



Five Years of CAF 2006: From Adolescence to Maturity – What Next?

A study on the use, the support and the future
of the Common Assessment Framework

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European (EIPA) CAF Resource Centre

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Introduction

“My belief is that historians in later decades will look back on the 21st century as the century of quality, much as the 20th century has been the century of productivity, largely following Frederick Taylor’s model.”

Joseph M. Juran

- Quality guru -

Source quote: www.qualitydigest.com

Introduction

The Common Assessment Framework (CAF) has now been around for 11 years. Last year (2010) was an important year for the CAF. We celebrated the 10th anniversary of the quality model and the 2000th registered CAF user. A lot of things have changed since the early days. Over the years, the CAF has evolved and grown to become the well-known quality model for the public sector that it is today. Considering the evolution of the CAF since the previous CAF study in 2005 and the last improvement of the CAF in 2006, the CAF Expert Group felt it was time to reflect on the use of the CAF in order to prepare its future. In the introduction we will discuss the evolution of the CAF, the structure of the CAF network and the purpose and scope of this study.

The evolution of the CAF¹

A. First steps towards the CAF

The launch of the CAF has to be placed in the context of 10 years ago, when – as is still the case today – the public sector had to cope with a number of challenges and had to respond to many new needs and demands in society. Due to these challenges and pressure, the public sector has been the subject of large reforms. Particularly in times of financial crises and severe cost cutting in public administrations, the focus is on efficiency and effectiveness, attention to transparency and accountability, awareness for public service delivery.² Together with these principles of New Public Management (NPM), methods and techniques were constructed, focusing on one of these principles or trying to combine these principles. As one of these techniques Total Quality Management became a feature of the public sector from the late 1980s and particularly the early 1990s. In the late 1990s, many quality models and techniques (EFQM, ISO, etc.), and subsequently the Common Assessment Framework (CAF), found their way into the public sector.³

Following years of informal consultations within EUPAN, there was an increasing need at the end of the 1990s within the European Union for a more intensive and formal response in order to optimise cooperation with respect to the modernisation of government services in the Member States and the preparation for the upcoming enlargement.⁴ In 1997, this need was given substance in the formation of a steering committee at European level, which subsequently became the IPSG – the Innovative Public Services Group, acting under the aegis of the network of the Directors-General in charge of the public administrations in the Member States, the European Public Administration Network (EUPAN). The preparatory work that had been performed for several years at informal level by the Directors-

¹ Based on Staes, P., et. al., (2010), "10 Years of CAF" More than 2000 CAF users, in: *Eipascope* (2010/2).

² Pollitt, C. & Bouckaert, G. (1999), *Public management Reform*, Oxford University Press.

³ Van Dooren, W., Thijs, N., & Bouckaert, G. (2004). Quality management and management of quality in the European public administrations. In: Löffler, E., & Vintar, M. (Eds.). *Improving the quality of East and Western European public services*. Hampshire: Ashgate. pp. 91-106.

⁴ Engel, C. (2003). Quality management tools in CEE candidate countries. Maastricht: EIPA, p. 104.

General, led in November 1998 to a ministerial declaration containing *'the general principles concerning the improvement of the quality of services provided to citizens'*. The IPSG working group then developed a quality tool specifically intended for and adapted to the public sector. This resulted in the year 2000 in the Common Assessment Framework – a self-assessment framework based on the principles of TQM and derived from the EFQM model and the German Speyer model. CAF was an easy-to-use and free entry tool for self-assessment in the public sector that could help public administrations across the EU understand and employ modern management techniques. It was launched at the first European Quality Conference in Portugal in May 2000.⁵

B. An overview of the life path of the CAF

Since the first launch in 2000 at the 1st European Quality Conference in Lisbon, many things have been achieved. In this part we provide a brief overview of the initiatives taken at European level up till now.

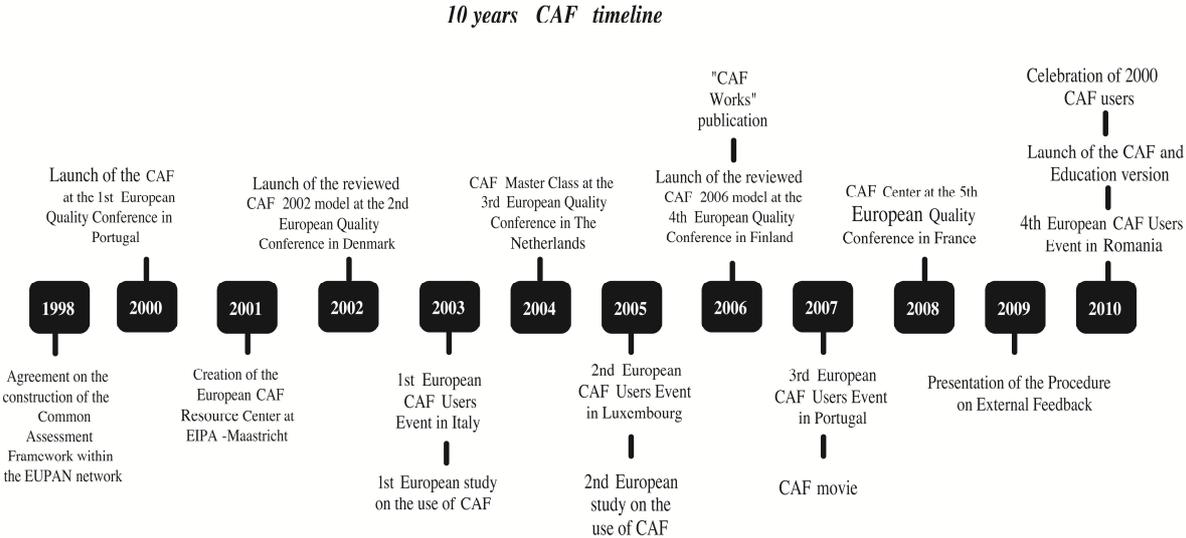


Figure 1 Timeline 10 years CAF

The year 2001 saw further development around the CAF: the European CAF Resource Centre (CAF RC) was established at the European Institute of Public Administration in Maastricht, the Netherlands. This EIPA CAF RC was created under the initiative of the Directors-General in charge of public service, with the aim of being a European centre of expertise in CAF implementation, which would coordinate with the national quality hubs and also serve as a training and consultancy centre. Furthermore, the CAF RC carries out research on the use of the model in order to develop it further, whilst aiming to stimulate the European CAF Expert Group of national correspondents and be a source of inspiration to the European CAF community. Last but not least, the CAF RC was entrusted

⁵ Engel, C., (2002), Common Assessment Framework: The state of affairs, *Eipascope*, (1), pp. 35-39.

with the setting up of a database to register and collect European CAF users with the aim of reaching 2000 registered CAF users by 2010.⁶

In 2002, the model was simplified and improved so as to adapt it even more to the public sector; it was subsequently launched at the second European Quality Conference in Denmark. The need to adapt the model in a way that it is more tailored to the public sector became obvious to the network because of a European study on the use of CAF that had been carried out in 2002.⁷

In 2004 the IPSG, in their meeting held in Vienna, took the decision to set up the CAF expert group to develop a draft CAF Action Plan. The CAF expert group is composed of the CAF national correspondents from the Member States, the EIPA CAF RC and EFQM representatives (see *infra*). The collaboration as such is very special, as the network operates in the spirit of consensus at European level to drive forward the development around and within the model, which is at times difficult due to distance, different public administration cultures, national agendas, funding, etc. However, the network has proven its capability to steer the CAF forward with its many initiatives and products, which will also become evident in this publication.

Since the launch of CAF in 2000, it was clear that mutual understanding and bench learning among CAF users would be a strong impetus for the success of the model in Europe. European CAF Users' Events are thus organised regularly to act as an inspiring meeting point for CAF users and to further spread TQM across the public sector in Europe. In 2003, 2005 and 2007 CAF Users from all over Europe met in Rome, Luxembourg and Lisbon at the first three European CAF Users' Events. The Romanian Presidency organised the 4th European CAF Users' Event in Bucharest in 2010. The 4th Event had a special focus on the 8 principles of excellence and the newly developed CAF External Feedback as well as the tailor-made CAF version for the education sector.

In 2004 the tradition of the European Quality Conferences was continued in the Netherlands. At this Quality Conference a CAF Master Class took place. Subsequently in 2005, not only did the second CAF Users' Event take place, as mentioned above, but a second study on the use of CAF was also conducted.⁸ The study revealed that a number of areas in the CAF needed further improvement: increase the coherence and simplicity of the model, increase the user friendliness by improving the examples and the glossary, develop a more fine-tuned scoring system for certain users, and broaden the quality approach with directives for the improvement action plans and guidelines for bench learning. Consequently the CAF was reviewed for the second time and in 2006 the CAF 2006 was launched at the fourth European Quality Conference in Finland. The result was a better definition of certain criteria and sub-criteria, an increase of the internal consistency of the criteria, the formulations and the way of evaluating and scoring.

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

⁶ all info on www.eipa.eu/CAF

⁷ EIPA, (2003), *Study for the Italian Presidency on the use of the common assessment framework in the European public administrations*, Maastricht, p. 92.

⁸ EIPA, (2005), *Study on the use of the Common Assessment Framework in European public services*, Maastricht, p. 89.

Additionally, under an initiative from the Austrian Presidency and with the cooperation of the CAF RC, the publication "CAF works" was put together in 2006. "CAF works" presents 29 good practices from 15 countries and 8 different sectors, where the use of the CAF has led to improved results.⁹

Continuing the habit of holding a CAF Users' Event as mentioned above, Portugal hosted the third of its kind in 2007, and furthermore developed together with the CAF RC a CAF movie, an attractive tool to promote CAF by showing the effectiveness of CAF in improving public sector organisations.¹⁰ In addition, the movie clearly shows the European dimension of CAF: the collaboration between the different Member States; the advantages of a strong European network and community. It is the appropriate tool to use for communication actions in an organisation, at quality conferences, etc. to demonstrate the process and results of working with the CAF model.

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

In 2010, the efforts of the first ten years culminated in reaching the goal of 2000 registered CAF users by 2010. The honours went to the Belgian High Council of Justice at the 4th CAF Users Event in Romania. Another milestone in the year of the 10th anniversary of the CAF model was the launch of the new procedure for External Feedback. By means of this procedure, CAF users can receive feedback on their CAF application from certificated colleagues from peer organisations in their country. This feedback results in the Effective CAF User Label.¹¹

At the time of writing, the CAF has been translated into 20 languages and is used in more than 2380 organisations (see table 1).

C. Evolution in the development and use of the CAF Model

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

In the *first phase* of the use of CAF, from 2000 until 2006, the emphasis was put on the introduction of TQM principles and values in the public sector by using the CAF as a self-assessment tool. Public sector organisations were not used to looking at themselves, certainly not by involving their own people. A lot had to be learned and most of the energy was put into spreading a sound methodology of self-assessment.¹²

⁹ The "CAF works" publication can be downloaded from www.eipa.eu/caf (publications section)

¹⁰ The "CAF movie" can be watched and downloaded from www.eipa.eu/caf (CAF movie section)

¹¹ The "CAF External Feedback" publication can be downloaded from www.eipa.eu/caf (External Feedback section)

¹² Staes, P., & N. Thijs, (2005), Quality Management on the European Agenda, in: *Eipascope*, 2005/1, pp.33-41.

With the revision in 2006, much more attention was dedicated in a *second phase* to the follow up of the self-assessment: the implementation of the improvement actions resulting from the discovery of many areas for improvement during the self-assessment. The success of CAF was measured by the improved managerial practices that were installed and which led to better results in the results criteria of the model.¹³

But awareness was raised in a *third phase* that it was necessary to develop further the concept of excellence that had been at the basis of CAF, but which had not been formulated explicitly enough for the public sector. If further developed, these principles could become the leading principles for building up the organisation towards the level of excellence on the basis of a sound self-assessment and an effective improvement plan. This work was done in the context of the discussions on the new Procedure for External Feedback.¹⁴

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

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

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

In the meantime, the European CAF network has also started to tailor CAF to specific sectors in public administration. The first initiative of this kind started in 2008, when the CAF network created a European working group, consisting of national correspondents and experts from the field

¹³ Thijs, N. & P. Staes (2005), The Common Assessment Framework in European public administration: a state of affairs after five years. Eipascope 2005/3, p. 41-49

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

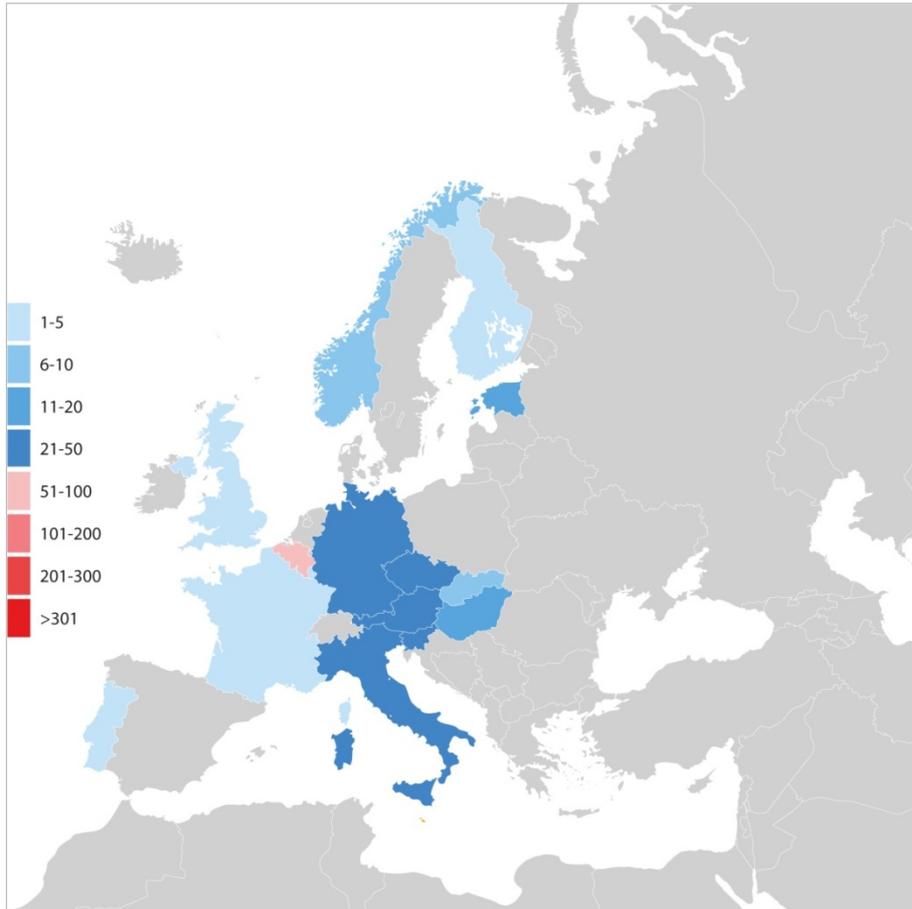


Figure 2 228 registered CAF Users in February 2005

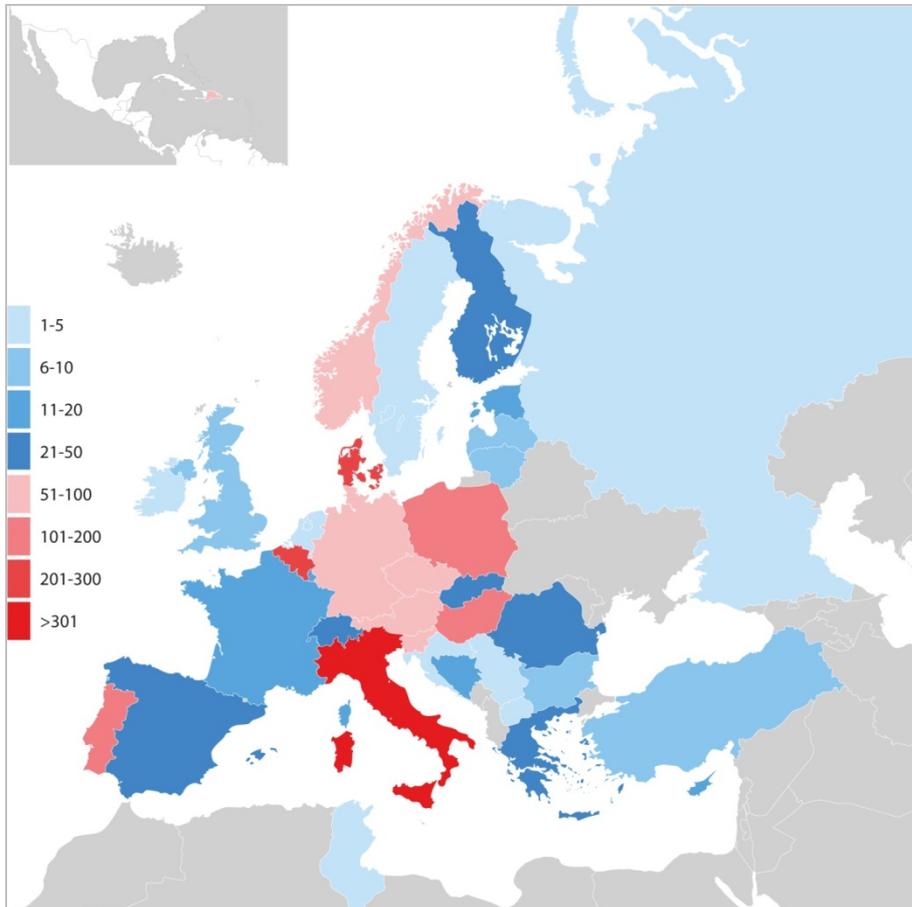


Figure 3 2066 registered CAF Users in September 2010

Remark: The Dominican Republic is shown in the upper left corner of figure 3. The following countries are not included in figure 3 (number of registered CAF users between brackets): China (2), Namibia (2) and Ecuador (1).

to develop a CAF version for the education sector. The result is the CAF and Education, which was approved by the EUPAN network in June 2010 and is available via the CAF RC website.

D. A growing international users community

At the same time, the CAF community grew from 288 registered CAF users in the CAF database in 2005 (see figure 2), 2066 users in 2010 (see figure 3), to 2382 registered organisations today (see table 1). The CAF, the total quality model for the public sector that was born and raised in Europe, has grown beyond European borders.

EU (candidate) Member States					
364	Italy	47	Romania	7	Latvia
306	Belgium	46	Spain	7	Turkey
279	Poland	44	Slovakia	7	UK
248	Denmark	42	Greece	5	Ireland
140	Portugal	19	Cyprus	5	Sweden
105	Hungary	18	Estonia	5	The Netherlands
92	Finland	17	France	3	Croatia
91	Austria	14	Lithuania	2	FYR of Macedonia
73	Germany	12	Luxembourg	1	Iceland
70	Slovenia	11	Bulgaria	1	Montenegro
66	Czech Republic				
9	EU institutions	(Council of the EU DGA2, European Court of Auditors, Europol, European Commission DG Admin, DG Trans and DG Trade, European Railway Agency and European Centre for Disease Prevention and Control)			
Beyond the EU					
86	Dominican Republic	2	Ecuador		
85	Norway	2	Namibia		
22	Switzerland	2	Tunisia		
18	Bosnia-Herzegovina	1	Chile		
4	Russia	1	Kosovo		
2	China	1	Serbia		
TOTAL: 2382 registered CAF users					

Table 1 Registered CAF Users in the CAF Database on 7 September 2011

The structure of the CAF network

The Common Assessment Framework is a product of the IPSPG (the Innovative Public Services) working group embedded in the European Public Administration Network (EUPAN). EUPAN is an informal network of Directors-General responsible for Public Administrations in EU Member States and the European Commission. It is a platform for exchange of views, experiences and good practices to improve the performance, competitiveness and quality of European central public administrations. The IPSPG working group especially focuses on quality management and the customer orientation in public administrations. The CAF, as one of the most important products of the IPSPG working group, has its own subgroup, the CAF Expert Group, which is supported by the European CAF Resource Centre.

The CAF Expert Group is composed of the CAF national correspondents (the representatives of the countries), the European CAF Resource Centre and representatives of the European Foundation of Quality Management (EFQM). The major tasks of the CAF expert group are¹⁵:

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

The CAF Expert Group meets twice a year. The meetings are organised by the Presidency – the country presiding over the Council of EU – assisted by the European CAF Resource Centre.

The European CAF Resource Centre (CAF RC) was established in May 2001 at the European Institute of Public Administration (EIPA) in Maastricht. Its mission is¹⁶:

- To be a centre of expertise in CAF implementation promoting the CAF and good practice in its use in public administrations in Europe;
- To act as a complement to, and in coordination with, the existing national centres of expertise, and with a focus on countries without a national centre of expertise;
- To be a training and consultancy centre;
- To carry out research on the use of the model and further develop it;
- To support and stimulate the European network of national CAF contacts and the community of CAF users;
- To maintain the CAF database for registered users and good practices.

¹⁵ The EUPAN-handbook, 2007, (<http://new.eupan.eu>).

¹⁶ (www.eipa.eu/caf)

Last but not least, the essential link in the international organisational structure of CAF is the CAF Users' Community. The European CAF RC, in cooperation with the CAF Expert Group, aims to register the organisations in Europe using the CAF. Therefore, a CAF database was developed on the website of the European CAF RC (www.eipa.eu/caf). Since 2003, CAF users can meet and exchange experiences at the European CAF events which are organised every two years.

Purpose and scope of the study

The purpose of this study is three-fold: (a) to collect information on the use of CAF and the dissemination and support in the Member States; (b) to analyse whether there is a need to improve the CAF model itself; and (c) to look for new opportunities to further spread its use.

Two questionnaires were developed: one for CAF national correspondents and one for the CAF users. Both questionnaires integrated the three research questions. The questionnaire for the CAF NC collects answers on these questions as follows. Firstly, The CAF NC report on the dissemination of and the interest for the CAF in their country. Secondly, they provide us with information on the support of the CAF. Last but not least, they give us their views on the future of the CAF and how the CAF model could be improved. The second questionnaire gathers information on the experiences and views of the CAF users. Firstly, we get an insight into their experiences of implementing the CAF. Secondly, we learn about their successes and failures. Thirdly, the CAF users give us an idea of what the CAF 2012 could look like.

This research report consists of two substantial parts. The first part presents the results of the CAF NC survey, the second part those of the CAF users' survey. The report ends with an overview of the main conclusions and the main points for attention from both surveys.

PART 1 The support of and vision for CAF in the Member States

The VISION of the CAF Expert Group

Budapest, January 2011

- CAF is a valuable contributor in extending the Quality culture and principles among civil servants in Europe.
- CAF is integrated in the culture of the public sector as a quality management tool, using a common language and realising improvement towards all stakeholders: citizen/customers, people, political authority and society.
- CAF is a sustainable and trusted model for public management, embraced by top management and widely implemented by public organisations in Europe with self-assessment on a regular basis.
- The CAF Expert Group is a comprehensive, dynamic and effective European CAF network based on strong and interactive regional, national and European CAF communities. Public organisations are our active partners in the dissemination of the CAF model.

