CAF Vision note 2016

At the end of the Italian presidency, the CAF Policy note 2015 was approved by the Directors General of EUPAN\(^1\). The Common Assessment Framework (CAF), the self-assessment model for performance improvement of public sector organisations in Europe, was reconfirmed as one of the major outputs of the European Public Administration Network (EUPAN). At the end of 2016, around 4000 public sector organisations have used the model in 52 countries in- and outside Europe and 90 CAF Effective Users Labels have been assigned (see Annex 1). The CAF 2013 model is translated in more than 25 languages.

At the meeting of the Network of the National CAF correspondents on November 29 2016 and during the 7\(^{th}\) European CAF Users Event in Bratislava on November 30, attended by 200 participants, the impact of CAF on the performance of public sector organisations was reconfirmed. Even more, the use of the model was seen as an effective approach to realise public administration reforms in the many aspects it may contain and as a systemic support administrative capacity building.

The 8 principles of Excellence that are at the basis of the TQM approach with CAF in the public sector that changes the DNA of the traditional Weberian bureaucratic administration into a modern citizens and service oriented public administration were efficiency and effectiveness are crucial. All structural reforms of the public administration contain these principles (see Annex 2).

Four of them are outwards oriented. The results orientation, based on output and outcome goals, makes public administrations powerful actors in policy implementation and strategic acting. The citizen/customer focus assures service delivery of high quality responding to the citizen’s needs. Qualitative partnerships with the citizens and public and private organisations mobilise additional forces for public organisations to achieve their goals. Taking up their social and societal responsibility, raises the image of public sector organisation and their benefit for society.

Four Principles of Excellence are oriented to strengthen the internal capacity of the public organisation. Visionary leadership in combination with managerial expertise are a “condition sine qua non” for organisations to be efficient and effective. The design and maintenance of high standard processes guarantee the desired performance of the organisation. The development and involvement of the people of the organisation form the most valuable asset of the organisation. The culture of continuous improvement and innovation stimulates to leave the comfort of the unchanged for a permanent attention to perform as well as possible for the sake of the citizens.

The CAF model 2013 enables the implementation of these principles of excellence - who are part of all the structural reforms - at organisational level. By analysing the 5 criteria of the enablers but also by measuring the results achieved in the 4 criteria of the results, allows the full implementation of the PDCA cycle in the public sector organisations,

stimulating the continuous improvement. The structural reforms are implemented bottom up this way and given a permanent basis. By involving staff and management in the self-assessment that leads to a prioritised improvement plan, CAF assures ownership of the members of the organisation and of the change process (see Annex 3).

The Director Generals might notice that several countries foresee CAF training and implementation in responding to the ex-ante conditionality regarding Thematic Objective 11 and in their Operation Plans in the context of the support by the European Commission on Administrative Capacity building. 9 countries\(^2\) are included in the ex-ante conditionality for TO11 related to QMS and 12 countries have planned activities under TO11 in their ESIF Operational Programmes (see Annex 4).

The network of National CAF correspondents, the CAF Users and the European CAF Resource Centre have the ambition to avoid CAF using organisations becoming isolated islands of excellence, to spread more intensively the model in the European public sector and to integrate CAF in public administrative reforms. The number of inspiring practices for each criterion in the best practices database at EIPA will be increased to facilitate bench learning and cooperation. They also want to start during the Austrian Presidency in 2018 the preparation of a new revision of the model leading to the CAF 2020 by the end of 2019.

In this perspective, call upon the Directors General in charge of the public administration in the Member States to continue their support for promoting and implementing this common European holistic management tool for the public sector. Many public sector organisations can benefit from the model but they need a minimum of sustainable support at national level. Without this support, many expertise that has been built up in the past might get lost despite the great interest in the European public sector for Total Quality or Total Performance management.

