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Common Assessment Framework

The European model for improving public organisations through self-assessment

Resource Centre
European Institute of Public Administration
COMMON ASSESSMENT FRAMEWORK


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Table of contents

Foreword **4**

I General introduction **5**

II What to evaluate: the assessment framework **11**

Criterion 1: Leadership 14

Criterion 2: Strategy and Planning 19

Criterion 3: People 24

Criterion 4: Partnerships and Resources 28

Criterion 5: Processes 35

Criterion 6: Citizen/Customer-oriented Results 40

Criterion 7: People Results 43

Criterion 8: Social Responsibility Results 47

Criterion 9: Key Performance Results 50

III How to evaluate: the scoring system **53**

IV Guidelines for improving an organisation using the CAF **60**

V The CAF external feedback **71**

VI CAF glossary **72**

ANNEX: Structure CAF 2013 versus CAF 2020 ..... **92**

Acknowledgements **94**

Foreword

The European Public Administration Network (EUPAN) is an informal network of the Directors-General responsible for public administration in the Member States of the European Union, the European Commission (EC) and observer countries. The network works together for high-quality public services and public administrations in Europe.

The relevance of EUPAN is in its forward-looking and knowledge-sharing role for public administration challenges at the national and European levels. The Common Assessment Framework (CAF) is the most visible product of the network, with clear impact on how we assess and improve the quality of public administrations in Europe. The use of the model has also spread outside Europe, so the impact is even wider. In 2019 there are about 4.100 registered CAF users in European and Non-European countries.

The new CAF2020 is the fifth version of the model. The core of the model is based on a proven CAF model that was launched in 2000. The CAF is the first European quality management tool specifically tailored for and developed by the public sector itself. It is a general, simple, accessible and easy-to-use model for all public sector organisations. It deals with all aspects of organisational excellence and drives for continuous improvement. The CAF model has now been revised and fine-tuned in order to better respond to the development and evolutions in public management and society. The updates of this CAF2020 version mainly deal with digitalisation, agility, sustainability and diversity.

This new version is the result of the intensive collaboration between the National CAF Correspondents of the Member States of the European Union. A core group undertook the main task of revising the CAF. We take this opportunity to thank especially Austria, Belgium, Finland, Italy, Poland and Portugal, supported by the European CAF Resource Centre at the European Institute of Public Administration (EIPA). The process was also strongly promoted by the EU Presidencies of Estonia, Bulgaria and Romania.

Ultimately, quality public administration and its services are assessed by their impact on the quality of life for people. The purpose of the CAF model is to guide public organisations to reach the best possible outcomes.

There is an active community around the CAF model. While the National CAF Correspondents network is in charge of keeping the model strong and up to date, the wide user network is the one creating the concrete effects of using the model in their organisations. Their expertise and knowledge is shared in European CAF Users Events and other occasions where ‘Friends of CAF’ meet. Thousands of organisations have already adopted the model and proved that it works; hundreds of people gather together in the European events. With this revised version of CAF2020 we warmly invite everyone to join this CAF community!

The EUPAN 5 Secretariat[1] November 2019
(Croatia, Finland, Germany, Romania, European Commission)

[1] The EUPAN 5 Secretariat operates on a rotating basis and is always formed by the current presidency together with the previous one, the two following presidencies and the European Commission.

I General introduction

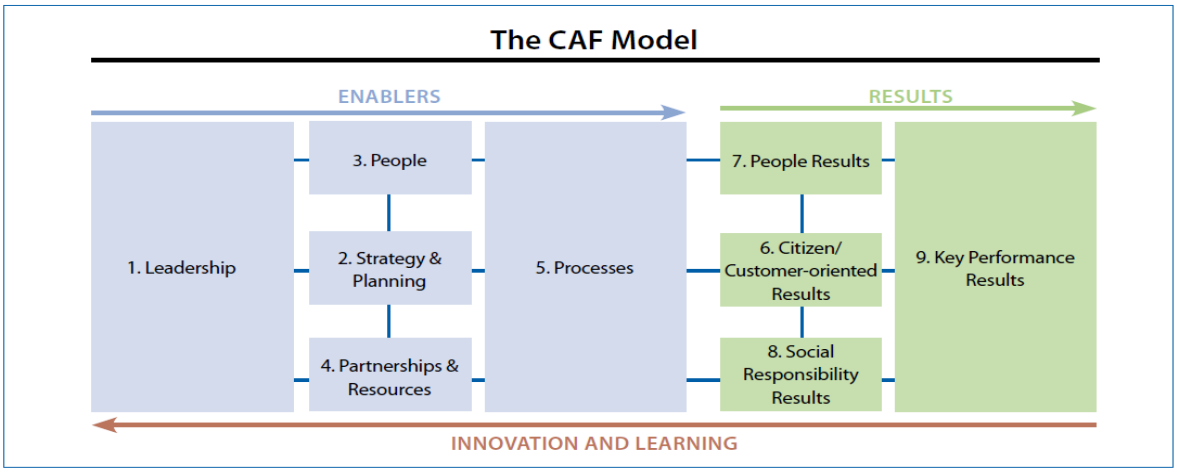
The content of the CAF model

DEFINITION

The Common Assessment Framework (CAF) is a total quality management model for self-assessment developed by the public sector for the public sector. The CAF is free of charge and available in the public domain to assist public sector organisations to improve their performance. It has been designed for use in all parts of the public sector, and it is applicable to national/federal, regional and local levels. Although the CAF has been developed in a European context, it can be used in any public organisation all around the world.

The CAF belongs to the family of the total quality management (TQM) models and was originally inspired by the Excellence Model of the European Foundation for Quality Management (EFQM®). It is a model for performance management acting as a 'compass' to help managers finding the paths to excellence. With its graphical representations it explains the cause/effect relation between organisational factors and performance results.

The CAF is based on the premise that excellent results in organisational performance, citizens/customers, people and society are achieved through leadership driving strategy and planning, people, partnerships, resources and processes. It looks at the organisation from different angles at the same time: the holistic approach to performance analysis.



The nine-box structure identifies the main aspects requiring consideration in any organisational analysis. Criteria 1–5 (the enablers) deal with the managerial practices of an organisation. These determine what the organisation does and how it approaches its tasks to achieve the desired results. In Criteria 6–9, the results achieved in the fields of citizens/customers, people, social responsibility and key performance are measured by perception and performance measurements.

Each criterion is broken down into a list of subcriteria. 28 subcriteria identify the main issues that need to be considered when assessing an organisation. They are illustrated by examples that explain the content of the subcriteria in more detail and suggest possible areas to address, in order to explore how the administration meets the requirements expressed in the subcriterion.

These examples represent good practices from all over Europe. Not all of them are relevant for every organisation, but many can be considered as points of attention during self-assessment. Integrating the conclusions from the assessment of the enablers and results criteria into the managerial practices constitutes the continuous innovation and learning cycle that accompanies organisations on their way towards excellence.

Without modifying the structure of the model but simply adapting the examples and the language, sectorial versions of the model have been defined to make the CAF implementation easier and more effective for every organisation. A European version “CAF education” exists since 2013 and many other sectors have been developed at national levels (e.g. for justice organisations, universities, municipalities).

PURPOSE AND BENEFITS

The CAF aims to be a catalyst for a full improvement process within the organisation.
The aim is better services for the citizens, because implementing the CAF helps to increase the quality of services for the customers and thus citizens’ satisfaction.

It supports public administrations to:

1. introduce the culture of excellence;
2. progressively implement the PDCA (PLAN, DO, CHECK, ACT) logic;
3. carry out the self-assessment process in order to obtain a comprehensive organisation check;
4. come up with a diagnosis that shows the strengths and improvement areas helping the definition of improvement actions.

In addition, the following benefits of the CAF are recognised by many users:
Tailor-made for the public sector: It is the European quality management model developed by public administrations for public administrations.
Common language: It allows staff and managers to discuss organisational issues together in a constructive way. It promotes dialogue and benchlearning among public administrations.
People involvement: The self-assessment process is the basis for the systematic involvement of people in the improvement of the organisation.
Evidence-based improvement: It stimulates public sector organisations to gather and effectively use information and data.
No external costs: The CAF is available free of charge, promoted by the European CAF Resource Centre and the network of National CAF Correspondents.
External feedback available: A common procedure was defined by the CAF network in 2009 to provide recommendations delivered by External Feedback Actors for the further development of the organisation and to be recognised as an effective CAF user.

Moreover, the European model CAF2020 incorporates the lessons learned and results of the following:

- ❑ Toolbox – Quality of Public Administration, European Commission, 2018
- ❑ Embracing Innovation in Governments Global Trends, OECD 2018
- ❑ OECD Declaration on Public Sector Innovation, 2019
- ❑ The Principles of Public Administration, SIGMA OECD, 2019
- ❑ EPSA – European Public Sector Award, EIPA
- ❑ Observatory of Public Sector Innovation (OPSI), OECD

PRINCIPLES OF EXCELLENCE

As a tool of TQM, the CAF subscribes to the fundamental concepts of excellence as initially defined by the European Foundation for Quality Management. The CAF translates them to the public sector and aims to improve the performance of public organisations on that basis. The implementation of these concepts makes the difference between the traditional bureaucratic public organisation and the one oriented towards the culture of the quality of performance.



The core of the CAF model is the self-assessment of the organisation and thus the starting point for a comprehensive improvement process. Although the CAF primarily focuses on performance evaluation and management to make improvement possible, the ultimate goal is to contribute to good governance. Good governance begins with shared principles/values, which are to be taken into consideration during the assessment. Definitions and terminology of the values vary in different administrations even if there are recurring themes but the common European context is an important reference for CAF users taking into account the common public sector values and principles.

Principle 1: Results orientation

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

Principle 2: Citizen/customer focus

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

Principle 3: Leadership and constancy of purpose

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

Principle 4: Management of processes and facts

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

Principle 5: People development and involvement

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

Principle 6: Continuous learning, innovation and improvement

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

Principle 7: Partnership development

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

Principle 8: Social responsibility

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

These Principles of Excellence are integrated into the structure of the CAF and in time, the continuous improvement of the nine criteria will bring the organisation to a high level of maturity. For each principle, four levels of maturity have been worked out so that an organisation can have an idea of its way forward towards excellence.

WHAT IS NEW IN CAF2020

Due to its proven effectiveness, the framework for the self-assessment has not been changed from the reference to the eight Principles of Excellence on which it is based. The CAF is still composed of 9 criteria and 28 subcriteria, but some of the subcriteria have been reformulated for better understanding.

Users of previous CAF versions will not find it too difficult to find their way around the new version, as it is a moderate update. CAF2020 strengthens the focus on **digitalisation** and pays attention to **agility**, **sustainability** and **diversity** regarding the connection of the operational with the strategic levels to support **reforms implementation**.

Major changes have been introduced at the level of the examples that have all been reviewed, shortening the descriptions and reducing their number. The glossary has been updated accordingly. In the Annex there is a table that compares CAF 2013 with the CAF2020 version.

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

How to implement the CAF model

SELF-ASSESSMENT AND IMPROVEMENT PROCESS

The CAF implementation follows a three-phase plan.

Phase 1: Start of the CAF Journey

The decision for implementing the CAF is the starting signal for a comprehensive improvement and change process of the organisation. This has to be considered from the beginning and requires clear responsibilities, commitment and decision of the management to adopt the CAF, and the involvement of the employees.

Phase 2: CAF Self-Assessment

Here, a joint self-evaluation of the organisation by employees and management is carried out on the basis of the criteria in order to identify strengths and areas for improvement. The main result of this phase, in addition to the evaluation, is a catalogue with ideas for improvement for the further development of the organisation. The expected output is a self-assessment report.

Phase 3: CAF Improvement Plan

On the basis of the ideas for improvement developed in phase 2, a CAF improvement plan is drawn up, which specifies the implementation of the ideas for improvement. Here, the individual actions are prioritised, provided with schedules and responsibilities, and assigned the necessary resources.
Now the CAF improvement plan has be implemented within two years. After this, a new CAF self-assessment process can be started. This loop ensures the continuous improvement process in the organisation.

The whole process is supported by guidelines covering a ten-step implementation plan.

THE EXTERNAL FEEDBACK PROCEDURE

To enable public sector organisations applying the CAF to see the results of their efforts, the model offers the **External Feedback Procedure** which provides feedback aiming to further support the CAF user in their journey towards quality.

Between 6 and 12 months after the approval of the self-assessment report, the organisation has the opportunity to apply this procedure to receive the European label of 'effective CAF user'. In case of a positive evaluation given by external CAF experts the label will confirm that the CAF has been implemented in an effective way and the organisation has started to install the Principles of Excellence in its organisational culture.

The delivery of the **CAF Effective User Label** is the responsibility of the Member States implementing the procedure. Organisations that wish to apply for the CAF label should enquire beforehand about the existing possibilities in their country.

How to get support in using CAF2020

In 2001, a network of National CAF Correspondents, as well as the European CAF Resource Centre (CAF RC) was created following the decision of the Directors-General in charge of public service. The CAF network is responsible at European level for the development and follow-ups of the CAF. It periodically discusses new tools and strategies for the promotion of CAF implementation. It organises a European CAF Users Event every two years, at which national experts and users discuss good practices and exchange ideas.

In the Member States, the National CAF Correspondents develop appropriate initiatives to stimulate and support the use of the model in their countries. Activities vary from the creation of national resource centres to dedicated websites or quality conferences. Joint CAF projects are common, often in the context of the use of EU funding, that involve two or more European or candidate countries (especially twinning and TAIEX activities) and countries of other continents too.

The European CAF RC is based at the European Institute of Public Administration (EIPA) in Maastricht (NL) and is responsible for supporting CAF implementation in Europe. Main tasks are generation of expert content, coordination of the CAF network meetings, training delivery, surveys on CAF implementation, management of the CAF website www.eipa.eu/caf with all relevant information about CAF users and National CAF Correspondents, and all related publications (survey reports and newsletters).

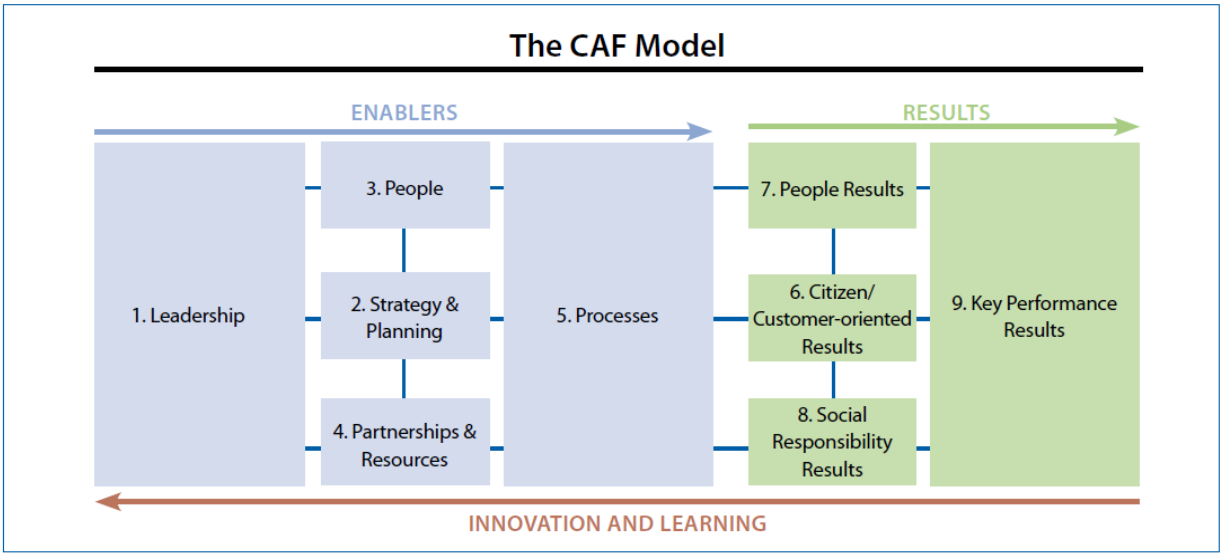
It also supports on demand from Member States the organisation of 'CAF Events' that are held every two years at European level and deliver the common European training scheme for CAF External Feedback Actors.