Part 1. The support of and vision for CAF in the Member States

The survey for CAF national correspondents (CAF NC) who are responsible for the dissemination of the CAF in the Member States was developed by the European CAF Resource Centre. The survey was sent to all CAF NC on 4 March 2011. They were asked to return the completed survey before the end of March. The deadline was later postponed to 18 April.

A total of 21 CAF NC completed the survey, representing Austria, Belgium, Cyprus, the Czech Republic, Estonia, Finland, Germany, Greece, Hungary, Italy, Latvia, Lithuania, Luxembourg, Norway, Malta, Poland, Portugal, Romania, Slovakia, Slovenia and Spain.

As some of the CAF NC did not answer all the questions, the number of answers will be indicated with each question. Look for the 'n' between brackets.

1. Profile of the CAF NC in the Member States

All the CAF NC work for public organisations; six CAF NC work together with a national partner to disseminate the CAF in their country. These countries are Austria, Germany, Italy, Lithuania, Luxembourg and Spain. Three of these six national partners are public organisations; the other three are non-profit organisations.

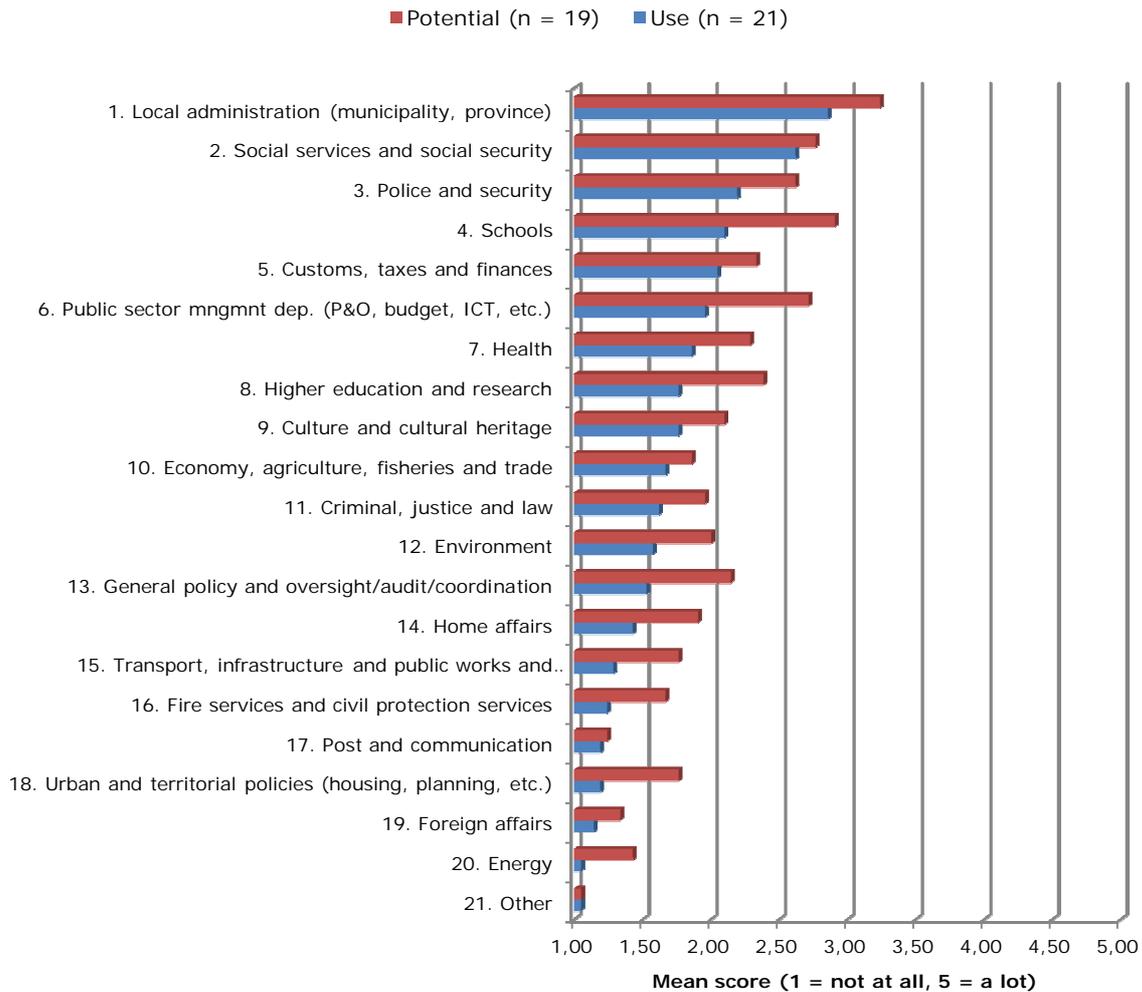
2. The use, potential and impact of the CAF in the Member States

2.1 The use and potential of the CAF per sector

The CAF NC were asked for an estimation of the use and the potential of the CAF in their country per sector. They could indicate a score ranging from 1 (no activity/potential at all) up to 5 (a lot of activity/potential). They were advised to use the number of organisations that use the CAF in each sector as an indicator for the use of the CAF. Likewise, the number of organisations that expressed the intention to use the CAF in the future served as an indicator for the potential of the CAF.

Graph 1 shows the mean scores for the use and the potential per sector. The means are calculated from a total of 21 answers for the use (n = 21) and a total of 19 answers for the potential (n = 19).¹⁷

¹⁷ The 'n' represents the number of CAF NC who answered with *one or more* sectors. Some of those 'n' CAF NC only answered for a part of the sectors. Sectors that they did not answer were scored as 1 (not at all).



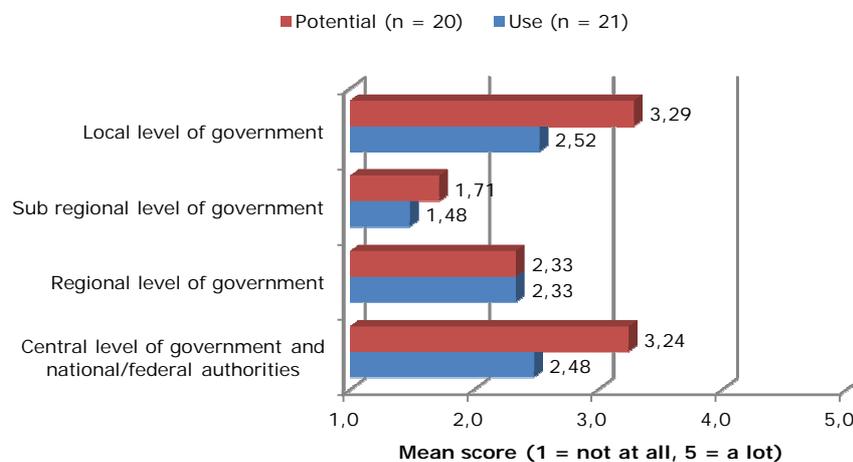
Graph 1 Use and potential of the CAF per sector

A first conclusion is that there is still a possibility for growth in each sector, particularly in those sectors that already have the most CAF users. Most organisations using the CAF (use) are from the sectors of local administrations, social services and social security, police and security, schools and customs, taxes and finances. These are also the sectors where most organisations have expressed the intention to use the CAF in the future (potential). Other sectors with potential to grow (i.e. the sectors with more than 2,00 out of a maximum 5) are the sectors of health, higher education and research, culture and cultural heritage and general policy and oversight. Future dissemination strategies could focus on the sectors with fewer CAF users and thus fewer ambassadors, e.g. events for specific sectors.

2.2 The use and potential of the CAF per government level

As with the use and potential of the CAF per sector, the CAF NC were asked for an estimation of the use and the potential of the CAF in their country per government level. They could indicate a score between 1 (no activity/potential at all) to 5 (a lot of activity/potential). They were advised to use the number of organisations that use the CAF at each government level as an indicator for the use of the CAF. Likewise, the number of organisations that have expressed the intention to use the CAF in the future served as an indicator for the potential of the CAF.

Graph 2 shows the mean for the use and the potential per government level. The mean is calculated from a total of 21 answers for the use (n = 21) and from a total of 20 answers for the potential (n = 20).



Graph 2 Use and potential of the CAF per government level

Based on the assumptions from the CAF NC, mostly organisations from the local and central government level have expressed the intention to use the CAF in the future; in other words, those who score high in use still have a lot of potential to grow.

2.3 The impact of the CAF in the Member States

The maps in the introduction show that the CAF is widespread over the European continent and even beyond. It is however not sufficient to look at the number of CAF users per country to study the impact of the CAF in the Member States. The number of CAF users simply does not capture the entire picture. Therefore, the CAF NC were asked to provide us with an estimation of the extent to which the CAF stimulates a change of culture in the public sector in their country.

None of the CAF NC answered that the CAF has no impact at all. Four CAF NC answered 'to limited extent' (Latvia, Norway, Slovakia and Spain); twelve CAF NC answered 'in a modest way' (Austria,

Cyprus, the Czech Republic, Estonia, Finland, Germany, Greece, Hungary, Lithuania, Luxembourg, Malta and Poland); and five CAF NC answered that the CAF stimulates change in the public sector of their country to a 'very large extent' (Belgium, Italy, Portugal, Romania and Slovenia). These findings are summarised in the map below (see Figure 4).

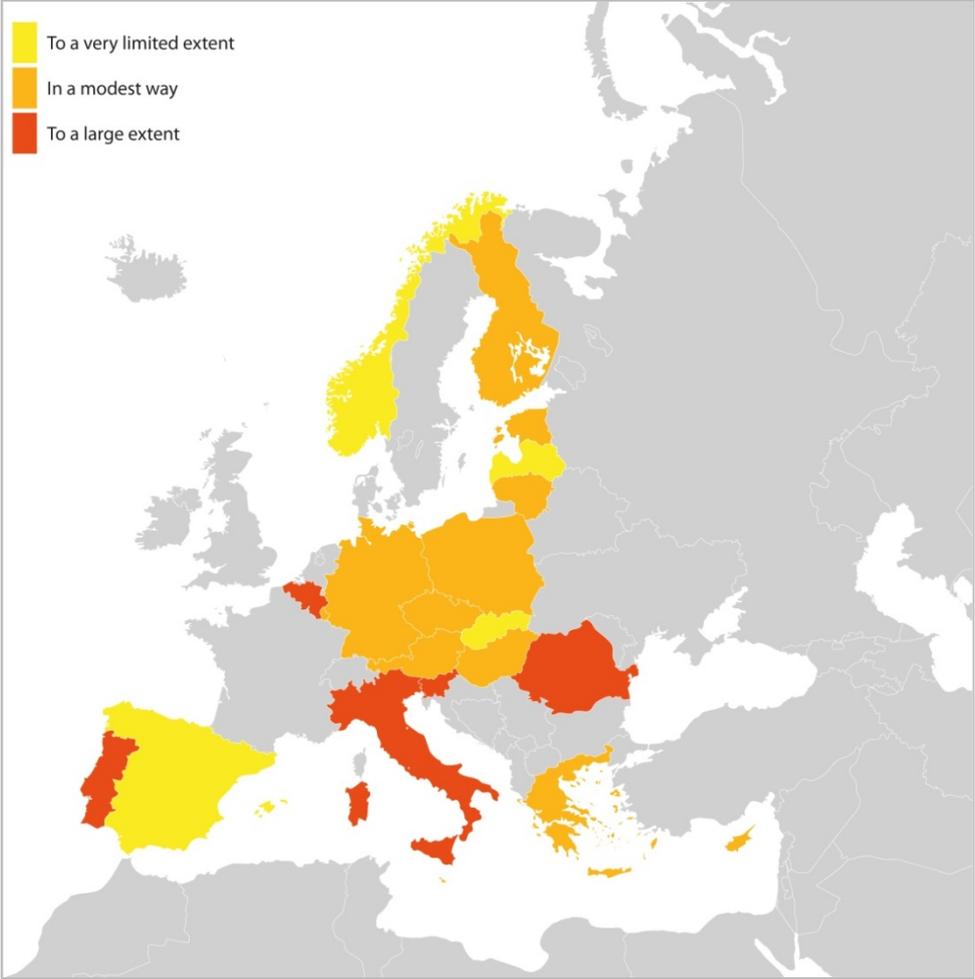


Figure 4 Impact of the CAF in the Member States

Furthermore, the CAF NC were asked to provide us with concrete examples of the impact of the CAF in their country (see table 11 in appendix 4 for the answers per country). It is clear that the impact of the CAF on the public sector of a country is strongly related to the number of CAF users in that country; the testimony of Italy makes this very clear. They report a change of culture at political level as well as on the level of the individual public organisations.

"Over the past 10 years more than 1500 Italian administrations took part in the CAF model promotion initiatives and the implementation actions and nowadays more than 350 Italian administrations have already used the model and many others are interested in doing the same. This result was stimulated by means of some relevant political acts [...] So the CAF has on one side stimulated a change of culture at political level, with an increased focus being given to the assessment of the performance and the process of continuous improvement. On the other hand, the CAF has contributed to spreading a culture and a practice of self-assessment among a relevant and always increasing number of Italian PAs."

Italy

In some other countries, the CAF is not yet sufficiently widespread to deeply change the public sector as a whole, but the model certainly has a big impact on the organisations using it. The CAF is seen as a starting point to create a culture of change in public organisations and in the public sector. Based on the feedback that they received from organisations, the CAF NC conclude that experience with CAF helps organisations with the implementation of various good practices such as:

- the introduction of the PDCA cycle in the management of organisations;
- raising awareness for the identification of stakeholders;
- implementing management by objectives based on evidence-oriented results and stakeholders' expectations;
- improving communication in all directions, both top-down and bottom-up;
- bench learning;
- raising awareness of the importance of organisational values and developing a code of conduct;
- and installing more transparency, more accountability and more empowerment.

"One of the experts, a practitioner, I've questioned about it has written about deep changes in people's mindsets and new attitudes, especially in an area of team work. The changes are more often at local government level, but not exclusively. Another says that the *"CAF exercise in many public institutions is often the first experience of real teamwork, ownership and shared responsibility. It switches management & employee focus from the internal perspective to the external one, spotting citizen/client interest and building awareness of ethical behaviour"*. [...] Before the CAF started, the only worry was to report the number of decisions, dossiers, etc. The CAF made people understand that those measurements only matter when the results are compared with the goals of the organisation."

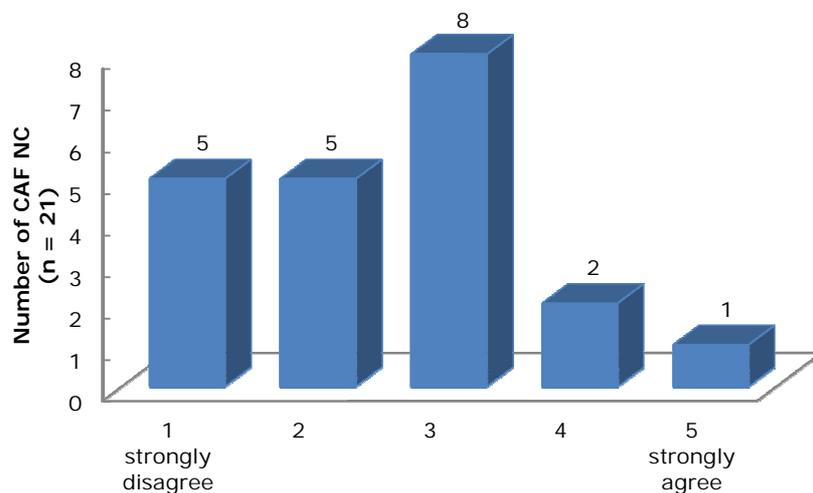
Poland

3. Improvement of the CAF

Previous improvements of the CAF resulted in the CAF 2002 and 2006 versions. Chapter three presents the views and suggestions from the CAF NC on the improvement of the CAF 2006. The wording, the criteria and themes, the principles of excellence as well as other suggestions are discussed.

3.1 The wording

Although the CAF is custom made for the public sector, some users still experience the wording of the CAF to be an obstacle (see part 2, title 3.6). The CAF NC were asked if the CAF should be rewritten in a more accessible way, adapting the wording more to the public sector context. The CAF national correspondents in favour (scores 4 and 5) represent Austria, Estonia and Poland. The CAF NC from Belgium, Cyprus, the Czech Republic, Finland, Greece, Hungary, Italy, Lithuania, Norway and Slovakia do not see the necessity (scores 1 and 2). The remaining eight CAF NC (Germany, Latvia, Luxembourg, Malta, Portugal, Romania, Slovenia and Spain) are neither in favour of nor against the rewriting of the CAF (score 3). We can conclude that the previous efforts to improve the wording of the CAF, which resulted in the CAF 2006, have been effective. Eighteen countries do not want to spend too much energy in rewriting the CAF. This is reflected in a mean score of 2,84 out of a maximum of 5. Nonetheless, attention should be paid to make the wording even more specific to the context of the public sector.



Graph 3 Opinion of the CAF NC on improving the wording of the CAF

3.2 Criteria and themes

The Common Assessment Framework has three building blocks, symbolised by the arrows: 'enablers', 'results' and 'innovation and learning' (see Figure 5). The first two blocks cover nine criteria, presented in the nine-box structure. These criteria represent the most important aspects of an organisation. Each criterion is further broken down into a list of sub-criteria. The 28 sub-criteria identify the main issues that need to be considered when assessing an organisation. They are illustrated by examples that explain the content of the sub-criteria in more detail and suggest possible areas to address, in order to explore how the administration meets the requirements expressed in the sub-criterion.

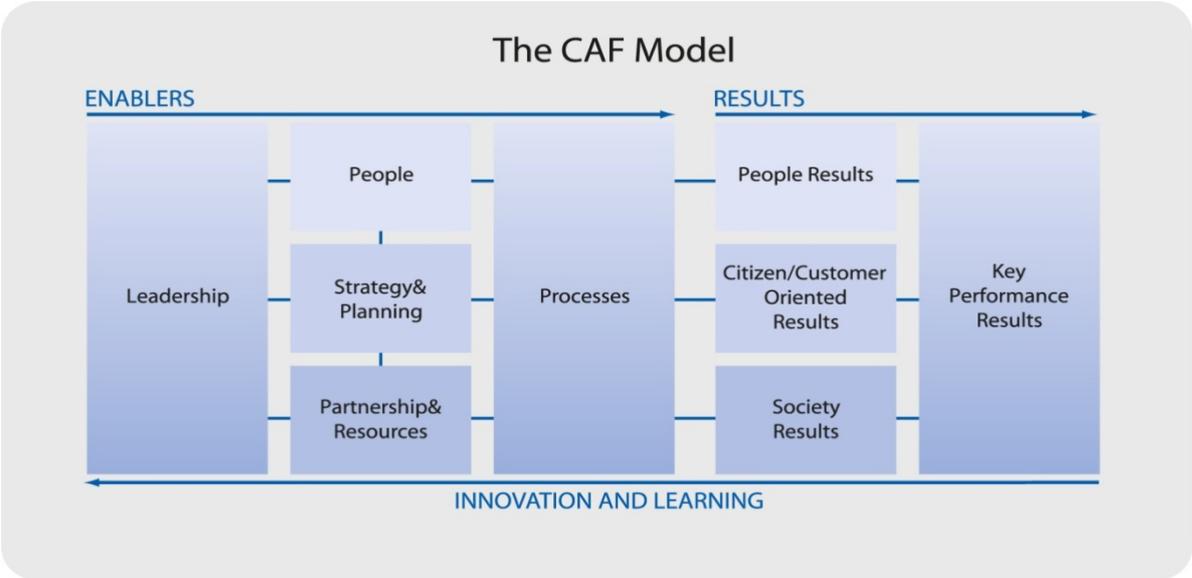
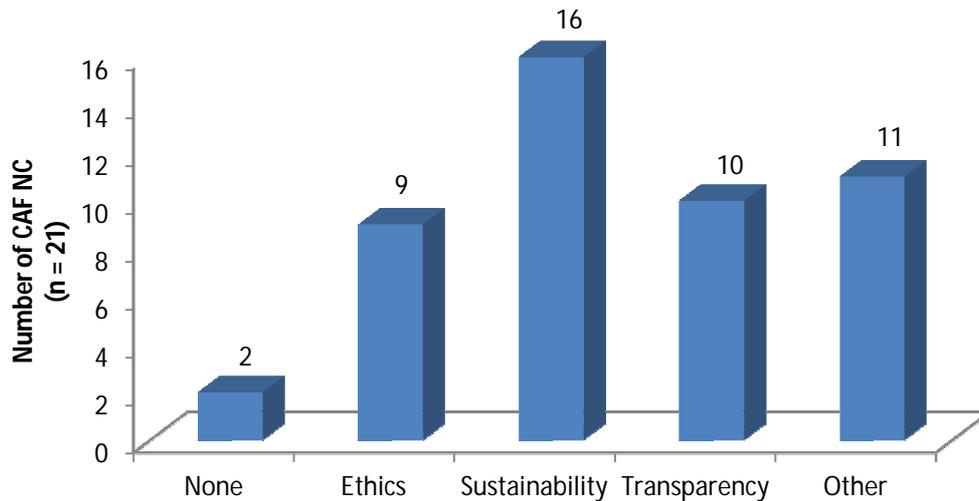


Figure 5 The Common Assessment Framework

Because the most important aspects of an organisation in 2006 might differ from those today or tomorrow, the CAF NC were asked whether or not new criteria and/or themes should be integrated. Their answers are shown in graph 4.



Graph 4 New themes to be integrated in the CAF according to the CAF NC

Two CAF NC answered that no new criteria or themes should be integrated in the CAF model. They are fully satisfied with the CAF 2006. The other CAF NC indicated sustainability as the most important new theme, followed by transparency and ethics. Other suggestions were (see table 12 in appendix 4 for the answers per country):

- Risk management
- Open government, open government data
- Activating citizen, co-decision, co-production
- Social media
- eGovernment, the shared use of data and interoperability
- Demography and its impact on personnel recruitment and the services that have to be provided to customers/citizens
- Health management as part of human recourse management (e.g. stress at work)
- Equal opportunities
- Structuring and organising the organisation
- Guidelines on the integration of the CAF with existing law/regulation on internal audit and management audit
- The results-side of the CAF in relation to accountability
- Process budgeting
- Innovation and creativity
- Public marketing
- Continuity of the improvements: indicators for the evaluation of the realisation of the improvement plan
- A better explanation and visibility of the communication aspects in the different criteria
- More attention to financial themes (e.g. financial effectiveness)

3.3 The principles of excellence

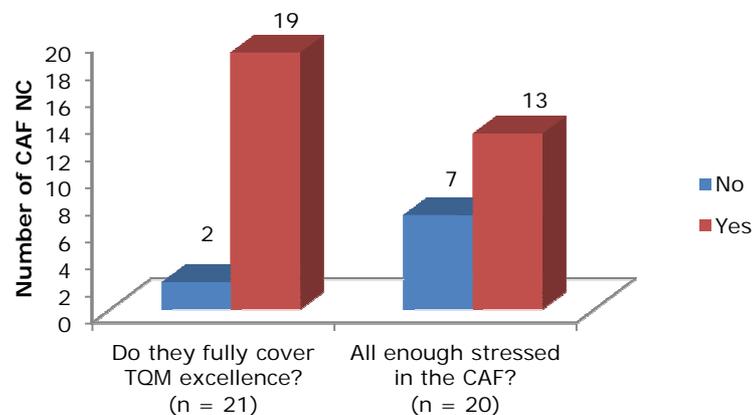
Facilitating a good self-assessment is not the sole purpose of the CAF. The actual goal is to improve organisations and help them grow towards excellence. Excellent organisations perform on the principles of excellence, which are explained in the next page. The CAF NC were asked two things. The first question was if those eight principles fully cover TQM excellence. Secondly, they were asked which aspects of excellence are not stressed enough throughout the CAF model.

