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# Growing Towards Excellence in the European Public Sector

A decade of European collaboration with CAF

Patrick Staes and Nick Thijs (ed.)





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## Foreword 10 years of CAF

As 2010 is closing, the global economy appears to be emerging slowly from the worst recession since 1929. The recovery remains slow and fragile. Focus, collaboration and coordinated methods are needed to address the risks of a potential new crisis and set the stage for a return to strong and sustained global growth.

In times of severe budget cuts and further restrictions, strong solutions and policies are needed to reduce costs, maintain the productivity and innovative potential of the civil servant organizations and workforce. Moreover, this is absolutely critical in ensuring that customer-oriented services will be delivered efficiently and effectively to the benefits of the citizens.

Civil services need to continue a shift towards modern management, even more so in times of economic crisis and budget cuts. They need to create value for the organisation as a whole, and moreover for the staff and their leaders by simultaneously supporting (cultural) change and creating more performance orientation. Quality Management as a whole should proactively support the decision-making process and develop practical concepts.

As I reflect on the past years, key lessons come to mind: collaboration must be sustained. This is really one of the greatest findings of the work within the EUPAN Network —perhaps for the first time in history, administrations have finally come together in a spirit of solidarity to face common problems with common solutions.

The Belgian Presidency of the EU is very proud to present the result of more than 10 years of shared efforts in developing Quality management in the public sector in Europe. Thanks to the continuous support of the Ministers in charge of the Public administration in the Member States, their director generals in the EUPAN network and the national experts in its working groups, the Common Assessment Framework has become a reference model of excellence for the public sector in Europe. From the beginning, Belgium contributed to this success and will continue to do so.

This publication aims to share these common efforts in order to support the spreading and deepening of quality management amongst the civil servants and their leaders.

Continuously improving the service delivery to the citizens with better efficiency is the challenge for each and every public organisation! Let's continue to do so.

Jacky Leroy

President of the Board of Directors of the Federal Public Service Personnel & Organisation



## Introduction

In 2000 the Innovative Public Services Group (IPSG) of the EUPAN (European Public Administration Network) presented the Common Assessment Framework (CAF). After ten years of CAF in 2010 and more than 2000 registered CAF users, it is time to look at the state of affairs – what has been achieved in these ten years and – maybe even more importantly – what do we want to achieve in the next ten years?

The first part of this publication will look at the evolution of CAF since its origin in 2000 and examine where CAF is standing in 2010 with more than 2000 registered CAF users in the EIPA CAF Resource Centre database. The milestones and achievements of CAF and its users and promoters up to its tenth birthday will be highlighted. Furthermore, this part of the publication will give an overview and a short analysis of the spreading of CAF in Europe – where it is applied and in which sectors. It will also describe the content wise evolution and the change of maturity that took place in the past decade. And what's more, it is enriched with the contributions written by the CAF National Correspondents in honour of 10 years CAF in their country and with an exclusive interview with the 2000<sup>th</sup> CAF user.

The second part goes into the latest CAF developments. In 2009, the CAF External Feedback procedure was launched. One of the aims of the Procedure on External Feedback is to lay stress on the eight principles of excellence which are the leading principles in Total Quality Management. These principles are guidelines for organisations on their journey towards excellence and are therefore the foundation of the CAF. The programme of the fourth European CAF Users Event in Romania in September 2010 was build upon these principles. Each principle was illustrated with two to three cases from all over Europe. This part of the publication will discuss the eight principles and illustrate them by giving the short descriptions of the cases. It will end with an explanation of the Procedure on External Feedback.

Organisations where TQM has been implemented, (probably) aim at becoming mature. Often, a huge distance between their current situation and their goal has to be overcome. The third part of this publication collects the texts of the keynote speakers on the 4<sup>th</sup> European CAF Users Event. They are divided into three topics: Change Management, Strategic Management and Performance measurement/monitoring.

To finalise this publication and as a conclusion, we take a look at the future of the CAF. This last part deals with the questions: what are the future challenges for the CAF and which steps does the CAF community need to take?

In annex, a list with the contact information of the CAF National Correspondents, the 'principles of excellence' case presenters, the keynote speakers and the European CAF Resource Centre is included.

The Common Assessment Framework is the result of an intense collaboration between many actors on the European scene during nearly 12 year. The preparations started in 1998 under the Austrian presidency and the 10th anniversary was celebrated in the second half of 2010 with the support of the Romanian government under the Belgian Presidency. Nearly all the Presidencies in between contributed to the further development and spreading of the model in order to introduce a culture of Total Quality Management in the Public Sector all over

Europe. Motivated civil servants, taking part in the IPSG and the CAF Network of national correspondents, took up the responsibility for this approach. They are the fathers and mothers of CAF. Some of them left the European Public Administration Network (EUPAN) for other functions, but will be remembered as the pioneers of Quality management in Europe. The European Foundation for Quality Management EFQM and the Speyer University inspired from the beginning the national experts and several colleagues from the European Instituted of Public Administration EIPA supported the network and build up the European CAF Resource Network.

It is impossible to thank them all by name. So many were and are involved and we don't want to forget anyone. Therefore we would like to be the spokes persons for the European Public sector in thanking them all for all the efforts they made in the past and will make in the future. Europe is build on many millstones, but they certainly contribute to a very important one.

Marga PRÖHL, Director-General EIPA

Patrick STAES, Head of the European CAF Resource Centre at EIPA

Maastricht, October 2010



**Part 1: 10 Years of CAF  
and more than 2000 registered CAF users**

## 1. First steps towards the CAF

The launch of the CAF has to be placed in a context 10 years ago when, as still it is the case today, the public sector has to cope with a lot of challenges and has to respond to many new needs and demands in society. Due to these challenges and the pressure, the public sector is subject of large reforms. Especially in times of financial crises and severe cost cuts in public administrations, the focus is on efficiency and effectiveness, attention to transparency and accountability, awareness for public service delivery.<sup>1</sup> Together with these principles of New Public Management (NPM), methods and techniques were constructed, focusing on one of these principles or trying to combine these principles. As one of these techniques Total Quality Management became a feature of the public sector from the late 1980s and particularly the early 1990s. In the late 1990s, many quality models and techniques (EFQM, ISO ...) and subsequently the Common Assessment Framework (CAF) found their way into the public sector.<sup>2</sup>

Following years of informal consultations within the EUPAN, there was an increasing need at the end of the 1990s within the European Union for a more intensive and formal response in order to optimise cooperation with respect to the modernisation of government services in the Member States and the preparation for the upcoming enlargement.<sup>3</sup> In 1997, this need was given substance in the formation of a steering committee at European level, which subsequently became the IPSG – the Innovative Public Services Group, acting under the aegis of the network of the Directors-General in charge of the public administrations in the Member States, the European Public Administration Network (EUPAN). The preparatory work that had been performed for several years at informal level by the Directors-General, led in November 1998 to a ministerial declaration containing *'the general principles concerning the improvement of the quality of services provided to citizens'*. The IPSG working group then developed a quality tool specifically intended for and adapted to the public sector. This resulted in the year 2000 in the Common Assessment Framework – a self-assessment framework based on the principles of TQM and derived from the EFQM® model and the German Speyer model. CAF was an easy to-use and free entry tool for self-assessment in the public sector that could help public administrations across the EU understand and employ modern management techniques. It was launched at the first European Quality Conference in Portugal in May 2000.<sup>4</sup>

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<sup>1</sup> Pollitt, C. & Bouckaert, G. (1999), *Public management Reform*, Oxford University Press.

<sup>2</sup> Van Dooren, W., Thijs, N., & Bouckaert, G. (2004). Quality management and management of quality in the European public administrations. In: Löffler, E., & Vintar, M. (Eds.). *Improving the quality of East and Western European public services*. Hampshire: Ashgate. pp. 91-106.

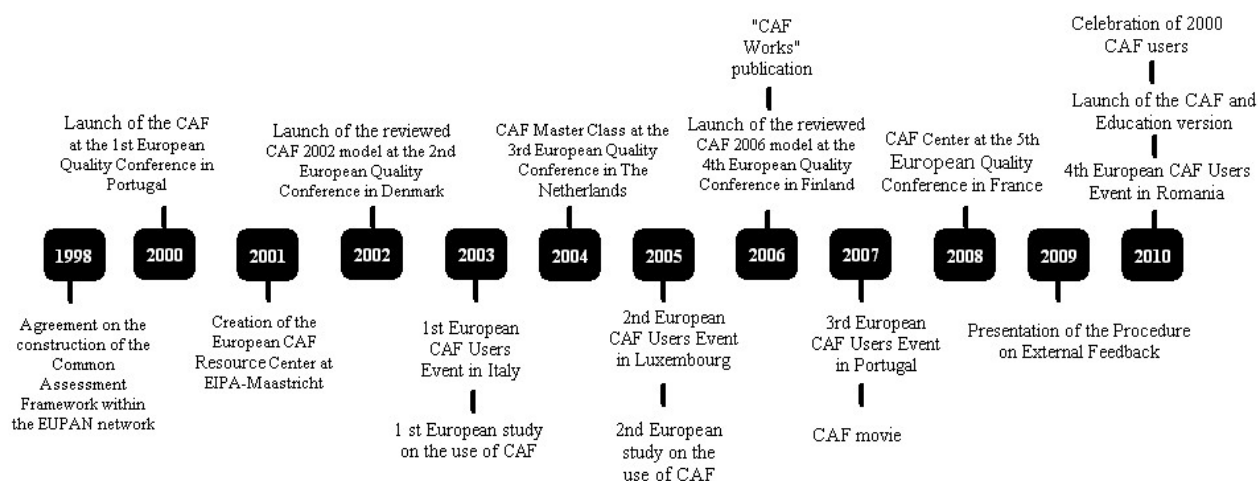
<sup>3</sup> Engel, C. (2003). Quality management tools in CEE candidate countries. Maastricht: Eipa, 104 p.

<sup>4</sup> Engel, C. (2002). Common Assessment Framework : The state of affairs, *Eipascope*, (1), pp. 35-39.

## 2. An overview of 10 years European collaboration with CAF

Since the first launch in 2000 at the 1<sup>st</sup> European Quality Conference in Lisbon, many things have been realised. In this part we give a brief overview of the initiatives taken at the European level during the past 10 years.

### *10 years CAF timeline*



The year **2001** saw further development around the CAF: the European CAF Resource Centre (CAF RC) was established at the European Institute of Public Administration in Maastricht, the Netherlands. This EIPA CAF RC has been created under the initiative of the Directors-General in charge of public service with the aim of being a European centre of expertise in CAF implementation that coordinates with the national quality hubs and also serves as a training and consultancy centre. Furthermore, the CAF RC carries out research on the use of the model to further develop it and aims to stimulate the European CAF network of national correspondents and be a source of inspiration to the European CAF community. Last but not least, the CAF RC was entrusted with the setting up of a database to register and collect European CAF users with the aim of reaching 2000 registered CAF users by 2010.<sup>5</sup>

In **2002**, the model was simplified and improved with the aim of adapting it even more to the public sector and launched at the second European Quality Conference in Denmark. The need to adapt the model in a way that it is more tailored to the public sector became obvious to the network because of a European study on the use of CAF that had been done in 2003.<sup>6</sup>

In **2004** the IPSG, in their meeting held in Vienna, took the decision to set up the CAF expert group for developing a draft CAF Action Plan. The CAF expert group is composed of the CAF national correspondents of the Member States, the EIPA CAF RC and EFQM representatives. The group is open to the participation of experts of CAF/TQM nominated by countries. It meets at least twice a year and its major tasks are:

- to improve and regularly update the CAF;

<sup>5</sup> all info on [www.eipa.eu/CAF](http://www.eipa.eu/CAF)

<sup>6</sup> EIPA (2003), *Study for the Italian Presidency on the use of the common assessment framework in the European public administrations*, Maastricht, 92 p.

- to define in collaboration with EIPA the role of the European CAF Resource Centre (tasks, mandate, placement, financing);
- to develop in collaboration with EIPA CAF support tools (e.g. CAF website);
- to validate the different ways to adapt CAF for national or sectoral use;
- to assist and promote the exchange of good practices of operational managerial tools between European Member States;
- to organise the CAF users events (content papers and programmes);
- to report back to the IPSG at least twice a year.

The collaboration as such is very special, because the network operates in the spirit of consensus on European level to drive forward the development around and within the model, which is at times difficult due to distance, different public administration cultures, national agendas, funding, etc. However, the network has proven its capability to steer the CAF forward with its many initiatives and products, which will also become evident in this publication.

Since the launch of CAF in 2000, it was clear that mutual understanding and bench learning among CAF users would be a strong impetus for the success of the model in Europe. European CAF Users' Events are thus organised regularly with the aim of being an inspiring meeting point for CAF users and to further spread TQM in the public sector in Europe.

In **2003** and **2005** CAF Users from all over Europe met in Rome and Luxembourg at the first two European CAF Users' Events. The Portuguese Presidency organised the 3<sup>rd</sup> European CAF Users' Event in Lisbon in **2007**. In **2010**, Romania hosted the 4<sup>th</sup> CAF Users' Event in cooperation with the network of CAF national correspondents and the EIPA CAF Resource Centre. The 4<sup>th</sup> Event had a special focus on the 8 principles of excellence and the newly developed the CAF External Feedback as well as the tailor-made CAF version for the education sector.

In **2004** the tradition of the European Quality Conferences was continued in the Netherlands. At this Quality Conference a CAF Master Class took place. Subsequently in 2005, not only did the second CAF users' event take place, as mentioned above, but a second study on the use of CAF was also conducted.<sup>7</sup> The study revealed that a number of areas in the CAF needed further improvement: increase the coherence and simplicity of the model, increase the user friendliness by improving the examples and the glossary, develop a more fine-tuned scoring system for certain users, and broaden the quality approach with directives for the improvement action plans and guidelines for bench learning. Consequently the CAF was reviewed for the second time and in **2006** the CAF 2006 was launched at the fourth European Quality Conference in Finland. The result was a better definition of certain criteria and sub-criteria, an increase of the internal consistency of the criteria, the formulations and the way of evaluating and scoring.

Despite the fact that the procedure of adapting the model was highly technical and conceptual, there was a very strong participation of 15 countries during the process of the revision. Several countries prepared sub-topics in working parties which were supported substantively by EIPA and there was a strong contribution from the European Foundation for Quality Management (EFQM).

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<sup>7</sup> EIPA (2005), Study on the use of the Common Assessment Framework in European public services, Maastricht, 89 p.

Additionally, on initiative from the Austrian Presidency and with cooperation from the CAF RC the publication “CAF works” has been put together in 2006. “CAF works” presents 29 good practices from 15 countries and 8 different sectors, where the use of the CAF has led to improved results.<sup>8</sup>

Continuing the habit of holding a CAF users’ event as mentioned above, Portugal hosted the third event in **2007** and furthermore developed together with the CAF RC a CAF movie, an attractive tool to promote CAF by showing the effectiveness of CAF in improving public sector organisations.<sup>9</sup> In addition, the movie clearly shows the European dimension of CAF: the collaboration between the different Member States, the advantages of a strong European network and community. It is the appropriate tool to use for communication actions in an organisation, at quality conferences, etc. to demonstrate the process and results of working with the CAF model.

The fifth European Quality Conference took place in Paris, France in September **2008** and saw the second CAF Centre – a special place for CAF and the workshops and sessions about it – attracted 800 of the 1100 participants at the Conference an undeniable signal that the interest for the tool was still growing.

Currently, the CAF has been translated into 20 languages and is used in more than 2000 organisations (see infra).

### 3. Evolution in the development and use of the CAF Model

In the past 10 years the CAF itself (and its use) also became more mature. In this maturity process three different phases can be distinguished. A first phase focusing on the self-assessment, a second phase having more attention for the improvements after the self-assessment and a third phase drawing attention to the mature culture of excellence in an organisation.

In the *first phase* of the use of CAF, from 2000 until 2006, the emphasis was put on the introduction of TQM principles and values in the public sector by using the CAF as **a self-assessment tool**. Public sector organisations were not used to look at themselves, certainly not involving their own people. A lot had to be learned and most of the energy was put in spreading a sound methodology of self-assessment.<sup>10</sup>

With the revision of 2006, much more attention was dedicated in a second phase to the follow up of the self-assessment: **the implementation of the improvement actions** that were the result of the discovery of many areas of improvement during the self-assessment. The success of CAF was measured by the improved managerial practices that were installed and that lead to better results in the results criteria of the model.<sup>11</sup>

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<sup>8</sup> The “CAF works” publication can be downloaded from [www.eipa.eu/caf](http://www.eipa.eu/caf) (publications section)

<sup>9</sup> The “CAF movie” can be watched and downloaded from [www.eipa.eu/caf](http://www.eipa.eu/caf) (CAF movie section)

<sup>10</sup> Staes, P., & Thijs, N. (2005). Quality Management on the European Agenda. *Eipascope*, 2005/1, pp.33-41.

<sup>11</sup> Thijs, N. & P. Staes (2005), The Common Assessment Framework in European public administration: a state of affairs after five years. *Eipascope* 2005/3, p.41-49

But the awareness grew in a third phase that it was necessary to develop further the concept of excellence that had been at the basis of CAF, but was not explicitly enough formulated for the public sector. If further developed, these principles could become the leading principles for building up the organisation towards the level of excellence on the basis of a sound self-assessment and an effective improvement plan. This work was done in the context of the discussions on **the new Procedure for External Feedback** (see infra part 2).<sup>12</sup>

Most quality management tools have recognition schemes to evaluate assessments that have taken place in an organisation. Up to 2010, the CAF did not have such a system. Within the CAF expert group a number of volunteers - Belgium, Denmark, Italy, Slovenia, EFQM and the EIPA CAF Resource Centre - have crossed the Rubicon and paved the road for the implementation of a CAF External Feedback Procedure. In relation to the nature of the needs and the kind of demands expressed by many CAF users in different Member States, the CAF External Feedback aims to achieve the following objectives:

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

Within the course of the CAF External Feedback Procedure external experts – the CAF External Feedback Actors – visit the organisation and gather evidence on how the institution has prepared, implemented and followed up the CAF self-assessment process. After going through this process the organisation will or will not receive the label ECU, which is standing for an Effective CAF User, for a period of two times. The procedure was launched in 2010. The Member States have to install the procedure in the field from now on.

In the mean time, the European CAF network has also started to tailor CAF to specific sectors in public administration. The first initiative of that kind has started in 2008, when the CAF network created a European working group, consisting of national correspondents and experts from the field to develop a CAF version for the education sector. The result is the CAF and Education that has been approved by the EUPAN network in June 2010 and is available via the CAF RC website.

## 4. Growing towards 2000 registered users in 2010

In these ten years the CAF has not only grown in terms of conceptual and content work, more importantly the number of CAF users has grown as well, since the target has been set in 2005 by the British Presidency to register 2000 CAF users in 2010. In June 2010 this target

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<sup>12</sup> Thijs, N. & P. Staes (2010), From self-assessment to external feedback, Eipascope 2001/1, p.9-14

was met and the Belgian High Council of Justice (CSJ) registered as 2000 CAF user. Later in this publication an interview with the CSJ is included.

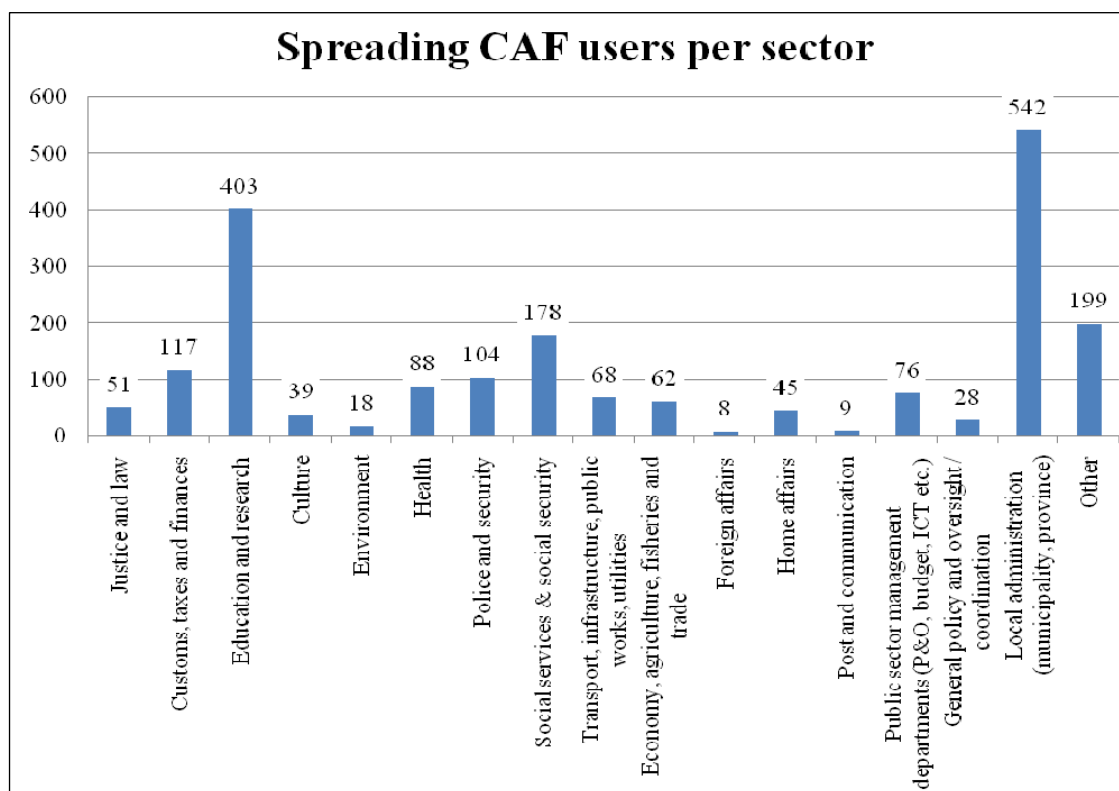
The more than 2000 users are **widely spread in Europe and beyond** Europe's borders. If we take a closer look at the content of our CAF user database (see overview) we see that most of the European countries have CAF users.

***Situation 21 September 2010: 2066 registered CAF users in 39 countries and the European institutions***

Italy 324	Spain 44	UK 7
Belgium 293	Greece 39	Latvia 6
Denmark 248	Slovakia 39	<i>EU Institutions and EC 6</i>
Poland 168	Romania 45	Ireland 5
Portugal 112	Switzerland 21	Sweden 5
Hungary 104	Cyprus 19	<i>Russia 4</i>
Austria 89	Bosnia-Herzegovina 18	Croatia 3
Norway 86	Estonia 18	<i>China 2</i>
Germany 69	France 16	<i>Namibia 2</i>
Czech Republic 64	Luxembourg 12	Netherlands 3
<i>Dominican Republic 57</i>	Lithuania 10	<i>FYR of Macedonia 2</i>
Slovenia 55	Bulgaria 10	<i>Tunisia 2</i>
Finland 50	Turkey 7	<i>Serbia 1- Ecuador 1</i>

Furthermore there is no longer any pattern that would suggest a geographical reason as to where most of the CAF users are. At the top of the class are countries like Belgium, Italy, Denmark, Portugal, Poland and Austria. That CAF does not know any continental borders as can be seen by looking at the Dominican Republic and Tunisia which both can count several CAF users; and even in China and Namibia we can find traces of CAF usage in our database. Also the supranational level has committed itself to quality management with CAF; several DGs in the European Commission, the Court of Auditors and Europol are only some of the European institutions that successfully have implemented the model. Looking at the spreading of CAF from this angle, prospects are that the reputation of CAF and therewith also its usage will grow further – in Europe, in the European institutions and beyond European borders.

Below we can see that CAF users come **from all sectors in public administration**. It has to be noted though that the two most prominent sectors according to the EIPA CAF database are Education and Research (403 users) and Local Administration (542 users). This is particularly interesting because as it has been mentioned above, a tailor-made CAF version has been developed for the Education & Research sector already. As CAF spreads further – also in other sectors – it might be that in the future more of these specialised CAF-sector versions will be developed.



## 5. CAF dynamics in the Member States

As the efforts of CAF implementation in the Member States rests with themselves, the Member States have to be credited for the biggest part of the CAF model's success. Therefore, the CAF National Correspondents have been asked to write down their experiences with the model during the last ten years. This chapter of Part 1 of the publication brings together their contributions, starting with a synthesis that touches upon a few interesting subjects including future challenges. The synthesis is followed by the contributions of successively Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Italy, Lithuania, Luxembourg, Norway, Poland, Portugal, Romania, Slovakia, Slovenia and Spain.

### 5.1 Synthesis of the Member State contributions

#### ***Activities at national level***

When CAF was first introduced in the Member States, it was not always a big hit from the outset. In some countries, public organisations were not accustomed to the use of total quality management. In other countries, public organisations were already using other TQM models. It was a challenge for every Member State to launch and disseminate the CAF in their public sectors. For that purpose they designed many CAF-related activities and tools. These tools aimed to promote CAF, support the implementation of CAF and stimulate the exchange of best practices. The following enumeration gives an idea of the major CAF-related activities and tools in the Member States:



- CAF brochures in 20 languages
- Special guidelines and worksheets
- Electronic application and evaluation tools in 11 countries
- CAF training in 20 countries
- One benchlearning project in four countries
- Individual advice and coaching in 14 countries
- Quality programmes, conferences and awards in 12 different countries
- CAF versions for specific sectors e.g. CAF and Justice (in Denmark and Italy) CAF and local administrations (in Belgium and Czech Republic), CAF and education (in Belgium, Denmark, Italy and Portugal)

Some countries have even developed supporting instruments for the CAF model. Slovenia, for instance, developed a methodical support for the 'Results' side of the CAF model. The supporting instrument in Luxembourg serves as a second example and is based on a cluster approach. They cluster four to six users so that those users can learn from each other during the four-step process: the self-assessment, the definition of an action plan, the implementation of improvement actions and the follow-up and transfer of good practices.



### ***The exchange of expertise at European level***

The efforts made by the Member States are reaping rich rewards as the CAF is starting to spread itself. The good reputation of the model has a catalyst effect on its dissemination. It stimulates the decision to implement the CAF and thus facilitates the promotion of CAF by the Member States. This is a good development.

Benchlearning projects are successful within Member States and between neighbouring Member States. Quality conferences, awards or contests occur in at least seventeen countries. From those seventeen, five countries organise only quality conferences (Czech Republic, Finland, Lithuania, Luxembourg and Norway), five countries organise only quality awards or contests (Austria, Greece, Portugal, Slovenia and Spain), and seven do both (Belgium, Estonia, Germany, Hungary, Italy, Poland and Slovakia).<sup>13</sup>

The exchange of good practices between Member States across Europe on the other hand has proved to be more difficult so far. With extensive help from the European CAF RC, three Member States have organised CAF Users Events as part of their European Presidency (Italy,

<sup>13</sup> Based upon the CAF study 2005 (p. 17) and contributions of the Members States for 10 years CAF

Luxembourg and Portugal).<sup>14</sup> Only Austria, Hungary, Slovakia and the Czech Republic had a formal international benchmarking project through partnerships.<sup>15</sup> This is a challenge for the future. More can be done to enhance the exchange of successful support instruments and good practices for the other Member States.

### ***The rise of CAF as a new TQM instrument***

Over the course of ten years, CAF has become a well known Total Quality Management model. It holds a strong position amongst other TQM models as a specific model for the public sector. The model started as a first level TQM model for inexperienced users and has become a reference model. It has to be seen alongside and complementary to the three big TQM models: BSC, ISO and EFQM. One of the frequently heard reasons for why CAF is praised by its users is because it is “affordable, easy to use and it motivates the staff.”

### ***Expectations for the future***

The number of users continues to grow in all the Member States. Various CAF National Correspondents speak of huge groups with an interest in or plans to use CAF in the future. In France for example, 22 regions and 100 county fire and rescue services are inspired by several best practices. In Lithuania, thirty state and six municipal institutions are planning to implement CAF by 2015. In fact, the European CAF Resource Centre is seeing an exponential increase in the number of registered CAF users in the CAF database. In a former chapter of this publication<sup>16</sup> we had a look at the numbers of users in the Member States. We can say without any doubt that there is still a big potential for CAF in Europe, but based on the current trend it seems that we can have good expectations for the future – especially as all the Member States who contributed to this publication plan continuous efforts to disseminate CAF. At least ten Member States are already preparing the implementation of the CAF External Feedback Procedure, for example.

Many efforts have been made to successfully disseminate CAF in the European public sector. More than 2000 users have experience with the model. These good results are an energiser for the coming years. One of the future challenges is to increase efficiency by working on the quality of the CAF model. More work also has to be done to make public organisations familiar with self-assessment, with making improvement actions and with aiming at excellence. The commitment of the Member States to face these challenges together is by far the biggest strength of the Common Assessment Framework.

The future of CAF will be discussed in greater detail later in publication. The following pages bring together the contributions of the Member States.

## **5.2 Ten years of CAF in Austria<sup>17</sup>**

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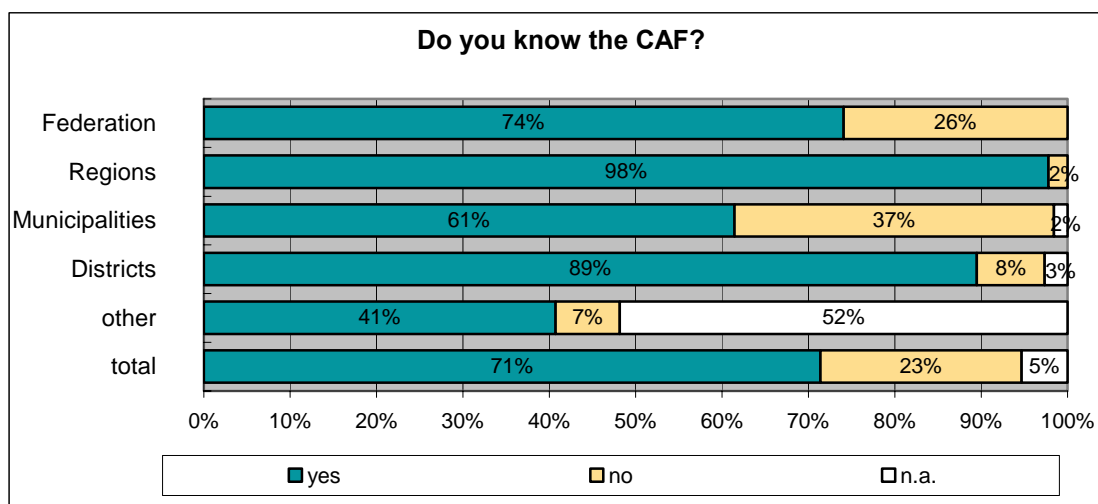
<sup>17</sup> Thomas PROROK, Deputy Managing Director KDZ - Centre for Public Administration Research and Sandra KASTENMEIER, Federal Chancellery of Austria, Division for Administrative Development - Austrian CAF Correspondent

In preparation of the 10<sup>th</sup> anniversary of the Common Assessment Framework in 2010, the Austrian Federal Chancellery and the KDZ-Centre for Public Administration Research conducted a survey on the use and implementation of the CAF in Austria. Selected results of the survey such as knowledge of CAF, usage of CAF, estimations about CAF and sustainability of CAF give an overview of CAF implementation in Austria.

In total 854 managers from public sector organisations were invited to participate and feedback from 318 persons covering 172 public sector organisations was received. Overall 56 organisations identified themselves as CAF users, while 25 have not yet been registered in the Austrian CAF database. In total Austria now covers 87 CAF users, but only fewer than 70 are published in the official CAF database.

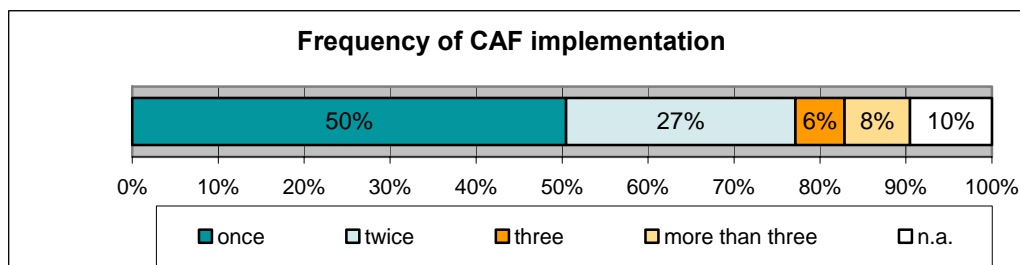
### ***High knowledge of CAF***

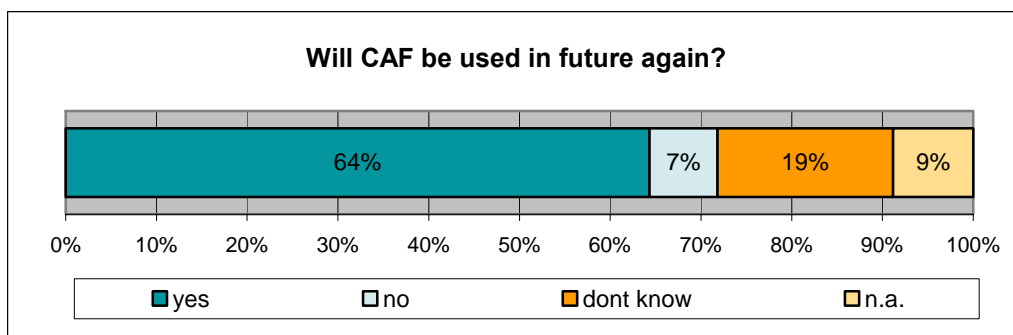
The publicity differs between the levels of government. Within the federal level CAF is known by 74%; in the regions and their districts an almost complete knowledge exists.



### ***Expendable frequency of CAF implementation***

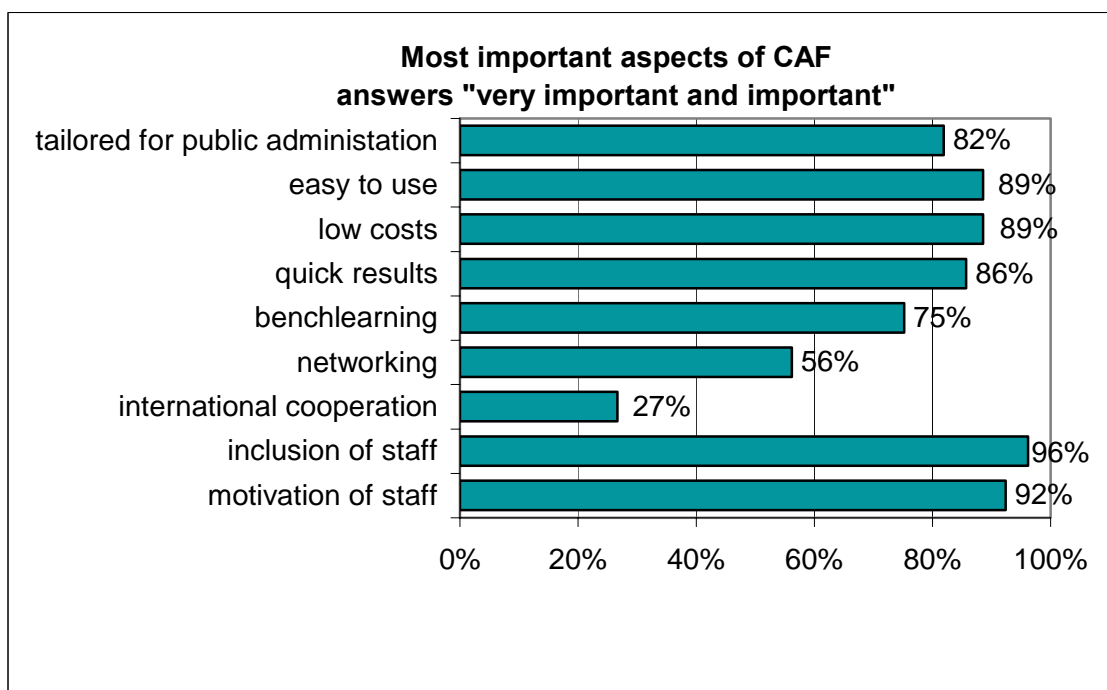
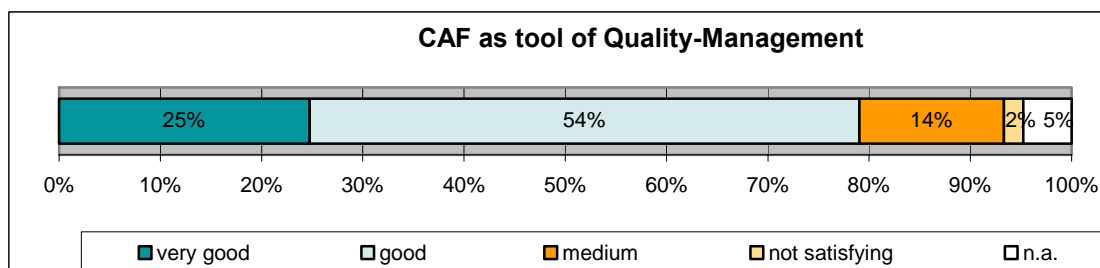
Overall, 50% of the Austrian CAF users have implemented CAF only once. The willingness to use CAF again is quite high (64%), but nevertheless the figures are changing slowly. After ten years of CAF, only 41% are frequent CAF users.