In the following chapters you will find information concerning

- ❑ the CAF2020 assessment framework (Chapter II)
- ❑ the scoring system (Chapter III)
- ❑ the self-assessment process (Chapter IV)
- ❑ the external feedback procedure (Chapter V)
- ❑ the CAF glossary.

II What to evaluate: the assessment framework

The nine-box structure identifies the main aspects requiring consideration in any organisational analysis.



The five enablers boost the organisation to perform at its best.

- ❑ Above all is the leadership (1), which sets the strategic direction of the organisation and creates the organisational foundations.
- ❑ Good leadership uses instruments of strategy and planning (2) as well as human resources management (3), cooperates with partners and manages resources (4) such as budget, knowledge and IT.
- ❑ On these bases, the organisation defines and documents the internal processes (5) and develops these permanently.
- ❑ If the organisation is well placed to boost the enablers, it will also deliver excellent results for their customers, stakeholders, employees, citizens and society. The CAF defines four criteria which measure the results of the organisations work.

During the self-assessment process a distinction should be made between the cause–effect relationship between the enablers (causes) and the results (effects), and the holistic relationship between the causes (enablers).

The cause–effect relationship between the enablers (causes) and the results (effects) have to be taken into account. The organisation should always check for consistency between a given result and the ‘evidence’ collected on the relevant criteria on the enabler side.

The following are some examples of this connection:

- Customer/citizens results – e.g. how satisfied are the citizens with the work of the organisation (the ministry, the municipality, the school, etc.)? How is the telephone accessibility seen? What are the opening hours of the citizen service centre?
- People's results – e.g. how satisfied are the employees with their work in the organisation? How is the performance of peoples work? Which training courses are attended?
- Social responsibility results – e.g. how much recycled paper is used? How many transparency/open data initiatives are supported?
- Key performance results – e.g. what output and outcome impacts does the organisation achieve with its work (for public transport, police security, environmental protection, social services, quality of the laws, etc.)?

Such consistency is sometimes difficult to verify because the different causes (enablers) interact with each other when producing results. In any case, the existence of appropriate feedback from results appearing on the right-hand side to the appropriate criteria on the left-hand side should be checked in the assessment.

Enablers Criteria

Criteria 1–5 deal with the managerial practices of an organisation, the so-called enablers. These determine what the organisation does and how it approaches its tasks to achieve the desired results. The assessment of actions relating to the enablers should be based on the enablers panel (see chapter ‘How to evaluate: the scoring system’).

Criterion 1: Leadership

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

Subcriterion 1.2
Manage the organisation, its performance and its continuous improvement

Subcriterion 1.3
Inspire, motivate and support people in the organisation and act as a role model

Subcriterion 1.4
Manage effective relations with political authorities and other stakeholders



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

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

Assessment

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

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

The leadership ensures that the organisation is driven by a clear mission, vision and core values. This means they develop the mission (why do we exist / what is our mandate?), the vision (where do we want to go / what is our ambition?) and the values (what steers our behaviour?) required for the organisation's long-term success. They communicate them and ensure their achievement. Every public organisation needs values that build the framework for all activities of the organisation – values in line with its mission and vision.

Public sector organisations actively have to uphold values such as democracy, rule of law, citizen focus, diversity and gender equity, fair working environment, embedded corruption prevention, social responsibility and anti-discrimination: values that at the same time provide a role model for the whole of society.

Leadership creates the conditions to embody these values.

Leadership should ensure organisational agility and be aware of the challenges and opportunities posed by digitalisation.

Examples

a. Set a clear direction for the organisation by developing the mission, vision and values, involving relevant stakeholders and employees.

b. Ensure that European public sector principles and values such as integrity, transparency, innovation, social responsibility and inclusion, sustainability, diversity and gender aspects are in the mainstream of the organisation's strategies and activities.

c. Ensure that mission, vision and values are in line with local, national, international and supranational strategies taking into account digitalisation, public sector reforms and common European agendas (e.g. SDGs, EU2020, better regulation).

d. Ensure the wider communication and dialogue about the mission, vision, values, strategic and operational objectives to all employees in the organisation and to other stakeholders.

e. Ensure organisational agility by periodically reviewing the mission, vision, values and strategies reflecting changes in the external environment (e.g. digitalisation, climate change, public sector reforms, demographic developments, impact of smart technologies and social media, data protection, political and economical changes, social divisions, customers' differentiated needs and views).

f. Prepare the organisation for the challenges and changes of digital transformation (e.g. digitalisation strategy, training, guidelines for data protection, appointment of DPO).

[Award a score using the enablers panel]

Subcriterion 1.2 Manage the organisation, its performance and its continuous improvement	
Leaders develop, implement, and monitor the organisation's management system. An appropriate organisational structure with clear responsibilities for all levels of staff, as well as defined management, support and core processes, should guarantee the efficient achievement of the organisation's strategy for outputs and outcomes. The performance management is based on defined measurable targets reflecting outputs and outcomes of the organisation's activities. Integrated performance management systems combine outputs and outcomes with resources to enable guidance based on rational evidence. It allows regular reviewing of performance and results. Leaders are responsible for improving performance. They prepare for the future by organising the changes necessary to deliver the mission. The initiation of a continuous improvement process is a core target of quality management. Leaders prepare the ground for continuous improvement by ensuring an open culture for innovation, learning and ethical behaviour.	**Examples** a. Define appropriate managerial structures, processes, functions, responsibilities and competencies ensuring the organisation's agility. b. Steer the improvement of the organisation's management system and performance in accordance with the expectations of stakeholders and customers' differentiated needs. c. Define the management information system with input from the internal control and risk management system. d. Set targets and use a balanced set of results and outcomes to measure and evaluate the performance and impact of the organisation, prioritising customers' and citizens' differentiated needs. e. Ensure good internal and external communication in the whole organisation and use new means of communication including social media. f. Develop a management system that prevents corruption and unethical behaviour, but also supports employees by providing compliance guidelines. [Award a score using the enablers panel]

Subcriterion 1.3 Inspire, motivate and support people in the organisation and act as a role model	
Through their personal behaviour and their human resource management leaders inspire, motivate and support the employees. Acting as role models, the leaders reflect the established objectives and values, encouraging employees to act in the same way. Employees are supported by the leaders to reach their targets by carrying out their duties. A transparent style of leadership based on mutual feedback, trust and open communication motivates people to contribute to the organisation's success. Besides these issues of personal behaviour, central factors for motivation and support of employees can also be found in the organisation's leadership and management system. Delegation of competences and responsibilities, including accountability, is the main managerial basis for motivating people. Equal opportunities for personal development and learning as well as recognition and rewarding systems are also motivating factors.	**Examples** a. Inspire through an innovation-driven leadership culture based on mutual trust and openness. b. Lead by example, thus personally acting in accordance with established objectives and values (e.g. integrity, sense-making, respectfulness, participation, innovation, empowerment, precision, accountability, agility). c. Promote a culture of mutual trust between leaders and employees with proactive measures to counter any kind of discrimination, encouraging equal opportunities and addressing individual needs and personal circumstances of employees. d. Inform and consult employees regularly on key issues related to the organisation. e. Empower and support employees providing them with timely feedbacks in order to improve their performance. f. Promote a learning culture, stimulate employees to develop their competences and to adjust to new requirements (by preparing for the unexpected and by learning quickly). [Award a score using the enablers panel]

Subcriterion 1.4 Manage effective relations with political authorities and other stakeholders	
Leaders are responsible for managing relationships with all relevant stakeholders who have an interest in the organisation or its activities. Therefore, the public managers lead a focused dialogue with political authorities and the other stakeholders. In the public sector, leadership is the interface between the organisation and the political authorities. This subcriterion describes one of the main differences between public sector and private organisations. Public sector organisations have to focus on relations with political authorities from different perspectives. On the one hand, individual politicians can have a leadership function as they – together with the public sector organisation leaders – formulate targets. In this way, public sector organisations act as managing bodies of the political authorities. On the other hand, political authorities can occur as a specific group of stakeholders to be dealt with.	**Examples** a. Analyse and monitor the stakeholders' needs and expectations including relevant political authorities. b. Assist the relevant political authorities in defining the public policies related to the organisation. c. Align the organisation's performance to public policies and political decisions. d. Maintain proactive relations with the political authorities from the appropriate executive and legislative areas. e. Manage partnerships with important stakeholders (citizens, non-governmental organisations, interest groups and professional associations, industry, other public authorities, etc.). f. Raise public awareness, reputation and recognition of the organisation, and develop a concept of marketing focused on stakeholders' needs. [Award a score using the enablers panel]

Criterion 2: Strategy and Planning

Subcriterion 2.1
Identify the needs and expectations of the stakeholders, the external environment and the relevant management information

Subcriterion 2.2
Develop strategies and plans based on gathered information

Subcriterion 2.3
Communicate, implement and review strategies and plans

Subcriterion 2.4
Manage change and innovation to ensure the agility and resilience of the organisation



Implementing the mission and vision of a public organisation requires a clear strategy. Setting strategic objectives includes identifying the needs and expectations of the stakeholders, making choices, setting priorities based on the public policies and objectives, and the other stakeholders' needs, taking into account the available resources.

The strategy defines the outputs (products and services) and outcomes (impact) it wants to obtain and the way it wants to measure progress, while taking into account relevant critical success factors.

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

Assessment

Consider what the organisation is doing to achieve the following.

Subcriterion 2.1 Identify the needs and expectations of the stakeholders, the external environment and the relevant management information	
PDCA (PLAN, DO, CHECK, ACT) cycle plays an important role in developing and implementing strategy and planning in a public organisation. The definition of the strategy starts by gathering reliable information on the present and future needs of all relevant stakeholders, and on the internal performance and capabilities of the organisation in the external environment, including public sector reforms at national and European level. The setting of goals and identifying of conditions that must be fulfilled to achieve strategic goals – based on a sound risk analysis and management – plays a crucial part in ensuring an effective implementation and follow up. This information is indispensable to support the strategic and operational planning process. It is also fundamental to steer planned improvements in organisational performance. According to the PDCA approach, regular reviews should be conducted jointly with the stakeholders to monitor their changing needs and their satisfaction. The quality of this information and systematic analysis of feedback from stakeholders is a prerequisite for the quality of the intended results.	**Examples** a. Observe and analyse the external environment regularly including legal, political, demographic change and digitalisation, as well as global factors like climate change as inputs for strategies and plans. b. Identify all relevant stakeholders and analyse information about their current and future needs, expectations and satisfaction. c. Analyse public sector reforms, at national and European level, to define and review effective strategies. d. Analyse the performance and capability of the organisation, focusing on internal strengths, weaknesses, opportunities and threats/risks. [Award a score using the enablers panel]

Subcriterion 2.2 Develop strategies and plans based on gathered information	
Developing the strategy means defining strategic objectives for the public organisation in line with the public policies, the needs of the relevant stakeholders and the vision of the leaders, including the available management information, as well as information on developments in the external environment. Strategic priorities and decisions taken by the top management should ensure clear objectives on outputs and outcomes, and the resources to achieve them. The social responsibility of public sector organisations should be reflected in their strategy. Planning involves a conscious and methodical approach that will guide the organisation at all levels to achieve the strategic goals. Indicators and result-monitoring systems used in the subsequent execution phase should be defined during the planning. It is the work-through on strategies and action plans that creates a framework for the measurement of the results to be assessed in the criteria on citizen/customers (Criterion 6), people (Criterion 7), social responsibility (Criterion 8) and key performance (Criterion 9).	**Examples** a. Develop the strategy by defining long- and short-term priorities and goals in line with the vision and the national and European strategies. b. Involve stakeholders and use information about their differentiated needs and views to develop strategies and plans. c. Integrate aspects of sustainability, social responsibility, diversity and gender mainstreaming in the strategies and plans of the organisation. d. Develop plans by defining priorities, objectives and outputs (the products and services provided) and outcomes in line with the mission and public sector reform. e. Ensure the availability of resources for an effective implementation of the plan. [Award a score using the enablers panel]

Subcriterion 2.3 Communicate, implement and review strategies and plans	
The capacity of the organisation to deploy its strategy depends on the quality of the plans and programmes detailing the targets and results expected from each organisational level, as well as from the employees. Relevant stakeholders and employees at the different organisational levels should thus be well informed of the goals and targets related to them to guarantee an effective and uniform implementation of the strategy. The organisation has to deploy the strategy at each level. The management should ensure that the right processes, project and programme management, and organisational structures are put into place to ensure an effective and timely implementation. Organisations should consistently and critically monitor the implementation of their strategy and planning, adjust practices and processes when necessary, or update them if needed. The strategy and planning have to be communicated to all the relevant stakeholders.	**Examples** a. Translate the strategies of the organisation into relevant plans, tasks and targets for units and individuals. b. Develop plans and programmes with targets and results for each organisational unit with indicators for the expected results. c. Communicate strategies, performance plans and intended/achieved results of the organisation internally and to all relevant stakeholders. d. Monitor and evaluate the performance of the organisation at regular intervals at all levels (departments, functions, organisational chart) to control efficiency, effectiveness and the strategies' implementation levels. [Award a score using the enablers panel]

Subcriterion 2.4 Manage change and innovation to ensure the agility and resilience of the organisation	
An effective public sector needs to ensure agility and resilience to be able to innovate and change practices to deal with new expectations from citizens/customers, to enhance the quality of the service and to reduce costs. Innovation can occur in several ways: ❑ by implementing innovative methods and processes for providing services or goods; ❑ with new methods of managing work programmes; ❑ by introducing innovative services or goods that have a higher added value for citizens and customers. The design phase is crucial: for later decisions, for the operational delivery of services and for the evaluation of the innovations themselves. A prime responsibility of the management is therefore to create and communicate an open, supportive attitude towards suggestions for improvement wherever they come from.	**Examples** a. Identify needs and drivers for innovation considering the opportunities and pressure of digital transformation. b. Communicate the organisation's innovation policy and results to all relevant stakeholders c. Build an innovation-driven culture and create scope and space for cross-organisational development. d. Manage change effectively and inform and involve employees and stakeholders at an early stage. e. Implement systems for generating creative ideas and encourage innovative proposals from employees and stakeholders at all levels supporting exploration and testing. [Award a score using the enablers panel]

Criterion 3: People

Subcriterion 3.1
Manage and improve human resources to support the strategy of the organisation

Subcriterion 3.2
Develop and manage competencies of people

Subcriterion 3.3
Involve and empower the people and support their well-being



People are the organisation's most important asset. Effective human resource management allows the organisation to accomplish its strategic objectives, and to take advantage of the strengths and ability of people. Successful human resource management promotes people's engagement, motivation, development and retention. The organisation has to manage the competences and full potential of its people at individual levels to ensure organisational agility.