Most CAF NC agree that the eight principles fully cover TQM excellence (left side of graph 5), but one-third doubts that all the principles are stressed enough in the CAF (right side of graph 5). Some feel that the principles of excellence as a whole should be emphasised more as the fundamentals of the CAF, others ask for more stress and explanation of:

- Corporate social responsibility (including sustainability, environment, etc.)
- Partnerships
- Innovation and creativity.

Two other suggestions were:

- stress the relation between the principles of excellence and the principles of good governance. These could help to better understand the eight principles of excellence.
- adapt the principles to the revised concepts of the EFQM model, which are much more inspiring now (they should not be copied of course).



Graph 5 Opinion of the CAF NC on the principles of excellence

3.4 Other suggestions

In addition to the impressions of the CAF NC about the wording, the completeness of the criteria and the stressing of the principles of excellence, a lot of other suggestions were collected. These suggestions were summarised and divided into seven topics: the criteria, the examples, customisation of the model, the self-assessment, the scoring system, definition and follow up of the improvement plan, and the comparison between CAF users.

The principles of Excellence

Principle 1: Results orientation (RO)

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

Principle 2: Citizen/Customer focus (CCF)

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

Principle 3: Leadership and constancy of purpose (LCP)

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

Principle 4: Management by processes and facts (MPF)

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 (PDI)

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 (CLI)

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

Principle 7: Mutual beneficial partnership development (MBP)

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

Principle 8: Corporate social responsibility (CSR)

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



Suggestions on the criteria of the CAF

- **Criterion 1: Leadership**

It was argued that 'Mission' is somewhat overstressed. In the public sector the organisation's mission can hardly be defined freely; that is why a mission statement might be less important than in profit-oriented organisations. A vision is an important part of strategy development. The suggestion was to change Criterion 1.1. and to emphasise the difference.
- **Criterion 2: Strategy and planning**

The first suggestion was to name this criterion 'strategy' because the word 'planning' does not really add any substance to the enabler. A second remark was that the development of a strategy is not explicitly described in the sub-criteria and should be added to complete them. This example was also used for a more general remark: the PDCA cycle should be more consequently worked out in the model.
- **Criterion 3: Partnerships and resources**

Firstly, networking between governmental institutions might be worked out more precisely (the word 'networking' should be used), according to some CAF NC. Secondly, new developments in this area should be discussed and integrated, e.g. technological innovations, civic participation in terms of responsibility for services (on an honorary basis), etc.
- **Criterion 5: Processes**

Here too, it was suggested to change the name of the enabler to 'Processes, products and services'. The argument is that there is no process without a product/service, so the product should always be an important focus of process design. This new focus can avoid a too narrow accent on efficiency as a goal of process improvement. Furthermore, internet-based services and the possibility to use different ways of access to governmental services were highlighted as point for attention. They are seen as an important way to improve the customer focus.
- **criterion 8: Society results**

The central goal of public sector organisations is to have an impact on society. It is part of their mission, their strategy and their day-to-day activities. Therefore the suggestion is to more precisely emphasise in the criterion and in the sub-criteria what kind of society results are meant.
- **Criterion 9: Key performance results**

Three comments were given on this criterion. The first comment is a more general one: the results should fit more exactly with the enablers. The latter should be 'reflected' by the results. The second comment concerns sub-criterion 9.1., which is described as a collection of quite different results, presented in a rather piecemeal way. Lastly, a definition is requested of the kind of indicators that are relevant to measure process performance, for example 9.2.g.

Suggestions on the examples in the CAF

- There are too many examples quite similar in the different sub-criteria and this makes the CAF application more difficult, especially for beginners.
- Some examples are difficult to assess by mean of the PDCA-based scoring system because they are formulated in terms of review, check, etc.
- The term 'management information system' in example 1.2.f (criterion leadership) should be explained in the glossary.
- The ways in how stakeholders can be involved in the development of the organisation's management system needs further explanation in example 1.4.d (criterion leadership). It is difficult for CAF users to come up with examples.
- Criteria 8 and 9 (society results and key performance results) should be enriched with examples because they are the most difficult criteria for the CAF users to understand clearly.

Suggestions on the customisation of the model

- The examples should be differentiated in relation with the type of the organisation (i.e. an independent one vs. a unit of more hierarchical structure).
- The model should be customised for all sectors.

Suggestions on the self-assessment with the CAF

- The part concerning the guidelines could be improved by adding examples of self-assessment reports to promote the diffusion of good practices in the self-assessment process itself.
- Develop a small and simple guideline/handbook on how to analyse the results and how to draw up a report. Even those with well educated staff have little training in doing this.

Suggestions on the scoring system

- There is still demand for a simplification of the scoring system, whilst there is also demand for a further alignment of the CAF fine-tuned scoring with RADAR scoring in the EFQM model and the inclusion of the possibility of weightings.
- Better explanation of the scoring system of the results because of problems in the practical usage.
- The scoring system is critical to check the evolution of the organisation's performance over time. This requires a comprehensive and uniform application of the scoring system, namely the fine-tuning.

Suggestions concerning the definition and follow up of the improvement plan

- More stress on the main CAF output: the improvement plan.
- Detailed guidelines for the definition of the improvement plan.
- More information to prioritise improvement actions.

- Some sort of scorecard for the follow up of the improvement plan on a quarterly, half-yearly or yearly basis.

Suggestions concerning the comparison between CAF users

- The comparison between organisations has so far been unsuccessful. The database via the eTool does not help. The country databases might be more efficient.
- Publish the conclusions from external feedback processes. It would be interesting to know what the most common failures and what the best practices are.

Based on the findings of the CAF NC survey, we can conclude that the fundamentals of the CAF 2006 – the themes, criteria, principles of excellence and wording – do not need much reconsideration: they are up to date and they work. The improvement efforts in 2012 will have to concentrate on further fine tuning the model. These suggestions of the CAF NC will lead the way, together with the opinions of the CAF users, in part 2. The first steps have already been taken with the development of the CAF External Feedback. The improvement plan and the principles of excellence have been emphasised and the principles have been explained in detail.

4. Dissemination of the CAF

This chapter presents the evolution of the CAF in the Member States, as well as the supporting actions at national and European level.

4.1 Evolution of the CAF in the Member States

The map below summarises the descriptions of the evolution of the CAF in the Member States during the past two years. The map is based on the estimations of 21 CAF NC. None of them think that the use of the CAF is decreasing in their country; four estimate that it is stable (Cyprus, the Czech Republic, Hungary and Luxembourg); and 17 indicate that the use of the CAF is increasing (Austria, Belgium, Estonia, Finland, Germany, Greece, Italy, Latvia, Lithuania, Malta, Norway, Poland, Portugal, Romania, Slovakia, Slovenia and Spain).

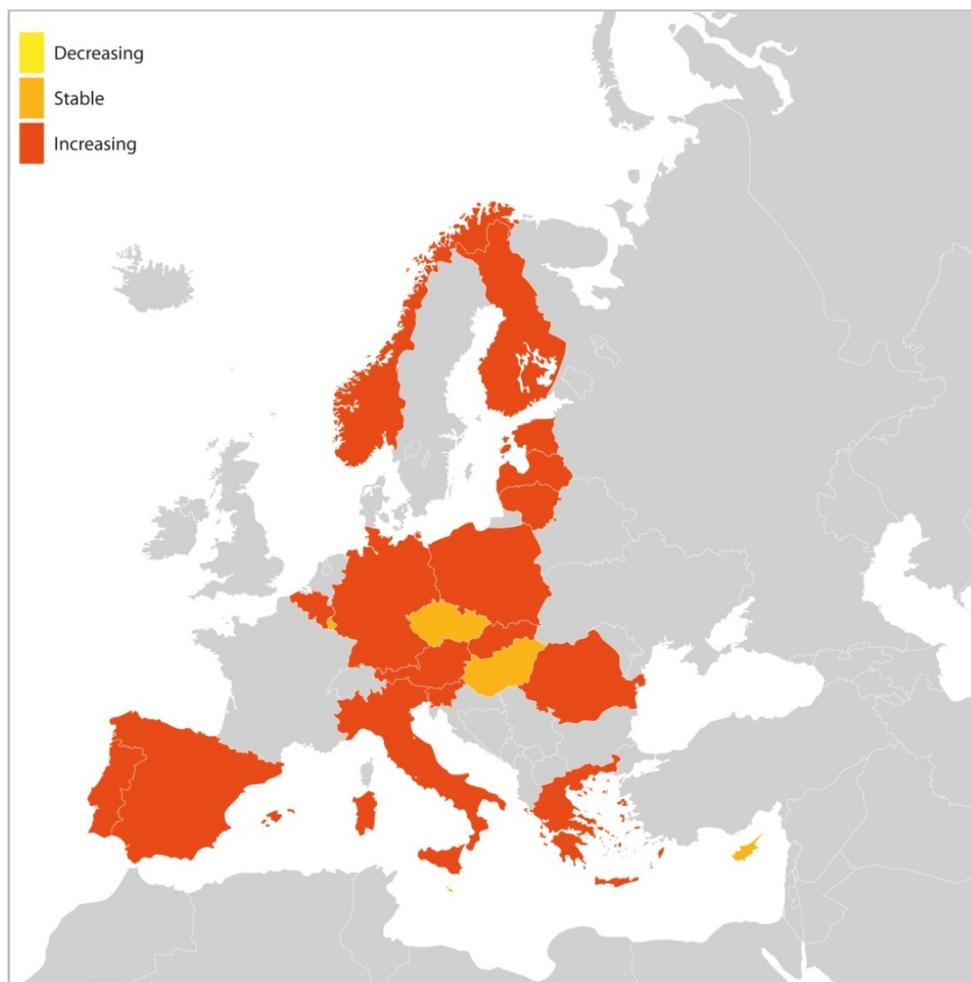


Figure 6 Evolution of the CAF in the Member States

The CAF NC were also asked what are or were, in their opinion, the main reasons for this evolution. We summarised the reasons and made a distinction between reasons for progress and reasons for stagnation or decay (see table 13 in appendix 4 for the answers per country).

Reasons for progress

- *The benefits of the CAF itself.* One of the main benefits of the CAF is the relative simplicity of the model and the possibility to use it in a free way. Furthermore, the CAF is seen as a primary alternative for quality systems such as ISO, because of costs, convenience, flexibility (scope, customisation) and its value irrespective of certification/labelling.
- *The visibility of the CAF and of the experiences with the model.* The organisations responsible for the dissemination of the CAF in the Member States have an important role in communicating its advantages. First of all, a good communication strategy is crucial. Secondly, national conferences, events, a website, etc. most definitely pay off. These are ideal occasions to spread best practices.
- *Easy access to information, training and coaching.* A website dedicated to the CAF is perfect for unlocking the access to tools and documents for CAF application. Also brochures with practical information will help. Some countries have taken it even further and developed a national CAF Resource Centre (e.g. Germany and Italy) as a central point for CAF users. These resource centres provide coaching and training for CAF users.
- *Stimulating activities.* A popular and effective initiative appears to be the organisation of a public sector quality award based on the CAF (e.g. Estonia and Greece). Other stimulating activities are for example interdepartmental working groups on the CAF (e.g. Germany).
- *Support from the top government level.* One of the most important reasons for an increasing evolution of the CAF is political commitment and a supporting policy.
- *Ambassadors.* Change takes time, partly because a lot of people have to be convinced of its added value. The importance of CAF ambassadors can therefore not be underestimated. They motivate others to use the CAF, mostly based on their own experiences. The best recommendation for organisations is the one given by peers.
- *Increasing awareness of public managers* of their responsibilities in the quality of delivered services.
- *The current financial situation.* The pressure on public services to be more effective, cost-efficient and concerned with performance assessment and customer/citizen satisfaction has led them to the CAF.
- *Cooperation with various partners* (e.g. in education and training).

- *Customisation of the model.* Both the customisation of the model for some strategic and pervasive sectors as well as the translation of materials into the own language are beneficial for the dissemination of the CAF.
- *Financial support* by the European Social Fund (ESF) (e.g. Latvia, Lithuania and Poland).

Reasons for stagnation or decay

- Other priorities and running projects;
- Lack feedback for further improvement;
- Change of government and changes in political priorities;
- Lack of communication.

4.2 Requirements and conditions to disseminate the CAF

In order to maximise the dissemination of the CAF in the Member States, the most important requirements and conditions now and in the future should be known. The reasons for progress, stagnation and decay mentioned above, cover the basic requirements and conditions. The contributions from Lithuania, Luxembourg and Portugal in the blue text boxes give an additional overview (see table 14 in appendix 4 for a full list of the requirements per country).

Unfortunately, the realisation of the best actions to support the dissemination of the CAF is sometimes faced by obstacles (see table 15 in appendix 4 for an overview of the obstacles per country). The biggest obstacles are by far the lack of political support and the lack of resources for the dissemination of the CAF. What's more, these two obstacles are interrelated. If quality management is not an important political goal, the CAF will not be integrated in governmental strategies. This implies that no resources will be foreseen. The lack of resources to organise activities implies financial as well as human resources in terms of full-time positions. In some countries, it is not even clear which organisation/institution should take up the task to disseminate the CAF. Other obstacles linked to failing political support for the CAF are the lack of a legal foundation for quality management and the promotion of other quality tools. Other obstacles that are more linked to a lack of resources are the absence of bench-learning activities (conferences, training, database of best practices, etc.) and recognition (e.g. national CAF award).

"In order of importance:

1. Engagement of CAF in ongoing government measures to improve performance and quality in public services;
2. Commitment of the national CAF Agency leadership to facilitate and drive forward dissemination actions;
3. Allocation of resources to CAF activities."

Portugal

"Support of EU structural funds for the implementation of quality management models. Continuous publicity and promotion (through conferences, publications, internet) on the national level."

Lithuania

Last but not least, some countries struggle with the need for informed top managers and experienced experts in their public organisations. As mentioned earlier, top management support is seen as a crucial factor for the successful dissemination of the CAF. Their knowledge of the model and quality management is fundamental for their support. Furthermore, the lack of experienced coaches and experts in public institutions creates a shortage of change agents and project leaders.

“[It is important] to create a network of CAF users, to create a dynamic of change and exchange, to have the full support of political leaders.”

Luxembourg

These obstacles will be points of concern for the European CAF Expert Group in the future. Already some suggestions can be made based on the contributions of the CAF NC.

In Italy, public administrations using CAF were given the opportunity to have people with specific requirements trained as CAF assessors. This allowed their internal knowledge on the model to be enhanced so that they could start, in the light of their national award based on CAF, peer evaluation. New opportunities now offered for this approach are possible with the implementation of the CAF external feedback procedure. Latvia suggests that organising an event for high-level executives might be effective to introduce the CAF since they are the decision makers. The presenters would also be top executives relaying their best practice. Portugal finally suggests connecting the CAF as much as possible with ongoing governmental improvement projects. This can stimulate political awareness.

“Take care of the key persons (the CAF ambassadors of your country) who are active in the field! They are the ones who can make it happen in the administration. Listen to them. They know what is going on in ‘the real world’.”

Finland

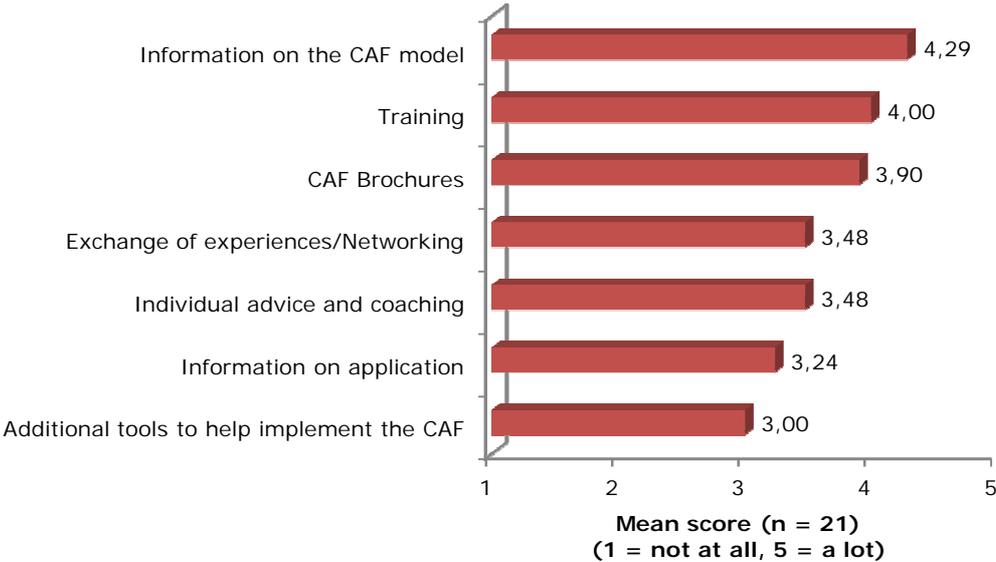
5. Support at the national level

This chapter presents the findings to the questions on the support for the CAF at the national level, including support from the CAF NC, specific CAF versions, the extent of external support, the preparations for the procedure on external feedback, national databases and bench learning.

5.1 Support from the CAF national correspondents

In order to get an impression of the support from the CAF national correspondents, we asked them to indicate which support is requested from them, how they meet these requests and which actions are planned for the future.

Graph 6 shows the support organisation request from the CAF national correspondents. The CAF NC had to indicate a number from 1 (not requested at all) up to 5 (requested a lot). The graph is based on the mean scores. Information on the CAF model and training are requested most.



Graph 6 Support requested from the CAF NC

The CAF national correspondents invest in a variety of provisions to meet these requests. The most important can be categorised as promotion, networking, providing information, training, advice and coaching, rewarding and bench learning, and helping in finding financial resources. We will elucidate each of these forms of support with examples of the Member States. This overview is based on the answers on an open question in the survey. It is therefore absolutely not a complete picture of all the support in each individual Member State; it is rather an inspiring selection.

A lot of CAF NC invest in *promotion*. Slovakia has carried out a huge mailing and telemarketing campaign. Austria has developed marketing material. The Belgian CAF NC gives speeches to the boards of directors. The Finnish CAF NC visits different courses and seminars and attends meetings of the regional networks to promote the model. In Spain, the CAF is advised as an excellence model to assess and certify the quality of organisations; new CAF products are also being promoted. Lithuania invited experts from the European CAF Resource Centre to the 4th CAF national conference in Vilnius to explain the CAF External Feedback procedure.

A second important task of the CAF NC is to support *networking* between CAF users. Many Member States organise events for networking and exchange of experience between users (e.g. Cyprus). These events come in many forms: national CAF days (Austria), CAF national conferences (Lithuania and Romania), national seminars (Finland), quality conferences (the Czech Republic and Slovakia), CAF user meetings and CAF info days (Germany), audio conferences and workshops for CAF users (Portugal). Furthermore, a more individual approach of supporting networking is possible. The Finnish CAF NC, for example, visits those managers of organisations planning on using CAF, and connects them with more experienced CAF users.

Providing information on the CAF is the third type of support. Firstly, the CAF NC provide brochures and documentation adapted to their country and language (e.g. Austria, Belgium, Cyprus, Finland, Greece, Italy, Lithuania, Romania and Slovenia). Some countries also provide best practices (e.g. Italy) and PowerPoint presentations for training (Hungary). Secondly, many Member States have a website (e.g. Austria, Finland, Greece, Lithuania, Romania, Slovenia, Slovakia, etc.), some with FAQs (e.g. Germany) or free additional tools to implement the CAF (e.g. Portugal). Thirdly, some Member States send newsletters to the CAF users on a

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

Informing public organisations. The Directorate has translated and published the CAF 2006 into Greek and compiled a Guide on CAF which provides guidelines on how to implement CAF. Moreover, two circulars were issued, the first providing general information on CAF and the second providing guidelines on team building and the role of the team president/leader of the self-assessment team. The Directorate has also created a special section within the General Secretariat of Public Administration and E-Government website (www.gspa.gr) where information regarding quality and efficiency can be found, including CAF publications and supporting documents.

Training public organisations' personnel. In order to train potential or current CAF users, as well as disseminate CAF among public servants and public organisations, the National Centre of Public Administration is organising training programmes. These programmes train employees working in central, regional and local government organisations on Quality Management and the use of CAF. In addition, targeted seminars on CAF for specific public organisations like Ministries, Local Government Agencies, etc. are also organised.

Providing support to CAF users. Maintain regular contact and provide technical support to public organisations wanting to apply the CAF.

Identifying and rewarding best practices. As mentioned above the CAF was linked to the National Quality Award.”

Greece

"We have worked out the CAF implementation plan for the years 2011-2012 together with the Finnish Association for local and regional authorities. In order to finish the plan, a workshop with the CAF users was also organised. We intend to continue the already existing activities with slightly increased manner and also organise new things, such as PEF."

Finland

regular basis (e.g. Finland and Slovakia). Moreover, Greece issued two circulars, the first providing general information on CAF and the second providing guidelines on team building and the role of the team president/leader of the self-assessment group.

Training and/or seminars is another important type of support delivered by the CAF NC (e.g. Austria, Belgium, Cyprus, Greece, Hungary, Italy, Lithuania, Romania and Slovenia). Different approaches are possible. In Austria, the training is organised by the national partner. The Belgian CAF NC not only trains employees of organisations but also other trainers ('train the trainers'). Estonia provides information seminars and training based on the individual needs of the agencies. As is the case for Estonia, Hungary provides training on demand. Portugal organises e-learning and b-learning. And whilst some CAF NC have the resources to provide free training (e.g. Slovakia), others are trying to keep it manageable for themselves as well as for the organisations using CAF (e.g. Finland)

Besides training before the start of the CAF application, CAF NC also provide *advice and coaching* during the journey of the self-assessment and the development of the improvement plan (e.g. Austria, Belgium, Cyprus, Greece, Italy, Lithuania, Romania, Slovenia, Slovakia, etc.). Here we also find different approaches. Germany offers individual coaching for the management and for the project leaders. Hungary and Portugal give support by email or phone. Malta has meetings with the organisations to explain the process and answer questions. And Luxembourg has developed a support programme with different support actions for four stages in the CAF process (the self-assessment, the definition of the action plan, the implementation of the improvement actions and measurement, capitalisation and transfer) containing project management, training activities, preparatory workshops and information meetings, support documents and coaching if requested.