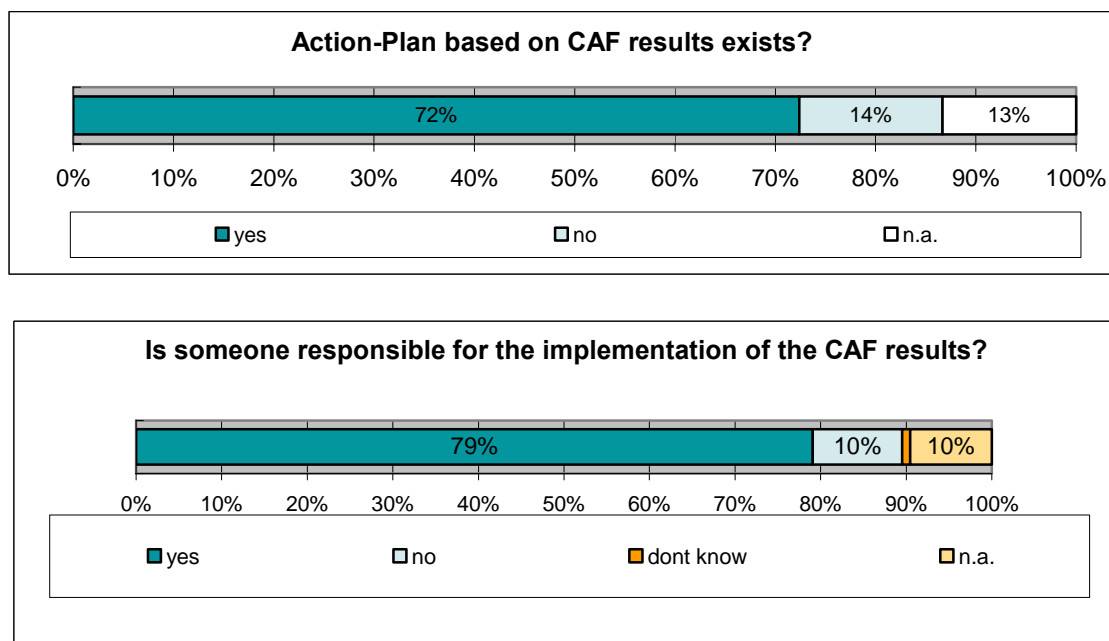
### ***CAF as a proper tool for Quality Management***

In total 25% of the CAF users assess CAF as very good and 54% as a good tool of quality management. The reasons are that CAF is tailored towards the public administration, is easy to use, cheap and motivates staff. Other major objectives of CAF – the networking and international cooperation – are of minor interest.



### ***Sustainability of CAF is guaranteed!?***

Two indicators measure the sustainability of CAF implementation: the existence of a CAF action plan and the nomination of a CAF programme manager. Both indicators show that in more than 70% of cases the CAF exercise resulted in an action plan and a responsible person for the implementation of the CAF was nominated.



## Conclusions

With 87 CAF users the potential for tailored quality management in Austrian public sector organisations is not fully utilised. The figures show that the CAF is well known in Austria and the quality of the CAF procedures is a matter of potential improvement. But nearly one third of the CAF users are not developing a CAF action plan. This has to be seen as request for the further development of the CAF methodology and the necessity for the external CAF feedback.

In May of this year a workshop was arranged in order to train around 20 experienced CAF users, respectively quality managers from the national, regional and local administrative level. Accordingly these experts will act as CAF External Feedback Actors and will award the “Effective CAF User” label. Applications for the “Effective CAF User” label will be possible by summer 2010.

## 5.3 Ten years of CAF in *Belgium*<sup>18</sup>

### *The happy event in 2000*

In 1998, the Directors-General for Public Administration established a Committee of experts, the Innovative Public Services Group (IPSG), to organise the cooperation of the 16 partners (the 15 member countries and the Commission) in the field of evolution of public administration management. The Committee oversaw the running of a number of assignments, such as the preparations for the Quality Conference of Public Administrations in the European Union in Lisbon in May 2000, and the development of the Common Assessment Framework (CAF).

<sup>18</sup> Jean-Marc DOCHOT, Federal Public Service P&O - Belgian CAF Correspondent

### ***The enthusiastic adoption by Belgium***

At a very early stage, Belgium joined in with this movement by organising Quality Conferences since 2001, in order to meet the need to relay the European initiative to promote quality in public services to the national level. The instrument chosen was the Common Assessment Framework (CAF), the use of which was mandatory for administrations wanting to present a good practice. This strategy for disseminating CAF proved to be successful since a total of more than 3,500 people, mostly civil servants from all origins (local, regional, community and federal), have participated in and/or attended the five biennial conferences, and nearly 300 Belgian public organisations have implemented the CAF, the instrument for organisational diagnosis.

Another indicator of success is the emergence of this type of event (Quality Award, Quality Day, Quality Conferences) in the federated entities:

3. Flanders regularly organises a "Quality Congress" for local government and an "Innovation Award" for the central administration of the Flemish Community. The Flemish Government is using the CAF in many of its departments.
4. The French Community organises an annual "Quality Day" to present its internal best practices. In addition, the CAF has been formally adopted as a management tool for the 5000 administration officials.
5. The Walloon Region organises an "Excellence Award" open to public, private and associative organisations.
6. The Ministry of the Brussels Capital Region has also officially endorsed the use of CAF as a management instrument for its entire administration, comprising nearly 60 administrative units.
7. The German-speaking Community has recently implemented the CAF throughout its modest-sized administration.
8. The Federal Government has seen the use of CAF extend to the Federal public service of Justice, particularly in prisons, the health service and social security, to name the most important sectors.

It is indeed with great pleasure that we celebrated the 2000<sup>th</sup> registration on the CAF database by the Supreme Council of Justice. This also means that the whole of federal Belgium and its complex institutional structure is using the CAF as a management instrument.

Finally, the CAF has also reached other areas that the traditional government was interested in, such as education. It was in this way that the project was born to adapt the CAF to the education sector with a group of experts on education quality: the "CAF for education and training" which can be applied to different levels of education, from primary to university. It contributed significantly to the development of the European version of "CAF & Education", recently endorsed at the last meeting of the DGs during the Spanish Presidency.

The journey for excellence is far from over in Belgium, as it wishes to remain at the forefront of CAF users in Europe.

## **5.4 Ten years of CAF in Cyprus <sup>19</sup>**

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<sup>19</sup> Panayiota KROKOU, Public Administration and Personnel Department, Ministry of Finance & Eleni GEREODAKIS, Cyprus Academy of Public Administration, National CAF Correspondents for Cyprus

The decision of the Council of Ministers to introduce CAF, on a voluntary basis, in the Cyprus public sector in 2004 was a milestone in the Government's efforts to improve the effectiveness, efficiency and productivity of public organisations and, as a result, the quality of service provided to the citizens/customers.

The CAF has assisted public organisations in Cyprus to familiarise themselves with the concepts under the field of Total Quality Management and to engage, in general, in the Quality Management philosophy and culture. Moreover, public organisations consider the CAF as a practical tool which promotes self-reflection and self-assessment aiming at realising and accepting that there is room for improvement and, consequently, taking improvement action. Specifically, it has assisted organisations to challenge mindsets, understand what to improve, be committed to change, build the right culture, manage behaviours and, ultimately, to improve their performance. In addition, the fact that the CAF facilitates benchmarking and benchlearning was faced as a challenge by many public organisations which implemented CAF.

Over the past six years of CAF implementation in Cyprus, public organisations using CAF have managed to go beyond their comfort zone and enter their learning zone, since they have had the opportunity, through many different events, to network, exchange knowledge, experiences and best practices using a common language and terminology.

The Cyprus Government encourages and supports the use of the CAF and invests in its further dissemination. To this end, it has been decided to incorporate the CAF in the project titled "Strategic, Leading and Managerial Development of the Cyprus Civil Service", which will be financed by the EU and aims to strengthen leadership and management through the provision of the necessary learning and support to civil service organisations and their staff. It is expected that the implementation of CAF in every public organisation will contribute to the project's success, since the actual areas of improvement of each public organisation will be identified as well as its development needs; the improvement initiatives will thus be focused and targeted on them. The project will result in the development of a complete system of strategic management for the organisations of the civil service.

## **5.5 Ten years of CAF in *Czech Republic*<sup>20</sup>**

The CAF model is seen as a useful guidance for quality management in public administrations and it is very popular also in the Czech Republic. This is mainly due to the following reasons: By using this guidance, a public authority creates an order in its everyday functioning, activities are no longer carried out on a random basis; instead, activities and strategies for the future are well planned several years ahead. Indeed, we can speak of CAF as being an easy, cheap and clear management method in the public administration.

The first records in the history of quality management in the Czech Republic can be traced back to the period 2003-2004; however, the first application of the CAF model already dates

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<sup>20</sup> Karel BLAHA, Ministry of the Interior, Department for Effective Public Administration - Czech Republic CAF National Correspondent

from 2001. At that time, the Ministry of Interior started to develop supportive activities to enable the application of the CAF model and also of other quality management methods. Those methods included organising national conferences of quality management in the public administration and granting the Ministry of Interior Awards for quality and improvement.

### ***The National Quality Management conferences in public administration***

The National Quality Management conferences in public administration take place every year under the patronage of the Ministry of Interior and the Czech Republic committee on Quality in cooperation with a designated region or municipality in the public administration. The goal of these conferences is to bring together experts in quality management to share their experiences of the application of quality management methods in public administration.

An overview of the Quality Conferences in previous years:

1. Ostrava – 2004
2. Plzeň – 2005
3. Liberec – 2007
4. Karlovy Vary – 2008
5. Olomouc – 2009
6. Tábor – 2010

The 7<sup>th</sup> Quality Conference will take place in Chrudim on 8-11 February 2011.

### ***The Ministry of Interior Awards for quality and innovation in the public administration***

The regions and/or municipalities are awarded each year for the improvements achieved in the quality management and for implemented patterns of efficient administration. The primary goal is to support and to award authorities and other bodies in the public administration which are active in their efforts towards constant improvement of its functioning. Winners are awarded regularly within the National Quality Conference in Public Administration. The Ministry of Interior grants two quality awards in accordance with two different levels of complexity and required demands. These are the Bronze and Silver Awards respectively. The Bronze Award recognises the first improvements made in the quality of service provided, and the Silver one is for generally observed positive progress and considerable results achieved in the respective year. The highest possible award for quality in the public administration, the so-called Golden Award, is presented for the achievements of the CAF 2006 Model within the National Quality Award of the Czech Republic. The Golden Award can be attributed only to those subjects that already received the Silver Award from the Ministry of Interior for the quality in the public administration.

### ***The future of the CAF model in the Czech Republic***

Whilst for the Ministry of Interior the CAF method has the highest possible priority, the CAF implementation is a long-term effort. Currently, the Ministry of Interior has been preparing the project of the Quality Support Centre.



### ***The Quality Support Centre in the public administration***

The project should be financed by the EU Operational programme Human Resources and Employment.

#### ***The aim of the project***

- Support to the Ministry of Interior in improvements of the quality of public services provided in public administration authorities
- Source of information
- Direct support of the CAF model implementation
- The project is however not aimed at direct application of quality methods

#### ***3 Pillars of the Project***

- Quality website
- Advisory and teaching capacity
- CAF model

#### ***Conclusion***

The Ministry of Interior will continue providing its support for the CAF model in the future. It participates in the preparation of various handbooks; the most recent one is the 2009 CAF Handbook for the central state administration. The new CAF Handbook for local governments is in its final stage of preparation. Also quite recently, the CAF Handbook for regulators and CAF for Schools have already been published.

## **5.6 Ten years of CAF in *Denmark*<sup>21</sup>**

It is inspiring to work with public agencies that undertake CAF self-assessment. This was the case when the Centre for Development of Human Resources and Quality Management (SCKK) was given the responsibility in 2002 to disseminate CAF in the Danish public sector; and this is still the case today when working together with different public agencies, e.g. a district court or a high school.

Working with the Excellence Model from 1997 had given us the experience that an effective implementation of a quality management model requires more than translation into a national language. CAF had a large potential to inspire more and more public sector workplaces to adopt quality development across the organisation as a whole; but the challenge was to develop products and methods enabling organisations to work with quality management in a dialogue between management and employees. In order to create sustainable value for the organisations, the design and execution of the self-assessment process became the key feature.

To secure the involvement of management and employees in the self-assessment process, the parties of collective agreements in the public sector – the Danish Ministry of Finance and CFU (Danish Central Federation of State Employees) – were invited to work with SCKK and a

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<sup>21</sup> *Lisbet AABYE*, SCKK - Centre for Development of Human Resources and Quality Management - CAF  
National Correspondent Denmark

number of public sector organisations to develop KVIK (The Danish version of CAF). KVIK is an acronym for Quality Tool for Developing Innovation and Competencies.

KVIK provides the users with a structured self-assessment process based on a quality model with concrete examples and user-friendly terminology. It covers an individual self-assessment, a consensus seminar, a prioritisation of suggestions of improvement, and an action plan of the improvement initiatives. This method enables organisations:

- To undertake quality development and self-assessment as a joint project for managers and employees. The “access” of the employees to self-assessment and the work with quality development is an in-built feature of the system. The reason for this is that their knowledge about users and the tasks and ideas on how to improve the “day-to-day practice” are vital inputs towards the self-assessment.
- To have a “meeting” across professional boundaries and practice communities. It inspires thinking and talking about development in new terms (evaluations frequently state that a common language in relation to organisational development is one of the most important outcomes).
- To gain an overview of the overall strengths and areas of improvement of the organisation and create a coherent platform of organisational development.

In addition to the KVIK guidelines the public sector organisations can also use the e-Tool, called KVIKSelv in Danish. The tool guides the participants through the individual self-assessment procedure and enables the project manager to subsequently compile all data for the consensus seminar in an easy way. The tool is available online and is provided free of charge.

During the last ten years SCKK has registered about 250 self-assessment groups, plus the original eleven pilot organisations.

The experiences from the many organisations have shown that self-assessment is a complex process and some kind of training or instruction is relevant to most organisations – either by use of do-it-yourself tools or traditional training.

A new feature of CAF 2006 in Denmark was to produce a detailed and practical guide to all the details of the self-assessment process aimed at project managers. Again this was a product of co-creation with the users. The many users of KVIK have provided SCKK with a lot of good examples. We have used the information to give advice on matters concerning the design of the process and to answer frequently asked questions. The self-assessment guide makes project managers of a self-assessment process aware of the many tasks involved in the process as well as the potential pitfalls.

SCKK has also worked with traditional training. Today the public agencies have access to five courses in the Danish Public Educational system with a focus on quality development. It is possible to choose between four different courses for employees and one for leaders. This year we will launch a new possibility for KVIK/CAF training. Development consultants or leaders from the public sector can now participate in a special programme. If the participants have completed all five modules they have the possibility to be a CAF external feedback actor in Denmark.

CAF in Denmark is not just a fairytale. SCKK has also been met with criticism from some of the workplaces. It is a challenge to position KVIK in relation to the political demands

concerning governance. Some organisations think that the language used in the questions and examples is too academic and not relevant enough in relation to their tasks.

On the basis of this criticism SCKK chose to develop an active partnership with some of the institutions. The result of this has been a redesign of the e-tool KVIKselv. The new version enables public sector workplaces to have access to an internet tool where they can adapt the wording to their own administrative environment and upload relevant documentation. The users can choose between three versions:

- The traditional KVIK/CAF based on the CAF 2006;
- a version specifically for the education sector (except for the university level); and
- a version specifically for Courts of Denmark.

The lesson learned from the Danish point of view is that KVIK self-assessment is a tool to develop sensitivity to quality issues but at the same time promote cultural development in the organisation. It contains the dimensions that a leader should intuitively be focusing on and therefore the management commitment is absolutely necessary in order to involve the entire organisation. You cannot control the interest and the willingness of organisations to perform self-assessment; but making the users tell the story of why it is a good idea can stimulate leaders to use the method as a change management tool.

## 5.7 Ten years of CAF in *Estonia*<sup>22</sup>

The CAF model has been used in the Estonian public administration since the beginning of the 2000s. The government of the Republic of Estonia agreed in 2001 on the document “Public Administration Reform Programme of the Government of Republic of Estonia”. This document stated the goals and measures for modernisation of the Estonian public sector in order to achieve the innovative, flexible, high-quality and effective functioning of the public sector. One strategy of this programme was targeted towards the citizen-oriented public sector, which brought the ideas of quality management into the Estonian public sector. These ideas also included the use of quality prices and public services standards (citizen charters).

The Ministry of Finance of Estonia was given the task to develop the methodology for implementation of public service standards as well as more broadly promoting quality thinking in the public sector.

In 2002 the Ministry of Finance was the first state agency in Estonia to use the CAF model for self-assessment. The self-assessment project was carried out successfully and was also supported by the top-management of the ministry. The Ministry of Environmental Affairs followed by using the CAF model for its self-assessment.

Since 2001 the Ministry of Finance has had a leading role as a central body for promoting the use of the CAF model in the Estonian public sector. The Ministry of Finance has translated

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<sup>22</sup> Karin NÄREP, Ministry of Finance, Public Governance Policy Department (CAF National Correspondent) and Reelika VÄLJARU, Development Department, Ministry of Finance of Estonia

the CAF versions into Estonian, and has also conducted several trainings and consultations, both for state and local government agencies.

In 2003 as part of promoting quality thinking among public sector managers, the Ministry of Finance, in cooperation with quality management experts, launched the public sector quality award pilot project, based on the CAF model.

The aims of the pilot project were the following:

1) Stimulate organisational diagnosis by self-assessment using the CAF model with the aim to:

- raise awareness about quality management;
- conduct evaluation of the strengths and weaknesses of the organisation;
- compare with other organisations.

2) Public recognition for state agencies and their staff.

There was a high interest from public sector agencies towards this pilot project and altogether 10 agencies (including one ministry, State Chancellery, boards and inspectorates, one institution of applied higher education, one county government) took part in it.

The reasons for using the CAF model as a methodology for self-assessment and external feedback was as follows:

- i. introductory tool designed especially for the public sector;
- ii. involvement of the staff;
- iii. enables comparison with other organisations;
- iv. first experiences of use already in place;
- v. low level of awareness about quality management in the public sector.

As the CAF model was developed for the purpose of self-assessment, the experts involved had a task to elaborate a special methodology to also use the CAF model for external feedback.

It is also important to mention that there were 50 external evaluators/assessors from the public, private and third sectors involved in the pilot project. The aim was to use the assessors as change agents to also promote the CAF model in their own institutions.

The feedback from the project by the participants (both from agencies and assessors) was very positive:

- first experience with self-assessment for most of the participants;
- external feedback to the agency;
- overview of its own organisation for the implementation of the strategic planning;
- promotion of the participative management;
- comparison of its own organisation with others using same criteria.

Estonia has in recent years had very good opportunities to present its experiences at the international level. In 2002 these experiences were introduced (as part of EIPA training) in Slovenia; an Estonian delegation presented its experiences during CAF events in 2003 (quality award project) and in 2007 (self-assessment in Ministry of Economics Affairs and Communication). Hosting the CAF network meeting in Tallinn in 2005 was also a very interesting learning experience. There have been several conferences and seminars in Estonia where the Ministry of Finance has used the occasion to spread the knowledge of the CAF model throughout the public sector.

During the years 2004-2009 the interest towards using the CAF model has been quite stable among state agencies. Since 2007 there has been growing interest in using the CAF model, also in local governments – two local governments have used CAF. Altogether there are 18 public sector institutions using the CAF model, some of which have already done so more than once.

The most successful CAF users during these years have been the Ministry of Finance and Ministry of Economic Affairs and Communications of Estonia, as these two ministries have integrated the model as part of their management processes (incl. the implementation of the improvement plan with clear responsibilities of top-management level etc.).

In conclusion, Estonia has benefited greatly from using the CAF model as this has helped the public sector to move closer to the European standards of good public administration. Estonia is very interested in new developments of the CAF model concerning external feedback, and sees it as a challenge to implement this scheme also in Estonia. The Ministry of Finance continues to have the role of the leading institution in promoting quality thinking among the Estonian public sector, in which the CAF model has a very important role.

## 5.8 Ten years of CAF in *Finland*<sup>23</sup>

The newborn CAF was first introduced to the general public at the 1<sup>st</sup> Quality Conference for Public Administrations in the EU held in Lisbon in spring 2000. Those of us, who had been involved in the preparation process of the model during the preceding Finnish and Austrian Presidencies, were perhaps then not yet able to imagine how popular and successful the young CAF would become. Ten years later we have 2000 registered users and many more who have not yet registered. A lot has happened in between and all of us have many stories to tell.

Crucial actors in the Finnish CAF story are the organisations, which – during the very first steps of the journey – took the CAF and implemented it in their organisations. Or perhaps it needs to be said that the crucial factor were the people in these organisations who were enthusiastic enough to test this new tool. The experiences of these people have been extremely valuable for disseminating the use of CAF and for improving the model itself. They have been willing not only to invest in improving their own organisations, but also assist others in doing so. They have also been willing to share their views and ideas as far as the content of the model itself is concerned. Step by step, the number of these people has grown. Recently it seems that we have reached the stage where CAF is basically spreading itself. The decisions to implement CAF are made based on the knowledge shared between the different public organisations and not as a result of promotion activities of the Ministry of Finance, which is the Finnish home base for CAF. And this is how it should be. The best expertise today is from the people who use CAF in their own workplaces.

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<sup>23</sup> Johanna NURMI, Ministry of Finance, Public Management Department - CAF National Correspondent Finland

Networking is not only important at the national level. It has been very important for us in Finland to be able to extend the knowledge sharing and capacity building to a European level. This is very visible in the number of Finns who have participated in the European Quality Conferences. Since the first Lisbon conference, we have had over 100 participants from Finland in each of the conferences. We have also always had small delegations attending the CAF Users' Events. National and regional networks have been progressively formed based on these delegations.

The use of CAF is not mandatory in the Finnish public sector, but it is recommended alongside other suitable quality tools. However, CAF is definitely doing well at the moment in Finland. Based on the survey carried out in summer 2009, half of the state organisations are either already using CAF or intend to use it in the future. Within the municipal sector this number is slightly lower. EFQM or other quality tools are often used by those who are not using CAF, but there are also examples that e.g. CAF and EFQM are used side by side in one organisation. Although CAF is not mandatory on a general level, there are some sector-based decisions to use CAF. For example the Ministry of the Interior has decided that CAF assessments have to be carried out throughout its whole administrative field, including e.g. the police. In the fields of the Ministry of Employment and the Economy, all of the 15 regional Centres for Economic Development, Transport and the Environment will be carrying out CAF assessments. The six Regional State Administrative Agencies under the Ministry of Finance will also carry out CAF assessments. In the municipal sector one recent example is in the city of Vantaa which is implementing CAF throughout all the service sectors. In addition to that, cities such as Turku and Tampere also have widespread use of the CAF model. Turku was among the pioneers of implementing CAF and as a result of their constant work on quality, a case from Turku has been selected as one of the Finnish best practices in all but one of the European Quality Conferences. Since the selection process of the best practice cases for the 2QC held in Copenhagen 2002 (and where the 2<sup>nd</sup> version of CAF was published), we have used CAF as an assessment criteria for the Finnish cases. This has been one way to promote the tool.

There was great interest towards CAF in the beginning of the century in Finland. After that it cooled down a bit and now during the past two years there is clearly a second big wave of CAF. This one seems to be the biggest so far. Economically the years 2008-2010 have been very different from the first years of this decade, where CAF was implemented in a very good financial environment where high quality services were the buzzword. Today the quality of public services is again a very important topic but the origins of this discussion are different. There is an urgent need to secure the quality of public services by improving our processes and by concentrating on what is essential. As so many organisations and administrative fields are turning to CAF in this situation, perhaps we can assume that CAF has now grown into a mature tool for public service development? Well done CAF!

## 5.9 Ten years of CAF in France<sup>24</sup>

### *A series of experiences that must unite*

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<sup>24</sup> Céline PELLETIER, Ministère du Budget, des Comptes publics, de la Fonction publique et de la Réforme de l'Etat  
Direction générale de la Modernisation de l'Etat (DGME), CAF National Correspondent France.

In 2003, the Minister of Civil Service, State Reform and Regional Planning, Jean-Paul Delevoye, and the Secretary of State for State Reform, Henri Plagnol, sent the CAF repository to all State services, asking them to “engage with courage and determination in the CAF process to help them better understand themselves and thus to improve”.

Nearly 10 years later, where are we?

### ***The need for an effective public service: a unanimously shared diagnosis***

The Directorate General for State Modernisation and of the Ministry for Budget, Public Accounts and State Reform (DGME) manages the tasks that take place at the crossroads of the design and implementation strategies of modernisation. It is the power that provides Ministries with proposals, innovation and advice on change management, and it aims to provide them with relevant expertise in terms of modernisation.

This structure dedicated to the State modernisation is currently focusing its efforts on the new context of state modernisation, constituted by a general revision of public policies (RGPP). The challenge is to transform the State towards controlling and rationalising public spending whilst improving the quality of services for users.

Today, "Lean" is the methodology distributed by DGME, as it characterises the issue of rationalising public expenditure by avoiding wastage and limiting any actions that do not create added value (waiting time, mail processing, case tracking...).

### ***Creating a community of practice...***

Meanwhile, the challenge is also to move towards a government service that is simpler and closer to users, a challenge that leads the administration to organise itself in order to satisfy its users.

The DGME also aims to devise the future administration at the service of users, by organising an audience for them, identifying improvement levers and structuring proposals for a better service at a lower cost.

It is for this reason that the promotion of the CAF – at one time suspended, but since recently resumed – has created a community of practice bringing together practitioners who are already advanced in the CAF approach.

### ***... to unite practices that have been achieved but are still too isolated***

The Pays de la Loire Job Centre<sup>25</sup> is committed to a quality process – not as an end result, but as a way to unite intentions and skills around a customer-focused organisation. The CAF

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<sup>25</sup> The Job Centre is a new organisation for employment service in France. Its missions are to assist all job seekers in their search for employment, to ensure the payment of benefits to claimants receiving compensation, to help companies with recruitment and to collect their contributions.

is, for them, undoubtedly the quality process that meets the performance requirements expected of an organisation providing a public service remit.

There are potentially 22 regions that may be interested in the approach taken by the Pays de la Loire region, with possible variations within the territorial divisions.

The county fire service and emergency department of Deux Sevres<sup>26</sup> has also focused its entire quality process on CAF (EFQM) and has had very positive results, both in terms of improving the quality of service and the satisfaction of stakeholders (mayors, elected officials, citizens, taxpayers ...).

There are potentially 100 county fire and rescue services that will deploy the CAF...

The aim of this community of practice is to unite our energies, to create a network and to promote the dissemination of best practices.

This specifically involves the participation of CAF users in future European meetings.

## 5.10 Ten years of CAF in Germany<sup>27</sup>

In late 2000 the Federal Ministry of the Interior created a German CAF Central Agency to promote and coordinate the implementation of the CAF model at national level. Up until 2005 the CAF Central Agency was located in the premises of the German University of Administrative Sciences in Speyer, which already had many years of experience in holding a quality contest in public administration among German-speaking countries.

In 2002 more than 60 public sector institutions carried out an initial CAF self-assessment as part of the 6th Speyer Quality Contest. The contest's principle objective was to promote innovative developments in public administration in the context of a holistic modernisation. That included both the internal modernisation of each public administration's organisational structure to make it more performance-, quality- and customer-oriented, as well as broadening its perspective towards a more "activating state" and good governance.

At the CAF Users Conference on 21 February 2002 various administrations presented first experiences gained in implementing the CAF and some also gave reports at the 2nd European Quality Conference held in Copenhagen from 2-4 October 2002.

In the early years it became apparent that particular difficulty was being experienced when it came to drawing on the outcomes of the CAF self-assessment to derive improvement actions, to record these in an action plan and then rigorously implement that plan. This situation improved through a more intensive management advisory process and by providing hints as to how project management could be optimised. Following the first CAF

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<sup>26</sup> The county fire and rescue services are public institutions managing fire fighters at the county level. There are potentially 100 rescue services that will deploy the CAF.

<sup>27</sup> Astrid STEIN, Bundesverwaltungsamt, Federal Office of Public Administration - CAF National Correspondent Germany



self-assessment, improvements are most frequently seen in regard to process management, results orientation, involving customers and employee orientation. Once the action plans have been adopted they are generally also implemented. Nevertheless, it has proven advantageous to have a coordinating office to supervise the implementation process and, where required, to offer support or give new impetus.

In August 2006 the German CAF Central Agency relocated to the Federal Office of Administration (BVA).

In 2006 the German government launched a programme "Focused on the Future: Innovations for Administration", which provided the key strategic orientation for the CAF Central Agency. Promotion of the CAF is based on the notion that "it is no longer possible to imagine professional, performance- and result-oriented management without ... comprehensive quality management" (Government programme "Focused on the Future: Innovations for Administration", 11/2006, p. 15). The implementation plans for 2007 and beyond regarding this government programme contain concrete goals, including:

1. Expanding quality management in the federal administration,
2. Increasing the efficiency and effectiveness of administrative action,
3. Involving employees in a continuous improvement process (CIP).

In order to be able to support the authorities in developing their own quality management, the CAF Central Agency works to raise awareness of the CAF, communicates the benefits of self-assessment and quality management, and facilitates the use of the CAF by providing practical information and assistance. The CAF Central Agency supports select authorities during the self-assessment process. The content and methodology of the CAF model are presented at information and training events, in essays in relevant trade journals, at forums, and in presentations at trade fairs and conferences. This PR work is accompanied by the European CAF video, which is available with German subtitles. A CAF learning programme was developed in the context of a project called "New media in Education - Public Policy" funded by the Federal Ministry of Education and Research (BMBF). The programme teaches the basic content and methodology of the CAF.

The CAF Network ([www.caf-netzwerk.de](http://www.caf-netzwerk.de)) is an important hub of information and documents. More than 500 people from some 400 public sector organisations that are interested in the CAF and quality management or who have already carried out a CAF self-assessment are now registered in a closed Members Area. The CAF Network contains basic information on quality management and the CAF, reports of results and project descriptions from those authorities using the CAF, as well as serving as a first point of contact for email enquiries.

The CAF Central Agency draws up its annual work plans in cooperation with an advisory board comprising leading authorities using the CAF. In 2009 the experience and knowledge available in the advisory board was pooled and detailed, and practical guidelines on organising a CAF self-assessment process were drawn up. These now provide important practical tips to all those who are new to the subject.

The Federal Ministry of the Interior is in the process of expanding its strategic partnerships to include local government administrations. The Office for Streamlined Local Government

(KGSt), which is funded by cities, municipalities and district councils, is a development centre for local government management. In its 2/2009 report the KGSt explicitly recommended that local government authorities use the CAF and set itself the goal of supporting local government authorities in their process of modernisation on the basis of the CAF. It runs training courses, provides advisory services and is involved in the CAF Central Agency's work at conceptual level.

Providing information to and advising management is one of the CAF Central Agency's most important services since this sets the course for a target-oriented CAF process. In April 2010 the Federal Ministry of the Interior organised a Quality Conference for the heads of the federal, federal Länder and local government administrations. The importance, advantages and added value of quality management was illustrated in various specialist forums. The CAF Central Agency has other, more detailed information on various models that incorporate quality management. Information on the differences between and commonalities of the big cross-sector quality management models based on ISO 9000 et seqq. and EFQM/CAF is provided at information and advisory events. One of the focuses here is on basic approaches to developing and introducing a quality management system based on the chosen model. Ideally, the advice results in the authority deciding to develop and introduce quality management based on the CAF self-assessment. During the project phase the CAF Central Agency provides support in developing the project contract and the project structure plan. Within the framework of its limited resources it can, in individual cases, organise a two-day preparatory training course for the assessment group and subsequently moderate the individual assessment process, the consensus talks and the workshop in which the action plan is drawn up.

In addition, in autumn 2009 the Federal Ministry of the Interior established the Quality Circle Federal Administration that will focus the technical know-how and experience available across all the ministries with regard to the implementation of quality management. By regularly sharing knowledge and experiences the Quality Circle will be able to provide ideas for establishing and expanding quality management competencies within the federal administration and will develop recommendations and guidelines related to the implementation of quality management. In 2010 this work will focus on developing a joint understanding of quality management and its importance for modernisation, compiling practical quality management guidelines containing examples (incl. a case study on implementing the CAF in the Federal Central Tax Office) and developing a quality management training framework.

An analysis of the CAF Network in summer 2010 revealed that quality management has by no means become routine once the first CAF self-assessment has been completed. Many organisations have not yet followed up their first CAF process with a second assessment. Improvements are to be made in this area in 2011 by providing tips on firmly embedding quality management within the organisations and implementing the CAF External Feedback Procedure at national level.

## 5.11 Ten years of CAF in Greece <sup>28</sup>

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<sup>28</sup> Nikos MICHALOPOULOS & Pantelis TAGALAKIS, Ministry of the Interior, Public Administration and Decentralisation - CAF National Correspondents Greece

Greece was one of the first EU Member States to support and promote the use of CAF. Through its representative in the Innovative Public Services Group, Dr Nikos Michalopoulos, it has contributed from the early stages to the development of the CAF model.

In the case of Greece, the past 10 years can be described as a “groundbreaking” period as far as the CAF is concerned. Introducing the CAF in the Greek public administration was not an easy task as Greek public organisations have not been accustomed to using total quality management. An effort to establish a new result-oriented administrative culture has begun over these years, putting an emphasis on performance evaluation and total quality management. Of course, this effort has not yet reached its end. Changing a culture is not easy; much more work remains to be done.

The ultimate sponsor of the CAF activities in Greece is the Ministry of Interior, Decentralization and E-Government. The administrative unit responsible for promoting CAF is the Directorate of Quality and Efficiency of the General Secretariat of Public Administration and E-Government of the Ministry.

In order to facilitate the dissemination and the use of CAF in a concrete and consistent manner, the Directorate of Quality and Efficiency has over the last ten years undertaken four major actions aiming at:

- **Informing public organisations.** In order to facilitate the dissemination of CAF and facilitate its application by Greek central, regional and local government organisations, the Directorate translated and published the revised version of CAF (2006) in Greek and compiled a Guide on CAF which provides guidelines on how to implement CAF. Moreover, the Directorate has issued two circulars: the first providing general information on CAF, and the second providing guidelines on team building as well as the role of the team leader of the self-assessment team. The two documents were sent to public organisations in central, regional and local government.
- **Training staff of public organisations.** In order to train potential or current CAF users as well as disseminate CAF among public servants and public organisations, the Ministry of Interior is co-organising training programmes with the National Centre of Public Administration. These programmes train employees working in central, regional and local government organisations. Moreover, targeted seminars on CAF for specific public organisations like Ministries, Local Government Agencies etc. are also organised.
- **Providing support to CAF users.** Maintain regular contact and providing technical support to public organisations wishing to apply the CAF.
- **Identifying and rewarding best practices.** The CAF was linked to the National Quality Award. The “National Quality Award for Greek Public Organisations” aims at identifying and awarding top performing public organisations on effectiveness, efficiency and quality based on an evaluation using the CAF. The award was held twice in 2007 and in 2009.

So far, 72 public organisations from the central, regional and local government levels have used the CAF to evaluate and improve their performance. The effort to increase the number of Greek public organisations will continue with an emphasis being placed on specific policy areas i.e. education. The Directorate of Quality and Efficiency is also planning to translate the “CAF in Education” into Greek in cooperation with the Ministry of Education, Life-Long Learning and Religious Affairs to promote its use among Greek educational institutions. Moreover, the Directorate of Quality and Efficiency has developed an electronic version of CAF which will be operational in the near future.

## 5.12 Ten years of CAF in Hungary <sup>29</sup>

In accordance with the first European developments, CAF was introduced in Hungary as a pilot project in 2001. Having presented the second European version of CAF, the Hungarian Ministry of the Interior prepared the official Hungarian version of CAF in 2003.

CAF has become one of the significant tools of the development of Hungarian public administration and has enhanced efficiency of public sector organisations.

In the first years of CAF the main goal was to disseminate the model. In order to reach this objective, several activities were carried out:

- publishing the Hungarian version;
- elaborating guidelines;
- organising conferences;
- conducting an open competition where about 50 applicants were supported to introduce CAF;
- information using newsletter;
- central further trainings;
- regional CAF bench-learning project; and
- introducing a central CAF online system.

The central CAF online system has been operating since 2004, and was presented at the third European Quality Conference in Rotterdam (in 2004). The online system is available free of charge for public administration organisations. It enables the paperless CAF applications to be customised and flexibly completed.

The structure of the Hungarian Public Administration Quality Award (established in 2004) follows the CAF criteria. Applicants present their organisations according to CAF criteria and the assessment is also based on this structure.

The European CAF good practices manual in the middle of this decade was also published online in Hungarian language for public administration organisations. Furthermore, a Hungarian CAF good practices handbook was also published online.

In Hungary, several sectors have applied the CAF model:

- labour sector;

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<sup>29</sup> Viktor HORVÁTH, Department for the Development of Public Administration and Strategic Planning - CAF National Correspondent Hungary

- pension sector;
- territorial administrative organs;
- local governments;
- police (border guards);
- customs offices;
- health care administrative organisations.