On behalf of the European CAF network

**Patrick Staes**  
Head of the European  
CAF Resource Centre

\(^2\) BG, CZ, EE, EL, HR, LV, RO, SI, SK
Annex 1: Registered CAF Users in Europe and abroad

Situation 9 January 2017: 3,895 registered users in 53 countries and EU institutions + 185 Effective CAF User Labes

<table>
<thead>
<tr>
<th>Country - users</th>
<th>ECU</th>
<th>Country - users</th>
<th>ECU</th>
<th>Country - users</th>
<th>ECU</th>
</tr>
</thead>
<tbody>
<tr>
<td>Italy - 913</td>
<td>73</td>
<td>Czech Republic - 76</td>
<td>1</td>
<td>Luxembourg - 14</td>
<td></td>
</tr>
<tr>
<td>Poland - 412</td>
<td>77</td>
<td>Greece - 69</td>
<td></td>
<td>Bulgaria - 13</td>
<td></td>
</tr>
<tr>
<td>Germany - 357</td>
<td>3</td>
<td>Slovakia - 60</td>
<td>3</td>
<td>Former Yugoslav Republic of Macedonia - 13</td>
<td>1</td>
</tr>
<tr>
<td>Belgium - 342</td>
<td>7</td>
<td>Spain - 55</td>
<td></td>
<td>EU Institutions and EC - 13</td>
<td>1</td>
</tr>
<tr>
<td>Hungary - 316</td>
<td></td>
<td>Romania - 49</td>
<td></td>
<td>Iceland - 12</td>
<td></td>
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<tr>
<td></td>
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<td></td>
<td></td>
<td>Turkey - 11</td>
<td></td>
</tr>
<tr>
<td>Denmark - 248</td>
<td></td>
<td>Lithuania - 31</td>
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<td>Latvia, UK - 8</td>
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</tr>
<tr>
<td>Portugal - 198</td>
<td>4</td>
<td>Switzerland - 30</td>
<td></td>
<td>Netherlands, Croatia - 7</td>
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<tr>
<td>Finland - 138</td>
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<td>France - 27</td>
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<td>Ireland - 6</td>
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<td>Sweden - 5</td>
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<tr>
<td>Austria - 99</td>
<td>11</td>
<td>Bosnia-Herzegovina - 20</td>
<td></td>
<td>Cape Verde, Russia - 4</td>
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<tr>
<td>Norway - 92</td>
<td></td>
<td>Cyprus - 19</td>
<td></td>
<td>Ecuador - 3</td>
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<tr>
<td>Dominican Republic - 87</td>
<td></td>
<td>Estonia - 18</td>
<td></td>
<td>Indonesia, China, Namibia, Tunisia, Serbia, Montenegro, Georgia, Egypt - 2</td>
<td></td>
</tr>
<tr>
<td>Slovenia - 77</td>
<td></td>
<td>Malta - 14</td>
<td>4</td>
<td>Kosovo*, Morocco, Peru, Ukraine, Brazil, Ivory Coast, South Africa - 1</td>
<td></td>
</tr>
</tbody>
</table>

Overview of sectors

<table>
<thead>
<tr>
<th>Sector</th>
<th>CAF users</th>
<th>Sector</th>
<th>CAF users</th>
</tr>
</thead>
<tbody>
<tr>
<td>Education and Research</td>
<td>1084</td>
<td>Justice and Law</td>
<td>88</td>
</tr>
<tr>
<td>Local administration (municipalities, provinces)</td>
<td>921</td>
<td>Economy, agriculture, fisheries and trade</td>
<td>87</td>
</tr>
<tr>
<td>Social services and social security</td>
<td>413</td>
<td>Culture</td>
<td>57</td>
</tr>
<tr>
<td>Police and Security</td>
<td>175</td>
<td>Home affairs</td>
<td>53</td>
</tr>
<tr>
<td>Customs, Taxes and Finances</td>
<td>151</td>
<td>General policy and oversight, coordination</td>
<td>45</td>
</tr>
<tr>
<td>Health</td>
<td>144</td>
<td>Environment</td>
<td>31</td>
</tr>
<tr>
<td>Public sector management (P&amp;O, budget, ICT etc.)</td>
<td>127</td>
<td>Foreign affairs, Post and Communication</td>
<td>11, 11</td>
</tr>
<tr>
<td>Transport, infrastructure, public works, utilities</td>
<td>89</td>
<td>Other</td>
<td>406</td>
</tr>
</tbody>
</table>
Annex 2: the 8 Principles of Excellence

