New guiding principles, strategic guidelines, auditing standards, a staff development system and a new result-based payment system were created. Project management and controlling were established. The organisation started to develop a balanced score card and knowledge management. Therefore, the CAF was a logical consequence in striving to improve quality in products and processes.

The CAF process at the Court of Audit

We expected an assessment based on facts using criteria which are applied on a Europe-wide scale and the ability to measure progress over a specific period of time. We were looking for a link between objectives, supporting processes and strategies. We wanted to be able to promote and share good practice with other organisations and to support motivation among employees. CAF should help to identify progress and outstanding achievements and to integrate a variety of quality initiatives into normal business processes.

In December 2003, all members of the Court of Audit staff were informed about the fundamental principles of quality management and CAF. An assessment team made up of eight volunteers was formed. Management, project leaders and auditing were represented in the team, as were the secretarial staff and union.

In a workshop, the project group members were given detailed information about CAF and provided with the necessary working documents. They then made their individual self-assessments. At the start of February 2004, the team met for a common assessment. We were able to reach a group consensus for all the criteria. An external expert accompanied the process.

It turned out in the discussions that the individual assessments were carried out with “varying degrees of stringency”, the difference between those group members giving “rather stringent” and “slightly less stringent” assessments being approximately 0.5 to 1 point on the CAF model.

Following the assessment of the team, the results were then compared with the Court of Audit Chairman’s assessment. In most cases, the Chairman had applied a slightly stricter standard

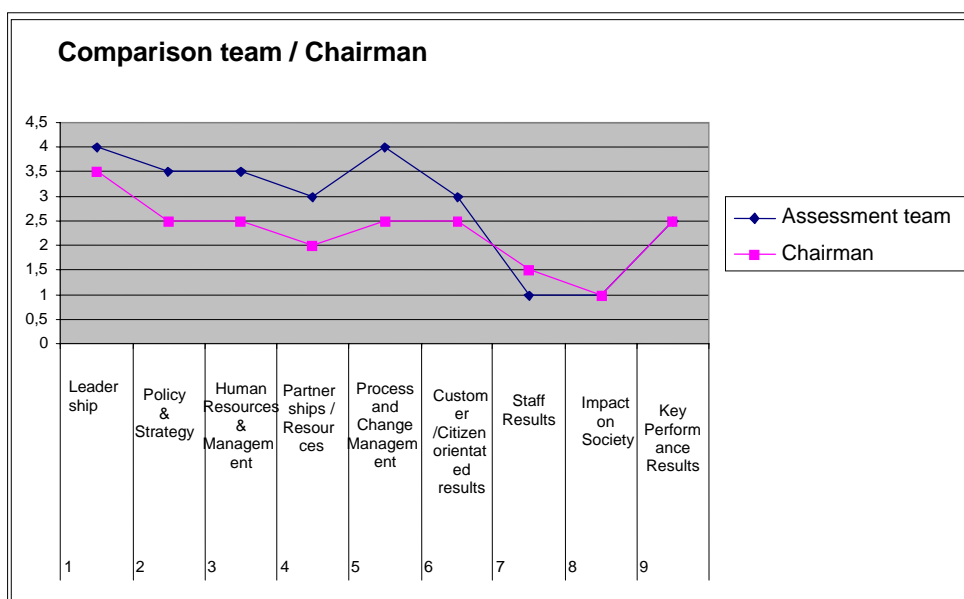
than the group. His evaluations and remarks were discussed and recorded in the results table, without any changes being made.

Finally, during a meeting, members of the Court of Audit staff were informed of the CAF results. As part of this meeting, the management stated the specific management measures to be taken on the basis of the results of this process.

Reflecting on the results

There are still some comments to be made regarding the results shown in the figure. As already stated, the criteria for Enablers (1 to 5) in particular indicate the varying degrees of stringency with which the assessment team and the Chairman of the Court of Audit carried out their evaluation. Although the results curves are largely parallel, the organisation is viewed slightly more positively by employees of the Court than by its Chairman. The differences in the assessments of the criteria for Results (6 to 9) were less pronounced.

Here, one should note the striking difference between the Enabler criterion “Human Resources Management” and the Result criterion “Staff Results”. In contrast to the high score for Human Resources Management, the score for the Results criterion of the assessment team was low, as no employee survey had been carried out, in spite of the fact that the criterion required such a survey. However, at the same time, the team emphasised that such an employee survey was not considered necessary for the 25 staff members of the Court of Audit.



The assessment reveals a high innovation potential for the Upper Austrian Court of Audit that clearly reflects the development the organisation lived through since it was founded in 2000.

Conclusion

From the Court of Audit’s standpoint, attention should not be focused on the number of points scored when considering results. Instead, the CAF shows strengths and weaknesses of overall management performance and illustrates the level of modernisation of the organisational unit.

At present, it is difficult to make a direct comparison with other administrative organisations. Nevertheless, this remains an objective of the Court of Audit.

In any case, the work with the CAF represented a key development step for the Court. The members of the assessment group were provided with a new outlook on their organisation. Due to an intensive analysis of their own organisation, team members identify more strongly with the audit institution and are aware of the positive development steps that have already been taken.

The Upper Austrian Court of Audit is convinced of the special benefits resulting from the CAF for an audit unit. Therefore the Court of Audit relied on elements of the CAF to underpin its audit and advisory activities. CAF structure and criteria were used in a great many auditing projects. CAF enables us to measure and compare the quality of an administration. The court has learned from experience that as an auditing instrument, the CAF may help improve administrative quality.

Therefore the Upper Austrian Court of Audit within EURORAI - the European network of regional courts of audit - called on other audit bodies to undertake a self-assessment of their own organisations.

Auditing bodies should be good examples for administrative quality. This is why in two to three years, the Court of Audit of Upper Austria will again measure its own organisational progress within the framework of a CAF self-assessment.

PROGRAMME 4.2. QUALITY-MANAGEMENT IN THE DISTRICT OF THE REGIONAL HIGH COURT AND COURT OF APPEAL IN HAMM [OBERLANDESGERICHT HAMM]

By:

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Regional High Court and Court of Appeal in Hamm

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The Regional High Court and Court of Appeal in Hamm is one of the three regional high courts and courts of appeal in the Federal State of North Rhine-Westphalia. Moreover, there are ten subordinated district courts and 78 local courts employing approximately 1,700 judges as well as 8,000 non-judicial assistants. Approximately 9,000,000 people live in this region.

The central aim of the process is the implementation of management by objectives. This presupposes the harmonisation and linking of the strategic aims and tasks of the Regional High Court and Court of Appeal Hamm with those of the district and local courts, particularly with respect to controlling resources. With this in mind, a general controlling process has been developed and implemented at the Regional High Court and Court of Appeal in Hamm.

Quality management constitutes the range in which standards are defined and implemented, and is therefore extremely important in this process. Although CAF is a tool for self-evaluation, it is possible to create a basis for assessment, i.e. it is possible with the help of CAF to describe the current state of an organisation. CAF as a self-evaluation tool strengthens the potentials for modification, development and initiative. The development of a quality management concept was initiated, directed and implemented by Department S (Organisation and Controlling) of the Regional High Court and Court of Appeal in Hamm. Department S is responsible for the entire project. The project has been actively supported by the President of the Regional High Court and the Court of Appeal in Hamm, Gero Debusmann.

An active and very productive cooperation developed between the Regional High Court and Court of Appeal in Hamm, the German University of Administrative Sciences Speyer [*Verwaltungshochschule Speyer*] and Ms Saatweber from the German CAF Centre.

Due to the outstanding importance of a later acceptance of the concept of quality management, a working group was set up consisting of representatives from all levels of the district as well as the local courts (presidents of the district courts, directors of the local courts and directors of administration of both). It was important to create a general understanding of the meaning of quality management in the judiciary of the Federal State of North Rhine-Westphalia, as well as an understanding of the operating processes involved. In addition, it was important to adapt the CAF tool to the specific concerns of the judiciary, and to acquire greater transparency in quality matters by using the CAF.

We will now be training CAF facilitators in order to be able to offer assistance for the self-evaluation processes. In this respect, we can fall back on internal consultants in matters of organisation. Many such consultants have qualified within the past ten years.

As a further measure, the CAF will undergo an initial test (the zero test), which will include the understanding of the aspects involved, the manageability of the tool, and the amount of time necessary.

At the end of the development process or at the launch of CAF-based quality management, a quality competition will be organised in the OstWestfalenLippe region in the autumn/winter of 2005. The region OstWestfalenLippe is located within the district of the Regional High Court and Court of Appeal in Hamm.

PROGRAMME 4.3. THE CAF IN THE HEALTH SECTOR (FRANCE)

By:

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Setting up the CAF in the quality process by the DDASS des Landes

Description of the DDASS

A State external service under the umbrella of three ministries:

- Ministry of Employment, Work and Social Cohesion;
- Ministry of Solidarities, Health and Family;
- Ministry of Parity and Professional Equality.

The DDASS des Landes is situated in the department bearing the same name and in Mont de Marsan, the headquarter town. It is located in the south-west of France and, together with four departments, it is part of the Region of Aquitaine.

The DDASS is competent in 3 fields: social, sanitary and medico social. Its main missions are:

- 1) solidarity and integration
 - ◆ politics in favour of social inclusion
 - ◆ welcome and welfare of foreigners
 - ◆ actions concerning fragile families
- 2) health and sanitary aspects
 - ◆ public health and prevention
 - developing regional health plans
 - ◆ organisation of medical care provision
 - ◆ environmental health
 - water and food
 - inner volumes
 - outside environment
 - ◆ monitoring of medical and paramedical professionals
 - ◆ disablement and dependence

Sixty people work for the DDASS, mainly civil servants, 15% of whom belong to the high level category. Their jobs range from inspectors for sanitary and social affairs to public health doctors/inspectors, sanitary civil engineers and technical counsellors in social work.

Description of the process

1. – Summary

The aim of this operation was to involve the DDASS in a process of continuous improvement. It was therefore necessary to have a consultancy report to achieve the necessary corrective actions. Consequently, the CAF was chosen. The main features of the process were as follows:

- the internal audit by a team representative of the entire staff;
- observations and the proposals;
- drawing up actions;
- drawing up procedures;
- checking the different stages by the quality manager;
- audit following the detailing of the actions and the evaluation of the improvement.

2. – Motivation and aim

The French administration is in the process of reforming both its organisation and its financial operation. Moreover, any newly appointed director must work out a three-year plan of action.

In my previous job, I opted to use the ISO 9001, version 2000, for the DDASS de l'Indre. I now wished to use a different methodology, and consequently decided to choose the CAF, which seems to be better adapted to administrative service.

3. – Development

In order to develop a quality process using the CAF, I used the services of a consultant. I chose Innovence, located at 29 rue Taitbaut 75009 Paris, because of its experience in this field. This consultant will monitor the operation until its evaluation. The development of proposals is still in its infancy, in order to bring it to a conclusion I appointed a quality manager. Another staff member will have to be recruited for six months. The aim is to make all agents participate in the quality process. This is the first project of this type in a State external service relating to health and social problems.

The agents, whatever their level in the hierarchy, experienced has difficulty in understanding certain criteria and sub-criteria. There were two possible reasons: either the terms used do not correspond to the working methods of our administration or the process itself is not fully integrated.

Such a task disrupts normal working habits as the agents are required to reconsider their ways of working and to find solutions to problems they discover, solutions they are then urged to develop.

Important results of the process

The process is not complete. However, a half-way evaluation shows that all the members of staff took an active part in the first steps. More than half are prepared to continue as they expect a collective improvement in the long term.

A change in behaviour is the expected result. For the moment, the problems the agents encounter do not extend beyond the frame of their immediate environment. The process will have to allow a formalisation of the consideration of the problems involved and a search for solutions. Moreover, it is likely that the procedures developed and the setting up of an internal audit will significantly improve the functioning of the DDASS.

Innovating character of the process and its transferability

The quality processes already developed within the DDASS are usually diagnoses of problems. The development of recommendations is not taken into account by all staff and rapidly ends because of a lack of deep motivation. The innovating character finds its roots in the involvement of the entire staff in the process, and is also the result of references familiar to all and to the organisation of periodical audits.

PROGRAMME 4.4. RESULTS OF THE IMPLEMENTATION OF THE CAF WITHIN THE MINISTRY OF ECONOMY IN 2003-2005 (SK)

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Description of the organisation

The Ministry of Economy of the Slovak Republic is a central government organisation. Its authorities and competences are as follows:

- industry, except food and construction industry, and manufacturing of construction materials;
- power engineering including nuclear fuel management and storage of nuclear waste; heat and gas industry; support for small and medium-size businesses;
- strategies for creating and supporting an entrepreneurial environment;
- domestic trade, foreign trade, tourism, consumer protection;
- protection and utilisation of mineral raw materials including central state inspection of the protection and utilisation of mineral deposits;
- hallmarking and testing precious stones; verification of compliance with obligations resulting from the prohibition of production, development, storage, utilisation of and trading in chemical weapons.

Description of the case/good practice

Summary

The Ministry of Economy of the Slovak Republic initiated the implementation of the CAF model in 2003. A CAF team, made up of 18 members from various important departments of the ministry developed the first self-assessment report this year. It provided us with a realistic picture of the effectiveness of our organisation, including the impacts and effects on society.

The crucial recommendations from the external assessors were focused on the documentation of the key processes in our organisation and their permanent monitoring, as our organisation management functionally geared to a valid organisational structure.

Taking into account the detailed analysis of our own weakness and strengths and the crucial recommendations of the external assessors, we decided to focus on the fifth criterion of the CAF model, process and change management, which has a direct influence on improvement in the enabling and result criteria.

Implementation

In 2004, we implemented three subprojects in the context of the implementation of the CAF model:

- a pilot project relating to the mapping and analysis of three key processes: the submission and evaluation of key tasks, the education and training of employees and the communication with the European Commission. The process owners, inputs, outputs, sources, activities and required records were defined;
- an analysis of information flows as a precondition for the effective management of the organisation;
- an analysis of the workplaces structure.

Within these projects we analysed the functions and processes in the organisation and the management of documents: their explicitness, transparency and availability. We also analysed the information and communication system, its usability and the mutual compatibility of the software used.

During the first half of 2005 we optimised and reengineered processes with the support of a professional organisation in this field and in close cooperation with our CAF team. The project was focused on:

- mapping out processes;
- analysis of process time;
- optimisation of the processes and the management system.

We identified and analysed a total of 17 processes, including managing, main and supporting processes:

- four managing processes: planning and controlling, budget formation and execution, management and organisation, audit;
- seven main processes: drawing up policy and concepts, legislation and methodology, execution and cooperation, creation and execution of projects/programs, administration transformation and privatisation of state property, regulation of selected areas;
- six supporting processes: human resources management, financial management, property management, IT/IS management, legal services, communication, administration.

Furthermore, we identified 626 activities and developed 270 process models.

The proportion of 19% managing, 40% main and 41% supporting processes indicates an imbalance. In order to streamline and optimise the processes, it is necessary to reduce the time for supporting processes in favour of managing processes. This imbalance between managing, main and supporting processes also reflects the management of time by managers. It is therefore necessary to relieve managers from supporting the main processes so as to create sufficient space and available time for the managing processes. This should have a positive impact on the overall management and ensure higher performance and efficiency in the organisation. Our goal is to reduce the time used for administrative and supporting activities in favour of the main activities and the processes management.

This will provoke certain changes in the current organisational structure. This task is expected to be achieved during the second half of 2005, when the decision and support of the political leadership of the organisation will result in the implementation of changes.

In our experience, what advantages does the CAF model bring to the organisation?

- it shows how the organisation functions;
- it discloses strengths and weaknesses; the CAF model is geared to the long term;
- CAF model implementation is not based on the self-assessment report issued and evaluated annually;
- CAF model implementation represents continuous work on the part of the CAF team with the support of the organisation management, geared to permanent improvement and efficiency.

Innovative nature and transferability of the CAF model implementation:

- focusing on criterion 5, “process and change management”, process analysis and optimisation are the basis for a continuous improvement in enablers and results;
- maintenance of processes and their continuous updating with software support creates conditions for continuous process management of the organisation;
- a clearly stated vision and strategy of the organisation, prepared according to the results of process optimisation and the recommendations of self-assessment reports is important for the process of continuous improvement of the organisation in relationship with customers and public alike;
- the implementation of the CAF model within the organisation represents an efficient tool for the purposes of the internal audit of the entire organisation.

CONCLUSIONS OF THE PROGRAMME 4 REPORTER

- applying CAF in specific sectors often requires an adaptation of language and examples of CAF;
- the involvement of senior management and employees is necessary for achieving a successful CAF implementation;
- focus has shifted from a concentration on self assessment to a focus on improvement actions;
- CAF is a continuous improvement tool; the timing of the cycle depends on the improvement actions achieved;
- CAF can be used meaningfully as an internal and external audit tool.