Currently, the Ministry of Public Administration and Justice is responsible for the central coordination of CAF. The Ministry fosters public administration organisations by disseminating CAF developments, guidelines, consultations and online services.

Following a survey sent out representatively in 2009, the opinions on CAF by the administrative organs applying CAF were compiled. The organisations' point of view on CAF was basically and decisively positive.

According to their standpoint, the model is a good tool to scan the operation of the organisation, identify strong and weak points in the operation, and involve colleagues.

CAF also provides managers with an overall picture of employees' opinion of the operation and activity of management. A CAF survey delivers hardly available information and is thus useful for the managers. It is easy to use, relatively simple and cost-effective.

In some cases, the emerging problem was in applying the sub-criteria, which caused difficulties and overburdening of colleagues. Gathering appropriate information on each sub-criteria and creating indicators requires much time; however, the systematically gathered information fosters both the self-assessment and the efficiency of the organisation.

According to the majority, CAF is a complex survey that can be an efficient and effective method of developing the organisation, if the preparation is suitable. An application gives better insight to operative fields of the office, explores more correlations in the organ and strengthens links among colleagues.

### 5.13 Ten years of CAF in *Italy*<sup>30</sup>

The long CAF journey – since the contribution to the initial definition of the model through its updated versions in 2002 and 2006 – and the subsequent diffusion process have been an important opportunity for Italy to design and implement a policy aimed at promoting the culture of quality and continuous improvement among public administrations. Since the launch of the first CAF version in 2000, the Italian CAF user community has grown considerably. Italy is now the MS with the highest number of CAF registered applications. Over these years, the Italian Public Administrations Department (PAD), in cooperation with Formez, has been in charge of the promotion of the model and has implemented a number of initiatives to support the use of CAF, both at central and local level as well as in different sectors. All the activities are planned and developed under the supervision of the CAF national correspondent, with a strong connection and synergy with the European CAF RC (at EIPA) and the CAF network.

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<sup>30</sup> Sabina BELLOTTI, Department for Public Administration - CAF National Correspondent Italy

### ***2000/2004: the pilot phase***

We started with a pilot project to verify, with the contribution of the involved administrations, the feasibility of the use of CAF, and to obtain input for the planning of the following promotion and supporting activities. The pilot involved 21 administrations with previous experience of quality tools at different levels: these were the first Italian administrations registered in the EIPA database. This was the beginning of an ongoing diffusion process taking place at national level. The main sponsors of the diffusion have been the CAF users themselves. Many seminars were organised to present their CAF applications to public managers taking advantage of the strong interest and enthusiasm arising from the use of the model. In 2003 about 150 representatives of public administrations from all over Europe took part in the first “European CAF Event”, planned and organised by the Italian Presidency of the EU in Rome. For Italy this was also the occasion to conduct, in cooperation with EIPA, the first European survey on the use of CAF. Since then, both activities have become periodic appointments for the European network of the CAF national representatives and for the users.

### ***2005/2006: a strategy for the promotion of the CAF model***

In this period a national strategy for CAF diffusion was defined and implemented in order to disseminate the knowledge about the model, support the administrations in its use and promote the relevant best practices. Seminars for the presentation of CAF and learning labs for a structured application process supported by CAF experts were organised involving different kinds of public organisations. With the aim to start promoting the use of the model in a structured way, through these actions the know-how, the practical tools and many case descriptions were built. Moreover, a significant impact was reached by two further actions: the setting up of a new “National Quality Award” based on CAF and a formal recognition given by the political level to the importance of the performance self-assessment.

With the first edition of the Quality Award, launched in May 2006, we started awarding administrations engaged in continuous improvement processes aimed at improving responsiveness towards citizens and the quality of performances and services. This biennial award is based on a three-step process of external evaluation, carried out by experienced assessors, with reference to the CAF model criteria and TQM principles. For the setting up of the award, a training programme for CAF assessors was defined then addressed to public managers and officials, with the aim of also spreading CAF knowledge among public administrations and creating the conditions for peer reviewing.

With the Directive for quality in public administrations, issued in December 2006, all public administrations are invited to introduce self-assessment practices as a means of implementing continuous improvement actions aimed at increasing the overall quality of performances and services delivered to citizens and enterprises. The Directive suggests the use of TQM and excellence models in general, but a special focus is given for the first time to the CAF model recommended for “beginners”.

### ***2007-2008: the National Action Plan for quality***

In autumn 2007 in the framework of the first national action plan for quality in public administrations, many initiatives were launched to further increase the number of CAF users – which at that time was already more than 200. The strategy was based on the direct involvement of public and private stakeholders, the partnership with Ministers and regions, and the contribution of many experienced organisations. Special attention was paid to the justice and education sectors because of the large number of organisations involved across the whole country. In addition, the delivery of supporting services for the general CAF

community through an internet portal dedicated to all initiatives to promote quality of performances was started and progressively enhanced. In this context, the National CAF Resource Centre – managed by Formez on behalf of the PAD – was created and shortly became the reference point both for all the administrations interested in CAF, as well as the CAF users.

### ***2009/2010: the CAF and the new PA Reform***

The policy being implemented has been endorsed and reinforced by the new Government who launched, at the end of 2008, a new national plan to reform the public administrations. Special focus is given to quality and standards of the services, customer satisfaction measurement, efficiency and benchmarking of the performances. The excellence models, and among them the CAF, are also recommended. In 2009 the Legislative Decree 150/2009 introduced a special focus on measurement, evaluation and improvement of the performance. To that purpose all public administrations have to guarantee a correct management of the so-called “performance cycle”. The strategic approach for a performance-based evaluation system capitalises on the users’/citizens’ demand for quality of service delivery and all public administrations have to set up effective CSM systems. In this perspective, CAF again plays a role as the European customer-focused model for the performance SA, well known and well spread among Italian public administrations and generally recognised as useful for helping public organisations to define improvement areas. During this period the implemented national CAF Action Plans aimed at: increasing the number of administrations using the CAF model in the less developed areas of the country; supporting the quality of the CAF self-assessment and its impact on the organisation with technical assistance; awarding and promoting the best practices.

### ***Main activities carried out in the period 2007/2010:***

***Regional seminars*** – Organised in partnership with the regions to promote the culture of quality and continuous improvement and the use of the CAF model. These seminars, held in all regions, involved a significant number of participants (till now more than 1000), belonging to both central and local public administrations. The following matters are addressed: the basic TQM principles, the PDCA cycle, the self-assessment methodologies; the CAF model and how to use it for self-assessment and improvement planning; getting ready for benchmarking initiatives and external evaluation.

***CAF Assessor Training Programme*** – Three editions of the training programme addressed to public employees have been organised to increase the number of CAF assessors to be involved in different national programmes aimed at promoting quality in public administrations. Moreover, a national survey on specific training needs concerning CAF users and CAF assessors and the public offers of training courses was conducted to define a minimum common standard to be delivered. More than 100 CAF assessors have now been trained.

***National award based on CAF*** – Second edition of the award. Since 2006 more than 700 public administrations have been involved in the award which is currently in the ongoing phase of its third edition.

***CAF sector adaptations*** – In partnership with the two responsible Ministries, customisation of the model for the education and the justice sectors has taken place. It involved the adaptation of the examples of the CAF model to the futures of each sector, together with the linguistic adaptation of all parts and the insertion of in-depth boxes. Referring to the CAF

for justice, a pilot implementation was also conducted to test the quality of the personalisation of the model and a frame of supporting actions aimed at facilitating the use of the model by justice organisations. Concerning the CAF for education, the results of this national adaptation were transferred in 2009 at European level through the cooperation with the Member States involved – including Italy – in the finalisation of the European CAF for Education. A project for the adaptation of the model for universities is currently underway, in partnership with all the institutional bodies involved and a significant number of universities.

**CAF validation** – A national pilot has been conducted to fine tune the Procedure for External Feedback, jointly defined by Italian experts with the CAF network partners involved at European level. To guarantee the participation of the Italian public administrations in the procedure, a first pool of EFACs has already been trained and the feasibility of the procedure has been checked through a first assisted implementation in six organisations. In autumn 2010 the general call for applications will be open.

Over the past 10 years more than 1500 Italian administrations have taken part in the promotional initiatives of the CAF model, as well as the implementation actions; today more than 350 Italian administrations have already used the model and many others are interested in it. With regard to the whole period it can be said that a supporting policy together with the political commitment have been key factors that are still relevant. The CAF model is generally seen by the Italian public administrations as a powerful tool that can be easily integrated with other quality approaches and with a high potential for benchlearning at both national and European level. As a final remark, the good reputation of the model is shared also by relevant stakeholders at national level (citizens and enterprises representatives) which is also an important key factor.

## 5.14 Ten years of CAF in *Lithuania*<sup>31</sup>

### **1. Participation in EUPAN working groups and European cooperation**

Lithuania became a member of EUPAN in 2004. Most European quality initiatives and innovations such as the CAF model, CAF External Feedback, Customer satisfaction measurement etc. have been presented and promoted in the Lithuanian public sector. Two European events on customer satisfaction management and CAF were organised in Vilnius in 2010 together with the European Institute of Public Administration. It has supported the quality dynamic started in Lithuania by means of different ministerial programmes and has also stimulated many Lithuanian public sector organisations on their journey towards quality management.

### **2. Legal basis**

Lithuanian laws do not validate the compulsory implementation of quality management models in the public sector. Public administration institutions and agencies have the freedom to choose one or another model to apply, except for the strategic planning, which is obligatory for the public administration institutions. The Ministry of the Interior is responsible for the formation and implementation of quality management policy in the public administration sector as well as for the promotion of the CAF model. The Strategy for the Public Administration Development until 2010 is the main strategic document for public

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administration modernisation and development, implemented by the action plans for the years 2005-2006 and 2007-2010. Major attention is given to the following fields: Better Regulation; Human Resource Management; Innovative Public Services; Electronic Government. One of the goals of the development of the public administration sector is to improve the quality of public services. For this purpose the CAF model is recommended by the Ministry of the Interior to be implemented. Different activities that are aimed to promote the CAF model are included in the action plan of the Strategy for the Public Administration Development. At this moment the new strategy till 2015 is in the preparation stage and the CAF promotion activities are being continued.

### ***3. CAF national conferences***

CAF national conferences are organised by the Ministry of the Interior every second year and are aimed to promote the CAF model and other quality management models, quality innovations, to discuss practical aspects of the implementation of the CAF model and also to share the European experience. The 1<sup>st</sup> CAF national conference was organised and the concept/philosophy of the CAF model was presented for the first time to Lithuanian public sector in 2005. This moment was the beginning and the starting point for the CAF model in Lithuania. Over the past five years, four CAF national conferences have already been organised and the total number of participants has reached around 700 civil servants from public organisations. The interest in more in-depth knowledge of the use of CAF is increasing.

### ***4. Publications on CAF***

CAF 2002 version and CAF 2006 version were published in Lithuanian language.

### ***5. Training***

The Lithuanian Institute of Public Administration provides theoretical and practical training and consultation about the CAF model and implementation of this quality management instrument in public organisations.

### ***6. Website***

The special website "Quality initiatives of the public administration sector" ([www.vakokybe.lt](http://www.vakokybe.lt)) has been created for the dissemination of information about the CAF model (CAF national conferences, CAF publications, CAF users registered in Lithuania, CAF movie, CAF External Feedback) and other quality initiatives that are promoted or organised by the Ministry of the Interior. All information placed on the website is in Lithuanian, which ensures broader dissemination.

### ***7. EU financial support***

During the period of European Union structural assistance the projects for the implementation and certification of quality management models have been financed according to the Operational Programme for the Development of Human Resources for 2007-2013 and its implementation measure "Quality initiatives of public services" (€20 million). The Ministry of the Interior approved 60 projects of state and municipal institutions / agencies that are going to implement different quality management instruments (CAF model, ISO, Balanced Scorecard etc.) or other quality initiatives aimed to raise the quality of public services. The majority of quality management tools would be implemented in the public administration institutions/agencies in the period of 2010-2012. This is related to the use of EU structural support for the implementation of quality management instruments.

Although the variety of quality management tools to be implemented is very wide, the majority of tools to be implemented are: one-stop-shop principle, ISO 9001 and CAF.

### **8. Monitoring of the implementation of quality management models**

The Ministry of the Interior has been monitoring the implementation of quality management methods in public administration institutions since 2007. The main goal of the monitoring is to clear up the situation of existing quality management models and methods in Lithuanian public administration institutions: under implementation, implemented and planned implementation of quality management models, difficulties of implementation and reasons that limit these models from being installed and certified. Data of questioning shows that the interest of public administration institutions in different quality management models (CAF as well) has been growing. Next year the methodology of the monitoring will be developed and the indicators of the effect of performance in CAF users' organisations will be measured.

### **9. CAF External Feedback**

The publication on CAF External Feedback has been just published in Lithuanian. The concept and principles, stages of CAF External Feedback were presented by EIPA experts from the CAF Resource Centre during the 4<sup>th</sup> CAF National conference in Vilnius this year. The Ministry of the Interior together with EIPA experts from the CAF Resource Centre will provide training for CAF External Feedback actors next year.

### **10. Statistics on CAF users and prognosis for the period 2010-2015**

At this moment, ten CAF users have been registered in Lithuania. For the period of 2010-2015 a total of 286 quality management instruments ("one-stop-shop", ISO 9001, CAF, other ISO standards) will be applied in 98 state institutions, and 47 quality management instruments ("one stop shop", LEAN and CAF) will be applied in 41 municipal administrations. Thirty State and six municipal institutions are planning to implement CAF till 2015.

## **5.15 Ten years of CAF in Luxembourg <sup>32</sup>**

In 2004, the newly elected governing parties adopted a coalition agreement where modernisation of public administrations was structured into three different domains:

- the information society and electronic governance domain; under the responsibility of the Prime Ministry,
- administrative simplification for businesses; for which the Ministry for Small and Medium Enterprises was responsible,
- administrative reform, including the reform of principles of public governance; supervised by the Ministry for Civil Service and Administrative Reform.

One year later, in June 2005, one highlight of Luxembourg's EU Presidency was the CAF model presentation at the Second European CAF event.

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<sup>32</sup> Guy WAGENER, Ministère de la Fonction Publique et de la Réforme Administrative - CAF National Correspondent Luxembourg

Shortly after, the Ministry for Civil Service and Administrative Reform (MCSAR) was mandated to design a support programme for administrations that were willing to implement CAF in their organisation. To do so, the MCSAR concluded a cooperation contract with the Public Research Centre Henri Tudor.

In 2006, the first administrations started their self-assessments according to the newly developed support programme. As well as being based on a common model, namely the CAF, the Programme also refers to the dynamics of exchange and is based on a culture of continuous improvement. The last two aspects are particularly emphasised by the adoption of a so-called “cluster” approach: four to six administrations are grouped in an improvement cluster and pass at the same time through the following four stages:

- stage 1: self-assessment,
- stage 2: definition of an action plan,
- stage 3: implementation of improvement actions,
- stage 4: measurement, capitalisation and transfer.

During the whole cycle, project leaders and directors have the possibility to interchange and exchange best practices. The concept of “quality breakfasts”, joining project leaders from different “CAF administrations”, is an example of such an exchange forum. Administrations welcomed this kind of initiative and helped to make it a success.

Moreover, for every stage, a certain number of support actions are proposed to administrations, such as project management, training activities (training for directors and project leaders, training for assessors), preparatory workshops for directors, meetings aimed to inform the entire staff of the CAF model and programme, support documents and eventually coaching during self-assessment and definition of an action plan.

To promote the continuous improvement approach within Luxembourg’s public administrations, different communication activities are regularly organised. For example, following the 1<sup>st</sup> and 2<sup>nd</sup> Public Administration Quality Day in 2007 and 2008, and by showing first results of administrations which had already applied CAF, we were able to enlist new administrations who were interested in implementing the CAF.

In June 2007, Luxembourg’s Ministers approved the Administrative Reform Action Plan, containing and structuring the entirety of administrative reform projects put into practice in Luxembourg’s public administrations. There again, the CAF has proven its added value because it enabled this action plan to be structured into three parts:

- quality management, with i.e. the CAF Programme,
- relationship with citizen/users (opinion polls at national level concerning quality of public services in general, guidelines for measuring user satisfaction, code of ethics, guidelines for citizen charters),
- implication and motivation of staff (staff development appraisals, planning of training activities, development of soft skills, telecommuting).

Since 2006, a total of 20 administrations ranging from various ministerial departments (economics, agriculture, social security, education, transport etc.) have integrated the CAF Programme. Numerous improvement actions have been implemented, such as, for example,

staff development appraisals, planning of training activities, reorganisation and redesign of internet sites, standardisation of processes, user satisfaction measurement, implementation of citizen charters, management of complaints etc.

In October 2008, two administrations which applied the CAF model in 2006, presented best practices cases at the 5<sup>th</sup> European Quality Conference in Paris. Moreover, one of these administrations participated in the 2009 European Public Sector Award.

The same year, the MCSAR launched a survey among CAF users to get to know the problems which they were confronted with when applying CAF. The survey allowed for the CAF Programme to be adjusted, notably concerning the preparation of the self-assessment (stage 1).

After general elections in June 2009, a new Administrative Reform Action Plan, paying tribute to the new coalition agreement, was approved by the Council of Ministers in May 2010. Administrative reform projects are now structured in two main domains:

- public quality and users, also comprising the CAF Programme,
- management of human resources.

The actual legislation period will be spent, amongst others, on continuing:

- to guarantee administrations willing to integrate the CAF Programme optimal conditions for their self-assessment and their continuous improvement process,
- to work on a CAF validation procedure,
- to create a communication and exchange platform on public quality,
- to adapt and improve the CAF Programme.

## 5.16 Ten years of CAF in Norway<sup>33</sup>

By 2010 more than 80 public sector organisations in Norway had carried out self-assessments and improvement action plans using CAF. Among these organisations are

- The Norwegian Tax Directorate (one of the first to use the CAF in Norway)
- The Financial Supervisory Authority of Norway
- Many music and art schools
- Many upper secondary schools
- Many public organisations working with children, youth and family affairs
- Two hospitals
- Land Consolidation Courts
- District Courts
- Courts of Appeal
- The City Police of Bergen
- The National Crime Investigation Service

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<sup>33</sup> Gudrun VIK, The Agency for Public Management and e-Government (DIFI) – CAF Correspondent Norway

The Ministry of Government Administration and Church Affairs has a coordinating role in the work to improve and develop the public sector in Norway; the efforts to reform and regenerate the public sector are based on the basic values in the Government Declaration.

The Agency for Public Management and eGovernment (Difi), which reports to the Ministry, aims to strengthen the government's work in renewing the public sector, as well as improving the organisation and efficiency of government administration. Difi works to ensure that government administration in Norway is characterised by values of excellence, efficiency, user-orientation, transparency and democracy.

The Ministry and/or Difi have been working with CAF from the very beginning, and the role of CAF National Correspondent is executed by one of the staff in Difi.

Most of the CAF users in Norway have upon request received support from Difi, but there are also organisations that have managed to conduct the self-assessment by themselves. Although training in using the CAF tool is important, this shows that the tool really is easy to use.

The holistic approach of CAF towards organisation performance analysis has proven to be very useful, and since the examples can be changed to relate more accurately to national circumstances, the tool has been used to spread and implement the values in the Government Declaration.

In 2003 the office of the Auditor General of Norway carried out a study which showed that most of the governmental organisations conducted customer surveys. However, the study also showed that a large majority of them failed to use the surveys to improve their organisation. Using CAF helps organisations to avoid such time wasting traps. By using CAF the organisation has to benefit from the customer surveys to reach high scores in the evaluation; if it fails to make good use of the surveys, suggestions on how to succeed better will be integrated into the improvement plan drawn up from the results of the assessment. This shows how CAF is a dynamic tool.

This dynamic also leads those who are not measuring their results to start doing so. No measurement equals low scores. In the public sector, which cannot be measured by the bottom line of the accounts alone, the help from CAF to stress the importance of measuring the results is welcomed.

After 10 years of CAF we also want to highlight the bottom-up perspective of the tool. This makes the employees in the assessment group take responsibility as a leader and therefore makes them committed to the improvement work in the organisation. This is one of the features that have proven to be very useful, and it is one of the reasons why CAF has become a popular tool and surely will be used by many new organisations in the future.

## 5.17 Ten years of CAF in *Poland*<sup>34</sup>

### ***CAF as a driver for change and its indicator***

The Polish public administration's adventure with the implementation of quality management systems started after the political transformation period in the mid-1990s. Changes had been coming rapidly and in 2002 there were already 34 public organisations

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<sup>34</sup> Marta KUZAWINSKA, Chancellery of the Prime Minister - CAF National Correspondent Poland

reported to have a certified management system, and one that was working with TQM system and values<sup>35</sup>.

So far the Common Assessment Framework as a tool has not been recommended in any strategic Polish documents. Nevertheless, CAF (along with other quality management models) has been gaining its place in the public management culture step by step; by now, most documents mention the issue of modern, quality-based management as a topic of crucial importance.

CAF was first used by the city halls in the southern regions of Poland and the number of registered users was growing rather slowly till 2005-2006, when there were fewer than ten users registered on the European database. The interest in CAF – first seen at the local authorities' level – was then disseminated throughout local seminars and conferences and via European events. The idea of total quality management was becoming more and more widely known and the CAF appeared to be a useful tool thanks to its easy introduction and promotion, i.e. CAF has inspired many public managers to develop cooperation in benchmarking networks.

Broader use of CAF in Poland is definitely a result of several projects that were and are carried out by central and regional authorities, such as central civil service trainings on CAF in 2005 and a project of CAF implementation in 20 ministries and central agencies by the Ministries of Interior and Administration in 2006. Those actions gave a further impetus for CAF implementation at local level and proved to be a driver for further quality developments in ministries, i.e. Ministry of Economy. One of the most important initiatives has been taken up by the Ministry of Finance, which created a dedicated quality management system for its 400 tax offices and included self-assessment as an element of the obligatory system.

In 2008-10 the Chancellery of the Prime Minister launched centralised projects of CAF implementation support for 79 units from all around the country, and in 2010 the Ministry of Interior and Administration re-launched its CAF initiative with support for 80 units. It has also decided to identify CAF implementation as one of the selection criteria for units applying for the EU funds.

As for the promotion of CAF nowadays, the main task is then divided between the Ministries of Interior and Administration, working mostly for local authorities and the Chancellery of the Prime Minister, dedicated to government-level administration.

In the mid 2010s we can find over 150 Polish CAF Users registered in the EIPA database and the evaluations carried out in 2009 suggest that about 3-4% of administration units have used CAF at least once. In total there are thousands of workers from Polish public organisations who are familiar with CAF by now.

We can observe constantly growing interest for the use of well-known and recognised management tools and CAF has a strong position among those. This clearly shows how public management is changing its face.

Having managed to bring an important input to the European goal of registering 2010 CAF users by 2010, Poland is now looking forward to new common challenges.

## 5.18 Ten years of CAF in *Portugal*<sup>36</sup>

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<sup>35</sup> T. Buchacz, S. Wysocki, Zarządzanie jakością w administracji – europejskie wzorce, polskie doświadczenia, w: Służba Cywilna, Jesień-Zima 2002/2003, nr. 5 str. 29-56,

CAF was born in Lisbon! After the huge efforts of the previous presidencies, the CAF model was presented to Europe during the Portuguese Presidency at the 1<sup>st</sup> Quality Conference. Since the first version of CAF ten years ago, the CAF users' community in Portugal has grown. Over the years significant initiatives have come up, both at political and user level, which has added value to the promotion of CAF as a model that works!

In the table below we give you an overview of the most important activities, in the scope of three key phases, regarding the dissemination strategy and the progress of CAF users' approach.

Phase	Period	Strategy of dissemination	Progress of CAF users approach
1	2000-2003	<b>Promotion of CAF</b> CAF was used in the scope of public services awards.	<b>Self-assessment</b> CAF as a self-assessment model. Few follow-up activities.
2	2004-2007	<b>Dissemination of CAF</b> Several initiatives to promote CAF in the public services (translation to PT, support documents for users, website on CAF, training and a national and European CAF event).	<b>Follow up</b> Increase of the improvement activities, based on the weak points arising from the CAF diagnosis.
3	2008-2010	<b>Maturity of CAF</b> Over the last two years the promotion activities have decreased; however, the number of CAF users has increased as a result of the previous work done concerning the promotion of the model.	<b>What's next?</b> Integration of CAF with other TQM/quality approaches and the performance appraisal system for public administration (SIADAP).

## The highlights of 10 years

### ***2004 – 1<sup>st</sup> national CAF event***

This seminar, attended by 300 officials, was designed to promote CAF as a self-assessment tool for public services. The programme included the presentation of the model and implementation, as well as some practical cases. The Secretary of State for Public Administration (member of Government) gave his support in the opening of the event.

### ***2004 – CAF application in the Ministry departments***

The Ministry for Labour and Social Solidarity developed a Quality Programme covering 17 organisations of the Ministry, in order to obtain, in a first phase, a diagnosis and to identify strengths and areas for improvement. As such, each Ministry department had to apply CAF

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<sup>36</sup> *Cristina EVARISTO*, Ministry of Finance, Department for Organizational Management - CAF National Correspondent Portugal

in order to define important actions to be undertaken. The programme was sponsored by the Minister.

#### **2005 – CAF training by b-learning**

This course, with three editions so far, shows an innovative format of CAF training: it involves a mix of e-learning and traditional training (b-learning). It is a different approach towards CAF training: *learning by doing*, i.e. trainees were able to carry out a real self-assessment with CAF, which was followed by the trainer in a formative context.

#### **2006 – CAF application by a regional government**

The Regional Government of the Azores published an official Regulation establishing the creation of quality teams in order to promote self-assessment in each organisation which was scheduled periodically. Therefore, self-assessment was generalised in all regional public services mostly using CAF. CAF also inspired the creation of a specific tool for the regional schools to carry out their self-assessment.

#### **2007 – 3<sup>rd</sup> European CAF event**

The Portuguese Presidency of the EU hosted the 3<sup>rd</sup> CAF Users Event. Under the topic “CAF inspiring change” several European countries and keynote speakers shared their experiences and views on the value of CAF to people, innovation and change processes and the commitment of leaders. The event was attended by 300 participants from 27 countries, European institutions, EIPA and EFQM.

#### **2010 – CAF application with external technical assistance (ongoing)**

The Institute of Social Security (ISS,IP), one of the biggest services of the Portuguese public administration, with 21 district/central units and about 12.453 employees providing 430 delivery services, started their journey to establish a commitment to excellence. Twenty one self-assessment teams (one per unit) were assisted by a team of trainers, giving a homogeneous compression of the scope of each CAF sub-criteria, PDCA methodology and scoring system, in order to make a deep and global diagnosis of the ISS,IP performance, and to establish and implement an Improvement Action Plan towards the C2E recognition. This project is using modern learning tools such as an e-learning platform and a wiki.

#### **Next steps**

The feedback from CAF users has highlighted the necessity of the external validation of the assessment to give more reliability to the model. As such, after the implementation of CAF External Feedback it is expected that CAF users will demand this kind of recognition, which could be also used as a benchmark to compare performance between public services – one of the goals of SIADAP (Performance Appraisal System for Public Administration).

### **5.19 Ten years of CAF in Romania<sup>37</sup>**

The Ministry of Administration and Interior, through the Central Unit for Public Administration Reform (CUPAR), *is coordinating the process of Common Assessment Framework (CAF) implementation* within the public sector in Romania.

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<sup>37</sup> Steluta BULACEANU, Ministry of Interior and Administrative Reform, CAF National Correspondent Romania



The CAF model was launched in 2005 at the national level, with the main goal to promote the self-assessment and quality culture as well as to increase the administrative capacity of public administration, in order to be able to deliver high quality public services to the beneficiaries.

The Total Quality Management tool, CAF, is applied in Romanian public administration on a voluntary basis, and CUPAR provides assistance on request.

The Central Unit for Public Administration Reform, responsible for CAF actions in Romania, developed a holistic approach with regard to promoting, implementing and disseminating CAF in Romanian public administrations through the following ways:

- *Identify, translate, develop and disseminate materials* related to quality management and especially related to the CAF model.
- *Organise and deliver training for the public institutions.* The training has been organised both for the top managers and for the employees within the public institutions.
- *Provide technical support to public institutions in applying CAF,* on their request.
- *Identify and promote best practices,* both among different public institutions in Romania (applying bench-learning method) and among public institutions in different countries (participating in different seminars, conferences).

The Romanian Government encourages quality thinking as well as supporting and promoting the implementation of Total Quality Management models in public institutions. In this respect, the CAF model is stated within the National Reforms Programme 2007-2010, as a way to increase efficiency and effectiveness in public institutions.

So far, 54 public institutions from central and local level have implemented the self-assessment instrument, assisted by CUPAR, and eight of them have already run the second cycle of CAF implementation, thus enabling them to measure the progress and the level of performance achieved.

Through the use of the CAF model, public institutions have succeeded in accepting the need for change and improvement, the importance of people's involvement within the organisation's self-assessment process, the importance of measuring the results, the importance of prioritising the objectives, the need to assume responsibility for the identified improvement actions, as well as the need to share knowledge and experience.

Most of the Romanian public institutions use the diagnosis obtained through CAF implementation as a basis to develop their Multi-annual Modernising Strategies, assuring in this way the sustainability of the results achieved.

At the moment, more and more Romanian public institutions are interested in applying CAF and its promotion is carried out both by the Ministry of Administration and Interior and by the institutions that have already used the model and seen its benefits.

In order to be able to respond to the increasing number of institutions wishing to implement the CAF quality management tool, the Central Unit for Public Administration Reform is running a project through which a *CAF e-tool* will be developed. In the same project it is foreseen for the CAF model to be correlated with other instruments developed at the institutional level – such as Multi-annual Modernising Strategy, Balanced Scorecard,

benchlearning – in order to ensure an integrated management system within public institutions.

CUPAR has been involved in the organisation of different conferences, seminars, at national and international level, with the aim of promoting the best practices in public administration and providing CAF users with the opportunity to share experiences and best practices, to network, to initiate and develop partnerships. In this context, The Ministry of Administration and Interior – through CUPAR – is organising *on 23-24 September 2010, the 4th European CAF Users Event in Bucharest, Romania*, where around 300 participants are expected.

Applying the CAF model has given the Romanian public institutions the confidence to continue their efforts of modernising and becoming competitive.

## 5.20 Ten years of CAF in Slovakia<sup>38</sup>

The start of the intensive changes and challenges regarding quality management in the Slovak public administration came in 2003. This year is linked to the initiative to implement the Common Assessment Framework 2002 in Slovakia. During this year the very first project of the CAF model implementation in the Slovak public administration began.

Since then public administration organisations have been intensively supported in their implementation of the quality models by the central and national governmental level.

The significant moment happened in the same year that the Slovak central governmental bodies were obliged to implement the CAF model in their organisations by 2008, according to the resolution of the Slovak Government n. 900 from September 24, 2003).

The CAF model was offered as an easy-to-use tool to assist public sector organisations to use quality management techniques in order to improve performance. The main objectives were to introduce public administration to the principles of TQM, to facilitate the self-assessment of a public organisation in order to obtain a diagnosis and improvement actions, to facilitate benchlearning between public sector organisations, and thus increase efficiency of public administration and raise customer satisfaction.

Since then the Slovak Office of Standards, Metrology and Testing (SOSMT), as the coordinator of the state quality policy in the Slovak Republic, has been encouraging and supporting many organisations from different public sector levels to implement the CAF model. The CAF model has been implemented in many different sectors and areas such as central government, local and regional administration, inspection bodies, education, health and social sector, etc.

SOSMT also represents the Slovak Republic in the Innovative Public Services Group as well as in the CAF Expert Working Group.

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<sup>38</sup> Monika JURKOVICHOVÁ, Quality Department, Slovak Office of Standards, Metrology and Testing - CAF National Correspondent Slovakia

SOSMT and its experts provide public administration with different types of CAF trainings, consultancy, external assessment as well as delivering different types of CAF publications, either from the European level or creating own application brochures and other documents related to the CAF model.

Recently, the latest version of the CAF 2006, the creation of which the Slovak experts actively participated in, has been used in Slovakia. SOSMT is currently working intensively on the launch of the CAF External Feedback procedure for 2011.

#### ***National Quality Award of the Slovak Republic***

The competition has been organised since 2000 and it was originally based only on the EFQM Excellence Model. Since 2006, public administrations implementing the CAF model have had the possibility to enter the competition in three categories: central state administration bodies, regional administrations (self-government) and other public sector organisations.

#### ***Top Quality Managers Competition***

The competition was established in order to appraise the quality managers' effort and their contribution to organisational development, while at the same time highlighting results achieved through implementation of quality management systems. The competition introduces significant professionals from the quality area to the public and helps to raise quality public awareness in Slovakia. CAF improvement team leaders have been able to enter the competition since 2006.

#### ***Competition "Acknowledgement for the Publicist Asset in the Quality Area"***

The mission of the competition is to publicly highlight the evaluated work of publicists, journalists and quality experts and their published work, which has a significant meaning for the functioning and development of the quality management and all society. The main aim is to draw attention to the work of publicists, journalists and quality experts, and to support and appraise their excellent contributions recording quality management issues, including the CAF model.

#### ***National Quality Conference***

The National Quality Conference – primarily focusing on quality management in the public administration – is an annual international conference with a stable title Quality Management in Public Administration. Winners and awarded finalists of the National Quality Award have the opportunity to present their experiences there, as well as other public administrations working with the quality tools and models.

## **5.21 Ten years of CAF in Slovenia<sup>39</sup>**

#### ***From Pilot Project in 2002 to CAF External Feedback in 2010***

The Common Assessment Framework (CAF) is one of the most important quality tools of public administration in the Republic of Slovenia for continuous improvement of its functioning and services, and therefore for achieving sustainable quality. CAF was

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<sup>39</sup> Gordana ŽURGA, Ministry of Public Administration - CAF National Correspondent Slovenia

extensively introduced in Slovenia in 2002; since then usage of CAF is increasing steadily as CAF has been defined as a strategic direction in Slovenian public administration modernisation, and has also been incorporated in the holistic approach to quality management in Slovenian public administration.

### ***Strategic dimension of CAF in Slovenia***

Already in 2003, CAF was included in the Further Development Strategy of the Slovenian Public Sector 2003–2005, within the first of seven priority tasks in the Quality Management area. In Slovenia's Development Strategy (2005), in the action plan for 2005 and 2006 under the third development priority '*An efficient and less costly state*', CAF was exposed together with the EFQM model as a tool for systematically raising the quality of public administration services. Additionally, in the *Reform Programme for Achieving the Lisbon Strategy Goals* (2005) it is stated that Slovenia wants to achieve a growth in institutional competitiveness by introducing business excellence in the public administration.

The strategic dimension of CAF is also considered in the further quality and excellence strategy – a document which is in the preparation phase. In respect to the achieved developments of quality management and the maturity level of the system of public administration, new emphasis is given with regard to using CAF for strengthening the administrative capacity for quality management in public administration organisations.

### ***Support for the implementation of CAF in Slovenia***

The Ministry of Public Administration provides continuous support to CAF, in many different forms:

- ***CAF Publications***

CAF was first translated into Slovene language in 2002; after the development of the new CAF 2006 edition its translation in Slovene followed shortly afterwards. The CAF 2006 publication is available in two formats: as a printed publication, printed bilingually in Slovene and English, and as a PDF version available on the CAF webpage.

- ***CAF Webpage***

The CAF webpage is organised on the website of the Ministry of Public Administration. It includes information on the CAF model – the publication, guidelines, examples of actions in an improvement plan, results of self-assessments, list of CAF users, articles, events, etc.

- ***Methodological support for the 'Results' side of the CAF model***

A new measurement system for Administrative Units which is being developed, fully supports the results side of the CAF model: the overall appraisal for Administrative Units consists of appraisals for Customers / citizens (CAF, Criterion 6), Employees (CAF, Criterion 7), Performance Results (CAF, Criterion 9) and Social Responsibility (CAF, Criterion 8). All four appraisals are calculated upon a set of sub-criteria and indicators of different weightings; for example: Customers / citizens further consists of the Customer satisfaction part being supported by 9 sub-criteria and 11 indicators, and of the Customer orientation part supported by 5 sub-criteria and 7 indicators.

- ***Training***

Several quality seminars are carried out by the Administrative Academy of the Ministry of Public Administration, including seminars on CAF. A training programme for quality in public administration is based on the necessary competences for quality, and is constantly being updated and supplemented.

- ***Advisory meetings***

Advisory meetings of the Ministry of Public Administration at public administration organisations are arranged upon their demand. At these meetings, approach to quality management in the organisation is discussed as well as possible solutions regarding the organisation's 'starting' position – CAF is a strongly recommended quality tool especially for beginners.

- **CAF-Related Projects**

Public administration organisations that have performed one or more CAF self-assessments are gradually increasing their level of maturity and would in time like to move forward in their efforts towards excellence. Two pilot projects in that respect are to be mentioned. The first is *Participation in the competition for the Business Excellence Prize of the Republic of Slovenia* in the year 2004; 14 public administration organisations participated in the pilot. The result of the project was the establishment of the 'Public Sector' category in the national quality competition procedure. The second project is *Pilot project for assessing excellence in public administration based on CAF*, conducted in the year 2007. Its results were included as a source for further development of the CAF – CAF External Feedback procedure.