"I hope to establish a national CAF Resource Centre and provide advice, consultations and training. As this is not the national priority, this activity could be delegated to an appropriate NGO."

Latvia

Rewarding the CAF users and stimulating bench learning is a sixth common support delivered by the CAF NC. Organisations can be rewarded through a National Quality Award (e.g. Greece, Spain, etc.) or with a certification as recognition for CAF application (e.g. Hungary and Spain). Bench learning also has many forms. Romania developed a methodology in order to allow public institutions to exchange experiences on CAF implementation, whilst Italy uses peer evaluation and learning labs. Rewarding CAF users through a certification and peer evaluation is expected to become more widespread when countries invest in the promotion of the CAF External Feedback and the Effective CAF User Label.

Some CAF NC also play a role in the *financing* of CAF applications. The Polish CAF NC, for instance, has run an ESF CAF project for 70 organisations in 2008-2009 and will probably develop another one in 2012-2014. Also in Lithuania, 60 projects to implement quality management instruments (including the CAF) were approved.

The support of the CAF NC is free of charge in almost every Member State (21 CAF NC answered the question). Two CAF NC (Portugal and Slovakia) indicated that the support is partly for free. For example, training has to be paid for in Portugal. In Austria and Poland, the organisations have to cover themselves. However, some Polish organisations can rely on ESF funding.

“An ESF project has been applied for in order to ensure training provisions for the CAF National Authority, potential CAF users and PEF assessors.”

Malta

Most CAF NC want to continue their current support and plans (e.g. Cyprus, Estonia and Greece), with additional efforts to realise the CAF External Feedback (e.g. Austria, Finland, Hungary, Lithuania, Malta, Slovakia and Italy). Some, however, also have new plans, for example: organising an annual CAF day (Austria); building a national CAF team by transferring knowledge to young colleagues (Belgium); searching for sustainable solutions for the future when ESF funds are no longer available (Poland); motivating employees of successful CAF user organisations to facilitate new CAF users (Germany); establishing a pool of experts (Slovenia); establishing a national CAF RC (Latvia), etc. Some examples are highlighted in the blue boxes.

“[In the future we want to] disseminate CAF in the new government offices through launching training or pilot projects, giving guidelines for application on a regular basis. Stimulate the use of the CAF online system instead of paper-based assessment. Launch the procedure of external feedback. Publish the translation of the PEF. Measure the needs towards PEF among CAF users. Send potential feedback actors for training to EIPA. Introduce the PEF.”

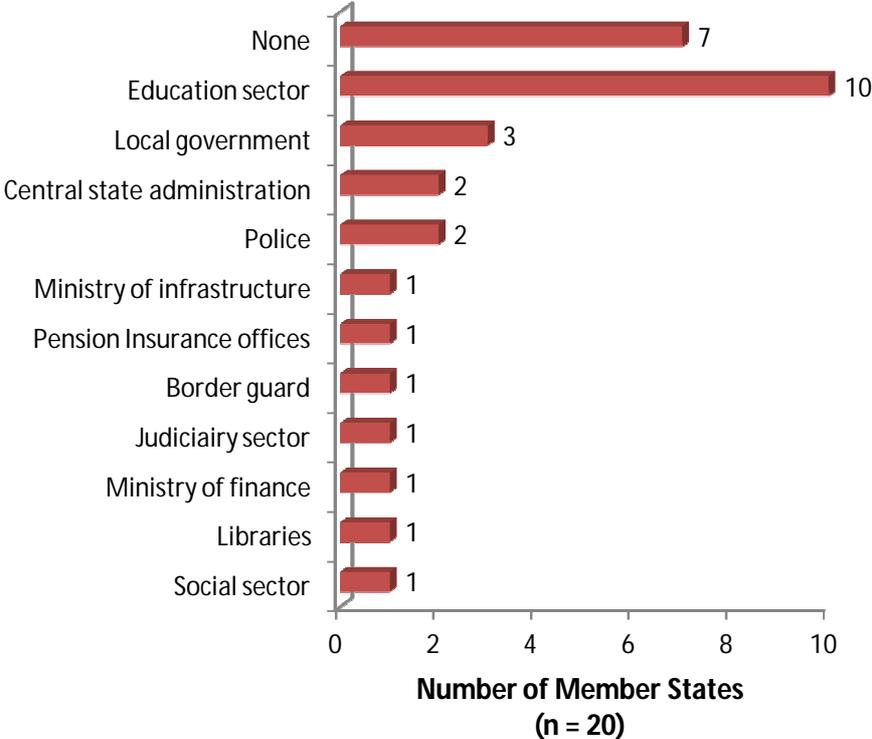
Hungary

“CAF clearly figures in Luxembourg’s ‘Administrative Reform Action Plan 2010-2014’. The aim is to support 5 to 10 administrations every year in their CAF approach. Moreover, we continually adapt our ‘CAF Programme’ by regularly conducting a survey among national CAF users.”

Luxembourg

5.2 Specific CAF versions

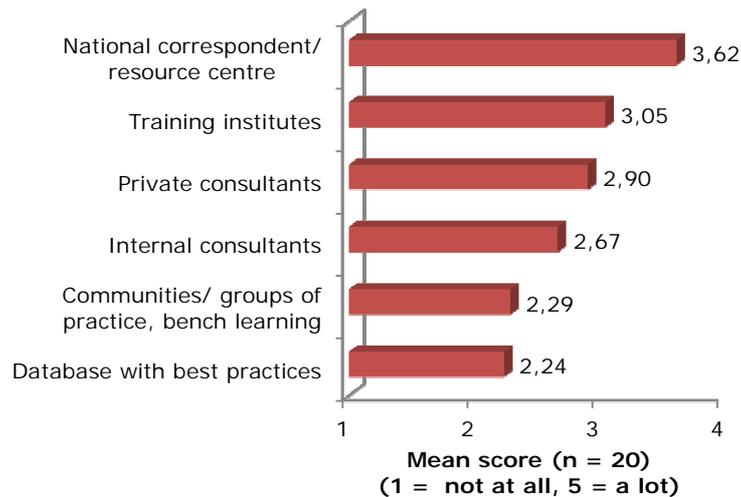
A total of 13 Member States out of the 20 that answered this question have developed a customised model of the CAF 2006 for specific sectors; 7 did not. The education sector is by far the best equipped sector.



Graph 7 Specific CAF versions in the Member States

5.3 External support

Not only CAF NC, but also training institutes, private consultants, internal consultants, etc. give support during the implementation of the improvement actions. The CAF NC were asked to provide us with an estimation of the external support organisations appeal for. They were presented with 6 actors or types of external support and had to indicate a number from 1 (not at all) up to 5 (a lot) for each one. Twenty CAF NC answered the question. Graph 8 is based on the mean scores for every actor or type.



Graph 8 Amount of external support for organisations in the Members States

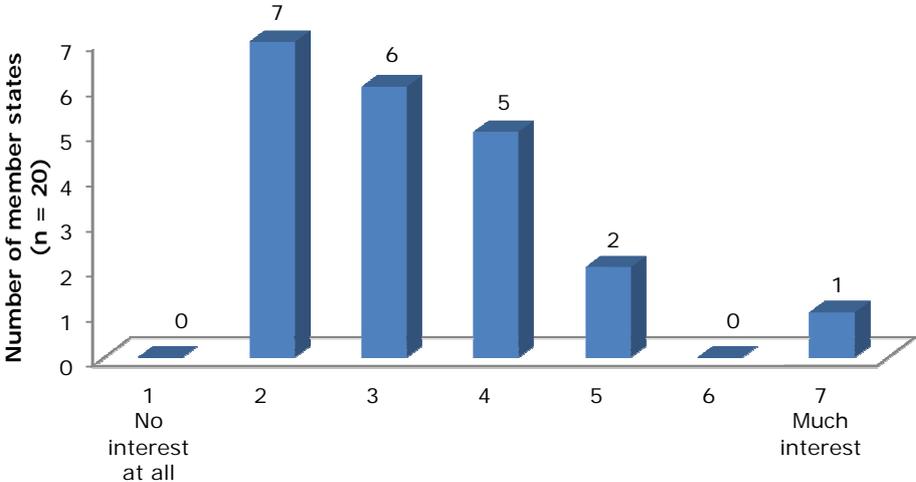
Based on the estimation of the CAF national correspondents, we could say that the CAF national correspondents or the CAF national Resource Centre themselves are the most important actors for external support. Training institutes and private consultants also still remain in the field. These findings match with those from the CAF Users' Survey (see part 2, title 6.3). The ESF (European Social Fund) is also a very important form of (financial) external support. Latvia, Lithuania, Malta, Poland as well as Portugal have received support from the ESF, or are hoping to do so. Others countries probably did too but have not mentioned it in their answers on the survey. The ESF funding is seen as an important reason for a better dissemination of the CAF (see part 1, title 4.1). In turn, losing that support could be a threat for a positive evolution of the CAF in some countries.

5.4 CAF External Feedback

In 2010, a new CAF tool was introduced: the CAF External Feedback Procedure (PEF). The essence of the PEF is to enable public sector organisations applying CAF to see the results of their efforts and to obtain feedback. This feedback relates not only to the self-assessment process, but also to the planning and the process of improvement and to the maturity level achieved by the organisations as a result of their efforts. The latter is based on the eight principles of excellence (see part 1, title 3.3). A small number of questions were added to the survey to find out the state of affairs of the PEF in the Member States. At the time of distributing the survey, the PEF had only very recently been launched. Therefore, we did not expect to see spectacular results across the Member States.

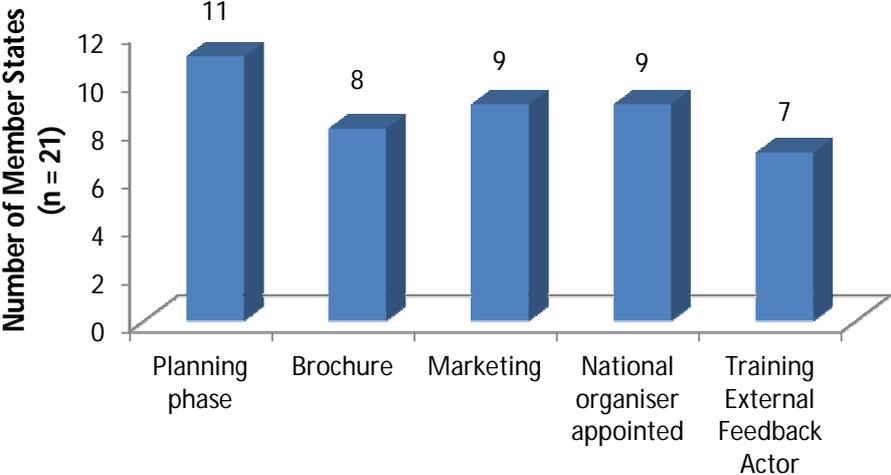
This was indeed confirmed. Graph 9 shows the interest for the PEF among the Member States. The CAF NC had to indicate a score ranging from 1 (no interest at all) up to 7 (much interest). The mean score is 3,29 out of a maximum of 7. This means that CAF users have not yet shown interest in the PEF. The Polish CAF NC noted that most organisations would like to obtain some kind of certificate/written proof of a successful CAF application more than they want external feedback

itself. It is clear that the CAF users still need to be convinced of the added value of external feedback by External Feedback Actors, basically colleagues from peer organisations. The Effective CAF User Label is only one of the benefits of the PEF.



Graph 9 Interest for the PEF in the Member States (mean = 3,29)

The information in graph 10 gives a clear picture of the state of the preparations that were made in the Member States to realise the PEF. Eleven of the 21 CAF NC answered that they are in the planning phase and that no real actions had so far been taken; eight countries made brochures in their own language; nine started marketing; nine appointed the national organiser (the responsible for the PEF in the Member States); and seven started to train External Feedback Actors (the assessors). It is thus clear that the PEF is in the initiation stage. At the time of writing, only one country – Italy – had already awarded a few organisations with the Effective CAF User Label.

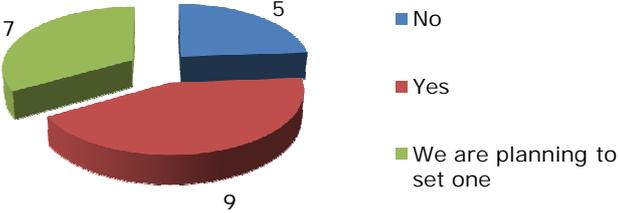


Graph 10 Preparations to realise the PEF in the Member States

5.5 National Databases

All 21 CAF NC answered the question of whether or not there is a national CAF databank with CAF applications in their country. The majority of the countries have one (Austria, Belgium, Cyprus, Hungary, Lithuania, Romania, Slovakia, Slovenia and Spain) or are planning to set one up (Germany, Greece, Italy, Latvia, Luxembourg, Malta and

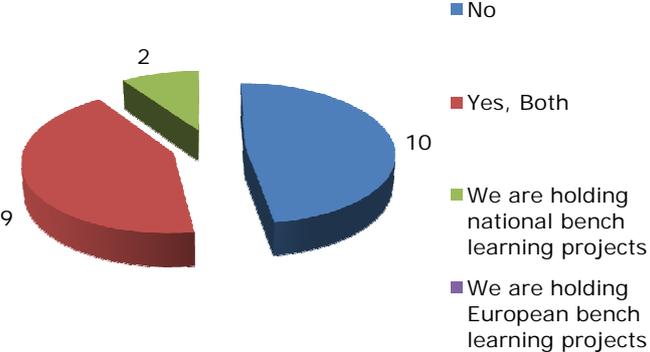
Portugal). The five countries in graph 11, who have none and are not planning to are the Czech Republic, Estonia, Finland, Norway and Poland.



Graph 11 National Databank with CAF applications? (n = 21)

5.6 Bench-learning projects

The last question concerning the national support was if there are internal (at national level) or external (at European level) bench-learning projects. Nine countries have both (Austria, Belgium, the Czech Republic, Finland, Italy, Latvia, Poland, Slovenia and Spain) and two countries only have national bench-learning projects (Norway and Romania). The ten remaining countries have none (Cyprus, Estonia, Germany, Greece, Hungary, Lithuania, Luxembourg, Malta, Portugal and Slovakia).



Graph 12 Bench learning projects: internal (national) and external (EU) (n = 21)

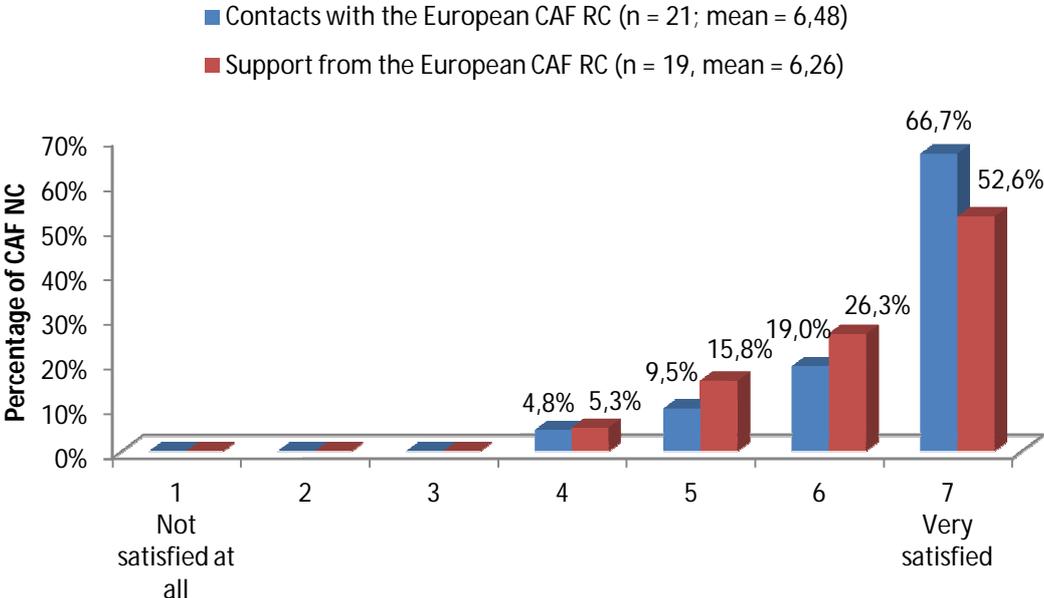
We should however consider that possibly not all CAF NC used the same definition of a bench-learning project. Some could have seen bench learning in a strict sense, e.g. formal structures for learning between organisations. Others could have seen it in a broader sense, e.g. CAF events or national quality conferences. Based on the survey results, it is not possible to distinguish one from the other. Some countries did give additional remarks with their answers. Austria had a bench-learning project in 2005-2006 with Hungary, Slovakia and the Czech Republic. In Norway, national bench learning can appear when equal organisations conduct a CAF, such as schools within one region. Cyprus has no bench learning projects, but remarks that there is cooperation and exchange of knowledge and experience between Greek and Cypriot users.

6. Support at the European level

This part of the study presents the satisfaction of the CAF NC with the work and support of the European CAF Resource Centre and their suggestions for the future.

6.1 Satisfaction with the work of the European CAF Resource Centre

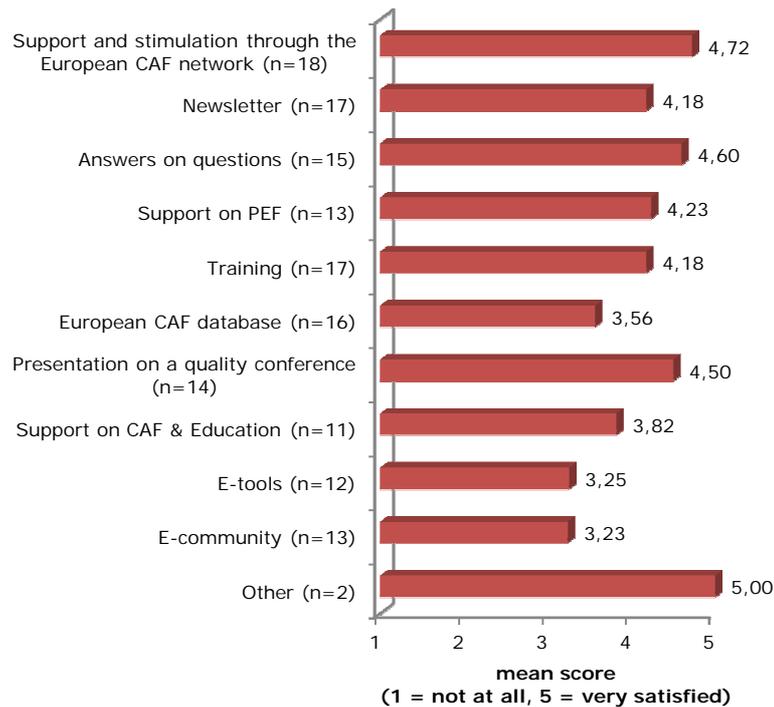
The blue bars in graph 13 show the satisfaction of the CAF national correspondents with their contacts with the European CAF RC. The red bars represent their satisfaction with the support. The CAF NC had to indicate a number between 1, not satisfied at all, and 7, very satisfied. The contacts with, as well as the support from the CAF RC, score very highly. The average scores are respectively 6,48 and 6,26 out of a maximum 7.



Graph 13 Satisfaction about the contacts with and with the support from the CAF RC

6.2 Usefulness of the support of the CAF RC

Now that we have had an overall picture of the satisfaction with the support of the CAF RC, we will have a closer look at the support. The CAF NC were presented with 10 types of support and an additional category 'other'. They had to indicate their satisfaction with the work of the CAF RC by choosing a number between 1 (not at all), and 5 (a lot/very satisfied). The means of their answers for each type of support are shown in graph 14. The mean is calculated from the number of answers per type of support. The number of respondents is between brackets. Overall, 19 countries answered for at least one of the types of support; two countries did not answer at all. The category 'other' represents the support from the CAF RC to Portugal and Romania for the organisation of the 3rd and 4th CAF Users' Event.



Graph 14 Satisfaction with the work of the CAF RC (overall mean = 4,12)

The first impression we get from graph 14 is that the CAF NC are very satisfied with every aspect of the support of the CAF Resource Centre. The mean score is 4,12 out of a maximum 5. We will read the graph by taking a mean score of 4 into account as a point of reference – meaning somewhere between satisfied and very satisfied. Most of the aspects of support score higher. These are in order of satisfaction: support with the organisation of the CAF Users’ Event (5,00), support and stimulation through the European CAF network (4,72), answers on questions (4,60), presentation on a quality conference (4,50), support on PEF (4,23), the newsletter (4,18) and training (4,18). On these aspects, the CAF RC should continue the good work. The CAF RC scores a little bit lower on the four other aspects of support. These are support on CAF and Education (3,82), the European CAF database (3,56), the eTools (3,25) and the eCommunity (3,23). The minimum score stays above 3, so the CAF NC remain satisfied with the work of the CAF RC on these aspects. Nonetheless, the support could be improved a little in the future.

Besides the satisfaction with the received support, the CAF NC were asked which support they did not receive which would have been useful. Most CAF NC explicitly said that they are fully satisfied with the support from the CAF RC as it is today. Two additional aspects of support were suggested: the first was to improve the management of the European CAF database by checking, monitoring and updating the registrations. This should avoid having registered users not correspond to real CAF users. The second was a suggestion about the transfer of national tools (e.g. guidelines and brochures). The CAF RC might facilitate the exchange of national tools, solutions and ideas between the different CAF NC. It is clear these suggestions will require cooperation between and commitment from both the European CAF Resource Centre and the CAF national correspondents.

6.4 Suggestions to improve the CAF RC and future expectations

Lastly, the CAF NC got the opportunity to make suggestions for how to improve the CAF RC and have their say on their future expectations. Most CAF NC basically ask for a continuation of the support as it currently stands. Nevertheless, some suggestions and expectations were expressed. They are categorised as follows: online support, strategic support/support at political level, supporting the CAF Expert Group, the dissemination of the CAF, training and seminars, research and development, cooperation at European level, bench learning and financial assistance.

Online support:

- The eCommunity for users should be further developed.
- As not all the CAF NC can attend all the CAF working group meetings, an eCommunity for National Correspondents would be helpful.
- Develop an offline version of the CAF eTool. This would also make customisation for each Member State easier.
- Improve the visibility of the CAF and the accessibility of the information provided on the website.
- The newsletter should focus more on the practical aspects and difficulties of CAF implementation.
- The newsletter is only provided in English and thus not easy to read for all CAF users.

Strategic support/support at political level

- Support at political level by holding the attention of the Ministers of the Member States on CAF and to keep Total Quality Management/CAF in the focus of the public sector policies of the Member States.
- Support the national strategies of the CAF NC.
- Use all opportunities to motivate the top management in the Member States.