Programme 5: Improving with CAF
Reporter: Nikos Michalopoulos

PROGRAMME 5.1. THE INTRODUCTION OF CAF AT THE MINISTRY OF THE BRUSSELS-CAPITAL REGION (BELGIUM)

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The introduction of CAF at the Ministry of the Brussels-Capital Region: from self-assessment in 17 units to an overall action plan for the whole ministry (Belgium)

The Ministry of the Brussels-Capital Region

The Ministry of the Brussels-Capital Region has been in existence since 1989. It consists of six administrations, which in turn are divided into administrative units (approx. 60), and employs around 1,500 people. The Ministry implements all regional policies conducted within the Brussels-Capital Region. The Board of Management, composed of the Secretary-General, the Deputy Secretary-General and five Directors-General, is the Ministry's decision-making body.

Good practice: the CAF experience at the Ministry

The CAF experience started in 2003, involving one-third of the administrative units: more specifically, the Board of Management selected 17 directorates; moreover, all directorates-general were involved.

The CAF was applied in accordance with a strict time schedule; the emphasis was placed on training, communication and the benefit to be derived from assessment, both for the directorates involved and for the Ministry as a whole.

On 12 and 27 June 2003, the Board of Management met in order to appoint 17 pilot directorates of the Ministry that would have to apply the CAF in 2004. Each directorate then put together its own self-assessment group, making sure that it was as representative as possible of the directorate/service. Around 120 officials have been directly involved in the assessment.

In the autumn of 2003, two training days were arranged for all officials involved in the CAF in order to explain the objectives and nature of the procedure. As of January 2004, after their training, the groups were asked to get together and start their work, i.e. to make analyses and to assign a score to each criterion and each sub-criterion so as to be able to complete the CAF self-assessment scheme. Each group planned its own agenda, the only restriction being the date of 1 April for the submission of documents. All documents were returned by this deadline, and the first results could thus be presented to the Board of Management on 22 April 2004. The scores that the groups gave themselves were not revealed.

Several groups mentioned many strong points such as: the use of function descriptions and evaluation interviews for planning tasks and setting objectives, the internal unit-based organisation of the directorates, which is flexible and open to development, a leadership that is often prepared to listen and encourages delegation and responsibilities, training opportunities, etc.

Points for improvement were also raised, e.g. lack of formalisation (recording) and of communication of the vision, missions and objectives (measurables) of the directorates and directorates-general (need for coordination between directorates), which should go hand in hand with a regular assessment and monitoring process, a need to identify with a system of values at directorate level and at directorate-general level, the wish to have an internal organisational chart for each directorate, etc.

Boosted by the enthusiasm encountered, the Board of Management decided to make concrete use of the results to improve the functioning of the Ministry by drawing up action plans at different levels, first at the level of the directorates, then at that of the directorates-general and finally a CAF Master Plan for all transversal actions to be undertaken within the Ministry. On 13 May 2004, these decisions were communicated to the officials involved.

Then, those responsible for the 17 administrative units involved drew up action plans for their own directorates. Subsequently, after the summer, it was the turn of the directors-general to write action plans aimed at solving the problems specific to their directorates-general. Finally, on 22 December, the Board of Management adopted a CAF Master Plan setting out ten transversal priority actions to be undertaken in a period of two years, e.g. defining a series of missions, drawing up a code of values common to all staff, carrying out another survey among staff about needs, expectations and satisfaction, etc.

Results

The current result of the assessment consists of the drafting, implementation and evaluation of 17 action plans at directorate level, six action plans at the level of the directorates-general and the CAF Master Plan drawn up at Ministry level.

Of course, this is only an interim result; the CAF is part of a permanent process to improve the functioning of the administration and it will be important to assess, in the course of 2007, to what extent the objectives set in the action plans have been reached, i.e. to meet the needs for improvement expressed by the self-assessment groups.

Moreover, three elements that proved extremely positive during the process are also worth mentioning: observance of agendas, the enthusiasm that all the officials involved have shown for this participatory process, the communication regarding the project: all internal information distribution channels within the Ministry have been used and have proven their usefulness. Finally, mention should also be made of the committed involvement of the senior hierarchy (Board of Management) throughout the process.

Transferability

Every public or private organisation should be able to take part in this process. As regards organisation, one official has been responsible for coordinating the project at the Ministry. Ideally, there should be a permanent team within the organisation to see to the effective follow-up. For the moment, however, the present constraints in terms of human resources do not allow the creation of a permanent team. This has not stood in the way of the project or its follow-up. In budgetary terms, the necessary external assistance (training, support) required a budget of € 45,000. Compared to many audits imposed on administrations and sometimes carried out by consultants who are not very aware of the specific characteristics of the public service, this budget can be seen as very modest considering the positive results achieved.

PROGRAMME 5.2. LEARNING LABS: A GUIDED APPROACH TO CAF IMPLEMENTATION (ITALY)

By:

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In 2004, the Italian Department for Public Administration and Formez launched the CAF-based project “Routes to Quality”. This comprises an introductory route, a learning route and a competitive route consisting of:

- awareness & promotion through **Seminars**;
- **learning labs**, for knowledge/competence development;
- **the Italian Public Administration Award** for recognition of achievements in TQM.

For further details on the seminars and the Award, see Programme 2.2. **The Italian quality award based on the CAF**

The learning labs are tutored by TQM experts who accompany the administrations through an eight-month period to apply the CAF in their organisation and develop improvement actions.

The labs are organised in five typologies to meet the need of targeted activities and to foster the debate and the sharing of experiences in the framework of the same sector. Five labs have been defined:

1. schools
2. universities
3. health care units
4. provinces and municipalities
5. central and regional administrations

The administrations were provided with the Guidelines, a sixty-page document containing both the basic information about TQM and assessment, and precise instructions on how to conduct the self-assessment process and the upcoming improvement projects. In fact, they are applying the CAF in its original structure but are experimenting improvements in the assessment process.

They were invited to choose two alternative approaches for CAF application: the full approach (questionnaire, interview and focus group), and the simplified approach, where questionnaires only are used (a sixty-statement questionnaire was prepared for office staff and workers by adapting the language and eliminating non-applicable issues, and a special questionnaire was made for process managers). Most participants chose the first option, which may be considered a considerable sign of maturity.

The administrations have now completed the self-assessment process and have to implement the improvement plan by combining weaknesses and strengths in the enabler area (following from the assessment process) with other sensitive factors, like importance/impact on critical variables, cost and time for alternative solutions. The only approach recommended is the search for consensus in the self-assessment team and the final decisions by the top management, while statistical algorithms are excluded.

There were many problems due to the tight time schedule, but most participants were strongly committed to overcoming them. A great deal of collective learning has taken place, through discussions and Internet sessions, as well as exchange of information.

Some comments from the participants in the learning labs:

- “CAF proves to be an effective tool for getting to know the present status of the Administration, identifying areas for improvement and making planning more effective” (Municipality of Modena).
- “By taking the first steps in self-assessment, employees became aware of the importance of measuring and evaluating results and identifying and assessing the relevant enablers, as well as absorbing the process culture” (Municipality of Bari).
- “Routes to Quality” represented for us an invaluable and at the same time free opportunity to introduce into our Administration new quality management concepts, different from the previous standard-based ones” (Municipality of Modena).
- “We encountered a strong interest, both in the political authority and in our management. They found “Routes to Quality” a significant opportunity emerging in the middle of a long term reorganisation process (Municipality of Spoleto)
- “Why not create CAF sub-committees, working at developing specific guidelines for the different types of administrations, as well as developing and sharing sector specific case studies?” (*obviously preserving the CAF common criteria/sub-criteria structure*).
- Hoping for quick benchmarking development, as well as best practice collection initiatives and Key Performance Indicator sharing.

Conclusions

The lab experience has proved to be very positive from many perspectives.

1. A means to develop a dynamic non-bureaucratic organisational culture in administrations, based on continuous improvement/innovation.
2. A form of cooperative learning, opening the horizon of organisations beyond their borders to national and European benchmarking, to the development of a European model for managing PAs for effectiveness (citizen-centricity) and efficiency.
3. A means of spreading the organisational learning concept in PAs. Self-assessment is in fact a diagnostic process that requires a team approach, and that is a powerful means for collective learning.
4. A means of developing assessment skills that can be used for external evaluation, e.g. peer evaluation. This is a pre-requisite for making benchmarking more reliable and developing sustainable recognition systems (quality awards).
5. A means of conducting experimentation on the CAF model itself in a controlled environment. In the Italian PA case, the labs have been the test grounds for experiments whose results will be shared with other European organisations in the EIPA network, applying the continuous improvement approach also to CAF. The PDC activities made in our labs will converge into shared “Check” and “Act” phases within the CAF network.

We believe that in adopting CAF, PAs should focus on cultural change aimed at keeping and improving organisational fitness and/or purpose. To that end, aiming at an annual PDCA cycle, where, beside the traditional planning and execution phases, the check or self-assessment phase is introduced, is vital. This may be a strategic, long-term goal. However, tinkering with the model must be avoided, as commitment would not be sustained in the long term.

PROGRAMME 5.3. IMPROVEMENT ACTIONS IN THE MUNICIPALITY OF AMAROUSSION (GREECE)

By:

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Description of Amaroussion Municipality and related entities

The Municipality of Amaroussion – in order to provide its citizens with the most efficient and flexible services – operates as a group of ten legal persons, three organisations and ten municipal enterprises.

Stages in the application of organisational initiatives in the Municipality of Amaroussion ISO 9001:1994, ISO 9001:2000, System of KPIs, CAF.

Steps in the implementation of CAF in the Municipality: Presentation of CAF by ministry officials to the staff of the Municipality, setting up a steering committee for the introduction and implementation of CAF, self assessment for the identifications of gaps with regards to CAF requirements, rating all CAF topics as properly documented, personnel training, preparation of assessment report, definition of projects needed for improvements, prioritisation of projects, final selection and follow up of ten improvement projects, implementation and follow up of the projects.

The selected projects were as follows

- strategic plan (vision, values and strategic objectives) using balanced scorecard methodology;
- development of a code for the behaviour of the Municipality employees, in connection with the values established in the strategic plan;
- development of procedures for project management;
- development of KPIs (Key Process Indicators) for municipal enterprises;
- interconnection of the strategic objectives with the processes;
- corporate strategy plan (Municipality + public entities and enterprises belonging to the Municipality);
- procedure for analysing the needs of Municipality's citizens;
- improvement of the Municipality website in order to enhance teleservicing of citizens, to improve communication and information on municipality procedures, cultural events or various social programmes and to improve the exploration of their needs and requests;
- simplification of various documents used by citizens in their transactions with the Municipality;
- development of FAQs;
- establishing an improved procedure for the justification and documentation of financial decisions.

Results from the application of CAF

- the development of a coherent and simple strategic plan that is easy to understand for all personnel (methodology of strategy map – balanced scorecard);
- relationship of the Municipality's technical programme with the strategy map in order to align them, as the technical program was established earlier than the balanced scorecard. The correlation showed that in certain areas reallocations of resources and projects were needed;
- actions for the simplification of various documents;
- preparation of the study to improve the Municipality site;
- preparation of FAQs with the related answers to facilitate communication with citizens;
- personnel development through enhanced participation in teamwork and familiarisation with the project management methodologies and tools.

CONCLUSIONS OF THE PROGRAMME 5 REPORTER

- CAF is an effective tool for administrative improvement;
 - a. CAF as a self-assessment model underlines the continuous character of the improvement;
 - b. CAF as a team-based model enhances the collective thinking and the dialogue among the members of the organisation;
 - c. CAF as a self-assessment model is related to
 - the methodology of balanced score card;
 - the ISO;
 - the development of a performance monitoring system.

- CAF is the catalyst with respect to a public administration that functions as an organisational learning system, based on learning from itself and from others.

- CAF is not just a technique of how to improve the administration and its results. It contains the logic of building up organisations. It is a set of values.

Programme 6: CAF and e-Government

Reporter: Thomas Johansson

PROGRAMME 6.1. CAF E-GOV CHECKLIST IN FINLAND

By:

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Summary

The CAF e-Gov checklist was initiated as a part of the Finnish best practice selection process for the 3rd Quality Conference for Public Administration in the EU (3QC), held in Rotterdam in September 2004. The checklist was launched to help the organisations to devote extra attention to matters of e-Government when using CAF for self assessment. Examples of focused questions are given for each nine criteria of CAF to underline the importance of comprehensive evaluation built into TQM tools such as CAF.

Reasons and Aims

There were several independent but somehow related reasons for drafting the checklist. In short, it could be said that the experience had shown that, in general, the aspect of e-Government was very superficially addressed when assessing the quality of public organisations. At the same time, however, numerous strategies are being drafted in this area, huge investments are made and new services are being created, etc. There was also a momentum for this kind of approach. Through two extensive programmes of the Finnish Government, both the e-Government and the quality and efficiency of our public organisations are very much in focus at present. One of the challenges is to work on the coherence of the different development actions. As we are constantly also working on the enhancement of self-assessment practices, it was considered natural that these initiatives should be linked.

The aim of the checklist, in short, was to function as a wake-up call stating that more attention needs to be paid to the assessment of e-Government when truly assessing the quality of our organisations. The point was also to underline that investments and results in this area are at the heart of many of our improvement initiatives and cannot therefore be dealt with separately from the assessment of our other functions – as is unfortunately often the case. By providing examples with respect to all nine CAF criteria, attention was drawn to the fact that it is essential that e-Government issues are seen and assessed as part of the routine assessment of our functions. In addition, the aim was to point out that according to the logic of TQM, a coherent and systematic line from the strategic planning to processes and change management – and, of course to the key performance results of an organisation – needs to be made visible, also in the field of e-Government.

Another aim was to suggest that some issues, e.g. the skills and capacity of our management regarding innovations using e-Government, should be addressed as well as the effects these initiatives have on personnel, etc. The estimation was that these aspects are rarely assessed carefully.

Implementation

The checklist has been written and initiated by the Ministry of Finance, which is also responsible for disseminating CAF in Finland. The group responsible for assessing Finnish best practices for the European Quality Conferences added comments. The checklist was first marketed and distributed to the Finnish administration, and included the invitation to participate in the three best practices selection process for the 3rd Quality Conference for Public Administration in the EU (3QC), held in Rotterdam in September 2004. It was sent out with the printed CAF model and the selection guidelines and rules. The checklist is also available in Finnish and Swedish on the homepage of the Ministry of Finance (along with both language versions of the CAF model). On the same site, three other similar checklists can be found (human resource management, output/outcome orientation and service provision language policy).

The checklists are stated as small additional tools where relevant, e.g. in the process of selecting best practices to the 4QC in 2006. The four checklists, including e-Government, have been written to help organisations to assess high-priority issues on our national list of improvement actions. No specific project has been built around the implementation of the e-Government checklist.

What have been the most important results?

No follow-up with respect to the most important results has been initiated. However, some feedback from organisations using CAF has been received, which indicated that the checklist has been very useful in highlighting some important issues during the self-assessment process. In some cases, the checklist helped define the type of issues that should be addressed in the different CAF subcriteria and the links between these criteria. In this context, it was surprising to note that in some cases the checklist might have simplified the first implementation of the CAF model. As stated above, however, these are only individual and incidental comments received, and not the result of a systematic follow-up. The responses received came from different sectors and levels of administration.

As regards the negative side-effects, one issue should be mentioned. The drafting of the checklist has sometimes given rise to questions as to why these issues were not integrated into the actual CAF model, as e-Government plays such an important role in the management of our organisations and in the provision of services. We do accept that this question should perhaps have been answered by us when launching the checklist. This may lead to questions from people not yet that familiar with the logic of tools such as CAF.

Innovative nature and transferability

In our view, the innovative aspect of the above is that for the first time, we are attempting to encourage organisations to focus attention on these high-priority issues in their self-assessment processes. The general nature of the questions on the checklist is such that we believe the list can be used by anyone interested in obtaining assistance in this area.

Annex: CAF+/e-government checklist

Criterion 1: Leadership

How is the net service strategy aligned with the general strategic plans and operational objectives of the organisation?

How is the target level of net services, i.e. information, interaction, e-service, defined and how are these targets reached?

How extensive are the goals set for the e-government, i.e. cost effectiveness, efficiency, effectiveness?

Criterion 2: Strategy and planning

How are the views and expectations of customers and other stakeholders collected for setting objectives for e-government?

How are the products, services and production processes planned in accordance to the objectives set for e-government?

How are the production processes, products and services developed, based on the follow-up information?

Criterion 3: HRM

How are the demands regarding net services recognised in recruiting and training personnel?

How are the human resources invested in producing and developing net services monitored?

How is the net service strategy implemented in all organisational levels?

Criterion 4: Partnerships and resources

How are partnerships regarding e-government established, managed and evaluated?