Improving leadership development, talent management and strategic workforce planning are critical since people are the organisation's biggest investment.

Respect and fairness, open dialogue, empowerment, political neutrality, reward and recognition, care and providing a safe and healthy environment are fundamental to build the commitment and participation of people to the organisational journey towards excellence.

It is important to realise that only satisfied people can bring the organisation towards satisfied customers.

Assessment

Consider what the organisation is doing to achieve the following.

Subcriterion 3.1 Manage and improve human resources to support the strategy of the organisation	
A comprehensive approach to managing people, the workplace culture and environment is a key part of strategic planning in an organisation. Effective human resources management enables people to contribute effectively and productively to the organisation's overall mission, vision and the accomplishment of the organisations objectives. The subcriterion assesses whether the organisation aligns its strategic objectives with its human resources so that they are identified, developed, deployed and improved transparently, and taken into account to achieve optimum success. It questions how the organisation succeeds in attracting and retaining people capable of delivering services and products, reflecting customers' needs and expectations. It involves regular analyses of current and future human resources needs and the development and implementation of a human resources management policy with objective criteria regarding recruitment, career development, promotion, remuneration, rewards, merit and the assignment of managerial functions.	**Examples** a. Analyse current and future human resource needs in line with the strategy of the organisation. b. Develop and implement a transparent HR policy based on objective criteria for recruitment, promotion, remuneration, development, delegation, responsibilities, rewards and the assignment of managerial functions, in accordance with the organisation's HR principles. c. Implement the principles of fairness, political neutrality, merit based, equal opportunities, diversity, social responsibility and work–life balance in the HR policy and review the necessity for promoting women's careers and develop plans accordingly. d. Ensure the necessary competences and capabilities to achieve the mission, vision and values of the organisation are in place, especially focusing on social skills, agile mindset, and digital and innovation skills. e. Support a performance culture by defining performance goals shared with the people and monitoring the performance systematically, and conduct performance dialogues with the people. [Award a score using the enablers panel]

Subcriterion 3.2 Develop and manage competencies of people	
The identification, development and management of people's competencies is crucial for the success of an organisation. Individual competence development plans and regular performance dialogues prepare the ground for supporting staff to assume greater responsibility and to take more initiative to continually develop the organisation's competencies. When this is in line with its strategic goals, it fosters people's performance and supports a dynamic working culture also by promoting innovative training methods (e.g. e-learning, multimedia approach, design thinking approach). Furthermore, this is needed in a highly competitive job market to attract young and talented people in order to achieve the organisation's goals.	**Examples** a. Implement a human resource development strategy/plan based on identified current and future competence, skills and performance requirements of people. b. Attract and develop the talents necessary to achieve the mission, vision and objectives. c. Enable new and innovative forms of learning to develop competencies (design thinking, teamwork, labs, experiments, e-learning, on-the-job learning). d. Establish individual competence development plans including personal skills (e.g. openness for innovation) as part of the regular performance interview (employee development interview), which provides a forum for mutual feedback and matching expectations. e. Create specific programmes and training for leadership development including public management instruments. f. Guide new people by means of mentoring, coaching and individual counselling. g. Develop and promote modern training methods (e.g. multimedia approach, on-the-job training, e-learning, using social media). h. Assess the impacts of training and development programmes on the organi-sational goals and transfer of content to colleagues. [Award a score using the enablers panel]

Subcriterion 3.3 Involve and empower the people and support their well-being

People involvement is creating an environment in which people have an impact on decisions and actions that affect their jobs. Management and employees actively cooperate in developing the organisation, breaking down organisational silos by creating dialogue, making room for creativity, innovation and suggestions for improving performance. People should be assisted in order to achieve their full potential.

The proper execution of people policies depends upon all leaders and managers throughout the organisation demonstrating that they care about people issues and well-being, and that they actively promote a culture of open communication and transparency.

People commitment can be attained through formal forums such as consultative committees and through daily dialogue (e.g. about ideas for improvements). Staff surveys and leader assessments are relevant to obtain more information about the climate at work and to use the results to make improvements.

Examples

a. Promote a culture of open communication and dialogue, and encourage teamwork.
b. Involve employees and their representatives (e.g. trade unions) in the development of plans, strategies, goals, the design of processes, and in the identification and implementation of improvement and innovation activities.
c. Develop systems for gathering ideas and suggestions from employees.
d. Regularly conduct staff surveys, publish and give feedback on the results, their analysis and on the derived improvement actions.
e. Ensure good environmental working conditions throughout the organisation including taking into account all health and safety requirements.
f. Ensure that conditions are conducive to achieving a reasonable work–life balance for employees (e.g. the possibility to adapt working hours, part-time working, people on maternity or paternity leave).
g. Pay particular attention to the needs of socially disadvantaged employees and people with disabilities.
h. Provide adapted schemes and methods for rewarding people in a non-financial way, (e.g. by planning and reviewing people's benefits and supporting social, cultural and sport activities focused on people's health and well-being).

[Award a score using the enablers panel]

Criterion 4: Partnerships and Resources

Subcriterion 4.1
Develop and manage partnerships with relevant organisations

Subcriterion 4.2
Collaborate with citizens and civil society organisations

Subcriterion 4.3
Manage finances

Subcriterion 4.4
Manage information and knowledge

Subcriterion 4.5
Manage technology

Subcriterion 4.6
Manage facilities



Public sector organisations need resources of different kinds to support the implementation of strategy and planning, and the effective operation of its processes. Resources can be of a material or non-material nature and have to be managed carefully.

Partners of different types e.g. other public organisations, NGOs, education organisations, private providers of services bring necessary expertise to the organisation and stimulate its external focus.

The collaboration with citizens and civil society organisations is a kind of partnership which is more and more relevant for public sector organisations. Public organisations are increasingly seen as part of a chain of organisations that all together are working towards specific outcomes for citizens (e.g. in the area of security or health).

Besides partnerships, organisations need to manage relevant resources – such as finances, knowledge, technology, facilities – to assure their effective functioning.

Efficient, innovative and transparent resource management is essential for public organisations to ensure accountability towards the different stakeholders on the legitimate use of available resources.

Assessment

Consider what the organisation is doing to achieve the following.

Subcriterion 4.1 Develop and manage partnerships with relevant organisations	
In our constantly changing society of growing complexity, public organisations are required to manage relations with other organisations in order to achieve their strategic objectives. These can be private, non-governmental and public partners. Organisations should thus define who their key partners are and develop agreements with them. For the success of a public policies chain, the collaboration between different institutional levels is crucial.	**Examples** a. Identify key partners (e.g. purchaser-provider, supplier, co-production, complementary/ substitution product provider, owner, founder) from the private and public sector and civil society to build sustainable relationships based on trust, dialogue and openness. b. Manage partnership agreements taking into account the potential of different partners to achieve mutual benefit and to support one another with expertise, resources and knowledge. c. Define each partner's role and responsibilities including controls, evaluations and reviews; monitor results and impacts of the partnerships systematically. d. Secure the organisation's principles and values by selecting providers with a socially responsible profile in the context of public procurement. [Award a score using the enablers panel]

Subcriterion 4.2 Collaborate with citizens and civil society organisations	
The involvement of citizens and civil society organisations is increasingly seen as a necessary lever for improving the efficiency and effectiveness of public organisations that have to support it. The feedback received by way of complaints, ideas and suggestions is regarded as an important input towards improving services and products. Partnerships with civil society organisations are relevant in the full policy cycle: co-decision makers, co-designers, co-producers and co-evaluators. As co-decision makers, citizens share the decisions that affect them. As co-designers, they have an impact on service delivery in response to their specific needs. As co-producers, they are involved in the production and/or delivery cycle of services. As co-evaluators, they assess the quality of services and public policies.	**Examples** a. Ensure transparency by a proactive information policy, also providing open data of the organisation. b. Actively encourage participation and collaboration with citizens: - co-design and co-decision: via consultation groups, surveys, opinion polls and quality circles; - co-production: taking over roles in service delivery; - co-evaluation. c. Actively seek ideas, suggestions and complaints of citizens/customers, collecting them by appropriate means (e.g. surveys, consultation groups, questionnaires, complaints boxes, opinion polls). [Award a score using the enablers panel]

Subcriterion 4.3 Manage finances	
Carefully preparing the budgets is the first step in cost-effective, sustainable and accountable financial management, integrating financial and non-financial objectives. Detailed accountancy systems and internal control are necessary to continuously monitor the effectiveness of the financial decisions in achieving the defined goals. The need to generate additional financial resources is increasingly relevant, in spite of the freedom to allocate or reallocate the funds being frequently limited.	**Examples** a. Ensure financial resilience through long-term budget planning, risk analysis of financial decisions and a balanced budget. b. Implement performance budgeting (integrate performance data in budget documents). c. Use effective financial cost accounting and controlling, and evaluation systems (e.g. spending reviews). d. Monitor the effects of budgeting on diversity and gender mainstreaming. e. Delegate and decentralise financial responsibilities and balance them with central controlling. f. Ensure budgetary and financial transparency and publish the budget information in an easily understood way. [Award a score using the enablers panel]

Subcriterion 4.4 Manage information and knowledge	
The main strength of an organisation lies in its knowledge, skills and competences. A major goal of any organisation aims at providing people with the right information at the right time and to empower them to use their gained knowledge. This includes an open and communicative organisational culture, based on learning, where sharing and retaining of knowledge are key factors. Successful public organisations define frameworks for knowledge, using the power of digitalisation to acquire it and make it available to all employees and stakeholders.	**Examples** a. Create a learning organisation providing systems and processes for managing, storing, and assessing information and knowledge to safeguard the resilience and flexibility of the organisation. b. Use the opportunity of digital transformation to increase the knowledge of the organisation and empower digital skills. c. Establish learning and collaboration networks to acquire relevant external information and also to gain creative inputs. d. Monitor the organisation's information and knowledge, ensuring its relevance, correctness, reliability and security. e. Develop internal channels to ensure that all employees have access to the relevant information and knowledge. f. Promote knowledge transfer between people in the organisation. g. Ensure access to and exchange of relevant information and open data with all external stakeholders in user-friendly way, taking into account the specific needs. h. Ensure that key (explicit and implicit) knowledge of employees who are leaving is retained within the organisation. [Award a score using the enablers panel]

Subcriterion 4.5 Manage technology	
ICT and other technological policies of the organisation need to be managed so they support the strategic and operational goals of the organisation in a sustainable way. A clear vision followed by a viable strategy of where and how to use ICT for which processes and services is fundamental. To achieve the best performance for customers, citizens and employees, their needs, abilities, expectations and suggestions should be integrated into the organisation's strategy. Additionally, the balance between open data provision and data protection has to be ensured.	**Examples** a. Design technology management in accordance with the strategic and operational objectives, and monitor its effect, cost-effectiveness and impact systematically. b. Identify and use new technologies (big data, automatisation, robotics, AI, data analytics, etc.) relevant for the organisation, implementing open data and open source application whenever appropriate. c. Use technology to support creativity, innovation, collaboration (using cloud services or tools) and participation. d. Define how ICT can improve internal and external services and provide online services in an intelligent way to meet stakeholders' needs and expectations. e. Take actions to provide effective data protection and cyber security implementing the General Data Protection Regulation. f. Take into account the socio-economic and environmental impact of ICT, e.g. waste management of cartridges, reduced accessibility by non-electronic users. [Award a score using the enablers panel]

Subcriterion 4.6 Manage facilities	
Public organisations have to evaluate at regular intervals the state of the infrastructure they have at their disposal. The infrastructure available needs to be managed in an efficient, cost-effective and sustainable way so that it serves the needs of the customers and supports the working conditions of the staff. Safe and healthy working conditions are an important requirement for the performance of the organisation. Equally relevant is the aspect of sustainability, including a life cycle policy of buildings, rooms and equipment.	**Examples** a. Ensure effective, efficient and sustainable provision and maintenance of all facilities (buildings, offices, facilities, energy supply, equipment, means of transport and materials). b. Provide safe and effective working conditions and use facilities, including barrier-free access in order to meet customers' needs. c. Apply a life cycle policy in an integrated facility management system (buildings, technical equipment, etc.), including their safe re-use, recycling or disposal. d. Ensure that the facilities of the organisation provide an added public value, (by putting them at disposal of the local community, for example). [Award a score using the enablers panel]

Criterion 5: Processes

Subcriterion 5.1
Design and manage processes to increase value for citizens and customers

Subcriterion 5.2
Deliver products and services for customers, citizens, stakeholders and society

Subcriterion 5.3
Coordinate processes across the organisation and with other relevant organisations



Each organisation is run by many processes, each process being an organised set of interrelated activities that transform resources or inputs in an efficient way into services (outputs) and impact on society (outcomes). A distinction can be made between three types of processes that make an organisation function effectively, depending on their quality and the quality of their interactivity:

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

The Common Assessment Framework focuses on the key processes among these three types of processes, namely those that contribute effectively to achieving the mission and strategy of the organisation. Criterion 5 deals in particular with the core processes of the organisation, while Criteria 1 and 2 handle the management processes, and Criteria 3 and 4 the support processes. For horizontal units such as the strategic unit, the HR and financial departments, their management or support activities are of course part of their core processes. An effective and efficient organisation identifies its core processes, which it performs in order to deliver its services (outputs) and impact (outcomes), considering the expectations of the citizens/customers and other stakeholders, in line with its mission and strategy.

The nature of the core processes in public service organisations may vary greatly, from relatively abstract activities such as support for policy development or regulation of economic activities, to very concrete activities of service provision. The need to generate increasing value for its citizens/customers and other stakeholders and to raise efficiency are two of the main drivers in process development and innovation. The increasing involvement of the citizen/customer stimulates organisations to continuously improve their processes, taking advantage of the changing environment in many areas such as technology/digitalisation, economy population and environment.

Assessment

Consider what the organisation is doing to achieve the following.

