

CAF Model

Background and context

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CAF Model

Background and context

- **The Model: components, links, a brief history**
- **The Model structure and development: Criteria, sub-criteria, Examples**
- **The Enablers Criteria (the managerial practices of the organization)**
- **The Results Criteria (the quantitative measures of what the organization is obtaining)**
- **The Scoring system (how to measure the value and the maturity of the organization)**
- **The CAF Journey: the steps and the activities for an effective application of the Model**

CAF Model: What is it?

Common

A «common» tool developed for (and dedicated to) the European Public Administration

Assessment

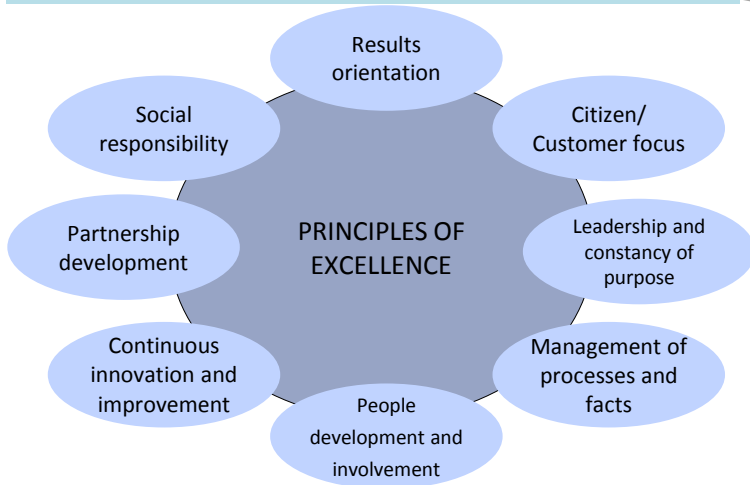
A management Model for Assessment (the 1st step of an improvement program)

Framework

a holistic tool to drive and assist the organization to the continuous improvement

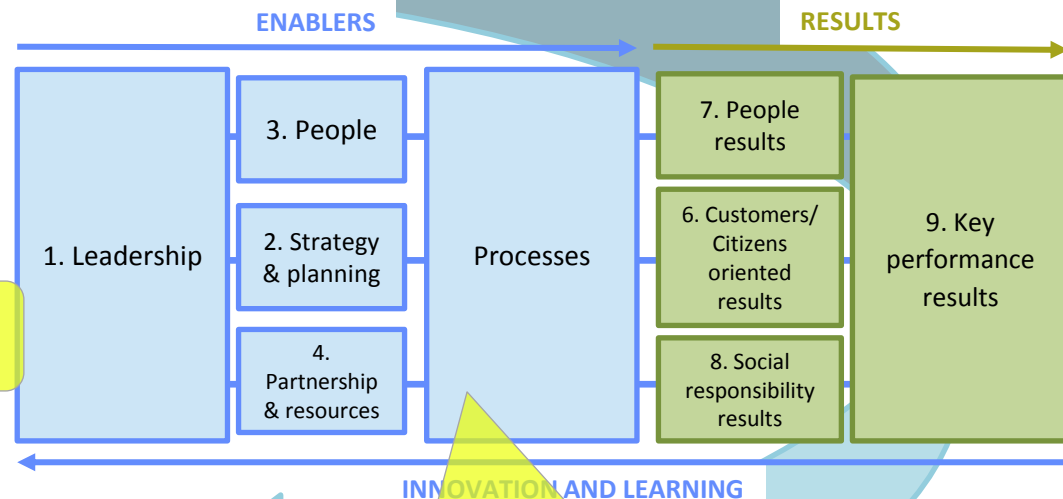
CAF Model: 3 Main components

The Principles, the conceptual vision of the Excellence



What are the common elements that distinguish excellent organizations?

The Criteria



How can we measure the current level of excellence?

The assessment Metrics

In which way can we develop the principles of Excellence in activities and processes inside the organization? What can we measure about our state of excellence?

RESULTS PANEL – CLASSICAL SCORING

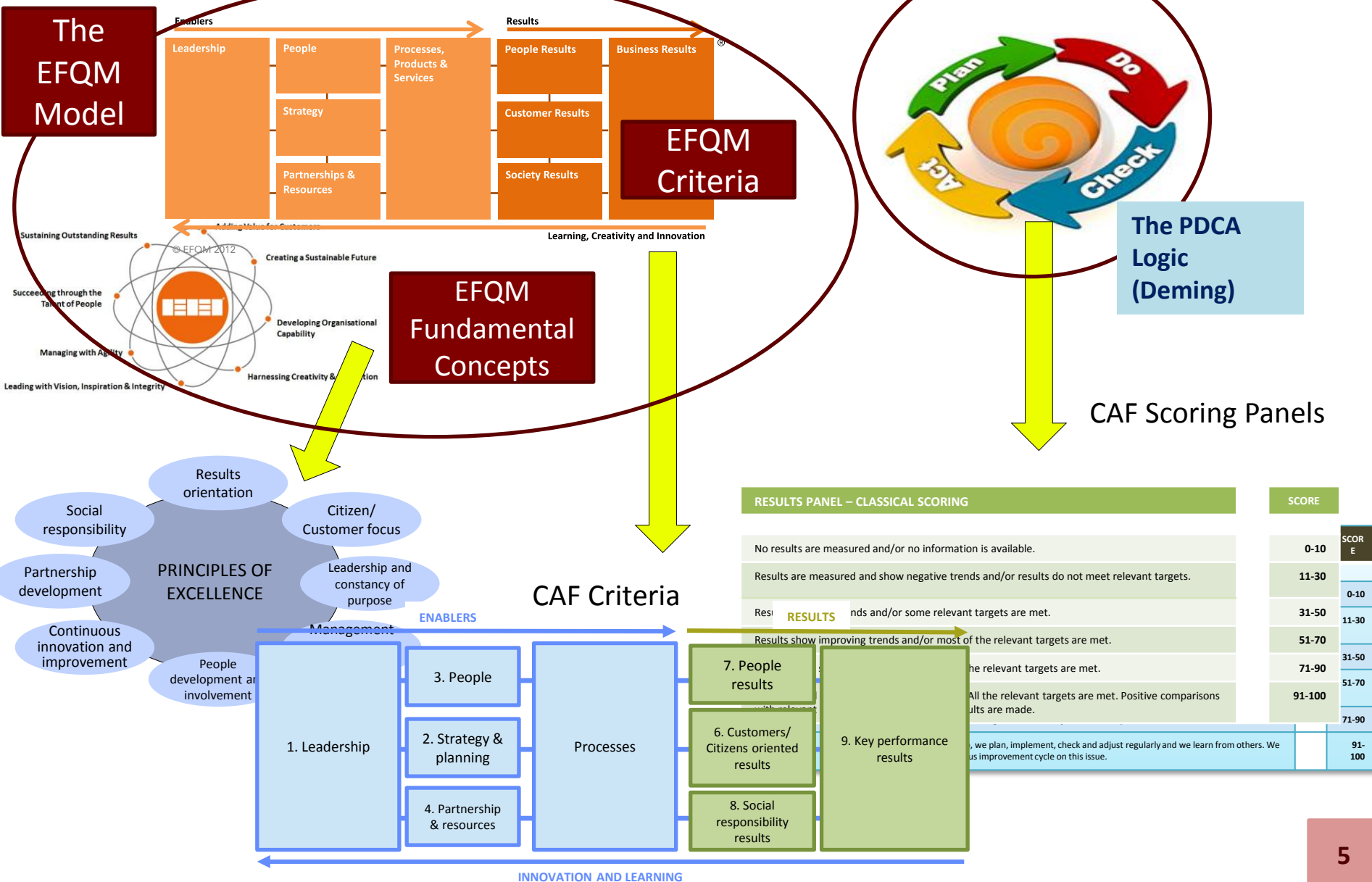
No results are measured and/or no information is available.
Results are measured and show negative trends and/or results do not meet relevant targets.
Results show flat trends and/or some relevant targets are met.
Results show improving trends and/or most of the relevant targets are met.
Results show substantial progress and/or all the relevant targets are met.
Excellent and sustained results are achieved. All the relevant targets are met. Positive comparisons with relevant organisations for all the key results are made.

