TAIEX
Workshop on the implementation of Result-based-management system

Organised in co-operation with

National Agency of Ukraine on Civil Service

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Session III

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Belgian House of Representatives

Overview
Session III: Introduction in the principles and background of the CAF (continuation)

1. Results of CAF surveys

2. Self-assessment report and improvement plan report

3. How to prioritise actions on improvement

4. Risk management in the CAF

5. Procedure for external feedback on CAF implementation

6. Leadership as a key element in CAF

1. Results of CAF surveys

Table 1: The CAF Database on 1 September 2016: 3887 registered CAF Users in 52 countries and European Institutions and 74 Effective CAF users Labels

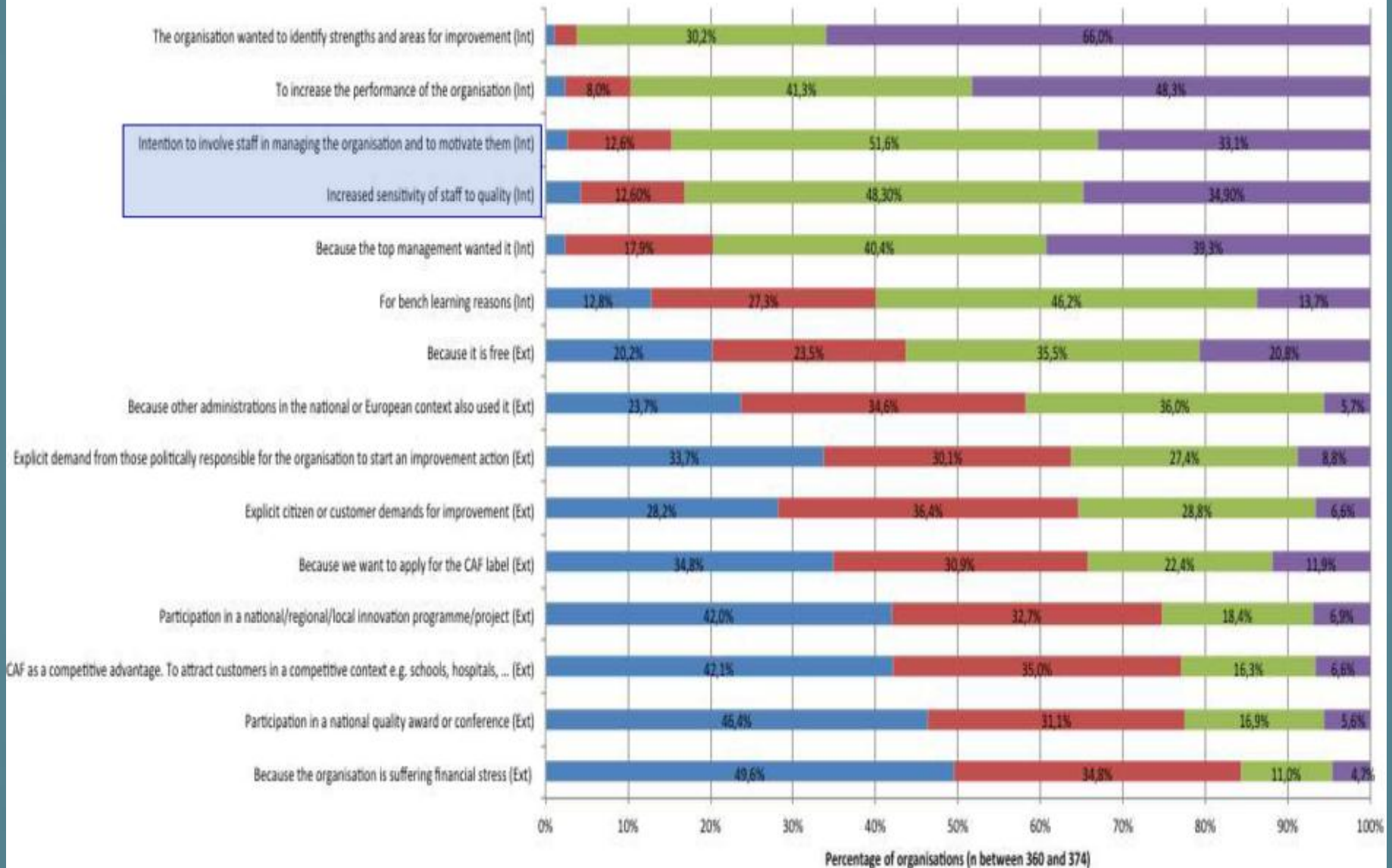| Country	ECU	Country	ECU	Country	ECU
Italy - 913	38	Czech Republic - 73	1	Luxembourg - 14	4
Poland - 412		Greece - 68		EU Institutions and EC - 13	1
Germany - 357	4	Slovakia - 60	9	FYROM - 13	1
Belgium - 342	6	Spain - 55		Bulgaria and Iceland - 12 Turkey - 11	
Hungary - 316		Romania - 49		Latvia and UK - 8	
Denmark - 248	1	Lithuania - 30	2	The Netherlands, Croatia - 7 Ireland - 6	
Portugal - 195	3	Switzerland - 29		Sweden - 5	
Finland - 137		France - 27		Cape Verde, Russia - 4	
Austria - 99	5	Bosnia-Herzegovina - 20		Ecuador - 3	
Norway - 92		Cyprus - 19		Indonesia, China, Namibia, Tunisia, Serbia, Montenegro, Egypt, Georgia - 2	
Dominican Republic - 87		Estonia - 18		Kosovo, Morocco, Peru, Ukraine - 1	
Slovenia - 76		Malta - 15		Brazil, Ivory Coast, South-Africa - 1	