![Diagram of PRINCIPLES OF EXCELLENCE]

- Social responsibility
- Citizen/Customer focus
- Leadership and constancy of purpose
- Management of processes and facts
- Continuous innovation and improvement
- Partnership development
- People development and involvement
- Results orientation

Annex 3: The CAF 2013 model

![Diagram of The CAF Model]

- 1. Leadership
  - 2. Strategy & Planning
  - 4. Partnerships & Resources
  - 3. People
- 5. Processes
- 7. People Results
- 6. Citizen/Customer-oriented Results
- 8. Social Responsibility Results
- 9. Key Performance Results

INNOVATION AND LEARNING
Annex 4: Quality management and CAF in the ESIF Operational Programmes 2014-2020

BG (OP Good Governance)

SO 2.1: *Increase in the number of the administrations implementing organisational development mechanisms and results-based management (TO11)*

Interventions are related to the quality of development and implementation of administrative policies and their result orientation. Administrations often lack the necessary complete and reliable information to formulate quality and result-oriented policies. Many of the existing strategic documents are not backed up with adequate sources of funding. In view of the above, with the support of the programme, a unified and standard practice for strategic planning will be developed. Methodological and information support for the introduction and reporting of result-oriented state budget will be provided. Greater accountability and feedback to the process of planning and decision making will be respected.

HR (OP Efficient Human Resources)

SO 4.1: *Increase effectiveness and capacity in the public administration through improving service delivery and human resources management*

Quality management: introduction of QMS and performance tracking, increasing the quality of PA organisation through self-evaluation according to the CAF model; activities will be focused on the area of evaluation system, remuneration, career development and ethical standards of civil service as well as improving relations of the public administration with the users of public services.

CZ (OP Employment)

SO 4.1: *Increase efficiency and transparency of public administration*

Designing & developing processes for quality assurance & management: This includes environmental management. This activity will aim particularly for introducing a uniform system of quality management in central state authorities where it is still not widely used, and for supporting an extension and development of the quality management system in self-governments. For this purpose, methodologies will be developed for quality management at both levels of public administration, with a focus on introduction of minimum standards on TQM principles. They will be followed up by related education of human resources and implementation of a quality management system, or its development in case a quality management system has been already implemented. Support will be also given to a wide use of the environmental management in public administration in order to achieve positive effects on the organisational structure of authorities, method of division of responsibilities, etc. The OP will contribute to the above-mentioned processes e.g. by analysing the current use of quality management methods in self-governments, preparing a quality management methodology, etc.

EE (OP Cohesion Policy Funds)

SO 12.1: *Professional competence and management of general government has increased*

3 for a full analysis see http://ec.europa.eu/social/main.jsp?catId=738&langId=en&pubId=7932&type=2&furtherPubs=yes
General government's administration and governance will be analysed along with organisations, structures and processes in it. Support will be given for implementation of reforms, including the merger of agencies or local governments, the reorganisation of work, the optimisation of processes and the development of various management systems that improve internal work processes, cooperation capabilities or delivery of quality services.

**HU (OP Public Administration and Services Development)**

*SO 2.3: An integrated customer-centric information base of public services containing data at municipality level is established and taken into use (TO11)*

Within the framework of the European union project „Introduction of the service provider model of government offices and public administration” a quality management system is planned to be developed and introduced for the territorial public administration by the smooth introduction of performance and quality management systems and facilitating the development of customer charters.

**IT (OP Governance and Institutional Capacity)**

*SO 1.3: Improvement of the performance of public administration*

... develop and implementing the management system of the unique role of management at different levels of government (recruitment, assessment and continuous training, etc.); strengthening the management systems of government (performance, risks, quality) consistent with the instruments for budgetary planning; organisational change designed at national level but implemented locally for the implementation of reforms (re-organisation of new provinces, State regional structures, capital management associated with services, etc.).