What steps are taken to ensure that the organisation has all the information, technology and knowledge needed to provide current net services and to develop them in the future?

How are the costs of planning, producing and providing net services monitored as part of the financial management?

Criterion 5: Processes and change management

What steps are taken to ensure that net services support the main objectives of the organisation?

What type of effects do the net services have on the efficiency and quality of the organisation's processes?

How is the implementation of net service strategy monitored and adjusted?

Criterion 6: Customer/citizen-oriented results

How familiar are the net services? What is the utilisation of net services?

What is the customer satisfaction level regarding net services?

To what extent do the net services meet the quality standards and other relevant recommendations?

Criterion 7: People results

What is the personnel's perception of the organisation's capability to produce and develop net services?

What is the personnel's perception of their management's capability to manage and develop net services?

How willing is the personnel to participate in developing of net services?

Criterion 8: Society results

What kind of impact does the organisation's net services have on society?

To what extent do the net services provided by the organisation support transparency and public participation?

How does the organisation's e-government facilitate the implementation of sustainable development principles?

Criterion 9: Key performance results

To what extent are the goals set for net services achieved?

What is the quality and efficiency of the production processes of net services?

What are the consequences of e-government for the financial results of the organisation?

PROGRAMME 6.2. THE CAF AND THE EVALUATION OF E-COST (BELGIUM)

By:

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Belgian Office of Intervention and Refunds (BIRB)

Within the framework of the agriculture policy of the European Union, the BIRB as a Belgian federal agency is charged with Interventions, Refunds and Support Measures payments of financial subsidies to economic non-producing organisations.

A Ph.D. study in applied economic science at the *Vrije Universiteit Brussel* investigated possibilities to align ICT investments with the grand strategy of an organisation. CAF has been chosen for the BIRB case study.

Evaluation of e-Cost

The problem associated with e-Government is that it is quite difficult to evaluate the benefits and costs of e-Government projects (e-Cost). The focus is usually on the costs of ICT and the benefits (outcome) for society. In essence, an e-Government project is a government process (or set of processes) that satisfies the need of citizens or organisations. Furthermore, a process is a set of logically organised activities that consumes resources to attain one or more goals.

An interdisciplinary forum has been proposed to discuss the efficient deployment of resources in the processes to achieve the desired goals effectively. At least one person from each resource management is represented in the interdisciplinary forum, together with representatives from the business processes. In the case of BIRB, the basis of the discussion concerning how to deploy resources and at which cost, is CAF.

The result of the interdisciplinary forum is a prioritised list of scenarios with their costs (of all resources), their pro's and con's. The authorised person (or group of persons) takes the final decision and as a result, service levels agreements (SLA) are defined and the steering plans of all resources managers are adjusted accordingly.

The case of Free Food Distribution (FFD)

The policy of BIRB is that every process should be as paperless as possible, preferably also web-based. The FFD has been chosen as the pilot project to implement the framework of the interdisciplinary forum, because it is quite independent from the other processes and only a few BIRB staff are involved.

The result of the first interdisciplinary forum session was that in order to change the manual FFD processes into an “e-Government process” (as paperless and web-based as possible), Business Process Re-engineering (BPR) had to be performed. A list of possible solutions was then presented to the Director-General, who decided which scenario had to be implemented.

As the process had to be almost paperless and web-based, a further business analysis is being performed before the next interdisciplinary forum session with the ICT department and with the CAF as *leitmotiv*. Thanks to the use of CAF, people from both the business and resources sides are already thinking process and service-oriented manner instead of thinking functionally.

A new type of balanced scorecard (BSC) has also been proposed in order to complement the CAF in a better manner. The BIRB FFD wishes to produce effects (*outcome*) in society (CAF criterion 8) by providing a satisfactory service or product (*output*) to citizens and organisations (Crit. 6). It therefore requires *capabilities* (measured by Crit. 9), which are generated by *modules* (processes, Crit. 5), using resources (Crate. 3, 4). The mission statement, vision and values are defined by the managers of the operational strategy (Crate. 1, 2). In this way, we have followed the structure of the BSC with five perspectives: outcome – output – capabilities – modules - resources. Regarding investments and the evaluation of e-Cost, this type of BSC is an extension of the CAF with the interdisciplinary forum as the global framework. The next step for the FFD project is to hold a second interdisciplinary forum session to define the most appropriated web-based, paperless e-Government process.

BIRB and ICT

To avoid the suboptimal deployment of ALL resources in the WHOLE organisation, a global interdisciplinary forum session has to be held at corporate level (BIRB). The same type of BSC as for FFD will be used to guide the strategic leadership of the organisation.

The goal of the Ph.D. study is to find a method to align ICT with the grand and/or business strategies of the organisation and to assess the investments in ICT. This can be effected for ICT (supporting entity) with the same framework as for the FFD (core business). In this case, the clients of the IT capability are the e-Government processes and their users. Service Level Agreements (SLA) are defined between the owners of these processes and ICT. Based on these SLAs, ICT (just like any other resources manager) draws up a steering plan, where not only the investments in applications (= business cases) but also ICT infrastructure investments can be assessed.

Conclusions

The interdisciplinary forum based on CAF is a holistic business approach to assess e-Government projects and to decide how to deploy e-Government. Moreover, it can easily be extended to all kind of projects and investments.

The case of the Free Food Distribution can be transferred to other organisations. As it is based on the CAF, objections to using this framework will be less in the case of organisations already using the CAF. However some changes in the decision process may occur. As time-based projects (scenario's) are being used, the future environment can be very uncertain (certainly in the case of e-Government projects). Financial techniques such as ROI or DCF may not be the most appropriate way to assess the projects from a financial point of view. Other techniques should be considered, like Real Option Values. Introducing this type of technique may encounter resistance, because it implies a cultural change and may therefore jeopardise the whole concept of interdisciplinary forum.

PROGRAMME 6.3. THE CAF AND INNOVATIVE E-GOVERNMENT ACTIONS AT LOCAL AND REGIONAL LEVEL

By:

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The content of the study

As emphasised in the conclusions of the conference on local and regional e-Government: “connecting to citizens and improving efficiency” held in Santorini on 12-13 May 2003, the Committee of the Regions points out five key elements to succeed in e-Government at local and regional levels:

- local and regional authorities have a key role to play in promoting e-Government;
- the exchange of information and dissemination of best practice should be strongly supported at EU level;
- the local and regional dimension of e-Government should be given strong emphasis in the development of e-Government policy at EU level;
- e-Government must be developed bottom up, putting people first;
- e-Government is a new tool for modernising local and regional administrations.

E-Government has for some time already been identified as one of the major means to fully reap the benefits of the information society in Europe. As such, it has become one of the key areas of the e-Europe 2005 Action Plan. Moreover, e-Government provides governments and administrations at all levels with the opportunity to offer citizens and businesses better quality services, in a faster, more responsive and convenient way. It makes it possible to deliver more value for taxpayers’ money and to strengthen democracy. Its impact will therefore be felt in multiple areas, from a more competitive economy to a more inclusive and participative society.

This, however, will only happen if a number of key success factors are met. To deliver on its promises, e-Government requires a complex combination of investment in advanced technologies, far-reaching organisational changes, acquisition of new skills within public administrations, strong political commitment and leadership, close cooperation across organisational boundaries, and a willingness to start small and scale fast. Above all, it requires putting the needs of customers – citizens and businesses – at the very heart of electronic service delivery.

It is for this reasons that the Committee of the Regions has prepared this study on *Governance and information and communication technology – innovative e-Government actions at local and regional levels*. The team in question, led by OGNETs (now Ramboll Management) with the assistance of the Telematic & Communication Service of the University of Brussels, therefore opted to follow a methodology derived from the quality management referred to as the CAF model.⁹

Following this methodology allowed an in-depth analysis of the following eight best practice cases:

- The Service Point – Three Island Partnership : an Argyll and Bute modernising Government project for Scotland
- The Citizen’s Service Bureau of the Principality of Asturias (Spain)
- Bremen Online Services (Germany)
- The C.I.R.B. of Brussels (Belgium)
- The County of Copenhagen (Denmark)
- Derwentside (United Kingdom)
- The Generalitat Valencia (Spain)

⁹ Full report available on : http://www.cirb.irisnet.be/site/nl/activiteiten/E-Government/Files/egov_final_report

- e-Vienna (Austria)

In two further cases, the CAF methodology was not judged appropriate.

- ARTESI : Isle de France (France)
- Tempera (Finland)

The key recommendations from the study.

I. Concerning the enablers criteria

Political leadership

The political leadership is probably the first key point to succeed in an e-Government project. Political leaders must be committed and convinced; they must also be receptive to change. It is important that they use information and communication technology (ICT) on a day-to-day basis. However, it is not necessary for them to be IT specialists, but they must have a vision. As mentioned in the Conclusion of the Como Conference “*It has been widely acknowledged that without a vision, e-Government is a “mission impossible”. Integrated e-Government is a vision, which will help e-Government achieve its full potential for innovative change*”.

Strategy and planning

The strategy and planning aspects in e-Government are due to the fact that it is necessary to implement the vision of an integrated e-Government in a comprehensive strategy for a relatively long period of time. For instance, the strategic planning of the Walloon Region for an integrated e-Government[1] runs until 2011. However, it is essential to implement the strategy in small steps to obtain actual results as soon as possible. In addition, the strategy and planning must also be very flexible due to the rapidly changing context and technological evolution. Finally, the vision must be translated into clear strategic objectives, which can vary depending on political prioritisation.

Human resources

In terms of human resources, flexibility is the main characteristic. As mentioned above, the strategy and planning requires a great deal of flexibility, which must also be implemented in human resources management. In some cases, a matrix organisation is needed, with a vertical hierarchy as is often the case in the public sector, but also with a horizontal team taking charge of managing specific projects. This type of organisation offers far more flexibility. Employees must be prepared for change, as an integrated e-Government approach modifies all processes and workflows. In this context, management according to objectives facilitates improved motivation and corresponds far better to the flexibility required at all levels of the organisation

Partnership and resources

As already mentioned, e-Government demands a great many resources and in some cases far more than initially forecasted. Therefore, it is necessary to make a proper evaluation of the resources required before commencing such a project. An interesting means of obtaining the required resources is through public-private partnerships. Bremen Online showed how much all stakeholders could benefit from this type of approach. A true win-win scenario is the key to the success of the partnership.

The processes

An integrated e-Government requires a re-engineering of the main processes; e-Services on the Internet cannot be just a few web pages without modernisation of the processes that support them. This process reforming is the key to achieving a true modernisation of the administration. It is clear that change costs money and requires sufficient resources in the short or medium term. Therefore, it would be helpful to perform a risk assessment before starting the project, which will be implemented in small steps starting with pilot projects. Another important question is communication. It is very important that the final e-Government beneficiaries (citizens, businesses, intermediaries) are

aware that the service exists or will be implemented. In many cases, there is a lack of communication around the new e-Services and therefore a low degree of use from potential beneficiaries.

II Concerning the results criteria

People

Generally, there is a great deal of satisfaction from administration employees in charge of e-Government implementation. They greatly enjoy their jobs and feel they are participating in a strategic step towards the modernisation of the administration. Often, they receive the best equipment from the administration and benefit from far more flexibility in comparison with their “traditional” colleagues. E-Government is no longer perceived as a threat. However, only some employees can adapt to change within a short period of time. It is important to select the right people for the pilot projects and the first steps of the implementation. Moreover, training of large groups of employees has to be envisaged in the short to medium term.

Citizen/company

The case of Bremen showed that the impact of e-Government is far more immediate on professionals (businesses and intermediaries) than on citizens. Professionals save money, time and stress with e-Procedures. Citizens require far more time to change and must be aware of the existence of the new e-Services. The added value in the “e” is obvious to professionals, but it will take more time to convince citizens of the real added value of e-Government. It will be easier to communicate the advantages of e-Government when e-Services are available on familiar support media such as smart phones and televisions.

Society

It is at this level that the impact of e-Government could be most fundamental. As pointed out by Douglas Alexander, the British Minister responsible for e-Government, the Internet presents a major challenge for politicians. “The Internet has the potential to produce an information-rich world in which all citizens are able to communicate, educate and legislate in a way previously considered impossible”. In a new book entitled “Open Source Democracy”, Douglas Rushkoff mentioned that this is due to the interactive nature of the Internet. Interactivity means that people are no longer passive receivers of information. This offers exciting possibilities for new social networks, which are enabled – but not determined – by digital technology. The essence of the above, exchanging news and views without centralised control, demonstrates the potential for a new type of democracy based on more direct discussion of political issues.

III Conclusions

The CAF model has proved

- very useful in describing cases of good practices;
- to be an excellent structural exchange tool; and
- useful in extracting key recommendations in a very clear and detailed form (enablers & results).

CONCLUSIONS OF THE PROGRAMME 6 REPORTER

- CAF can be used in many different ways to support the development of e-Gov!
- How should ICT be handled in the assessment process?
Mainstream and ask ICT questions with respect to relevant criteria, consult the Finish checklist.
- A CAF assessment provides a holistic view of the organisation, and it is one important step in all re-engineering projects that aim to increase the use of ICT in business processes.
- The CAF can be used as a framework to identify critical success factors in the implementation of different e-projects; the most critical is HRM, followed by change management and process management.

Programme 7: CAF and training
Reporter: Jean-Marc DOCHOT

PROGRAMME 7.1. CAF TRAINING: AN EXPERIENCE BY BLENDED LEARNING (PORTUGAL)

By:

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A short description of the organisation(s) where good practice has been applied

This project has been developed through a partnership between:

DGAP (Directorate General for Public Administration) DGAP, a direct state administration service, integrated into the Ministry of Finance and Public Administration. It is endowed with administrative autonomy, with functions of study, design, coordination and specialised support to the Government in the definition of policies relating to public administration. As a cross sectional service of Public Administration, DGAP has the mission to promote and evaluate implementation and development of new public management models, based on solutions that ensure overall coherence of the system, with a view to developing human resources as well as promoting and protecting citizenship. DGAP is responsible for CAF dissemination in Portuguese Public Administration.

and

INA (National Institute for Public Administration), an indirect state administration service, integrated into the Ministry of Finance and Public Administration. The institute is responsible for developing knowledge, innovation and processes of change for the Portuguese public sector through training, consultancy and research activities.

The essence of this good practice case

DECAF (Diploma of CAF Specialisation) is a CAF training course, developed by b-learning (traditional training + e-learning). It comprises all the phases of the CAF application cycle (CAF implementation, improvement actions, behavioural competences) in order to train CAF agents and to disseminate CAF in the Portuguese Public Administration. The final DECAF activity is a report concerning the CAF application in the administrative service of each participant. When the DECAF commenced, 200 hours of training were given (e-learning + sessions) to 27 participants, mostly from central administration.

Reasons & aims

Reasons:

- In 2004, a law set up an integrated system of performance assessment in Public Administration, known as SIADAP. This system deals with the assessment of employees, middle managers and services and bodies within the direct State administration and public institutes. Within the context of organisation assessment, services and bodies have to perform a self-assessment, and DGAP designated the CAF as the self-assessment model.
- Public servants do not have many competences in quality matters.
- The DGAP strategy to disseminate CAF aims to provide guidelines to guarantee a satisfactory CAF application.

Aims:

- To enable civil servants with professional and behavioural skills to apply CAF in public services, and participants with technical abilities to develop an evaluation of processes within the scope of SIADAP.
- To create a group of CAF Agents in cross-sectional services (Secretariat General of Ministries and services that coordinate Municipalities) to disseminate the application of CAF in each sector of the administration under the coordination of DGAP.

Direct results

Participants should have the competences and skills to disseminate and apply CAF in public services, but the evaluation will have to indicate whether this is the case.

Impact

CAF Agents will implement CAF and disseminate in each Ministry, and CAF applications will increase as the result of the participation at the DECAF. This has also to be confirmed by the evaluation.

Implementation

Stakeholders involvement: during the first implementation, suggestions and requests of participants were welcomed and the necessary adjustments made.

Responsible parties for project: DGAP and INA

Tools: E-learning platform (blackboard)

Main Activities:**Authorship**

- Designing the programme (the course structure)
- Creating contents and activities of lessons
- Defining the schedule and evaluation criterions, designating examiners

Tutorship

- Evaluating activities and providing feedback to participants/groups
- Monitoring working groups, clarifying problems, answering e-mails and monitoring discussion forums/group forums.

Obstacles	Improvement actions
Participants had difficulties in time management	Adjustments of schedule and flexible deadlines (applicable in initial implementation) In subsequent courses (particularly in DECAF disclosure), the time required for e-learning should be underlined, the self-study approach of e-learning emphasised, and management should free workers for e-learning tasks.
E-learning format creates difficulties with group dynamics	Anticipate general doubts and problems in the group to avoid frustration and group crises. Meetings should be held periodically to clarify doubts and facilitate working groups.
Tutor work (better use of time, little e-supervision)	The first course was useful for building the knowledge block. In subsequent courses, tutors should be given more time for e-supervision.