Subcriterion 5.1 Design and manage processes to increase value for citizens and customers	
This subcriterion examines how the processes support the strategic and operational goals of the organisation and how they are identified, designed, managed and innovated to increase value for the organisation. How managers and people of the organisation as well as the different external stakeholders are involved in the processes of design, management and innovation is very relevant for the quality of the service/product delivered. Designing processes around the customers' needs demands an agile organisation, a systematic analysis of customer/citizen needs and regularly assessing the efficiency and effectiveness of the processes through approaches such as lean methodology.	**Examples** a. Design lean processes around customer needs and views to ensure an agile organisational structure. Identify and document the processes on an ongoing basis. b. Match the processes on a regular basis to the needs and expectations of employees and relevant stakeholders. c. Design and implement a system for managing processes exploiting the opportunities from digitalisation, data-drivenness and open standards. d. Ensure that the processes support the strategic goals and are planned and managed, allocating the needed resources to achieve the targets established. e. Identify process owners (the people who control all the steps in the process) and assign responsibilities and competences to them. f. Analyse and evaluate processes, risks and critical success factors regularly, taking into consideration the changing environment. g. Simplify the processes on a regular basis, proposing changes in the legal requirements if necessary. h. Drive process innovation and optimisation forward by paying attention to national and international good practices, involving relevant stakeholders. i. Review and improve the processes to ensure the protection of personal data (General Data Protection Regulation, GDPR). [Award a score using the enablers panel]

Subcriterion 5.2 Deliver products and services for customers, citizens, stakeholders and society	
This subcriterion assesses how organisations develop and deliver their services/products in order to satisfy the needs of the citizens/customers by involving them. Drawing on the expertise and creativity of citizens and civil society will foster an efficient, effective and innovative public sector, delivering innovative services and products at a fair cost and a focus on the once-only principle. In order to enhance the quality of services and products, the role of citizens/customers at three levels can be very beneficial considering co-design, co-decision and co-production: Co-producing services increases the sustainability of quality because the production becomes co-owned and because the way of producing becomes more transparent, more understandable and therefore more legitimate and satisfying.	**Examples** a. Identify and design the products and services of the organisation and actively manage the full life cycle including recycling and re-use. b. Use innovative methods for developing customer-oriented and demand-driven public services and focus on the once-only principle. c. Apply diversity and gender management to identify and meet needs and expectations. d. Involve citizens/customers and other stakeholders in the design and delivery of products and services, and in the development of quality standards. e. Promote the products and services of the organisation and ensure appropriate information to assist citizens and customers. f. Promote accessibility to products and services of the organisation (e.g. online accessibility of services, flexible opening hours, documents in a variety of formats e.g. on paper as well as an electronic version, appropriate languages, posters, brochures, Braille and audio notice boards). g. Use customer surveys, complaint management procedures and other forms of feedback to identify potentials for optimising processes, products and services. [Award a score using the enablers panel]

Subcriterion 5.3 Coordinate processes across the organisation and with other relevant organisations	
This subcriterion assesses how well the processes are coordinated within the organisation and with the processes of other organisations functioning within the same service chain. The effectiveness of public organisations often largely depends on the way they collaborate with the other public, private and third-sector organisations, even from other governmental levels, with whom they form partnerships in a service delivery chain, oriented to a common outcome. Cross-functional processes are common in public administration. It is vital to successfully integrate the management of such processes, since the effectiveness and efficiency of processes greatly depend on shifting from a 'silo' culture to a collaborative and integrative approach of the processes in adding value for the citizens/customers.	**Examples** a. Create a culture for working across borders in the process management, getting out of a silo mentality. b. Define the organisation's service delivery chains and its relevant partners. c. Agree on common standards, facilitate data exchange and shared services to coordinate processes of the same delivery chain across the organisation and with key partners in the private, NGO and public sectors. d. Involve employees, customers and stakeholders in cross-border design and collaboration. e. Use partnerships at different government levels (municipalities, regions, state and the public companies) to enable the delivery of coordinated services. f. Build in incentives (and conditions) for management and employees to create cross-organisational processes (e.g. shared services and common process development between different units). [Award a score using the enablers panel]

Results Criteria

From Criterion 6 onwards, the focus of the assessment shifts from enablers to results. In the first three results criteria we measure perceptions: what our people, citizens/customers and society think of us. We also have internal performance indicators that show how well we are doing against the targets we may have set for ourselves – the outcomes. The assessment of results requires a different set of responses, so the responses from this point onwards are based on the results assessment panel (see chapter ‘How to evaluate: the scoring system’).

Criterion 6: Citizen/Customer-oriented Results

Subcriterion 6.1
Perception measurements

Subcriterion 6.2
Performance measurements



The term citizen/customer reflects the complex relationship between the administration and its public. The person to whom the services are addressed has to be considered as a citizen, a member of a democratic society with rights and duties (e.g. tax payer, political actor). The person should also be considered as a customer, not only in the context of service delivery where they adopt the position of a beneficiary/user of services, but also in a context where they have to fulfil duties (payment of fines), where they have the right to be treated with fairness and courtesy without neglecting the interests of the organisation. Since the two cases are not always clearly separable, this complex relationship will be described as a citizen/customer relationship. Citizens/customers are the recipients or beneficiaries of the activity, products or services of the public sector organisations. Citizens/customers need to be defined, but not necessarily restricted to only the primary users of the services provided.

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

Assessment

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

Subcriterion 6.1 Perception measurements	
The direct measurement of the satisfaction or perception of the citizens and customers is of great importance. Measuring the perception of citizens and customers means directly asking them and getting direct feedback and information on different aspects of the organisation's performance. In most cases this is done by customer or citizen surveys. Complementary tools such as focus groups or users panels are also used. This subcriterion assesses whether the organisation performs these measurements and shows the results of these measurements in several areas such as the image of the organisation, accessibility, performance of the staff, participation of citizens/customers, transparency of the information, quality and specifications of products and services, and the innovation, agility and digitalisation skills of the organisation.	**Examples** **General perception of the organisation** a. The overall image of the organisation and the public reputation; b. The accessibility of the organisation; c. The citizen/customer orientation of the staff; d. The involvement and participation of the citizen/customer including e-participation; e. The transparency, openness and information provided by the organisation; **Perception of the services and products** f. The accessibility of physical and digital services; g. The quality of products and services; h. Differentiation of services taking into account customer needs; i. The capabilities for innovation of the organisation; j. The agility of the organisation; k. The digitalisation in the organisation; l. The integrity of the organisation and the general trust of the customers/citizens. [Award a score using the enablers panel]

Subcriterion 6.2 Performance measurements	
Besides the direct measurement of citizen and customer perception, the quality of services delivered to citizens and customers can be measured by performance management indicators. Here, measurable results of management indicators (e.g. processing time, waiting time, number of complaints) are used. Lessons can be learned based on these measurements about the quality of products and service delivery, the transparency and accessibility, and stakeholder involvement and innovation. The CAF gives an overview of examples for internal indicators which measure the performance in order to fulfil the needs and expectations of customers and citizens.	**Examples** **Results regarding the quality of products and services** a. Waiting time (handling/processing time of service delivery); b. Number and processing time of complaints and corrective actions implemented; c. Results of evaluation measures regarding errors and compliance with Q-standards; d. Adherence to published service standards; **Results regarding transparency, accessibility and integrity** e. Number of information and communication channels, including social media; f. Availability and accuracy of the information; g. Availability of performance goals and results of the organisation; h. Extent of open data delivery; **Results regarding stakeholder involvement and innovation** i. Extent of involvement of stakeholders in the design and the delivery of services and products and/or decision-making processes; j. Number of suggestions received and implemented; **Results regarding usage of digitalisation and e-government procedures** k. Extent of evaluation activities jointly with the stakeholders to monitor their changing needs and the degree to which they are satisfied; l. Opening hours of the different services (departments); m. Cost price of the services; n. Availability of information concerning management responsibilities of the different services. [Award a score using the results panel]

Criterion 7: People Results

Subcriterion 7.1
Perception measurements

Subcriterion 7.2
Performance measurements



People results are the results the organisation is achieving in relation to the competence, motivation, satisfaction, perception and performance of its people.

The criterion distinguishes two kinds of people results: on the one hand, the general perception of the organisation where people are asked directly (e.g. via questionnaires, surveys, focus groups, appraisals, interviews, consultation with staff representatives) and on the other hand, people's general results used by the organisation itself to monitor and improve people satisfaction and performance results.

Assessment

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

Subcriterion 7.1 Perception measurements (1)	
The subcriterion assesses whether people perceive the organisation as an attractive workplace and whether they are motivated in their everyday work to do their best for the organisation. It is important for all public sector organisations to systematically measure people's perception of the organisation and the quality and services the organisation provides to them. .	**Examples** **General perception of the organisation** a. The image and the overall performance of the organisation; b. People's involvement in the organisation, the decision-making process and improvement activities; c. People's awareness of possible conflicts of interest and the importance of ethical behaviour and integrity; d. The mechanism of feedback, consultation, dialogue and systematic staff surveys; e. The organisation's social responsibility; f. The organisation's openness for change and innovation; g. The impact of digitalisation on the organisation; h. The agility of the organisation; **Perception of the management and management systems** i. The management's ability to lead the organisation and to communicate about it; j. The design and management of the different processes of the organisation; k. The division of tasks and the evaluation system regarding people; l. The management of knowledge; m. The internal communication and information measures; n. The extent and the quality to which individual and team efforts are recognised; ➔

Subcriterion 7.1 Perception measurements (2)	
	Perception of the working conditions o. The working atmosphere and the organisation's culture; p. The approach to social issues (e.g. flexibility of working hours, work–life balance, health protection); q. The handling of equal opportunities, and fairness of treatment and behaviour in the organisation; r. The working facilities; **Perception of the career and skills development** s. Systematic career and competency development; t. The access to and quality of training and professional development. [Award a score using the results panel]

Subcriterion 7.2 Performance measurements	
Performance measurements are composed of internal people-related performance indicators that enable the organisation to measure the results achieved regarding people's overall behaviour, their performance, the development of skills, their motivation and their level of involvement in the organisation. Such results typically include internal measurements of the behaviour people display in practice (e.g. sick leave, staff turnover, number of staff complaints, number of proposals for innovation, etc.).	**Examples** **General people's results** a. Indicators regarding people's retention, loyalty and motivation; b. The level of involvement in improvement activities; c. The number of ethical dilemmas (e.g. possible conflicts of interest) reported; d. The frequency of voluntary participation in the context of activities related to social responsibility; e. Indicators regarding people's ability to respond to citizens'/customers' needs; **Results regarding individual performance and capacities** f. Indicators regarding individual performance; g. Indicators regarding the use of digital information and communication tools; h. Indicators regarding skills development and training; i. The frequency of recognising individuals and teams. [Award a score using the results panel]

Criterion 8: Social Responsibility Results

Subcriterion 8.1
Perception measurements

Subcriterion 8.2
Performance measurements



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

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

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

An organisation working on its social responsibility will:
1. improve its reputation and image to the citizens as a whole;
2. improve its ability to attract, motivate, commit and retain its staff;
3. improve its relations with companies, other public organisations, the media, suppliers, citizens/customers and the community in which it exists.

The measures cover both qualitative/quantitative measures of perception (8.1) and quantitative indicators (8.2). They can be related to: ethical, democratic and participative behaviour of the organisation; environmental sustainability; quality of life; economic impacts as effects of organisational behaviours.

Assessment

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

Subcriterion 8.1 Perception measurements	
Perception measurements focus on the perception by the community of the organisation's performance on a local, regional, national or international level. This perception can be obtained through different sources including surveys, reports, public press meetings, NGOs, CSOs (civil society organisations), direct feedback from stakeholders and the neighbourhood. The perception gives an indication of the effectiveness of the social and environmental strategies. It includes the view on transparency, the impact on the quality of life and quality of democracy, the view about ethical behaviour to support the citizens, and the approach and results on environmental issues.	**Examples** a. The impact of the organisation on the quality of citizens'/customers' life beyond the institutional mission; b. The reputation of the organisation as a contributor to local/global society; c. The organisation's impact on economic development; d. The organisation's impact on environmental sustainability, including climate change; e. The organisation's impact on the quality of democracy, transparency, ethical behaviour, the rule of law, openness and integrity. [Award a score using the results panel]

Subcriterion 8.2 Performance measurements	
Performance measurements focus on the measures used by the organisation to monitor, understand, predict and improve the performance regarding its social responsibility. It should give a clear indication of the effectiveness of the approaches of the organisation on societal issues. They can consider the ethical behaviour, the initiatives and results of prevention of health risks, the initiatives to exchange knowledge, the initiatives to preserve resources and reduce the environmental impact, etc.	**Examples** a. The organisation's activities to preserve and sustain resources; b. The frequency of the relationship with relevant authorities, groups and community representatives; c. The amount and importance of positive and negative media coverage; d. Support dedicated to socially disadvantaged and underprivileged citizens; e. Support as an employer for a policy on diversity and on integration and acceptance of ethnic minorities and disadvantaged people; f. Support for international development projects; g. Shared knowledge, information and data with all interested stakeholders; h. Programmes to prevent health risks and accidents for citizens/customers. [Award a score using the results panel]

Criterion 9: Key Performance Results

Subcriterion 9.1
External results: outputs and public value

Subcriterion 9.2
Internal results: level of efficiency



Key performance results relate to whatever the organisation has determined as essential, the measurable achievements that demonstrate the success of the organisation in the short and long term.

They represent the capacity of policies and processes to reach goals and objectives as defined in the institution's mission, vision and strategic plans.

Key performance results can be divided into:

- ❑ External results: outputs and outcomes to goals, focusing on the link with the mission and vision (Criterion 1), strategy and planning (Criterion 2), products and services (Criterion 5), and the achieved results for external stakeholders.

- ❑ Internal results: level of efficiency, focusing on the link with people (Criterion 3), partnerships and resources (Criterion 4) and processes (Criterion 5), and the achieved results in building up the organisation towards excellence.

Assessment

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

Subcriterion 9.1 External results: output and public value	
The external results are the measures of the effectiveness of the organisation's strategy in terms of capacity to satisfy the expectations of the external stakeholders and to produce public value, in line with the organisation's mission, vision and public sector reforms. Any public sector organisation should assess to what extent its key goals are achieved as defined in the strategic plan in terms of outputs – services and products – and outcome – impact of the organisation's core activities on external stakeholders and on society, in order to be able to improve its performance in an effective way.	**Examples** a. Outputs – quantity and quality of services and products; b. Outcomes – effects of the services and products on the target group; c. The degree of achievement of contracts/agreements between authorities and the organisation; d. Results of external inspections and performance audits; e. Results of benchmarking (comparative analysis) in terms of outputs and outcomes; f. Results of public sector reforms implementation. [Award a score using the results panel]

Subcriterion 9.2 Internal results: level of efficiency	
The internal results are related to the efficiency, the effectiveness of internal processes and the financial measures of the functioning of the organisation. They can include the results of its process management (e.g. productivity, cost-effectiveness, defectiveness), financial performance (e.g. effective use of financial resources, conformity of financial results to budget), the effective use of resources (e.g. partnerships, information, technology, facilities), and can consider the results of performance evaluations (internal inspections and audits, certifications, participation in competitions and awards).ty	**Examples** a. The efficiency of the organisation in managing the available resources including people, knowledge and facilities; b. Results of improvements and innovations of processes; c. Results of benchmarking (comparative analysis); d. Results of joint activities and partnership agreements; e. The impact of digitalisation on the performance of the organisation; f. Results of internal inspections and audits; g. Results of participation in competitions, quality awards and the quality management system certification; h. Results of fulfilment of budgets and financial targets; i. Cnost-effectiveness – achieving outcomes at the lowest possible costs. [Award a score using the results panel]

III How to evaluate: the scoring system

Why scoring?