Supporting the CAF Expert Group

- Promoting ad hoc technical meetings and discussions about CAF activities among the most active national correspondents.

The dissemination of the CAF

- Detailed Best Practice descriptions.
- Producing material that can be used in the Member States.
- Examine the possible link between CAF and EPSA.
- Requesting CAF bench-learning data from the European countries and publishing it on a regular basis (on the EUPAN website for instance) might emphasise the importance of CAF for public sector managers and politicians.
- Dissemination of national cases via newsletters and conferences.

Training and seminars

- Organise focused mini seminars on specific matters (e.g. the link with other management tools) in a free way, using new technologies such as audio conferences.
- Organise, together with the CAF NC, training sessions or different debates on useful and easy to apply instruments for public administrations.
- Trainings in the country's own language would help. Providing translations of the presentations at the QM conferences would also help.

Research and development

- Start to think about a second generation of CAF – a model or a system more consistent for mature public organisations in TQM, which helps them in their drive forward towards excellence.
- Create a publication (with a regular periodicity) for CAF knowledge dissemination, with a section to publish papers, thesis abstracts (giving floor to disseminate investigation in this area) and another section more oriented for CAF using (practical experiences, news, interviews, etc). (With a low price.)
- Try and make more connections between the CAF model and the other instruments used in public administrations, e.g. Balanced Scorecard, bench learning/benchmarking, etc., in order to have an integrated system of management in public institutions, having as a base the PDCA cycle.
- Develop training materials.

Cooperation at European level

- The CAF RC should strengthen its role as reference for CAF activities by promoting pilot projects to develop new methodologies and partnerships to foster bench learning and benchmarking activities.
- Launch a common European project (financed by EU funds).

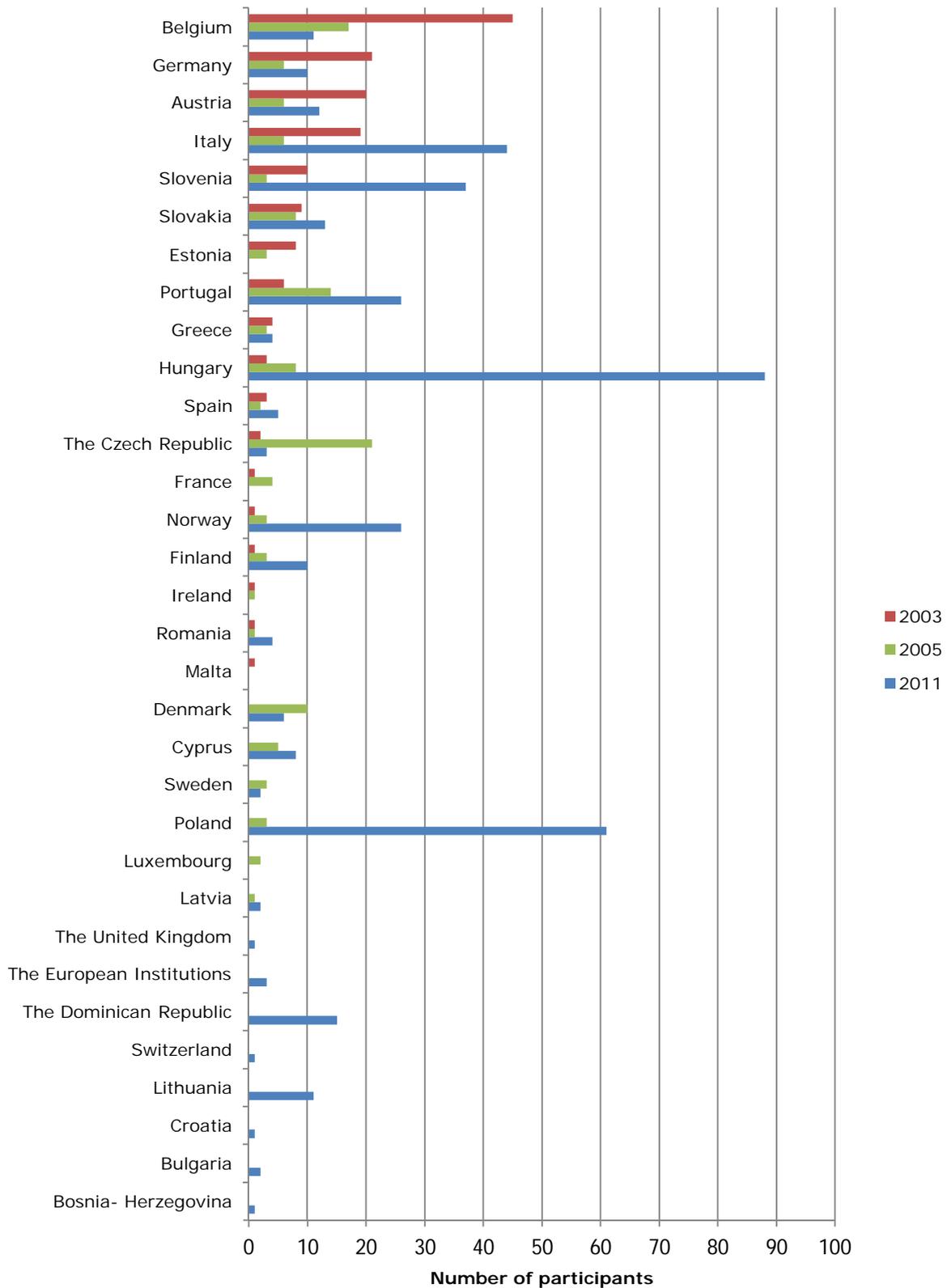
Bench learning

- It could be useful to know the score average of the registered users to promote bench learning.
- Collect the final scoring achieved by the organisations that applied CAF (anonymously) to see the "state of art" in the performance of public services and build a standard scoring (based on the average) for each criterion.
- Steer bench-learning projects.
- Build a real database of good practices.
- Promoting the knowledge of European projects focused on bench-learning and benchmarking activities between public administrations and on training and exchange experiences for European public administration employees.

Financial assistance

- Support public administrations by analysing EU financing opportunities.
- There is a need for low-budget support. Due to the financial situation in many countries, the possibilities to invest direct resources into the CAF are quite limited. On the other hand, at the moment we need tools like CAF perhaps more than ever and the expertise of the CAF RC is highly needed and appreciated. And by fully utilising this expertise, it would really profit us all, otherwise we would need to reinvent the wheel on national bases.

PART 2 The use of the CAF in practice



Graph 15 Comparison of the presence of the countries between the CAF studies 2003, 2005 and 2011

Part 2. The use of the CAF in practice

The survey for CAF users was developed by the European CAF Resource Centre, based on the previous CAF studies from 2003 and 2005. The CAF NC from Belgium, Denmark, Italy, Luxembourg and Slovakia gave feedback on the questionnaire. Furthermore, the questionnaire was tested by some pilot organisations. The questions, the answer possibilities and the wording of the survey were improved on the basis of their feedback. The final version of the CAF users' questionnaire was approved by the CAF Expert Group and translated into 16 European languages.

An online survey tool was developed by EIPA and added to the website of the European CAF Resource Centre. The tool was activated on 4 March 2011. The translations of the survey were provided in PDF format on the same webpage. The invitations to participate in the study were distributed by the CAF NC amongst approximately 1750 registered CAF 2006 users. These organisations were invited to complete the survey before the end of March. A first reminder was sent during the last week of March. Whilst many organisations had already answered the questionnaire, the deadline was postponed to 18 April 2011 to allow the CAF users extra time to participate.

Finally, 407 CAF users from 27 different countries completed the survey. This is more than in 2003 and 2005, which had 156 and 133 participants respectively (see graph 15). Two important remarks should be taken into consideration with regard to this response rate.

The first important remark concerns the number of answers to each question in the survey. Not all the CAF users were able to answer every question. As the purpose of the study was to gather information on the use of the CAF 2006, the respondents were required to have used this version of the model and completed at least one SA report. Furthermore, to answer the questions about the implementation of the improvement plan, the respondents had to have developed one. The table beneath shows how many organisations had used the CAF 2006 and had developed an improvement plan.

Organisations that participated in the survey		Total
		407
Those who did not use CAF 2006	26	
Organisations that used CAF 2006		381
Those who do not have an improvement plan	39	
Those who did had not yet finalised the improvement plan	46	
Organisations who have implemented the full CAF cycle		294

Table 2 The number of participants who have implemented the full CAF 2006 cycle

Finally, it should be noted that the majority of the questions were not mandatory. Therefore, not all the respondents filled in all questions. This is also the reason why the sum of the numbers in the table above is 405 and not 407, for example. In order to give the reader the accurate findings, the number of answers for each question is indicated with every graph. Look for the 'n' between brackets.

The second important remark concerns the balance or unbalance between the nationalities of the participants. The feedback from organisations of 27 different nationalities creates a basis for reflections and conclusions of the CAF model from a broad (European) perspective. Nonetheless, we must take into consideration that some countries are underrepresented and others overrepresented. The average number of responses serves as a good criterion to get an impression of this. The average response per country is 15 organisations. Thirteen countries do not even have half that number of responses; whilst other countries have more than twice as many. Italy and Poland even have respectively three and four times the average number of responses. Hungary is by far the best in class, with 88 responses or approximately six times the average.

The comparison with the average makes it very clear that we have to be careful with the extrapolation of the results of the CAF Users' Study to 'the average European CAF user'. In more than one third of the cases we are speaking of a Hungarian or Polish organisation. It is therefore very interesting to compare the answers between countries on a number of questions. However, the anonymity of the respondents has to be guaranteed. Taking this into consideration only the countries with at least ten responses will be mentioned when comparing answers between countries. The remaining 14 countries will be mentioned in the category 'other' with 42 organisations.

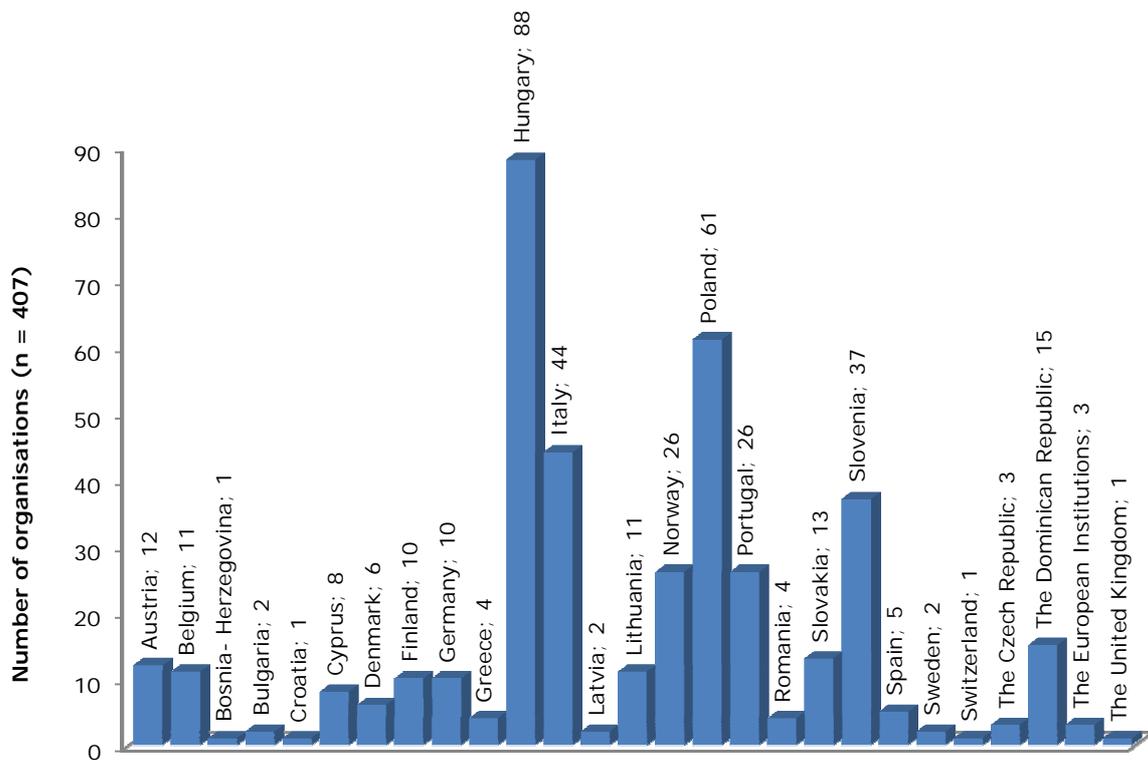
The structure of part 2 will take the following lines. First, the basic characteristics of the administrations that have replied to the questionnaire and the context within which the CAF was used will be discussed. Then, we will have a look at the findings of the questions concerning the self-assessment process, the development and realisation of the improvement plan and the results of the CAF. After that, we will pay attention to the aspects of project management, the satisfaction with the results and the plans for the following CAF application.

The main findings and the most important lessons learned from the CAF NC and the CAF users' surveys are summarised and highlighted in the conclusion at the end of the research report.

1. Basic characteristics of the organisations

1.1. Country of origin

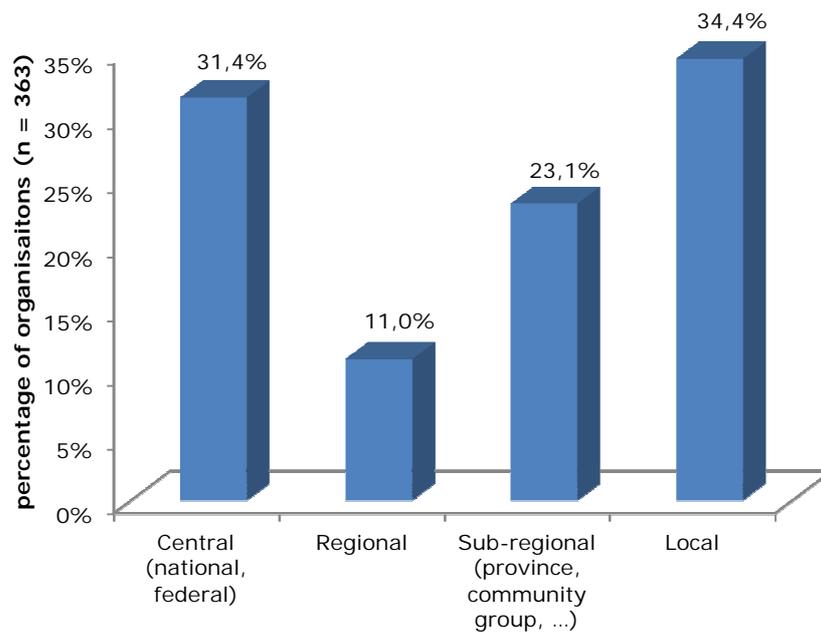
No fewer than 27 countries are represented in the CAF Users Study 2011. That is four countries more compared to 2005 (23 countries) and ten more compared to 2003 (17 countries) (see graph 15). Seven countries are represented for the first time: Bosnia-Herzegovina, Bulgaria, Croatia, the Dominican Republic, Lithuania, Switzerland and the United Kingdom. There were also no European institutions that participated in the previous studies. On the other hand, some countries that were represented in 2003 and/or 2005 no longer appeared. This is the case for Estonia, France, Ireland, Luxembourg and Malta. Most countries are represented to a greater extent compared to 2005, some to a lesser extent (Sweden, Denmark, the Czech Republic and Belgium). The majority of the countries are European (candidate) Member States and institutions. The sole exceptions are Bosnia-Herzegovina, the Dominican Republic, Norway and Switzerland.



Graph 16 Replies per country for the CAF study 2011

1.2 Level of government

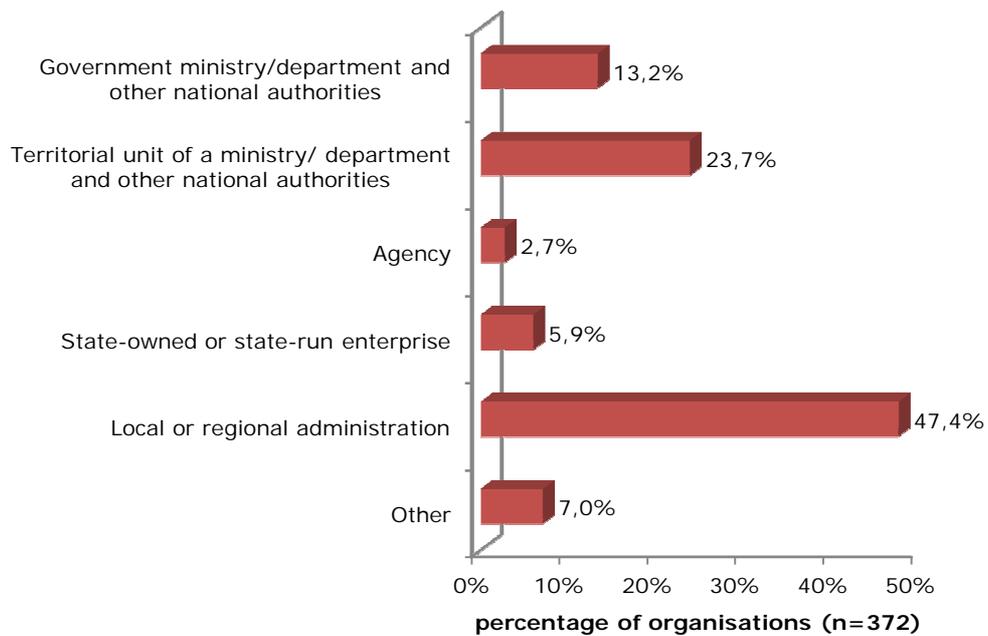
Organisations from the local and the central level are the best represented in this study. Compared to the CAF Users Study 2005, the local and sub-regional level is better represented (respectively +7,4% and +6,1%) at the expense of the central and regional governments (respectively –12,6% and –1%). The proportional size of the government levels is comparable with the European CAF database and with the answers from the CAF NC (see part 1 title 2.2). We can conclude that this set of organisations is rather representative for all CAF users in terms of level of government.



Graph 17 Level of government

1.3 Type of administration

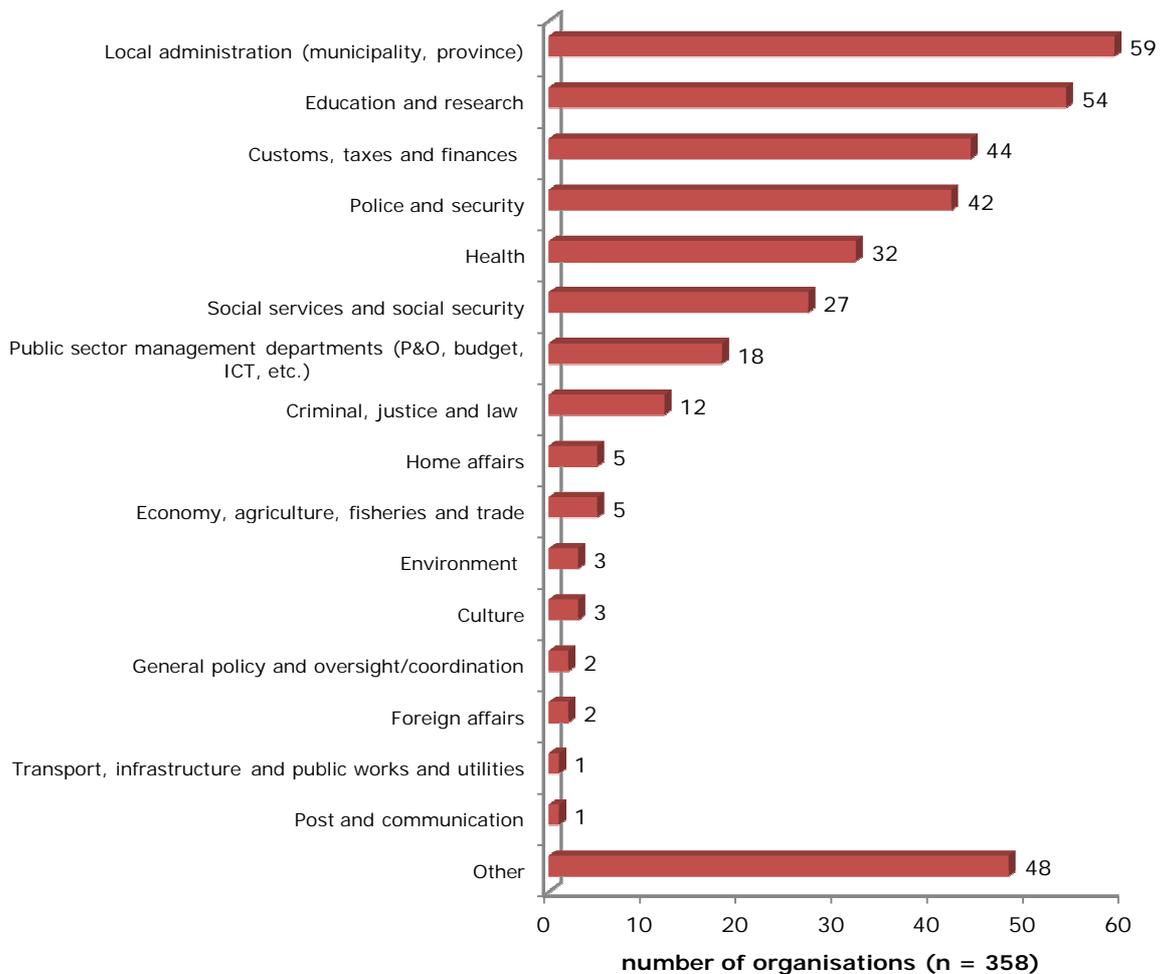
As in 2005 the local or regional administrations are best represented (45% in 2005). The category 'territorial unit' is a new answer possibility. This category was not provided in the 2005 study. It seems that government ministries (–18.8%) and agencies (–8,3%) in particular had to give in for this new category.



Graph 18 Type of administration

1.4 Sector of activity

It is interesting to see that the CAF has been applied across a wide range of sectors. As in 2005, local administration and education & research are the biggest sectors. This is a rather representative set of organisations if we compare it with the estimations of the CAF NC about the use in each sector (see part 1, title 2.1).