The most important results

The first DECAF course ended in July 2005. Consequently, it is too soon to assess the long-term results (evaluation reports and impact), but it can be stated that participant goals were mostly achieved, i.e. applying a CAF-based process in an organisation. One outcome of DECAF was the increase in CAF users, as each participant had to apply CAF in his or her own organisation. Consequently, this experience increases the number of effective and potential CAF users in public administration. It will probably be necessary to make some adjustments to the course structure and to maintain this type of training in order to prepare staff for CAF dissemination and implementation activities.

Innovative nature and transferability

Innovation

DECAF is innovative as regards the format (b-learning) and the scope of the training programme.

Transferability

All aspects of the DECAF are easily transferable. However, the training programme should be adapted to the national context, including the programme scope.

Important lessons

DECAF is important to the CAF dissemination strategy. It provides a bottom-up perspective, as the participants share their difficulties and put forward questions and suggestions regarding the use of CAF.

The CAF programme provides a host of information about CAF use and constitutes an important input to CAF national agency work (DGAP).

Recommendations

- It is important to start with a project pilot with few participants and to make adjustments during the process. Using the output gained from this first course, information is available to implement the second edition with more success.
- It should be stressed that participants have to have IT skills to deal with an e-learning platform and participants must be given sufficient time to become acquainted with the platform.
- Underline what e-learning involves, i.e. self-discipline and self-study and the time needed to perform e-learning work; 20 to 30 min is the ideal time for e-learning work.
- Structure the course as an e-learning course, using all the functionalities of the platform and creating practical activities that allow participants to learn the core lessons. The information can be understood more easily if it is learned through activities.
- Encourage working groups, which are important for CAF applications, but impose conditions on their work.
- The course should not consist exclusively of e-learning. CAF is not easy and can lead to doubts, which should be clarified to avoid frustration.

PROGRAMME 7.2. EXPERIENCE WITH CAF TRAINING IN SLOVENIA

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Seminars on implementation of the CAF model by administrative units in the Republic of Slovenia

In Slovenia, the CAF model was implemented for the first time in 2002 as a pilot project that included eight institutions from the public sector: six Administrative Units, the Metrology and Standardisation Institute and the Office for Organization and Development of the Administration. At the start no appropriate training had been organised. Therefore, the training was carried out by the EFQM and organised by the Metrology Institute.

As soon as the pilot project had been completed, the systematic promotion and implementation of the model in the public administration in Slovenia continued. Training programmes for different levels of users were prepared by a team formed for the implementation of the CAF model consisting of representatives of the Office for Organization and Development of the Administration, the Metrology and Standardisation Institute that is the guardian of the EFQM model, and of individual Administrative Units.

In 2004 and 2005, a larger number of seminars and workshops for the training of employees from the public sector and their self-assessment groups were carried out. The interest in the implementation of the CAF model was further enhanced by the start of a pilot project on the implementation of excellence in the public sector on the basis of the EFQM model. The condition for participation in that project was a self-assessment carried out using the CAF model and a submitted action plan. In this way, the CAF model was applied as a bridge for the implementation of the EFQM excellence model.

Based on the required methods of training and the experience of users of the CAF model, the seminars and workshops for its implementation have been modified and adapted. In 2003, the team selected for implementation of the CAF model designed various training programmes intended for the following groups of employees:

- managers and heads of public administration institutions;
- employees of public administration institutions;
- members of self-assessment groups.

During the past two years, efforts have been concentrated on the training of the second and third groups in particular. As a trainer, I have been involved in training of these groups. The training programme has been designed as a combination of the presentation of the CAF model itself and a workshop. As a result of the findings of the evaluation questionnaires, the contents of the programmes have been modified in the course of time. Participants have expressed their desire for more practical work and experience in the field of self-assessment. They have found self-assessment to be too demanding and have asked for more detailed instructions. They have also expressed a desire for the CAF model to be implemented in several stages. At the same

time, they have found the practical and team work particularly useful. On the basis of the experience from the workshops and of the results of the evaluation questionnaires, I have come to the following conclusions on the performance of the workshops:

- In addition to a thorough knowledge of the structure of the CAF model, the implementation of the CAF model requires, in particular, a good understanding of the processes to be assessed and analysed in a particular organisation.
- Besides being familiar with key terms from the field of management, users also require skills on solving practical problems related to the functioning of an institution.
- When presenting the particular advantages of the CAF model, the starting point should be a problem approach to management and the resulting advantages of the model in that particular area.
- The social aspect that creates added value for the management as well as the employees is more significant for implementation of the CAF model than the assessment aspect.

Based on the above findings, the direction in which training methods have been adjusted can be illustrated as follows:

From knowing the structure	to	understanding the processes
From knowing the key terms	to	the application of the model
From the presentation of the model	to	the problem solving approach
From the assessment aspect	to	the social aspect

The contents of the training programmes have also been modified to meet the requirements of the participants more effectively. The changes have resulted in greater satisfaction on the part of participants in two areas in particular:

- the fulfilment of their expectations from participation in a workshop;
- the evaluation of the applicability of the newly acquired skills.

These areas were measured by an evaluation questionnaire in 15 Administrative Units in which I held workshops for implementation of the CAF model.

As mentioned above, the factor that is particularly significant in the implementation of the CAF model is the approach to self-assessment that creates a stronger social cohesion and opens communication between the employees of a particular organisation. A well-trained self-assessment group facilitates an open discussion on problems and eventual solutions. Social cohesion is a significant factor of the social capital that strongly increases the possibilities of creating new opportunities and contributes to a stronger commitment by the employees.

The implementation of the CAF model also results in new relations between employees. Supported by the self-assessment group, those relations are created on the basis of bottom up initiative, participation in management, exchange of experience and co-operation. They are based, in particular, on mutual trust, support and assistance that form the basis for an active participation of employees.

Research into the presence of social capital showed that in Slovenia, direct participation has not yet been developed in almost 70 % of organisations. This means that not just in the public administration but in other organisations as well, the old bureaucratic approaches have been maintained. In the conclusion, the above research recommends the management to increase

the independence of the employees in their everyday work as a condition for strengthening the efficiency of the institution, or organisation. It applies even more to public administration.

The following factors have contributed to the successful implementation of the CAF model in the public administration in Slovenia:

- the Government of the Republic of Slovenia has chosen the CAF model as a significant tool for quality assurance in the public sector;
- the Administrative Affairs Directorate has formed a team for implementation of the CAF model;
- the Administration Academy has organised the training for implementation of the CAF model, and
- the Administrative Units have implemented the model in practice.

On the basis of the PDCA cycle applied, the methods have been continuously improved and a significant proportion of social capital has been created in the public administration in Slovenia.

PROGRAMME 7.3. THE CAF TRAINING IN THE CZECH REPUBLIC

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A short description of the organisation

The Czech Society for Quality (CSQ) is a non-governmental, independent, non-profit, member based organisation. CSQ is active in the promotion of quality within the Czech Republic and development and spreading of knowledge in the field of quality management.

As a principal initiator of the CAF model implementation within the Czech Republic, CSQ helped more than 50 organisations to implement the CAF model. It was supported by the National Quality Policy and the Ministry of the Interior. Except for four schools, all participants have been from the sector of regional government and municipalities.

Description of the case/good practice

CSQ stressed the importance of a sound training for the success of the CAF model implementation. The five-day training programme for CAF team leaders was prepared and supplied within the framework of Quality in Public Administration Promotion Project, sponsored by the National Quality Policy of the Czech Republic and backed by the Czech Ministry of the Interior (Public Administration Modernisation Department).

In general, two employees from each organisation implementing the CAF model participate.

The training programme consists of six parts:

- introduction;
- integrated management systems in public administration;
- introduction to process management;
- quality in public administration;
- CAF model;
- tools and methods of quality assurance (within public administration).

The programme helps organisations to be successful and covers the CAF model as a whole.

CSQ regularly measures participants' satisfaction. The results vary from 85.5% to 94.5%.

One of the main problems or obstacles is the lack of interest in quality promotion within the public administration. Examples of other successful organisations and the prospect of official recognition has helped to overcome the problem, together with personal discussions and even persuading some organisations to take part.

What have been the most important results of the case/good practice?

The main results are:

- customer satisfaction (public administration organisations);
- the successful implementation of the CAF model.

The key factors of successful training and the implementation of the CAF model are the personal qualities and skills of CAF trainers and lecturers.

An important positive side effect is the increasing interests in general problems of quality, as well as the enhancing satisfaction of customers and employees.

There could have been a negative side effect based on the fear of wasting employees' time (five days of training), but we did not encounter it in practice.

Innovative nature and transferability of the case/good practice

Two years ago during preparation of the training course, CSQ had no information about any other training programme, so we therefore consider it innovative. The CAF training can easily be transferred, but differences in organisational culture and legal background should be taken into consideration. We can fully recommend this CAF training.

CONCLUSIONS OF THE PROGRAMME 7 REPORTER

Duration:

From 2 or 5 to 16 days.

Format

- presentations;
- workshop;
- e-learning (in a balanced way with group activities).

Levels

Managers, employees, self-assessment members.

Content

- quality approach;
- CAF model, terminology;
- analysis of processes;
- CAF implementation;
- improvement actions;
- personal skills.

Aims and Results

- disseminating the CAF through CAF agents;
- introduction to EFQM;
- enabling change: creates a stronger social cohesion and opens communication between employees instead of the old bureaucratic approach.

Formal Output

DECAF in Portugal: Diploma of CAF Specialization

Programme 8: CAF and e-tools
Reporter: Gudrun VIK

PROGRAMME 8.1. EASYCAF

By:

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EasyCAF: an easy-to-use application that supports organisational assessments using the CAF throughout all relevant steps

EasyCAF is an easy to use software that runs on all Windows™ platforms (from Windows 95). It does not require any additional database or runtime libraries and licences.

The software was initially developed for the members of the *German CAF network*¹⁰ in order to provide support for most steps to be taken during a CAF project. It has now been tested and used in several CAF projects.

The handling logic of the application follows the schedule of an assessment project:

1. Selection or modification of a template, definition of the questionnaire
2. Creation of a project file
3. Definition of participants, possibly with grouping of participants
4. Printing of questionnaires
5. Performing the first assessment session
6. Data entry of all single scores (1st Session)
7. First analysis of results
8. Performing the second assessment session
9. Data entry (2nd Session)
10. Measuring the weight of each criterion
11. Presentation/analysis and discussion of the results
12. Action planning

The software allows the creation or modification of any desired (hierarchically organised) set of criterial items to be discussed and measured during the assessment. It is possible to print out questionnaires for each participant on the basis of this template.

In the German version of the CAF, consensual input is not obligatory, i.e. to find a compromise for each criterion or subcriterion. Therefore the software computes the average input and deviations from that input in order to illustrate differences in the assessment. This may help to find interesting relevant points for further discussions in order to achieve a consensual viewpoint.

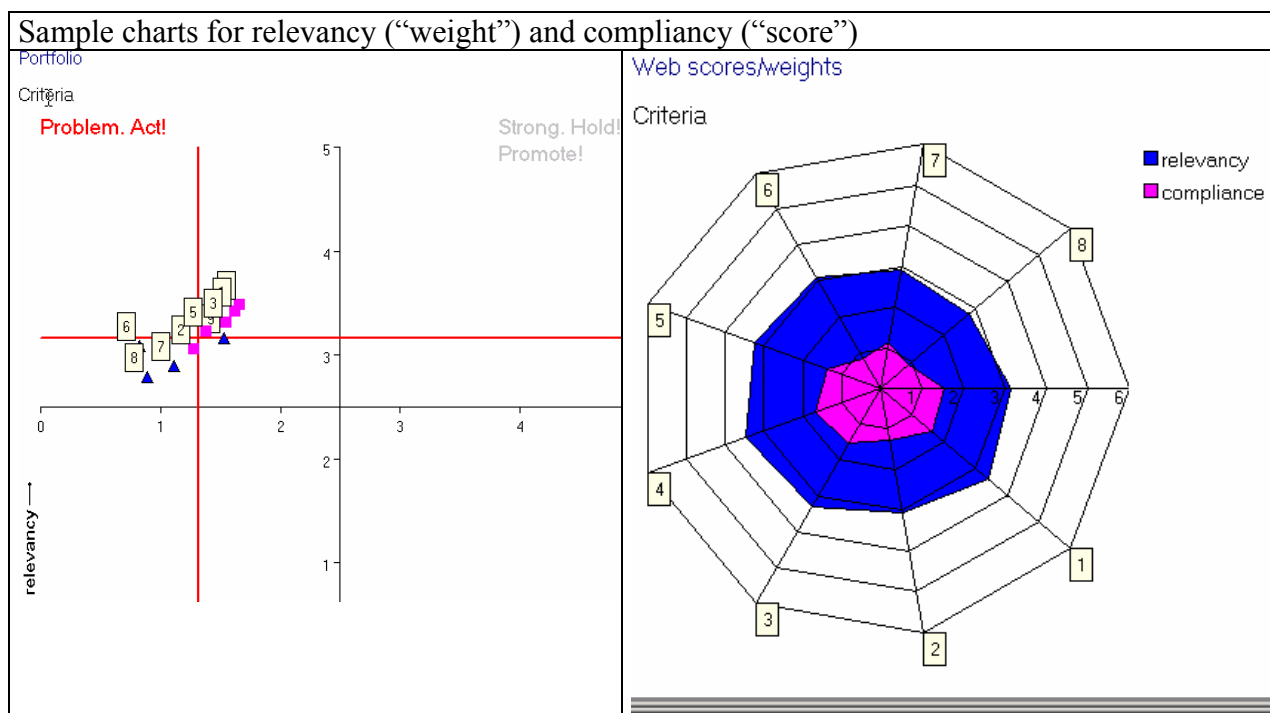
After the first session, participants frequently they have not received sufficient information (or do not feel sufficiently competent) to express a judgment on each point. The software also provides an analysis of “don’t know scores”, which identifies criteria that appear to require

¹⁰ More information on the German CAF network can be required from Mrs. Vera-Silke Saatweber tel.: +49 (0) 6232 / 654-288, e-mail: saatweber@dhv-speyer.de

additional information. This procedure ensures that before the second session, every participant has acquired enough information for his or her assessment.

In the updated version, which will be available in late 2005, the application will also be able to handle the input of consensual input for each session.

Another variation of the German CAF version is the “weighting session”. Here, every participant is asked how important he or she considers every criterion or subcriterion to be. By simultaneous observation of both relevancy and compliancy, several specific insights for the further assessment can be obtained.



The software provides several predefined charts and tables for analytical discussion of the assessment. Furthermore, the user can define own analyses. Every chart and table can be made available for other applications, such as text processors and spreadsheets via the Windows™ Clipboard.

In addition to its core functionality, easyCAF contains a small tool for action planning and scheduling.

It is planned to release software updates on an annual basis (based on customer feedback and further developments in the CAF community). It is also intended to integrate easyCAF as module of an Internet-based *knowledge sharing framework* that allows participants to upload their project data and additional relevant documents, communicate their results and share information and best practices.

EasyCAF can be localised easily. An Italian version is already in the pipeline. We are look for volunteers in every CAF country who are interested in providing a translated easyCAF for their customers.

PROGRAMME 8.2. THE HUNGARIAN CAF ONLINE MANAGEMENT SYSTEM

By:

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The introduction of the online CAF self-assessment system in Hungary was supervised by the Public Administration Organisation and Civil Service Office of the Ministry of the Interior. The conditions and tools required for the implementation and continuous operation were ensured by the Office, which provided for the rapid, effective and coordinated development of the system, and therefore the dissemination of public administration specific assessment methods in Hungary.

The main objectives of development were:

- to ensure a widely accessible and simple CAF service;
- to set up a central, national CAF database;
- to ensure cost-effectiveness, an online CAF application and the possibility of a paperless application;
- to ensure authenticity;
- to introduce a test system, and provide for the preliminary study of the system;
- to ensure that apart from Hungarian, English could also be the language of application (the system can be easily adapted to other languages);
- to facilitate national benchmarking.

The system operates on an SQL 2000 server. The individual components were developed in a Delphi 7.0 intraweb 5.1 environment. The advantage of the intraweb is that it does not require a separate web server (like ASP or Apache), as that was originally incorporated into the system. For this reason, it is sufficient to leave a few UDP ports open to supply the services, which is extremely favourable for protection against intrusions. If need be, the system can also enable fully encrypted SSL communication.

Each service can be started from the www.bmkozszojalat.hu website. The local CAF administrators download the original CAF questionnaire template. If needed, they tailor the questions to local specific features. Modification is possible only on the level of the Indicator questions. Then the custom-made questionnaire template can be uploaded onto the central database, from which sufficient questionnaire access can be requested with a user ID and a password.