### ***International dimension of CAF in Slovenia***

Slovenia is involved in different activities to promote CAF and results of its implementation also in the international arena, e.g.: at CAF European users' events, European quality conferences or other events – nationally and internationally, or as a source for benchmarking and transfer of good practices in international projects.

Besides promotion and exchange of good practices, Slovenia was actively involved in the further development of CAF – the CAF External Feedback procedure.

### ***Conclusions and continuation***

After a decade of deliberate work, activities and projects in the area of quality and business excellence in public administration, it has been proved that the excellence of Slovenian public administration is being affirmed as a goal, and quality as one of its central values. In this context, CAF is an important quality tool as it meets needs at national as well as at organisational levels:

- At the national level CAF supports implementation of the TQM principles as well as the incremental method and philosophy of continuous improvement of the functioning and services;
- At the organisational level CAF supports the management of these organisations, basically due to the following reasons:
  - It offers an organisational model for managing the organisation;
  - Enables organisational diagnostics and then focusing on improvement actions in the range that suits the management in the circumstances given (duration, resources available...);
  - Enables monitoring and demonstrating of the improvements;
  - Motivates employees; and last but not least
  - Builds the bridge towards more advanced and demanding quality management tools and approaches.

In 2010 two main CAF-related projects / activities are to be exposed:

- Establishing the CAF External Feedback procedure at the Ministry of Public Administration, and
- Incorporating CAF as an important quality management tool into the further quality and excellence strategy of the Republic of Slovenia.

The Ministry of Public Administration will continue its activities in this regard and will pay additional attention to introducing new ways of supporting public administration organisations on their path towards improving the quality and achieving business excellence.

## 5.22 Ten years of CAF in *Spain* <sup>40</sup>

CAF (Common Assessment Framework) did not arrive in Spain at a favourable moment. When CAF was first published in Spanish, many public organisations had already started to work with other reference models such as EFQM.

Due to this fact, the Spanish National Agency for the Evaluation of Public Policies and Quality of Services (AEVAL) developed an implementation strategy for CAF. This strategy was based on bringing the CAF up to the same level as the most used models at that time (EFQM and EVAM).

A crucial step for the consolidation and institutionalisation of CAF was taken in 2005, when the Spanish Central Government administration provided for a General Framework for Quality Improvement, promoted by the Agency of Quality and Evaluation (AEVAL). This framework is still in force. It systematises the development of Quality Management in the Spanish public administration through six programmes:

1. Expectation analysis and customer satisfaction measurement;
2. Citizen Charters;
3. Complaints and suggestions;
4. Organisation of Quality Assessment;
5. Recognition (organisation certification and awards);
6. Observatory for the quality of public services.

Practical guides have been published to promote and help the implementation of all these programmes. Regarding CAF, the 2006 version has been translated into Spanish and Catalan. The organisation Quality Assessment programme (within this General Framework) regards CAF as one of the models available to assess and certificate the quality of organisations. This strategy has become the most relevant step to consolidate CAF in Spain, as it implies advising the use of CAF as an excellence model to assess and certificate quality. In fact, Spanish public organisations can apply for AEVAL certification regarding the “Level of Excellence” using CAF.

Therefore, many Spanish public organisations (central, regional and local) have been assessed and granted a CAF certificate in Spain.

Moreover, in order to facilitate CAF implementation in Spanish organisations, AEVAL has developed many training courses and presented CAF in several conferences. In all these events AEVAL has been advising public organisations to use CAF. In this sense, AEVAL also responds to all information and training requests about CAF by public organisations, as it counts on technical experts and assessors.

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<sup>40</sup> Eloy Gregorio CUÉLLAR MARTÍN, Evaluation and Quality Agency, Ministry of the Presidency - CAF National Correspondent Spain

AEVAL has developed an online application allowing organisations to share their results and experiences after their CAF self-assessment, which is available on its website. Public organisations can register and upload their own assessments.

During these years, AEVAL has been a CAF resource centre in Spain, sending newsletters, informing about news relating to the model and facilitating registration for interested organisations through the website. Registration allows organisations to receive updated information.

CAF in Spain has had an important impact and diffusion between local and regional administrations. The main advantages of the model that they have valued are the free character of CAF and all the useful documentation available, which makes implementation easier. The Balearic Region has included the CAF model in its “awards, recognition and certification scheme” and the Castilla La Mancha region is distributing the model among their directives through an agreement signed with AEVAL. In the local sphere, in 2003 the Public Administration Department signed another agreement with the Spanish Local and Provinces Federation in order to reinforce the model throughout this government level. The agreement has been a success and the CAF model has been used in some local administrations.

Most recently, CAF has been included as a reference model in the Guide for Public Services Assessment and has been promoted in Latin America through AEVAL participation in several congresses. It has to be mentioned that the Dominican Republic has incorporated this model for its quality awards.

In 2010, AEVAL is carrying out its own self-assessment with CAF. This process means the recognition of the model and an exemplification of the utility of its implementation in a reference institution for quality management of the public sector in Spain.

Nowadays, Spain is the country where the reference models for the public sector (CAF, EFQM and EVAM) are perfectly harmonised in a common framework of assessment which is used by the central government, but also by the other levels of government. The possibility for public organisations of any level to be certificated with CAF provides a bigger dimension of the institutionalisation and relevance of the model. CAF is being taken into account in quality monitoring in all the departments and central agencies in Spain.

To summarise, AEVAL continues to count on CAF development, promoting improvements in several conferences, meetings and forums. Moreover, AEVAL enriches its participation in international events, sharing Spanish good practices and including them in relevant publications.

## **6. Celebrating 2000 CAF users**

### **Interview with number 2000 - the Belgian High Council of Justice**

In 2005 the target has been set of having 2000 registered CAF users in 2010. In June 2010 this target was met and the Belgian High Council of Justice (CSJ) registered as 2000th CAF user.<sup>41</sup>

The Belgian High Council for Justice (CSJ) is a constitutional body responsible for judicial selection and external audit of the judiciary. The High Council of Justice, which came into

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<sup>41</sup> Interview with Mme. Roland, former president of the Belgian High Council of Justice, during the 4<sup>th</sup> CAF User Event in Bucharest, 23-24 September 2010.

being in the turmoil of the Dutroux affair, was set up in response to a strong citizen movement and political will to modernise the functioning of our judicial system. It must lay a bridge between the citizens, the magistrates and the political world in order to restore confidence in justice.

Composed of judges and lay members, it plays an important role in the Belgian institutional landscape by organising the selection of judges, by exercising external control over the operation of the judicial system and by making recommendations and delivering opinions. The High Council of Justice therefore supports the modernisation of the Belgian judicial system.

The High Council of Justice follows a quality policy in recruiting and selecting judges. It targets qualities such as listening and interpersonal skills and respect for persons who are to be tried, victims and society alike. A reflection on the improvement of the tools in place is currently in progress.

## 6.1 Context

In its multi-year plan 2008-2012, the High Council of Justice (CSJ) included a project aiming to improve its internal functioning: "The CSJ must in the future be able to submit more relevant results. To do this, we must review the structure and internal functioning, both short- and long-term, if necessary by amending the law. Thinking of quality and performance is the key (using, for example, the quality framework CAF, evaluate and adapt the management plan of CSJ, etc.)."

With the agreement of the Board, the working group "Functioning of the CSJ", and the administrative unit, an analysis of the functioning of CSJ has been launched according to the CAF method.

Mr Dochot, CAF National Correspondent for Belgium, has been appointed by the Federal Public Service Personnel & Organisation, to support the design of the project and each stage of its implementation (meeting with the Board members, directors, staff, participation in the meeting of the self-assessment group, the meetings ranking priority actions, methodological support, etc.).

## 6.2 Actions undertaken

- **Staff briefings and setting up of a self-assessment group:** the representative group consisted of four staff from Level C, three from Level B, and five from Level A. (March 2009)
- **CAF training for the self-assessment group:** for two days, each group member was able to follow in his mother tongue specific training given by specialists. (March-April 2009).
- **Self-assessment group meetings:** the group met eight times and was assisted six times by the CAF expert. For each enabler and result of the CAF model, the strengths and weaknesses were identified, scores were given and proposed actions for improvement were made. (May-June 2009)



- **Result:** the self-assessment group came up with 82 improvement actions. (June 2009).
- **Presentation of the work to the Directors and the Board:** the result of the work was fully explained by the president and the secretary of the self-assessment group. (June 2009)
- **Ranking of priorities:** in view of the extent of the proposed actions, the Board, in the presence of the directors and coordinators of the self-assessment group, met twice to set out the actions he considered as priorities. To do this, the Board used a tool made available to them by the CAF expert (with criteria such as “impact on stakeholders, on the results and on visibility” and “ease of implementing the action”). In total, 17 "quick wins" (measures that are normally readily achievable) and 8 medium- and long-term actions were selected. (September 2009)
- **Presenting work to staff:** presentation by a member of the Board, the directors and coordinators of the self-assessment group. Staff were invited to participate in the implementation and monitoring of actions by putting forward their candidacy. (October 2009)
- **Execution of actions:** for each action, a small working group was set up, a dossier and a timetable were set up and a leader was designated. (November 2009)
- **Overall monitoring of actions:** a member of the Board (Nicole Roland) is responsible for overall monitoring of activities and is supported in this task by a "monitoring committee" (composed of administrators and coordinators of the self-assessment group), which meets monthly to review progress. Administrators play a major role in setting up and monitoring actions. (Since December 2009)

### 6.3 State of play in July 2010

Among the 17 "quick wins", 15 have been achieved. For example: all the functions where an employee works alone (accounting, press reviews, catering ...) have been given a permanent replacement. Another example of an implementation action: the creation of a welcome booklet and the appointment of a permanent contact point for new staff.

Among the actions foreseen for the (medium-) long term, five actions and a part of the website for external communication have already been launched. For the other actions, implementation is expected to take place in September 2010:

- Actions of external communication: a communications specialist has just been hired and this task has been entrusted to him;
- The action "Being active and taking into account public opinion": the outcome of the 3<sup>rd</sup> barometer of Justice is being awaited before this can be implemented.

### 6.4 Conclusions

Carrying out a CAF assessment is a dynamic and engaging operation, which is supported in

Belgium by experts from the Federal Services. The acceptance of a rebate question of practices is a sign of openness of staff and officers of the organisation. The implementation of the action plan, the phase in which the CSJ currently is, should not be overlooked. Continued investment must be maintained. Methodological support in terms of accompanying change could also be reflected by the Belgian Federal Services.

## **Part 2: Progressing towards excellence**

## Introduction

As described in Part 1, the CAF model has evolved during its ten-year existence. The CAF-model has found its place between the many quality management tools.

Most of these quality management tools have recognition schemes to evaluate assessments taken place within an organisation. Until recently the CAF did not have this kind of system. The recent development of a CAF External Feedback Procedure is an important step in that direction. This CAF External Feedback Procedure is built upon the CAF model to further support CAF users in their journey towards quality. The goal of procedure will be not to validate the scores, looking for actual proven results or assessing the overall (f)actual quality of organisations. The main goals are in the field of strengthening the confidence of an organisation, giving advice on how to perform better the next time using the CAF-model or other quality models and additionally increase visibility of the organisation on a national and international level. During the course of the CAF External Feedback procedure, the intention is that external experts will come to the organisation and gather evidence on how it has prepared, implemented and followed up the CAF self-assessment process. After going through this process the organisation will or will not receive the ECU label “Effective CAF User”. This ECU label will have a limited validity.

On the basis of the Procedure on External Feedback (PEF) are the principles of Excellence. The second part of this publication will describe the PEF, but begins with a careful explanation and large illustration of the eight principles.

### 1. General description of the 8 principles of Excellence<sup>42,43</sup>

One of the aims of the CAF model is to guide public sector organisations closer to the important values of Total Quality Management (TQM). By working with the CAF model these values should, over time, become part of the organisations’ culture and make it focus on certain important elements of TQM. This in turn will make them aware of the need for efficient organisations to incorporate these values into everyday practice.

As a tool of Total Quality Management, CAF responds to the fundamental concepts of excellence and aims to improve the performance of public organisations based on these concepts.



#### **Principle 1: Results orientation**

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

<sup>42</sup> Staes, P. & Thijs, N. (2010). From self-assessment to external feedback. The CAF External Feedback – labelling effective CAF users. *Eipascopie* 2010/01, pp. 9-14.

<sup>43</sup> CAF Resource Centre (2010). CAF External Feedback Brochure, pp. 10-11.

***Principle 2: Citizen/Customer focus***

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

***Principle 3: Leadership and constancy of purpose***

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

***Principle 4: Management by processes and facts***

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

***Principle 5: People development and involvement***

People at all levels are the essence of an organisation and their full involvement enables their abilities to be used for the organisation's benefit. The contribution of employees should be maximised through their development and involvement and the creation of a working environment of shared values and a culture of trust, openness, empowerment and recognition.

***Principle 6: Continuous learning, innovation and improvement***

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

***Principle 7: Partnership development***

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

***Principle 8: Corporate social responsibility***

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

## 2. The principles in use: real case illustrations

The CAF External Feedback Procedure (PEF) is not only intended to evaluate whether the self-assessment was qualitative or if the improvement actions were successfully implemented. The third aim of the PEF is to work out to what extent the organisation has grown towards excellence as a result of implementing improvement actions. This is what the principles of excellence are used for.

With the design of the PEF, each principle has been divided into four levels of excellence: a level where there is nothing found at all, an initiation level, a realisation level and a maturity level. This four-level scale makes it possible to have an idea of the maturity of public organisations and to visualise their growth.

For the first time, real case illustrations of the principles were collected across Europe as part of the preparation for the 4<sup>th</sup> European CAF Users Event. The principles will be discussed one by one, starting with the four levels and ending with the three case illustrations. This is an overview of the cases:

### ***Principle 1: Results orientation***

- Regional Directorate for Organization and Public Administration (Portugal, Azores)
- Austrian Finance Administration (Austria)
- Tax Office Zamosc (Poland)

### ***Principle 2: Citizen/Customer focus***

- Agricultural Insurance Organisation (Cyprus)
- City of Vantaa (Finland)
- Pôle-Emploi "Région pays de la Loire" (France)

### ***Principle 3: Leadership and constancy of purpose***

- OCMW Grobbendonk (Belgium)
- Support Foundation European Social Fund Agency (Lithuania)
- North-Trøndelag County Council (Norway)

### ***Principle 4: Management by processes and facts***

- Hunedoara County Prefect's Office (Romania)
- Corte d'Appello di Milano (Italy)
- Aust-Agder District Court (Norway)

### ***Principle 5: People development and involvement***

- Institution of the Prefect – Constanta (Romania)
- Haute Ecole provinciale de Charleroi Université du travail (Belgium)
- Alma Mater Studiorum – Università di Bologna (Italy)

### ***Principle 6: Continuous learning, innovation and improvement***

- Municipality of Heraklion Crete Hellas (Greece)
- Danish Agency for Governmental Management (Denmark)
- National Social Security Institute for workers (Italy)

### ***Principle 7: Partnership development***

- Regional State Administration Office of North Plain (Hungary)
- Consejería de Educación y Cultura (Spain)
- Amt der Steiermärkischen Landesregierung (Austria)

### Principle 8: Corporate social responsibility

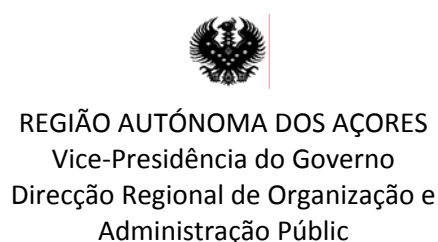
- Institution of the Prefect - Timiș County (Romania)
- Musée de Mariemont (Belgium)

## 2.1 Principle 1: Results orientation

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

General characteristics	0	Initiation	Realisation	Maturity
<b>1. Result orientation - Definition</b>	The initiation level has not been reached	The organisation identifies relevant stakeholders and result areas.	The organisation defines a set of targets and results to be achieved in relation to the relevant stakeholders' needs.	The organisation systematically monitors the results it achieves and uses it for continuous improvement.
<b>1. Result orientation - Examples</b>		<p>There is a focus on developing a result-oriented culture in the organisation.</p> <p>The organisation has identified the different stakeholders and segmented them into different categories.</p> <p>It has defined relevant result areas linked to the mission of the organisation.</p>	<p>A result-oriented culture is systematically promoted in the organisation.</p> <p>A first systematic assessment of the stakeholders - as well as their current and future needs and expectations - has been carried out.</p> <p>A first set of corresponding targets has been defined for relevant stakeholders in relation to the result areas.</p>	<p>Stakeholders are involved in setting and reviewing results and targets.</p> <p>The organisation has defined result targets for all key processes. These targets are connected with the dimensioning and planning of the assignments.</p> <p>Employees know the targets relating to their work tasks and processes.</p> <p>Management supervises the organisational development in terms of result targets for key processes and finances.</p>

### Case 1: Self-assessment in the context of the management by objectives



#### Name of the organisation

The Autonomous Regional Administration of the Azores

**Country:** Portugal

**Focus:** Results orientation

**Keywords:** Assessment, integrated management and evaluation, cross-level government implementation, management by objectives.

#### Summary

In order to promote the quality in the autonomous regional administration, the Government of the Azores established a plan based on three strategic vectors (companies, public service, and

citizenship). In the public service strategic vector, the quality is measured by three methods (citizens' assessment, audit and SELF-ASSESSMENT). The self-assessment was recommended by Government Regulation nº 2/2006, in order to create promotion quality teams, to obligate self-assessment in each organisation and to schedule these periodically. Therefore, self-assessment was generalised in all regional public services, mostly using CAF. The use of CAF has created good results at several levels: involvement of employees in the improvement process; discovery of the strengths and areas for improvement; measurement of progress over time through periodical self-assessment; integration of various quality initiatives into normal "business" operations; management by processes and facts; knowledge of the direction to follow for improvement activities. The choice to use the CAF tool was attributed to the fact that this tool is scattered among the public administrations of the European Union.

Besides that, for education and health services (schools, hospitals and health centres) and because of their specificities, it established exceptions concerning the self-assessment tools. In the field of education, a project named "Qualis - Evaluation of Schools" was created, which adapted the CAF tool to the school reality. In the health sector, it was decided that they should continue with their specific tools, in particularly with Health Centres Organisational Quality Control (in Portuguese MoniQuOr).

Recently, with the new Integrated System for Management and Performance Evaluation of Public Regional Administration of the Azores (in Portuguese SIADAPRA), created by regional legislative law nº 41/2008/A, of 27 August, the services are obligated to carry out self-assessments on a yearly basis; the abovementioned three tools are effectively recommended to be applied cyclically and the actions included in the resulting plans must be an integrated part of the activities in the annual plan of the services.

In addition, one of the 12 evaluation criteria for a service to be considered "excellent" is the level of service quality evaluation as a result of self-assessment, benchmarking or benchlearning and, also, the involvement in processes of certification with the support of methodologies recognised at national and international levels.

## ***Case 2: Better results for the Austrian Finance Administration by using the CAF***



### **Name of the organisation**

Ministry of Finance

**Country:** Austria

**Focus:** Results orientation

**Keywords:** Management by objectives, implementation and evaluation of the improvement actions as the result of self-assessment with CAF.

### **Summary**

Within the quality management strategy of the Austrian Ministry of Finance we have been using CAF since 2006 as one quality management instrument alongside other QM-instruments: internal audits, benchmarking, quality and service standards, complaint management.

In our administration we have 40 tax offices (with 80 locations), nine customs offices (with 103 locations) and one large trader audit unit (with 8 locations) spread over the whole country (9 provinces) with approx. 11.500 employees. The very good and practicable results of four CAF sessions led us to the strategic decision to implement the CAF throughout the whole administration.

In our administration we manage our different units and offices and the performance targets by management by objectives. Every year the appliance of CAF is a target for 10 tax or customs offices.



By using CAF, we can provide for our managers/leaders and employees to discuss their daily work in connection with our vision/strategy and with our/their values. The changed cultural/working approach of the Austrian Finance Administration (caused by the biggest reorganisation process that ever happened in our administration – from 2002 till 2007) is supported by the different criteria of the CAF model. Continuous improvement is self-evident in our organisation; therefore – as a result of CAF experiences – we have implemented new tools in the field of knowledge management, process management, etc. The ideas for these new measurements came from our stakeholders – mostly from the staff, customers and citizens.

With CAF we have also intensified and enlarged our relationships with our external partners (e.g. Tax Consultants, representatives of local government bodies, trade unions).

Every year we have a special one-day CAF activity for our top management. During this event the actual CAF results are discussed and if necessary, strategic decisions will be made.

For improving ourselves (e.g. reviewing our strategies and planning), we evaluate the yearly CAF results together with the heads of the units who have implemented the CAF.

To summarise, the use of the CAF model has activated our human resources and therefore the CAF is a convenient tool for helping us to become one of the best finance administrations in Europe.

### ***Case 3: Improved Quality of Service Delivery***



#### **Name of the organisation**

Tax Office Zamosc

**Country:** Poland

**Focus:** Results orientation

**Keywords:** Working as a team, willingness and involvement in a process of making changes, positive attitude and perceiving the customer needs, voluntary cooperation between local and government institutions.

#### **Summary**

The Tax Office in Zamosc belongs to the public sector and provides internal revenue services. Apart from the taxation area (direct and indirect taxes), one of the most important parts of the activity is the certificates service. The tax office issues the certificates to confirm income, employment or self-employment, a form of business activity and others. One of the most important objectives was to realise the vital principle for customers: “Receiving a certificate during one, short visit in the office”. The large quantity of certificates per year (2007: 54 667, 2008: 51 643) and applying the rule of issuing a certificate on the same day caused an implementation of optimal and effective procedures and solutions. It was essential when planning the changes to bear in mind that about 90% of certificates are issued within a short period of the year, namely in the four months of June, July, August and September. The office management and quality officer realised the following key tasks:

- Customer service hall modernisation
- Training for the staff
- Changes of the working hours
- Improving information and communication with customers
- Official Agreement with the 13 District Social Aid Institutions (customers could submit the application forms in the area of their district, without needing to visit the tax office)
- Regular monitoring of customer satisfaction.

Voluntary cooperation between local and government institutions plays a huge role in the activities towards the customer delivery and satisfaction.

## Principle 2: Citizen/Customer focus

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

General characteristic	0	Initiation	Realisation	Maturity
<b>2. Customer focus</b> - Definition	The initiation level has not been reached	The organisation focuses on the needs of existing and potential citizens/customers.	The organisation involves citizens/customers in the evaluation and improvement of its performance.	The organisation responds to the needs of citizens/customers by developing and delivering activities, products and services.
<b>2. Customer focus</b> - Examples		<p>Management and employees have a common understanding of who the customers are and which segments the organisation is servicing.</p> <p>Employees understand the demands and expectations defined in legislation and regulation regarding citizen/customer service.</p>	<p>The first systematic measurement of customer satisfaction, expectations and needs has been carried out, and the institution is working on improvements related to this.</p> <p>Management and employees develop and deliver services responding to the needs and expectations of citizens/customers.</p>	<p>Results from citizen/customer satisfaction measurements and dialogue are used</p> <ul style="list-style-type: none"> <li>to review and develop strategies and action plans for the entire organisation;</li> <li>to respond adequately when things go wrong (e.g. complaints management).</li> </ul> <p>Employees have a multi-faceted picture of citizen/customer needs - including additional needs to those that relate directly to key products/services (e.g. transparency, involvement).</p> <p>Both management and employees show concern for current and future customer needs through their behaviour and attitudes.</p>

### *Case 4: The involvement of the farmers in the evolution and operation of the Agricultural Insurance Scheme in Cyprus*

**Name of the organisation**

Agricultural Insurance Organisation

**Country:**

Cyprus

**Focus:**

Citizen/Customer focus

**Keywords:**

consultation, ownership, codecision

#### Summary

Our organisation has clearly defined its stakeholders and they are represented in its Board: the Ministries of Agriculture, Natural Resources and Environment, Finance, Labour and Internal Affairs as well as the Cooperative Movement, and the farmers are represented through the four main farmers' unions.

Focusing on the farmers, the organisation is able to learn of their sights and visions through their representatives in the Board. For any decisions made, the farmers are informed by their representatives. The farmers can also influence the Board's decisions. This puts in place the principle of mutual information as a tool for satisfying the needs of both, the farmers as stakeholders, and at the same time the organisation – thus enhancing the mutual trust and achieving the maximum benefit for both sides.

When it comes to a new insurance package or an improvement on an existing one, the organisation contacts the farmers and organises meetings in their villages to inform them and listen to their views and thoughts. On some occasions the organisation conducted questionnaires seeking the farmers' opinions on specific aspects. When the outcome of the meetings and questionnaires was evaluated, the insurance packages were modified in order to comply with the farmers' needs and to be rational, comprehensive and financially affordable. The organisation evaluates the farmers' participation in the meetings or questionnaires (to define whether the sample is representative), as well as the answers given and the opinions expressed. Experience shows that these meetings are very popular among farmers while a great portion of the questionnaires addressed to them are answered.

The organisation takes into account the farmers' views to such an extent that in some cases the implementation of new insurance packages was cancelled. No effort to impose a non-accepted package was made; the efforts focused on how to make the new package accepted and affordable by modifying it. At the same time, the Director has meetings in his office with representatives of many products groups (grapes, cereals, potatoes etc), in order to listen to their complaints and discuss ways forward. The outcome of these meetings can either be diverted to the Board for decisions or simply be implemented in the daily practices of the organisation if it relates to minor aspects.

In this way, the farmers in Cyprus can feel confident that they are participating in an agricultural scheme which seriously takes into account their thoughts and views, and the outcome – whether it is managerial decisions or insurance packages – is a result of mutual effort.

### ***Case 5: The CAF implementation in the City of Vantaa***

**Name of the organisation**

The City of Vantaa

**Country:** Finland

**Focus:** Citizen/Customer focus

**Keywords:** customer involvement, tailor-made CAF

#### **Summary**

The City of Vantaa is the fourth biggest city in Finland with 195 400 residents (2009). Vantaa constitutes a part of the Helsinki Metropolis, which comprises 14 municipalities of a total population of 1.3 million (2009). On 1 January 2009, the city employed 11 694 people. The personnel costs in 2009 were €464.8 million and the operational expenses for the service sectors were €1 266 million in total. The case presents how the CAF model can be implemented throughout all the service sectors. One interesting aspect is how the CAF model has been adopted and translated in a way that it fits the local culture and local procedures. The case also includes the aspect of how the customers/residents have been included in the procedure.

### ***Case 6: Evaluation at the heart of setting up the Pays de la Loire Job Centre***



**Name of the organisation**

Pôle Emploi "Région pays de la loire"

**Country:** France

**Focus:** Citizen/Customer focus

**Keywords:** customer satisfaction, customer-orientation

#### **Summary**

The Job Centre is a new organisation for employment service in France. Its missions are to assist all job seekers in their search for employment, to ensure the payment of benefits to claimants receiving

compensation, to help companies with recruitment and to collect their contributions.

The Pays de la Loire Job Centre is committed to a quality process – not as an end result, but as a way to unite intentions and skills around a customer-focused organisation. The CAF is, for them, undoubtedly the quality process that meets the performance requirements expected of an organisation providing a public service remit.

There are potentially 22 regions that may be interested in the approach taken by the Pays de la Loire region, with possible variations within the territorial divisions.

## Principle 3: Leadership and constancy of purpose

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

General characteristics	0	Initiation	Realisation	Maturity
<b>3. Leadership and constancy of purpose</b> - Definition	The initiation level has not been reached	Leaders establish a clear mission statement.	Leaders establish vision and values. They drive and inspire people towards excellence.	Leaders demonstrate the capability to maintain constancy of purpose in a changing environment.
<b>3. Leadership and constancy of purpose</b> - Examples		Leaders provide the organisation with a well-defined mission according to legislation and regulation requirements, as well as taking into account the stakeholders' expectations.	Leaders provide the organisation with the definition of a mission, vision and values and share it with the people in the organisation.  Managers at all levels are focused on bringing the mission, vision and values into practice.	Stakeholders are confident about the constancy of purpose and steadiness of management.  Managers are perceived as role models.  The quality of management has been measured e.g. through management assessment or job satisfaction measurements.

### *Case 7: Horizontal Management: maximum involvement of Leadership. It is all in the mind.*



**GROBBENDONK**



#### **Name of the organisation**

OCMW Grobbendonk, the local social welfare service of the municipality of Grobbendonk

**Country:** Belgium

**Focus:** Leadership and constancy of purpose

**Keywords:** Involvement of leadership, different management levels, monitoring quality development.

#### **Summary**

The OCMW of Grobbendonk (90 FTE), a social welfare service organised by the local authorities, was installed by law in 1976 in every municipality in Belgium. The OCMW is an independent local authority with a well developed social service system: the core business of the organisation is to deliver proper social services to all citizens. Besides this legal task, the OCMW puts the emphasis on two pillars: home care and residential care for the elderly.

In 2004 the OCMW applied the CAF for the first time. Several points of improvement, e.g. role model of the leadership and developing and aligning the leaders' attitudes with the mission statement were mentioned by the self-assessment group and were listed among the top ten priorities.

After this first CAF assessment a reorganisation took place on three management levels: direction (top management), middle management and operational management.

- At the direction level a management team was installed in 2005 in order to orientate the management in a more horizontal way near to the elected board (the political level) and closer to the personnel. The management team – since 2009 obligated by a decree – is responsible for advising the elected board and prepares the organisation's policy and budget.
- A second team that was installed after the first CAF was a permanent quality group (VOK). This team is smaller than the management team and has a more operational approach. They make sure that all activities in the organisation match with the mission statement and vision of the organisation. This quality group links all the objectives and monitors the follow up in a new and easy to use instrument with the names of the responsible persons, the deadlines (start and end) and possible links with the processes in the organisation e.g. guidelines, forms, etc.
- On the operational management level we started a permanent 'Train the Trainer' programme which brought together on a regular basis all the persons dealing with personnel matters in the organisation. The main objective is to align the overall vision on leadership and to increase the expertise as well as the effectiveness.

In 2009 we measured the employee satisfaction on these different changes in management level in the organisation and determined good results.

### *Case 8: Leadership in the European Social Fund Agency*



#### **Name of the organisation**

European Social Fund Agency

**Country:** Lithuania

**Focus:** Leadership and constancy of purpose

**Keywords:** Leadership, mission, value framework, vision, effective communication

#### **Summary**

At the beginning of 2008 the Agency had formal **mission**, however, it was not widely known, and the employees were not involved in the mission formulation. By that time the **vision** of the Agency was not formulated at all, the **values** were described in the Code of Ethics prepared by the lawyer of the Agency, however, they were not well known amongst all the employees. The link of the values of the Agency with its mission was also deficient.

During the self-evaluation it was stated that **organisational structure** was not suitable for the Agency's prospects and expectations of stakeholders (many project applications were expected to be received, however, the Evaluation Department performing this function was relatively small, therefore, it was expected that the Agency will not succeed to perform the assigned tasks in time). Agency staff was **not involved** enough in decision making.

These drawbacks and appropriate recommendations were included in the CAF evaluation report, which was one of bases for preparation of the Agency's annual plan for 2008.

**During 2008**, the Agency:

- Developed organisational structure in accordance with the Agency's planning and expectations of stakeholders.
- Formulated the Agency's vision, updated its mission and communicated to the employees
- Updated the Agency's values. Special seminars were organised for all employees to discuss what values are the most important to the Agency, its stakeholders and employees, why values are so important in the life of any institution. Information about values was included into Agency's

calendars, website and intranet. A decision was taken every quarter to elect employees whose behaviour correspond to the Agency's values the best. Model of competence was prepared and thus the Agency's values integrated into the whole system of Employees' evaluation process.

- Agency's leaders started involving employees from all levels into the decision making by organising different working groups: a group of volunteers was organised to work out employees' motivation plan, a group of volunteers was organised for the improvement of internal communication, a group of top managers worked out the new organisational structure, the same group together with an outside expert prepared the Strategic plan of the Agency, several groups worked to simplify core processes.

In 2009 we measured the employee satisfaction on leadership and constancy of purpose and determined good results – the score increased by 12.5 points.

### ***Case 9: CAF as a tool for reporting on educational quality and a backdrop for drawing up political objectives***



#### **Name of the organisation**

Nord-Trøndelag County Council

**Country:** Norway

**Focus:** Leadership and constancy of purpose

**Keywords:** Quality report, three layers of PDCA, principle of Excellence into "balanced" scorecards, following up results, setting objectives

#### **Summary**

With strong political support, the Common Assessment Framework was applied in the educational sector in Nord-Trøndelag County in 2005. After having delivered the 4<sup>th</sup> Annual Quality Report, the County Council now seems to be handling the quality results in quite an adequate way. The CAF assessment results from the sector, both average and individual for the different schools, are now used as the main evidence for setting targets and objectives. These targets and objectives are set both for long and short term, and are meant as solutions for the areas of improvement for the educational sector as a whole, but also for the individual organisations.

The annual measurement of quality in the entire sector, the handling and target-setting of the areas of improvement, and following up the results, has led to measurable development in this period. We can now detect considerable progress in several areas of improvement from one year to another. The annual Quality Report presents the average results from the CAF assessment, the CAF assessment results from each organisation/school and important background data from the areas of *citizen results*, *people results* and *key results*. These data contain results from sources such as student-, teacher- and people surveys, and target achievement in areas such as student grades, absence and drop-out rates.

In this way, the work with following up evidence or assessment results is handled at three levels. First of all this will be the most important action during the year in each school. Through the 17 tools of the local quality development system, the schools analyse and carefully prioritise the most important areas of improvement, setting up a plan of corrections and planning the different prioritised action. These steps are surveyed by the sector level, the Chief Education Officer, and are followed up in the dialogue of steering and during site visits to schools. Then, the most important challenges of each school are used in the further detailed results-orientated steering of the school. This will be the working targets for the school director and in the quality chart of the school. The quality chart is derived from the Balanced Scorecard, and based upon the principles of Excellence.

The third level is the annual discussion in the County Council on the results from the Quality Report and the following target setting.

The connection between the principles of Excellence, Quality management, Quality development, CAF and the work with setting targets and strategic objectives at all levels have become closer the last four years, and at last, can be seen as a whole. Making a huge effort of following up assessments and results from the schools should, in our opinion, lead to constancy of purpose and a sustainable quality throughout the entire educational sector.

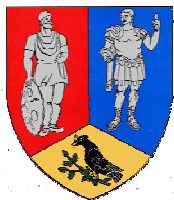
## Principle 4: Management by processes and facts

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

General characteristics	0	Initiation	Realisation	Maturity
<b>4. Management by processes and facts - Definition</b>	The initiation level has not been reached	Processes are identified and managed.	The implementation of the strategy and planning of the organisation is enabled and assured through the processes.	Processes are continuously improved for effectiveness on the basis of internal performance measurement, bench learning and/or benchmarking.
<b>4. Management by processes and facts - Examples</b>		<p>A process-oriented way of thinking has been initiated within the organisation.</p> <p>The key processes - linked to the relevant result areas - have been identified.</p>	<p>The organisation has completed the identification of all key processes.</p> <p>Key processes have a clear ownership.</p> <p>Targets for key processes are defined in line with the strategy and planning of the organisation.</p> <p>The organisation measures results of key processes in relation to the targets.</p> <p>The organisation has defined the basis for an information system to support process management.</p>	<p>The organisation has a detailed view of all processes through an information system (including management, operational and support processes).</p> <p>All these processes are monitored relating to results and improved on a regular basis.</p> <p>People know the processes they are involved in and the targets of these processes.</p> <p>Procedures are in place to ensure that targets are broken down and results are used for improvements.</p>



## ***Case 10: From CAF to ISO – the experience of Hunedoara County Prefect's Office***



### **Name of the organisation**

Hunedoara County Prefect's Office

**Country:** Romania

**Focus:** Management by processes and facts

**Keywords:** management by processes; continuous improvement; quality management systems

### **Summary**

For the Prefect's Office of Hunedoara County, the Common Assessment Framework (CAF) self-assessment has been the catalyst for the evolution from a lack of a documented management system and a common framework for interdepartmental collaboration, to a quality management system (QMS) certified to conform to the international standard ISO 9001:2001 "Quality Management Systems – Requirements".

The entire process of procedure definition and drawing up of the documents required for the certification that have been conducted without external expertise, using exclusively internal resources, is what marks the difference between our institution and most of the organisations that decide to define and certify their system of quality management.

The management's representative for quality (RMC) drafted each of the procedures and then sent it for observations and amendments to all coordinators of the functional structures; if the representatives of the middle management considered the procedures to be adequate, they were then passed on for amendments to the executive level.

The most important aspect is related to the constant input from the top management level. They have understood the benefits of the entire process of constructing the quality management system. Considering all the elements – strengths and weaknesses – identified during the self-assessment and the measures agreed upon to improve internal communication, the process of certification represented an attempt to involve all the employees in drafting the documents – from middle management and execution level.

The management system has adequate mechanisms that ensure consultation for the drawing up of the procedures and requirements. More precisely, there are operational procedures that provide guidelines for drafting any procedure or action plans, and these have strict rules regarding consultation steps. We consider that there already exists a framework that allows consultation during the decision-making process and the difficulties that still occur are connected to applying the existing requirements.