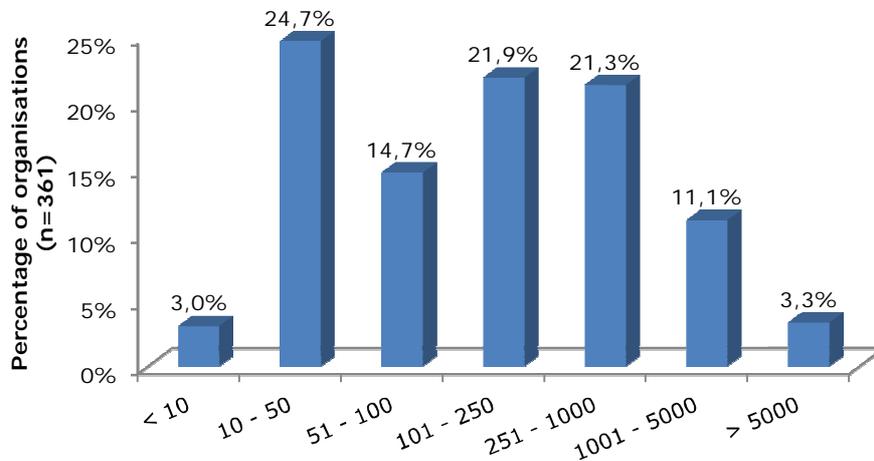


Graph 19 Sector of activity

1.5 Size of the organisation

The size of the organisation is not entirely comparable with those who took part in the survey of 2005. The category 10-50 is significantly bigger than in 2005. A possible explanation is that some respondents indicated the number of FTE (full time equivalents) in the part of the organisation where the CAF was applied, instead of the number of FTE in the whole organisation. If this is the case, the

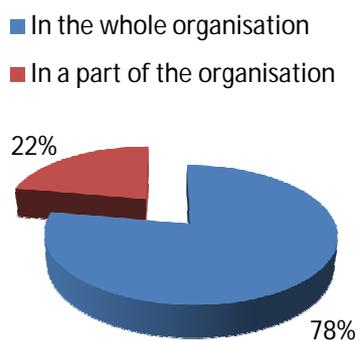
size of the organisations is comparable with the results of 2005. Most organisations have between 101 and 1000 employees. The very small (<10) and the very big (>5000) remain the exception.



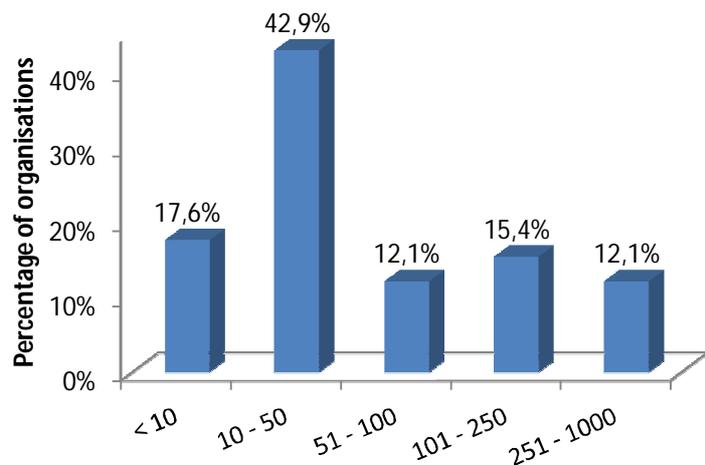
Graph 20 Size of the organisation

1.6 Application in the whole or in a part of the organisation

Big organisations often choose to apply the CAF in a part of the organisation to keep it workable. This is the case with 83 out of 375 organisations (22%). That is a little lower than in 2005, when 29% of the organisations indicated that they used CAF in a part of the organisation. It is not surprising that 70% of these organisation departments count less than 100 employees.



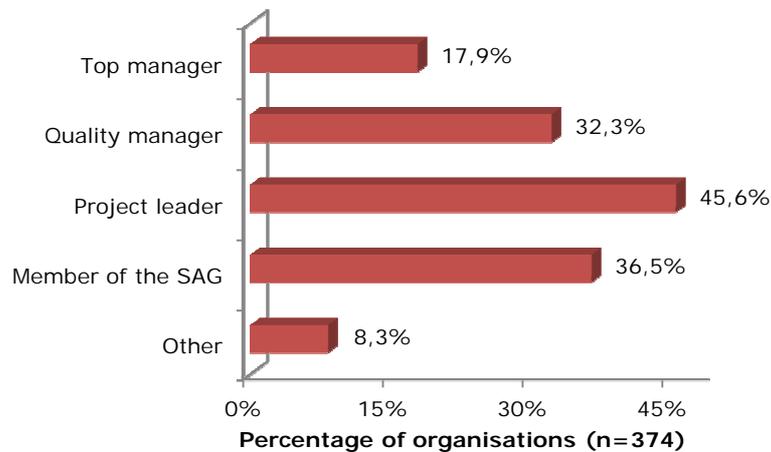
Graph 22 Application in whole/part of the organisation



Graph 21 Number of FTE in the part of the organisation where the CAF was applied

1.7 Function of the respondent

The persons who completed the questionnaire were asked to indicate in which function they took part in the implementation of the CAF in their organisation. A combination of answers was possible. That explains why the sum of the percentages in the graph exceeds 100%. A very interesting conclusion is that for approximately one out of five organisations the questionnaire was filled in by the top manager. This is a good sign. It could be seen as an indication for the support of the top management, assuming that a top managers' time is precious. The category 'other' consisted mainly of CAF coordinators and several unclear positions.

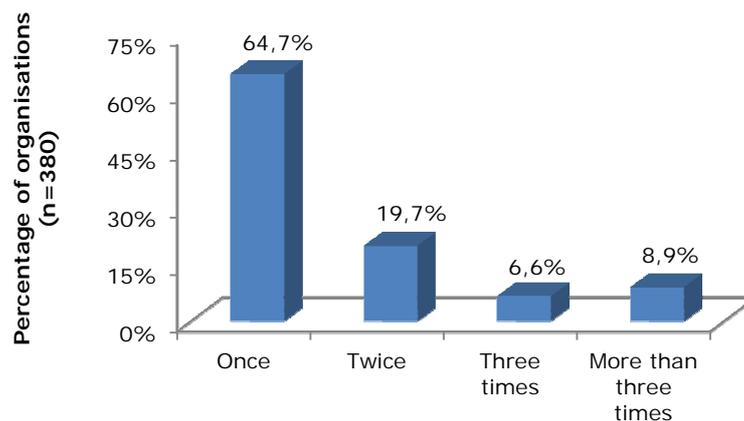


Graph 23 Function respondent in CAF implementation

2. The context regarding the CAF implementation

2.1 Experience with the CAF

Most organisations are first-time users. On the other hand, more than 15% of the organisations have used the CAF 2006 three times or more. Based on the launch of the CAF 2006 five years ago, these organisations have used the CAF 2006 (almost) annually. However, some respondents might have added their experience with earlier versions of the model (CAF 2000 and CAF 2002) instead of indicating only their experience with the CAF 2006.



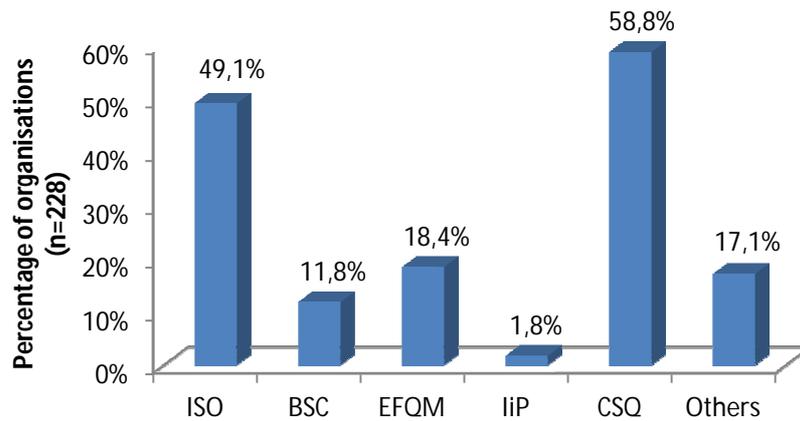
Graph 24 Number of times that the CAF has been applied

Table 16 in annex 5 presents the CAF experience per country. Comparing the percentages, we must conclude that four countries have, in proportion, a lot of very experienced CAF users (more than three times) amongst their respondents. These countries are Belgium, the Dominican Republic, Hungary, and Norway. For example 25% of the organisations from the Dominican Republic are very experienced CAF users. In absolute numbers, Hungary has the record with 17 organisations. None of the countries with fewer than 10 participants (category other) have very experienced respondents.

2.2 Experience with (T)QM before the use of the CAF

A majority of organisations (60%) already had experience with other tools of quality management or improvement before using the CAF. This is clearly more than in 2005, when only 28% of the organisations had experience with (T)QM.

Graph 25 shows which TQM instruments were mostly being used before the introduction of the CAF. A combination of answers was possible. Custom Satisfaction Questionnaires and ISO are by far the most popular, as was the case in 2005. Apparently some organisations also change from EFQM to CAF. In 2005, 15 organisations or 11% used EFQM before the CAF, now 18% did. It seems that we can again conclude that the CAF is not only used as a start-up tool. The most frequently mentioned (T)QM instruments in the category 'other' were internal audit, employee satisfaction questionnaires, SWOT and PEST.

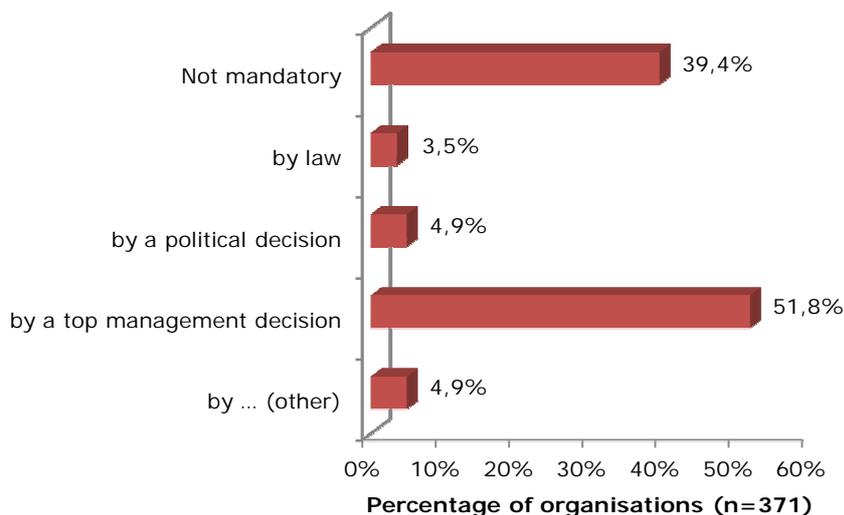


Graph 25 Experience with other (T)QM instruments

2.3 CAF: mandatory or not?

One out of two organisations is obliged to use the CAF according to a top management decision. Only a minority of the organisations have to use the CAF by law or by a political decision. For one-third of the organisations CAF is not mandatory at all.

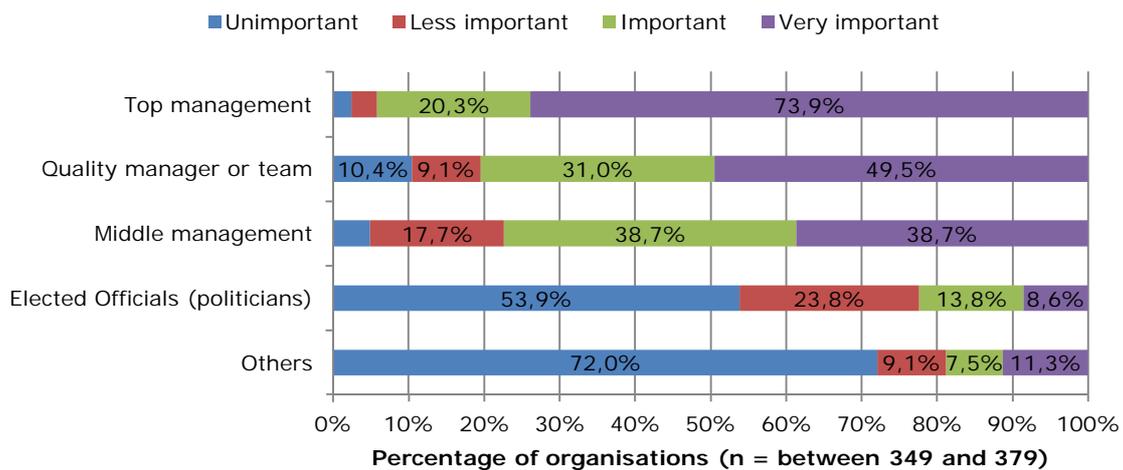
The CAF being made mandatory by an internal action plan and by the central department of the organisation were classed as 'other'.



Graph 26 CAF is mandatory by...

2.4 Who took the Initiative to use the CAF or TQM

The top management was the most important actor in taking the initiative to use the CAF. In 73,9% of the organisations the top management had a very important role. The quality manager and the middle management were also important or very important actors. Elected officials clearly are not that involved. In 53,9% of the organisations, they had an unimportant role. The actors mentioned as 'others' were customers and all staff.



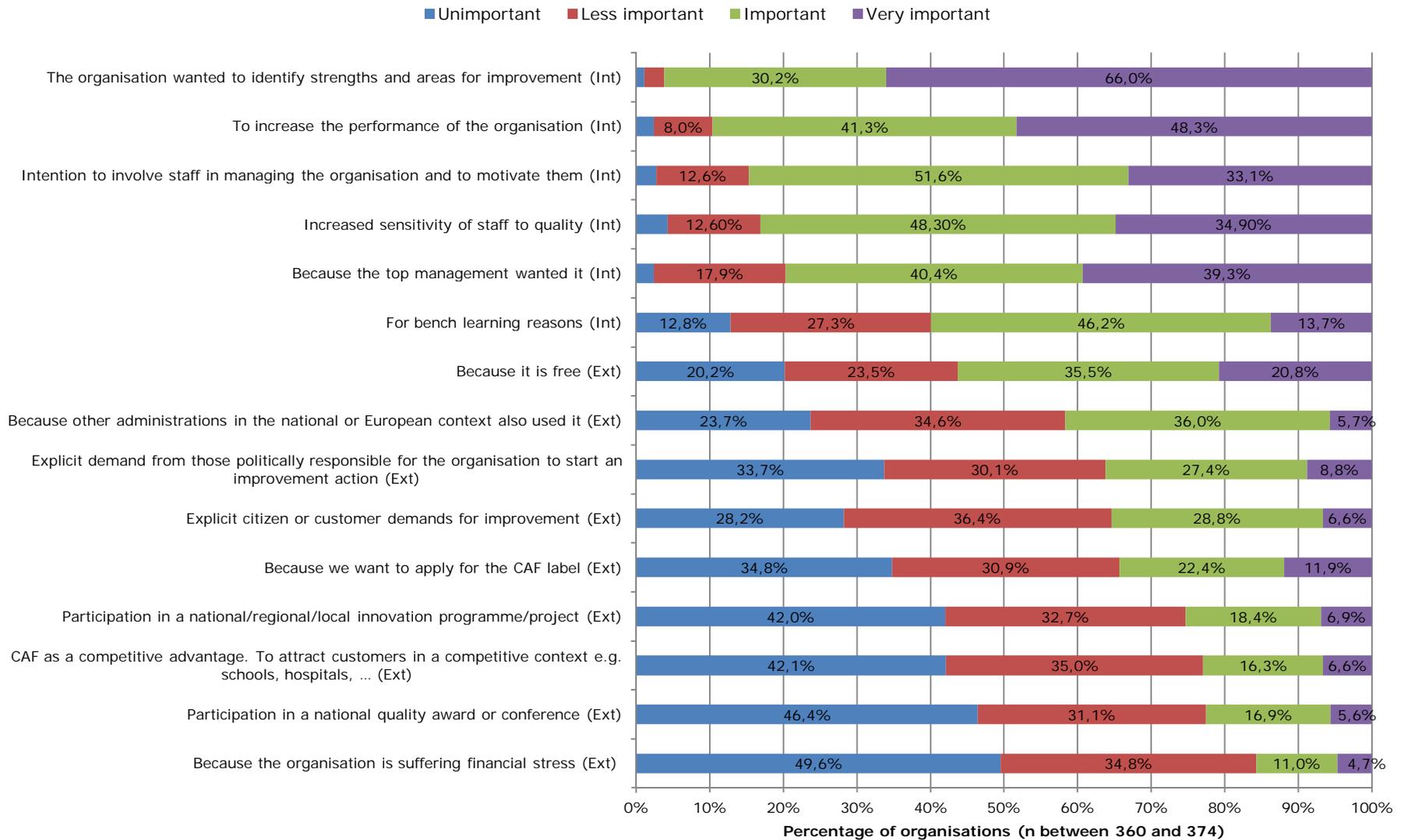
Graph 27 Who took the initiative to use the CAF or TQM

As for the elected officials, one would expect that they are especially involved in CAF applications at the local government level: this does seem to be the case. We looked at the government level of the 72 respondents who answered that the politicians played an important or very important role in taking the initiative to use the CAF in their organisation; 44% of those were from the local government level; 19,4% from the sub-regional level (province, community group, etc.); 8,9% from the regional; and 27,8% from the central level (national or federal).

2.5 Reasons for using the CAF

An important question is why organisations choose to use the CAF. On the basis of the answers to a similar question in the previous CAF user surveys in 2003 and 2005, a number of possible reasons which could be decisive for using the CAF were presented to organisations. They were both internal and external.

The most important reasons are all internal drivers (see graph 28). Identifying strengths and areas for improvement has the upper hand; suffering financial stress is the least important driver. These are exactly the same findings as in 2005. Organisations want to use CAF in the first place for themselves, and to improve their organisations, which is exactly the purpose of a self-assessment tool.

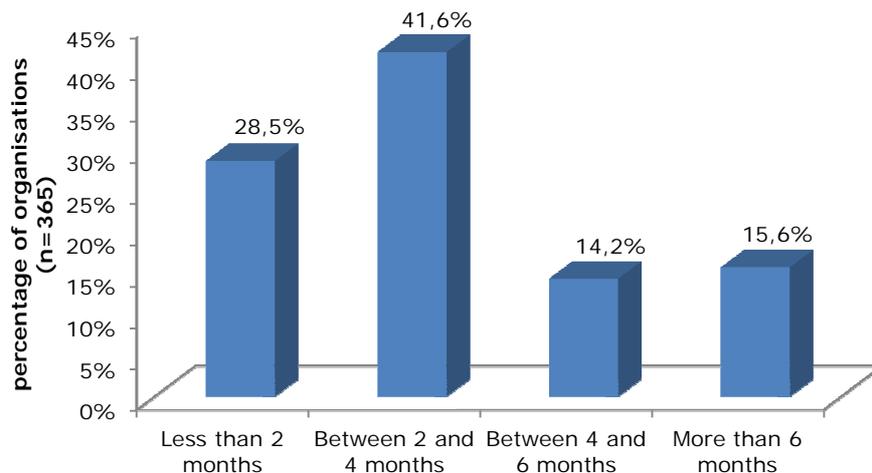


Graph 28 Reasons for using the CAF

3. The Self-Assessment process

3.1 Time to perform the SA and establish the SA report

In total, 70% of the organisations managed to perform the self-assessment and establish the self-assessment report in less than four months. For 30% of the organisations it took more than four months. The latter is rather long. Three months is the time span recommended in the CAF 2006 manual to complete the whole CAF application, including the preparation, the self-assessment, the drawing of conclusions and the formulation of an action plan.



Graph 29 Time to perform the SA and establish the SA report

3.2 Completeness of the CAF criteria for the self-assessment

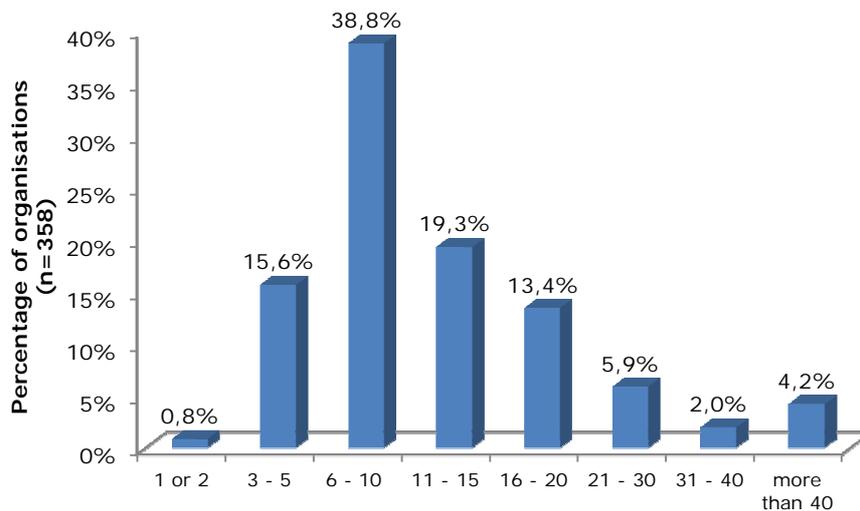
Almost all of the organisations performed a full self-assessment (96,9%), meaning that they assessed the 9 criteria and the 28 sub-criteria. Only twelve organisations reported that they excluded some criteria from the assessment. The most excluded criteria amongst these 12 organisations are society results, processes, partnerships and resources, and Strategy and planning.

The criteria and sub-criteria comprise all aspects about the functioning of public organisations according to 92,5% of the organisations (346 out of a total 374 organisations). Twenty organisations made suggestions to complete the criteria. Some clusters can be made:

- Most remarks refer to being clearer / or giving more concrete examples about criteria 9, in particular 9.1. key performance results (outputs and outcomes).
- Some other remarks refer to the constraints of public sector organisations (legislation, financial resources, staffing, etc.).
- Other specific topics are administrative simplicity / reducing administrative burdens and risk assessment/analysis, risk management.

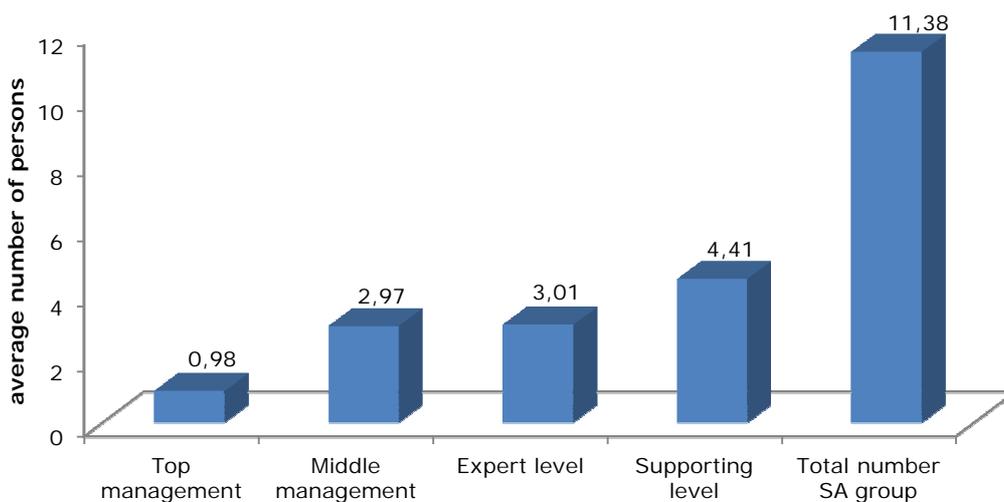
3.3 Composition of a single self-assessment group

Most self-assessment groups (SAGs) contain between 6 and 10 members (see graph 30). The CAF Users Study 2005 reported the same results. It is however remarkable that some SAGs include over 40 persons. Some organisations probably set up more than one SAG, and counted them together when answering the question – it is hard to believe that meetings with more than 40 persons can be productive. Therefore, we filtered those organisations when calculating the averages in graph 31.