SCORE

0-10	SCORE
11-30	0-10
31-50	11-30
51-70	31-50
71-90	51-70
91-100	71-90

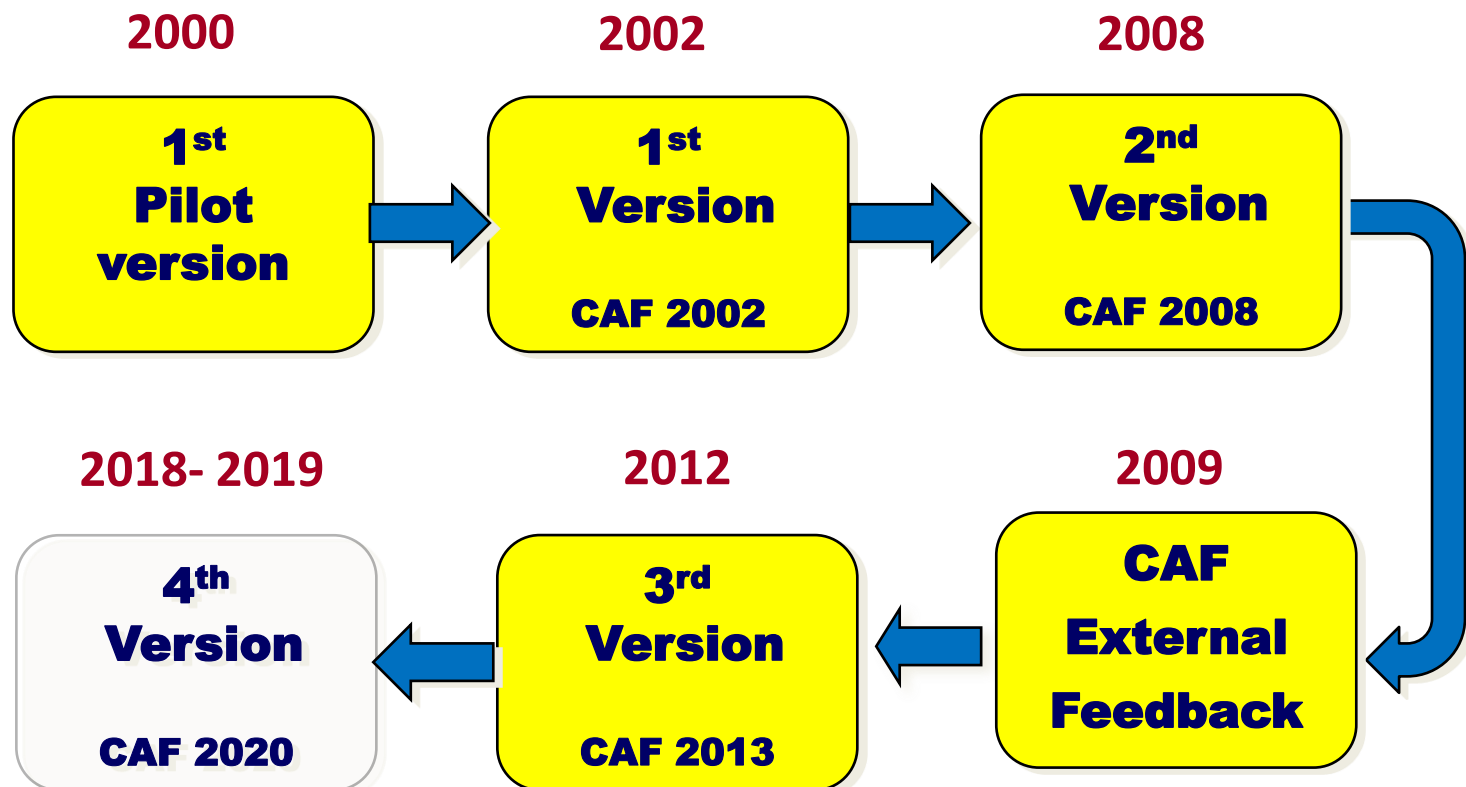
PDC	Everything we do, we plan, implement, check and adjust regularly and we learn from others. We	91-
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CAF Model: Main links



CAF Model: History

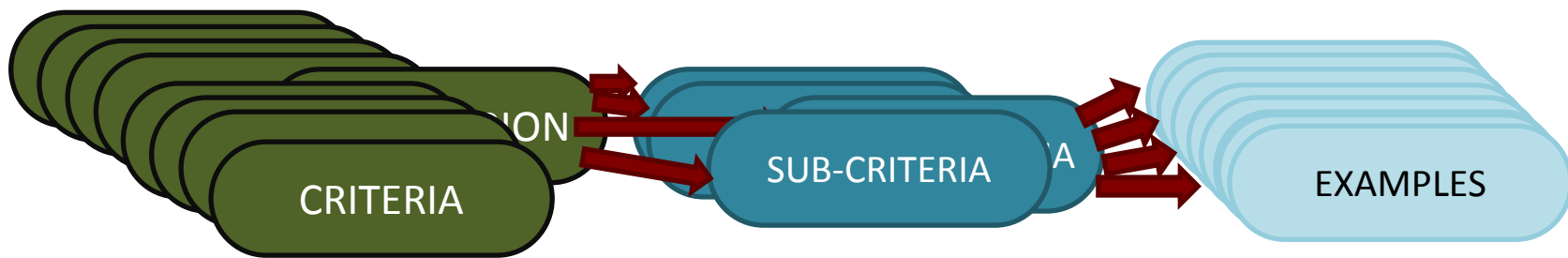
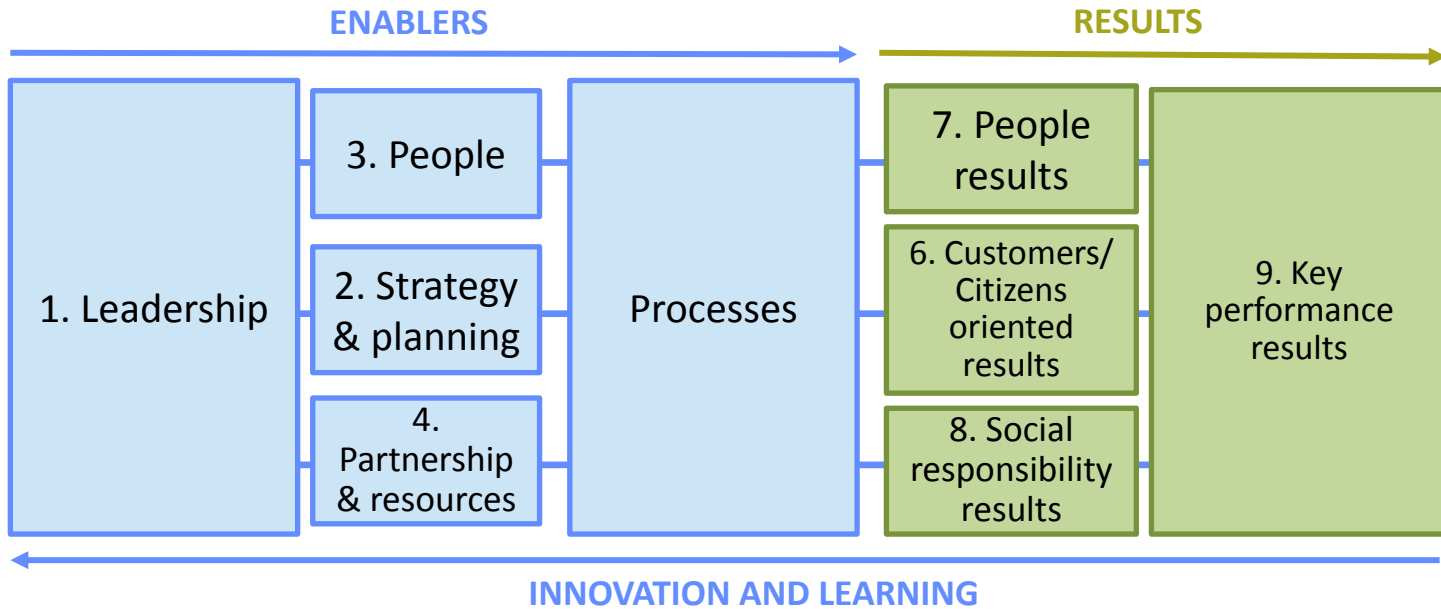
The initial definition of Model was supported by the collaboration of European Community, the European Foundation for Quality Management (EFQM) and the **Speyer School** . The following versions and the Caf External Feedback were supported by EIPA (European Institute for Public Administration), EFQM and European States representatives