Allocating a score to each subcriterion and criterion of the CAF model has four main aims:
1. To provide information and give an indication of the direction and priorities to follow for improvement activities;
2. To measure your own progress, if you carry out CAF assessments regularly; every two years is considered to be good practice according to most quality approaches;
3. To identify good practices as indicated by high scoring for enablers and results;
4. To help to find valid partners to learn from benchlearning (what we learn from each other).

The main aim of benchlearning is to compare the different ways of managing the enablers and achieving results. With regard to benchlearning however, it should be noted that comparing CAF scores carries a risk, particularly if it is done without validating the scores in a homogeneous way in different public organisations.

How to score?

The CAF provides two ways of scoring: classical scoring and fine-tuned scoring. As regards the enablers, the PDCA cycle is the fundament of both.

The 'classical' CAF scoring gives a global appreciation of each subcriterion by indicating the PCDA phase of the subcriterion. The 'fine-tuned' CAF scoring reflects the analysis of the subcriteria in more detail. It allows you to score – for each subcriterion – all phases of the PDCA (PLAN, DO, CHECK, ACT) cycle simultaneously and independently.

To compare the performance with others by means of benchmarking and benchlearning is at the highest level of both assessment panels.

1 CAF classical scoring

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

- ❑ In the enablers assessment panel, the organisation is effectively improving its performance when the PDCA cycle is completely in place, on the basis of learning from its reviews and from external comparison.
- ❑ In the results assessment panel, the trend of the results and the achievement of the targets are both taken into consideration. The organisation is in a continuous improvement cycle when excellent and sustainable results are achieved, all relevant targets are met and positive comparison with relevant organisations for the key results are made.

ENABLERS PANEL – CLASSICAL SCORING

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

Instructions

- ❑ Find evidence of strengths and weaknesses and choose the level that you have reached among the phases. This way of scoring is cumulative: you need to have accomplished a phase (e.g. CHECK) before reaching the next phase (e.g. ACT).
- ❑ Give a score between 0 and 100 according to the chosen phase. The scale of 100 allows you to specify the degree of deployment and implementation of the approach.

RESULTS PANEL – CLASSICAL SCORING

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

Instructions

- ❑ Give a score between 0 and 100 on a scale divided into six levels. Each level takes into account both the trend and the achievement of the target simultaneously.

2 CAF fine-tuned scoring

The fine-tuned scoring is a way of scoring closer to the reality where, for example, many public organisations are doing things (DO) but sometimes without a clear planning phase (PLAN) or without any following check concerning the achievement. This way of scoring gives more information on the areas were improvement is mostly needed.

- ❑ In the enablers panel, the emphasis lies on PDCA as a cycle (PLAN, DO, CHECK and ACT) and progress is represented as a spiral where in each turn of the circle improvement could take place in each of the phases.
- ❑ In the results panel a distinction is made between the trend of the results and the achievement of the targets. This distinction clearly shows if you have to accelerate the trend or focus on the targets achievement.

ENABLERS PANEL – FINE-TUNED SCORING

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

Instructions

- ❑ Read the definition of each phase (PLAN, DO, CHECK and ACT).
- ❑ Consider the evidence collected related to each phase, which can be illustrated by some of the examples.
- ❑ Give a score for each phase.
- ❑ Calculate a global score by considering the average of the scores of each phase.

RESULTS PANEL – FINE-TUNED SCORING

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

Instructions

- ❑ Consider separately the trend of your results for three years and the targets achieved in the last year.
- ❑ Give a score for the trend between 0 and 100 on a scale divided into six levels.
- ❑ Give a score for the achievement of targets for the last year between 0 and 100 on a scale divided into six levels.
- ❑ Calculate a global score by considering the average of the scores of trends and targets.

Example 1: How to apply the fine-tuned scoring to enablers – Subcriterion 3.3

Here you have possible evidence from self-assessment for Subcriterion 3.3. They are related to the examples of the model; for each one there is an indication of the PDCA phase and if it is a strength (+) or a weakness (−).

Example Subcriterion 3.3: Involve and empower people and support their well-being

3.3.a. The organisation maintains constant attention to the internal communication in the different directions: top-down, bottom-up and horizontal. It takes advantage of an open environment and use of different modes and tools: annual and quarterly meetings with the entire staff, use of digital tools like intranet, e-mails and social media.

So far there is no approach to verify the effectiveness of the communication and the perception of staff about their involvement. PLAN +, DO +, CHECK −

3.3.b. The teamwork and one-to-one dialogue are other ways to improve the internal dialogue and the exchange of expertise: teams and individuals are involved in the cascading of the strategic objectives in function/group targets, and teamwork Is a standard approach to improvement projects. This approach is positively appreciated in staff surveys. However for the moment teamwork and improvement groups are limited to the core processes.

PLAN +, DO +−, CHECK +

3.3.c. Moreover, no approaches are defined to collect ideas and suggestions. PLAN −

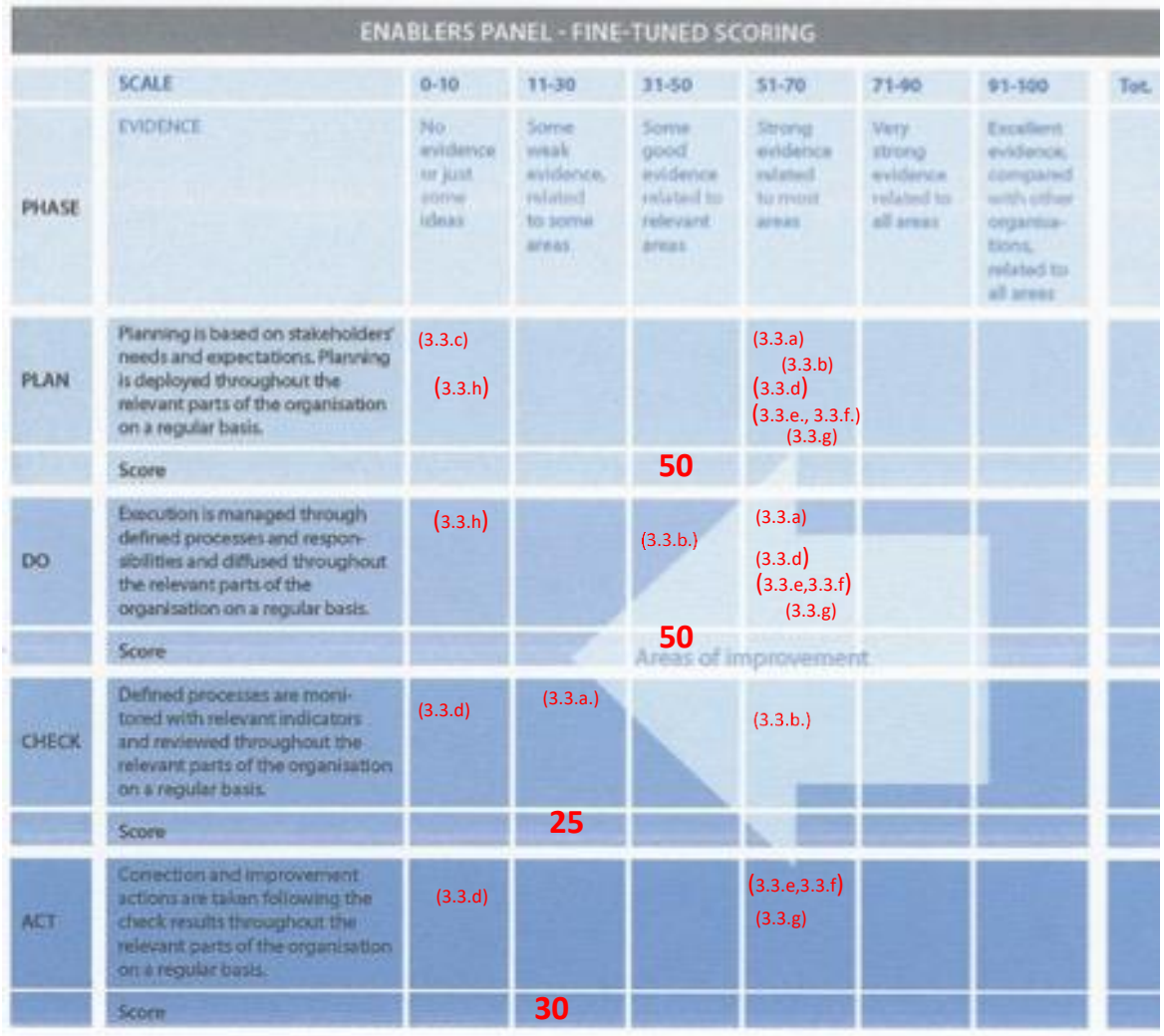
3.3.d. The organisation conducts biennial staff surveys through an approach defined six years ago and not completely adequate to the recent structural and operative changes. PLAN +, DO +, CHECK −, ACT –

3.3.e., 3.3.f. There is a strong attention by the management to the well-being of people, in particular creating good working conditions and taking care of the work–life balance. The initiatives were defined after a benchlearning with some important public and private organisations and staff consultation; last year some new projects were put in place, such as open-space offices and a daycare centre. PLAN +, DO +, ACT +

3.3.g. From many years the organisation has addressed the problems of people with disabilities, and the buildings and facilities are designed for that. In the last year, a project was developed to facilitate distance working and flexitime. PLAN +, DO +, ACT +

3.3.h No initiatives are currently in place to support social and cultural initiatives or other non-financial rewards for staff, or whether there is any mechanism to ask for this. So far there is no approach to verify the effectiveness of the communication and the perception of staff about their involvement. PLAN −, DO −

The above findings have been placed in the enablers matrix below, to help elaborate a global scoring for the subcriterion. The boxes of the matrix are used as a memo pad, to pass from the evidence collected during the subcriterion assessment to a global subcriterion scoring, and to guide the discussion in the consensus meeting.



ENABLERS PANEL - FINE-TUNED SCORING

	SCALE	0-10	11-30	31-50	51-70	71-90	91-100	Tot.
PHASE	EVIDENCE	No evidence or just some ideas	Some weak evidence, related to some areas	Some good evidence related to relevant areas	Strong evidence related to most areas	Very strong evidence related to all areas	Excellent evidence, compared with other organisations, related to all areas	
PLAN	Planning is based on stakeholders' needs and expectations. Planning is deployed throughout the relevant parts of the organisation on a regular basis.	(3.3.c) (3.3.h)			(3.3.a) (3.3.b) (3.3.d) (3.3.e., 3.3.f.) (3.3.g)			
	Score			50				
DO	Execution is managed through defined processes and responsibilities and diffused throughout the relevant parts of the organisation on a regular basis.	(3.3.h)		(3.3.b.)	(3.3.a) (3.3.d) (3.3.e,3.3.f) (3.3.g)			
	Score			50				
CHECK	Defined processes are monitored with relevant indicators and reviewed throughout the relevant parts of the organisation on a regular basis.	(3.3.d)	(3.3.a.)		(3.3.b.)			
	Score		25					
ACT	Correction and improvement actions are taken following the check results throughout the relevant parts of the organisation on a regular basis.	(3.3.d)			(3.3.e,3.3.f) (3.3.g)			
	Score		30					

Areas of improvement

Remarks about the scoring assigned

PLAN: A positive situation for internal communication and teamwork, staff surveys, well-being and work–life balance. Nothing planned for ideas collection and support of socio-cultural initiatives. So the assessment can be placed in the 'Some good evidence related to relevant areas', but on the right of the column: 50 points.

DO: A positive situation for internal communication, staff surveys, well-being and work–life balance. For teamwork the implementation is not overall, because it covers only core processes. Nothing in place for socio-cultural initiatives. So the assessment can be placed in the 'Some good evidence related to relevant areas', but on the right of the column: 50 points.

CHECK: In general there is weak evidence of CHECK for all the points. In particular, the organisation understands that the staff survey approach needs verification to adapt it to the changes in the organisation, but nothing is in place for that. Nevertheless, there were some relevant projects in the area of well-being and work–life balance, even if without an explicit connection with the check phase. So the assessment can be placed in the 'Some weak evidence related to some areas': 25 points.

ACT: There is evidence of some relevant improvements for well-being, work–life balance, and people with disabilities, but they are not clearly linked to the results of a CHECK activity. So the assessment can be placed in the 'Some good evidence, related to relevant areas', on the right of the column: 30 points.

Example 2: How to apply the fine-tuned scoring to results – subcriterion 7.2

Here you have possible evidence from a self-assessment of an organisation for subcriterion 7.2. The evidence is summarised for the two subtitles 'General results' and 'Individual performance and skill development'. According to the scoring panel, there is indication of trends and targets and for each one, whether it is a strength (+) or a weakness (−).

Example subcriterion 7.2: Performance measurements

Synthesis of the evidence emerged from self-assessment

The organisation measures a large set of indicators for the people performance, summarised on the dashboard in the quarterly and annual report. We can summarise the 2018 results as follows, following the scheme of the CAF model; for more details refer to the 2018 Annual Report.

General results

The indicators refer to: absenteeism, sickness, involvement in improvement activities, complaints (number and response time) and voluntary participation in social activities and initiatives. For more than 60% of them we can see a positive trend in the last three years, while only the participation in social activities shows a small decrease in 2018.

No targets are defined for the indicators. TREND + TARGET −

Individual performance and skill development

We measure hours of training for person, percentage of individual/group target achieved and overall competence gap. For all the indicators, specific targets are defined usually with at least 10% of increase year on year. Overall, 70% of indicators show a positive trend, while there is a small decrease of the competence coverage (increase of gap). For the targets, less than 50% are reached; training indicators and in particular competence gap did not reach targets. TREND +TARGET −

The above findings have been transformed into a score placed in the results matrix below, to help elaborate a global scoring for the subcriterion to be discussed during the consensus meeting.