## ***Case 11: The introduction of "process chain" logic in Corte d'Appello di Milano: bridging the gap between public functions and service provision in the management of justice***

### **Name of the organisation**

The Court of Appeal of Milan

**Country:** Italy

<b>Focus:</b>	management by processes and facts
<b>Keywords:</b>	Key process identification and evaluation; services chain logic; distinction between public functions (oriented by professional standards) and services provision (oriented by citizens, customers and stakeholders expectations); inter-organisational integration between professional and administrative tasks; inter-organisational cooperation between different justice organisations (Tribunale di Milano and Corte d'Appello di Milano)

## Summary

Corte d'Appello di Milano is involved in the national project regarding the dissemination of best practices. The project, financed by the European Social Fund, started in 2008 and is based on the experience of Procura della Repubblica di Bolzano. At the moment, it involves almost 100 courts of law and other judicial organisations.

As for the Corte d'Appello di Milano, the first activity consisted of a self-assessment based on the CAF model, which was customised to the judicial system. The Court has never before mapped its working processes and has never had an output and outcome measurement system.

The self-assessment based on the CAF model resulted in:

- a) the definition of the key working processes concerning the core missions of the organisation;
  - b) the linking of the key working processes to the strategies pursued by the organisation;
  - c) the mapping, for each working process, of all the actors intervening in the achievement of output and outcome: internal offices, stakeholders, customers (both inside and outside the organisation);
  - d) the definition of those activities that can be conceived as "a service" and for which it is necessary to take into account the customers' expectations and to carry out customer satisfaction surveys.
- In this sector it is extremely important to distinguish between activities that can be evaluated on professional standards through peer reviews, and those that can be defined as "provision of services", for which the direct involvement of users and stakeholders is necessary.

The justice sector distinguishes itself from other public administrations through the presence of two managerial parts: judges, namely the professional part, and the administrative part. The first action implemented in the Court involved triggering a dialogue between these two parts. Furthermore, the analysis of the working processes emphasised the interdependences between the work of these two parts and allowed the promotion of ideas on how to improve the organisation of information to orient customers and stakeholders, in the management of data for the management control, in the implementation of procedures for the complaints management, etc.

In the first phase of activity, the analysis of the working processes focused primarily on the administrative services. The analysis brought about the definition of a process reengineering proposal, which includes:

- the unification of the accounts department of both Tribunale di Milano and Corte d'Appello;
- the unification of the Innovation, Statistics and Management control offices;
- the unification of the Human Resources Management;
- the unification of the General Affairs, Logistics and Procurement offices.

At the same time, actions related to the definition of specific procedures (such as procurement, protocol, accounting and payroll) were put forward.

## Case 12: Strengthening the management at the Aust-Agder District Court



### Name of the organisation

The Aust-Agder District Court

**Country:** management by processes and facts

**Focus:** Norway

**Keywords:** Processes, management in courts,  
customer involvement

### Summary

Aust-Agder District Court is a first level court with eight judges and 12 executive officers, and was established as a Court in 2004, after merging three small courts. In 2008 we used CAF to evaluate our organisation.

By using CAF we achieved a higher level of consciousness about our Court's activities and the role we play in society. We experienced that we needed:

- to strengthen our management;
- a plan for the Court's activities during the year (other than Court proceedings);
- to know what customers expect from us (and define who the customers are);
- to collaborate with our partners.

Traditionally the Courts have a flat structure, with a focus on dealing with cases, and with the Court President as a sovereign administrative leader. We already had established rules of procedures for Court proceedings etc., but these were not focused on our processes concerning financial management, human resources management, involving the employees in decision-making processes, or developing competence etc.

In order to strengthen our management we employed an executive director and appointed two deputy leaders, who are supposed to support the Court President with management tasks.

We have worked out a plan for the Court's activities during the year 2009, together with members of staff.

In April 2009 we carried out a customer survey and in May 2009 we held interviews with our partners, in order to obtain information on improvement.

## Principle 5: People development and involvement

People at all levels are the essence of an organisation and their full involvement enables their abilities to be used for the organisation's benefit. The contribution of employees should be maximised through their development and involvement and the creation of a working environment of shared values and a culture of trust, openness, empowerment and recognition.

General characteristics	0	Initiation	Realisation	Maturity
5. People development and involvement - Definition	The initiation level has not been reached	The organisation takes initiatives for developing and involving people.	The organisation develops competencies and involves people in a structured way to improve products, services and processes.	The organisation creates a working environment of shared values and a culture of trust, openness, empowerment and recognition.

5. People development and involvement - Examples		A training portfolio is present, which takes into account people's demand for further development of the existing competencies.	The organisation identifies and develops the required competencies; thereby preparing people to meet and adapt to changes.	The organisation rewards and recognises people in a way that builds commitment and encourages their loyalty to the organisation.
		The organisation recognises the importance of involving people in the decision-making process.	The organisation: - carries out different kinds of training and competence development; - measures and improves employee satisfaction and motivation; - promotes internal mobility;	The organisation: - formulates the <i>human resource</i> policy according to the strategy and planning involving the people; - establishes a regular cycle regarding <i>people</i> development (appraisal, training and dialogue);
		People are invited to express their opinion on the organisational development.	- involves employees actively in the process of improving products, services and processes.	- involves employees in the development of strategies and action plans, inviting them to generate and implement ideas for improvement.

### Case 13: Involvement of people in the Institution of the Prefect – Constanta



#### Name of the organisation

Institution of the Prefect – Constanta

**Country:** Romania

**Focus:** People development and involvement

**Keywords:** Involvement of people entails responsibility and initiative

#### Summary

The Strategy for Development and Modernisation 2008-2010 has been developed within the Institution of the Prefect and with the involvement of the personnel of the institution. A workgroup was constituted (of representatives from each department) who drew up the vision, the mission and values of the institution. The workgroup have translated the mission and the vision into general directions of action, into strategic and operational objectives.

The entire personnel of the institution were involved in the elaboration of the strategy: diagnostic analysis by each department, and the defining of the objectives.

The workgroup elaborated a plan of actions, appointed the responsible people and established the deadlines for the achievement of actions/objectives. Indicators were also defined in order to measure the achievement of objectives.

The strategy which was developed has been debated in a meeting with the entire personnel of the institution.

The entire personnel participated in the monitoring of the implementation of the action plan, as based on the monthly activity reports of the departments. In addition, the quarterly /semester reports concerning the stages of achievement of the objectives were analysed in quarterly meetings organised with the entire personnel. The personnel have also participated in the re-examining of the established objectives.

The involvement of people has entailed the assumption of the strategy by the personnel of the institution, the increase of the degree of responsibility concerning the achievement of the established objectives, as well as the increase of initiative.

At the suggestion of some employees, written panels have been displayed inside the institution,

stating the vision, mission and values of the institution.

### ***Case 14: Evaluation of the teachers by their students, a new challenge for Higher Education***

**Name of the organisation**

Haute Ecole provinciale de Charleroi Université du travail

**Country:** Belgium

**Focus:** People development and involvement

**Keywords:** Development and involvement of staff, customer focus, process of continuous learning, innovation and improvement.

#### **Summary**

Our institution implemented the CAF for Public Administration in 2006. Even though our Good Practice EDBS-students ("Assessment of level of satisfaction and needs of students") won at the 3rd Quality Conference for Public Services in Belgium and later represented the French Community of Wallonia Brussels at the 4QC in Tampere, we noticed, through the results of our self-assessment, a weak point of this good practice (sub-criteria 6.1.e): we had not allowed space for assessment of teaching practices by the beneficiaries.

We therefore wanted to address this gap so we prioritised the action early in 2007. For two years we have worked towards its realisation. The students can now express themselves, anonymously and confidentially, with regard to the teaching practices they receive. But our teacher assessment is in no way a summative evaluation and was never foreseen to be a tool for sanction (for example, no results in a folder, no impact on the career progress, no communication of results to management, etc.). On the contrary: it is formative! The teacher, who is the only one to have access to the results, takes over the evaluation process and goes through it as a means to advance his/her practices, in the spirit of continuous improvement, and it is also appropriate for the sense of quality of the institution. It is, for the teacher, a step in his personal professional dynamics.

Therefore, to help the teacher to respond to the results he obtains, accompanying measures, available on a voluntary basis, are offered to him.

The last phase currently initiated is the creation of a questionnaire for teachers to use so they can give their opinion on the conditions available to them in which to develop their teaching practices (e.g. recommending the use of ICT if the department is under-equipped is useless!). The results are only available to the teachers, who are then free to organise themselves to give notice to management, in order to begin the path to progress and innovation.

Of course, there is no quality management without assessment. All stages of the process have thus evaluated (both among students and teachers): the support (questionnaire), the method (use of the IT platform), the offer of support, etc.

### ***Case 15: Person and organisation: a balance between opportunities and bonds***

**Name of the organisation**

Alma Mater Studiorum – Università di Bologna

**Country:** Italy

**Focus:** People development and involvement

**Keywords:** equity, safety, security, professional

## Summary

Alma Mater Studiorum's Human Resources System is based on job equity, job safety and security and job development. The Human Resources development relies on important and strong relations between organisational and professional development. This system promotes the realisation of:

- actions oriented towards personnel needs;
- actions to improve services and to redefine organisational patterns and frames;
- actions oriented towards professional development and professional profile design for key competencies and core activities (job professional system);
- actions oriented towards valuing individual talents (through diversity management) and organisation citizenship behaviour.

The highlights of Alma Mater Studiorum's HR system are the interaction and linkage between these actions in order to build a coherent action model by using a responsive approach according to stakeholders' needs and sense making.

The evidence of this model includes: free cultural training (i.e.: free enrolment in University courses), staff training (i.e.: Lifelong learning Programmes – Erasmus Mundus), economic and psycho-social background surveys in order to improve Management's decision-making ability with regard to motivation and work satisfaction; planning and creation of professional development systems and of careers with particular reference to the organisational evaluation of the different professions, of the organisational positions and of the capabilities; planning and creation of technical training systems for the staff; organisational guidelines, coaching.

Alma Mater Studiorum's HR System is evaluated through a reporting system, benchmarking with public administrations, self-assessment system (i.e.: CAF), economic and psycho-social background surveys.

The improvement of this model is focused on using stakeholders' feedback: the Plan – Do – Check – Act methodology (PDCA) supported by scientific experts to promote internal professional networking. Alma Mater Studiorum's HR System uses the TQM approach; our maturity level is "I: Initiation" with some system action becoming a strong trend to "R: Realisation". The management by process and facts is one of improving areas; the continuous learning and corporate social responsibility have reached higher maturity levels.

## Principle 6: Continuous learning, innovation and improvement

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

General characteristics	0	Initiation	Realisation	Maturity
<b>6. Continuous learning, improvement and innovation - Definition</b>	The initiation level has not been reached	The organisation learns from its activities and performance and looks for opportunities for improvement.	Continuous improvement is promoted in the organisation, through sharing knowledge and taking into account people's suggestions.	The organisation systematically challenges the status quo, encourages, accepts and integrates innovation and regularly compares its performance to other organisations.

<b>6. Continuous learning, improvement and innovation</b> - Examples		<p>There is an assessment of performance in relevant result areas.</p> <p>Management has started a dialogue with other organisations on how they work.</p> <p>Improvements based on internal assessments and external observation have been initiated.</p>	<p>The organisation starts to incorporate the principles of the PDCA cycle when working with improvements.</p> <p>The organisation exchanges experiences with other organisations.</p> <p>The organisation identifies opportunities and obstacles to innovation and learning.</p> <p>Continuous improvement is supported by the people on a regular basis e.g. by carrying out self-assessments.</p> <p>Management encourages employees to take responsibility for improvement actions.</p>	<p>Management acknowledges the significance of strategic renewal and modernisation in order to accommodate future challenges regarding e.g. customer needs, recruitment, maintenance and political demands.</p> <p>The organisation carries out bench-learning, both internally and externally.</p> <p>Projects/efforts are carried out according to the principles of the PDCA cycle.</p> <p>The organisation uses creative methods to carry out concrete improvement initiatives generating added value.</p>
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### ***Case 16: The use of new technologies as a trigger for innovation in the relationship with the citizen in the Municipality of Heraklion Crete Hellas***



#### **Name of the organisation**

Municipality of Heraklion Crete Hellas

**Country:** Greece

**Focus:** Continuous learning, innovation and improvement

**Keywords:** Client, services, digital strategy, e-government, efficiency.

#### **Summary**

Heraklion is the biggest city in Crete (c. 180.000 inhabitants), the capital of the island and the seat of the region. The Municipality of Heraklion is involved in a number of European networks as a leader and as a partner on a national/European level (i.e. Euro-cities, Balkan Cities, Euro-towns).

One of the main roles of the local government is to serve its clients in the best possible way. Until a few years ago, the client was obliged to come to the main offices in order to be served and, in several cases, they had to make a return visit or wait a few days to accomplish their application.

Today this situation has dramatically improved to the benefit of the client. During the CAF procedure, everybody involved realised how the situation had really changed. Moreover, the citizens who were asked to participate in the CAF demonstrated this fact through the evaluation. In the last few years the local government, through a specific and well organised Digital Strategy realised by European and/or national funds, has made a big progress in that direction.

This policy is based on four main axes:

- (1) Rights to access -36 km. fibrecats (Metropolitan Area Network) connecting 160 buildings of public interest and plus 30 wireless hotspots in the city;



- (2) Digital content (of public archives, historical documents etc.)
- (3) e-Services ( 163 e-services offered, 700 users in the first year applied for 500 e-applications)
- (4) e-Democracy (newsletters, fora, publication of administrative documents)

As a result of the infrastructure and the e-government services offered, the client today is served more quickly and efficiently from his home or office through the internet. The results of the CAF showed us, in the best way, the sectors on which we should focus in order to improve our services and satisfy our clients.

### ***Case 17: Streamlining of the organisation***

#### **Name of the organisation**

The Danish Agency for Governmental Management

**Country:** Denmark

**Focus:** Continuous learning, innovation and improvement

**Keywords:** LEAN, involvement of employees, bench-learning

#### **Summary**

A couple of years ago the management acknowledged the need for strategic renewal and modernisation in order to meet future challenges, such as maintenance of IT systems, recruitment and, last but not least, the expectations from our customers – both citizens and other governmental organisations.

In the light of our challenges an extensive process of change was started including reorganisation, development of new IT systems, and implementation of LEAN and change of the culture.

To achieve the goal of a 30% more efficient administration, LEAN was introduced to the organisation. From the beginning of the LEAN process, workgroups consisting of employees were engaged in adapting the LEAN tools to our organisation and needs. Later, a LEAN organisation was established and in each team employees were made responsible for maintaining the LEAN process.

Ongoing value stream mapping is an important element of developing a new IT system and self-service solutions for the citizens. Last year, we established bench-learning cooperation with another governmental organisation. Value streams were compared. The result was great improvements in the work processes of both organisations.

During the last couple of years, surveys have been carried out among the governmental organisations we work for. The purpose of these surveys was to gain a better knowledge of our customers in order to improve our services. Finding the best way of collecting this information is an ongoing process.

Once year ago, we performed a KVIK (CAF) self-assessment. The KVIK model was used to frame the already ongoing activities and projects in our department and the self-assessment was used to add new vitality to our change process.

During the last couple of years, there have been a number of changes in the way our department is organised. This is due to the merging of departments and a result of our LEAN process. At the moment, we have six teams each with a team leader.

To achieve our goal of creating a role model for administration of subsidies, we have recently begun to exchange experiences with other governmental, municipal as well as private organisations.

### ***Case 18: CAF at the National Institute for Social Security***

#### **Name of the organisation**

The National Institute for Social Security in Italy (INPS)





<b>Country:</b>	Italy
<b>Focus:</b>	Continuous learning, innovation and improvement
<b>Keywords:</b>	Quality policy, staff involvement, performance improvement, innovation and cooperation, dissemination, strong commitment

## Summary

This case presents the experience of INPS, the National Institute for Social Security – with more than 500 territorial seats at national level – in improving its management organisation through the application of CAF by involving stakeholders, personnel, trade unions and management. The Institute is currently undergoing the improvement process.

INPS has always been very careful with regard to the quality policies and tools and experiments with new methods and approaches to realise the continuous improvement and innovation. A number of organisational tools are used in the Institute such as Kaizen method and Six Sigma. In 2007 two territorial seats experimented with the CAF model. As a consequence of the enthusiasm of the personnel involved in the self-assessment, the political support and after an evaluation of the characteristics of the CAF model (which could be used in the whole Institute), the Institute decided to implement a pervasive policy based on self-assessment in more than 20 territorial seats, by involving the stakeholders, the personnel, the trade unions and management. The main aim was to verify the performances of the whole INPS organisation in each part, organisational and managerial, and their relations so as to project and implement improvement plans effectively, which were oriented towards customer satisfaction (both of internal and external clients) and which could be extended to the whole Institute. The CAF model was well-suited to these aims, so that by means of the CAF self-assessment, the Institute was able to go beyond the simple quality control and move towards a control aimed at improving quality in a organised way according to total quality logic.

The key success factors of this experience were: strong commitment, strong communication and involvement of all the stakeholders, well-defined project, responsibilities and timeframes, constant monitoring and support of the management in the realisation of the self-assessment phases, sharing with the stakeholders, SMART objectives, and strong involvement of the personnel.

INPS is currently using CAF policy. The territorial seats are implementing their improvement plans; last year 17 INPS seats received site visits from CAF Assessors; this year four INPS seats applied for the CAF Procedure for External Feedback and many seats are considering applying for the CAF-based National Quality Award.

## Principle 7: Partnership development

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

General characteristics	0	Initiation	Realisation	Maturity
<b>7. Partnership development - Definition</b>	The initiation level has not been reached	The organisation identifies its partners.	The organisation formalises partnerships to reach mutual advantages.	The organisation manages partnerships in a win-win situation to enable delivery of enhanced value and to optimise the use of resources.
<b>7. Partnership development - Examples</b>		<p>Management is aware of the significance of the external relationships and partnerships held by the organisation.</p> <p>The organisation's most important external relationships and partnerships have been identified.</p> <p>The organisation enjoys different kinds of cooperation with external actors.</p>	<p>Management has a clear view of the most important external relationships and partnerships and the development possibilities of these, based on a clearly identified mutual benefit.</p> <p>The organisation is engaged in formalised key partnerships.</p> <p>Employees are aware of the external relationships and partnerships, which are important to their position and tasks.</p>	<p>The organisation ensures systematic partnerships with all significant partners.</p> <p>Regular evaluation of the effectiveness and efficiency of existing partnerships and their improvement is carried out.</p> <p>The organisation engages in the search for new partners.</p>

### Case 19: How to enhance the notoriety of the Regional State Administration Office of North Plain



#### Name of the organisation

The Regional State Administration Office of North Plain

**Country:** Hungary

**Focus:** Mutual beneficial partnerships

**Keywords:** Mutual cooperation, agreement, media connection, conveyance-adoption of good practices, accurate client information, communication strategies, yearly communication plan

#### Summary

There are many administrative offices in the Hungarian republic, and it is hard for a Hungarian client

to know their way around them. In many cases neither the governmental office nor its functions are known by the citizens; furthermore, they do not know the procedures or possess the necessary knowledge for conducting their affairs. The exchange of information between the clients and the governmental offices is unsolved and sluggish. The different offices are unaware of the good practices in the other administrative units.

The administrative office conducted a survey in 2006 on 'what do citizens know about our office, and do they know what kind of tasks are assigned to us?' In that year we identified our clients and partners, and their demands for the services provided by our office. After evaluating the results of the survey we decided to boost the social notoriety and reputation of the office in order to fulfil the demands of our clients and partners, but without forgetting our final goal: the popularisation of the activities of the office.

Seven segments were chosen for relation development towards: **1. the clients, 2. local governments, central and regional administrative offices, 3. civic organisations, chambers, interest groups, 4. media, 5. economic organisations, 6. universities and 7. international organisations.**

The cooperation was primarily stipulated through agreements. In other areas we followed the practices that have been in place for years. We developed unified methodologies. Professional publications (written and electronic) were assembled for our partners. We provide application surveys and regular professional consultations are held; we also organise professional and civil programmes on a regular basis. In certain cases we have developed training programmes for the interested parties and, because of the close proximity of the national borders, we have contacted the similar administrative offices of other countries to share our experiences in connection with our EU activities.

But the most important part is the flow of information and because of that we assigned a very important role to the local media. Because of the well-planned efforts of the last three years, the greatest development was achieved in that field. As a result of the well-founded cooperation the notoriety and reputation of the office have grown considerably as can be seen through the following facts: our media coverage has risen by 300%, we doubled the number of our cooperation agreements, the number of jointly-organised programmes have increased by 20%, and we now have three international connections instead of none.

## ***Case 20: The strategic decision-making of the cultural centres depending on the Council of Education and Culture to improve the deficit areas identified by the CAF evaluation***



### **Name of the organisation**

Consejería de Educación y Cultura. Gobierno de las Islas Baleares

**Country:** Spain

**Focus:** Mutual beneficial partnerships

**Keywords:** Strategy, partnership, external relations

### **Summary**

The state museums, archives and libraries managed by the Council of Education and Culture are developing a series of strategies, with a view to improving the deficit areas identified from the results of the CAF evaluation carried out within these centres.

The General Directorate of Quality of the Balearic Government was requested to help these centres to carry out a CAF self-assessment, which took place from March to May 2009 in the following centres: Museo de Mallorca, Biblioteca Pública de Palma Can Salas, Archivo del Reino de Mallorca,

Biblioteca Pública de Maó, Archivo Histórico de Maó, Museo de Menorca and Museo Arqueológico d'Eivissa and Museo Arqueológico del Puig des Molins.

The CAF self-assessment helped the centres to identify the main improvement areas of the management processes of each centre, from the point of view of those working in them. The following conclusions were drawn:

- the importance of improving the methodology about objectives, strategic planning and drafting of operational plans. There was a clear need to draft and revise the strategic plans of each of the centres to determine what their mission is and the role they play in the context of society;
- the need to open new channels or to improve the existing ones to reinforce the relationships with the citizens, to study and to work with the expectations of different social groups and to improve the services corresponding to the requirements. To that end, a series of surveys were to be carried out at different levels (users, clients and interest groups) to measure whether the planning objectives and the strategic plan of the centre agree with the expectation of these groups;
- the reinforcement of tools of diffusion of the activities that are realised at the different centres, which allow communication with the citizens to be improved;
- the importance of improving internal communication. In this respect, the introduction of the system of quality management in the processes of internal management can contribute towards improving this area, as well as favouring a greater concretion in the functions of the personnel doing the work.

The Council of Education and Culture (consejera, Bárbara Galmés) and the directors of the state museums, archives and libraries involved in the programme had a meeting to find out the results of this first phase of the evaluation. From this information, the directors of the cultural centres agreed upon the importance of introducing correcting measures to improve the weak points that were defined by the staff of each of the centres and to put into place a programme of continuous assessment that allows the realisation of the objectives defined in each centre to be checked.

To that end, we will continue to gather information to complete the needs analysis of all the centres and to give continuity to the Action Plan, which the Autonomous Region promotes with the aim to put these cultural spaces at the level that corresponds to them, opening them up clearly to the citizens and giving value to the patrimony they are managing.

## ***Case 21: The introduction of CAF in Styrian District Authorities***



### **Name of the organisation**

Government of the province of Styria and Styrian District Authorities

**Country:** Austria

**Focus:** Mutual beneficial partnerships

**Keywords:** Reaching synergies between CAF Users, communication and cooperation within the authorities, organisational development, leadership, improvement of performance, strategic issues, sustainability.

### **Summary**

Styria is one of nine Provinces of Austria: administration levels are the Government of the Province, 16 Districts (plus the Capital of Styria – Graz – special construction) and local authorities. The execution of the CAF self-assessment process took place as individual projects within nine district authorities from 2009-2010. With the help of the CAF self-assessment, the district authorities received an overview of their current performance and their potential for improvement. Due to these findings CAF action plans have been developed. The central management of the CAF process through the regional government of Styria allows for synergies between the CAF Users to be reached; for example, client and employee satisfaction can be developed together and used individually by all

district authorities. This leads to continuous improvement based on benchlearning and cooperation. Working with CAF was successful: improvements were reached in different areas. A current evaluation shows what the benefits are of implementing CAF, what should be improved, and what the most important points to reach sustainability are. At the Conference we will present on how implementing CAF worked in Styria, what experiences we have had, and the next steps.

## Principle 8: Corporate social responsibility

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

General characteristics	0	Initiation	Realisation	Maturity
8. Corporate social responsibility - Definition	The initiation level has not been reached	The organisation is aware of its impact on society (social and environmental).	The organisation is actively involved in activities related to social responsibility and ecological sustainability.	The organisation meets or exceeds the major expectations and requirements of the local and - where appropriate - the global community.
8. Corporate social responsibility - Examples		<p>The organisation makes a distinction between its mission and its corporate social responsibility as a public institution.</p> <p>The organisation identifies the areas of impact in terms of social, economic and ecological issues and impact on the media.</p>	<p>The organisation works on mutually beneficial projects on societal issues.</p> <p>The organisation has started to implement initiatives that have an impact on social, economic and ecological issues and on the media.</p>	<p>Management has defined a vision on relevant issues concerning corporate social responsibility, and employees share this vision.</p> <p>The organisation integrates this vision into the strategy and action plans.</p> <p>The organisation promotes opportunities and develops initiatives to work on mutually beneficial projects with society.</p> <p>The organisation has carried out measurements of corporate social responsibility and ecological sustainability in some areas and the results have been discussed.</p>

### Case 22: Specialty practice performed by students of the West University of Timișoara, at the Institution of the Prefect – Timiș County



#### Name of the organisation

The Institution of the Prefect - Timiș County

**Country:** Romania

**Focus:** Corporate social responsibility

**Keywords:** Sociological inquiry, European funds, Partnerships

#### Summary

The partnership between the Institution of the Prefect - Timiș County and the West University of Timișoara (WUT) is substantial in terms of:

- consolidating the theoretical knowledge and training the abilities of WUT students to apply them

in accordance with the specialisation for which they prepare;

- improving the employment opportunities for graduates of WUT;
- improving the activity of the Institution of the Prefect - Timiș County by using the competences of the human resources available through the specialty practice of WUT students.

On 30 March 2007, the first Cooperation Agreement regarding the specialty practice of the students of the Faculty of Political Science, Philosophy and Communication Sciences at the Institution of the Prefect - Timiș County, was signed between the Institution of the Prefect - Timiș County and the WUT.

In 2008, according to the Cooperation Agreement, a sociological survey concerning the level of information of the Timiș county population, on the fields of competence of the Institution of the Prefect - Timiș County, was conducted by WUT students who performed specialty practice at the Institution of the Prefect - Timiș County.

One of the future objectives of the partnership between the Institution of the Prefect - Timiș County and the WUT, is preparing a funding application through the European Social Fund, regarding an internship programme in the public institutions of Timis County. This project comes in response to the need of the students to gain work experience before completing the university studies and to assess their skills in public administration; meanwhile, the Institution of the Prefect – Timiș County will benefit from support for its activity, in terms of personnel.

In total 40 students have benefited from performing the specialty practice at the Institution of the Prefect - Timiș County in 2007, 45 students in 2008, and in 2009 the specialty practice of 28 students began.

### ***Case 23: Reflections about the museum and social integration in the Museum of Mariemont***



#### **Name of the organisation**

Musée de Mariemont

**Country:** Belgium

**Focus:** Corporate social responsibility

**Keywords:** Social integration, socio-economically disadvantaged visitors, social help centres

#### **Summary**

From the beginning of the 1990s, following a general report about poverty in Belgium, the royal Museum of Mariemont – directly depending of the General Directorate of Culture of the Ministry of the French-speaking Community of Belgium – developed an integration policy for socio-economically disadvantaged visitors. Together with the social help centres of its region, the museum elaborated several projects aiming to use the museum's facilities to assist the emancipation of the society's most fragile people. The most ambitious project, from this point of view was about the creation of a "Maison des arts et du patrimoine social" (House of arts and social heritage"), which acted from 1993 to 2008. Every year, about twelve beneficiaries earning the minimum wage, all on the fringe of society, followed a specific training throughout the year, including more than a hundred teaching hours, including theory and practice.

This project, which is new in French-speaking Belgium, allowed the museum to evaluate its integration possibilities towards a public that never spends time in such institutions. On the other hand it also highlighted the limits of such a partnership, together with the importance of the human aspect (between the museum team and the social structures), which is useful for future projects. The ending of the “Maison des arts” in 2008 led to a better comprehension of the difficulties of such partnerships, also with regard to the general functioning of their philosophy and goals. The principle of social integration is not always well appreciated in the light of social and professional integration logic.

With those diagnostics in view, the Museum is setting its reflections farther, developing new projects and seeking new partners.



### 3. The CAF External Feedback Procedure<sup>44</sup>

The CAF External Feedback procedure has been developed to provide added value to CAF implementation in public sector organisations. This chapter describes the main aspects and principles of the procedure, the more concrete functionalities and the roles played by the different actors.

#### 3.1 The background and objectives of the CAF External Feedback

##### *The demand for External Feedback*

Since the launching of the CAF in 2000, its implementation and use has undergone a remarkable evolution. In the beginning years, CAF was mostly seen as a tool to help managers and people in public organisations to carry out a self-evaluation in the light of the blueprint of an excellent organisation. After a few years, the focus shifted from the self-assessment to the improvement cycle and the implementation of modern management instruments in the different areas covered by the 9 criteria and 28 sub-criteria of the CAF model. By doing so, public sector organisations wanted to respond to the 8 principles of excellence and grow towards an efficient and effective organisation.<sup>45</sup>

But public sector organisations also wanted to see the results of all their efforts and were looking for feedback. This is how the idea grew to create a system of external feedback on the introduction of total quality management with the help of CAF – not only on the self-assessment process, but also on the way forward organisations had chosen to reach for excellence on the long run. This external feedback by peers and experts in TQM would help them to see more clearly in what had been done and open new perspectives for the quality work in the future. Furthermore, to make their successful efforts visible internally and externally, the delivery of a CAF label can reward those who use the CAF in an effective way. On the basis of these ideas a consensus was found among the Member States of the EU to create a new procedure and a new quality label: the CAF External Feedback Procedure and the Effective CAF User Label.

A pilot group within the European CAF expert group (in the EUPAN network) comprising Belgium, Denmark, Italy, Luxembourg, Slovenia and the European Institute of Public Administration (EIPA) and supported by EFQM, has set up the CAF External Feedback procedure, which was approved at the meeting of National CAF Correspondents.<sup>46</sup>

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<sup>44</sup> Staes, P. & Thijs, N. (2010). From self-assessment to external feedback. The CAF External Feedback Procedure – labelling effective CAF users. *Eipascope* 2010/01, pp. 9-14.

<sup>45</sup> Thijs, N. & Staes, P. (2008). Applying the Common Assessment Framework in Europe. In: Julnes P., Berry F., Aristiguette M. and K. Yang (eds.), *International handbook of practice-based performance management*, Sage, California, p. 455-485.

<sup>46</sup> Meeting of National CAF Correspondents, Oslo 28 September 2009.

### ***The objectives of the CAF External Feedback Procedure***

In relation to the nature of the needs and the kind of demands expressed by many CAF users in different Member States the CAF External Feedback aims at many important objectives.

- Firstly; *Support the quality of the CAF implementation and its impact on the organisation.* The CAF model was launched as an instrument for self-assessment and organisational development. The use of the CAF serves internal reasons. To serve this purpose even more the CAF External Feedback gives organisations the possibility of receiving feedback on their CAF application and the quality journey launched in the organisation.
- Secondly; *Find out if the organisation is installing TQM values as the result of the CAF application.* On the basis of the CAF are a number of TQM values (*supra*). By working with the CAF model these values should become overtime part of the culture of the organisation. Working with the CAF makes organisations focus on certain important elements of TQM and makes them aware of the necessity for well performing organisations to incorporate the values into the daily life.
- Thirdly; *Support and renew enthusiasm in the organisation for continuous improvement.* One important element in a good CAF self-assessment is the creation and implementation of an improvement plan. It is demanding for organisations to keep the pace of change ongoing over a longer period of time. Many organisations loose attention and track after a period (as shown the figure above). To keep the attention on the improvements the external feedback comes in the organisation at a perfect moment to see if the organisation is still working on its improvements as planned, the organisation can not afford to drop attention and its motivation.
- Fourthly; *Promote peer review and benchlearning.* One of the primary aims of the CAF is to facilitate organisations to learn from each other. With the CAF External Feedback a new opportunity is in place to learn from other organisations, to receive useful feedback from experienced users, colleagues, peers who have been through the same process and faced the same difficulties.
- Fifthly; *Reward organisations that started the journey on continuous improvement toward excellence in an effective way, without judging their obtained level of excellence.* The CAF is a starting point for many organisations in working on quality in a structured way. The CAF External Feedback wants to stimulate organisations who have taken this way into quality. The Procedure is recognising the organisations for the attempts it is undertaking, for the direction it has chosen and the way how this is done.

Does the implementation of the CAF model in an organisation always need External Feedback? The answer to this question is not necessarily yes. Lots of organisations used the CAF in a very effective way and achieved wonderful results on their way to quality management. This can still be the case in the future. Organisations that do not need this kind of external feedback do not need to enter into this procedure of CAF External Feedback. This external feedback is simply created to further support organisations in the use of the CAF and their future quality management journey in the most effective way by providing

external feedback on well chosen issues, brought together in 3 pillars of the CAF External Feedback procedure.<sup>47</sup>

### ***The fundament of the CAF External Feedback Procedure***

The basis of the CAF External Feedback procedure is formed by two main elements: the steps that the users have to make to apply the CAF and the 8 principles of Excellence.

The CAF model is more than a simple tool, it is a catalyser for a full improvement process in an organisation. The process of applying the CAF can be described in 10 general steps. These 10 steps can be seen as the driving guidelines of a good CAF application. Therefore these steps are the first important element in the CAF External Feedback System. The 10 steps are divided over 3 major phases. Phase 1: the start and the

launching of the CAF process, Phase 2: the self-assessment process and Phase 3: the use of the results of the self- assessment in the making of an action plan and launching the improvement actions in the organisation.

The second part of the fundament of the CAF External Feedback Procedure is the 8 principles of excellence. As a tool of Total Quality Management, CAF responds to the fundamental concepts of excellence: results orientation, citizen/customer focus, leadership and constancy of purpose, management by processes and facts, involvement of people, continuous improvement and innovation, mutually beneficial partnerships and corporate social responsibility (*infra*). It aims to improve the performance of public organisations based on these concepts. Focussing these principles is a second important aspect in the CAF External Feedback Procedure.

#### **Phase 1 – The start of the CAF journey**

Step 1: Decide how to organise and plan the self-assessment  
Step 2: Communicate the self-assessment project

#### **Phase 2 – Self-assessment process**

Step 3: Create one or more self-assessment groups  
Step 4: Organise training  
Step 5: Perform the self-assessment  
Step 6: Prepare a report describing the results of self-assessment

#### **Phase 3 – Improvement plan/prioritisation**

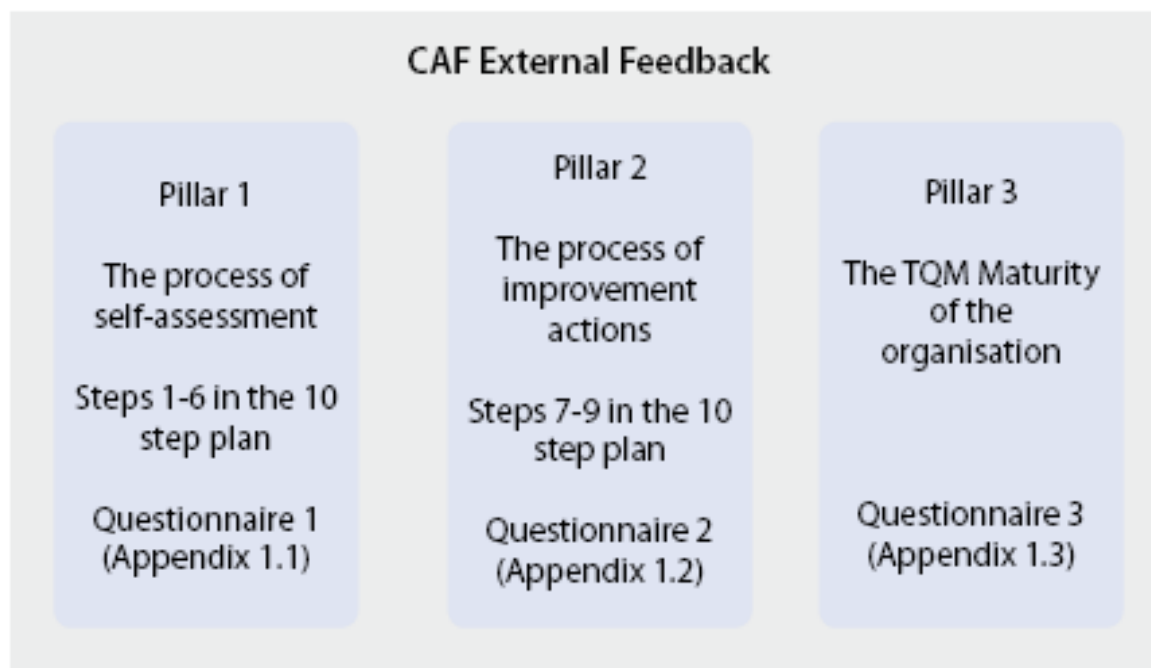
Step 7: Draft an improvement plan, based on the accepted self-assessment report  
Step 8: Communicate the improvement plan  
Step 9: Implement the improvement plan  
Step 10: Plan the next self-assessment

<sup>47</sup> The general principles of the Procedure were approved by the meeting of the Director-Generals in the EUPAN Network during the Slovenian Presidency of the EU in June 2008 and further discussed in IPSG during the French Presidency in the second half of 2008 and the Czech and Swedish Presidencies in 2009.