CAF Model: the Principles



CAF Model: Structure and development

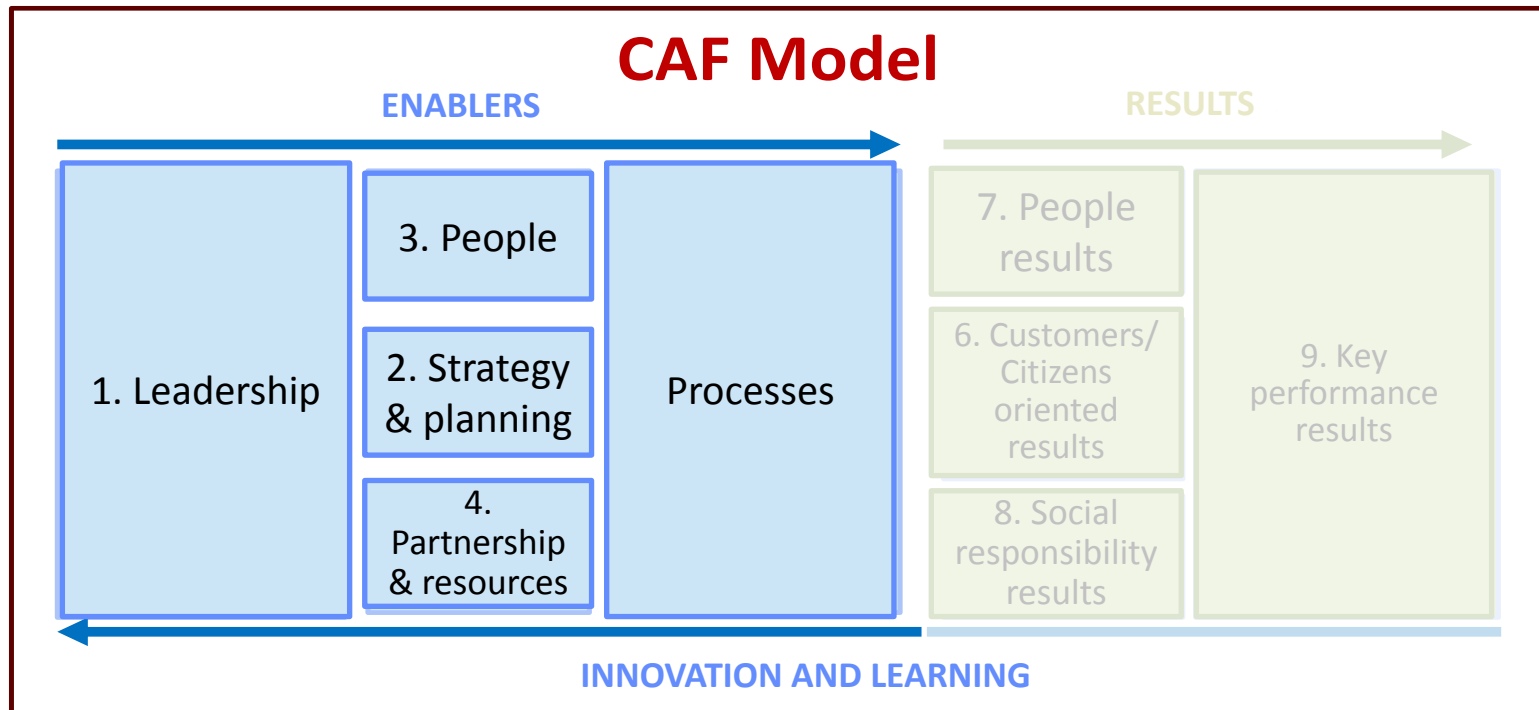


9
CRITERIA
 High-Level definitions

28
SUB-CRITERIA
 Conceptual components

255
EXAMPLES
 Operational components

CAF Model: Enablers

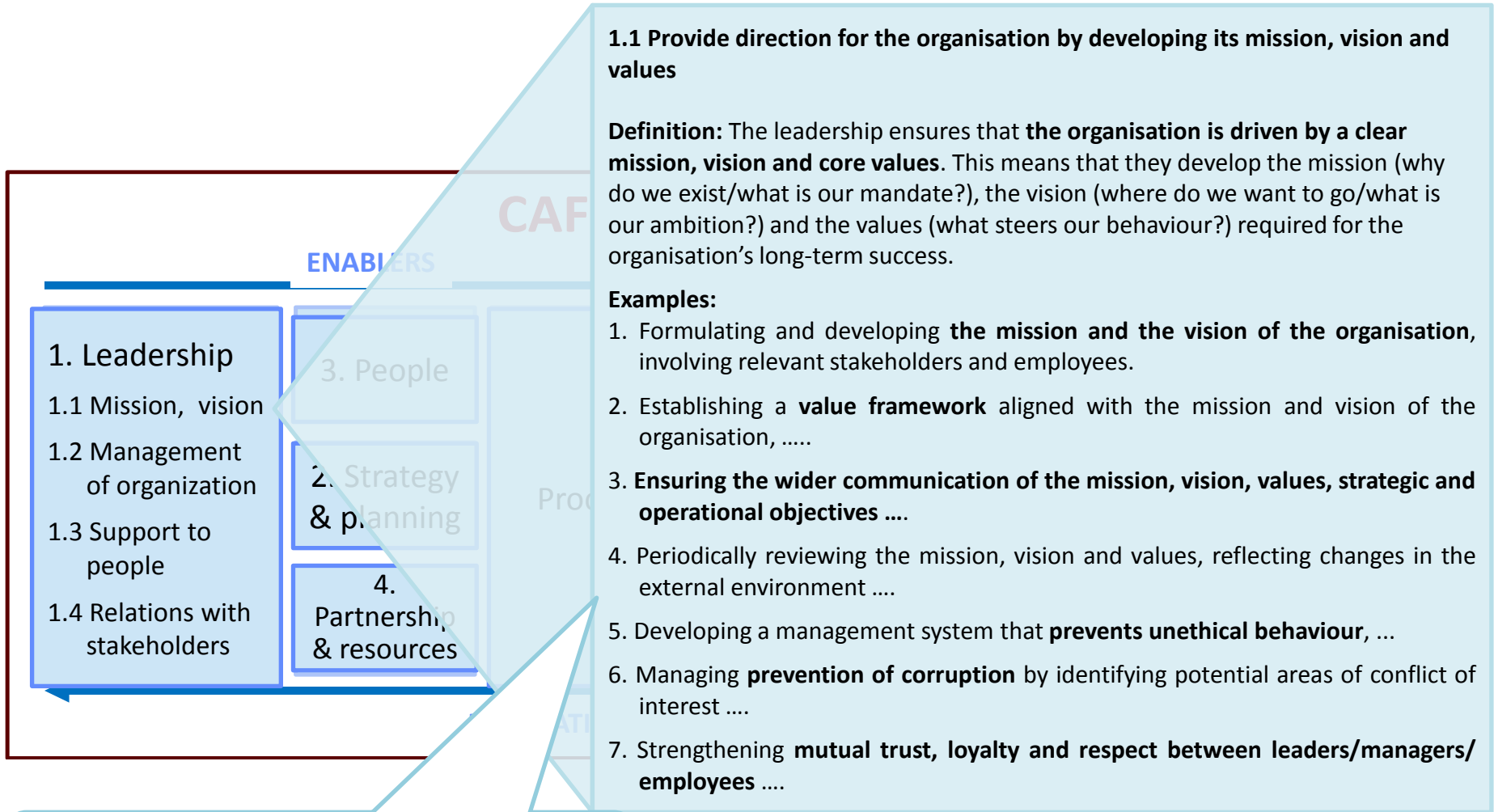


5
CRITERIA

20
SUB-CRITERIA

THE STRUCTURE OF ENABLERS CRITERIA

Criterion, Sub-Criteria, Examples



The examples: Good practices From the experience of excellent organizations, a direction to evaluate your organization

THE STRUCTURE OF ENABLERS CRITERIA

An example – The Criterion 1: Leadership

Definition

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.

Criterion 1 focuses on the behavior of the people in charge of the organisation: the leadership.

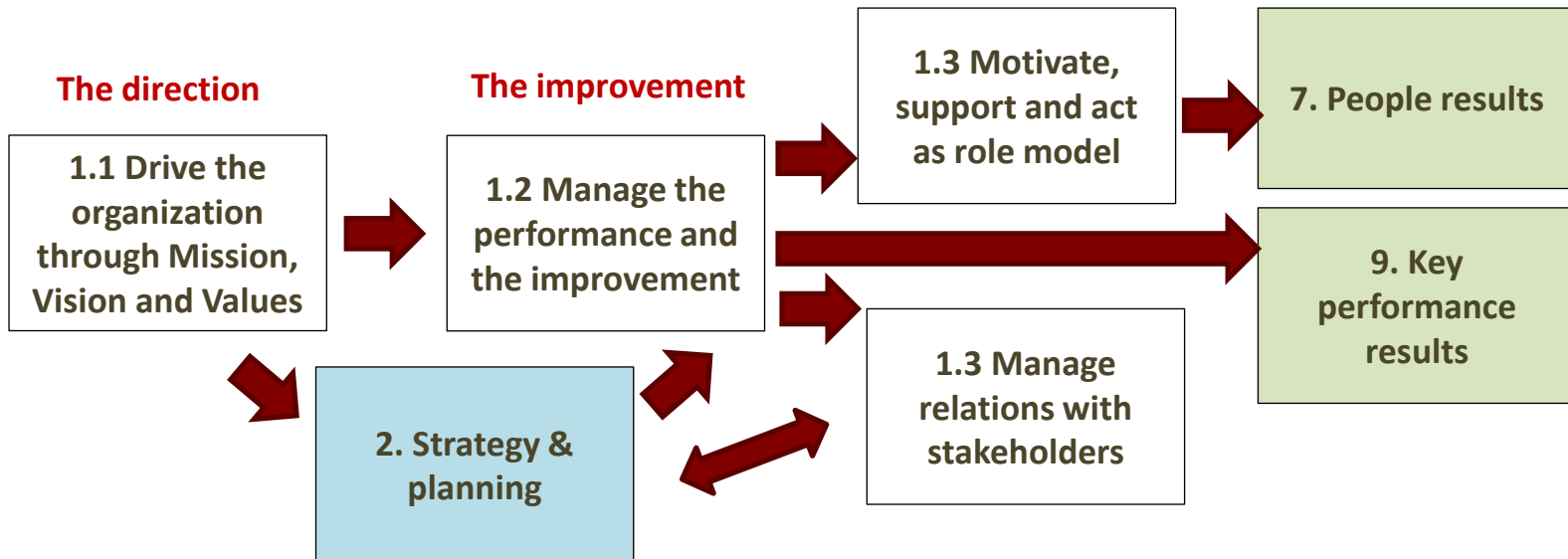
Their job is complex. As good leaders, they should create **clarity and unity of purpose** for the organisation. As managers, **they establish an environment in which the organisation and its people can excel**, and they ensure the functioning of an appropriate steering mechanism. As facilitators **they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

THE STRUCTURE OF ENABLERS CRITERIA

An example – The Criterion 1: Leadership

4 SUB-CRITERIA

- 1.1. Provide direction for the organisation by developing its mission, vision and values
- 1.2. Manage the organisation, its performance and its continuous improvement
- 1.3. Motivate and support people in the organisation and act as a role model
- 1.4. Manage effective relations with political authorities and other stakeholders



SUB-CRITERION 1.1 Provide direction for the organisation by developing its mission, vision and values

Definition

The leadership ensures that **the organisation is driven by a clear mission, vision and core values**. This means that 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. **...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....**

Examples

1. Formulating and developing **the mission and the vision of the organisation**, involving relevant stakeholders and employees.
2. Establishing a **value framework** aligned with the mission and vision of the organisation, respecting the general public sector value framework.
3. **Ensuring the wider communication of the mission, vision, values, strategic and operational objectives** to all employees in the organisation and to other stakeholders.
4. Periodically reviewing the mission, vision and values, reflecting changes in the external environment (e.g. political, economical, socio-cultural, technological (PEST analysis) and demographic environment).
5. Developing a management system that **prevents unethical behaviour**, but also supports staff in dealing with ethical dilemmas that appear when different values of the organisation are in conflict.
6. Managing **prevention of corruption** by identifying potential areas of conflict of interest and providing guidelines for employees on how to deal with them.
7. Strengthening **mutual trust, loyalty and respect between leaders/managers/ employees** (e.g. by monitoring the continuity of the mission, vision and values and by re-evaluating and recommending norms of good leadership).