Graph 30 Size of the self-assessment group (in number of persons)

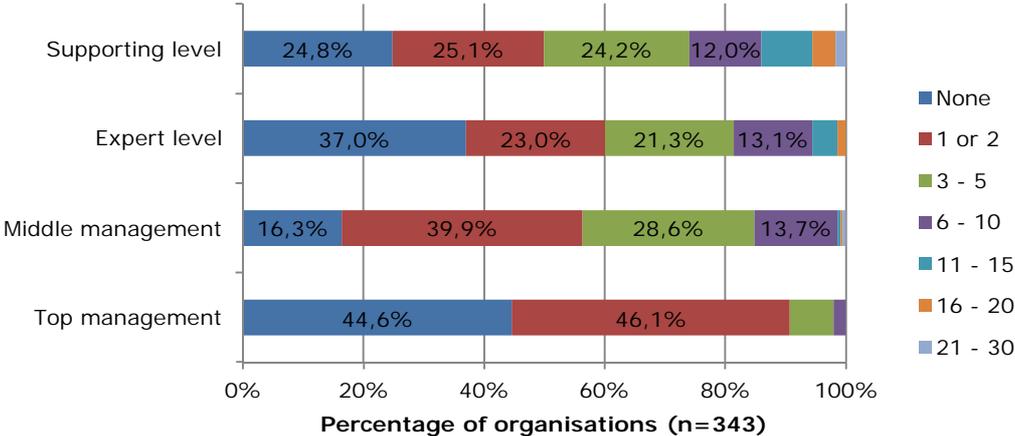
As a result, the average number of persons in the self-assessment group reflects the recommendations in the CAF 2006 manual. These instructions recommend that SAGs preferably have more or less 10 participants in order to secure an effective and relatively informal working style.



Graph 31 Average number of persons in the SAG per function level (filtered for SAGs > 40 persons, n = 343)

The average self-assessment group contains a member of every function level in the organisation. However, a lot of SAGs are missing a function level when we study the results more in detail. Graph 32 summarises the exact numbers by dividing them into categories. Each colour in one of the horizontal bars represents a category of number of persons. A full horizontal bar represents 100% of the organisations. When we have a look at the supporting level, we see that 24,8% of the organisations have nobody of the supporting level in the SAG. For the Expert level this is 37,0%, for the middle management 16,3% and for the top management 44,6%. It is clear that the averages in graph 31 are influenced by the extremes: 5,5% of the organisations have more than 16 persons of the supporting level in the SAG and 1,5% more than 16 persons of the expert level.

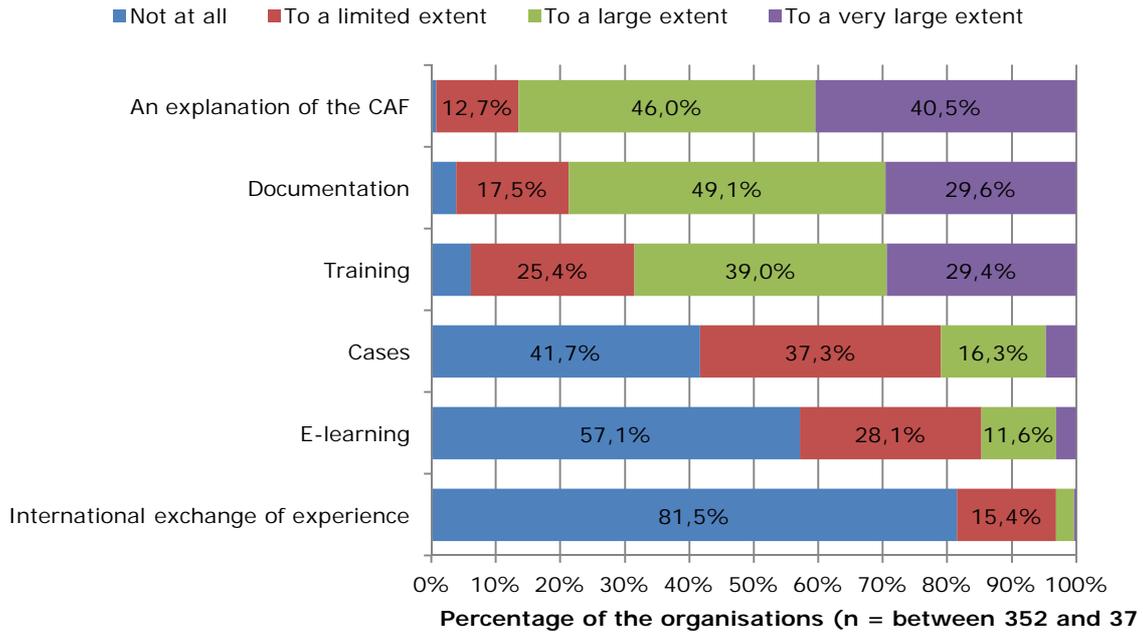
Compared to those of the supporting level, there are not many persons from the expert level in the SAG. It might be possible that the label 'expert level' has been misunderstood by the respondents; in fact, we meant the caseworkers who perform the tasks related to the core business of the organisation.



Graph 32 Number of persons in the SAG per function level (filtered for SAGs > 40 persons, n = 343)

3.4 Kind of preparation of the SAG

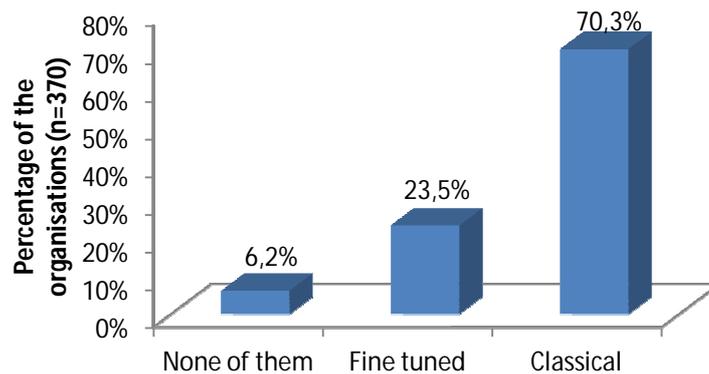
An explanation of the CAF (an introduction) remains the most frequently used preparation of the self-assessment groups. Documentation and training are the second most important types of preparation. Only a minority of the SAGs did not receive an explanation (0,8%), documentation (3,8%) and training (6,1%). Cases, e-learning and international experience remain the exception, as they were in 2005.



Graph 33 Kind of preparation of the self-assessment group

3.5 Type of scoring panel

The CAF2006 offers two types of scoring panels: the classical scoring panel and a less straightforward fine-tuned scoring panel. The classical scoring panel is the more popular of the two. Also 23 out of 370 organisations (6,2%) say that they use none of the scoring panels.



Graph 34 Type of scoring panel

Most users of the fine-tuned scoring panel are from Hungary, Italy, Poland, Slovakia and Slovenia (see table 17 in appendix 5). The following two tables present the relationship between the type of scoring panel on the one hand and respectively the extent of CAF experience and the extent of TQM experience of the organisation on the other. Two conclusions can be made: firstly, the more the CAF has been used, the more the fine-tuned scoring panel is used; secondly, most organisations that have

experience with TQM or EFQM still use the classical scoring panel. The overall conclusions are that most organisations that begin using CAF use the classical scoring panel in the beginning, regardless of their experience with other TQM instruments.

CAF experience	Type of scoring panel			
	Classical	Fine tuned	None of them	Total
once applied	174 (72,5%)	50 (20,8%)	16 (6,7%)	240 (100,0%)
twice applied	49 (67,1%)	21 (28,8%)	3 (4,1%)	73 (100,0%)
three times applied	13 (52,0%)	10 (40,0%)	2 (8,0%)	25 (100,0%)
more than three times applied	24 (75,0%)	6 (18,8%)	2 (6,3%)	32 (100,0%)
Total	260 (70,3%)	87 (23,5%)	23 (6,2%)	370 (100,0%)

(Remark: not significant, p = 3.14)

Table 3 Crosstabs: type of scoring panel in relation to CAF experience

		Type of scoring panel			
		Classical	Fine tuned	None of them	Total
Experience with (T)QM <i>(Remark: not significant: p = .372)</i>	Yes	150 (67,6%)	58 (26,1%)	14 (6,3%)	222 (100,0%)
	No	108 (74,0%)	29 (19,9%)	9 (6,2%)	146 (100,0%)
	Total	258 (70,1%)	87 (23,6%)	23 (6,3%)	368 (100,0%)
Experience with EFQM <i>(Remark: significant: p = .004)</i>	Yes	30 (75,0%)	4 (10,0%)	6 (15,0%)	40 (100,0%)
	No	120 (65,9%)	54 (29,7%)	8 (4,4%)	182 (100,0%)
	Total	150 (67,6%)	58 (26,1%)	14 (6,3%)	222 (100,0%)

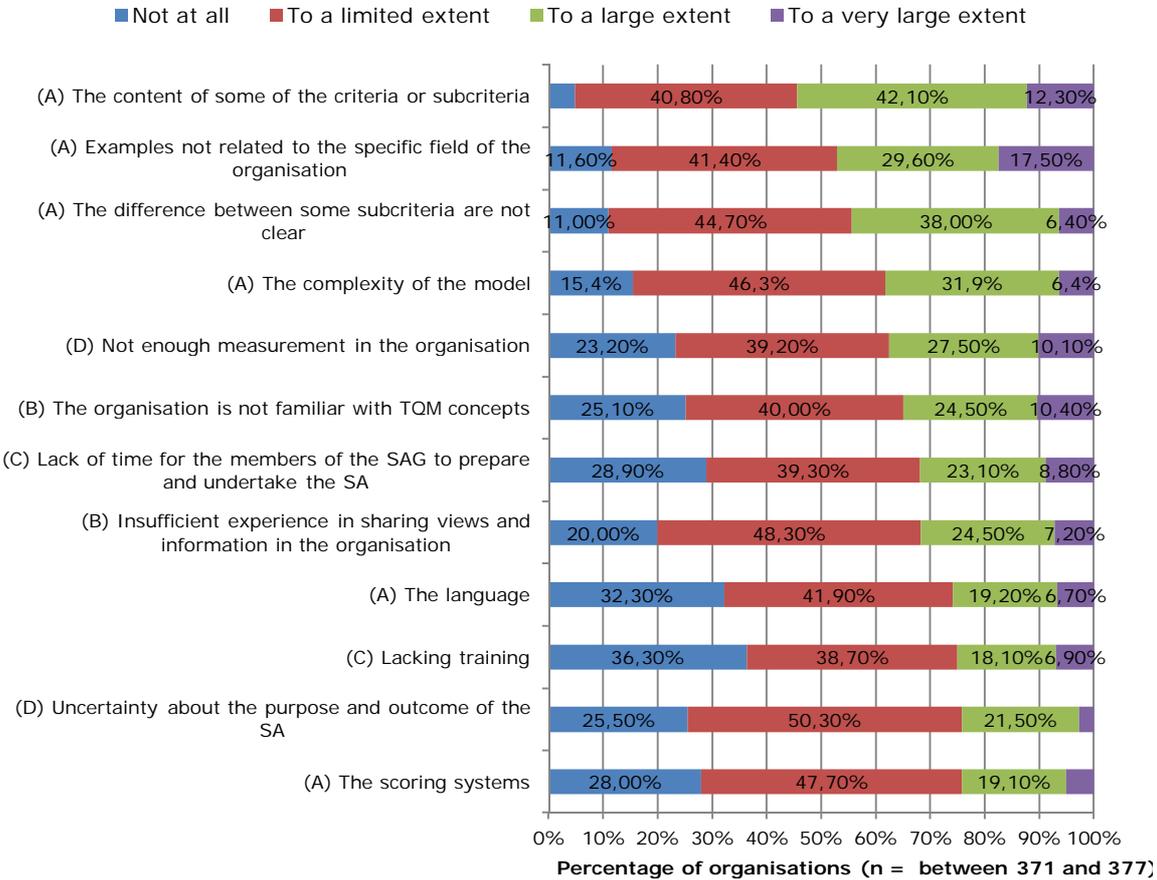
Table 4 Crosstabs: type of scoring panel in relation to experience with TQM in general and EFQM in particular

3.6 Obstacles in the course of the self-assessment

A list was provided of 24 typical obstacles encountered, relating to the following:

- A. Difficulties linked to the understanding of the CAF itself;
- B. Difficulties linked to the maturity level of the organisation;
- C. Difficulties linked to the lack of support and time;
- D. Difficulties linked to the lack of information.

Graph 35 summarises the 12 biggest obstacles. The most important obstacles are linked to the understanding of the CAF itself (A). Although ‘not enough measurement’ was the biggest obstacle in 2005, these results are not totally different. Two of the first four A-obstacles (difficulties linked to the understanding of the CAF itself) are new answer possibilities. They were not included in the CAF Users Study 2005. The two other A-obstacles were also in the top six the previous time. ‘Not enough measurement’ remains a big obstacle.



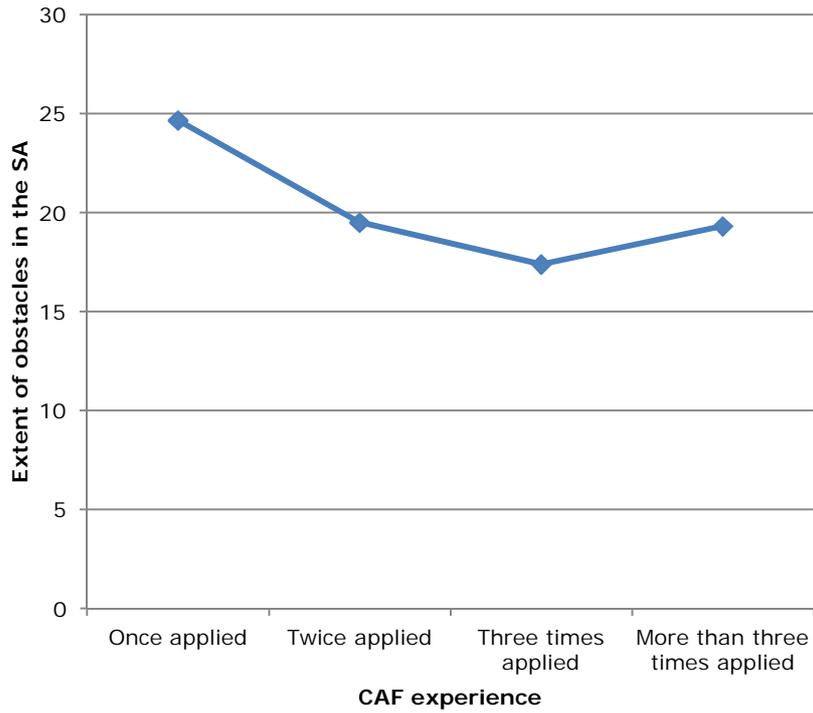
Graph 35 The twelve most important obstacles in the course of the self-assessment

The other twelve obstacles were seen as less important. Table 5 summarises these obstacles.

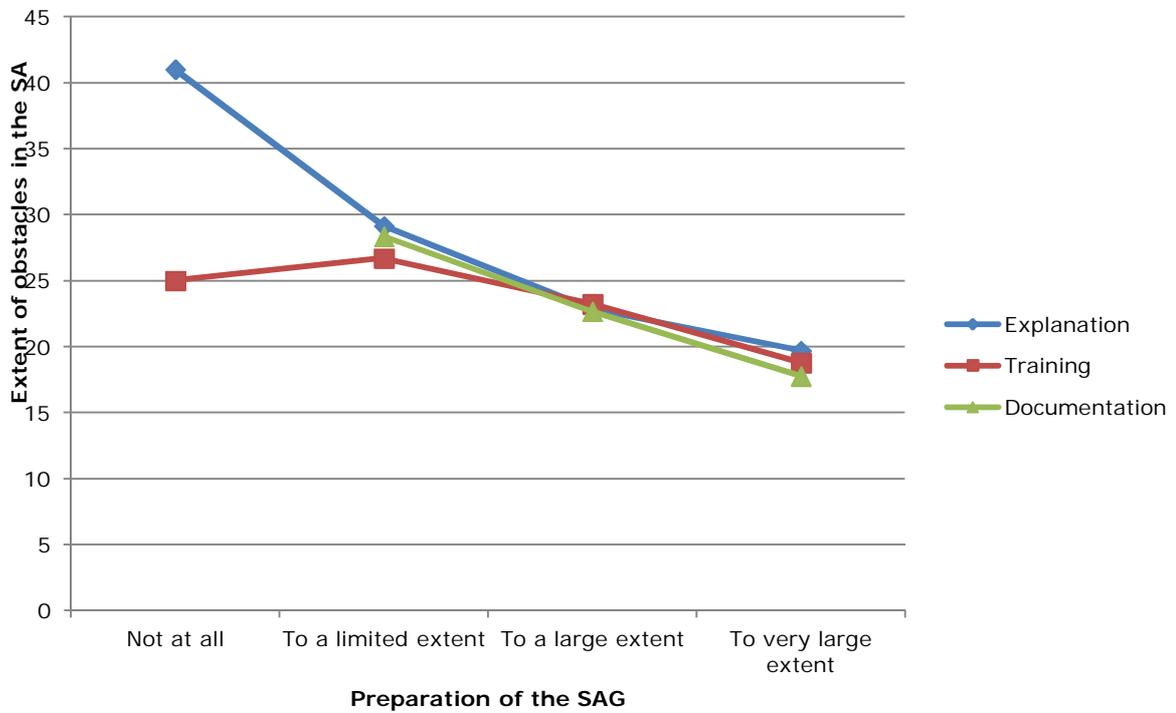
Obstacles	Not at all	To a limited extent	To a large extent	To a very large extent
Lack of faith in the relevance of the whole exercise (B)	32,60%	44,70%	17,50%	5,10%
Being honest and outspoken is not in the organisational culture (B)	36,30%	42,40%	19,10%	2,10%
Problems with identifying strengths and areas for improvement (D)	27,40%	51,90%	18,90%	1,90%
Our organisation was, on the whole, not sufficiently prepared for the SA (B)	32,10%	48,10%	16,30%	3,50%
Lacking expert support (C)	43,30%	38,20%	14,20%	4,30%
Difficulty in getting sufficient data/information from other colleagues outside the SA group (D)	41,20%	41,50%	14,40%	2,90%
Members of the SAG did not have a sufficient overview of the organisation (D)	34,90%	49,10%	13,10%	2,90%
The process was imposed and not "owned" by the SA group members (B)	50,80%	36,60%	9,70%	3,00%
Lacking involvement of the members of the SA Group (C)	54,00%	36,10%	8,00%	1,90%
Lacking management support (C)	59,90%	32,00%	7,00%	1,10%
A lack of trust in the SA group (B)	66,00%	28,40%	5,10%	0,50%
Lacking leading support in the SA group (CAF project leader/president of the SA) (C)	72,50%	24,60%	2,70%	0,30%
Other	76,80%	10,10%	5,10%	8,00%

Table 5 The twelve least important obstacles in the course of the self-assessment

Furthermore, we analysed which factors reduce the number of obstacles during the self-assessment. See appendix 6 for a detailed description of the analysis. We can conclude that CAF experience and preparing the self-assessment group with an explanation of the CAF, training on CAF and documentation on CAF reduces the number of obstacles encountered during the self-assessment. These findings are presented in graph 36 and 37.



Graph 36 The relation between the extent of obstacles during the self-assessment and the experience with CAF

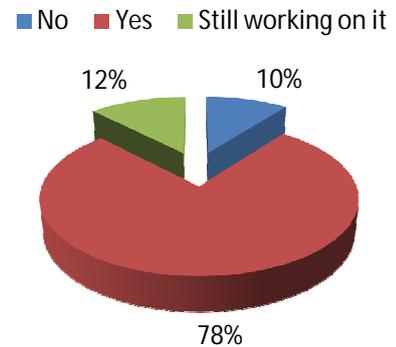


Graph 37 The relation between the extent of obstacles during the self-assessment and the preparation of the SAG

4. The Improvement Plan

4.1 Improvement plan developed or not

Out of 379 organisations, 294 (78%) have developed an improvement plan or have integrated improvement actions in the management plan of the organisation based on the self-assessment with the CAF. Of those who do not yet have an improvement plan, 46 organisations (12.1%) are still working on it and 39 organisations (10.3%) have not developed one at all. All three categories – no, yes and still working on it – contain a mixture of nationalities. There is no significant difference between the countries.



Graph 38 Improvement plan developed or not

The comparison with the CAF Users Study 2005 is difficult because this study focused on 'sustainable improvement activities in the organisation as the result of the CAF'. The findings in 2005 were that the CAF application resulted in sustainable improvement activities for 85% of the organisations. This can be compared with the current findings that 88% of the organisations have an improvement plan developed or are working on it.

The reasons why an improvement plan was not developed are given in the table below.

Reasons	Important or very important
A) The organisation had other priorities	75,0%
B) Lack of support for developing an improvement plan	46,9%
C) Self-assessment was never meant to lead to improvements (it was just a "health check" of the administration)	45,5%
D) Lack of time	42,8%
E) No real willingness to change	34,4%
F) Lack of financial resources	33,4%
G) The results of the self-assessment were not seen as concrete enough	30,3%
H) Management had not been involved in the self-assessment	26,7%
I) The reason for conducting the self-assessment was only to take part in an award contest	18,7%
J) We did not succeed in identifying relevant areas for improvement	18,7%
K) The results of the self-assessment were not accepted as an adequate picture of the organisation by the management	16,2%

Table 6 Reasons why an improvement plan was not developed (n = between 30 and 36)

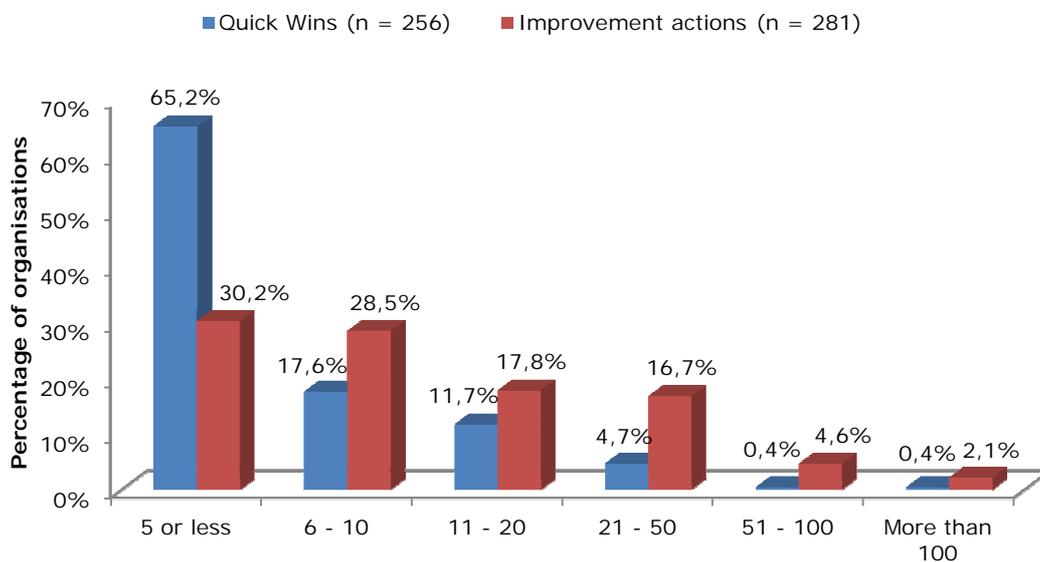
Only the 294 organisations that have developed an improvement plan could answer the questions about the development and the results of the improvement plan. Chapter 4 and 5 of this research report are based on their answers.