RESULTS PANEL - FINE-TUNED SCORING

SCALE	0-10	11-30	31-50	51-70	71-90	91-100
TRENDS	No measurement	Negative trend	Flat trend or modest progress	Sustained progress	Substantial progress	Positive comparison with relevant organisations for all results
SCORE				60		
TARGETS	No or anecdotal information	Results do not meet targets	Few targets are met	Some relevant targets are met	Most of the relevant targets are met	All the targets are met
SCORE		25				

Remarks about the scoring assigned

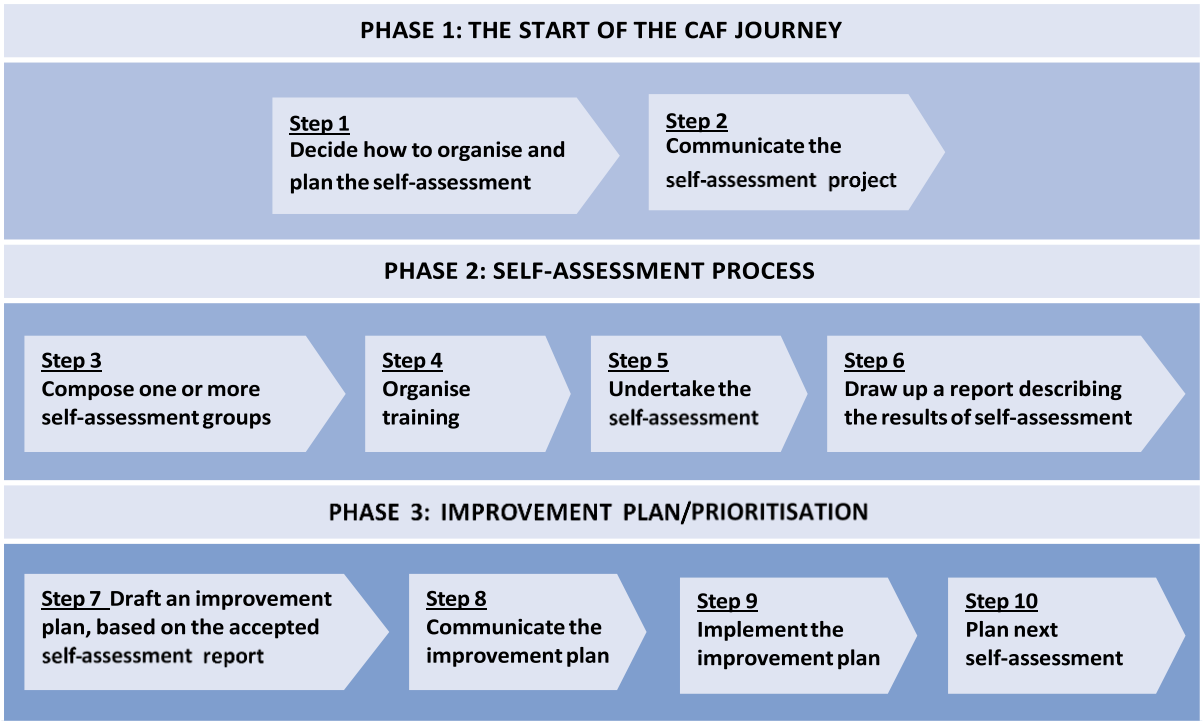
TRENDS: A large part of the results shows sustained progress. Only two indicators show a negative trend (in particular competence coverage). Both the assessments of general results and individual performance can be placed in the column 'Sustained progress' with an overall 60 points.

TARGETS: There are no targets for general results indicators (column 'No or anecdotal information'), and individual performance reached less than 50% of targets (column 'Few targets are met') with an overall 25 points.

IV Guidelines for improving an organisation using the CAF

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

In this chapter we have identified a ten-step process of continuous improvement with the CAF that may be considered relevant to most organisations. It is important to emphasise that the advice given here is based on the experience of the many organisations that have used the CAF. However, each improvement process is unique and therefore this description should be seen as an inspiration for the people responsible for the process of self-assessment rather than as a precise manual for the process.



After the process of applying the CAF and launching improvement actions, CAF users can apply for the label 'effective CAF user'. The process of applying the CAF plays an important role in this feedback procedure. Common guidelines for the CAF **External Feedback Procedure** can be found at the CAF website https://www.eipa.eu/portfolio/european-caf-resource-centre/.

Phase 1: The start of the CAF journey

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

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

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

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

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

Feedback CAF users – reasons for using the CAF

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

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

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

Initial planning of the self-assessment

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

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

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

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

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

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

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



Step 2 – Communicate the self-assessment project

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

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

Feedback CAF users – the importance of communication to create ownership by the employees is generally under-estimated

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

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

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

- ❑ how self-assessment can make a difference;
- ❑ why it has been given priority;
- ❑ how it is connected to the strategic planning of the organisation;
- ❑ how it is connected (for example as the first step) to a general effort for improvement in the organisation's performance, for instance through the implementation of an innovative operational reform programme.

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

Phase 2: Self-assessment process

Step 3 – Compose one or more self-assessment groups

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

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

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

Participants should be selected on the basis of their knowledge of the organisation and their personal skills (e.g. analytical and communicative skills) rather than professional skills alone. They can be selected on a voluntary basis, but the project leader and the management remain responsible for the quality, the diversity and credibility of the self-assessment group.

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

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

Step 4: Organise training

Information and training of management

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

Information and training of the self-assessment group

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

A list provided by the project leader with all relevant documents and information needed to assess the organisation in an effective way should be available to the group. One subcriterion from the enablers criteria and one from the results criteria could be assessed together. This will give the group a better

understanding of how the CAF self-assessment is operating. A consensus has to be reached on how to evaluate evidence of strengths and areas for improvement, and how to assign scores.

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

Step 5 – Undertake the self-assessment

Undertake individual assessment



Each member of the self-assessment group, using the relevant documents and information provided by the project leader, is asked to give an accurate assessment, under each subcriterion, of the organisation. This is based on their own knowledge and experience of working in the organisation. They write down keywords of evidence about strengths and areas for improvement. It is recommended that these areas for improvement are formulated as precisely as possible in order to make it easier to identify proposals for action at a later stage. They should then create an overview of their findings and score each subcriterion, according to the scoring panel that has been chosen.
The chair must be available to handle questions from the members of the self-assessment group during the individual assessment. They can also coordinate the findings of the members in preparation for the consensus meeting.

How to score

The CAF provides two ways of scoring: the classical approach and the fine-tuned approach. Both scoring systems are explained in detail in Chapter III. It is suggested that the classical scoring system is used if an organisation is not familiar with self-assessment and/or inexperienced in total quality management techniques.

Undertake consensus in group

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

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

The consensus finding

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

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

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

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

The role of the examples is to explain the content of the subcriteria in more detail in order to

- ❑ explore how the administration meets the requirements expressed in the subcriterion;
- ❑ provide assistance in identifying evidence;
- ❑ indicate good practices in that particular area.

Feedback CAF users – the added value of discussions

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

Duration of the self-assessment exercise

Comparing the reality and the preference, and based on the different surveys, two to three days seems to be rather short to carry out a reliable self-assessment, while ten days or more is considered too long. It is difficult to suggest an ideal time schedule for a CAF self-assessment as there are too many variables, including the objectives of management, the time, resources and expertise available for investment, the availability of data, stakeholder time and information, and political pressures. However, for the majority of organisations a duration of up to five days is the norm. This includes individual assessment and consensus meetings.

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

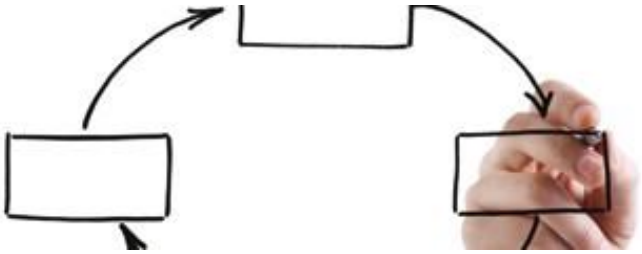
Three months seems to be an ideal timeframe to remain focused. Taking more time raises the risk of reduced motivation and interest of all parties involved. Furthermore, the situation might have changed between the start and the end of the self-assessment process. In such a case, the assessment and scoring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

Step 6 – draw up a report describing the results of self-assessment

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

- ❑ the strengths and areas for improvement for each subcriterion supported by relevant evidence;
- ❑ a score that is justified on the basis of the used scoring panel according to the collected evidence;
- ❑ ideas for improvement actions.

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



Phase 3: Improvement plan/prioritisation

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

Step 7 – Draft an improvement plan

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

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

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

Prioritise areas of improvement

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

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

The process for building an improvement plan could be structured as follows: the management, in consultation with relevant stakeholders (e.g. members of the self-assessment group),

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

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

One way to prioritise is to combine the level of scoring per criterion or subcriterion, which gives an idea of the organisation's performance in all fields, and the key strategic objectives.

Recommendations

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

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

The members of the self-assessment groups (SAG)

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

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

Step 8 – Communicate the improvement plan

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

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



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

Step 9 – Implement the improvement plan

As described in step 7, the formulation of the prioritised improvement action plan is very important. Many of the examples in the CAF model can be considered as a first move towards improvement actions.

Existing good practices and management tools can be linked to the different criteria of the model. Examples of them are shown opposite.

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

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

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

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

Step 10 – Plan the next self-assessment

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

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

V The CAF External Feedback

Public sector organisations which implemented the CAF can apply for the label 'effective CAF user (ECU)' between 6 and 12 months after the CAF self-assessment has taken place and the self-assessment report has been concluded and delivered.

The CAF **External Feedback Procedure** aims to achieve the following objectives:

- ❑ Support the quality of the CAF implementation and its impact on the organisation.
- ❑ Find out if the organisation is installing TQM values as the result of the CAF application.
- ❑ Support and renew enthusiasm in the organisation for continuous improvement.
- ❑ Promote peer review and benchlearning.
- ❑ Reward organisations that have started the journey towards continuous improvement.

To that end, it is built upon three pillars.

Pillar 1: The process of self-assessment

The quality of the self-assessment serves as a basis for the success of future improvements. In the first pillar of the CAF external feedback, the quality of the self-assessment process is analysed.

Pillar 2: The process of improvement actions

In the second pillar the CAF External Feedback looks into the planning procedures adopted and the process followed for the implementation of the CAF improvement actions.

Pillar 3: The TQM maturity of the organisation

One of the aims of the CAF model is to guide public sector organisations closer towards the eight fundamental Principles of Excellence. Therefor the evaluation concerns the maturity level achieved by the organisation as a result of the self-assessment and the improvement process.

The CAF External Feedback Actors

Qualified CAF External Feedback Actors act as evaluators. They analyse the provided documents of the applicant, interview relevant actors and stakeholders of the CAF implementation and carry out an on-site visit. Based on the collected insights the feedback is formulated and the decision for awarding the label 'effective CAF user' is prepared. The main tasks of the CAF External Feedback Actors are to:

- ❑ analyse the implementation of the CAF and the Principles of Excellence in the organisation;
- ❑ provide feedback and suggestions regarding the CAF implementation;
- ❑ support and renew enthusiasm in the organisation to work with the CAF.

To become a CAF External Feedback Actor, applicants need to participate in the common training course at national or European level.

Common guidelines for implementing the CAF **External Feedback Procedure** have been elaborated by the CAF network and are available at https://www.eipa.eu/portfolio/european-caf-resource-centre/. These guidelines guarantee that the evaluation processes are organised in a qualitative way and that the effective CAF user label covers a similar standard across the European Union.

VI CAF Glossary

Accessibility
Accessibility of public facilities is a key requirement for equal access to public services and high quality of service. Well accessible organisations can be characterised by following aspects: accessibility with public transport, disabled access, opening and waiting times, one-stop shops, using understandable language etc. Digital accessibility is also included, e.g. barrier-free websites.

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

Action Plan
An action plan is a document that is a plan of tasks, allocation of responsibilities, goals for the implementation of the project (e.g. targets/deadlines) and resources needed (e.g. hours, money).

Agile mindset
An agile mindset is a mindset that can truly understand the changes brought about by digitalisation and translate them into appropriate actions. Key elements of an agile mindset are:
- Collective intelligence surpasses individual services.
- Errors are understood as a learning opportunity.
- Perfection is not required from the beginning.
- Customer benefits are the focus.
- Collaborative learning with the customer is part of the approach.

An agile mindset is thus an attitude as well as an innovative approach to problem solving that can push forward public administration reforms in the age of digitisation. An agile mindset is required at both management and staff level.

Agility
Agility refers to the ‘ability of an organisation to rapidly respond to change by adapting its initial stable configuration’. This practice helps to rapidly adapt to market and environmental changes in productive and cost-effective ways. This ability can be achieved through innovative methods such as scrum, kanban, lean, design thinking as well as supporting an ‘agile mindset’ on management and staff levels through customised training.

Appraisal/performance appraisal/performance interviews
Performance appraisal needs to be understood in the management context. Usually, the management system of an organisation will include the assessment of individual employees' job performance. This practice helps to monitor the departmental and overall organisational performance by aggregating the individual performance at different management levels within the organisation.

The personal appraisal interview between the individual employee and their line manager is the most common way for appraisal to be carried out. During the interview, in addition to an appraisal of performance, other aspects of the individual's employment can be assessed including level of job knowledge and competences from which training needs can be identified. In a TQM approach, the PDCA, based on continuous improvement, is used at the individual level: PLAN the job for the coming year, DO the job, CHECK your outcomes during the performance appraisal interview and ACT if necessary for the next year: the objectives, the means and the competences. There are several ways to increase the objectivity of performance appraisal:
-The upward appraisal where managers are evaluated by employees directly reporting to them.
-The 360 degrees appraisal where managers are evaluated from different points of views: general managers, peers, collaborators and customers.

Artificial intelligence (AI)
This is the ability of a computer program to think and learn. It is also a field of study which tries to make computers 'smart'. An AI system can also acquire, represent and manipulate knowledge. This manipulation concerns the ability to deduce or infer new knowledge from existing knowledge and to use representation and manipulation methods to solve complex problems.

Audit
Auditing is an independent appraisal function to examine and evaluate the activities of an organisation and its results. The most common audits are: financial audit, operational audit, ICT audit, compliance audit and management audit. Three levels of auditing control activity can be distinguished:
– Internal control, which is carried out by management.
– Internal auditing by an independent unit of the organisation. In addition to compliance/regulation activities it may also have a role in controlling the effectiveness of the organisations internal management.
– External auditing, performed by an independent body from outside the organisation.

Automation – automatisation
Citizens' expectations of the public administration are high in times of digitalisation. They want services that are available at all times, meet individual citizens' needs and offer fast services. In order to meet the expectations of the citizens and to reduce their own expenditure of time as well as to quicken the internal processing time, the comprehensive automation of the processes in public administration is an indispensable prerequisite. In addition, automation is essential in order to advance digitalisation.

Automation in the public sector therefore deals with the question of which tasks and services can be provided automatically, without human interference (e.g. data processing, automatic application).

Balanced scorecard
The balanced scorecard (BSC) is a whole of quantitative measurements evaluating to what extent the organisation succeeds in achieving its mission and strategic objectives. These measurements are built up around four viewpoints: innovation and learning (people management), internal processes, customers and financial management. The indicators of each approach are linked to each other through a cause–effect relationship. These relationships are based on hypothesises that have to be monitored permanently.

The BSC is also very useful as a communication tool for management to inform the people in the organisation and the stakeholders to what extent the strategic plan has been achieved.
The balanced scorecard is increasingly used in the public sector in Europe.
It should be noted that the balanced scorecard can be used within the CAF assessment.

Benchlearning
Benchmarking in European Public Administrations usually focuses on the learning aspects and is now more commonly referred to as ‘benchlearning’, as learning how to improve through sharing knowledge, information and sometimes resources. It is recognised as an effective way of introducing organisational change. It reduces risks, is efficient and saves time.