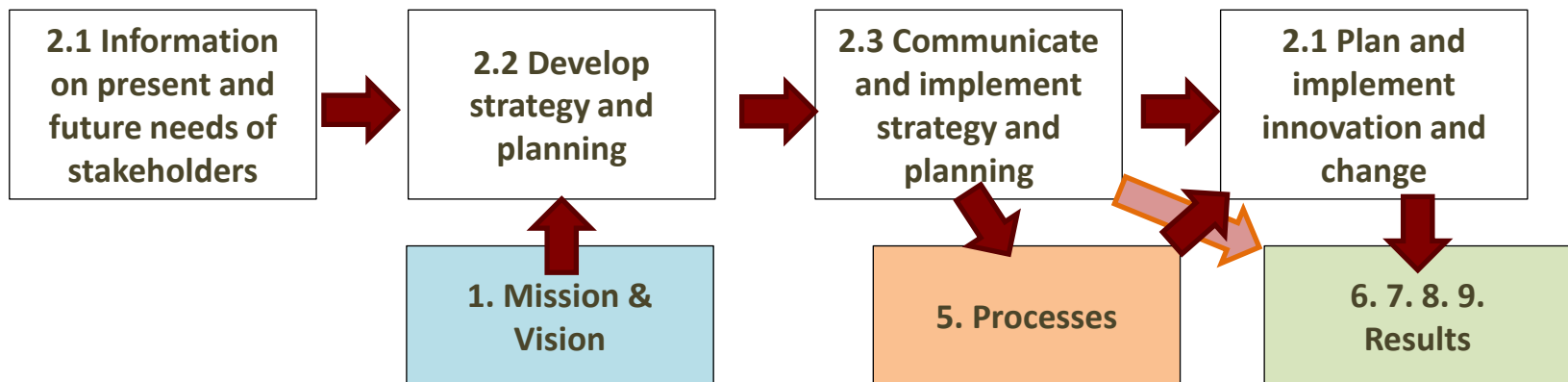
Criterion 2 – Strategy and Planning

Definition

Implementing the mission and vision of a public organisation requires the definition of the ‘way forward’ which the organisation wants to follow, the setting of the goals it needs to achieve and the way it wants to measure progress. ... **The strategy needs to be translated into plans, programmes, operational objectives and measurable targets...**

The 4 SUB-CRITERIA

- 2.1. Gather information on the present and future needs of stakeholders as well as relevant management information**
- 2.2. Develop strategy and planning, taking into account the gathered information**
- 2.3. Communicate and implement strategy and planning in the whole organisation and review it on a regular basis**
- 2.4. Plan, implement and review innovation and change**



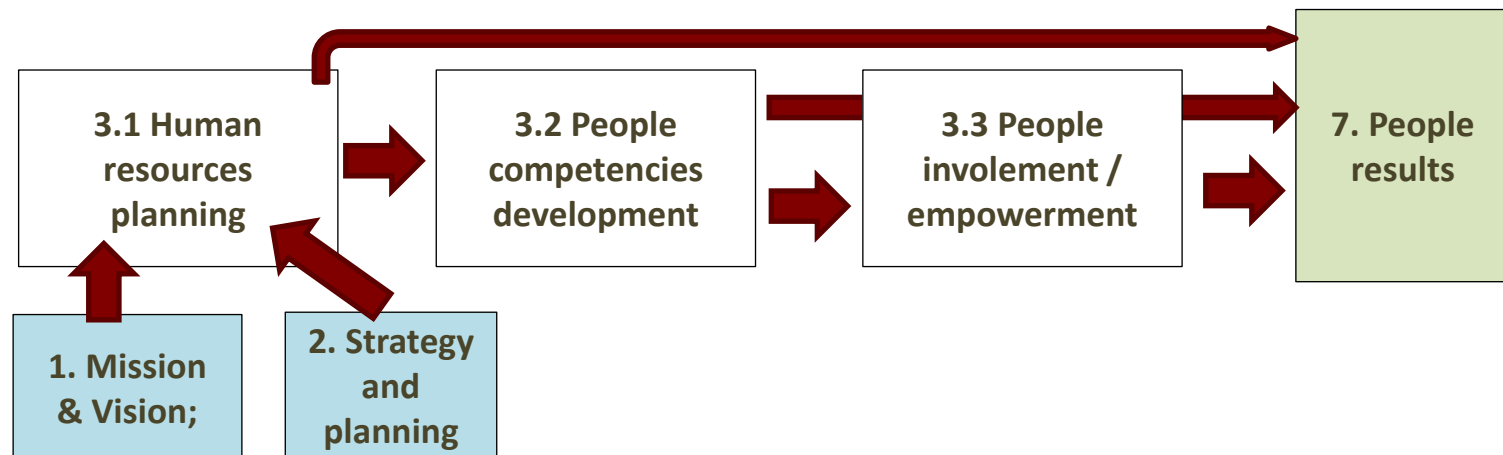
Criterion 3 – People

Definition

People are the organisation's most important asset. **The organisation manages, develops and releases the competences and full potential of its people ... Respect and fairness, open dialogue, empowerment, reward and recognition, care and also providing a safe and healthy environment** are fundamental to building the commitment and participation of people on the organisational journey to excellence. ... people are often the organisation's biggest investment.

The 3 SUB-CRITERIA

- 3.1. Plan, manage and improve human resources transparently with regard to strategy and planning**
- 3.2. Identify, develop and use competencies of people aligning individual and organisational goals**
- 3.3. Involve employees by developing open dialogue and empowerment, supporting their well-being**



Criterion 4 – Partnerships & Resources

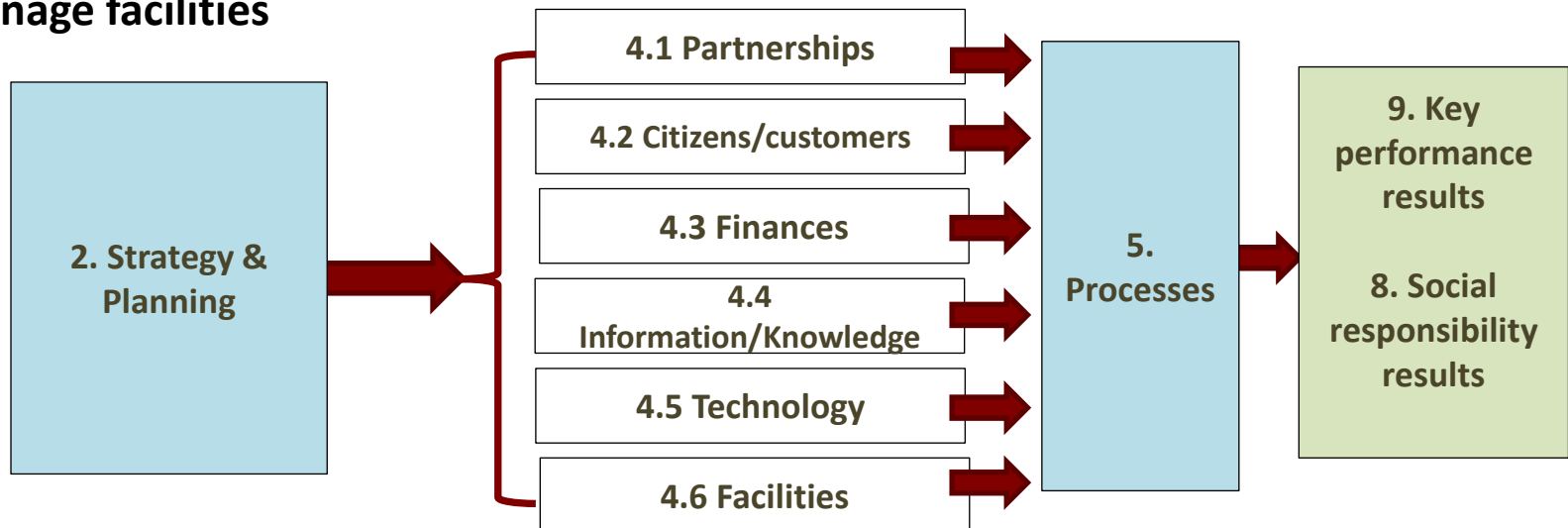
Definition

Public sector organisations need resources of different kinds ... They can be of a material and immaterial nature, but they all have to be managed carefully.