Table 2: The CAF Database on 1 September 2016: overview of the users per sector

Sector	CAF Users	Sector	CAF Users
Education and Research	1082	Economy, agriculture, fisheries and trade	88
Local administration (municipalities, provinces)	919	Justice and Law	87
Social services and social security	410	Culture	57
Police and Security	175	Home affaires	53
Customs, Taxes and Finances	151	General policy and oversight, coordination	44
Health	144	Environment	31
Public sector management (P&O, budget, ICT etc.)	126	Foreign affairs Post and Communication	11 10
Transport, infrastructure, public works, utilities	89	Others	362

Source: Eipa, a.o., CAF improvement identification, prioritisation and implementation, 2016, p.12

Reasons for using the CAF

(n = between 360 and 374)

Legend: ■ Unimportant ■ Less important ■ Important ■ Very important

Reason	Unimportant	Less important	Important	Very important
The organisation wanted to identify strengths and areas for improvement (Int)			30,2%	66,0%
To increase the performance of the organisation (Int)		8,0%	41,3%	48,3%
Intention to involve staff in managing the organisation and to motivate them (Int)		12,6%	51,6%	33,1%
Increased sensitivity of staff to quality (Int)		12,60%	48,30%	34,90%
Because the top management wanted it (Int)		17,9%	40,4%	39,3%
For bench learning reasons (Int)	12,8%	27,3%	46,2%	13,7%
Because it is free (Ext)	20,2%	23,5%	35,5%	20,8%
Because other administrations in the national or European context also used it (Ext)	23,7%	34,6%	36,0%	5,7%
Explicit demand from those politically responsible for the organisation to start an improvement action (Ext)	33,7%	30,1%	27,4%	8,8%
Explicit citizen or customer demands for improvement (Ext)	28,2%	36,4%	28,8%	6,6%
Because we want to apply for the CAF label (Ext)	34,8%	30,9%	22,4%	11,9%
Participation in a national/regional/local innovation programme/project (Ext)	42,0%	32,7%	18,4%	6,9%
CAF as a competitive advantage. To attract customers in a competitive context e.g. schools, hospitals, ... (Ext)	42,1%	35,0%	16,3%	6,6%
Participation in a national quality award or conference (Ext)	46,4%	31,1%	16,9%	5,6%
Because the organisation is suffering financial stress (Ext)	49,6%	34,8%	11,0%	4,7%

Percentage of organisations (n between 360 and 374)