The administrators require a sufficient number of questionnaires, which are identified by the personalised accounts and passwords. The respondent can start completing the questionnaire with this login information. Completion can be interrupted at any time, and can be continued from home, too, provided the respondent has Internet access at home. The user may change his personal password, so that no one else can have access to the information while he or she is working on the questionnaire. In addition to the questionnaire, other user information can be stored, too, if processing so requires.

The Manager software system allows administrators to review the surveys, as well as the functions related to opening and closing. For example, the questionnaire completeness level can also be monitored.

It became clear to us in an early phase of development that the most important part of the CAF system was Consensus. This provides an extremely good opportunity for the participants to express and defend their views. For the efficient orchestration of the process leading to a consensus, the software provides the facilitator with the appropriate summary and detailed lists. Our experience shows that the open atmosphere of consensus-based decision making might have an even larger impact on the participants' attitude than the mathematical analysis of the entire survey. For this reason, the number of respondents should preferably not exceed 10-25. In the case of a larger number of participants, the debate may be fruitless.

To test the first version of the system, we launched a survey with the involvement of four public administration offices and twelve evaluators. The survey lasted for five days, including the introductory training. We then presented the software and the test results at the 2nd National Quality Conference. After implementing the required minor changes, we uploaded the entire system onto the above website.

It was a specific Hungarian problem that the CAF assessment system partially overlapped with the scoring system of the Hungarian education system. In Hungarian schools, five is the best grade, while 1 means failure. The participants were unconsciously inclined to simply grade the areas concerned instead assigning them scores in accordance with adequate criteria. For this reason, the scores often failed to reflect the assessment criteria of CAF. In fact, they turned out to be one score higher, as 1 means failure at school. However, in the CAF system, this score should be given if certain steps have already been taken in a field, e.g. introduction, measurement, etc. The same issue was raised in connection with the creation of consensus, where it was unclear whether participants would need to agree on a response, or would need to give a score which was derived from the arithmetic mean of the responses. The large-scale dissemination of CAF and the system triggered a significant improvement in the quality of CAF applications, i.e. far more realistic values are being generated at present than before.

The system turned out to be useful in two areas:

We created a CAF self-assessment system, in which:

- surveys can be prepared and launched quickly and effectively;
- the Completion program can be used flexibly, even after office hours;
- the central database allows for comparisons at national level,
- the institutions may compare their old and current results;
- registration of CAF Users makes it easy to inform and maintain the users' group.

Other benefits:

- there is a major positive change in participants' attitude;
- after the survey, participants developed a better understanding of the quality management efforts of their institutions;
- we proved the benefits of using the self-assessment system;
- participants contributed to their own and our work with several constructive ideas;
- modern quality tools were disseminated at national level.

The first version of the system has been functioning since 2004. The second, revised version was launched in 2005. The increased performance of Version 2 can be summarised as follows:

- increased capacity;
- simpler completion surface;
- more transparent administrator and manager modules;
- online storage capacity to store the institutions' action plans, or other information pertaining to the organisation;
- possibility for integrated off-line completion;
- educational-developing test system;
- possibility of creating a consensus not only on integer numbers, but also on decimal fractions.

PROGRAMME 8.3. DISSEMINATING CAF IN DENMARK: THE HISTORY OF THE KVIK PROJECT

By:

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With the introduction of the new and improved CAF 2002 during 2QC in October in Denmark, an attractive supplement to the Excellence Model had been provided. This model seemed especially relevant to organisations with little or no experience in the field of self-assessment.

Disseminating CAF for Danish institutions took 2002 as its starting point. It was clear, even at an early stage that dissemination of CAF was not just to produce a Danish version of the CAF Guidelines and then expect users to find their way from there.

Dissemination strategy

The dissemination strategy had a number of central components:

- Active co-operation and co-ownership between representatives of management and employees at the state level was of core concern for the project. This also explains why active dialogue is such a prominent element in the Danish version of CAF.
- An experimental approach was deliberately chosen. Tools and methods were tested and debated on an on-going basis in order to learn how to best meet the needs of organisations with little or no experience in the field of quality management.
- CAF and the Excellence Model have not been launched as competing models, but rather as family members meeting the needs of different target groups. KVIK/CAF is promoted as the most relevant self-assessment tool for organisations with little or no experience regarding self-assessment. Organisations wishing to perform self-assessment on a permanent basis (annually or once every six months) can continue with KVIK/CAF. But if they wish to be further challenged regarding the links of the model and use a more sophisticated scoring tool, the Excellence Model is still considered the best.
- The name “KVIK” was chosen to promote CAF in Denmark. In Danish KVIK means quick or fast, and the name therefore gives positive connotations that this is a tool that could be used quickly and effectively. Concerns were expressed about the fact that the international branding is lost by using this name. But we found it more important to create an appealing product, and then surprising users by telling them they are actually taking part in a pan-European effort.

Main Activities

Three types of activities have been part of the KVIK Project:

1. First and foremost the development of tools and guidelines to support self-assessment. These include:

A) Guidelines for self-assessment. More emphasis has been put on the explanation of the self-assessment process, the assessment panels and the concrete examples to support the explanation of the sub-criteria in CAF. A self-assessment booklet is also included to be used for individual self-assessment, asking the individual to document strengths and areas of improvement for each of the subcriteria and award a score based on the assessment panels. The guidelines have been developed in close co-operation with the eleven pilot organisations.

B) An online tool to be used for compiling the individual scores and providing the KVIK co-ordinator (or moderator) with a coherent document including all individual scores and evidence as input for the consensus dialogue. This e-tool called www.kvikselv.dk was introduced to an international audience for the first time during the 2nd CAF Event in Luxembourg.

C) A DVD on the self-assessment process documenting the experiences of two organisations as they undergo the phases of self-assessment. This DVD is intended as a means of providing management and the Joint Co-operation Committee with a realistic idea of what carrying out self-assessment actually entails.

2. Secondly, SCKK has supported the formation of six learning circles, where organisations share knowledge on how to carry out improvement projects relating to four topics: strategy, HRM, working processes and measuring.
3. Finally, a process of development and conceptualisation of the tools and methods used in learning circles is taking place for the first time in order to make these available on a more general basis to organisations not participating in learning circles.

Lessons Learned:

- It takes a great deal of time and resources to pursue a very co-operative approach. Organisations who make a great effort in involving a large number of employees in the process have better results than organisations with more modest involvement. This proves that a lot of valuable knowledge is present in the minds of people in the workplace, and that it takes a structured process to bring that knowledge into play in the development of the organisation.
- We are not able to control the interest and the willingness of organisations to perform self-assessment. It is still a mystery why a certain organisation suddenly finds the motivation and resources to perform self-assessment, while others never seem to try.
- We have also come to realise that training is a central issue regarding CAF application. Self-assessment is a complex process and some kind of training or instruction will be relevant to most organisations. This could be effected by using do-it-yourself tools (which we have already developed) or traditional training (we are currently considering if it is relevant to assist in the development of training opportunities).
- Finally, it is increasingly clear to us - and our partners - that self-assessment is a unique opportunity to gain overview of the overall strengths and areas of improvement of the organisation. It should **not** be marketed as **just another project** but rather as the platform of all organisational development.

CONCLUSIONS OF THE PROGRAMME 8 REPORTER

Advantages of e-tool support

- overall time spent on administration and facilitation decreases, surveys can be prepared and launched quickly, flexibly and effectively;
- discipline regarding individual preparation increases: the contributions are visible;
- helps prioritising time during the consensus process: focus where lack of consensus is most visible;
- the e-tools help building a community of CAF users and facilitate benchmarking.

The conclusions and lessons learned

- For those of us who are planning to develop an e-tool there is help to get.
The German and the Hungarian e-tools are available in English and can easily be applied in other languages too.
The KVIK self-assessment guidelines are available in English.

The future of the CAF

Debate on the future of the CAF introduced by national CAF correspondents
Chairperson: Patrick Staes - EIPA CAF Resource Centre

Topics:

CAF structure: Tito Conti

Methodological suggestions: Giancarlo Vecchi

CAF scoring: Jean-Marc Dochot

CAF validators versus assessors: Diane Dibley

CAF methodological validation: Ákos Kovács

CAF benchlearning: Michael Kallinger

As the decision to commence revision of the CAF 2002 model was taken in March 2005, the 2nd European CAF Users Event was the ideal occasion for a first exchange of ideas about possible improvements among the national CAF correspondents and CAF users. The introductions presented by the national correspondents are included in this section. Together with the comments of participants, these introductions constitute an important input for the work of the CAF expert group.

CAF STRUCTURE

Tito Conti presented proposals for the future development of the CAF model, the main points of which can be summarised as follows.

Criterion 2. The proposal is intended to deal properly with the issue of “Policy and Goal Deployment”. This has proved to be a fundamental means to improve the management of businesses. Integration among policy-making senior executives and executors is the main objective, but clear responsibilities are also pursued. This aspect should be considered even more fundamental in public administration where the distinction between policy makers and operational managers is (or should be) clear, but these distinctions are always blurred. Excessive confusion of roles can be disruptive. Policy/goal deployment helps to maintain a reasonably clear distinction of roles in the planning process, and educates operational managers to judge the feasibility of projects more easily. Given the educational role of TQM models, assessing whether and how the approach is applied is important.

Criterion 5. Placing “Change management” and “Process management” under Criterion 5 is misleading and risks giving change management a low profile. Change management is a strategic issue, under direct responsibility of the senior management. Process management is part of change management, but it is most operational and less strategic in nature. Therefore, strategic aspects of change management should then be dealt with under Criteria 1 and 2, while most operational aspects can remain under Criterion 5.

Criterion 9. Based on an analysis of current trends in the evaluation of the effects of administrative policies (particularly in the EU), the opportunity to evaluate external effects in terms of the extent to which the goals are achieved is maintained. The suggested criteria for such evaluations are *Output* and *Outcome*. The latter characterised in two dimensions: *Results*

and *Impacts*. The use of other evaluation criteria is being suggested, including *Relevance* and *Sustainability*. In relation to internal results, emphasis on stakeholder-related results is proposed, as well as evidence of success in improving and innovating organisational strategies and in the effective use of ICT.

METHODOLOGICAL SUGGESTIONS

Giancarlo Vecchi made some suggestions regarding the self-assessment of criteria 8 and 9: impact on society and key performance results.

- He pointed out the problem of monitoring in public organisations.
- He indicated the main dimensions in evaluation research: outputs versus outcomes and impacts.
- He highlighted the differences between monitoring services and evaluating policies, including the use of organisational versus strategic data.
- According to Vecchi, administrative capacity and local development are a real challenge for CAF

SUGGESTIONS FOR A MORE EFFECTIVE CAF SCORING

Jean-Marc Dochot proposed adjustments and complements to the current CAF scoring system. It is based on two panels: one for the assessment of enablers and one for the assessment of results.

1. Enablers panel

0	No evidence or only anecdotal evidence of an approach	
1	An approach is planned	PLAN
2	An approach is planned and implemented	DO
3	An approach is planned, implemented and reviewed	CHECK
4	An approach is planned, implemented and reviewed <u>on the basis of benchmarking data</u> and adjusted accordingly	ACT
5	An approach is planned, implemented, reviewed on the basis of benchmarking data, adjusted and fully integrated into the organisation. Permanent process.	PDCA

The fact that the enablers panel is based on the Deming Cycle (Plan-Do-Check-Act – PDCA) is probably one of the CAF’s very useful original aspects as – besides taking a quite simple approach to awarding scores to enablers – it makes it possible to memorise and quickly use the Deming Cycle, one of the foundations of the quality approach. After monitoring many self-assessment groups in their application of the CAF, I have observed that the following two remarks are often made.

1.1. Why demand a benchmarking exercise for a 4: ACT ?

Completing the Deming Cycle is in itself quite an accomplishment. Why then demand comparative performance analyses to justify this score of 4? It would perhaps be more reasonable to award a 5 to this benchmarking, as well as a longer and more regular PDCA practice.

1.2. Can decimals be introduced in scores awarded to enablers?

It is true that it is not always easy to award an integer score based on the PDCA cycle when for example:

- More than one approach is used in the organisation. In other words, the technique or method used with respect to one of the sub-criteria varies greatly from one unit or service to the next.
- The approach is not implemented throughout the entire organisation or not reviewed throughout the entire organisation, or the approach is not adjusted throughout the entire organisation. The principle in these three cases would be to add a decimal according to the extent of the “do”, “check” and “act” phases.

Examples:

- The approach is implemented in 30% of the organisation. Score: 1.3.
Scoring 2 means that the approach is implemented throughout the entire organisation.
- The approach is reviewed in 50% of the services of the organisation. Score: 2.5.
Scoring 3 means that the approach is reviewed throughout the entire organisation.
- The approach is adjusted in 20% of the organisation. Score: 3.2.
Scoring 4 means that the approach is adjusted throughout the entire organisation.

2. Results panel

0	No results are measured
1	Key results are measured and show negative or stable trends
2	Results show modest progress
3	Results show substantial progress
4	Excellent results are achieved and positive comparisons to own targets are made
5	Excellent results are achieved, positive comparisons to own targets and positive benchmarks against relevant organisations are made

Scores 1 to 3 measure the progress of the organisation. Score 4 measures the achieved level of the targets. Score 5 identifies the position of the organisation in relation to other comparable organisations. The results panel therefore measures different things: the effort made in achieving objectives and the degree to which they have been achieved. Would it not be simpler and more objective to distinguish between these two concepts?

A panel measuring the effort made may take the last three or five years as a reference period.

Score	Degree of improvement
0	Key results are measured and show negative trends
1	Key results are measured and show stable trends
2	Key results show progress of 25% with respect to the results
3	Key results show progress of 50% with respect to the results
4	Key results show progress of 75% with respect to the results
5	Key results show progress of 100% with respect to the results

A second table, measuring the degree of achieving the objectives, takes the past year as a reference period.

Score	Degree of achieving objectives
0	0%
1	20%
2	40%
3	60%
4	80%
5	100%

If the results are not measured, this will be indicated by referring to the criterion concerned as “**not applicable**” and recording this reference in the final report.

A summary results panel could be as follows

Results panel		
Score	Degree of improvement	Degree of achievement of objectives
0		
1		
2		
3		
4		
5		

Although it is essential to maintain a methodological approach to the CAF that is as simple as possible, the above proposal should meet this requirement as adding a panel would help to limit the uncertainty regarding the score to be assigned and consequently reduces the time needed to arrive at that score.

CAF VALIDATORS VERSUS ASSESSORS

Diana Dibley raised the matter of the added value of validating CAF applications, rather than assessing them.

- She stressed the difference between being a validator and an assessor. The scope is broader. She considers a validator database to be of great use in future.
- Validating a CAF application provides the opportunity to understand how to apply the “RADAR” light.
- It constitutes a satisfactory process for introducing structured improvement projects to organisations.

CAF METHODOLOGICAL VALIDATION IN HUNGARY

According to Ákos Kovács, with the spread of CAF in Hungary, several public administration agencies have indicated their need for an adequacy validation regarding their CAF applications. As CAF is an institutional self-assessment tool, his office assists in the methodological implementation of CAF applications. The CAF methodological validation is not mandatory for public administration agencies. Instead, they provide the opportunity for the user to obtain feedback from the centre concerning the method used. The validation is issued after the required documents are submitted to the office online by the public administration agencies. In order to obtain a validation, the applicant must provide evidence concerning the methodology used for the preparation and implementation of the CAF application, and the use of its results.

Requirements for the issue of the CAF methodological validation:

The documentation sent online to the office must include the following.

1. Materials relating to the preparation of the self-assessment

- a) The criteria for the selection of the self-assessment group, the method of selection, the number of group members, the positions and organisational units of the members, the make up of members according to gender.
- b) The appointment of the facilitator (chair) and the coordinator (project leader) with a substantiation for the decision. The facilitator and the coordinator may be the same person.
- c) The training and preparation of the members for the self-assessment group: the protocols of at least two preparatory or further training courses on CAF self-assessment must be enclosed, together with a description of their contents.
- d) A list of preparatory materials handed to or made accessible to the self-assessment group (standards of law, internal regulations, statements, background materials, etc.) that ensure the appropriate decision-making basis for the self-assessment group in the case of each sub-criterion.
- e) Registration at the central CAF database of the Ministry of the Interior.*

2. Documents proving self-assessment was properly completed

- a) Completed questionnaires complying with the CAF criteria.*
- b) The given scores must be substantiated by all members of the self-assessment group. The members must respond to all subcriteria and substantiate the scores. Consensus-based substantiation must also be provided so that 100% of responses can be evaluated.*
- c) A consensus must be reached in the case of all subcriteria.*
- d) Minutes taken at the self-assessment group's meeting aimed at reaching a consensus. These minutes prove that the meeting took place and that the members of the self-assessment group attended the meeting.