... **key partnerships, e.g. private providers of services or other public organisations, but also citizen/customers, ...** Besides partnerships, **organisations need to manage in an efficient way the more traditional resources – such as finances, technology, facilities ... Knowledge resources...**

The 6 SUB-CRITERIA

- 4.1. Develop and manage partnerships with relevant organisations**
- 4.2. Develop and implement partnerships with the citizens/customers**
- 4.3. Manage finances**
- 4.4. Manage information and knowledge**
- 4.5. Manage technology**
- 4.6. Manage facilities**



Criterion 5 – Processes

Definition

Each organisation is run by many processes, each **process being an organised set of inter-related activities that transform resources or inputs in an efficient way into services (outputs) and impact on society (outcomes).**

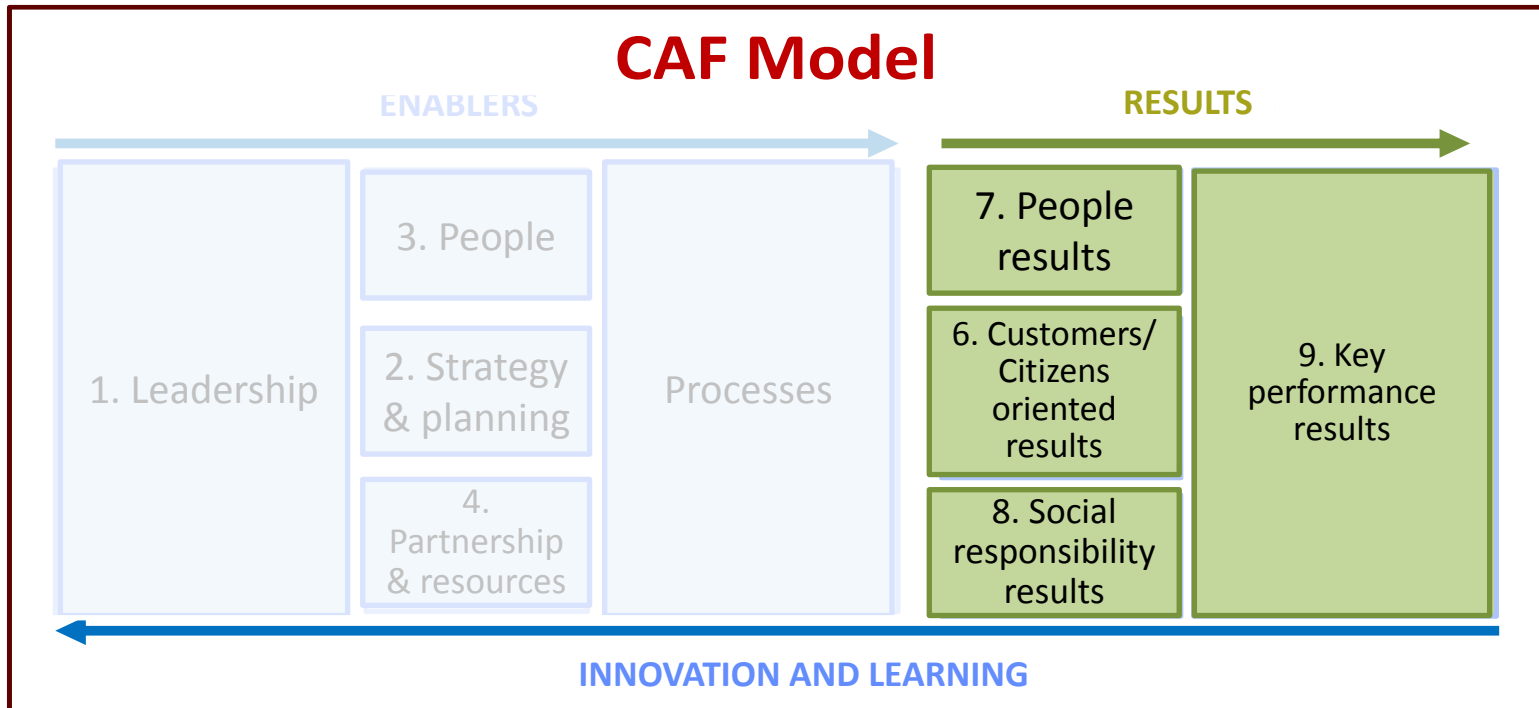
...**core processes, realising the mission and strategy of the institution...** and thus critical to the delivery of products or services; management processes, steering the organisation; **and support processes, delivering the necessary resources.** ... The need to generate increasing value for its citizens/customers and other stakeholders and to raise efficiency are two of the main drivers in process development and innovation.

The 3 SUB-CRITERIA

- 5.1. Identify, design, manage and innovate processes on an ongoing basis, involving the stakeholders**
- 5.2. Develop and deliver citizen/customer-oriented services and products**
- 5.3. Coordinate processes across the organisation and with other relevant organisations**