Benchmarking
This is a measured achievement at a high level (sometimes referred to as ‘best-in-class’ see best/good/inspiring practice below); a reference or measurement standard for comparison; or a performance level which is recognised as the standard of excellence for a specific process. There are numerous definitions of benchmarking but the key words associated with benchmarking are ‘to make comparison with others‘. ‘Benchmarking is simply about making comparisons with other organisations and then learning the lessons that those comparisons reveal’ (Source: European Benchmarking Code of Conduct).

Best/good/inspiring practice
These involve superior performances, methods or approaches that lead to exceptional achievement. Best practice is a relative term and sometimes indicates innovative or interesting business practices, which have been identified through benchmarking. As with benchmarking it is preferable to talk about ‘good practice’ or ‘inspiring practice’ since one cannot be sure that there is not a better one.

Big data
Data is considered to be the raw material of the twenty-first century. Big data companies as well as states are expecting new impulses for economic growth and public value. Big data is characterised through three central features: data volume, data diversity and data speed. Due to the progressive digitalisation of almost all areas of society, the amount of fundamentally available data is increasing. Big data analytics provide versatile insights e.g. in the field of public safety (‘prospective policy analysis’), services of general interest, education, and social and innovation policy.

Bottom-up
The direction of the flow of, for example, information or decisions from lower levels of an organisation to higher levels is known as ‘bottom-up’. The opposite is top-down.

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

Budgetary/financial transparency
The idea of opening up the budget basically pursues the aim of providing comprehensive, understandable, comprehensible and freely accessible information on public budgets via the Internet. To reach higher budgetary/financial transparency efforts are made in the publication of budget documents, open budget initiatives (www.openspending.org), networking and appealing visualisation of financial data up to the involvement of citizens in household processes (inform, comment, discuss, participate).

Business process re-engineering (BPR)
The idea of BPR is to completely redesign the process, which creates opportunities for making a big leap forward or for accomplishing an important breakthrough. Once this new process has been implemented, there can be a return to searching for ways to make gradual continual improvements to optimise the process.

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

Effective change management requires strong leadership, transparent communication and clear structures. Therefore a mix of different instruments and approaches is needed to stimulate change efforts, and set and execute change goals e.g. project management, innovation circles, change ambassadors, benchmarking and benchlearning, pilot projects, monitoring, reporting and implementing PDCA.

Coaching
Coaching is used as target-oriented and solution-oriented advice and support for specialists and executives. The aim is to further develop their relationship and leadership qualities in particular and to adapt it to changed occupational circumstances. Coaching serves primarily to achieve self-willed, realistic goals that are relevant to the development of the client. The emphasis is on the promotion of self-reflection and self-awareness.

Co-Decision
Co-decision refers to questions of involvement of citizens and clients in decision-making processes of public administrations. Examples range from citizen participation procedures in the areas of townscape design, preparing infrastructure decisions, to issues of preparing public spending decisions.

Co-Design
Co-design is the framework for involving citizens and customers in (further) development of public services. Examples of this are innovation workshops, design-thinking workshops and structured feedback loops, which record the feedback from citizens and customers in a structured manner and make them useful for the further development of service processes.

Co-Evaluation
Citizens express themselves on the quality of public policy and on the services they receive.

Co-Production
Citizens are involved in the production and/or delivery cycle of services and their quality.

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

Competence
Competences include the knowledge, skills and attitudes of an individual used in practice in a job situation. When an individual is able to carry out a task successfully they are regarded as having reached a level of competence.

Complaints management
Complaints management refers to the systematic handling of customer complaints. The objectives of complaint management are to optimise citizen/customer relationships and ensure quality assurance.

Compliance
The term compliance can be defined as the act of adhering to or conforming to a law, rule, demand or request. In a business environment, conforming to the laws, regulations, rules and policies is the part of business operations often referred to as ‘corporate compliance’.

Conflict of interest
A conflict of interest in the public sector refers to a conflict between the public duty and the private interest of a public official, in which a public official’s private capacity interest could improperly influence the performance of their official duties (e.g. secondary employment, possible bias, acceptance of gifts). Even if there is no evidence of improper actions, a conflict of interest can create an appearance of impropriety that can undermine confidence in the ability of that person to act properly.

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

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

Continuous improvement process
This is the ongoing improvement of the organisation in terms of quality, economy or cycle time. The involvement of all stakeholders of an organisation is normally a prerequisite in this process.

Controlling
Controlling is an important function of the management system whose core task is planning, guiding and control of all organisational areas. In practice, controlling issues are distinguished between operational controlling and strategic controlling.

Operational controlling is responsible for managing the budget and ensures that the public organisation is economically successful. Strategic controlling analyses the political, legal, demographic, technical, social, environmental and other frameworks so the public organisation can be sure that the products it produces meet the requirements and is able to respond to changes in demand.

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

Cost accounting
Cost accounting is a central area of internal accounting where costs are recorded, allocated across budget headings (for example services and products) and evaluated for special purposes. Cost accounting systems show at what cost public services are produced. The results of cost accounting provide important inputs for performance measurement systems.

Citizen/customer
The term citizen/customer is used to emphasise the dual relationship between the public administration on the one hand, the users of public services, and on the other hand, all the members of the public, who as citizens and taxpayers have a stake in the services and their outputs.

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

Crowdfunding
Crowdfunding is the practice of funding a project or venture by raising money from a large number of people who each contribute a relatively small amount, typically via the Internet.

Cybersecurity
Cybersecurity is the protection of Internet-connected systems, including hardware, software and data from cyberattacks. In a computing context, security comprises cybersecurity and physical security – both are used by enterprises to protect against unauthorised access to data centres and other computerised systems.

Data privacy
This aspect of information technology (IT) deals with the ability of an organisation or individual to determine what data in a computer system can be shared with third parties.

Data protection
The process to help identify and minimise the data protection risks of data processing that is likely to result in a high risk to individuals has to be assessed carefully. To ensure compliance with the new General Data Protection Regulation (GDPR) of the European Union a Data Protection Impact Assessment is recommended which identifies and assesses risks for individuals.

A data protection officer (DPO) is a security role required by the General Data Protection Regulation (GDPR). Data protection officers are responsible for overseeing an organisation's data protection strategy and its implementation to ensure compliance with GDPR requirements.

Design thinking
This refers to the cognitive, strategic and practical processes by which design concepts (proposals for new products, buildings, machines, etc.) are developed by designers and/or design teams. Design thinking is aimed at helping the public sector to develop practical and innovative solutions to daily problems.

Digitalisation – digitisation – digital transformation
Digitalisation in a technical description is the process of converting analogue information into digital and computer readable data. Due to the rapid development of computer technology, Internet and social media digitalisation is changing society, business and public service delivery in many areas. Public sector organisations have to prepare their employees using the power of digitalisation to solve current problems or find new and more effective ways of service delivery. Measures in these areas can be defining a digitalisation strategy, training, guidelines for data protection, appointment of data protection officers etc.
Digital competences refer to the confident and critical usage of the full range of digital technologies for information, communication and basic problem solving.

Digital transformation and innovation refer to a process of adopting digital tools and methods by an organisation, typically those that have either not been including the digital factor as part of their core activities or have not kept up with the pace of change in digital technologies. The practice of digital transformation in the public sector must also consider the public purpose and involve additional factors of ownership and retention of public data (especially identity), data security and privacy, digital service accessibility for everyone and public digital literacy.

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

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

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

EFQM
European Foundation for Quality Management

E-government
E-government is one aspect of digitalisation – the use of information and communication technology (ICT) in public administrations. Combined with organisational change and new skills, it helps to improve public services and democratic processes and also strengthens support to public policies. E-government is regarded as an enabler to achieve a better and more efficient administration. It can improve the development and implementation of public policies and help the public sector to cope with the potentially conflicting demands of delivering more and better services with fewer resources.

E-learning
E-learning refers to all forms of learning in which electronic or digital media are used for the presentation and distribution of learning materials and/or for the support of interpersonal communication.

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

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

E-tools
An e-tool is a computer or web-based instrument which makes a task easier, faster and more efficient.

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

Evidence
Evidence is information that supports a statement or fact. An evidence-based approach is considered to be essential in forming a firm decision, conclusion or judgement.

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

Facility management
This refers to the management of buildings and their technical facilities. Public buildings and other property, and operational processes are viewed holistically within the concept of facility management. The aim of the coordinated handling of processes is to permanently reduce operating and management costs, to make fixed costs more flexible, to ensure the technical availability of the plant and to maintain or even increase the value of buildings and facilities in the long term.

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

GDPR
GDPR is the General Data Protection Regulation of the European Union. The GDPR came into force in 2018, and is designed to modernise laws that protect the personal information of individuals. The GDPR is Europe's new framework for data protection laws.

Governance
The main elements of good public governance are determined by the appointed framework of authority and control. It will set out: the reporting obligation on the goals achievement, transparency of actions and decision-making process to the stakeholders, efficiency and effectiveness, responsiveness to the needs of society, anticipation of the problems and trends, and respect of the law and rules.

Human resources management
This involves managing, developing and utilising the knowledge, skills and full potential of the employees of an organisation in order to support policy and business planning and the effective operation of its processes.

Impact
Impacts are the effects and the consequences of possible and actual actions, interventions or policies in public, private and third sectors.

Inclusion
The organisation recognises every human being as a part of society regardless of origin, disability, sexual orientation or age. It recognises that society as a whole benefits from the diversity of individuals and implements the values of non-discrimination and equality in the organisational culture and services. Public sector organisations are the role model in the implementation of an inclusive society.

Indicators
Indicators are quantitative measures that provide information about the organisation's performance in a comprehensive form.

Performance indicators are the numerous operational measures used in public administration to help to monitor, understand, predict and improve how the organisation functions and performs. There are several terms used to measure organisational performance: outcomes, measures, indicators and parameters. It is important therefore to at least measure the performance of those processes that are essential to the delivery of the desired results.

Key performance indicators measure the most critical aspects, and measure the performance of those key processes essentially contained in CAF Criteria 4 and 5, which are most likely to influence the effectiveness and efficiency of the key performance outcomes.

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

Innovation-driven culture
An innovation-friendly organisational culture in the public sector is characterised by a number of values, such as: self-responsibility, consistent customer orientation, openness, questioning of well-worn patterns of action, diversity, mutual appreciation, achievement orientation and much more. In this context, cross-organisational cooperation can open up new perspectives and initiate important learning processes. Leadership plays a key role in building an innovation-friendly organisational culture.

Innovation
Innovation is the process of translating good ideas into new services, processes, tools, systems and human interaction. An organisation may be described as innovative when an existing task is performed in a way that is new to the workplace, or when the organisation offers customers a new service in a different way such as self-service via the Internet.

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

Integrity
Integrity is the ongoing maintenance of the personal value system and personal ideals with a person's own speech and actions. To ensure that their public image is not damaged, public institutions should ensure that their employees are acting in good faith. Public sector organisations therefore elaborate general codes of conduct for employees which include guidelines how to act in specific situations.

ISO

ISO (International Organisation for Standardization) is a global network that identifies what international standards are required by business, government and society, develops them in partnership with the sectors that will put them to use, adopts them by transparent procedures based on national input and delivers them to be implemented worldwide.

ISO standards specify the requirements for state-of-the-art products, services, processes, materials and systems, and for good conformity assessment, managerial and organisational practice.

Job description

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

Key performance results

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

Knowledge

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

Knowledge management

Knowledge management is the explicit and systematic management of vital knowledge – and its associated processes of creation, organisation, diffusion, use and exploitation. It is important to note that knowledge encompasses both tacit knowledge (that contained in people's minds) and explicit knowledge (codified and expressed as information in databases, documents etc.). A good knowledge programme will address the processes of knowledge development and transfer for both these basic forms. The most vital knowledge in most organisations is often related to: customer knowledge, knowledge in processes, knowledge in products and services, knowledge customised to users' needs, knowledge in people, organisational memory, drawing on lessons from the past or elsewhere in the organisation, knowledge in relationships, knowledge assets, and measuring and managing intellectual capital. A wide variety of practices and processes are used in knowledge management. Some of the more common ones are: creating and discovering, sharing and learning (communities of practices), organising and managing.

Leadership

This is the way in which leaders develop and facilitate the achievement of the mission and vision of the organisation. It reflects how they develop values required for long-term success and implement them via appropriate actions and behaviours. It indicates how leaders are personally involved in ensuring that the management system is developed, implemented and reviewed and that organisations permanently focus on change and innovation.

Leadership culture
Managers play a significant role in building an innovation-friendly organisational culture. By stimulating mutual trust and openness they can act as coaches and mentors of employees and act as a role model. With this attitude they generate trust in their leadership role as well as followership for organisational mission and vision, and its strategic goals.

Leading by example
In order to transform organisational culture, leadership plays a vital role. By acting as a role model managers can demonstrate their personal willingness to change and create followership. Cultural change programmes as well as leadership training should therefore address following concepts: integrity, sense-making, respectfulness, participation, innovation, empowerment, precision, accountability, agility, etc.

Leaders
Traditionally the term 'leader' is associated with those responsible for an organisation. The word may also refer to those people who, thanks to their competence on a particular subject, are recognised as a role model by others.

Lean methodology
Lean methodology is characterised by consistent customer orientation and cost-reducing measures. Lean management itself aims at designing a process-oriented corporate management with the highest possible efficiency as well as clearly defined processes. Responsibilities and communication channels should be logically designed, with the two most important aspects of the lean management approach being customer focus and cost reduction. These focal points can relate to both internal and cross-company processes and structures.

Learning and collaboration networks
Learning and collaboration networks can be internal and/or external initiatives to link employees for exchange of know-how and best practices, or generating and conceptualising service/product innovations.

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

- Learning environment
  A learning environment within a working community is where learning takes place in the form of skill acquisition, knowledge sharing, the exchange of experience and dialogue on best practice.
- Learning organisation
  A learning organisation is where people continually expand their capacity to achieve the results they desire, where new and expansive patterns of thinking are fostered, where collective aspiration is set free, and where people are continually learning within the context of the whole organisation.
- On-the-job learning
  On-the-job learning is a form of training provided at the workplace. This includes having a more experienced colleague, supervisor or manager show or explain things to the employee. The

work is carried out under supervision and feedback is important. Coaching, job rotation and participation in special projects are forms of on-the-job learning.

Life cycle policy
Public buildings are normally used for very long periods of time. Therefore, only the consideration over the entire life cycle from construction to demolition can provide information about the actual quality of a building. All phases of a building's life have to be analysed and optimised in terms of the different aspects of sustainability. The aim is to achieve a high building quality with the least possible impact on the environment (e.g. sustainable construction, use of renewable energy sources, technical equipment including their safe re-use, recycling or disposal).

To implement the life cycle policy approach, an integrated facility management system is needed. Integrated facility management takes into account the commercial, technical and environmental aspects of building management.

Management
Management refers to a management function in a public organisation (e.g. department manager, city manager). In addition, management refers to a person who performs this function and has the necessary management skills. Typical functions and tasks of the management are planning, organisation, leadership and success control. Contrary to leadership, management deals with the structural framework of managing an organisation (e.g. planning, setting and executing goals, success control, allocate resources etc.) while leadership focuses on the personal leadership of people.