3. Use of the self-assessment results

- a) Summary of results obtained: scores, evidence, outstanding results (strengths), areas for development.*
- b) Summary of the results of the CAF application based on a consensus-based assessment serving as the foundation for the improvement plan (3 to 4 pages).

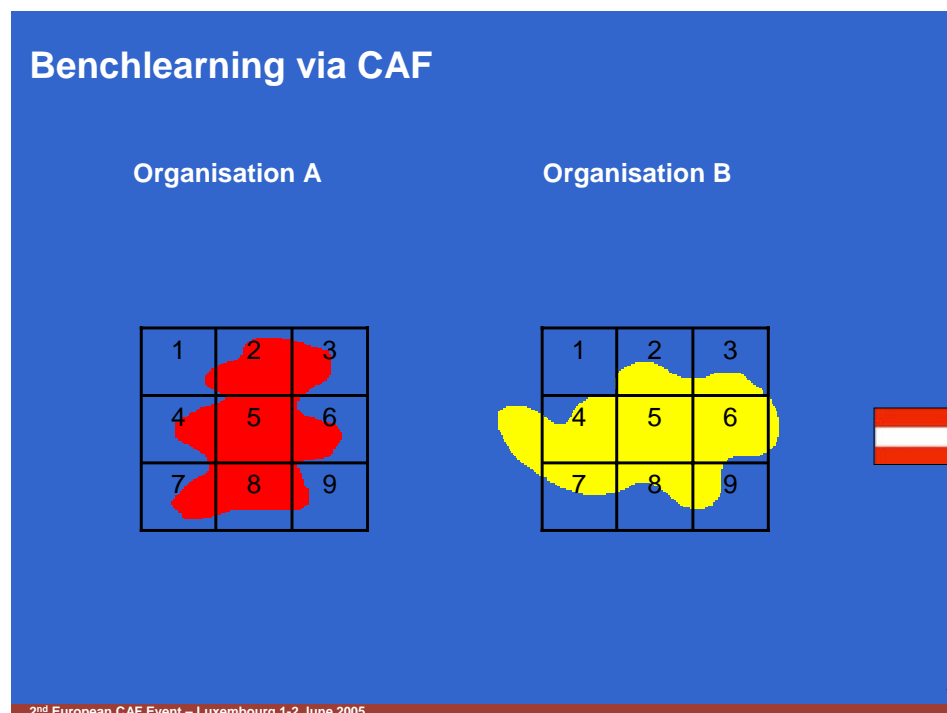
c) Preparation of an improvement plan based on the CAF assessment of the organisation. The plan must contain a detailed, short and medium-term development plan, including deadlines and persons in charge. The plan must be supported with internal management controls, and must allow employees to provide feedback and disclose their experience.

d) If the organisation deals with customers, the customers must also be allowed to provide feedback and disclose experiences, e.g. ideas, internet forum.

Compliance with requirements marked with * does not have to be proved as the office makes checks using the CAF online system.

CAF BENCHLEARNING

Michael Kallinger provided a one-slide overview of the way in which a CAF application in two organisations can lead to the discovery of interesting benchlearning areas. The pilot project on bench learning with CAF is further described in programme 1.1.



CAF and EUPAN at www.eipa.nl

By:

*Ann Stoffels & Patrick Staes
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I. CAF on the web

In May 2001, the Directors-General in charge of public service in the EU Member States decided to set up a CAF resource centre within EIPA as well as a network of CAF national correspondents. At that time, a website was launched at EIPA. The CAF brochure was published in different languages and it was possible to make an on-line application. Organisations (directly or via their national correspondent) sent their scores to EIPA and EIPA provided individual feedback to the organisations. EIPA registered the CAF users and the on-line database provided basic search facilities (by sector, country, etc.).

In 2004, EIPA realigned and reformulated its strategic objectives with regard to the CAF resource centre (RC). The EIPA CAF RC intends:

- to offer a permanent basis for the further development of the CAF, for the promotion of the CAF and for stimulating good practices within the European public sector;
- to become a reference point for the dissemination and collection of CAF information and expertise;
- to become an expertise centre for supervising CAF applications;
- to become a reference point in creating awareness and supporting quality management in the various European countries.

In order to achieve these objectives, the CAF RC 2005-2006 action plan has a strong focus on website development by implementing a new module in the CAF application database in order to collect data relating to good practices. It has also a different approach towards CAF users.

I.1. CAF users

Rather than collecting scores, the CAF RC invites organisations to register as CAF users and to include information on their good practices.

Why register?

- to become part of the CAF community and keep abreast of relevant actions and events;
- to participate in the exchange of experiences between CAF users all over Europe, who can learn from each other's strengths and exchange implementation improvements. Once EIPA has been able to gather a history of good practices, the website will provide information/search facilities on these good practices;
- to allow us to have a realistic view of the use of CAF in Europe. One of the aims formulated in the EIPA CAF resource centre action plan is to increase the volume of CAF applications in the CAF database, so as to reduce the gap between actual users and users registered at the CAF RC.

How to register?

Visit the CAF website at www.eipa.nl. Registered CAF users received a login and password by e-mail. New CAF users can request these by contacting a.stoffels@eipa-nl.com. When visiting for the first time, you can change this individual password.

Which steps?

There are different possibilities/steps:

- simply informing the CAF RC of the fact that the organisation applied the CAF (identification);
- introducing the CAF scores – that remain confidential – and obtaining feedback;
- reporting on the CAF experience with CAF (benefits, difficulties, etc.);
- providing more information about good practices in the organisation.

Result

The CAF database will contain information allowing other organisations interested in sharing experiences and international benchmarking to identify possible partner organisations. There will be two levels of information and search facilities:

- (a) identification: the name of the organisation, the sector in which the organisation is working, e.g. local government, education, health, the country and contact details.
- (b) details on good practices relating to specific CAF criteria or to the CAF in general.

1.2. CAF e-Community

In addition to the above facilities for and the communication with CAF users, EIPA is currently developing an electronic tool to support the communication exchange between all persons interested in CAF (not necessarily CAF users). This tool should be an area where all registered persons can share knowledge and good practices using online forums, document repositories and a calendar. Interested persons are invited to visit the CAF website regularly and to request a login and password from a.stoffels@eipa-nl.com

II. EUPAN

In their Maastricht resolutions of 22 and 23 November 2004, the Directors General “welcome the EUPAN website as a public portal...” and “support the development of a vast communication plan within the framework of the EUPAN website”. The homepage of the portal is intended to give access to a range of relevant information arising from the European Public Administration Network (EPAN) and to specific network sites (quality conferences, CAF, current projects) and sites of national interest. The EUPAN website [<http://www.eupan.org>] was launched in November 2004

Target group

The first target group comprises the members of the cooperation network of public administrations (EPAN), who are able to obtain reference information on network activities and products. For them, this is a privileged instrument for the exchange of information and for knowledge management. The second target group comprises interested officials from public administrations in the European Union. These officials may work at central, regional or local levels and are interested in modernisation, innovation and improvement in the quality of public services. The third target group comprises professional circles interested in the issues of administrative organisation and public administration management. Finally, the site is aimed at the general public and businesses.

Content

It has been decided take a topical approach. The following themes are currently established:

Leadership	User perspective
E-government	Partnership
Change management	Power of measurement
Applying quality models	Cost-effectiveness
Staff development	Pensions
Public performance	Integrity
Better regulation	Public procurement

At present, data is being collected as website input.

Evaluation

One hundred and fifty participants took part in the 2nd European CAF Event. They represented twenty-two Member States and two non-Member States as listed in the table below. These figures underline the fact that it was a true European event and that the CAF is fulfilling its mission as a European quality tool.

Member States	Number of participants	Member States	Number of Participants
Austria	5	Luxembourg	4
Belgium	14	Poland	1
Cyprus	2	Portugal	12
Czech Republic	9	Slovakia	10
Denmark	3	Slovenia	10
Estonia	2	Spain	5
Finland	9	Sweden	5
France	4	United Kingdom	2
Germany	8	Others	
Greece	7	Croatia	2
Hungary	3	EFQM	1
Ireland	1	EIPA	5
Italy	10	European Inst.	5
Lithuania	6	NO – Norway	5
		Total	150

Seventy-six participants completed the evaluation form. This response provides reliable information on the overall appreciation of the different aspects of the event. Detailed figures can be found on the CAF page on the EIPA website: www.eipa.nl.

The following overview gives an impression of the appreciation of the plenary sessions.

Plenary session	Appreciated as informative and very informative in %
Presentation of the conclusions of the 2 nd CAF Survey	97
Debate among European experts	76
Debate on the future of the CAF	78
The presentation of the website	89
Conclusions of the parallel programmes and general conclusions	92

Although the content of the interventions during the debate among European experts was considered very interesting, some would have liked more debate and more discussions among the experts and more interaction with the participants. As quality should be an inspiring issue, a bit more humour would have been appreciated, too. An interesting suggestion for future events.

The time allotted to the debate on the future of the CAF was definitively too short. CAF users apparently like to discuss methodological questions or problems they encounter in their professional lives. The comments by the members of the panel were considered very inspiring.

The presentation of the CAF website and the conclusions of the parallel programmes and general conclusions scored very high. This proves again that team work ensures quality.

Most of the presentations were very professional but the use of English was not always of the same level. This is of course a challenge to all speakers at all European meetings.

All the respondents gained new insights for their own organisation and 97% found the event well to very well organised.

The attendees expressed their hope that a 3rd CAF Users Event would be organised in the future. As continuous improvement is at the heart of the quality approach, many participants put forward valuable proposals for the future. A few examples:

- Try to involve more European public institutions.
- As CAF is a starter pack for quality management, it would be useful to have a perspective for progressing.
- A short discussion about starting with CAF could be useful: the first procedures, the preparation conditions, the readiness of personnel or the administration, the time it takes to use CAF.
- More concrete examples by describing improvements achieved in services for citizens or businesses.
- Maybe the difference between presentations and debates should be stressed. Debates allow only short inputs by debaters and sufficient should be allowed for discussion and exchange of ideas between debaters and participants.
- More space for input from participants as the size of the conference is perfect for this kind of event, small enough to allow real discussion.
- A greater variety of countries and presenters would allow more countries to present their experiences.
- Let us maintain the partnership approach. It was very important that this event was an example of close cooperation between the Presidency, EIPA and the CAF correspondents network.

In conclusion, the study as well as the event can be considered as part of the activities responsible for the positive impact of the CAF. With a network of national correspondents managing the CAF, an action plan supervised by the Innovative Public Services Group, various collaborative events and exchange of experiences being organised both for users and experts, a specialized and dedicated Resource Centre at EIPA, it is clear that CAF has acquired a significant status within the cooperation of EPAN.

This position is certainly deserved by the fact that the CAF is not merely useful as a concept, but “it can also be analysed in the context of disseminating a common approach and language with regard to quality” (The invention of a new European instrument: the CAF, in “A new space for public administrations and services of general interest in an enlarged Union”, Study for the Ministers responsible for Public Administration, Luxembourg, 8 June 1005, page 39).

The 3rd CAF Users Event in 2007 will be even better!

Guy Wagener
Ministère de la Fonction Publique
et de la Réforme Administrative

Patrick Staes
European Institute of
Public Administration

Appendices

Appendix A: List of national organisations/ agencies in charge of CAF

Country (MS)	Public Administration in charge of CAF	Supporting agency	Feedback
AT-Austria	Federal Chancellery Department for Administrative Reform, Personnel Development and Controlling - Dr. Elisabeth Dearing & - Michael Kallinger (*)	KDZ-Center for Administrative Research (private organisation) - Thomas Prorok	Questionnaire
BE-Belgium	Federal Public Service “ Personnel and Organisation” Organisational development service - Jean-Marc Dochot (*)		Questionnaire
CY-Cyprus	Ministry of Finance Department of Public Administration and Personnel - Mr Andreas Mylonas & Ms Kleopatra Charalambous (*) Cyprus Academy of Public Administration - Eleni Gereoudakis		Questionnaire
CZ-Czech Republic	→ Regional and local level of public administration: Ministry of the Interior of the Czech Republic Modernisation of Public Administration Department - Mr Pavel Kajml (*) → Public administration on central level: Office of the Government of the Czech Republic Department of Regulatory Reform and Central State Administration Reform - Ms Stepanka Steinbachova	Czech Republic Quality Council (governmental advisory body) Czech Society for Quality (training and advise – private organisation)	Questionnaire
DE-Germany	Federal Ministry of the Interior - Friedrich Wilhelm Moog	German University of Administrative Sciences Speyer - Armin Liebig & - Vera Silke Saatweber (*)	Questionnaire
DK-Denmark	Ministry of Finance - Office for Modernising Government - Tine Vedel KRUSE SCKK, Centre for Development of Human Resources and Quality Management (independent state body) - Hanne Dorthe Sørensen (*)		Questionnaire

(*) person who returned the questionnaire to EIPA

Country (MS)	Public Administration in charge of CAF	Supporting agency	Feedback
EE-Estonia	<i>Ministry of Finance</i> <i>Public Governance Policy Department</i> - Karin NÄREP (*)		Questionnaire
EL-Greece	<i>Ministry of Interior, Public Administration and Decentralization</i> <i>Directorate of Quality and Efficiency</i> - Dr. Nikos MICHALOPOULOS & Olga GRAVANI (*)		Questionnaire
ES-Spain	<i>Ministry of Public Administration</i> <i>Directorate General of Inspection, Evaluation and Quality of Services - Deputy Directorate for Quality Management</i> - María Jesús JIMÉNEZ (*)		Questionnaire
FI-Finland	<i>Ministry of Finance</i> <i>Public Management Department</i> - Katju Holkeri - Johanna Nurmi (*)		Questionnaire
FR-France	No organisation officially appointed for the CAF yet - Yves Gallazzini (*), DUSA		Questionnaire
HU-Hungary	<i>Ministry of the Interior</i> <i>Civil Service Office</i> - Dr. Ákos Kovács (*)		Questionnaire
IE-Ireland	No organisation officially appointed for the CAF - Dave Ring (*), Department of Finance - CMOD		Questionnaire
IT-Italy	<i>Department for Public Administration</i> - Sabina Bellotti (*)	<i>FORMEZ</i> (Technical Agency)	Questionnaire
LT-Lithuania	<i>Ministry of the Interior</i> <i>Public Administration Department</i> - Jurgita Domeikienė (*) <i>Lithuanian Institute of Public Administration</i>		Questionnaire
LU-Luxembourg	<i>Ministère de la Fonction Publique et de la Réforme Administrative (MFRA)</i> - Guy Wagener - Gaston Wolmering (*)		Questionnaire

Country (MS)	Public Administration in charge of CAF	Supporting agency	Feedback
LV-Latvia	<i>State Chancellery</i> - Solvita Gulbe (*)		Questionnaire
MT-Malta	<i>Office of the Prime Minister - Strategy and Planning Directorate</i> - Charles Polidano (*)		-
NL-Netherlands	<i>Ministry of the Interior</i> - Frank Faber (*)		Questionnaire
PL-Poland	<i>Office of Civil Service</i> - Edyta Szostak & Katarzyna Koszykowska (*)		Questionnaire
PT-Portugal	<i>Ministry of Finance, Secretary of State for Public Administration Directorate General for Public Administration (DGPA)</i> - Cristina Evaristo (*) & Maria Inês Nolasco		Questionnaire
SE-Sweden	<i>Ministry of Finance</i>	<i>National Council for Quality and Development (NCQD)</i> - Thomas Johansson (*)	Questionnaire
SI-Slovenia	<i>Ministry of Public Administration Department of Strategy, Analytics and Quality</i> - Boris Butina (*)		Questionnaire
SK-Slovakia	<i>Civil Service Office</i> - Frantisek Kajánek	<i>Slovak Office of Standards, Metrology and Testing Slovak Society for Quality</i> -Monika Jurkovicova (*)	Questionnaire
UK-United Kingdom	<i>Cabinet Office - OPSR</i> - Airey James (*) <i>Cabinet Office - CMPS, Centre of Management Policy Studies</i> - Ben Richardson		Questionnaire

Country	Public Administration in charge of CAF	Supporting agency	Feedback
NO-Norway	<i>Ministry of Modernisation, MOD</i>	<i>Statskonsult</i> (state-owned limited company) - Gudrun Vik (*)	Questionnaire
RO-Romania	<i>Ministry of Administration and Interior Central Unit for Public Administration Reform (CUPAR)</i> Maria Ursuletu (*)		Questionnaire

Appendix B: List of organisations that participated in the survey (133)