CAF Model: Results



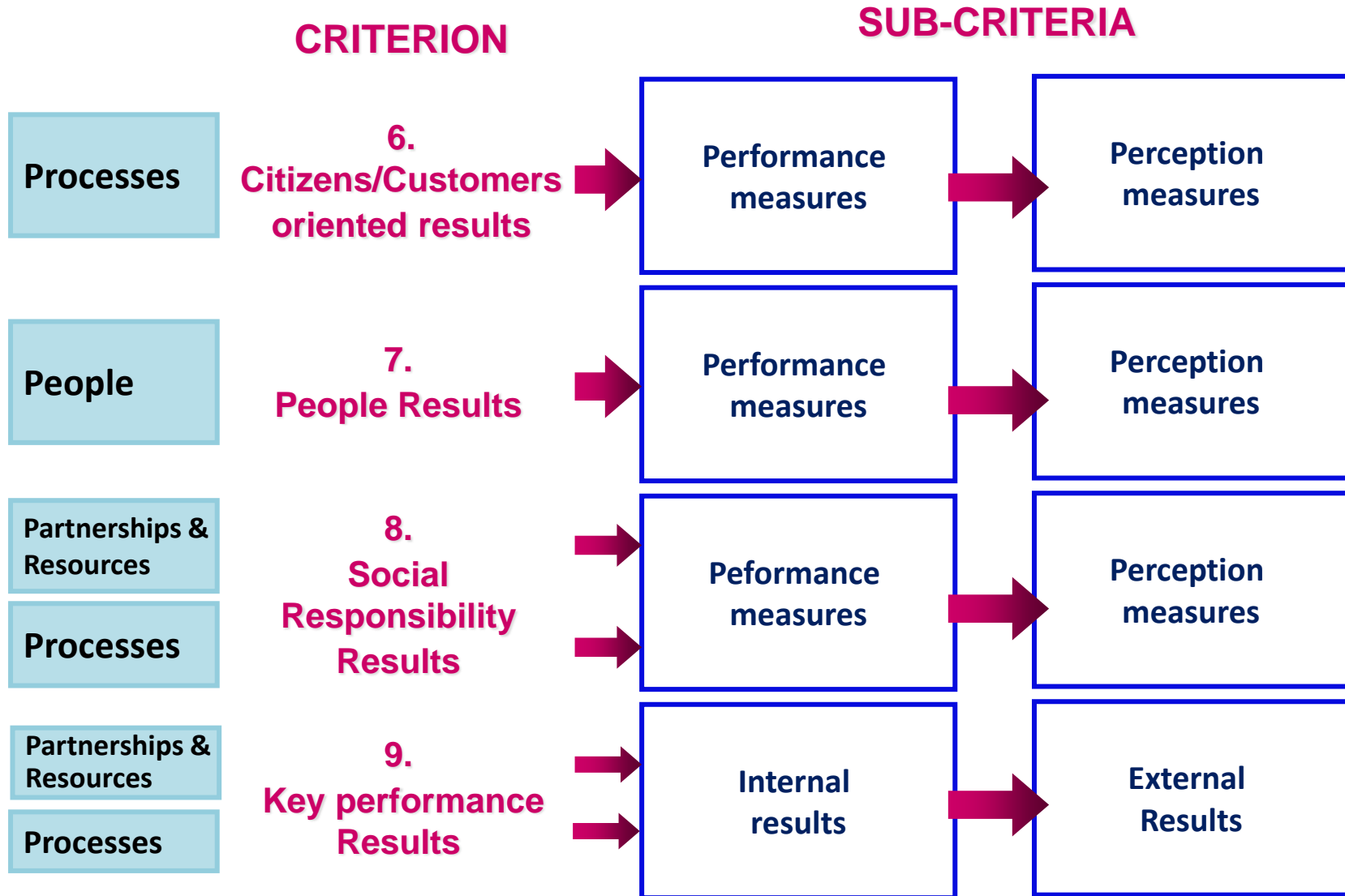
4

CRITERIA

8

SUB-CRITERIA

Results criteria: the structure



Criterion 6 – Citizens/Customers oriented results

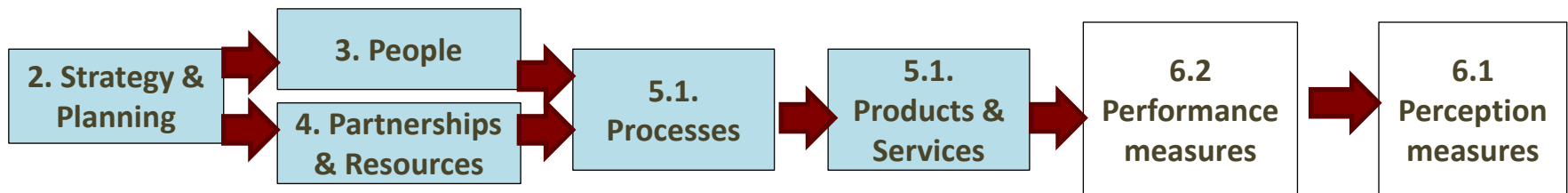
Definition

.... 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. 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 internal indicators. Working on increasing the results of internal indicators should lead to higher satisfaction of the customers/citizens.

The 2 SUB-CRITERIA

6.1. Perception measurements

6.2. Performance measurements



SUB-CRITERION 6.1 Perception measurements

Definition

The direct measurement of the satisfaction or perception of the citizens and customers is of essential 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. Following the principle of evidence-based management, it is not the organisation making assumptions on the satisfaction level; instead, direct information from the customer/citizen themselves provides the objective information. In most cases this is done by customer or citizen surveys. Complementary tools such as focus groups or users panels are also used. This sub-criterion assesses whether the organisation performs these measurements and shows the results of these measurements.

Examples

1. The overall image of the organisation and the public reputation (....)
2. Involvement and participation of the citizen/ customer in the working and decision- making process of the organisation.
3. Accessibility (e.g. accessibility with public transport, ...).
4. Transparency (...).
5. Products and services (...).
6. The organisation's differentiation of services related to different needs of customers (...).
7. The available information: quantity, quality, reliability, transparency, readability, appropriateness for the target group, etc.
8. The good receipt of the information by the citizen/customer.
9. The frequency of citizens/customers opinion survey on the organisation.
10. Level of public trust towards the organisation and its products/services.

Criterion 7 – People results

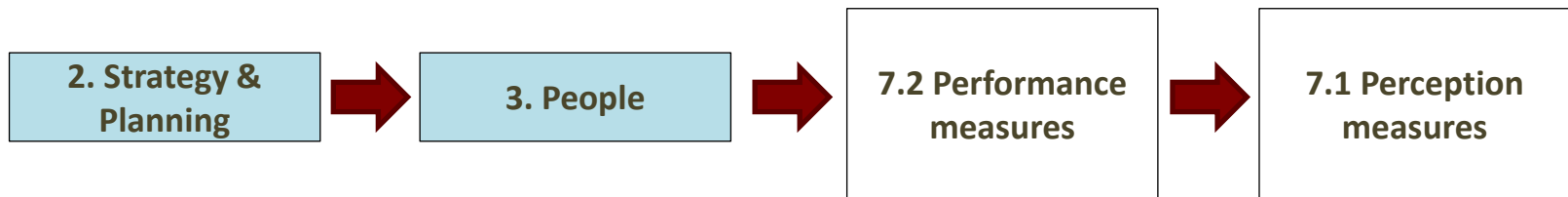
Definition

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 **perception measurements** where the people are asked directly (e.g. via questionnaires, surveys, focus group, appraisals, interviews, consultation of staff representatives), and on the other hand **performance measurements** used by the organisation itself to monitor and improve people satisfaction and performance results.

The 2 SUB-CRITERIA

7.1. Perception measurements

7.2. Performance measurements



Criterion 8 – Social responsibility results

Definition

The main mission of a public organisation is always dedicated to satisfying a category of needs and expectations of the 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, national and international community. An organisation working on its social responsibility will:

improve its reputation and image to the citizens as a whole; improve its ability to attract and retain staff members and

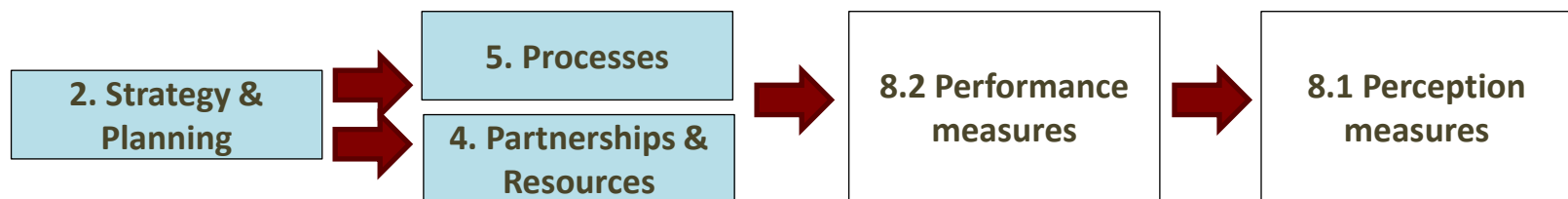
maintain motivation and commitment of its staff; improve its relations with companies, other public organisations, the media, suppliers, citizens/customers and the community in which it exists.