## 3.2 The functioning of the CAF External Feedback

### *The 3 pillars of the CAF External Feedback: ambitions and philosophy*

The CAF External Feedback System is built upon 3 pillars, which are described into detail in the CAF External Feedback brochure and in various questionnaires and scoring guides, both for applicant organisations and the CAF External Feedback Actors (the ones giving the feedback).<sup>48</sup> We will describe the major lines of the pillars below.



#### ***Pillar 1: The process of self-assessment***

The quality of the self-assessment is the basis for how well future improvements succeed. The first pillar of the CAF External Feedback focuses on the quality of the self-assessment process. An in-depth examination of the steps 1-6 of the 10-step process described above will be analysed to determine the quality of the process. For this purpose a questionnaire is developed for the assessment of these different steps. A questionnaire has been formulated to assess these steps. The questionnaire covers the first six steps and does not aim to validate the scores given in the CAF self-assessment. All these steps are translated into particular actions and all of them are evaluated by the 'CAF Feedback Actors'.

Self-assessment process (Pillar 1)	
Step 1 - Decide how to organise and plan the self-assessment (SA)	
1.	Assure commitment and ownership of the management for launching the process.
2.	Assure a clear management decision about carrying out SA in consultation with the organisation , the scope of SA (SA covers the

<sup>48</sup> EUPAN (2009), Effective CAF User Recognition brochure, 90 p.

	whole organisation or only parts/units/departments....) the overall objective of SA
3.	Define the framework for SA process and the following actions, planning the SA activities
4.	Appoint a SA process leader with a high level of knowledge of the organisation or constitute a SA Committee headed by the SA process leader
5.	Define the scoring panel to be used
6.	Allocate resources for SA and define how to prioritise resources distribution

The scoring in this evaluation is based on clear and simple 5 level evaluation scale, from level 1 (limited) through to level 5 (outstanding). The scheme recognises the ability to make an effective and well thought out self-assessment that increases the organisation's understanding of the fundamental concepts required to achieve excellence. In an effort to support the organisation, this brief details each activity under the evaluation scale, defining the interpretation of the organisation's current situation with regard to the specific theme. An example of the first activity of step 1 is given below. The other activities and steps in this pillar are evaluated in the same way.

Step 1 - Decide how to organise and plan the self-assessment (SA)					
Activities	1	2	3	4	5
<b>1. Assure commitment and ownership of the management for launching the process.</b>	There is no evidence of commitment and ownership of the management	There is some evidence of commitment of the management for launching the process, but limited to a part of the involved managers	There is evidence of commitment and ownership of the management for launching the process	There is clear evidence of commitment and ownership of the management for launching the process, as guide and sponsor, communicating the targets and advantages	There is strong evidence of commitment and ownership of all the involved management for launching the process, as guide and sponsor, communicating the objectives and advantages and participating to the project definition

### ***Pillar 2: The process of improvement actions***

Following the self-assessment and a good diagnosis with the CAF, the next important element of an effective CAF implementation is to do something with the outcome. Conclusions have to be prioritised and translated into an improvement plan covering a (limited) list of considered actions to be carried out over a maximum of two years. This phase of the CAF implementation focuses on the second pillar of the CAF External Feedback Procedure and it covers steps 7-9 of the 10-step process. The steps all take a detailed look at the improvement plan: is the plan of good quality, how is it composed, communicated and monitored? The CAF External Feedback covers the planning and improvement process and is not meant to assess the results of the improvement actions.

As in pillar 1, all these steps are translated into particular actions and are evaluated against the same 5-point evaluation scale.

Steps in Pillar 2
Step 7 – Draft an improvement plan, based on the accepted self-assessment report
Step 8 – Communicate the improvement plan
Step 9 – Implement the improvement Plan

### ***Pillar 3: The TQM maturity of the organisation (the broader scope of excellence)***

One of the aims of the CAF model is to guide public-sector organisations closer to the important values of Total Quality Management. By working with the CAF model these values should, over time, become part of the organisation's culture. Working with the CAF should also make organisations focus on certain important elements of TQM and make them aware of the need for efficient organisations to incorporate these values into everyday practice. The third pillar of the CAF External Feedback focuses on these TQM values and the shifted focus after applying the CAF model to these values.

The questionnaire for TQM Assessment Maturity is based on these eight Fundamental Concepts of Excellence. The evaluation concerns the maturity level achieved by the organisation as a result of the self-assessment and the action plan. The evaluation of the TQM Maturity determines the extent to which the institution has succeeded in implementing holistic quality development values through the self-assessment and improvement process. The aim is therefore not to evaluate the real results of the improvement activities and their quality, but to evaluate whether the self-assessment has stimulated the introduction and development of a culture of excellence within the organisation. The evaluation scale has four levels: a level where there is nothing found, an initiation, a realisation level and a maturity level.

These different maturity levels are illustrated by concrete statements for all eight fundamental concepts. We present here as an example criteria 1 on “*leadership and constancy of purpose*”.

General characteristic	0	Initiation	Realisation	Maturity
<b>1.Leadership and constancy of purpose</b> - Definition	The Initiation level has not been reached	Leaders establish a clear mission statement.	Leaders establish vision and values. They drive and inspire people towards excellence.	Leaders demonstrate the capability to keep the constancy of purpose in a changing environment.
<b>1.Leadership and constancy of purpose</b> - Examples	The Initiation level has not been reached	Leaders provide the organisation with a well defined mission according to legislation and regulation requirements, as well as taking into account the stakeholders' expectations.	Leaders provide the organisation with the definition of mission, vision and values and share it with the people in the organisation.  Managers at all	Stakeholders are confident about the constancy of purpose and steadiness of management.  Managers are perceived as role models.  The quality of

			levels are focused on bringing the mission, vision and values into practice.	management has been measured e.g. through management assessment or job satisfaction measurements.
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### 3.3 The implementation of the CAF External Feedback

#### *The implementation of CAF External Feedback at national level*

The guiding principles in elaborating the CAF External Feedback were simplicity, transparency and subsidiarity. By following these principles, it places the implementation of the CAF External Feedback in the hands of the different EU Member States – it will differ in accordance with the centralised/decentralised nature of the public administration organisation, the role of CAF National Correspondents, the number of CAF users, the resources available and several other circumstances. Despite their different approaches, Member States will have to consider and follow some general common guidelines for the CAF External Feedback. By following this minimal quantity of guidelines, Member States will guarantee that all CAF External Feedback processes organised in their respective countries assure the same quality as in the other EU Member States and that, as a consequence, the ‘Effective CAF User’ label means the same thing all over the European Union.

A National Organiser is appointed at national level to take charge of implementing the CAF External Feedback in the country. The National Organiser selects a core group of CAF External Feedback Actors (the evaluators), organises training for them at national and/or European level, distributes the workload amongst them and evaluates their functioning at regular intervals. The underlying principle of the CAF External Feedback is that organisations can make use of it at minimum cost.

#### **The Role of the European CAF Resource Centre**

Besides managing the CAF database, the European CAF Resource Centre at the European Institute of Public Administration (EIPA) in Maastricht supports the Member States in implementing the CAF External Feedback Procedure using a number of initiatives: promoting the CAF External Feedback at European level, introducing the National CAF correspondents to this procedure, offering a common European training scheme for CAF External Feedback Actors, and coordinating support for Member States that do not use a National Organiser.

The network of the National CAF Correspondents reports at regular times to the Director-Generals of the European Public Administration Network (EUPAN), through the Innovative Public Services Group. In order to play its coordinating role, the CAF Resource centre receives information from the Member States on the National Organiser in the different Member States.

## **Roles, Tasks and Profile of the CAF External Feedback Actors**

The main task of the CAF External Feedback Actors in the Procedure is to:

1. analyse CAF implementation through the process of self-assessment and improvement actions and to check whether the organisation is installing TQM values;
2. give feedback and suggestions on strengths and areas of improvement in the process of implementing the CAF;
3. support and renew enthusiasm in the organisation to work with holistic quality development and self-assessment according to the CAF Model.

One of the goals of the CAF External Feedback is to promote peer review and bench-learning within European public administration. It is therefore recommended that the CAF Feedback Actors should be peers from the public sector.

Being a CAF External Feedback Actor requires a balance of personal and professional skills coupled with a commitment to timely and appropriate conduct. In order to be able to conduct the CAF External Feedback process competently, the CAF Feedback Actor needs to have a broad knowledge base and experience with management processes and development and change processes in public sector organisations. The CAF Feedback Actors can gain the necessary competencies from a variety of sources including work experience, past assessment experience (e.g. EFQM assessor), education and training.

The CAF External Feedback Actor does not need to have been a manager and trained as an EFQM assessor or validator, but the competencies achieved by such training are highly useful in the feedback process. However, it is essential that the CAF Feedback Actor has participated in and passed the European or national training course required to become CAF Feedback Actor (acknowledged by the National CAF Correspondent).



## **Part 3: Supporting tools on the road to excellence**

## **Introduction**

The 4<sup>th</sup> European CAF Users Event was organised amidst the festive atmosphere of ten years of CAF and it built upon the eight principles of excellence. But that does not mean that there was no time to discuss issues arising while implementing the CAF. Three topics passed the review: Change Management, Strategic Management and Performance measurement/monitoring. Seven speakers each presented their vision on one of these topics. This part of the publication brings together the texts of the keynote speakers.

### **Article 1 Change Management**

Michael Schindl (Schindl Rugchase Partners and European University, Munich)

### **Article 2 Strategic Management**

Luc Lathouwers, Secretary General & Inge Lynen, Advisor Flemish Government, Department of Government Affairs

### **Article 3 Performance measurement/monitoring**

Åge Johnsen, Professor of Public Policy, Faculty of Social Sciences, Oslo University College

## Article 1 Change Management

### “Just implement it!”

#### *Why change initiatives fail so often and how it can be avoided*

Michael SCHINDL, Schindl Rughase Partners and European University, Munich<sup>49</sup>

This contribution is about organisational change. It will illustrate that fatal misconceptions about the **nature** of change are the reason for the irresponsibly high failure rate of change initiatives in organisations (estimated at up to 85% by practitioners, including those change initiatives that lead to **something** - yet not entirely to the intended result).

This contribution is also about quality. It deals with the surprising fact that, although “human capital” is the most important cost factor in most public organisations, it is often wasted as there is little awareness of **process quality** when it comes to change. “Just implement it!” is the assumption, advice and order given to those who are in charge. Too often, the results are a disrupted organisation, cynical employees, ineffective work and the complete loss of trust. *“It is generally much easier to kill an organization than to change it substantially.”*<sup>49</sup>

This contribution is about how to avoid these unintended results by taking a fresh view towards change and its phenomena to make change efforts more effective. It proposes a new set of “drivers of change” as opposed to the ones typically used and will present an integrative change process design that can be handled in a public organisation environment with its limited room for manoeuvre.

#### ○ The Potemkin village

An introduction

It is told that Grigory Potyomkin, Minister of Katharina II, Tsarina of Russia in the 18<sup>th</sup> century, had erected fake settlements with happy peasants, that were intended to comfort the monarch and make her believe that “everything was fine in her empire” while she was on an inspection trip through her country.

True or not – the analogy to what one can experience when visiting organisations during an ongoing change initiative is astonishing. Managers talk enthusiastically about the progress achieved and the importance of goals to be reached, while happy employees have “no questions” and “no problems”. When the official visit is over, reality hits back – typically in

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the kitchen or canteen. *“You know what,”* one senior employee confessed to me on such an occasion, *“today we take twice as much time to produce a weaker result than we did before our ‘efficiency initiative’”. This is the result of the new workflows that were forced upon us. Nobody knows his way and people are dissociated from their working results. I tried to raise that topic yet nobody up there is interested in hearing it. Why should I engage anymore? And many of us think like me now.”*

How is it possible that the tales of employees about a change differ so fundamentally from those of managers? Is it that these managers are just “stretching” or beautifying organisational reality when they present success stories about their change? If yes, that would be a scandal.

Unfortunately, the answer typically is worse: they actually believe their own stories. The drivers and tools they were instructed to use or use intuitively typically create “organisational silence” around them. Bottom-up feedback and honest communication is stopped, “bad news” is filtered out and very modest positive results are blown out of proportion into “breakthroughs”. However, the real source of the resulting self-delusion is that managers, while desperately trying to achieve the **goals** of change, rarely dispose of a clear understanding about the **nature** of change. This, in return, causes dramatic consequences for their organisation.

### ○ A fool with a tool remains a fool

Setting the basics for failure: using questionable drivers of change

It is obvious that understanding the nature of change on the level of the individual, i.e. to understand what change means and entails for the individual person and which related difficulties he/she has to overcome, is paramount for somebody who wants to achieve change within whole **groups** of people.

Nevertheless, typically, this is not part of managerial education (despite the subject “Change Management” in modern universities’ curricula). As a result, the market of management fads flourishes and the manager – lacking substantial understanding about change – is easily fooled by the tools that are proposed. That is not to say that all of these tools are wrong; yet they are only helpful in the hands of someone who understands change as such and therefore is really able to distinguish questionable tools from applicable ones and knows how to adapt them to a specific situation. However, many tools suggest that one could achieve success without that deep understanding of change.

No wonder that observing and talking to managers in practice about their ideas on how to drive change shows a shocking set of beliefs about the drivers to use:

- change management is a normal day-to-day management job and does not require any specific approach or method - it is just common sense;
- change is just a question of strong leadership and charismatic leaders;
- change is about fear of the new – we have to overcome that;
- change is driven by a vision and motivational speeches to overcome fear;

- change is resisted because people want to keep the status quo – therefore you have to apply strong will and power to overcome that;
- change is driven by training of the individual;
- change is achieved by a dislocated project run by the most promising people in the organisation (champions) and will later be “rolled out”;
- change is driven by communication and is therefore to be delegated to HR and Communication departments after being initiated by top management;
- if change is not happening with these drivers you have to apply force.

One would expect a deep understanding of change and its related phenomena by the operator of such drivers and tools. Nevertheless, it is extremely rare that managers are able to answer the following question in a reflected and convincing way:

“What is the nature of change – not at an organisational, but at the individual’s level?”

The standard answers are “Change is inevitable” or “Change is the nature of life” or “We need change”. More thoughtful answers range from “Change is difficult” to “Change means getting rid of old habits” and “Change means learning new things” or “Change creates fear”. And nearly everybody states: “Change is resisted.” Well, at least this should then motivate inquiries into its nature.

To back up my practical although limited survey<sup>ii</sup> I desperately tried to find surveys about how managers understand change (their cognitive approach) – but with no result. Instead I found evidence that might speak for itself: nearly every management book related to change underlines and argues the necessity of change, while there was rarely<sup>iii</sup> one found that creates a framework about its nature and meaning on the level of the individual.

As a negative example one can take John P. Kotter’s bestseller “Leading change” which is widely respected in the management community: there is not a single paragraph that reflects the nature of change at the individual’s level – nevertheless, a tool is presented (the eight-stage process of creating major change, in: Kotter, John P. (1996); “Leading change”, Harvard Business School Press, “An action plan from the world’s foremost expert” (promotional cover headline)).

It has to be stated that change lacks a methodological foundation in practice and apparently in business literature too. The public image that is promoted of change managers is one of a lonesome cowboy standing upright and fighting through with a strong will and an iron fist. As a result, tools are applied without awareness about their side-effects in practice. Ironically, these side effects **create** the resistance that the tools wanted to inhibit. An excellent negative example can be seen with the case of Carly Fiorina, former chairwoman of the computer company HP. She ran a change process that reduced the value of the company by half, drove customers away and left thousands of frustrated employees - not to mention the fifteen thousand she had dismissed. She built her change process on beliefs like those enumerated above (points 1-9); just applying tools while having a very questionable understanding of change as such herself<sup>iv</sup>.

## ○ Understanding change: values as decisive drivers of effectiveness

A short inquiry into the source code of the organisation

*“...the effectiveness of employees can be maximised only if their values and that of the organization are not in conflict...”*<sup>v</sup> Already back in 1986, Russell Ackoff, one of the most respected “grandfathers” of management science pointed to that important finding, the result of many surveys. Effectiveness of employees is aimed at **any** change initiative (no manager wants to change in order to be less effective afterwards, no matter what the change involves). Consequently, one has to ask **how** organisations and employees would achieve such an identical idea about values in a change initiative. And one has to understand **what** values are and which **role** they play in the individual’s effectiveness.

Values are functioning as intra-personal measures. If someone uses something as a measure of his actions and judgements it can be called a value. Values develop over a long time as a result of bestowed character traits, education, experiences from life and the environment people grew up or live in. The question is not, whether values are “good” or “bad”. Such a categorisation is a question of ethics not discussed here. No, it is their **function** that is decisive in our context.

At the individual’s level values work as decision drivers. Their function is to reduce the complexity of the manifold and thousands of decisions a person is confronted with. They assure relatively quick decisions being a one-fits-all measurement ready at hand. As such, values are an essential element of survival in an environment that potentially would overstrain people. Last but not least, values are important as a focal point of self-reference: I am, because I know how to be.

At group level values have several functions<sup>vi</sup>.

Firstly, they serve as mutual reinsurance about personal safety. If I know the measures of others around me, I can assess the actual level of danger. Secondly, they serve as “identifier”: does someone belong to a group or not – or, vice versa, could I feel “at home” in a group?

Thirdly, they reduce the level of necessary communication to achieve a certain result efficiently. I can be sure that the other group member will correctly round up everything that was not explicitly discussed or formulated before by the help of a measurement system we share and have mutually checked beforehand. Technically speaking, values are the “source code” of the “operating system” of an organisation.

Exactly these three functions, “feeling safe”, “feeling at home” and “silent efficiency” are of enormous importance to the effective functioning of any organisation. This raises the question of how such identical values can be achieved within a group. Yet, before clarifying this question let us check the relationship between values and change.

### **The nature of change: people don’t resist change; they resist being doomed to lose.**

A short guided tour to change from the perspective of the individual

In the end, change means that people act and work differently. Existing, long established workflows are replaced by new ones. New methods, instruments or technologies are applied. Different outputs or qualities of output are expected from employees. Their roles are changed, their competences are reduced or altered, and other

abilities are required. Their superiors are replaced and last but not least – if they are the lucky ones who remain in their jobs – many employees will find themselves with new colleagues in a different department. The list of instruments of torture can easily be – and typically is prolonged: new visions and missions formulated in a politically correct manner by consultants and communication departments, “strategic objectives” that turn out to be just short-term cost cuts and a higher workload to achieve all that.

In fact, change is a total attack on the organisation’s way of working, a way which has been carefully established over many years. And the foundation of this well balanced way of working, its “architecture and statics” is the organisation’s “source code”: shared values of its members. Together they have developed the environment they are working in today and together they share (silently) the values that ensure it and created what is called “**organisational identity**”<sup>vii</sup>.

So, what seems so easy (“change your way of working – can this be so difficult?”) ends up putting the organisational identity and the values into question.

In doing so, we also put the individual and his/her identity into question. **It is the nature of change that it endangers identities.**

Of course, no one will easily accept being stripped of his identity. Working with the European Commission in a change project I once had a baffling conversation with a very competent senior official. Asking him why he was so cynical and demotivating towards younger colleagues in solution-finding workshops, he said: *“I joined the Commission because I wanted to help to create a greater Europe. I am one of the many older officials who have devoted their work life to making that come true. This understanding of our work, or better “vocation”, has become our second nature. That is why we often worked till late in the evening. These external change experts now try to force us to become “managers” – which is the complete opposite of our existing role as policy creators. If I would have liked to become a manager instead of an expert official developing policies I would have chosen to do so on my own 20 years ago.”*

One might think that “identity” is a luxury that should not be respected in the rational world of organisations. Well, if top managers ignore the importance of identity of people from all ranks, they carelessly take away a decisive success factor from their organisation. Only people who believe that they **can** make a difference **will** make a difference. People who do not link their idea about themselves to a role in an organisation and to its objectives, will neither be able to nor care about the effectiveness of that organisation. Identity is not something you can assign to people at the entrance and recollect back in the evening.

Of course, identity is not the only thing in danger when organisations are pushed through a major change: it is also individual capital that is endangered. When managers attribute a new role and a different understanding of work and workflows to the individual, managers devalue the capital this individual has built up through years in a single instant.

What is this **capital**? After starting as an employee, typically people need years to understand how this organisation really functions – and some never do. *“The hidden rules of the game – I needed three years to understand them. Only then, I started to achieve what I wanted in this organisation. Today I know exactly to whom to speak and whom to inform*

*and from whom I get the real information. This network is my success factor here.”* said a younger employee with an impressive career track.

Changing the organisation means that most peoples’ networks get at least damaged. New “rules of the game” do emerge and employees have to start from scratch while thinking they had already secured their position. Of course, those at the top don’t bother. The fact that they had prepared the change initiative and that middle managers did not know about it before proves that they are not players but objects of the game – one more reason for them to defend the little “capital” they have and to fight against new non-transparent rules.

In addition to losing their network and their understanding of the organisation, employees also see their existing abilities and historic achievements devaluated. *“I should have become department head in two months after having fought for it for many years. I always was the one who worked on Saturdays and postponed holidays. Now, we have changed our company language to English and I was told that I won’t get this job as my English is not good enough. Nobody requested that before!”* said one 55-year old woman in a large German insurance company.

**It is the nature of change that it potentially devaluates or even destroys the employee’s capital:** networks, values of abilities, value of historical achievements, knowledge about hidden rules and about the way how to achieve something. As a result, the risk of failing in the future considerably increases for the employee.

Change takes over control of the individual’s future and puts it in a black box, destroying the few elements in his hand that had guaranteed a satisfying work life until then: identity, network, other elements of his capital and a predictable future.

In addition to that serious threat the values coming with the new vision, mission, strategy etc. cause tension or cut the emotional link between the organisation and the individual. *“Yes, quality was a sacred cow in our company.”* said one service representative of a global car maker, *“Yet this was what made us different. Now we are just another ordinary car manufacturer – this is not my company anymore. I feel so ashamed when clients complain.”*

Last but not least, there is the necessity to acquire new abilities, to figure out the new rules, to deal with workflows and an organisational structure that are still nebulous, to rebuild a network and to considerably reposition in the career game challenge employees’ acceptance for a change.

Much to lose, little to win: that is the nature of change at the level of the individual. How can one expect that the individual would support that? It is not change that is resisted, it is *losing*. Does this mean that organisations cannot be changed?

### ○ **Whoever is not part of the solution will be part of the problem.**

Design principles for change processes that work.

So far, the article has described why people resist losing their investment, perceived as “resisting change” by top managers. When connecting these findings to typical change approaches (see above, points 1-9), it becomes obvious that these recipes cannot work.



Neither nice, precooked, lukewarm visions presented at so-called “kick-off meetings”, nor management force, gilded as “robust leadership”, will simply convince employees that they will emerge as the winners from that change. Quite the contrary will be the case: it will increase the individual’s feeling of being in danger.

### **What else should a change process look like?**

Analysing that “feeling of losing” which underlies resistance it can be discovered that one deals with a “*feeling*” about the future, not a *fact* about the future in change processes. It is still open as to whether the individual will or will not lose. It is this “feeling” top managers have to consider and care about in a change process.

Would motivational speeches help, telling people that everything will be fine? Experience proves the contrary. People are definitely too clever for that. They want to check for themselves – nothing less than their identity, past investment and future is at stake. So the worst thing one can do is to exclude people from information or to engage in salami-slicing tactics, favouring specific groups. The only result will be that people spend their time creating defensive coalitions and listening to rumours. The feeling of “I might lose” will increase and employees will activate their networks, speculate about the future and try to play tactical moves. People will no longer concentrate on their work – which might increase the problems the organisation already had and which made the change effort necessary. Important and correct bottom-up information flows will stop, as nobody dares to bring bad news to the management. And the best people may start to plan their leave as their options at other companies seem more promising and concrete compared to their actual situation, characterised by vagueness and bad surprises.

### **Design principle 1: full integration**

As a result, managers have to assure that this feeling of losing may not even develop in change processes. The only way to achieve this is full integration from the very beginning. This works with big organisations as well as with smaller ones if well organised. Of course, the question is: integration into *what*?

Typically, organisations have the tendency to secretly work out solutions to the identified problem and then to disclose the mystery in so called “kick-off meetings”. Long before these meetings, consultants or internal specialists such as controllers ask for data and pose irritating questions within the organisation. The drums of gossip and speculation due to these activities already form the public opinion even before the actual kick-off meeting: this change can hardly be of any good. And very often, their expectations are met: a) they are confronted with a long powerpoint presentation stuffed with excel sheets in order to prove that they have to change; b) the solutions that are presented do not align with the experiences as well as reality and feasibility perceptions people have at that stage. A typical reaction of the audience is mental refusal and after some people dare to argue and are fobbed off, the reaction is silence.

Obviously this is **not** the kind of integration that works well and which is meant with this article.

Instead, people shall be integrated earlier on. With change processes, it is smart to pair the need for a **solution** with the need for **integration**. Such a way is quicker, qualitatively better, less costly and also produces less resistance.

### **Design principle 2: rapid prototyping**

Practically speaking, this means that managers (maybe with experienced change facilitators) present the problem, present first possible “corridors” for solutions (not ready solutions) and integrate everybody in short, well-organised solution meetings within the next weeks. Managers should clarify that it is expected that people discuss the problem, define it and come up with a first rough prototype for a solution.

### ***Design principle 3: new leadership***

Quite some readers may be shocked at this point and may ask themselves: “Does the author really propose confronting a big organisation with a problem, yet not with ready-made solutions? The answer is: yes. However, some readers may counter: “Yet this will damage the authority of superiors! And it is their role to develop solutions!” Well, the answer to both statements is: no.

On the contrary, this approach will increase their authority; because they make clear that they count on the experience of their employees and show that there is room to prove it. It will increase their authority, because they show respect to the roles and competence of their people and take their opinions seriously. And no, it is not their role to develop solutions (because it is very likely they know less than their employees as a collective). Instead, it is their role to **decide** based on proposals, to provide a rough corridor, and to design processes for an appropriate solution development. As a result, the attitude of people towards change will be completely different from the very beginning. And the feeling of “I can win and do something important” will spur the majority. “Hidden reserves” of tacit knowledge will be disclosed and will get back into the game in the form of intelligent solution proposals. Many at that time think “now is the time to propose what I thought all along!” However, how should such a process go on and be kept under control?

### ***Design principle 4: bottom-up-top-down loops***

It is essential, that managers don’t engage people in endless debates over weeks with no clear goal and structure. Instead, they have to make clear that, at first, rapid and necessarily rough answers or solutions are requested, because they will be improved later. This is done by a revolving cycle of bottom-up-top-down loops. The first question might be: “What, in your opinion, is the source of the problem and which general solutions do you see?” The result of a meeting, for example, with 30 people which lasts perhaps two hours, will then be passed on to the hierarchy, and will be compared with other results and further discussed. It will then be decided which set of ideas should be further investigated and discussed and handed back down to the solution groups. Usually, the hierarchy is surprised about the quality of results they receive, even from groups who are “just” junior assistants. However, after that initial stage, how will it be assured that the discussions result in sound, feasible, and in particular practical organisational solutions?

### ***Design principle 5: link stakeholder with strategy and strategy with operations***

It is a good idea to start such a process from a stakeholder’s perspective. Who should benefit from the change? What are his/her/their needs? Solutions need to address that need clearly. What would it mean for employees’ jobs, departments or workflows etc. if such a solution would be aimed at? How could organisational members make that possible? Again, it is not the role of the groups to decide – yet to develop options for solutions. The groups will present their proposals – and could also add an estimate of how long it would take to install the solution. A deputy department head in a large printing house explained on such an occasion: “As we were checking the possibilities in the last two months, we discovered a

*number of improvements that we could put into practice immediately without prejudging a decision. As a matter of fact, if the decision will be for variant A, due to that, we will be able to implement it in only two months."*

The secret of why processes designed along such principles do work lies in the fact that the change process already starts before any decision is even made. Due to the invitation to bring in expertise and offering a well organised field that makes sense, people see a chance to influence decisions and want to engage. Thus, they identify with the problem and, working through the different solution options, also identify with or at least understand the final decision. Due to very practical work always directly linked to their field of work (assured in the solution groups) , they also have enough time to make friends with new roles or workflows that are necessary – without having the feeling of losing.

Last but not least, the quality of the solutions will be very high and feasible – leaving no room for the typical refrain "This will never work". The cohesion and coherence of the organisation will also be strengthened as people have to exchange information about their departments in their mixed solution groups. As a result, a change process that runs along these principles will change and strengthen the organisational identity and create pride with its members at the same time.

*"I can still remember how we developed the solution in our group as if it was yesterday", said the department head of the large printing house, "It was a great moment to see it installed later. It is amazing how this has changed the organisation when I look back all those years. At that time, we didn't feel the change, we wanted to solve the problem to assure our future – and we did".*

## Conclusion

A warning

This article illustrated an approach to change and its phenomena that has proven its validity in practice. Not only is the change quicker and less costly, it also strengthens the organisation from the very beginning. Yet, there are two important reservations to be made: it requires top managers who are able and eager to increase their effectiveness and further develop their role, and who want to manage in a climate of trust. If trust is not yet the case in your organisation, this approach will help you to install it. Nevertheless, the "divide et impera" style of management is in strong conflict to this approach and both cannot be combined. Any kind of manipulation would destroy the benefits of it. So there is a choice to be made.

Secondly, this approach presented "principles of design of an effective change process". Principles are not tools. They require curiosity, reflection, further development, improvement and a deep understanding of the nature of change, enhanced step by step with practical experience. The reader is kindly invited to continue this journey.

## References

<sup>I</sup> Kevin Kelly; *Out of control: the rise of neo-biological civilization; A William Patrick Book, 1994*

<sup>II</sup> Practice test conducted over two years with approximately 100 managers in change processes

<sup>III</sup> One of these few is Spector, Bert. *Implementing Organizational Change: theory and practice*. New Jersey: Pearson Prentice Hall, 2009

*IV If you are interested in her bold “concept of change“ which led to such a drastic failure, you can watch a video on Youtube of a lecture she gave at Stanford University <http://www.youtube.com/watch?v=w3IbKbDhfKw>*

*V Ackoff, Russell L.; Management in small doses; Wiley & Sons 1986*

*VI See also academic research in the field of social identity theory. For instance, Hogg, M.A. and D.J. Terry: Social Identity Processes in Organizational Contexts, Philadelphia, 2001*

*VII To get an excellent overview of the concept of organisational identity see: Rughase, Olaf G.; Identity and strategy: how individual visions enable the design of a market strategy that works; Edward Elgar Publishing Cheltenham 2006; pp 15ff.*

## Article 2 Strategic planning and performance measurement at the Flemish Department of Public Governance.

### *Towards more accountability and improved performance*

Luc Lathouwers, Secretary General & Inge Lynen, Advisor Flemish Government, Department of Public Governance<sup>50</sup>

#### 1 Introduction

Strategic planning and performance measurement are certainly not new concepts in the public sector (Bouckaert & Peters, 2002). However, over recent years there has been a renewed emphasis on the benefits of good strategic management, and how it is necessary for governments to know how they can effectively identify and deliver what is required to meet the needs of all their stakeholders and the economy and society in general.

Examining the reasons for introducing performance measurement as a regular activity within governments, Halachmi (2002, 370) suggests the existence of two major undercurrents: first, the push to establish greater or better accountability, and second, the drive to improve performance or productivity. Performance measurement for accountability attempts to answer the question: *“Was it done in the right way?”* (= efficiency). Performance measurement for improved performance aims at answering the question: *“Was the right thing done?”* (= effectiveness)

The second driving force in particular gained attention through the recent processes of modernising the public sector all over the world, a wave generally referred to as the New Public Management. In 1999 the Flemish government launched the ‘Better Administrative Policy’ reform (‘Beter Bestuurlijk Beleid’ – BBB). This project aimed at a reorganisation of the core civil service – the Ministry of the Flemish Community – the agencies or ‘Flemish Public Institutions’ and the advisory boards.

Now, ten years later, the BBB reform still raises some questions regarding the delegation of tasks, quality control, accountability mechanisms and provision of policy and management information. Different entities within the Flemish administration are looking for solutions and are setting up systems for strategic planning, monitoring and evaluation.

Over the last two years, the first driving force also became more pressing. The global financial and economic crisis presents significant challenges for all organisations, including governments. As a result of the economic decline, the public sector is urged to become increasingly transparent, to downsize, and to show better performance in public spending while facing difficulties in attracting funds. Governments worldwide are looking at how efficiency can be improved.

For a better understanding of how managerial tools are actually being used in the concrete context of a public sector organisation, the business case of a project concerning strategic planning and performance measurement at the Department of Public Governance is

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<sup>50</sup> Based upon a working paper prepared by Anne Delarue & Jürgen Spanhove

presented. Since its establishment in 2006 and during the rapid evolution over the past years, the Department of Public Governance has made serious efforts to improve consistency and capability in planning activities across the entire policy area, in an attempt to bridge many of the Department's planning and reporting hurdles.

First, some factors that triggered the need to develop a management system are discussed. Apart from the public sector reform, some other specific trends or facts urged performance measurement within the domain of Public Governance to be initiated.

To identify and resolve the most important issues that the organisation faces, the eight steps of the strategy formulation process as outlined by Bryson (1995) were followed. The importance of linking strategy and operations, strongly emphasised by Kaplan & Norton (2008), was acknowledged. According to these authors, the execution of processes and initiatives should be followed by the stage of monitoring and learning and the stage of testing and adapting the strategy, creating a closed-loop management system.

To facilitate the execution of the management system, an organisation needs a performance dashboard, which makes (partial) results visible for the management and employees. To make sure that for the policy area of Public Governance entities at the different organisational levels (sections, department/agencies, policy area) are planning and implementing the policy as determined by the Minister in a consistent, synergistic manner, a common IT-based monitoring system was set up.

The structure of the system can be traced back to a maximal integration of the policy and the management cycle. The functional and technical realisation of an IT-based monitoring tool had to meet several quality requirements, which are more extensively explained in the article.

Finally, the article addresses a number of areas of tension with regard to performance measurement. Based on the experiences at the Department of Public Governance, some possible pitfalls are outlined.

## **2. Rationale for performance measurement in the public sector**

### **2.1 Performance measurement as a general trend in governmental reforms**

Some authors argue that the increasing interest in the development of performance measurement systems in the public sector over the past decades can be related to changing expectations with regard to the role and responsibility of government and of policy-makers and managers in public sector and non-profit organisations (De Peuter et al., 2007, 13; Bouckaert & Peters, 2002, 359). Mannion and Goddard (2000) find there has been a general shift in the use of information on performance away from primarily being used for internal management control purposes towards use of these data for external accountability and control. Towards several external audit commissions, organisations have to prove whether they achieve their objectives effectively.

A combination of legislation and substantial reforms, reflected on an international scale, were aimed at making the public sector more accountable and transparent (Wall & Martin,

2003, 492). The impact public sector organisations have on people's lives and the economy in general, is immense and therefore there is a greater emphasis for these types of organisations to be accountable towards both the public 'as customers' and 'as citizens'. Public sector organisations that provide a direct service to external or internal customers are often engaged in offering quality. In client service charters or Service Level Agreements (SLAs) the minimal level of service customers can expect is formally defined (with regard to delivery time, quality, customer satisfaction etc.). Obviously, this implies that some kind of measurement system has to be set up to provide the necessary information about these types of indicators. Examples of the spread of performance management to new fields within the public sector can be found in many countries. Often they have been tied in with developments in information technology (Pollitt & Bouckaert, 2004, 91).

Furthermore, as a consequence of the democratisation process, citizens in advanced capitalist countries are considered as important stakeholders. As taxpayers, they are – in the vast majority of cases – the major source of finance for governments. It is clear that the public do not wish to see its money wasted and would also like to be given a clear indication of how it is spent. Furthermore, insight into the delivered products/services (output) and effects (outcome) of government policy is expected. By making policy documents, annual reports and other forms of performance information available to the public, governments attempt in different ways to be accountable to the public 'as citizens'.

From the late 1970s many of the OECD countries have experienced broad public sector reforms, often according to the principles of the New Public Management philosophy. Central to these reforms is the move from a mode of operation based on *ex ante* control of resources, extensive regulation to prevent abuse and *ex post* inspection to ensure compliance with legal standards, to continuously monitored management by objectives with a strong focus on results (OECD, 1994, 53). Contractualisation of formerly hierarchical control relations is central to the New Public Management. Disaggregation, competition and incentivisation are the main NPM remedies for the public service delivery organisations, with the central government as enabling and contracting actor (Verhoest, 2005, 138). In general, the adoption of NPM principles has introduced structures and systems which prompted the development of new mechanisms for accountability (De Peuter et al., 2008, 1). It requires a clearer definition of objectives and of management monitoring and control methods; on the other hand, day-to-day management is left in the hands of autonomous units and not central units. In short, there are more stringent requirements for results but greater freedom as to the methods used to obtain them.