Organisation name	Sector	Country
Bezirkshauptmannschaft Eisenstadt-Umgebung	Local administration	AT
Heerespersonalamt	Other	AT
Stadtverwaltung Feldkirch	Local administration	AT
Studienbeihilfenbehörde	Education and research	AT
Therapiezentrum Ybbs an der Donau	Health	AT
Upper Austrian Court of Audit (Oberösterreichischer Landesrechnungshof)	Other	AT
Arbeidsauditoraat Antwerpen	Justice and law	BE
Centre wallon de Recherches agronomiques	Education and research	BE
City Mortsel	Local administration	BE
Communauté française / Service général des Finances	Customs, taxes and finances	BE
Direction Infrastructure de Transport	Transport, infrastructure, public works, utilities	BE
gemeentebestuur Maasmechelen	Local administration	BE
Ministerie van de Vlaamse Gemeenschap - AAD LIN	Public sector management departments	BE
Ministerie van de Vlaamse Gemeenschap - administratie Gezondheidszorg	Health	BE
Ministerie van de Vlaamse Gemeenschap, Dept EWBL, Administratie Land- en Tuinbouw, Afd. Monitoring en Studie	Economy, agriculture, fisheries and trade	BE
OCMW Grobbendonk	Social services & social security	BE
OCMW Meeuwen-Gruitrode	Social services & social security	BE
ONE, Office de la Naissance et de l'Enfance	Social services & social security	BE
Provincie Limburg	Local administration	BE
Stad Gent	Post and communication	BE
Stad Gent - Pedagogische Begeleidingsdienst	Education and research	BE
Tribunal du Travail de Bruxelles	Justice and law	BE
Ville de Durbuy	Local administration	BE
Co-operative Societies' Supervision and Development Authority	Economy, agriculture, fisheries and trade	CY
Dental Services, Ministry of Health, Cyprus	Health	CY
Land Consolidation Department	Economy, agriculture, fisheries and trade	CY
Meteorological Service	Environment	CY
State General Laboratory	Economy, agriculture, fisheries and trade	CY
City BILOVEC	Local administration	CZ
City Council of Pilsen	Local administration	CZ
Krajský úřad Jihočeského kraje	Local administration	CZ
Krajský úřad Karlovarského kraje	Local administration	CZ
Krajský úřad Libereckého kraje	Local administration	CZ
Město Chomutov	Local administration	CZ
Město Děčín	Local administration	CZ

Organisation name	Sector	Country
Mesto Valasske Mezirici	Local administration	CZ
Městský Úřad Kopřivnice	Local administration	CZ
Moravskoslezsky kraj - Krajsky urad	Local administration	CZ
Municipal Authority Kyjov	Local administration	CZ
Municipal authority Pelhřimov	Local administration	CZ
Municipal Authority Vsetín	Local administration	CZ
Municipality of Prostejov	Local administration	CZ
Municipality office Chotěboř	Local administration	CZ
Pardubice Region - Regional Authority	Local administration	CZ
Regional Authority Královehradecký kraj	Local administration	CZ
Regional Authority of the Karlovy Vary Region	Local administration	CZ
Regional Authority of the Zlin Region	Local administration	CZ
The Regional Authority of the Olomouc region	Local administration	CZ
Vysocina Region	Local administration	CZ
German Aerospace Center	Transport, infrastructure, public works, utilities	DE
Hessisches Landesamt für Bodenmanagement und Geoinformation - Presse und Öffentlichkeitsarbeit	Transport, infrastructure, public works, utilities	DE
Landesamt für Soziales, Jugend und Versorgung Rheiland-Pfalz	Social services & social security	DE
Landgericht Bremen	Justice and law	DE
Polizei Bremen	Police and security	DE
Polizeipräsidium Trier	Police and security	DE
Aalborg Business College	Education and research	DK
Aarhus Ttechnical College	Education and research	DK
Business Centre Bornholm	Economy, agriculture, fisheries and trade	DK
Bygholm Landbrugsskole	Education and research	DK
Danish Directorate of Fisheries	Economy, agriculture, fisheries and trade	DK
Danish Institute og Agricultural Sciences	Education and research	DK
Hilleroed Business College/Hillerød Handelsskole	Education and research	DK
Høje-Taastrup Kommune	Local administration	DK
Municipality of Birkerøed	Local administration	DK
SCKK	Public sector management departments	DK
Estonian Environmental Inspectorate	Environment	EE
Estonian Labour Board Market	Social services & social security	EE
Estonian National Examination and Qualification Center	Education and research	EE
Ayuntamiento de Madrid	Local administration	ES
Ecole Infantil Hello	Education and research	ES
Ministry of Agriculture and Forestry, Intervention Unit	Economy, agriculture, fisheries and trade	FIN
Salpaus Further Education	Education and research	FIN
The Quality Project of Turku Region	Local administration	FIN
CHEAr DGA/ Ministère de la défense	Education and research	FR

Organisation name	Sector	Country
CNFPT / Mairie de Gravelines	Local administration	FR
Délégation Paris B du CNRS	Education and research	FR
Direction Départementale de l'équipement de l'Isère	Transport, infrastructure, public works, utilities	FR
MUNICIPALITY of AMAROUSSION	Local administration	GR
Nomaxia Eyboias	Local administration	GR
Prefecture of Kozani	Local administration	GR
Fejér Megyei Közigazgatási Hivatal	General policy and oversight / coordination	HU
Heves Megyei Közigazgatási Hivatal	General policy and oversight / coordination	HU
Office of Public Adm. in Bács-Kiskun County	Local administration	HU
Ruzsa Község Polgármesteri Hivatal	Local administration	HU
Public Adm. Office Of Győr-Moson-Sopron County	Public sector management departments	HU
Public Adm. Office of Hajdu-Bihar County	General policy and oversight / coordination	HU
Public Adm. Office of Komárom-Esztergom County	General policy and oversight / coordination	HU
Tatabánya Megyei Jogú Város Polgármesteri Hivatal	Local administration	HU
Autorita' di bacino del fiume Arno	Environment	IT
Azienda Servizi Sociali di Bolzano	Social services & social security	IT
Municipality of Lecce - sector: City planning	Local administration	IT
Comune di Pozzuolo Martesana	Local administration	IT
Provincia Autonoma di Trento - Sovrintendenza Scolastica	Education and research	IT
Provincia di Crotone	Local administration	IT
Department of Finance	Economy, agriculture, fisheries and trade	IE
Administration du Personnel de l'Etat	Public sector management departments	LU
Statec	Economy, agriculture, fisheries and trade	LU
State Chancellery of Republic of Latvia	General policy and oversight / coordination	LV
Kulturskolen i Melhus	Education and research	NO
Namsos kommunale kulturskole	Culture	NO
Stokke trygdekontor	Social services & social security	NO
Câmara Municipal de Sintra	Local administration	PT
CNPRP, Centro Nacional de Protecção contra os Riscos Profissionais	Transport, infrastructure, public works, utilities	PT
DAISS, Departamento De Acordos Internacionais De Segurança Social, I.P.	Social services & social security	PT
Gabinete de Gestão Financeira/Ministério da Educação	Education and research	PT
IGFCSS, Instituto de Gestão de Fundos de Capitalização da Segurança Social	Social services & social security	PT
IGFSS, Instituto de Gestão Financeira da Segurança Social	Social services & social security	PT
IIESS , Instituto de Informática e Estatística da Segurança Social , I.P.	Social services & social security	PT
Instituto Segurança Social, I.P.	Social services & social security	PT
ISS, Instituto Segurança Social, I.P.	Social services & social security	PT

Organisation name	Sector	Country
Museu do trabalho Michel Giacometti	Culture	PT
Secretaria- Geral do Ministério do Trabalho e da Solidariedade Social	Social services & social security	PT
Secretaria-Geral do Ministério da Educação	Education and research	PT
Secretaria-Geral do Ministério das Finanças e da Administração Pública	Customs, taxes and finances	PT
Secretaria-Geral do Ministério das Obras Públicas	Transport, infrastructure, public works, utilities	PT
Municipal Office of Gliwice	Local administration	PL
Swietokrzyskie Voivodship Office	Public sector management departments	PL
Tax Office PRUSZKÓW	Customs, taxes and finances	PL
Ministry of Administration and Interior	Home affairs	RO
Premiepensionsmyndigheten (PPM)	Social services & social security	SE
Social Insurance office	Social services & social security	SE
Swedish Prosecution Authority	Justice and law	SE
Civil Service Office	General policy and oversight / coordination	SK
EXOS consulting	-	SK
Industrial Property Office of the Slovak Republic	Economy, agriculture, fisheries and trade	SK
Ministry of Construction and Regional Development of Slovak Republic	Transport, infrastructure, public works, utilities	SK
Ministry of Education, Slovak Republic	Education and research	SK
Ministry of Environment of the Slovak republic	Environment	SK
Office for public procurement	Other	SK
Slovak Office of Standards, Metrology and Testing	General policy and oversight / coordination	SK
Administrative Unit Ravne Na Koroškem	Home affairs	SI
Police unite Maribor	Police and security	SI
Upravna Enota Radovljica	Local administration	SI

Appendix C: CAF Questionnaire for national correspondents

Study for the Luxembourg Presidency on the Use of the CAF in European Public Administrations

CAF Questionnaire for National Correspondents

With this questionnaire, we aim to capture the evolution of the CAF in the Member States since end-2003. So, for each question please refer to the period from end-2003 to March 2005.

A. Action taken

1. Is political support for CAF and other TQM tools in the public sector growing or decreasing?
2. Is the implementation of the CAF obligatory or recommended by the Government?
3. Is there currently an urgent need to rekindle this political support?
4. Describe in 3 lines the organisation in charge of disseminating the CAF in your country, such as its name, location, whether it is the same as before??? (cf. Annex 2), whether it is a public or a private organisation etc.
5. What actions have been taken to disseminate the CAF model in your country since November 2003? (cf. Annex 1)
6. Have CAF versions been developed in your country for specific sectors (e.g. police, schools, health care, music schools etc.) or administrative levels (e.g. a local CAF)? Please describe them in a few lines.
7. What TQM tools are mostly used in your country and how is the relationship stimulated between them and the CAF? Please describe this in a few lines.
8. If you have CAF e-tools, please attach the e-tool scheme (Annex 3)
(NB it includes the feedback received)
9. Training
 - a) Has specific training been developed and by whom?
 - b) What type of training?
 - c) How many organisations do you estimate have followed CAF training?
10. Quality conferences and the link with the CAF:
 - a) Has the CAF been used for the selection and description of good practices?
 - b) Have the quality conferences helped to raise awareness of the CAF in your country?
11.
 - a) Do you think it is necessary to have a methodological validation of the CAF application
 - b) If yes, by whom? ...
12.
 - a) How many organisations (sectors and levels) in your country have used the CAF? ...
 - b) Please estimate the number of unknown (not registered at EIPA) cases of CAF implementation in your country: ...
 - c) Please give an estimate of the number of potential users of the CAF in your country in 2005-2006: ...

B. Resources available

13. Are the financial resources available at your national level for the dissemination of the CAF increasing or decreasing? Please explain this development in a few lines.
14. Are the human resources devoted to the dissemination of the CAF in your country increasing or decreasing? Please explain this development in a few lines.

C. Problems in the dissemination of the CAF

15. If in the previous survey you mentioned plans for disseminating the CAF in your country, have you realised them and to what extent?
16. If not, what difficulties were encountered during implementation?
17. What corrective measures were applied?

D. Good practices and benchlearning with the CAF

18. What can the European CAF Resource Centre at EIPA do to get organisations that have applied the CAF to supply better information, on a permanent basis, about
 - the self-assessment process and the results;
 - the good practices they would like to share etc.
19. Do you have a databank with CAF applications in your country?
20. Are you linked to the EIPA databank? What are your remarks and suggestions on this point?

E. Future plans

21. What plans do you have for the dissemination of the CAF in the future?

Appendix D: CAF Questionnaire for administrations

Study for the Luxembourg Presidency on the Use of the CAF in European Public Administrations

CAF Questionnaire for Administrations¹¹

A. General background to the organisation and the CAF application

0. Identification

Name organisation/administration:

Contact person:

E-mail: Tel.:

1. Please indicate your country

	Austria		France		the Netherlands
	Belgium		Finland		Norway
	Bulgaria		Greece		Portugal
	Cyprus		Hungary		Poland
	Croatia		Italy		Romania
	Czech Republic		Ireland		Sweden
	Germany		Luxembourg		Slovenia
	Denmark		Lithuania		Slovakia
	Spain		Latvia		Turkey
	Estonia		Malta		United Kingdom
					European Commission

2. Please indicate the level of government of your organisation¹²

	Central government (national, federal)
	(For countries with a federal structure) state government
	Regional government
	Subregional level of government (province, community group, ...)
	Local government

3. Please indicate the type of administration

	Government ministry (central or regional government)
	Agency ¹³
	State-owned or state-run enterprise
	Local or regional administration
	Other

¹¹ This questionnaire is based on the 2003 survey that was carried out by EIPA under the Italian Presidency.

¹² **Please note:** All administrations run by the central government belong to the category “central government”, even if they are working at the regional or local level (e.g. decentralised state tax offices or state police offices).

¹³ **Please note:** The term “agency” is used here for all governmental agencies with a specific mission, under some control by government or “sponsored” by it, with a certain degree of independence or distance from the government, **with more autonomy than a traditional ministry**, e.g. statistical offices, scientific institutions, social agencies etc.

4. **Sector of activity**

	Criminal justice and law
	Customs, taxes and finances
	Education and research
	Culture
	Environment
	Health
	Police and security
	Social services & social security
	Transport, infrastructure, public works, utilities
	Economy, agriculture and trade
	Foreign affairs
	Home affairs
	Post and communication
	Public sector management departments (P&O, budget, ICT etc.)
	General policy and oversight / coordination
	Local administration (municipality, province)
	Other

5. **Size of the (part of the) organisation where the CAF was applied (number of staff):**

	< 10
	10-50
	51-100
	101-250
	251-1000
	1001-5000
	> 5000

6. **Was the CAF applied in the whole or a part of the organisation?**

	In the whole organisation
	In part of the organisation

7. **Before using the CAF, did your organisation have a special quality unit/team or group?**

	Yes
	No

8. **Before using the CAF, did your organisation have any experience with other tools of quality management or improvement?**

	Yes
	No

If no, go to question 11

9. If yes, which TQM models were in use when the CAF was applied?

	EFQM Model
	Speyer Qualitätswettbewerb
	QFD (Quality Function Deployment)
	FMEA (Fehlermöglichkeits- und -Einfluss-Analyse)
	Quality circles
	Other TQM model (national or sector)

9.b) Please specify the national or sector TQM model

...

10. If yes, which quality or management instrument(s) were in use when the CAF was applied?

	Leadership development tools (assessment centres etc.)
	Planning and policy development tools
	Performance Management development systems
	Contract management/ management by objectives
	Balanced Scorecard (BSC)
	Deming approach (PDCA)
	Project management
	Kaizen
	Six Sigma
	Strategic management of competencies
	Investment In People (IIP)
	Service Level Agreement (SLA)
	Cost accounting and result accounts
	Business process re-engineering
	ISO 9000 /2000 standard(s) with certification
	ISO 9000 /2000 standard(s) without certification
	Supply chain
	Complaint management
	Customer satisfaction surveys
	Employee satisfaction surveys
	Appraisal by subordinates
	Suggestion system
	Eco-Management and Audit Scheme (EMAS)
	External and internal audits
	Other

B. The context in which the CAF was used

11. Which version of the CAF have you used¹⁴

	CAF 2000 (original version)
	CAF 2002 (second, updated version)

12. How many times have you used the CAF?

	Once
	Twice
	Three times

13. If more than once, what was the time span between the last two times you used it?

	One year
	Two years
	Three years
	Four years
	More than four years

For your replies to the next questions, please refer to the last time you used the CAF!

14. Reasons for using the CAF

The CAF may be used for a large number of different reasons that may affect how it is used and how the use is experienced. Below you will find a number of possible reasons that were decisive for using the CAF in your organisation. Please indicate the reasons and their importance on a scale from 1 to 5.