Management information system (MIS)
MIS is a computerised information system that collects and prepares organisational information (e.g. performance data, budget data, output and outcome data) to manage the organisation on the basis of permanent measurement of goal achievement, risks and quality. Based on this information, analyses can be carried out, problems can be solved and strategic decisions can be made. Management information systems collect internal and external data and prepare them for management decisions.

Mentoring
Mentoring is a form of employee development in which a trusted person – the mentor – offers their knowledge to another person (mentee) for guidance, encouragement and support. The aim of mentoring is to promote the learning and development of the employee and to help them to discover their potential. The mentoring concept is also likely to support new employees to find their role, identify important contact people etc. in order to support a good start in their new work environment.

Mission/mission statement
The mission explains the core purpose of the organisation, what the organisation should achieve for its stakeholders and why the organisation exists. The mission of a public sector organisation results from a public policy and/or statutory mandates. The final goals an organisation sets out to achieve in the context of its mission are formulated in its vision. A mission statement is a written declaration which remains unchanged over a longer time and defines:

- ❑ What is the purpose of the organisation?
- ❑ What kind of products or services are provided?
- ❑ Who are the primary customers?
- ❑ What are the values of the organisation?

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

Objectives (goals/aims/targets)
Objectives are a formulation of a desired situation describing the desired results or effects as defined in the mission of the organisation. They can be:

- Strategic objectives
  Global objectives for the mid and long term indicate the desired overall direction of the organisation. It describes the final results or effects (outcomes) it wants to pursue.
- Operational objectives
  These are a concrete formulation of the strategic objectives, e.g. at unit level. An operational objective can be immediately transformed into a set of activities and tasks.

Once-only principle
In developing customer-oriented and demand-driven public services, the once-only principle plays an important role. It describes the vision that citizens can get information, apply for public services and get the product in one place through one application. In this sense the once-only principle is the enemy of the bureaucracy principle which is characterised, among other things, by a multitude of different responsibilities in public administrations.

Open data
Any kind of data that can be freely used, re-used and redistributed by anyone – subject only, at most, to the requirement to make a reference to the original source. Besides this legal openness, open data also requires technical openness through machine readable formats and availability in bulk, e.g. PDF does not fulfil the requirements of technical openness.

Open source
Open source refers to any program whose source code is publicly available and may be modified if users or developers see it as a necessity. Open source software is often developed by a public community and is free of charge.

Organisational culture
The organisational culture is the total range of behaviours, ethics and values which are transmitted, practised and reinforced by members of organisations, influenced by national, sociopolitical and legal traditions and systems.

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

Output
Output is the immediate result of production, which may be either goods or services. There is a distinction between intermediate and final outputs; the former is products delivered from one department to another within an organisation, the latter is outputs delivered to someone outside the organisation.

Outcome
This is the overall effect that outputs have on external stakeholders or wider society. An example of an output and an outcome: Stricter conditions for possessing firearms lead to fewer permits. The intermediate output is that there are fewer permits issued. The final output is that there are fewer firearms circulating in society. These outputs lead to the outcome that a higher level of safety or feeling of security is achieved.

Partnership
A partnership is a collaboration with other parties on a commercial or a non-commercial basis to reach a common goal, thus creating added value for the organisation and its customers/stakeholders. To institutionalise partnerships, partnership agreements can be concluded.

PDCA cycle
The PDCA cycle is four stages to go through to achieve continuous improvement, as described by Deming:

- plan (project phase)
- do (execution phase)
- check (control phase)
- act (action, adaptation and correction phase)

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

People
These are all individuals employed by the organisation including full-time, part-time and temporary employees.

Performance
Performance is a measure of attainment achieved by an individual, team, organisation or process (see also ‘Indicator’).

Performance budgeting
A performance budget is one that reflects both the input of resources and the output of services for each unit of an organisation. The goal is to identify and score relative performance based on goal attainment for specified outcomes. This type of budget is commonly used by government bodies and agencies to show the link between taxpayer funds and the outcome of services provided by federal, state or local governments.

Performance dialogue/interview
The performance dialogue/interview is a structured annual staff appraisal interview between executives and employees. In this interview the work results of the past year will be reflected and a common agreement on necessary further development measures with regard to cooperation, new fields of activity, further training measures etc. will be made.

See also ➔ Appraisal

Performance management

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

Procedure
A procedure is a detailed and well-defined description of how activities should be carried out.

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

Process diagram/map
This is a graphical representation of the series of actions taking place within a process.

Process owner
This is the person responsible for designing, improving and performing processes, and their coordination and integration inside the organisation. Their responsibilities include the following:

- ❑ Understand the process: how is it carried out in practice?
- ❑ Target the process: how does it fit into the broader vision? Who are the internal and external stakeholders and are their expectations met? How does the process relate to other processes?
- ❑ Communicate the process to the internal and external stakeholders.
- ❑ Monitor, measure and benchmark the process: to what extent is the process efficient and effective?
- ❑ Report the process: what exactly can be improved? Where are the weaknesses and how can they be targeted?

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

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

Public policy refers to the sum of content-related decisions, objectives and activities of those involved in the relevant political system (e.g. municipalities, state and federal level, European level).

Public–private partnership
A public–private partnership is the collaboration between a government agency and a private sector company that can be used to finance, build and operate projects, such as public transport networks, parks and convention centres. Financing a project through a public–private partnership can allow a project to be completed sooner or make it a possibility in the first place.

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

Quality
Quality (in the context of the public sector) is delivering a public service with a set of characteristics/features that meet or satisfy, in a sustainable way, the following: the specifications/requirements (law, legislation, regulation); the citizen/customer expectations; all other stakeholder expectations (political, financial, institutions, staff). The concept of quality has evolved over recent decades: Quality control quality control is focused on the product/service, which is controlled on the basis of written specifications and standardisations. The methods for statistical quality control (sampling methods) have been developed since the 1920–30s.

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

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

Quality management system (QMS)
This is a set of coordinated activities to direct and control an organisation in order to continually improve the effectiveness and efficiency of its performance.

Resilience
Resilience management encompasses all measures with the aim of improving the resilience of an organisational system to strengthen it against external influences. Hence resilience is the systemic resistance to disturbances and hazardous changes. Here, a distinction is made between a proactive form (agility) and a reactive form (robustness). Resilient organisational structures are therefore characterised by a fast and flexible adaptability to external influences.

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

Risk management
Risk management refers to the practice of identifying potential risks in advance, analysing them and taking precautionary steps to reduce/curb the risk.

Robotics
Robotics and artificial intelligence refer to the automation of recurring routine work with the help of intelligent technologies. These technologies are particularly suitable for the following areas of application: information services, video analytics, surveillance tasks or filtering relevant information from social media, evaluation and processing of text documents etc.

Role model
People or organisations who serve as a model in a particular behavioural or social role for other people to imitate or learn from.

Sense making
The concept of sense-making refers to a key leadership capability for the complex and dynamic world we live in today and deals with the big question of how we can structure the unknown so as to be able to act in it.

Sense-making also refers to the question of which sense lies behind the different activities of employees or what is the concrete contribution of an individual service to the overall success of an organisation.

Service design
This is the activity of planning and organising people, infrastructure, communication and material components of a service in order to improve its quality and the interaction between the service provider and its customers.

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

- ❑ Specific – be precise about what you are going to achieve.
- ❑ Measurable – it has quantified objectives.
- ❑ Achievable – is the objective too ambitious, or is the objective covered by the mission?
- ❑ Realistic – are the necessary resources available?
- ❑ Timed – it falls within manageable timing.

Social media
Social media are web-based communication tools for creating, sharing and consuming information. The key features are:

- ❑ people interacting with each other;
- ❑ user-generated content and profiles;
- ❑ personalisation and personal user accounts;
- ❑ 'like' buttons, followers, comments and ratings;
- ❑ profit-oriented global companies running them.

The most important social media platforms and used in public sector organisations are Facebook, Twitter, YouTube, Linkedin and Instagram. Communicating with citizens, stakeholders and customers via selected social media channels should be considered by all public sector organisations, taking into account the risks of data privacy and the provisions of the General Data Protection Regulation.

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

Spending reviews
Spending reviews are structured, binding auditing processes serve to question the how and why of task fulfilment in public administration and thus increase the efficiency and effectiveness in providing public services. Spending reviews can help public organisations better understand spending and identify opportunities for efficiencies. They are detailed assessments of specific areas of spending, with aims of increasing transparency, improving efficiency, and, where necessary, reallocating resources.

Stakeholders
Stakeholders are all those who have an interest, whether financial or not, in the activities of the organisation. Internal and external stakeholders can be classified in four major categories: the political authority; the citizens/customers; the people working in the organisation; the partners. Examples of stakeholders: political decision makers, citizens/customers, employees, society, inspection agencies, media, partners. Government organisations are also stakeholders.

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

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

Sustainability/sustainable development
This is development suitable for meeting present needs without compromising the possibility of meeting the needs of future generations.

Sustainable development goals (SDGs)
The 17 Sustainable Development Goals (SDGs) are political objectives of the United Nations (UN) aimed at ensuring sustainable economic, social and environmental development. Key aspects of the objectives include advancing economic growth, reducing disparities in living standards, creating equal opportunities and sustainable management of natural resources that ensure ecosystem conservation and resilience.

Term
The period of time in which results should be achieved.

Short term
Refers usually to less than one year
Medium term
Refers usually to periods of one to five years ahead
Long term
Refers usually to periods of more than five years

Top-down
This is the flow of information and decisions from upper levels to lower levels within an organisation. The opposite is bottom-up.

TQM (Total Quality Management)
TQM is a customer-focused management philosophy that seeks to continuously improve business processes using analytical tools and teamwork involving all employees.

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

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

Public value refers to the value that society derives from (public) services rather than individuals (private value). However, this added value is often undervalued and in many cases neither perceived by the public nor by its own organisation. In times of strained public budgets it is important to make the public value that is generated by public services visible. The public value approach is used by public organisations as well as non-profit organisations to make their own contribution and value to society transparent e.g. in the area of housing, public broadcasting, police.

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

ANNEX: Structure CAF 2013 versus CAF 2020

ENABLERS	
CAF 2013	CAF2020
Criterion 1: Leadership	Criterion 1: Leadership
Subcriterion 1.1 Provide direction for the organisation by developing its mission, vision and values	Subcriterion 1.1 Provide direction for the organisation by developing its mission, vision and values
Subcriterion 1.2 Manage the organisation, its performance and its continuous improvement	Subcriterion 1.2 Manage the organisation, its performance and its continuous improvement
Subcriterion 1.3 Motivate and support the people in the organisation and act as a role model	Subcriterion 1.3 Inspire, motivate and support the people in the organisation and act as a role model
Subcriterion 1.4 Manage effective relations with political authorities and other stakeholders	Subcriterion 1.4 Manage effective relations with political authorities and other stakeholders
Criterion 2: Strategy and Planning	Criterion 2: Strategy and Planning
Subcriterion 2.1 Gather information on present and future needs of stakeholders as well as relevant management information	Subcriterion 2.1 Identify the needs and expectations of stakeholders, the external environment and the relevant management information
Subcriterion 2.2 Develop strategy and planning taking into account the gathered information	Subcriterion 2.2 Develop strategies and plans based on gathered information
Subcriterion 2.3 Communicate and implement strategy and planning in the whole organisation and review it on a regular basis	Subcriterion 2.3 Communicate, implement and review strategies and plans
Subcriterion 2.4 Plan, implement and review innovation and change	Subcriterion 2.4 Manage change and innovation to ensure the agility and resilience of the organisation
Criterion 3: People	Criterion 3: People
Subcriterion 3.1 Plan, manage and improve human resources transparently with regard to strategy and planning	Subcriterion 3.1 Manage and improve human resources to support the strategy of the organisation
Subcriterion 3.2 Identify, develop and use competencies of the employees aligning individual and organisational goals	Subcriterion 3.2 Develop and manage competencies of people
Subcriterion 3.3 Involve employees by developing open dialogue and empowerment, supporting their well-being	Subcriterion 3.3 Involve and empower the people and support their well-being

Criterion 4: Partnerships and Resources	Criterion 4: Partnerships and Resources
Subcriterion 4.1 Develop and manage partnerships with relevant organisations	Subcriterion 4.1 Develop and manage partnerships with relevant organisations
Subcriterion 4.2 Develop and implement partnerships with the citizens/customers	Subcriterion 4.2 Collaborate with citizens and civil society organisations
Subcriterion 4.3 Manage finances	Subcriterion 4.3 Manage finances
Subcriterion 4.4 Manage information and knowledge	Subcriterion 4.4 Manage information and knowledge
Subcriterion 4.5 Manage technology	Subcriterion 4.5 Manage technology
Subcriterion 4.6 Manage facilities	Subcriterion 4.6 Manage facilities
Criterion 5: Processes	Criterion 5: Processes
Subcriterion 5.1 Identify, design, manage and innovate processes on an ongoing basis involving the stakeholders	Subcriterion 5.1 Design and manage processes to increase value for citizens and customers
Subcriterion 5.2 Develop and deliver citizen/customer-oriented services and products	Subcriterion 5.2 Deliver products and services for customers, citizens, stakeholders and society
Subcriterion 5.3 Coordinate processes across the organisation and with other relevant organisations	Subcriterion 5.3 Coordinate processes across the organisation and with other relevant organisations
Results	
CAF 2013	CAF2020
Criterion 6: Citizen/Customer-oriented Results	Criterion 6: Citizen/Customer-oriented Results
Subcriterion 6.1 Perception measurements	Subcriterion 6.1 Perception measurements
Subcriterion 6.2 Performance measurements	Subcriterion 6.2 Performance measurements
Criterion 7: People Results	Criterion 7: People Results
Subcriterion 7.1 Perception measurements	Subcriterion 7.1 Perception measurements
Subcriterion 7.2 Performance measurements	Subcriterion 7.2 Performance measurements
Criterion 8: Social Responsibility Results	Criterion 8: Social Responsibility Results
Subcriterion 8.1 Perception measurements	Subcriterion 8.1 Perception measurements
Subcriterion 8.2 Performance measurements	Subcriterion 8.2 Performance measurements
Criterion 9: Key Performance Results	Criterion 9: Key Performance Results
Subcriterion 9.1 External results: outputs and outcomes to goals	Subcriterion 9.1 External results: outputs and public value
Subcriterion 9.2 Internal results: level of efficiency	Subcriterion 9.2 Internal results: level of efficiency

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Ukraine	Ms Maryna Kanavets	Centre for Adaptation of the Civil Service to the Standards of the European Union
Ukraine	Ms Yuliia Lykhach	Centre for Adaptation of the Civil Service to the Standards of the European Union
Ukraine	Ms Anzhela Kukulia	Centre for Adaptation of the Civil Service to the Standards of the European Union
Regional School of Public Administration	Mr Goran Pastrovic	Programme Manager, Regional School of Public Administration

Also Azerbaijan, Georgia and Turkey have been piloting CAF-programmes.

Non European countries piloting CAF

Brazil, Cape Verde, China, Dominician Republic, Egypt, Indonesia, Ivory Coast, Morocco and Namibia.