**LT (OP EU Structural Funds' Investments)**

*SO 10.1.1: Strengthen result-orientation of governance*

Support will be provided for different initiatives aimed at improvement of internal administration in relation to increasing efficiency of general functions (administration of finances, documentation, assets, information technologies and other resources), through analysis, assessment, centralisation, standardisation, launching and upgrading of the needed information systems, etc. Support is envisioned for the activities related to the planning, monitoring and assessment of the activities (their results) of public administration institutions (e.g. by developing and launching the relevant institutional monitoring systems, improving national or municipal resource management systems, registries, etc.). Application of other performance improvement measures (launching of project/ process management, quality management systems (in particular Common Assessment Framework), maintenance of these systems, etc.) will be promoted as well.

**MT (OP Investing in human capital to create more opportunities & promote the well-being of society)**

*SO 4.1: Strengthening the role & capacity of the public administration, with a view to improve the efficiency of public service delivery through improved leadership & better utilisation of public resources as well as simplification & better regulation*

**PL (OP Knowledge, Education and Development)**

*SO 2.4: Improve quality and monitor the provision of administrative services relevant for business*

Implementing solution to improve PA efficiency in managing services to business: (a) taxes and local fees - computerisation of tax offices of local government units, automation of accounts and improving access to information
on the action taken and progress of the case; improving staff competencies in such areas as tax services, the use of electronic tools, customer service, satisfaction management, case law; implementation of solutions management at local government offices to improve the quality of services to entrepreneurs in particular customer satisfaction management, quality management, process management, access to public information;

**PT (OP Competitiveness and Internationalization)**

*SO : Strengthening institutional capacity of public authorities and stakeholders and efficiency of public administration (OT 11), in order to achieve reforms, better regulation and good governance (11.1),*

Under preformatted operation 3 - Capacity and Methodologies of Quality Management and Process Management,

support was provided to implementation of CAF Model in Public Administration, including the following phases:

- **A1** Organizational Self-Assessment based on the CAF Model, as a Total Quality Management tool;
- **A2** Improvement of organizational performance through the implementation of the prioritised improvement actions;
- **A2** External recognition of CAF implementation process and results achieved, through Process of External Feedback (PEF)

**RO (OP Administrative Capacity)**

*SO 1.1: The development and introduction of systems & common standards in the public administration to optimise decision-making processes geared towards citizens & business consistent with SCAP-Strategy for Public Administration Consolidation*

Development of systems and tools for management; establishing and implementing actions needed to strengthen the legislative framework for implementing quality management in public administration, with a focus on self-assessment and a single system, e.g. CAF, ISO, BSC; developing an action plan for prioritising and sequencing the implementation of quality management by type of institution; implementing quality management and performance of the central public authorities and institutions; developing and implementing a monitoring and evaluation mechanism of the impact of using systems and tools for quality management in public administration; preparing analysis and studies to identify and develop tools and mechanisms to improve decision-making processes; producing guidelines, manuals, work organisation, promotion and dissemination of good practices (e.g. benchmarking/bench-learning networking) on innovation and public administration;

**SK (OP Effective Public Administration)**

*SO 1.1 : Improved systems and optimised processes of public administration (TO11)*

Implementation of quality management systems (self-assessment according to the CAF model, EFQM or other relevant tools)

*SO 2.1: Improved effectiveness of the judicial system*

Introduction of quality management in the judicial system organisation without affecting the independence of the judiciary (implementation of the CAF model or other quality management models, certification in the field of quality management)

**SI (OP Implementation of the EU Cohesion Policy)**

*SO 2.11.3: Improve governance and transparency in public administration by introducing new tools, methods and interoperable solutions (TO11)*
There are no system-wide actions to monitor and control the quality in public administration bodies at all levels, no measurable objectives and process indicators. Through this measure, Slovenia will introduce internal work quality assessments, external performance assessments (peer assessment) and processes to monitor and control quality via proper IT support.