Source: CAF users' event, Slovakia, 2016

Nature of the improvement activity

Improvement activity	No.	% (338=100)	% (131=100)
Input into the strategic planning process of the organisation	51	15	38,9
A full action plan (directly linked to the results of the CAF self assessment)	38	11,24	29
Implementation of services for the staff	32	9,46	24,42
Improvement of the process	30	8,87	22,9
Improvement of the quality of leadership	26	7,69	19,84
Improvement of knowledge management	25	7,39	19,08
Implementation of service for the customers/citizens (needs and satisfaction)	22	6,5	16,79
Some individual improvement activities (but no full action plan)	19	5,62	14,50
Implementation of result measurement (targets)	18	5,32	13,74
Input into running improvement programs	18	5,32	13,74
A consolidated report handed to the management (leaving implementation to the latter)	16	4,73	12,21
Implementation of HRM tools	14	4,14	10,68
Improvement of technology	14	4,14	10,68
Better management of buildings and assets	6	1,77	4,58
Implementation of new financial management tools	6	1,77	4,58
Other	1	0,29	0,7
	338	100	

Source: Eipascope 2005/3 (2003 Eipastudy: respons 131; 22 countries)

2. Self assesment report- improvement plan report

TEN STEPS TO IMPROVE ORGANISATIONS WITH CAF

PHASE 1: THE START OF THE CAF JOURNEY

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

Step 2
Communicate the self-assessment project

PHASE 2: SELF-ASSESSMENT PROCESS

Step 3
Compose one or more self-assessment groups

Step 4
Organise training

Step 5
Undertake the self-assessment

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

PHASE 3: IMPROVEMENT PLAN/PRIORITISATION

Step 7 Draft an improvement plan, based on the accepted self-assessment report

Step 8
Communicate the improvement plan

Step 9
Implement the improvement plan

Step 10
Plan next self-assessment

Scheme A : Pro forma self-assessment sheet for classical scoring

CRITERION 1: LEADERSHIP

Evaluation of Criterion 1
Consider evidence of what the organisation's leadership is doing to…

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-criteria	Strengths	Areas for improvement	Score and Justification / 100	(Optional) Action items
1.1				
1.2				
1.3				
1.4				
Total / 400				
Average on 100				

Scheme B : Action sheet

ACTION PROGRAMME 1 (E.G. LEADERSHIP)	
Action 1.1	Description of the action.
Sponsor	The highest authority that is responsible for the item and wants and supports a specific action; could be considered as the end user.
Action leader	The person or service who is in charge of the action.
Action team	The individuals identified to work in implementing the action; can be people from inside and/or outside the organisation.
Contact	
Scope	
Stakeholders	
Strengths as defined in self-assessment	
Context and areas for improvement	
Alternatives to explore	
Constraints	
Human resources needed (in man/days)	
Budget	
Deliverable	
Starting date	
Estimated Deadline	

Source: CAF-manual 2013, p.68

Obstacles encountered in developing the improvement plan:

Legend: ■ Not at all ■ To a limited extent ■ To a large extent ■ To a very large extent

Obstacle	Not at all	To a limited extent	To a large extent
Difficult to formulate good and clear actions (SMART).	23,70%	49,80%	24,70%
Difficult to put a timing on the actions.	26,50%	48,40%	21,60%
Lack of a good methodology for prioritizing the actions.	34,30%	43,70%	17,50%
Other priorities defined by the management or political authorities.	52,30%	27,80%	13,20%
Difficult to find project owners for every action.	38,90%	41,10%	15,80%
Difficult to communicate about the improvement plan to all the employees of the organisation.	44,70%	37,90%	16,00%
Unclear formulation of areas of improvement during the self assessment, as the basis for improvement actions.	42,00%	45,60%	10,00%
Lack of involvement of the top management.	58,90%	28,60%	9,40%
Difficult to integrate current existing improvement actions in the new improvement plan.	45,80%	42,30%	9,50%
Lack of involvement of the members of the self-assessment group.	58,40%	33,90%	
Other main obstacle.	75,20%		

Percentage of organisations (n = between 281 and 287)

3. How to prioritise actions on improvement

- In function of
  - **the goals** (and task definition) to realise in a certain period (e.g. 2 years)
  - **the problems** (problem oriented)

- Process
  - Analysis of areas for improvement (problem definition)
  - Formulation of ideas (via analysis of best practices; benchmarking; failures; aso)
  - Prioritisation of actions (if possible quantification of impacts, internal/external)
  - Identification of resources to realise action (time schedule and difficulties in realisation)
  - Assign ownership (who will lead the action: preferable those who carried out the assessment)
  - Communication
    - Internal: to stimulate ownership
    - External: to gain confidence target groups/ legitimation society
  - Implementation = process of monitoring and assessment (definition of deadlines and expected results)
  - Feedback

3.1. Methods for prioritisation

- Quantitative approach (EIPA resource center)

- Qualitative approach (Finish example)

Quantitative approach (EIPA resource center)

- First selection of critical areas by members of SAG (self assessment group)

...From statement to action...