Nowadays, in the context of the economic crisis, performance management seems to shuffle again towards a more internal management concern. Not only has the achievement of the objectives become important, but also the way in which the objectives are achieved. The focus on efficiency and stewardship are now key principles for every government organisation. We have even come so far that the field of public administration is obsessed with managerial and economic solutions to complex problems. In the last decade a successor of the NPM movement has arisen, called post-New Public Management. Christensen and Lægreid (2006 & 2007) argue that NPM, known as the first generation of reform, has produced unintended consequences: fragmentation of roles and role ambiguity as a result of structural devolution, expansion of single-purpose organisations and vertical specialisation, neglecting cooperation across agencies, excessive managerial autonomy etc. Accordingly, the basic aim of post-NPM, the second generation of reform, is to advocate recentralisation

and re-regulation in order to correct the dysfunctional aspects of NPM, strengthen governing capacity, and improve control and coordination within and across political-administrative systems.

Apart from these general reasons for improving the performance and accountability of public sector organisations by facilitating the internal planning and reporting process, some other concrete motives to set up a performance measurement system prevail. Bouckaert et al. (2003, 19) give an overview of external and internal factors that can trigger changes with regard to performance measurement. In the next paragraph, some specific driving forces for starting with monitoring initiatives are discussed. Where possible, these are concretised for the Flemish Department of Public Governance.

## **2.2 Specific driving forces for the Department of Public Governance to set up a performance measurement instrument**

### ***Internationalisation***

A first factor is the internationalisation of policy making. Within the European framework, indicators and fact sheets about various policy themes are developed and published. This allows comparisons to be drawn between the Member States. The strategic goals and structural indicators set by the Lisbon Council are a good example of an international process that urges governments to measure a broad range of socio-economic parameters.

Under the Austrian EU Presidency, a Performance Indicator Initiative was set up to build a commonly defined system of indicators to assess the performance of public administrations of the Member States, allowing EU-wide comparisons between those administrations. A report was produced containing information on 780 indicators submitted by 11 Member States. Those indicators essentially measured vertical governance, by looking at central operational areas of public administration. Within this framework, the Belgian-Hungarian Presidency team has now launched a project that aims to gain an insight into performance assessment as such, both on the institutional and individual level and to identify the connections between those two branches.

The OECD has also taken many initiatives to synchronise the measurement instruments and indicators of the Member States. With regard to Public Governance, the OECD launched the '*Government at a Glance*' project to collect data and develop indicators describing government activities and performance. In particular, the project focuses on public management policies and practices in the areas of human resources management, budgeting, regulatory management, integrity and e-government. In addition, it collects data on the size and reach of government in terms of revenues, expenditures and employment. The goal of the project is to help countries better understand their practices and assess, plan and measure public sector reforms. In the longer term, it will hopefully contribute to the OECD-wide lesson learning process concerning sector efficiency and institutional effectiveness. The 2009 edition of the *Government at a Glance* publication presents the data collected by the OECD to date for its 30 member countries. The Flemish Department of Public Governance is involved in this project as a respondent for data on the regional government activities.



### ***Political factors***

Political factors are also regarded as important driving forces for the deployment of performance measurement. In particular with regard to *outcome* indicators, political actors (elected officials) can be considered as the primary consumers of the performance information. This type of information relates closely to citizens' interests, while *output* measurement is more of an internal management concern (Wang & Berman, 2001). Given the fact that past performance information predicts future performance to a reasonable extent, policy planning may be based on performance information. In this way, there is a strong link with the strategic policy planning. The policy intentions of the Flemish Minister for Public Governance are captured in a long-term policy paper (for a period of five years) and annual policy letters that are the practical translation of the policy paper. The systematic monitoring of the intentions and actions as stated in these policy documents should enable the political actors to permanently have an actual overview of the progress of the policy implementation.

Some governments have set up major projects for the future, with a strong political involvement. Mostly these projects include ambitious targets and breakthroughs. To allow following up and communicating intermediate results, monitoring systems should be set up. With 'Flanders in Action' (Vlaanderen in Actie, ViA), the Flemish Government aims to be counted among the top five regions of Europe by 2020. This ambition has been made concrete in the Pact 2020, a plan that contains twenty objectives with specific target figures. As well-performing authorities are essential for a well-functioning economy and society, the Flemish Government established in 2008 the Commission on Efficient and Effective Government as a think tank and vision group on government in the 2020 perspective. Public managers, university professors and captains of industry and society take part in round-table discussions. The brainwork of this Commission made the Flemish administration launch a specific breakthrough on 'Decisive governance'. This multi-annual programme is based on four strategic objectives that will be realised through concrete key projects, the emphasis being on cooperation, efficiency, quality and effectiveness.

A final causal factor linked to the political level, are the parliamentary questions. A government administration is expected to provide a prompt and accurate answer to the written and oral questions from representatives to the Minister. To be able to do this, an administration should proactively organise itself by setting up monitoring systems and collecting data on relevant topics and indicators, based on an analysis of previous questions. This will improve the information quality of the answers and enhance the functionality of the political game (Bouckaert e.a., 2003, 21). Performance measurement does not make politicians win or lose an election. However, the data that the performance measurement system yields may show weak performance. In line with this reasoning, governing politicians may indeed have disincentives to collect data. As everything they measure can be used against them, they can claim the right to remain silent and not to measure, while the opposition will make use of the systems of democratic control (as parliamentary questions) to reveal the performance information (Van Dooren, 2005, 374).

### ***Stakeholders***

In some cases stakeholders act as the direct instigators of measurement initiatives. They are often interested in specific indicators (e.g. environmental norms, labour cost). Concerning Public Governance it is not easy to point out specific stakeholders that put pressure on governments to measure. The Flanders Chamber of Commerce and Industry has established

a steering group 'Efficient public administration' which launched a project in 2007 founded on three strategic goals: arguing the need for a more efficient government, formulating the macro-economic objectives that should be translated to the regional, provincial and local governments and proposing a set of strategic choices for the public administration.

### ***Administrative reforms***

Performance measurement is often initiated by administrative reforms. With the Better Administrative Policy reform (BBB), the Flemish administration also faced a large-scale restructuring over the last decade. This reform has a clear blueprint of some key doctrinal components of NPM, such as the emphasis on a division of responsibilities stemming from the concern for a better accountability. The initiative was based on three fundamental principles: simplicity, coherence and effectiveness. One of the main lines of the modernisation was a structural change by reshuffling entities and responsibilities. Since April 2006, 13 more homogenous policy domains have been created, each consisting of a department and one or more (semi-)autonomous agencies. A second feature was the decoupling of the policy cycle. Central departments explicitly received core tasks oriented at policy preparation and policy evaluation and were assigned the task of steering and following up policy implementation. Agencies on their part became charged with tasks related to policy implementation and service delivery (De Peuter & Pattyn, 2008). The consolidation of the division of tasks between the policy fields and the political level on the one hand and between the entities within a policy field on the other hand, imply a strong need for delineation of respective responsibilities and accounting mechanisms based on performance information.

Following the logic of the NPM movement, performance contracts are used as a more result-oriented system of control and accountability between the government and its public bodies. Within the latter documents explicit standards and measures of performance are negotiated and agreed upon with the Minister. Long-term strategic engagements are defined in a five-year management contract. Annually every department or agency also formulates a business plan with operational goals and targets. The use of management contracts comes together with a report obligation. Each department or agency is required to report its realisations in year X by 31 March of the year X+1 to the Minister. To be able to steer organisations on goals and results and focus on output and outcome, it is required that the management contracts and business plans contain enough quantitative and measurable targets.

Two specific government bodies are established to create an autonomy-control balance: the Central Internal Audit of the Flemish Administration (IAVA), controlled by the *Audit Committee* of the *Flemish* authorities. By means of different evaluation instruments, visits and reports these actors help departments and agencies to meet the standards and develop good practices with regard to transparency, accountability and risk management. The activities of these audit organisations also result in measurement initiatives, as entities over the years try to organise themselves to meet the reporting requirements of the IAVA in a proactive way.

### ***Cost reduction, legitimacy problems or specific events***

Furthermore, also cost reduction, legitimacy problems or specific events or trends can be seen as seeds of measurement culture. As was mentioned previously, the economic and financial crisis is an important precondition. Concerning Public Governance in Flanders the

manifest urge to downsize the ministerial cabinets can also be considered as an example in this context. The Commission on Efficient and Effective Government suggested that the Flemish ministries would be responsible for policy evaluation and the policy preparation while the ministerial cabinets in the future would be limited to a personal staff of the Minister. To follow up the evolutions on this regard, monitoring will be indispensable.

#### ***Internal management considerations***

Finally, internal management considerations can stimulate public administrations to measure performance. Business Intelligence systems are often developed on behalf of top civil servants, to support the governance and leading of the own organisation or entity. Therefore it is important to make sure that the performance data that are collected can be used to cover both external and internal needs.

### **3. Performance measurement as part of a ‘closed-loop management system’**

In the previous paragraph the impetus for performance measurement in public sector organisations was exemplified. However, it is important to recognise that performance measurement cannot be seen as a ‘stand-alone’ activity. Collecting and reporting output and outcome data may not take place in a theoretical or conceptual vacuum: it should always form part of the broader process of strategic planning.

Over the years, a number of attempts have been made to define ‘strategic planning’ (Porter, 1979; Mintzberg and Quinn, 1988). The numerous definitions and theoretical approaches make it difficult to grasp the exact meaning of this multifaceted and rather abstract concept. Following the traditional approach, strategic planning can be seen as a specific management vision that is founded on the paradigms of ‘scientific management’. From a top-down hierarchical management vision, strategy is approached in a systematic way. Managers need to follow some predetermined steps that result in the formulation of an optimal set of objectives for the organisation and an indication of the pathways towards attaining the goals.

In a context of government, the objectives of the strategic plan needs to specify which general outcomes the government wants to reach in the middle-long term. Furthermore, a strategic planning is needed to elaborate the objectives and changes and to define clear outlines that can be used to steer and evaluate the organisation. Strategic planning assures the political level at which the necessary changes will be implemented by the operational units and the aimed effects reached.

The systematic character of strategic planning explains the various attempts of different authors to develop normative, progressive schemes for strategic planning. Despite their mutual differences, most of these cycles are based on the same assumption: a rigid following of the prescribed steps forms the key to organisational success. Giving a complete overview of all the existing planning models in the literature would exceed the scope of this paper. Bryson’s early (1988; 1995) identification of eight chronological steps of strategy formulation that take into account the rules of political rationality (see 2.2) remains useful for reaching a consensus on the different strategic issues that were identified by the organisation.

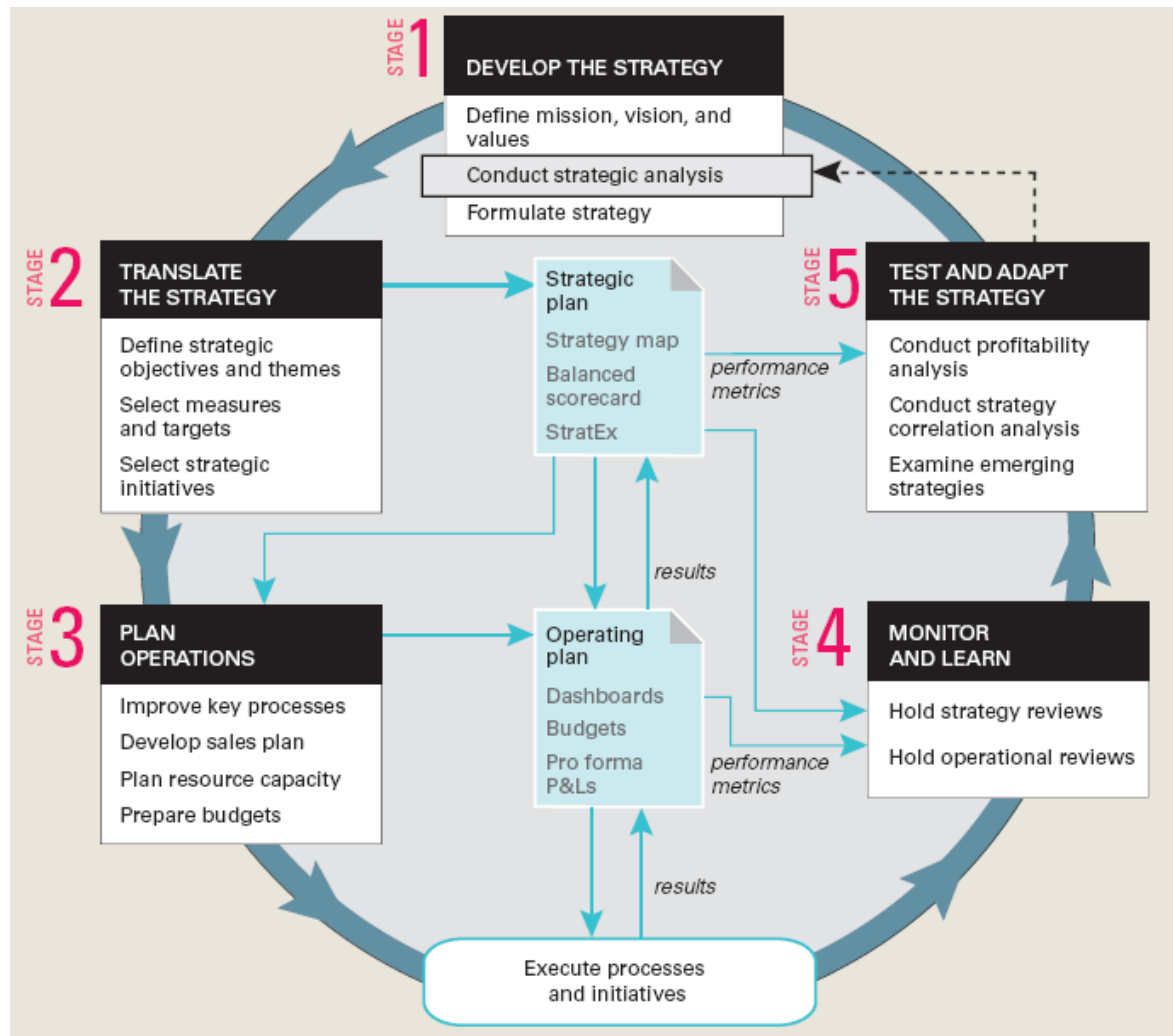
**Eight steps of strategy formulation (Bryson, 1988; 1995)**

- 1. Initiation of the process and creation of a basis for it inside and outside the organisation*
- 2. Identification and clarification of mandates*
- 3. Development and clarification of mission and values*
- 4. Internal and external environmental assessment*
- 5. Strategic issue identification*
- 6. Strategy development*
- 7. Review of the formulated strategy and consensus generation*
- 8. Description of the organisation in the future*

After the strategy formulation process actions and decisions have to be taken to implement the strategy and finally, the evaluation of results (which Bryson later (1995) considered as Step 9: Development of an implementation plan and Step 10: Intermediate evaluation and adjustment of the strategy and the strategic processes).

Kaplan and Norton (2008) stress the importance of this second part, which provides a tight link between strategy and operations. The operational execution as well as feedback and learning should be an integral part of each management system, which the authors present as a five-stage closed-loop system. An organisation begins by (1) developing a strategy statement and then (2) translates it into the specific objectives and initiatives of a strategic plan. Using the strategic plan as a guide, the organisation (3) maps out the operational plans and resources needed to achieve its objectives. As managers execute the strategic and operational plans, they (4) continually monitor and learn from internal results and external data on competitors and the business environment to see if the strategy is succeeding. Finally, (5) they periodically reassesses the strategy, updating it if they learn that the assumptions underlying it are out of date or faulty, starting another loop around the system.

Figure 1. Closed-Loop Management System



Source: Kaplan & Norton, 2008, 65.

The integration of implementation and evaluation of the strategy in the model leads to an 'objectives-based learn and improvement process' for the organisation. This process closely resembles the 'Plan – Do – Check – Act cycle' as introduced by Deming. The iterative four-step PDCA model foresees planning and implementing new activities, assessing the progress and if necessary taking complementary or new measures. The cycle is the core of performance-based management; any standstill is problematic. In order to optimally work with the PDCA-cycle, organisations need to have a performance dashboard that makes the obtained results visible. The dashboard is related to the PDCA-cycle in the same way as a cockpit of an airplane is related to the flight plan. Organisations need to define their strategy and operationalise it to goal indicators. Just like a pilot on the flight deck of an airplane, managers are responsible for taking the right decisions and checking if the chosen course still can be followed safely. Therefore, they need to assess the environmental changes regularly and to develop and monitor corresponding indicators.

#### **4. A closer look at MODO, the management system of the Department of Public Governance**

The specific internal and external conditions as described in part 2 triggered the Department of Public Governance in the second half of 2008 to launch a management system. The MODO project refers to an integrated set of processes and tools that the organisation uses to develop its strategy, translate it into operational actions, and monitor and improve the effectiveness of both. From the start, the top civil servant acted as the main project sponsor. In the starting phase a strategic project team consisting of two heads of units and two policy advisors developed an approach to translate the policy and management cycle into objectives and defining indicators to monitor the results. A first conceptual design of a dashboard was also outlined. In a later stage all middle managers were closely involved in the further development of MODO and a strategy was worked out to implement the measurement system in the whole organisation and to inform all the employees.

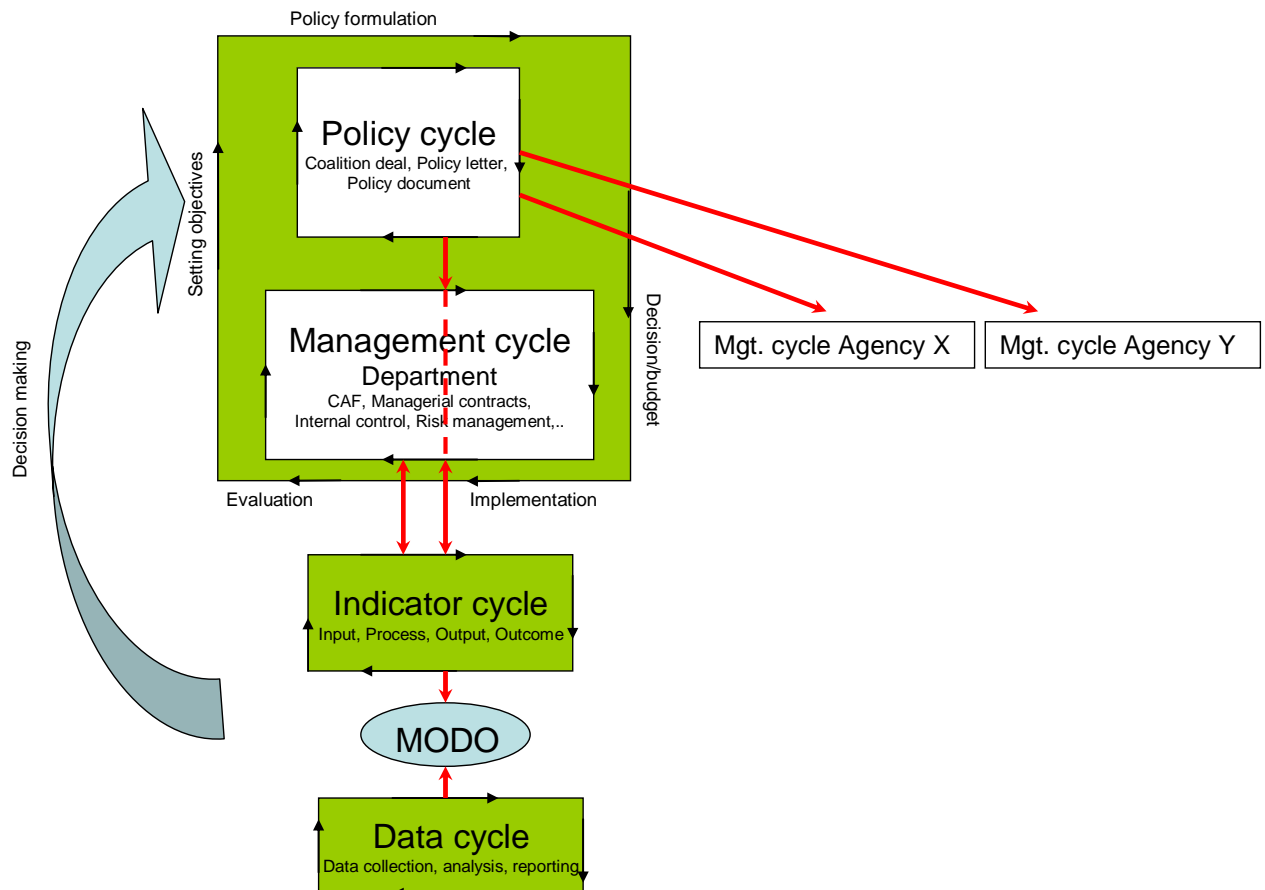
In 2010 the MODO management system is commonly known and used at all the different organisational levels (entity, sections and individual workers) for planning, monitoring and reporting. The start of a new policy and management cycle (a new policy paper for the period 2009-2014, second generation of management contracts for the period 2011-2015) was taken as an opportunity to fine-tune the pilot version of the planning and monitoring system and to take into account the 'lessons learned'.

The MODO project consists of two substantive parts that are however strongly connected. On the one hand there is the conceptual design of a management system that aims to perfectly integrate the policy and management cycle. On the other hand this structure has to be translated into a user-friendly and high-performing measurement instrument that facilitates the monitoring process starting from setting objectives to collecting the appropriate data.

#### 4.1 The conceptual design of MODO

Figure 2 gives a conceptual outline of the results-oriented management approach of the Flemish Department of Public Governance:

Figure 2. MODO: Linking policy, management, indicator and data processes



The primacy of politics is an important principle for the operation of the public administration. The political level determines a first source of objectives for the organisation. On the basis of policy documents (coalition agreement, policy paper, policy letters) the policy cycle stipulates which specific policy themes are to be focused on in terms of content. The administrative level will then translate the policy objectives from the political documents into strategic and operational organisational targets in the management cycle. Organisations maintain a certain degree of autonomy in the development of this management cycle. Apart from the imposed policy objectives, each entity can autonomously define objectives and targets with regard to its own internal operation and organisational control. To this end the Department of Public Governance explicitly makes use of the CAF model as strategic framework. The five 'enablers' of the CAF model (Leadership, Strategy & Planning, People, Partnerships & Resources, Processes) and the four 'results' (People Results, Citizen/Customer Oriented Results, Society Results and Key Performance Results) provide a framework that can be used to structure and integrate the Department's whole business and all the objectives from both the policy and management cycle.

The indicator cycle guarantees that the set of objectives is further put into practice. However, the process of defining indicators can in itself also have an impact on the

anticipated objectives. In his article on the use of indicator information on sustainable development, Brenninn (2007, 14) makes a strong plea to think of indicators as 'processes' rather than 'products'. The linkages between science and policy and between indicators and policy development must be forged at the very early stages of this process, which is fundamentally collaborative and dynamic, and must develop over time. To adequately meet the various requirements, a performance measurement instrument should be developed in a dynamic feedback process involving policy-makers, indicator specialists, and the stakeholders who would be affected by the policies in question.

Four types of indicators are to be defined: input, process, output and outcome indicators. These indicators allow the organisation to monitor the objectives and to check them against an agreed standard. The development and collection of data on the indicators is given shape through the input from employees and project managers. They monitor the status of their own objectives and projects. The policy objectives from the policy documents can also be consulted by the political level and thus constitute a usable input for future policy formulation. In 2009, MODO was applied for the first time within the Department of Public Governance. In 2010, the political level requested the further implementation of the system throughout the Public Governance policy area. This trend fits with the post-NPM concept which sees the reduction of fragmentation through further structural integration as a basic principle.

The model in figure 2 is to be comprehended as an integrated management model. This comprehensiveness can also be perceived as a direct added value of the MODO tool in comparison to traditional tools, such as the balanced scorecard. MODO goes further than merely presenting results, as it serves as a management system for the entire organisation. On the one hand, employees and managers as well as policy makers (only for policy objectives) are given a constant overview of the objectives to be achieved, of the indicators and of the progress that is made towards the intended result. On the other hand, projects and processes as well as performance results linking the different cycles (policy cycle, management cycle, HR cycle, and financial cycle) are brought together in the same system.

#### **4.2 The development of an IT-based monitoring instrument**

In order to realise the goal-based learning and improvement process as presented in Figure 1, a tailor-made performance dashboard was developed. From former experiences and findings in literature the project team was aware of the fact that the data collection can form an important hindrance for a well-performing management system. The Department chose to work with Cognos 8 Metric Studio, as this software was already in use for other BI and reporting applications in the organisation.

The MODO instrument is structured into three main scorecards (Policy – Management – Organisational structure) providing a visual grouping of KPIs relevant to the Department. Each scorecard corresponds with a specific angle or approach and groups all the indicators related to a specific priority that the Department is focusing on. For example the scorecard 'Policy' allows the monitoring of all the operational goals and KPIs related to the policy document and the policy letters. The system allows a KPI to be linked to various scorecards. This implies that the status information of each parameter is updated at one spot but that the information can be re-used for other purposes. The software recognises the KPI so double input and all the risks involved can be avoided.



The scorecards consist of various sections, showing information under the form of a list of green/orange/red indicators, all kinds of graphs, cause and effect diagrams, linked reports and other detailed information the management needs to get a fast and straightforward view on the overall and detailed performance of the Department, divisions and individuals. From the data perspective, scorecards align metric measurements with short-term and long-term targets. They can also incorporate internal (with other entities within the Flemish administration) or external (with entities at other levels of government in Belgium or international) performance benchmarks and risk factors.

Different types of KPIs/parameters/metrics are monitored. Input indicators account for financial, personnel, logistic means or capabilities (e.g. the spending ratio of the annual budget or the number of FTEs). These indicators measure the resources applied to implement the strategy. While of limited usefulness in themselves, they speak to the organisation's commitment and are important components for determining efficiency and return on investment. Process and output indicators indicate whether project activities and operations are properly executed. During the execution phase, the progress is updated monthly by the project owner. Finally, outcome indicators (key performance results in the CAF model) are also included. These give more insight into the longer-term effects of specific policy measures with regard to public governance (e.g. reduction of employee absenteeism, reduction of administrative burdens, reduction of energy consumption by government administrations).

An integration process is necessary to combine related information from different data sources (project management tool, personnel information system, particular databases with data on outcome indicators) and entities and divisions within the whole organisation. This standardisation will for example lead to one customer list, one employees list and one single view on the global inventory. This is a crucial step that will guarantee users of the system that they are looking at one single version of the truth.

Based on the data in MODO, different reports can be made available to the end users. All related information is first centralised and cleansed in a central data storage, the data warehouse. This helps the development of centralised reporting tremendously. The data warehouse also enables reporting on historical data, thus recreating situations that existed in the past, such as an inventory status at a certain point in time.

In general, the MODO instrument aims to generate added value at three aspects:

### ***Integration & communication***

The MODO tool reflects a model in which all objectives, ranging from strategic to operational, are brought together in a single framework. The objectives relevant to the different stakeholders (political level, top management, middle management, individual workers) form a whole which encourages transparency, eliminates solo actions and creates a holistic view of an organisation.

The monthly KPI status is monitored and represented by a coloured symbol and a comment (by scrolling over the post-it note with the computer mouse, a short clarification of the status becomes readable). This gives owners the possibility to indicate why an indicator has a certain status. Reactions to comments can be made through hierarchic channels. The dashboard is used as input to discuss the strategy implementation in the management board

meetings or in policy sector committees in the presence of the minister but also in the performance evaluation cycle of individual employees.

The screenshot shows the 'CMMBZ - Metric Studio' application. The left sidebar displays a tree structure of metrics, with 'Bd. Bestuurszaken' selected. The main area shows a list of metrics with columns for 'Naam', 'Werkelijk', 'Doel', and 'Periode'. The metrics are listed in a table format.

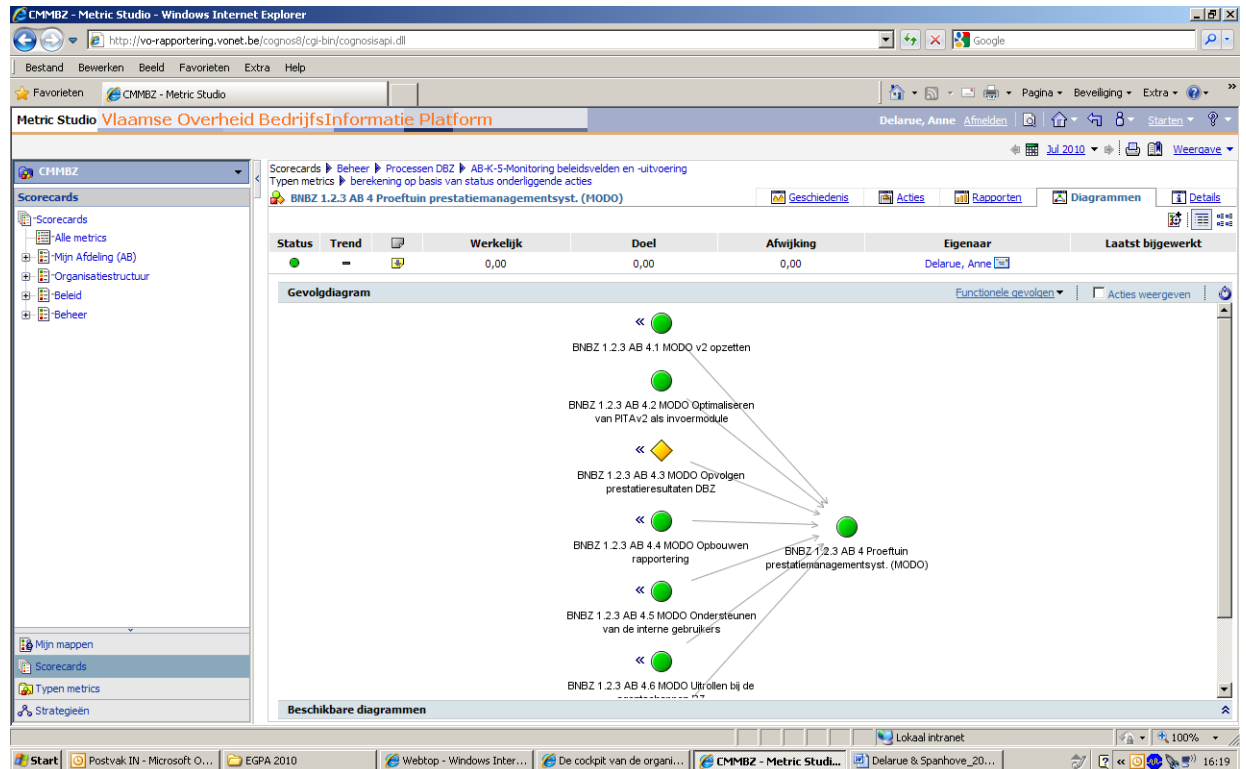
Naam	Werkelijk	Doel	Periode
AB Optimaliseren proces parlementaire vragen	1,00	1,00	Jun 2010
AB Procesbeheer opnemen voor de afdeling	0,50	1,00	Jun 2010
AB Wiki uitwerken	0,50	1,00	Jun 2010
Ad hoc advies functieclassificatie/belonningsbeleid	1,00	1,00	Jul 2010
Ad hoc-rapporteringsvragen BZ			Aug 2010
Ad hoc-rapporteringsvragen VO			Aug 2010
BNBZ 10.1 AB De coördinerende opdracht van de gouverneur in het perspectief van de Vlaamse bestuurlijke hervorming	1,00	1,00	Aug 2010
BNBZ 10.1 Afschaffen koppelsubsidies en specifiek toezicht	1,00	1,00	Aug 2010
BNBZ 10.2 AB 1 Uitbouw structureel detachingsbeleid			Aug 2010
BNBZ 10.3 AB 1 CAG als volwaardig lid in sectorcomité XVIII	0,50	1,00	Jul 2010
BNBZ 10.3 AB 2 Duurtijd sectoraal akkoord verlengen	1,00	1,00	Jul 2010
BNBZ 1.1.1 AB 2 Projectmatige voortgangcontrole regeringsprojecten door CAG	1,00	1,00	Jul 2010
BNBZ 1.2.1 AB 1 Uitwerken methode vergelijken efficiëntie			Aug 2010
BNBZ 1.2.1 AB 4 Uitwerken systeem van stimulansen bij realiseren efficiëntiewinsten			Aug 2010
BNBZ 1.2.1 AB 4.1 Commercialiseren kennis en technologie VO			Aug 2010
BNBZ 1.2.1 AB 5 Efficiëntietraject interne werking (MJP CAG)			Aug 2010
BNBZ 1.2.1 AB 5.1 Generiek principe verbetertraject interne werking	1,00	1,00	Jul 2010
BNBZ 1.2.1 AB 5.2 Samenwerkingsverbanden interne werking met lokale besturen (kv MJP)			Aug 2010
BNBZ 1.2.2 AB 1 Optimaliseren beheersovereenkomsten	0,00	0,00	Jul 2010
BNBZ 1.2.2 AB 1.1 Evaluatie concept 1ste generatie BOs	1,00	1,00	Jul 2010
BNBZ 1.2.2 AB 1.2 Bijsturing sjabloon 1ste gen. BO	1,00	1,00	Jul 2010
BNBZ 1.2.2 AB 1.3 Generieke bepaling in 2de gen. BO	1,00	1,00	Jul 2010
BNBZ 1.2.2 AB 2 Verankeren van Ondernemingsplan	0,50	1,00	Jul 2010

The screenshot shows the 'CMMBZ - Metric Studio' application. The left sidebar displays a tree structure of metrics, with 'CAF2 Strategie en planning' selected. The main area shows a list of metrics with columns for 'Naam', 'Werkelijk', 'Doel', and 'Periode'. The metrics are listed in a table format.

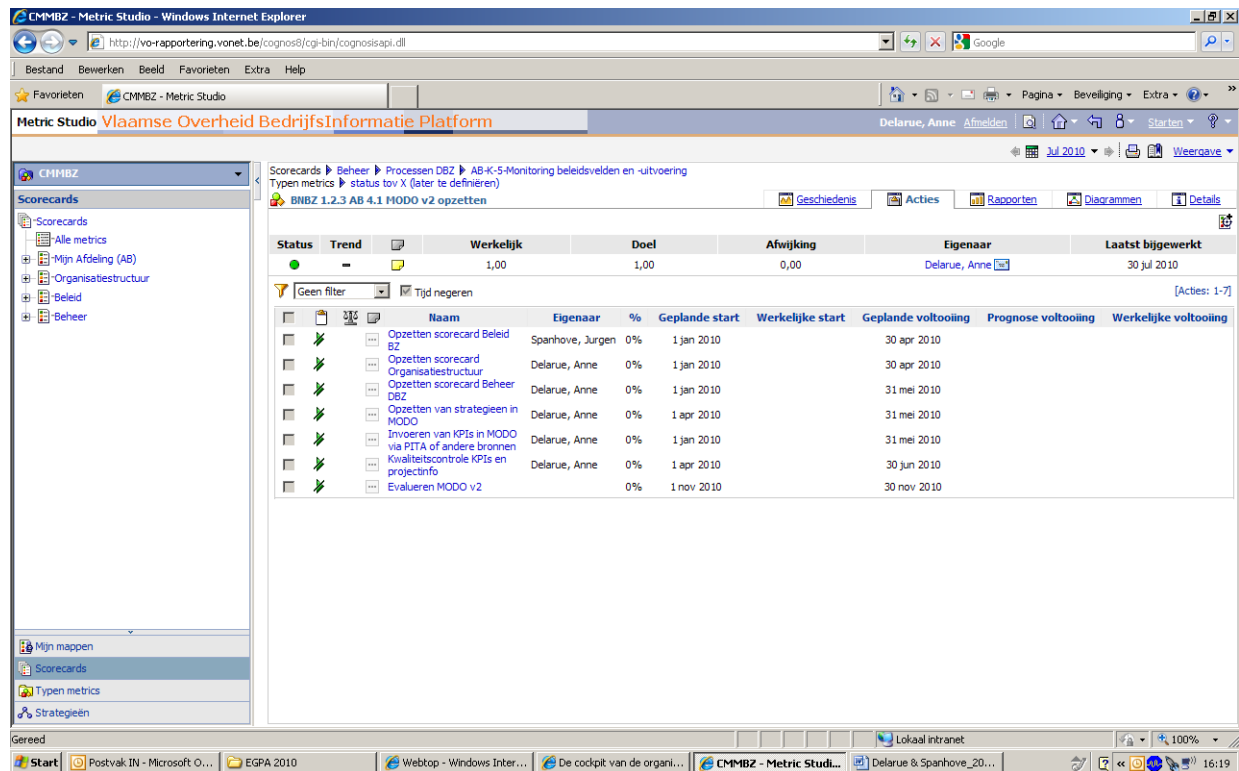
Naam	Werkelijk	Doel	Periode
CAF2 Deelnemen aan klankbordgroepen SBOV			Aug 2010
CAF2 Opvolgen publicaties Studiedienst VR			Aug 2010
CAF2 Opvolgen van Europese regelgeving rond BZ	0,50	1,00	Apr 2010
CAF2 Opvolgen van federale regelgeving rond BZ	1,00	1,00	Apr 2010
CAF2 Opvolgen van wetenschappelijk onderzoek			Aug 2010
CAF2-AB-Deelnemen aan klankbordgroepen SBOV	0,50	1,00	Mei 2010
CAF2-AB-Opvolgen publicaties Studiedienst VR	0,50	1,00	Mei 2010
CAF2-AB-Opvolgen van wetenschappelijk onderzoek			Aug 2010
CAF2-AR-Opvolgen van wetenschappelijk onderzoek	0,50	1,00	Apr 2010
CAF2-AR-Deelnemen aan klankbordgroepen SBOV	1,00	1,00	Apr 2010
CAF2-AR-Opvolgen publicaties Studiedienst VR	1,00	1,00	Apr 2010
CAF2-DIWM-Deelnemen aan klankbordgroepen SBOV			Aug 2010
CAF2-DIWM-Opvolgen publicaties Studiedienst VR			Aug 2010
CAF2-DIWM-Opvolgen van wetenschappelijk onderzoek			Aug 2010
CAF2-EZ-Deelnemen aan klankbordgroepen SBOV			Aug 2010
CAF2-EZ-Opvolgen publicaties Studiedienst VR	1,00	1,00	Apr 2010
CAF2-EZ-Opvolgen van wetenschappelijk onderzoek	1,00	1,00	Apr 2010
CAF2-GDPB-Deelnemen aan klankbordgroepen SBOV			Aug 2010
CAF2-GDPB-Opvolgen publicaties Studiedienst VR	1,00	1,00	Jul 2010
CAF2-GDPB-Opvolgen van wetenschappelijk onderzoek	1,00	1,00	Jul 2010
CAF2-MOD-Deelnemen aan klankbordgroepen SBOV			Aug 2010
CAF2-MOD-Opvolgen publicaties Studiedienst VR			Aug 2010
CAF2-MOD-Opvolgen van wetenschappelijk onderzoek			Aug 2010

**Results-oriented approach and focus on measurable results**

Objectives are maximally linked to measurable results. From the systematic analysis of these results new objectives can emerge. The experts of the MODO project team put a lot of effort into trying to translate the strategic framework into SMART objectives and KPIs. Hierarchy diagrams reflect the *strategic*, tactical and *operational layers in the planning process*. The MODO tool facilitates a (weighed) roll up of values to the next level.