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 impact as effects of organisational behaviours.**

The 2 SUB-CRITERIA

8.1. Perception measurements

8.2. Performance measurements



Criterion 9 – Key performance results

Definition

Key performance results relate to whatever the organisation has determined as essential, measurable achievements for the success of the organisation in the short and longer term. They represent the capacity policies and processes to reach goals and objectives as defined in the institution's mission, vision and strategic plan. Criterion 9 focuses on the organisation's abilities to achieve these key performance results.

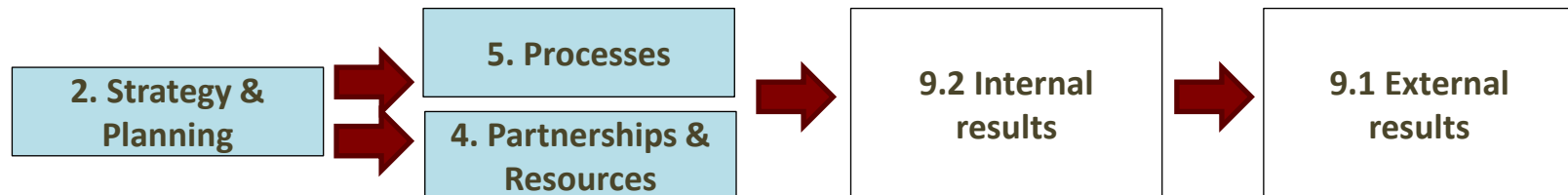
Key performance results can be divided into:

1. **External results: outputs and outcomes to goals**, focusing on the link with/between the mission and vision (Criterion 1) strategy and planning (Criterion 2), processes (Criterion 5) and the achieved results for the external stakeholders.
2. **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.

The 2 SUB-CRITERIA

9.1. External results

9.2. Internal results



CAF SCORING

Why?

- To measure the current grade of maturity/excellence in relation to the CAF Model
- To find your strenghts and areas to improve
- To drive the improvement projects and plans
- To measure your progress compared to the past and to define improvement targets for the future
- To compare current performance with others



The reference approach for CAF Scoring? The PDCA Cycle

Enablers panel

PLAN	Planning is based on stakeholders' needs and expectations. Planning is deployed throughout the relevant parts of the organisation on a regular basis.
DO	Execution is managed through defined processes and responsibilities and diffused throughout the relevant parts of the organisation on a regular basis.
CHECK	Defined processes are monitored with relevant indicators and reviewed throughout the relevant parts of the organisation on a regular basis.
ACT	Correction and improvement actions are taken following the check results throughout the relevant parts of the organisation on a regular basis.

Results panel

TREND	Positive trends or constantly good results
TARGET	Expected results / targets are defined and achieved

CAF 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

Score each one of the 20 sub-criteria of Results using this scheme

Score each one of the 8 sub-criteria of Enablers using this scheme

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

CAF FINE-TUNING SCORING – ENABLERS AND RESULTS

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.							
	Score							
DO	Execution is managed through defined processes and responsibilities and diffused throughout the relevant parts of the organisation on a regular basis.							
	Score							

RESULTS PANEL - CLASSICAL SCORING

		SCORE
CHECK	Defined processes are monitored with relevant indicators and reviewed throughout the relevant parts of the organisation on a regular basis.	0-10
	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
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ACT	Correction and improvement actions are taken following the check results throughout the relevant parts of the organisation on a regular basis.	91-100
	Score	
	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

CAF SCORING

How to score? (using classical panels)

Enablers

- Every single sub-criterion must be assessed and scored separately
- Consider the examples the model indicates
- The questions:
 - What are the significant examples for you?
 - Have you answers for them? What are you doing about?
 - What is the maturity of your approaches? (for ex. none, initial approaches; solid and systematic; ...).
 - refer to the scoring panel to have an estimate of your score
- The score of the sub-criterion must be the average of the scores for the significant examples for your organization
- For a more accurate scoring you can consider the different relevance of the examples of the model

Results

- Every single sub-criterion must be assessed and scored separately
- Consider the examples the model indicates
- The questions:
 - What are the significant examples for you?
 - Have you concrete measures and results for them?
 - Are the trends positive, flat or negative?
 - Did you define targets? Did you reach them?
 - Refer to the scoring panel to have an estimate of your score
- The score of the sub-criterion must be the average of the scores for the significant examples for your organization
- For a more accurate scoring you can consider the different relevance of the examples of the model

CAF Model: Why?

Common

- The value of the **experience of thousands of European Public Organizations** of different sectors and countries

Assessment

- The self-assessment **involves people** in understanding the strengths and weaknesses and to drive the improvement

Framework

- The CAF Model gives an **holistic approach** to assess the organization and find **Strengths and Weaknesses**;
- Supports the **collaboration with stakeholders**;
- Addresses to the **process management and measurement**;
- Encourages comparison (**benchlearning, benchmarking**)
- Drives the improvement
- Motivates people

CAF JOURNEY – 3 PHASES, 10 STEPS

Phase 1- The start of the CAF Journey

Step 1

Decide how to organise and plan the self-assessment

Step 2

Communicate the self-assessment project

Phase 2 - Self-assessment

Step 3

Compose one or more self-assessment groups

Step 6

Draw up a report describing the results of self-assessment

Step 5

Undertake the self-assessment

Step 4

Organize training

Phase 3 - Improvement plan/Prioritisation

Step 7

Draft an improvement plan, based on the accepted self-assessment report

Step 8

Communicate the improvement plan

Step 9

Implement the improvement plan

STEP 10

Plan next self-assessment

CAF JOURNEY – THE START

Step 1

Decide how to organise and plan the self-assessment



Step 2

Communicate the self-assessment project

- clear management decision through a sound consultative process;
- planning of process (scope, approach);
- decision whether the self- assessment has to cover the whole organisation or separate parts
- choice of the scoring panel (classical or fine-tuning)
- appointment of a **project leader**

- out- line of a communication plan.
- stimulate the involvement of the employees and managers
- communication to all stakeholders during the relevant phases of the project

CAF JOURNEY – THE SELF ASSESSMENT

Step 3

Compose one or more self - assessment groups



Step 4

Organize training



Step 5

Undertake the self- assessment



Step 6

Draw up a report describing the results of self-assessment

- Compose one or more self-assessment group.
- Select the participants on the basis of knowledge of the organisation and personal skills
- Appoint the project leader of the group;
- Decide about the participation of senior managers in self-assessment group.

- Information and training of management
- Information and training of the self-assessment group

- Undertake individual assessment
- Undertake consensus in group
- Define the score

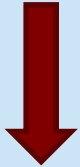
- Prepare the self-assessment report containing at least the strengths and areas for improvement for each sub-criterion, a score, ideas for improvement actions.
- The senior management officially accepts the self-assessment report

CAF JOURNEY

IMPROVEMENT/PRIORITISATION

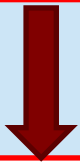
Step 7

Draft an improvement plan, based on the accepted self-assessment report



Step 8

Communicate the improvement plan



Step 9

Implement the improvement plan

- Prioritise areas of improvement
- Define an improvement plan
- Integrate the action plan resulting from the self- assessment into the strategic planning process of the organisation

- Communicate actions with appropriate information and appropriate media to the appropriate target group, at the appropriate moment

- Define the monitoring plan and approach
- Appoint a responsible person for each action (the 'owner')
- Integrate the improvements actions in the ordinary processes of the organisation

Thank you