14. I.) External reasons

		<i>Not important >< Very important</i>				
		<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>
	a) A national or regional action plan for improvement of the public sector organisations was launched on the basis of CAF					
	b) Explicit demand from those politically responsible for the organisation to start an improvement action					
	c) Explicit citizen or customer demands for improvement					
	d) Sudden events showed the necessity to do something					

¹⁴ **Please note:** A second, updated and improved, version of the CAF was launched in October 2002 under the Danish EU Presidency. All organisations that used the CAF until the end of 2002, used the “old” or first version.

e) As a reaction to a general review of the organisation (external or internal)					
f) To face a growing need for accountability and strengthen the legitimacy towards all the stakeholders					
g) Budgetary reasons					
h) Cuts in the number of staff					
i) Because other administrations close to us also used it					
j) Because the CAF was communicated in a convincing way					
k) Participation in a national quality contest or conference for which the CAF application was a condition					
l) Marketing and public relations reasons (to show modernisation efforts)					

14. II.) **Internal reasons**

Same scale 1-5

a) The CAF as part of the normal operating context of the organisation (no particular organisational or other changes)					
b) The organisation used the CAF as a first diagnosis in the start of a strategic planning process					
c) The organisation wanted to identify strengths and areas for improvement					
d) Need for a quick "health check" of the administration					
e) Because the top management wanted it					
f) Increased sensitivity of staff to quality					
g) To develop sensitivity to quality issues					
h) To promote the exchange of views in the organisation					
i) As an input into ongoing improvement activities, restructuring etc.					
j) To promote cultural change in the organisation					
k) To embed a new system of performance management/measurement					
l) To prove that the organisation is willing to change					
m) Because the CAF is promoted across Europe					
n) Intention to involve staff in managing the organisation and to motivate them					
o) We were looking for a tool to launch benchmarking					

15. Reasons for choosing the CAF instead of other TQM tools

	Not important << >> Very important				
	1	2	3	4	5
a) <i>First-level model; easy to use</i>					
b) <i>Better adapted to the public sector</i>					
c) <i>Low cost</i>					
d) <i>Promoted in national quality network</i>					
e) <i>Promoted/ supported by common approach in national public administration</i>					
f) <i>In-house expertise</i>					
g) <i>Information on CAF experience elsewhere</i>					

16. Decision to use the CAF

Who took the final decision to use the CAF? (several answers are possible)

a) <i>The political level</i>
b) <i>The political level at the suggestion of the administrative top management</i>
c) <i>The administrative top management</i>
e) <i>The top management at the suggestion of a quality or improvement team</i>
d) <i>The top management at the suggestion of staff members or their representatives</i>
e) <i>The quality or improvement team</i>
f) <i>The idea came up and was decided in a staff meeting</i>

C. The self-assessment (SA) process

17. Who was responsible for the SA process?

	A specific project team
	The quality coordinator/service
	An internal consultant
	An external consultant
	Others

18. To whom did you communicate that the exercise would take place?

	All the stakeholders (management, staff, political authority, customers/citizens)
	Management only
	The whole staff
	An existing improvement team (group, department, unit)
	The political authority
	Customers / citizens / users
	Others

19. How many self-assessment teams were created?

	1
	2
	3
	> 3

20. Please indicate the size of the self-assessment team(s) (number of people that took part)

	< 5 persons
	5-10 persons
	10-20 persons
	> 20 persons

21. Please indicate the number of self-assessment team members in relation to the whole staff of the organisation (in %).

	< 10%
	10-25%
	25-50%
	50-100%
	100%

22. Composition of the self-assessment group: please indicate which type of staff took part in the self-assessment (SA) group and the percentage of the self-assessment group they represented

	Top management	... %
	Middle management	... %
	Experts (A-level staff members)	... %
	Technical assistants (B-level staff members)	... %
	Supporting staff (secretaries, office clerks....)	... %
		= 100 %

23. How were the members of the SA team selected?

	Volunteers were asked
	The management composed the SA group
	The Quality Unit designated the members
	Others

24. Did you have external (expert) assistance?

	Yes
	No

25. If yes, from whom and when?

	<i>In preparing the self-assessment (explanation of the CAF and its purpose, methodological support etc.)?</i>	<i>During the self-assessment?</i>	<i>In identifying strengths and areas for improvement (for methodological support and clarification)?</i>
Actors			
National CAF correspondent			
National agency responsible for disseminating the CAF			
State consultancy office			
National efficiency units			
Internal consultant			
Quality office			
Training centre			
EIPA			
External private consultant			
Other organisation with CAF experience			

26. What kind of preparation did you receive?

	What you actually received	What you consider useful or what kind of preparation you would wish to have
A simple explanation of the CAF		
Training		
Documentation		
E-learning (e.g. Speyer)		
Cases		
International exchange of experience		

27. If not, do you think it would have been better to have external (expert) assistance?

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

28. If yes, what kind of external assistance would you have preferred and from whom?

	In preparing the self-assessment (explanation of the CAF and its purpose, methodological support etc.?)	During the self-assessment?	In identifying strengths and areas for improvement (for methodological support and clarification)?
Actors			
National CAF correspondent			
National agency responsible for disseminating CAF			
State consultancy office			
National efficiency units			
Internal consultant			
Quality office			
Training centre			
EIPA			
External private consultant			
Other organisation with CAF experience			

29. If yes, what kind of preparation would you have liked to receive?

<input type="checkbox"/>	Simple explanation of the CAF
<input type="checkbox"/>	Training
<input type="checkbox"/>	Documentation
<input type="checkbox"/>	E-learning (e.g. Speyer)
<input type="checkbox"/>	Cases
<input type="checkbox"/>	International exchange of experience

30. How many days did the self-assessment exercise take and what would you have preferred?

		In reality	Preference
	2-3 days		
	4-5 days (a full working week)		
	Between 6 and 10 working days (2 working weeks)		
	More than two weeks (10 days)		

31. How long did the period last in which the self-assessment took place (from the explanation to/training of the group until the conclusion of the self-assessment)?

	2 weeks
	1 month
	Between 1 month and 3 months
	Between 3 months and 6 months
	Between 6 and 12 months
	More than 12 months

32. How did you manage to reach consensus in the group?

	Intense group discussions until we reached agreement
	Arbitration by the chairperson of the SA group
	We took the statistical means of the scores
	Other (please specify):

33. In reaching consensus within the group, what did you focus on?

	On the background to different views/assessments
	On the evidences/indicators used by different group members to support their assessment
	On the scores attributed by different group members
	Other

34. Did you encounter obstacles in the course of the self-assessment with the CAF?

	Yes
	No

35. If yes, what were the main obstacles encountered in the course of the self-assessment with the CAF?

Self-assessment is not a simple exercise, and there may be a number of obstacles or problems when conducting a self-assessment. Below you will find a list of typical obstacles encountered. Please indicate their importance in your organisation.

You only need to reply if these obstacles apply to your organisation.

		<i>Not important >< very important</i>				
		<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>

35.A	Difficulties linked to the CAF itself, in understanding:
	<i>A.1. the concept of the criteria</i>
	<i>A.2. the language</i>
	<i>A.3. the scoring system</i>
35. B	Difficulties linked to the maturity level of the organisation
	<i>B.1. Insufficient experience in sharing views and information in the organisation</i>
	<i>B.2. Problems with being honest and outspoken</i>
	<i>B.3. Our organisation was, on the whole, not prepared for self-assessment</i>
	<i>B.4. A lack of trust in the self-assessment group</i>
	<i>B.5. Self-assessment was imposed and not “owned” by the group members</i>
	<i>B.6. Lack of faith in the relevance of the whole exercise</i>
35.C	Difficulties linked to lack of support and time
	<i>C.1. Lacking training</i>
	<i>C.2. Lacking expert support</i>
	<i>C.3. Lacking management support</i>
	<i>C.4. Lacking leading support in the SA group (CAF project leader)</i>
	<i>C.5. Lacking involvement of the members of the SA group</i>
	<i>C.6. Additional work due to CAF implementation alongside business as usual</i>
35.D	Difficulties linked to the lack of information
	<i>D.1. Uncertainty about the purpose and outcome of the self-assessment</i>
	<i>D.2. Problems with identifying strengths and areas for improvement</i>
	<i>D.4. Participants did not have overall view of the organisation</i>
	<i>D.5. Difficulty in getting sufficient data/information from other colleagues outside the SA group</i>
	<i>D.6. Not enough measurement in the organisation</i>

36. What were the main benefits obtained from self-assessment?

Self-assessment may have a number of possible benefits that can be obtained. Below you will find a list of typical benefits. Please indicate their importance in your organisation

	<i>Not important >< Very important</i>				
	<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>
<i>a) People developed a better understanding of the organisational issues/problems</i>					
<i>b) Identification of the need to share information and improve communication</i>					
<i>c) Self-assessment gave rise to new ideas and a new way of thinking</i>					
<i>d) People started to develop a stronger interest in the organisation</i>					
<i>e) A clear identification of strengths and areas for improvement</i>					
<i>f) People started to become aware and interested in quality issues</i>					
<i>g) The ability to contribute and to share views was felt positively</i>					
<i>h) We were able to identify a number of important actions to be undertaken</i>					
<i>i) We realised how previous improvement activities could be taken forward</i>					
<i>j) We developed an understanding of how different initiatives in place fit together</i>					
<i>k) We did not see any benefits at all</i>					

37. Was there a methodological validation of the CAF application and by whom?

	No validation
	By the national CAF correspondent
	By the national ministry/ agency responsible for disseminating the CAF
	By an external evaluator/assessor
	Other

D. The follow-up

Using the CAF should lead to a structured improvement process addressing the areas for improvement identified through self-assessment; however, ensuring an adequate and structured follow-up is not always easy. The following questions deal with the follow-up process in the organisation.

38. To whom were the results and/or conclusions of the self-assessment communicated (several answers possible)?

<input type="checkbox"/>	All the stakeholders (management, staff, political authority, customers/citizens)
<input type="checkbox"/>	Management only
<input type="checkbox"/>	The whole staff
<input type="checkbox"/>	The CAF Self Assessment Group
<input type="checkbox"/>	An existing improvement team (group, department, unit)
<input type="checkbox"/>	The political authority
<input type="checkbox"/>	Customers / citizens / users
<input type="checkbox"/>	The CAF Resource Centre at EIPA, Maastricht
<input type="checkbox"/>	Others

39. *Did the use of the CAF result in sustainable improvement activities in the organisation?*

<input type="checkbox"/>	<i>Yes</i>
<input type="checkbox"/>	<i>No</i>

40. If yes, what was the nature of the improvement activity (several answers possible)?

<input type="checkbox"/>	A full action plan - directly linked to the results of the CAF SA, outlining the way forward, describing the actions to be taken - that is actually being implemented
<input type="checkbox"/>	Implementation of surveys for the customers/citizens (needs and satisfaction)
<input type="checkbox"/>	Implementation of surveys for the staff
<input type="checkbox"/>	Input into the strategic planning process of the organisation
<input type="checkbox"/>	Implementation of result measurement (targets)
<input type="checkbox"/>	Implementation of HRM tools (please specify)
<input type="checkbox"/>	Implementation of new financial management tools
<input type="checkbox"/>	Improvement of technology
<input type="checkbox"/>	Better management of buildings and assets
<input type="checkbox"/>	Improvement of knowledge management
<input type="checkbox"/>	Improvement of the quality of the leadership
<input type="checkbox"/>	Improvement of the process
<input type="checkbox"/>	A consolidated report handed to the management (leaving the implementation to the latter)
<input type="checkbox"/>	Input into running improvement programme(s)
<input type="checkbox"/>	Some individual improvement activities (but no full action plan)
<input type="checkbox"/>	Other

41. If self-assessment was not followed up by improvement activities, what were the reasons for this? Typical reasons are given by the list below.

	Not important << Very important				
	1	2	3	4	5
Lack of time					
Other priorities					
No real willingness to change					
Lack of support for giving follow-up					
Lack of financial resources					
The results of the self-assessment were not seen as concrete enough					
The results of self-assessment were not accepted as an adequate picture of the organisation					
We did not succeed in identifying relevant areas for improvement					
The results of self-assessment were not accepted by key persons					
Self-assessment was never meant to lead to improvements (it was just a "health check" of the administration)					
The reason for conducting self-assessment was only to take part in an award contest					
Key players had not been involved in the self-assessment					
Other					

42. Do you intend to use the CAF again?

	<i>Yes</i>	
	<i>No</i>	

43. If not, why not?

	We used CAF as a first-level tool and want to move towards EFQM
	We consider CAF to be too difficult
	Other (please specify):

44. If yes, when do you intend to use the CAF?

	Annually
	Every two years
	Every three years
	Every four years
	At a later date
	No preference

45. If yes, which instruments do you intend to connect/combine with the CAF to further develop TQM in your organisation?

	Leadership development tools (assessment centres,...)
	Planning and policy development tools
	Performance management development systems
	Contract management/ management by objectives
	Balanced Scorecard (BSC)
	Deming Approach (PDCA)
	Project management
	Kaizen
	Six Sigma
	Strategic management of competencies
	Investment In People (IIP)
	Service Level Agreement (SLA)
	Cost accounting and result accounts
	Business process re-engineering
	ISO 9000 /2000 standard(s) with certification
	ISO 9000 /2000 standard(s) without certification
	Supply chain
	Complaint Management
	Customer satisfaction surveys
	Employee satisfaction surveys
	Appraisal by subordinates
	Suggestion system
	Eco-Management and Audit Scheme (EMAS)
	External and internal audits
	Other

46. If you intend to use the CAF again, what, if anything, would you change about how you conducted the self-assessment?

	Not important << Very important				
	1	2	3	4	5
Stronger management involvement					
Different composition of the self-assessment team					
More (or better) external assistance					
More (or better) preparation and explanation					
Better clarification of why self-assessment is undertaken					
A stronger involvement of key persons					
Involvement of trade union / employees' representatives					
Stronger involvement of the employees					
More data collection (facts on results etc.) to support the assessment					
More time for discussions within the self-assessment team					
Change of method in reaching consensus in the group					
More careful selection of the right moment for self-assessment					
More time for convincing people/colleagues of the purpose					
Make sure that other priorities and activities will not be in the way					
Other					

E. Good practices and benchmarking/benchlearning

The CAF is also intended to encourage and to serve as a starting point for benchmarking/benchlearning projects, at the domestic or European level. The purpose of the following questions is to gather information on good practices in your organisation and determine your interest in benchlearning/benchmarking.

47. Did you discover strengths during the self-assessment that you could describe as good practices?

	Yes
	No

48. If yes, to which sub-criteria of the CAF were they linked?

	1.1. Give a direction to the organisation: develop and communicate vision, mission and values
	1.2. Develop and implement a system for managing the organisation
	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
	2.1. Gather information relating to present and future needs of stakeholders
	2.2. Develop, review and update strategy and planning
	2.3. Implement strategy and planning in the whole organisation
	3.1. Plan, manage and improve human resources with regard to strategy and planning
	3.2. Identify, develop and use competencies of the employees aligning individual, team and organisational targets and goals
	3.3. Involve employees by developing dialogue and empowerment
	4.1. Develop and implement key partnership relations
	4.2. Develop and implement partnerships with the citizens/customers*
	4.3. Manage knowledge
	4.4. Manage finances
	4.5. Manage technology
	4.6. Manage buildings and assets
	5.1. Identify, design, manage and improve processes
	5.2. Develop and deliver services and products by involving the citizens/customers
	5.3. Plan and manage modernisation and innovation
	6.1. Results of customer/citizen satisfaction measurements
	6.2. Indicators* of customer/citizen-oriented measurements
	7.1. Results of people satisfaction and motivation measurements
	7.2. Indicators of people results
	8.1. Results of societal performance
	8.2. Results of environmental performance
	9.1. Goal achievement
	9.2. Financial performance

49. Would you be prepared to include your good practice(s) in the CAF database of the CAF Resource Centre at EIPA to facilitate benchlearning?

	Yes
	No

50. If you are looking for good practices so as to introduce them in your organisation, to what sub-criteria of the CAF do they have to be linked?

	1.1. Give a direction to the organisation: develop and communicate vision, mission and values
	1.2. Develop and implement a system for managing the organisation
	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
	2.1. Gather information relating to present and future needs of stakeholders
	2.2. Develop, review and update strategy and planning
	2.3. Implement strategy and planning in the whole organisation
	3.1. Plan, manage and improve human resources with regard to strategy and planning
	3.2. Identify, develop and use competencies of the employees aligning individual, team and organisational targets and goals
	3.3. Involve employees by developing dialogue and empowerment
	4.1. Develop and implement key partnership relations
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	4.3. Manage knowledge
	4.4. Manage finances
	4.5. Manage technology
	4.6. Manage buildings and assets
	5.1. Identify, design, manage and improve processes
	5.2. Develop and deliver services and products by involving the citizens/customers
	5.3. Plan and manage modernisation and innovation
	6.1. Results of customer/citizen satisfaction measurements
	6.2. Indicators* of customer/citizen-oriented measurements
	7.1. Results of people satisfaction and motivation measurements
	7.2. Indicators of people results
	8.1. Results of societal performance
	8.2. Results of environmental performance
	9.1. Goal achievement
	9.2. Financial performance

51. Has your organisation, to your knowledge, ever taken part in a benchmarking project?

	Yes
	No

52. Would you be interested in taking part in a benchmarking project with other organisations that have used the CAF and would like to learn from others?

	At the national level
	At the European level
	Both
	Not interested

53. If you were contacted by another organisation interested in carrying out a benchmarking project and with a concrete proposal, would you be willing to consider the idea (although there may be obstacles)?

	Yes
	No

54. Are there other comments you would like to make about the CAF, the process of self-assessment or other items in this questionnaire?