Project managers are encouraged to write a project plan with pre-defined deadlines, milestones, deliverables, resources and risks.



Another important feature is that the scorecard environment is part of a broader Cognos BI application. This allows for drilling down to reports and cubes and examining data from different viewpoints (“slice and dice”). The MODO tool also provides links to other web addresses and to files in a document management system (background information, project plans etc.)

### **Improved monitoring and reporting**

A third added value can be found in facilitating reporting processes. The Department and all its employees are confronted with many *reporting* requirements from different stakeholders (as mentioned in 2.2). With MODO, the management aspires that all these reports can be retrieved from the same system. The second screenshot shows the quarterly report on the realisation of the policy as stipulated in the policy letter that the Department makes for the Minister. All information in this report is extracted from the MODO system, so project managers are not consulted an additional time to ask for their input. MODO can also be used for real-time monitoring, thus making certain static reports redundant. By setting up an accurate security policy with groups and roles, different types of users can be given specific permissions (read/write).

CMMBZ - Metric Studio - Windows Internet Explorer

http://vo-rapportering.vonet.be/cognos8/cgi-bin/cognosapi.dll

Bestand Bewerken Beeld Favorieten Extra Help

Favorieten CMMBZ - Metric Studio

Metric Studio Vlaamse Overheid Bedrijfsinformatie Platform

Delarue, Anne Afmelden Pagina Beveiliging Extra Weergave

Scorecards > Beheer > Processen DBZ > AB-K-5-Monitoring beleidsvelden en -uitvoering

Typen metrics > status tov X (later te definiëren)

BNBZ 1.2.3 AB 4.1 MOD0 v2 opzetten

Geschiedenis Acties Rapporten Diagrammen Details

Status	Trend	Werkelijk	Doel	Afwijking	Eigenaar	Laatst bijgewerkt
		1,00	1,00	0,00	Delarue, Anne	30 jul 2010

Grafiek Lijst

Jaar	Kwartaal	Maand	Werkelijk Laatste	Doel Laatste	Tolerantie Gemiddeld	Dep Ag niveau Laatste	Bd niveau Laatste	VO Breed Laatste
2010	K1	Jan						
		Feb						
		Mrt		0,50	1,00	50,00%		
	K2	Apr		0,50	1,00	50,00%		
		Mei		1,00	1,00	50,00%		
		Jun		1,00	1,00	50,00%		
	K3	Jul		1,00	1,00	50,00%		
		Aug		1,00	1,00	50,00%		
		Sep		1,00	1,00	50,00%		
	K4	Okt						
		Nov						
		Dec						
2010			1,00	1,00	50,00%			

MOD0: groen - op schema  
Delarue, Anne  
30 jul 2010 17:44:00  
Importantie: Normaal

MOD0v2 is operationeel in de productie-omgeving. Alle medewerkers van DBZ hebben toegang tot het management- en prestatiemeetsysteem. Problemen mbt MOD0 kunnen vanaf nu gemeld worden via het Issue ...

http://vo-rapportering.vonet.be/cognos8/cgi-bin/cognosapi.dll?b\_action=mms.session&path=/controllor&ui.object=storeID%28%2229

Start Postvak IN - Microsoft O... EGPA 2010 Webtop - Windows Inter... De cockpit van de organi... CMMBZ - Metric Studi... Delarue & Spanhove\_20...

Lokaal intranet 100% 16:17

8008 Efficient Facility Management							
8008.1 Duurzaamheid in Projecten							
Doelstelling	Actie	Beschrijving	Statuskleur	Entiteit	Subentiteit	Status	Opmerkingen
Evaluatie duurzaamheidsgraad toekomstige gebouwen		Evaluatie van de duurzaamheidsgraad van alle toekomstige gebouwen in het kader van de huisvesting van Vlaamse ambtenaren op basis van het kwaliteitshandboek.		AFM		groen - op schema	Het vorig jaar ontwikkelde handboek 'waarden van kantoorgebouwen' wordt voortaan als basis gehanteerd voor de systematische evaluatie van de duurzaamheid van alle toekomstige gebouwen.  Tevens wordt dit handboek, in samenspraak met o.m. het WTCB verder verrijkt. Dit project bestaat uit een interne en een externe opdracht (WTCB). Het WTCB is begin januari 2009 gestart met de aanpak van de thema's: akoestisch, visueel en thermisch comfort, luchtkwaliteit en energie. De resultaten worden eind juni 2009 verwacht. Het AFM is momenteel bezig met de uitwerking van de technische specificaties.
8008.2 Vlaamse Administratieve Centra							
Doelstelling	Actie	Beschrijving	Statuskleur	Entiteit	Subentiteit	Status	Opmerkingen
Behoeftenanalyse grootkeuken VAC's		Behoeftenanalyse verrichten naar een grootkeuken in alle toekomstige VAC's		AFM		groen - op schema	In 2008 werd reeds een principenota uitgewerkt met een aantal richtcijfers inzake bezetting en te verwachten aantal passages, aan de hand waarvan de "behoefte" (diversiteit en haalbaarheid) van een grootkeuken kan worden afgeleid. Op basis van deze richtcijfers wordt voor elk toekomstig VAC nagegaan welk type cateringfaciliteiten het meest aangewezen is en wordt een voorstel in die zin uitgewerkt voor de Vlaamse regering. Deze werkwijze werd reeds gehanteerd voor het VAC Leuven, waar het voorstel inmiddels werd goedgekeurd door de Vlaamse regering.
Installatie koude keukens Arenberggebouw		Installatie van een koude keuken in het Arenberggebouw		AFM		groen - op schema	De werken zijn inmiddels gestart en worden door het AFM opgevolgd. Oplevering is voorzien midden 2009.
Noodzakelijke aanpassingswerken huidige loodsengebouw		In afwachting van de herhuisvesting enkele noodzakelijke aanpassingswerken uitvoeren aan het huidige loodsengebouw aan de Tavernierkaai		AFM		groen - op schema	De aanpassingswerken zijn lopende.
Renovatiewerken restaurant Boudewijn		Restaurant: Realisatie van de nodige renovatiewerken aan het restaurant in het Boudewijngebouw		AFM		rood - ernstige afwijking	Het dossier ligt ter goedkeuring bij de Inspectie van Financiën. Een bespreking met de eigenaar van het gebouw staat gepland in juni 2009.
Uitvoeren aanpassingen Imalsgebouw		Loodsengebouw Antwerpen: Aanpassingen uitvoeren aan het Imalsgebouw op de linkeroverzijde zodat de loodsdiensten daar gehuisvest kunnen worden		AFM		rood - ernstige afwijking	Dit project heeft vertraging opgelopen en vereist een politieke beslissing over de herhuisvesting van de loodsdiensten. Een nieuwe nota werd aan IF voorgelegd.
VAC Brugge: onderhandelingen NMBS + Eurostation		VAC Brugge: De besprekingen met de NMBS en Eurostation m.b.t. het KAM-gebouw zijn lopende via PMV		AFM		geel - aandacht	De behoeftenanalyse voor het VAC Brugge werd het voorbije jaar door het AFM opnieuw verzameld en verder verrijkt. Inmiddels werd deze aangepaste behoeftenanalyse ingediend bij het kabinet van de bevoegde minister om opnieuw ter validatie te worden voorgelegd aan IF. De besprekingen met de NMBS en Eurostation m.b.t. het KAM-gebouw worden in het voorjaar van 2009 hervat, onder leiding van het kabinet van de Minister-President. De definitieve beslissing is voorzien in de volgende legislatuur.
VAC Gent: onderhandelingen NMBS + Eurostation		VAC Gent: De behoeftenanalyse zal eind 2008 ter validatie worden voorgelegd aan de Vlaamse Regering. Ook in dit project zijn de onderhandelingen met de NMBS en Eurostation lopende via PMV		AFM		geel - aandacht	Naar analogie met het VAC Brugge werd het voorbije jaar ook voor het VAC Gent de behoeftenanalyse opnieuw verzameld en verder verrijkt door het AFM. Inmiddels werd ook deze aangepaste behoeftenanalyse ingediend bij het kabinet van de bevoegde minister om opnieuw ter validatie te worden voorgelegd aan IF.
VAC Leuven: functioneel en technisch ontwerp		VAC Leuven: Werk maken van het functionele en technische ontwerp, zodat het gebouw instapklaar is in oktober 2010. Dit vraagt een grondige voorbereiding - op vlak van inrichting - op vlak van organisatie van de facilitaire dienstverlening in het gebouw		AFM		groen - op schema	De plichtige eerste steenlegging vond plaats in maart 2009 en inmiddels zijn de werken aan het nieuwe VAC in volle uitvoering.  Het AFM startte dan ook zowel de stuurgroep als de verschillende werkgroepen op om te verzekeren dat het gebouw instapklaar is in oktober 2010 en de 750 Vlaamse ambtenaren er hun intrek kunnen nemen. De lat wordt hier ook zeer hoog gelegd met het oog op het

## 5. Possible risks and pitfalls

The case of the Department of Public Governance illustrates the general trend that public sector organisations have recently developed much more sophisticated strategic measurement systems, based on such tools as the balanced scorecard, key performance indicators, computerised dashboards and the like. Nonetheless, the risk persists that they measure too much, too little, or the wrong things, and that in any event they do not use their metrics effectively. From our experiences with setting up a monitoring tool for the Department of Public Governance, some possible risks and unintended consequences of implementing performance measurement can be mentioned.

### ***Considering performance measurement as the same as performance management***

Often government performance focus is on measuring and collecting all types of data, with little attention on how to use the information to help identify programme improvements. In this context Van Dooren cites the Scottish author Andrew Lang: *'An unsophisticated forecaster uses statistics as a drunken man uses lamp-posts – for support rather than for illumination'* (Van Dooren, 2004, 15). Performance measurement only becomes useful when the obtained information is effectively used by the management and the employees for reassessing and improving the processes and the strategy. Referring to the model of Kaplan and Norton that was presented before, *performance measurement* is an aspect of *performance management*.

### ***Drowning in minor details***

Strategic planning should involve anticipating big challenges, spotting important trends and changing environmental conditions. It has to be avoided that this noble purpose takes a backseat to rigid, data-driven processes dominated by the production of budgets and financial forecasts. The first liberating change that managers can make to improve the quality of the planning process is to begin it by deliberately and thoughtfully identifying and discussing the strategic issues that will have the greatest impact on future organisational performance. Making a move towards results-oriented management implies discussions and decisions at a high strategic level. Asking employees to register all their activities and to collect data on an extended set of indicators, is hardly motivating and will rather obscure the view on the final destination the organisation aims to reach.

### ***More 'strategy and planning' than there is a need for in the organisation***

Once the planning and reporting process is started, there is a risk of overkill in the number of strategic initiatives. Usually, there is no need for an annual strategic planning round. Only few organisations change so rapidly that their strategic course has to be adjusted each year. A multi-annual plan gives entities the required space to deal with more essential matters (such as the implementation of initiatives from the strategic planning). However, a strategic multi-annual plan will often be annually translated into short-term operational plans (cf. policy paper – policy letters and management agreement – business plans within the Flemish public administration).

### ***Isolated approach by a selected club of 'strategic planners'***

To take a step forward in the process of strategic planning, it is crucial that the right people are brought together. The persons working on the formal planning should be well informed, stimulate and challenge each other's thinking and be able to have honest, open discussions about difficult issues. Strategic conversations will have little impact if they involve only strategic planners from both the business unit and the corporate levels. The core rule should

be that those who carry out strategy should also develop it (Dye & Sibony, 2007). The key strategic conversation should take place among corporate decision makers, business unit leaders, and people with expertise essential to the discussion. Translated to the Department of Public Governance, the senior management, the heads of units and the strategic project team should be involved intensively in the process.

### ***Vanity***

One should be aware not to use criteria for which the standards are so low that the organisation is always performing well. For a lot of managers and employees it takes some adjusting to low scores and standards that are not easy to achieve. They will be more inclined to choose criteria which will allow them to easily obtain a score of 95%, or in any case a 'green' score (Hammer 2007). By working like that, neither the planning nor the reporting process can ever be really transparent. The performance measurement instruments put up a smoke screen and distinguish between formal information and actual information. Managers and employees dutifully complete the forms, but it is stultifying because the same is repeated over and over again. As a result, they always fill in the same things or copy them from a previous document just to get it over and done with. However, they do not report the problems that occur in the daily reality and for which a solution is to be found.

Another risk that occurs within the administration is the prevailing culture to filter any information from reports to the outside world which is unwanted or threatening. The result is thus a fine, official text which is completely unrelated to reality.

### ***Paying no attention to an organisational culture change***

Once an organisation has decided to introduce performance measurement, it is essential to create a measurement-friendly organisational culture: a culture which attaches importance to a disciplined use of criteria for continuous performance improvement and which does not regard this effective, useful measurement as a threat. Senior managers must engage in personal role-modelling, appropriate use of rewards, taking part in implementation, demonstrating public commitment, and articulating the importance of performance improvement.

The performance measurement system is to be effectively used as a tool in internal consultations at the different levels within the organisation. A monthly discussion on the status of the objectives of the policy area, the Department or a division should help increase the familiarity with the system and allow it to be used as a compass for the organisation.

### ***A limited focus on indicators which are 'easy to measure'***

One of the mistakes often made by many organisations is that they only measure what can be easily measured or what they have always measured (Hammer, 2007). The measurement of budget targets and financial indicators is necessary, but not sufficient. A substantial part of each strategic initiative cannot be monitored through financial targets alone. A well-designed performance management system gives an early warning of potential problems with initiatives, whereas financial indicators always lag behind the reality. Apart from output figures, all kinds of input criteria must be measured as well, such as the quality of the available talent and the number of ideas and projects at each stage of the implementation. In addition, it is essential to also consider the customer's perspective: aspects which customers regard as important must also be measured.

### ***Gaming***

The public sector typically is confronted with multiple principles and multiple tasks (Dixit, 2002). These features mean that the goals of a public agency may be in conflict. Consequently the performance measures used to evaluate often complex public sector performance may also be incompatible. It has been sufficiently proven that individuals will respond to performance measures in ways that maximise their own utility or benefit. The literature has many examples of both distorted measures and altered behaviour to improve a certain performance indicator at the expense of unmeasured actions or outcomes (e.g. massaging of waiting lists and treated cases in healthcare). Propper and Wilson (2003, 3) use the economic term 'gaming' to refer to these different forms of unintended consequences of implementing performance measures in the public sector.

### ***Efficiency paradox***

With regard to planning and monitoring, some authors even speak of an efficiency paradox (Simons, 2008, 8). The combination of some of the aforementioned problems provides us with a picture of strategic planning processes on which a great deal of time, money and energy is spent and which have only little impact on the activities in organisations and on their strategic course. A poor approach does not lead to better performance, but instead results in a lot of extra work, compartmentalisation, system dependency and inward orientation. The paradox lies in the fact that while strategic planning is originally used to work in a more efficient manner, in the end only a growing number of audit offices, audits and collaborators are able to expertly use these instruments. The conclusion is therefore that in the end the work is performed less efficiently.

### ***Striving for perfection***

From the experience of setting up a performance measurement system for the Department of Public Governance, enacting it could be seen as the greatest risk of all. Waiting on perfection and completeness to start with performance measurement is a time-wasting strategy. Putting out less than perfect work is not ideal, but perfection rarely ever comes. Sometimes it is best to just move things forward, get it done, start getting the benefits, and perfect it later. The organisation will learn the most from the practice of working with a performance measurement system. The feedback of the users is a crucial key to optimisation of the instruments. With MODO the Department strived for an integrated model, but this has been realised stepwise and evolves continuously.

## **6. Conclusion**

Kaplan and Norton cite a senior strategic planner at a Fortune 20 company: *'You can have the best processes in the world, but if your governance processes don't provide the direction and course correction required to achieve your goals, success is a matter of luck'*. At the same time, a company can have the best strategy in the world, but it will get nowhere if managers cannot translate that strategy into operational plans and then execute the plans and achieve the performance targets.

Within the public sector, the existence and importance of a wider set of stakeholders has long been accepted, but the need for fund-granting bodies to be held accountable to taxpayers has also kept the primary focus on financial information. In the last decade, the power and pressures exerted by different groups of stakeholders also affect the use of non-financial performance information.



Propper and Wilson (2003) stated that it is still not clear to what extent performance measures help agencies achieve the goals they have been set by policy makers. It is a fact that performance measures only help when used as an aspect of performance management. Sometimes the result is only a growing number of audit offices, audits and collaborators.

In the case of the Flemish Department of Public Governance, the performance measurement system is much more than just a system of control and monitoring of results. The MODO dashboard functions as a business decision room, enabling the management of the Department to pilot the business in a more effective way. It is an innovative solution to link the strategy and objectives to operational and executions, leverage human intelligence in decision-making, improve accountability amongst the management team and towards the political level and other stakeholders and boost the performance through a holistic approach.

The design of this performance management system is completed gradually. The management of the Department of Public Governance has taken the initiative to set up MODO. One year later, the cabinet of the Minister of Public Governance was convinced by the idea and so other entities from the policy field of Public Governance were required to implement MODO. From a post-NPM point of view it is defensible to disseminate this performance measurement system across the entire Flemish public sector. Further structural integration of management systems is desirable to counter fragmentation. On the other hand, decentralisation and autonomy shaped a culture of heterogeneity and diversity over the different entities within the Flemish public sector, which makes an imposed integration of management systems not self-evident.

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## Article 3 Performance measurement/monitoring

### Why do poor results get all the attention?

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#### Introduction

The public sector has utilised 'modern' performance measurement for nearly 100 years, but we still do not know a great deal about the way performance information is used in public policy and management. Nonetheless, there lies a great potential in using performance indicators less for control and more for signalling opportunities and problems in the political system. The often criticised rankings and league tables may be very useful in this respect.

Performance information, for instance in the form of balanced scorecards or target regimes, is often assumed to be used for implementing formal strategies based on objectives. Often the alleged organisational vision is to be the leading organisation in some respect or another and the objective may be to implement 'best practices'. What we often notice, however, is the preoccupation with underperformance and poor results, not best practices.

Many researchers have recognised the preoccupation with underperformance and poor results and the academic literature has addressed this issue with different concepts such as blame avoidance, naming and shaming, and negativity bias and asymmetric responses to good and bad economic information. Performance information may matter but the jury is out with regard to the net effect of performance management. Much research has documented many dysfunctional effects of performance measurement. There may also be a negativity bias in the research on performance management, and in public management practice we should therefore also comprehend positive and functional effects.

We shall discuss here why information on underperformance and poor results often gets most of the attention in public policy. In order to facilitate the discussion this paper analyses the case of PISA data in educational policy for secondary schools in Norway.

#### 1. Educational policy in Norway

In the late 1980s the OECD criticised Norwegian educational authorities for lacking evidence on pupils' and schools' performance and for losing control after major decentralisation reforms in the 1970s and 1980s (KUF, KVD and OECD 1989). The OECD was worried that evaluation and the responsibility for analysing the school results to a large extent was left to the local teachers, without the educational authorities being able or willing to make standardised tests and national evaluations. Norwegian economists analysed the educational policy and proposed reforms for improving the performance of the Norwegian school system in the late 1980s and early 1990s (NOU 1991:28), but these proposals were met with massive condemnation from many in the teachers' union. Economists who in the 1990s and early 2000s wanted to study school performance using grades as output measures were not granted access to the grade data by the educational authorities.

In the 1990s, a Minister of Education from the Labour Party, Mr Gudmund Hernes, initiated Norway's participation in the OECD's Programme for International Student Assessment (PISA). PISA is an international comparative survey of the educational school systems in different countries. PISA measures 15 year old pupils' competencies in reading performance, mathematics and scientific literacy. In order to study the cumulative yield of education, the assessment takes place every three years and each time all the above educational domains are included. The first cycle of PISA was carried out in 2000.

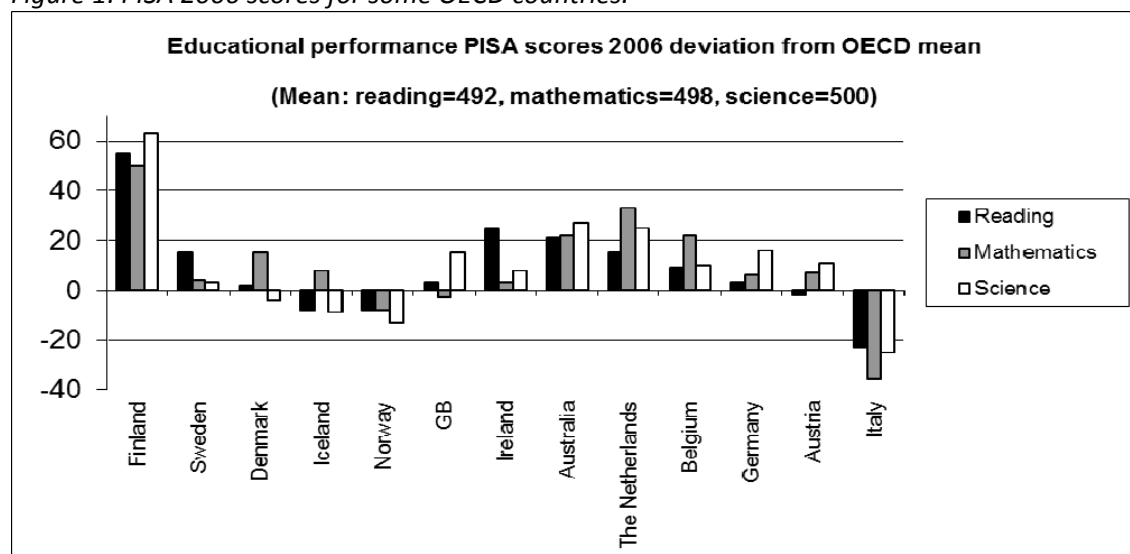
After 1997 there have been various coalition or minority governments, and there was a largely emerging consensus regarding the educational policy on more emphasis on basic educational results such as literacy and numeracy. PISA has, however, been a contested issue in the government's educational policy (Bergesen 2006).

Governments, researchers, interest groups and the media await the regular release of the PISA results every third year with great interest in Norway, as well as internationally. A study of the impact on educational policy internationally after the first completed cycle of PISA in 2006 conducted case studies of England, Finland and Germany (Grek 2009). PISA data were used for justifying changes or supporting existing policies, but there was a bigger impact in Germany and Finland than in England which already had long experience with different public sector measurement and testing regimes. In Finland, which got high rankings, there was a 'PISA-surprise' but the Finnish media paid relatively little attention. In Germany there was a 'PISA-shock' and much media attention after the PISA data from 2000 showed that Germany ranked twentieth in reading, mathematics and science among 32 countries. A new study of domestic press responses of international educational rankings including PISA in England, France and Germany found indications of negativity bias (Dixon, Mullers, Hood and Arndt 2010).

## 2. The case of PISA

Figure 1 illustrates the PISA scores in 2006 for reading, mathematics and science as deviation from the OECD mean scores for selected countries.

Figure 1: PISA 2006 scores for some OECD countries.



The Norwegian scores were slightly higher than the German scores in 2000, which had caused the PISA-shock in Germany, but the Norwegian scores have declined since 2000.

The publication of the first data from PISA was a major event in Norwegian educational policy and got massive media and political attention. The first PISA statistics from 2000 were published shortly after the centre–right coalition Bondevik II government took office in the autumn 2001. The Bondevik II government had an education minister from the Conservative party, Ms Kristin Clemet, and the government’s educational policy emphasised testing and the measurement of schools’ performance more than previous governments. The statistics, coming at an opportune time for the new centre–right government, showed that the Norwegian secondary schools were underperforming in important educational fields such as literacy, maths and sciences. Moreover, egalitarianism and social inclusion, which traditionally is highly esteemed in the Norwegian unitary school system and society at large, was unsatisfactory, even though the Norwegian school system was relatively resource intensive. Furthermore, the situation in the classrooms was often noisy and many felt that disciplinary problems were not adequately taken care of. The good news was that most pupils and teachers thrived in their daily school activities.

In response to the criticism, the centre–right government’s educational policy in 2003–2004 emphasised improving the pupils’ basic skills in literacy, mathematics, foreign language, sciences and digital competence. The Parliament met this educational reform with almost unanimous approval. The PISA statistics underscored the new educational consensus of the late 1990s, focusing more on basic educational skills. This focus had traditionally been the main issue in the Conservative Party’s educational policy. However, some parties had divergent views on performance management. The policy of measuring, ranking and publication of school performance aroused resistance from the socialist parties, the teachers’ union and the pupils’ organisation, as well as from some academic circles.

After the 2005 national election the centre-left (red-green) coalition government of Stoltenberg II was formed consisting of some of the parties that had been the most critical of the previous government’s performance management policy. Although the new government pledged to change this policy, the new red-green government continued the basic content of the educational policy. The international educational rankings, including PISA, may have given some of the ‘pragmatist’ policy makers in the red-green coalition government the motive and opportunity to change some of the socialist parties’ traditional educational policies. However, the red–green government did abolish publication of schools’ mean grades and the ranking of schools based on national school performance data.

### **3. Poor results**

We can assess poor results by absolute and relative criteria, where deviations from expectations may be a typical relative criterion as exemplified by the PISA-shock in Germany. The third round of PISA statistics which came in 2006, can indeed illustrate poor results for Norway.

The Norwegian researchers working with PISA summarised the main findings in a Nordic perspective in the National PISA Report 2006:

*'Unfortunately, Norway appears as the country with lowest scores in Scandinavia, and significantly below the OECD average in all the subject domains. While Finland scores far above the OECD-average in all subjects, the rest of the countries results are close to the average value. The main findings are very similar to what we saw in PISA 2003, and 2000 (...), but the Norwegian results are even lower. We conclude that the performance is low...'* (Kjærnsli et al. 2007, p. 13).

#### 4. Media reactions

The PISA 2006 results were published on Tuesday 4 December 2007 and the news on the poor Norwegian results were soon out. For example, the Norwegian national financial newspaper *Dagens Næringsliv* ran a big headline on its front page Wednesday 5 December 2007, and a two-page cover story with rankings of the Norwegian results compared to other countries and analyses ('Norwegian schools severely set back: The international PISA study reveals that the situation in the Norwegian school system is worse than ever'). Many of the national broadsheets and regional newspapers ran similar stories and follow-up articles for many days and even months. So, the poor results received a lot of attention.

#### 5. Attention and models of man

In order to discuss why poor results get so much attention – economic, administrative and political – we shall make use of three simple models or theories of man.

The first theory is the *economic man*, which can be found in many introductory textbooks in micro economics. This theory states that the actor has clear preferences, has knowledge about all alternatives, calculates benefits and costs for all alternatives, and is able to rationally choose and implement the alternative which maximises net benefit relative to his preferences.

The second theory is the *administrative man*. The theory of the administrative man states that there often is more than one goal but only limited attention and scrutiny. The goals therefore do not serve as ends relative to traditional preferences but as constraints for the decisions. The decision is ultimately not a maximisation of net benefit but rather a satisfaction relative to a perceived problem.

The third theory is the *political man*. The political man also has limited rationality, but he is cognisant about how different institutions counteract limited rationality at the individual level at the same time that different actors pursue their own interests. The political man therefore uses information strategically.

#### 6. Economic explanations

One way of using performance information rationally is to scan the horizon for upcoming problems or, using performance information, look for problems like police patrols routinely searching for crime. Solving big problems seems to add more to marginal welfare in society

than solving minor problems and may explain the focus on underperformance and poor results rather than on improving on high performance and good results.

## **7. Administrative explanations**

A key question is, however, whether and how the information is used. The administrative system is complex with extensive division of labour and specialisation. A lay person would often not understand all the complexities involved in using performance information in a meaningful way and therefore has to trust more knowledgeable colleagues and specialists. The majority of the politicians would often be concerned only in special cases and with major deviations relative to plans, budgets or expectations, such as low performance. Specialists and advisors may therefore produce information and process poor results relative to plans, objectives or other comparators like fire alarms calling for politicians' and top managements' attention and action. There is a system with supply and demand of performance information and roles for prosecutors and defenders regarding perceived poor results.

## **8. Political explanations**

The Norwegian case highlights two more issues. First, relevant information is available but central political actors such as leftist political parties, the teachers' union and the pupils' organisation did initially not want to use the information. This implies that politics and interests are important for understanding performance measurement and monitoring, hence the usefulness of the political man model.

Secondly, in the public sector, avoiding low performance that could result in 'naming, shaming and blaming' could be as strong an incentive as performing well and learning from best practice. Risk avoidance may be prevalent in the administrative culture because mistakes tend to be punished and successes are not greatly rewarded.

A political perspective may also explain why it might be easier for the government to agree on – or at least it might be useful to admit the responsibility for – low performance, than for identifying or taking the credit for high performance. For the opposition, there is not much reward in identifying high performance. It is exposing and blaming low performance that may initiate a policy renewal, change of government or eventually bring the opposition into the ministerial seats after the next election. In some instances, it is also important for the ruling government to identify and prevent low performance. Low performance could reframe a problem in such a way that the government could motivate, mobilise and legitimate change. Hence, focusing on performance below par may pay off both for oppositional as well as governmental politicians who want changes.

## **Conclusions**

One important and longstanding aim for the public sector school system in Norway has been to provide equal opportunity for all pupils regardless of gender, family background and place of residence. The PISA results (as well as other performance information) provided data that gave many actors reasons for doubting the performance of the Norwegian school system.



There is now a public discourse on social exclusion and learning in Norway that probably would not have taken place without the poor PISA results. Certain indicators function as incentives and people and organisations adapt. Performance information clearly did facilitate policy innovation. Performance information that helps politicians and other policy makers in expressing their views, get relevant evidence as feedback, and makes policy and society transparent, may be conducive for open societies and democratic discourses.

The focus on poor results may fruitfully be analysed as an institution. Some actors such as managers and policy makers systematically search for low performance and other actors such as auditors and media focus on areas where low performance is expected. Some actors also utilise tools such as rankings and league tables that frame relative performance as good and poor results, which easily grab different actors' attention. Over time patterns of actors, interests, behaviour and administrative bodies evolve into institutions by 'accident' and blaming and naming rather than design.

The new performance regime may have been especially good for the least well-off pupils. Interestingly, it has been the often criticised elitist rankings and league tables of high performance that have provided the means to address the important egalitarian issues of low performance and inequality in the Norwegian case. Therefore, the widespread tendency to pay disproportionate attention to poor results – the negativity bias – may not be so bad after all.

Endnote: A full version of this paper is submitted for publication in *Financial Accountability and Management*.

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## Conclusions

## The future of CAF

Since the launch of the CAF model in 2000 at the first European quality conference, more than 2000 public sector organisations have applied the model. Over the past 10 years the CAF model has established its position among the many quality management tools. Thanks to the unique European collaboration and the efforts of many people, the model has proven to be successful. However, the challenges of the future need to be anticipated today. The CAF community will need to take the necessary steps to prepare for this future.

### 1. A new in-depth study

In the previous chapters we described in general the origin and evolution of the Common Assessment Framework and its implementation, all the activities and instruments that have been deployed over the past 10 years, and how the model has been spread. Most of the applications occurred since the launching of the latest review in 2006. This review was based upon a comprehensive study on the use of the CAF 2002 model until then, thanks to the amount of qualitative information that was gained by this study. In order to set up new steps in the development and dissemination of the model, a new in-depth study seems to be necessary, this time related to the use of the CAF 2006 version. We reached the quantitative target of 2000 registered users by 2010 and a new quantitative target may be set. But the time has come to carry out a qualitative evaluation of the use of CAF so that qualitative strategic objectives for the future can be defined.

This study will be undertaken in 2011. As in the previous studies, questions about the content, the wording of the content and the process of implementation will have to be asked. The necessity or need to include new domains of public sector aspects such as sustainability, integrity and ethics will be examined. Suggestions from national correspondents and users will be collected. More emphasis will be put on the impact of the action plans that were undertaken after the self-assessment and to what extent they have led to a higher level of quality maturity in the organisation with reference to the 8 principles of excellence that are now worked out for the public sector.<sup>51</sup> Information from the implementation of the new Procedure on External Feed back will give a first indication to what extent these principles of Excellence have found their way inside the European public sector. It must be clear that one of the action points for the future will be the further promotion and installation of the whole procedure and that this will demand a lot of efforts from the Member States as well as from the CAF Resource Centre at EIPA.

### 2. Heading for excellence

The Procedure on External Feedback (PEF) can be seen as the third step in the quality development of public sector organisations. In the first step, the organisation is to look at itself, discover areas of improvement and work them out in close cooperation between management and people of the organisation. Numerous opportunities to improve the organisation can be found in the competences of its people as long as they are mobilised in an effective way. Much has been done to allow this to happen with the use of CAF but these

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<sup>51</sup> See the brochure on the CAF External Feedback Procedure on [www.eipa.eu/CAF](http://www.eipa.eu/CAF)

efforts have to be maintained at European and national level and even to be increased in a number of MS that still have to be convinced of the added value of this TQM approach for their public sector.

But much inspiration can also be found outside the organisation in other local, regional or national levels. This is the second step organisations set in their development. Over the past 10 years, the exchange of good practices has been on the agenda of many international meetings such as the 5 European Quality Conferences and the 4 European CAF Users Events, but also at many national and regional quality events. But more can be done. Efforts will have to be undertaken to raise the effectiveness of the exchange of good practices on the level of all aspects that are treated in the 28 sub-criteria of CAF. As it is a holistic TQM model, all good practices on organisational development are at stake. New methods of exchange offered by the fast developing electronic providers have to be included. Efficiency in this field is also more important than ever. In this way, we have to overcome the tendency that the first thing public sector organisations do in times of austerity is to stop meeting with colleagues from other countries. This will not only harm the building up of Europe but also the improvement of the capacity of the public sector in the MS.

In the third step, public sector organisations seek the visit from expert peers to discuss with them how the self-assessment and better managerial practices were implemented and to discover to what extent this has raised the maturity level on TQM. In fact this is the final outcome of working with CAF: an excellent organisation that reaches the maturity level at all 8 principles of Excellence. This ambition is now clearly defined and starters are now aware of the final outcome of their CAF journey. On all three steps efforts of promotion and support will have to be maintained and developed in the future, but a lot remains to be done especially in the field of the maturity levels in the 8 principles of excellence. What do they mean in practice for an organisation? What lies behind the concepts? How can an organisation shift from one level to another? Are these concepts the same in all countries or can we learn from each other?

### **3. Adaptation to the broad extent of the public sector**

Besides working on the further deepening of CAF, the question is often put forward as to whether it is useful to develop a sector-oriented version of the model, respecting of course the overall structure of the model. CAF and Education was been finalised in 2010 but some countries have already developed a CAF for Justice, a CAF for Health Care or a CAF for local administrations. This question still has to be discussed by the CAF network but reality has already passed the outcome of this discussion.

### **Conclusion**

We have probably overlooked a number of other opportunities for the CAF in the future but it must be clear that the model can play an even more effective role than in the past with regard to the evolution towards excellent public services in and outside Europe. One major condition for that is the strong cooperation within the CAF network amongst the Member States and between the Member States and the CAF RC. Because it is important to constantly remember, that together everyone achieves more!



## Annex: Contacts

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