Statement - Discussion	During a discussion lots of elements are mentioned, it is key to distinguish between different elements, see the interconnection and to capture and understand them.
Area of improvement	Some statements are rather large, ambiguous and cryptic. It is important to clearly identify the area of improvement.
Action	To improve, the area of improvement needs to be translated into a concrete improvement proposal or an action.

- Action should be formulated in a SMART way

SMART principle

- S pecific
- M easurable
- A cceptable (support of staff)
- R elevant (action should have impact on the organisational improvement)
- T ime (schedule)

Prioritisation

- Selection of quick wins and Key important actions fot the coming two years

- Proposed actions (lowest scores)

- Indication of strategic weight of the proposed actions

Annex 1: Prioritisation Table

		Application file: prioritise improvements actions													
		ORGANISATION XXXXXXXX													
N°	**Sub-Crit.**	**Proposed Action**	**Score CAF**	**Strategic weight (SW)**					**Ease of implementation (EIM)**				**TOTAL SW+ EIM**	**PIM**	**Chosen actions**
				IMCC 1-4	IMST 1-4	IMIR 1-4	IMS 0-1	SW 13	LD 1-4	RN 1-4	SR 1-4	EIM 12	25	1-4	
1.1		Update the vision and mission with participation of all the employees	34-40												
1.2		Introduction and application of the CAF model.	30-35												
1.3		Motivate and reward employees for good individual or team work	25-30												
1.4		Etc.	40-45												
2.1		Etc.	31-35												

Strategic Weight of the actions (SW)

Impact on citizen/customers (IMCC)

Impact on the staff (IMST)

Impact on the internal results (IMIR)

Impact on the social responsibility of the organization (IMSR)

Ease of Implementation most important actions (EIM)

Level of Difficulty (LD)

Resources Needed (RN)

Speed of Realisation (SR)

Priority of implementation (PIM)

Source: Eipa, a.o., CAF improvement identification, prioritisation and implementation, 2016, p.184

Qualitative approach
(Finish example: participative model)

The model works best when used in visual form:

Source: Eipa, a.o., CAF improvement identification, prioritisation and implementation, 2016, p.209
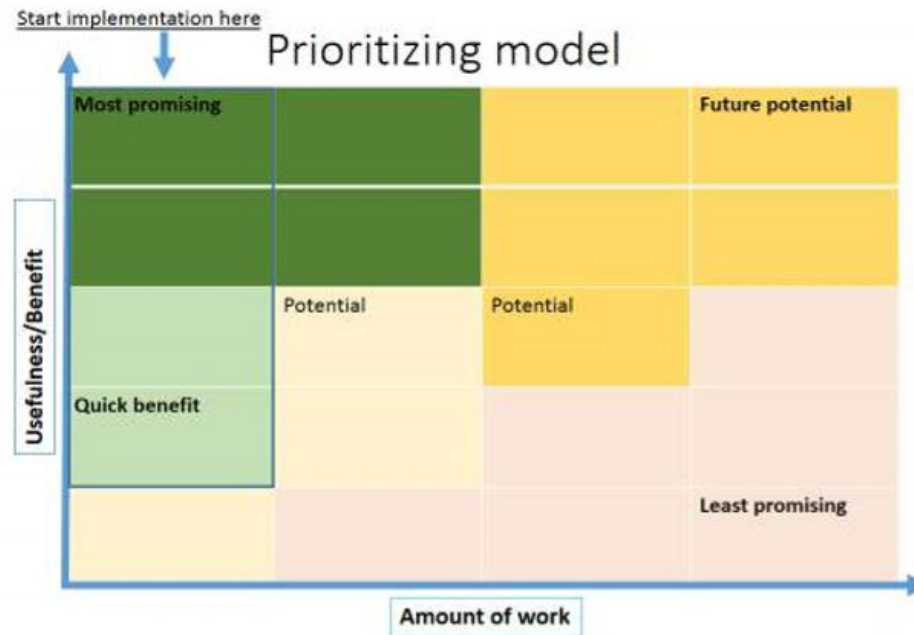
4. Risk management in the CAF

Tendency

- More and more sophisticated strategic measurement systems are developed and applied (computerized dashbords, scorecards,...)

- Risk: measuring too much, too little or wrong things
    - measurements are not used in an effective way

    - considering performance measurement is not the same as performance management (only aspect of)

    - often Governments are focussed on collecting all types of data, but with few attention on "how" to use the information to identify programme improvements

Organisation is not an island

- Importance of environment of the organisation and external factors

- CAF is focussed on internal factors

- But a large part of succes and performance of the Organisation is due to external factors

Holistic model

- Risk of methodological overload

- Too ambitious, too complex

- Impossible to measure the interaction of the enabling and result factors in a causal model= theoretical insight in influence of different variables

- Reality= comprehensive model

- Better to evaluate 1 aspect then to get lost in complexity

- and to opt for piece meal engineering approach (salami tactic)

- Conclusion: necessity of prioritisation of assessment

Regular measurements

- CAF presupposes regular measuremts in time to evaluate progress (every 2-3 years) (realistic?)

- CAF is very time consuming

- benchmarking-learning= difficult because factors of succes or failure are different due to different environment

- CAF asks for a permanent information structure for all the aspects: necessity of an evaluation culture: datacollection need to be integrated in the normal working process (also external information)

Goal oriented approach

- CAF is rather goal oriented

- But a lot of goals are not univoque (ambiguous)

- Conflict of goals (incompatibility)

- Manifest and latent goals (unintended)

- Asks for an external (political choice) solution

Problem oriented approach

- Thus: better a problem oriented approach (identification of problems)
  = learning process

- Creates a larger social platform (motivation) in the Organisation

- Starting with data collection (f.i. on time budget, workload, budgetary aspects) creates rather fear (threats)

Methodological problems

- Scaling technique: subjective character (vs. dichotomous variables)

- Datacollection for performance measurement can also abused

- Playing with waiting lists, cases in health care, police,…

- Efficiency paradox

Window dressing

- Lowering the treshold to be successfull

- To avoid external evaluation:
  - Defensive, conservative attitude
  - Organisation should be open for external evaluation

- Used as promotion rather than as a critical self assessment

Communication

- Lack of internal communication

- Only top and middle level is implied

- Optimal CAF team should be balanced between several levels (also support staff), age, gender, expertise and workarea in the institution

5. Procedure for external feed back on CAF implementation

- CAF launched in 2000
  - Succes
    - → after 10 years: 2000 organisations have applied
    - → 2016: ± 4000 organisations

  - Need for evaluation of CAF procedure
    - → Development of a CAF external feedback
    - → Goal= improvement performance of CAF procedure in the future
    - → After this process: label Effective CAF user (for correct application of CAF)

Procedure focuses on the concepts of excellence of CAF

- Aim: mainly evaluate whether the CAF procedure has stimulated the introduction and development of a culture of excellence (not the results of the improvements)

- Evaluation criteria:
  - 0 (initiation level not reached)
  - Initiation
  - Realisation
  - Maturity

Method

- The national organizer selects a core group of CAF feedback actors (peers in the public sector) of the same nationality and formed by the CAF resource center in Maastricht

- Peer review and bench learning

- Observation: N feedback procedures are rather limited. Not all the countries (nor organisations) apply for external labelling: 74 in 2016

6. Leadership in CAF

Results of a Belgian study (2004, 32 organisations) show the following:

Who stimulated the application of CAF in the organization (scale of answers: 1-10)	Average
Application of CAF mainly a result of staff on the basis	5,03
CAF was a matter of the quality staff	3,4
Application of CAF was in hands of external consultants	1,27
CAF was a matter of the whole organization	6,7
Without the support of the top management, self assessment wouldn't have been possible	7,9
Application of CAF depended completely on the interest and devotion of 1 person	5,3

Source: Van Dooren, W. & Van de Walle, S. (2004). Zelfevaluatie vs zelf-promotie? Een onderzoek naar de motieven voor het gebruik van het CAF bij Belgische overheidsdiensten. In Bestuurskunde, 13(2), p. 9-10.

Conclusion

- Importance of devotion of 1 person = high

- Makes "ownership" of self assessment precarious

- What about the continuity of Self Assessment after leave of that person