4.2 Number of improvement actions and quick wins

An ideal improvement plan contains improvement actions and quick wins. Quick wins are actions that are easy to realise without additional resources and in a very short time. They are crucial because fast concrete results are stimulating: success breeds success.

Almost 60% of the organisations have between 1 and 10 improvement actions, which is a good number. Organisations tend to take up too many improvement actions, which thereby puts an enormous pressure on the organisation. Eventually, this can lead to a burn-out. A limited but well prioritised set of improvement actions gives the best results.

The number of quick wins is rather low. Only 35% (see category '6-10' up to category 'more than 100') of organisations have integrated more than five quick wins in the improvement plan. A lot of CAF users have not yet discovered the benefits of quick wins.



Graph 39 Number of improvement actions and quick wins

4.3 Focus of the improvement plan

Every organisation that performs a self-assessment with the CAF has to take into account the 9 criteria and 28 sub-criteria (see part 1, title 3.2 for more information). The improvement plan, however, does not have to contain an improvement action for every criterion. The improvement plan has to be aligned with the needs of the organisation.

The CAF users were asked about which criteria of the CAF model the improvement plan focuses on. They had to indicate what percentage of the improvement actions are related to each of the 9 criteria. Five categories of percentages were presented to them: 0%, <10%, 10-25%, 25-50% and >50%. The findings are presented in table 7. The last column of the table adds the two highest categories together ('25-50%' together with '>50%'). The criteria are sorted in this column.

Criteria	Number of actions compared to the total number					Valid Total	Category '25-50' + '>50'
	0%	Less than 10%	Between 10% and 25%	Between 25% and 50%	More than 50%		
People	30 (13,3%)	39 (17,3%)	<u>99</u> (43,8%)	47* (20,8%)	11 (4,9%)	226 (100%)	58 (25,7%)
Leadership	53 (23,5%)	51* (22,6%)	<u>79</u> (35,0%)	40 (17,7%)	3 (1,3%)	226 (100%)	43 (19,00%)
Partnerships and resources	55 (24,3%)	42* (18,6%)	<u>89</u> (39,4%)	33 (14,6%)	7 (3,1%)	226 (100%)	40 (17,7%)
Strategy and planning	50 (22,1%)	53* (23,5%)	<u>83</u> (36,7%)	34 (15,0%)	6 (2,7%)	226 (100%)	40 (17,7%)
Citizen/customer-oriented results	58 (25,7%)	54* (23,9%)	<u>81</u> (35,8%)	28 (12,4%)	5 (2,2%)	226 (100%)	33 (14,6%)
Processes	51 (22,6%)	56* (24,8%)	<u>89</u> (39,4%)	26 (11,5%)	4 (1,8%)	226 (100%)	30 (13,3%)
People results	62 (27,4%)	67* (29,6%)	<u>72</u> (31,9%)	22 (9,7%)	3 (1,3%)	226 (100%)	25 (11,0%)
Society results	<u>90</u> (39,8%)	70* (31,0%)	51 (22,6%)	14 (6,2%)	1 (0,4%)	226 (100%)	15 (6,6%)
Key performance results	<u>93</u> (41,2%)	66* (29,2%)	55 (24,3%)	9 (4,0%)	3 (1,3%)	226 (100%)	12 (5,3%)

Table 7 Focus of the improvement plan

The table above can be read in different ways, corresponding to two questions: (a) Which criteria most often dominate the improvement plan?; and (b) which criteria are most often not in the improvement plan?

To answer the first question, we have to take a look at the last column. As said before, the last column of the table adds the two highest categories together ('25-50%' together with '>50%'). Moreover, all criteria are sorted in this column. Therefore, the criterion at the top most often dominates the improvement plan. In 25,7% of the organisations using CAF, the criterion of 'people' represents more than 25% of the actions in the improvement plan. The same applies to the criterion leadership in 19% of the improvement plans.

The answer to the second question can be found in the first column '0%'. The criterion with the highest score in this column is most often not in the improvement plan of the organisation. In 41,32% of the improvement plans, this is the case for the criterion 'key performance results'. In 39,8% of them, this is the case for 'society results'.

Finally, we redesigned the CAF model based on the average improvement plan (see figure 8). This average plan was based on the biggest category (see the underlined numbers in table 7) and the second biggest category of every item in table 7 (see the numbers with an * in the table). In most improvement plans, each of the first seven criteria (i.e. from the criterion people until the criterion people results) represent between 10% and 25% of the improvement actions. The criterion 'people' was drawn a little bit bigger than the other six because the second biggest category of this item represent more improvement actions in the improvement plan than its biggest category.

'Society results' and 'key performance results', on the contrary, are missing in most improvement plans (the category 0% is the biggest). Because the second biggest category of this item logically represents more improvement actions than the biggest category, we made the criteria also visible in the redesigned CAF model.

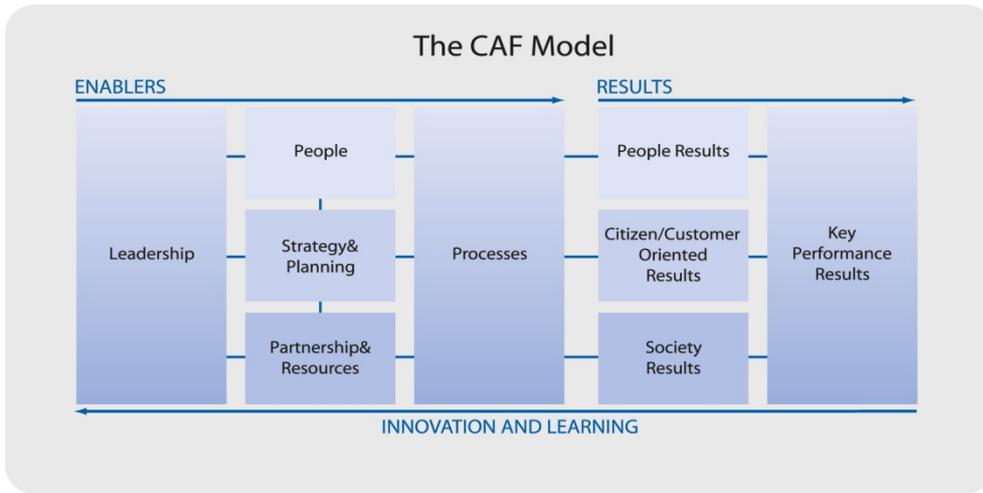


Figure 7 The CAF model

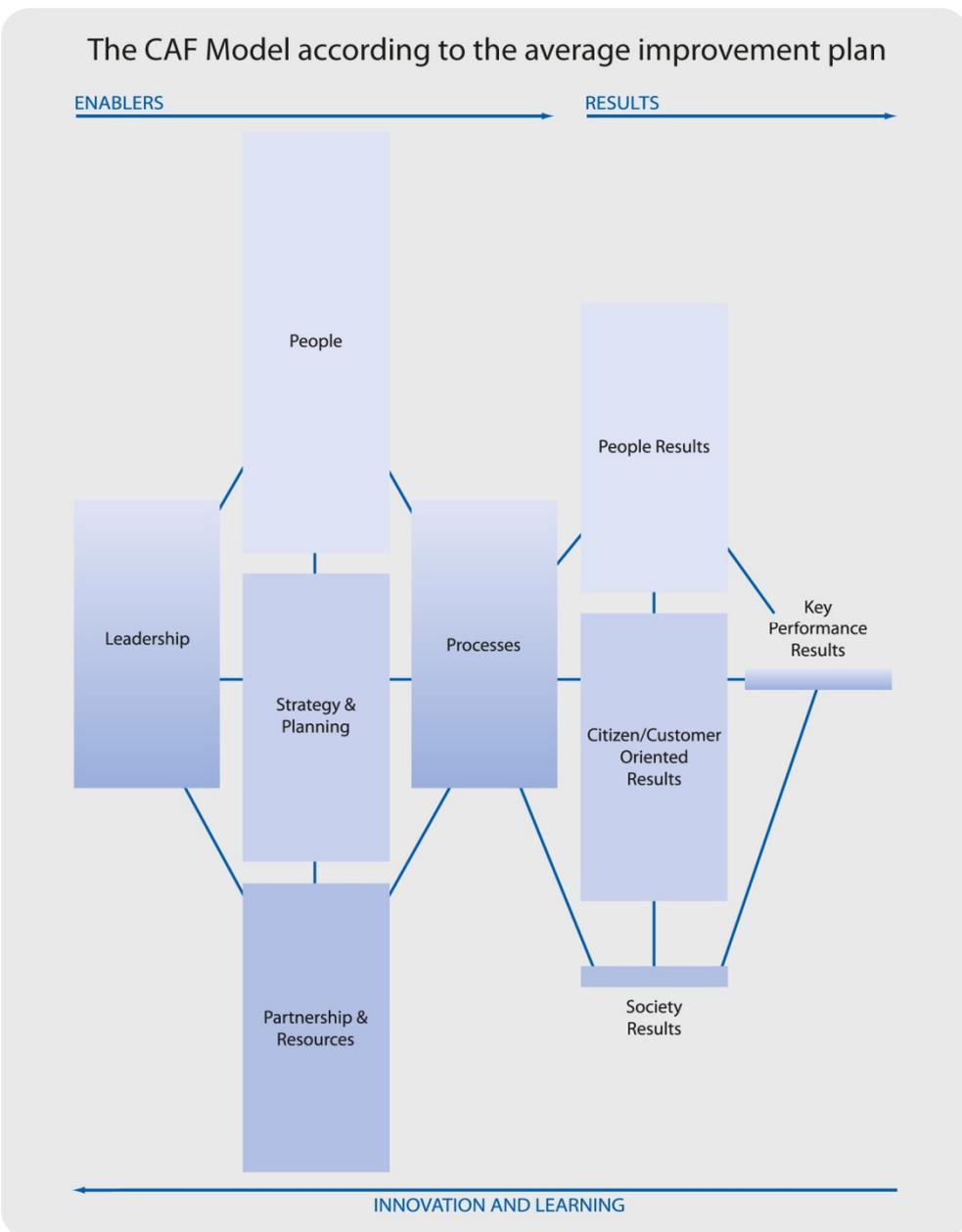
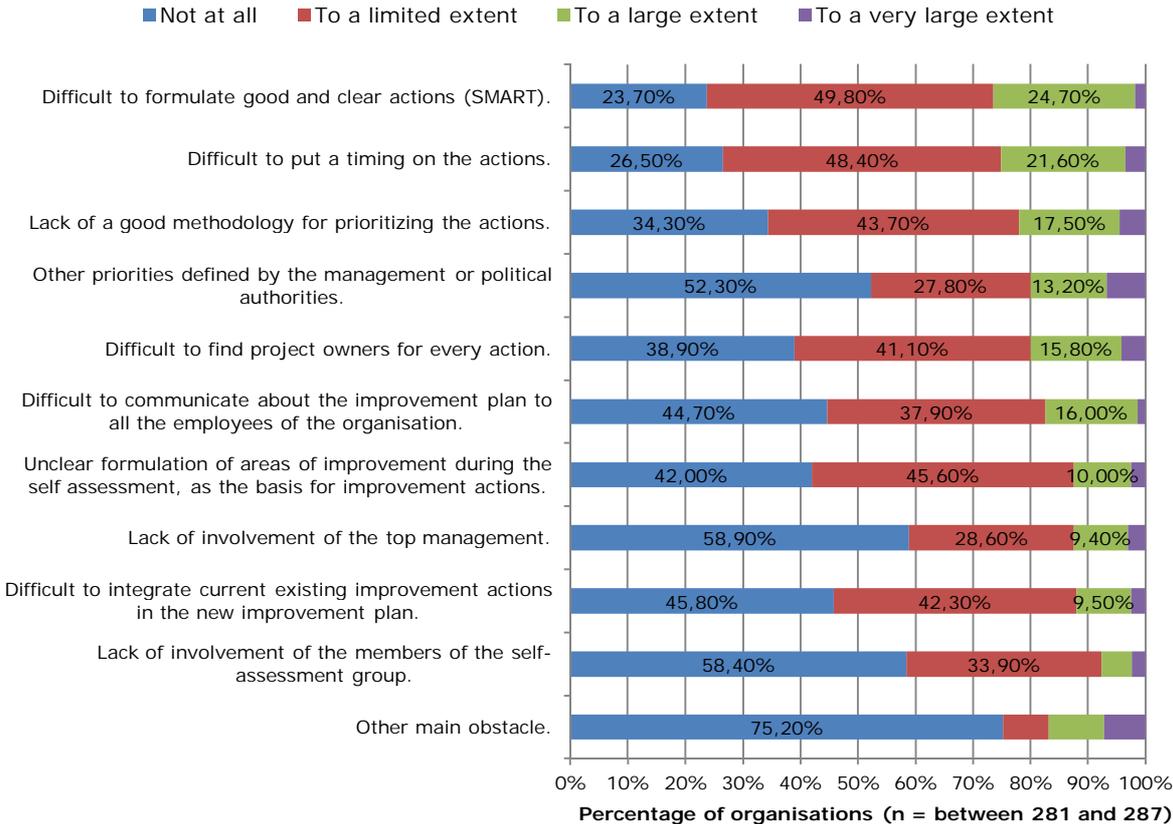


Figure 8 The CAF model according to the average improvement plan

4.4 Obstacles encountered in developing the improvement plan

Graph 40 summarises the main obstacles encountered in developing an improvement plan. The overall conclusion is that the CAF users do not encounter many obstacles in this phase of the CAF application. The biggest obstacles are related to prioritising the actions, formulating them according to SMART and putting a timing on them.

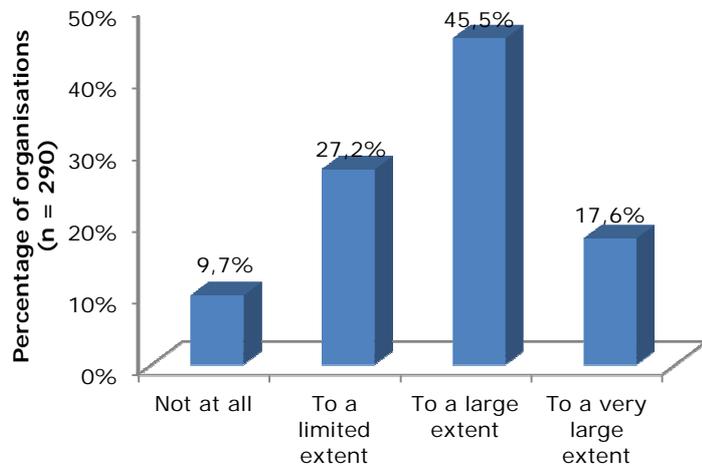


Graph 40 Obstacles encountered in developing the improvement plan

4.5 Integration of the improvement actions in the management plan

More than 60% of the organisations have integrated the improvement actions to a large or very large extent in their management plan or strategic plan.

The organisations were also asked to explain what they see exactly as 'integration in the management plan'. The answers were summarised as follows:



For those answering 'not at all':

- The organisation has no strategic plan, the CAF action plan stands on his own and is executed;
- The strategic plan was older than the self-assessment;
- Difficulties in dealing with the action plan. Translating the actions into an action plan and monitoring seems to be difficult.

Graph 41 Integration of the improvement actions in the management plan

For those answering 'to a limited extent':

- A number of actions are integrated in the contract with the government;
- CAF came in the middle of an organisational reorganisation;
- The "commitment towards TQM / CAF" is included, no specific actions are mentioned;
- The CAF actions are oriented towards people management and internal organisational issues. The strategic plan deals with the performance results;
- The actions resulting from the CAF were formulated with financial restrictions, so are rather "smaller" actions. Not included in strategic planning;
- The CAF action plan is seen as another important plan, next to the strategic plan (which is linked to the budget);
- CAF actions are integrated into the Balanced Score Card.

For those answering 'to a large extent':

- Areas of improvement were incorporated in the annual general programming;
- CAF is part of the principal strategic plan for a four-year improvement plan;
- improvement actions become part of the MBO process inside the Business Unit Administrative Infrastructure;
- Improvement actions were integrated thoroughly in the inner Quality Management System;
- Improvement work is envisaged; responsible employees are appointed for execution of work, scheduled in the activity plan;

- Special chapters are dedicated to CAF in the strategic plan : "Project Area Productivity Systems Innovation and Organisational 2011", "chapter about the Citizen's Office", etc.;
- The chosen actions and plans are mandatory;
- Some of the improvement actions for each unit were integrated in a written "management agreement" (a contract between top management and middle management on the management and development of each unit regarding both economic and customer performance).

For those answering 'to a very large extent':

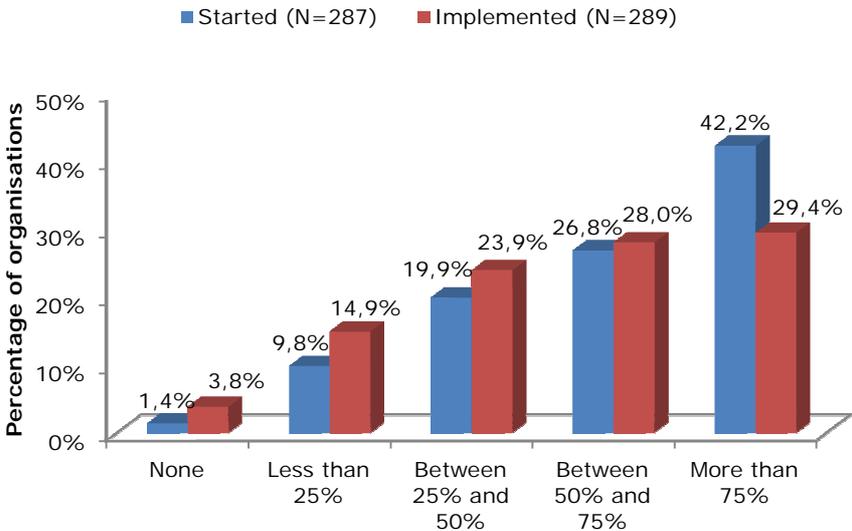
- The new strategic plan is based on a lot of information, i.e. staff surveys, key performance indicators, financial situation, etc. CAF assessment is only one part of the information which the strategic plan and the annual activity plans are based on. That is why the new (we have had many improvement plans over the years) strategic plan took over a year-and-a-half to complete.
- The Improvement Plan is communicated to all employees of the organisation. The list containing the Plan is placed in a prominent place in the office. Currently the Top Manager follows the implementation of the Plan. The Plan became a part of the ISO 9001:2008 of the organisation.

5. Results of the CAF

5.1 Improvement actions started up versus implemented

The CAF application is not finished once the improvement plan is written. The real challenge is in the implementation of the improvement actions in the day-to-day business of the organisation. Graph 42 shows how many improvement actions were started up and how many led to successful results or were eventually implemented. Approximately 70% of the organisations have initiated more than 50% of the planned improvement actions.

Already 57% of the organisations have managed to implement more than 50%.

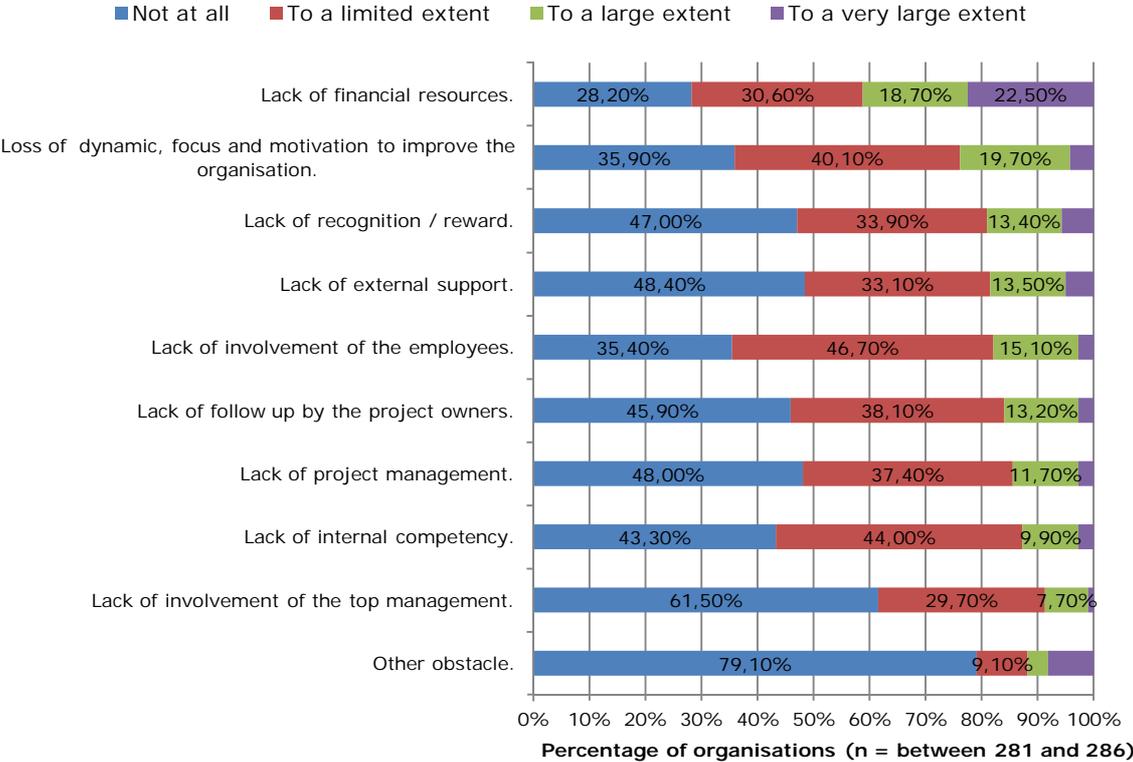


Graph 42 Improvement actions started up versus implemented

5.2 Obstacles encountered in implementing the improvement actions

Lack of financial resources and loss of dynamic, focus and motivation are encountered as the biggest obstacles in implementing the improvement actions. Lack of involvement of the top management is the least encountered obstacle.

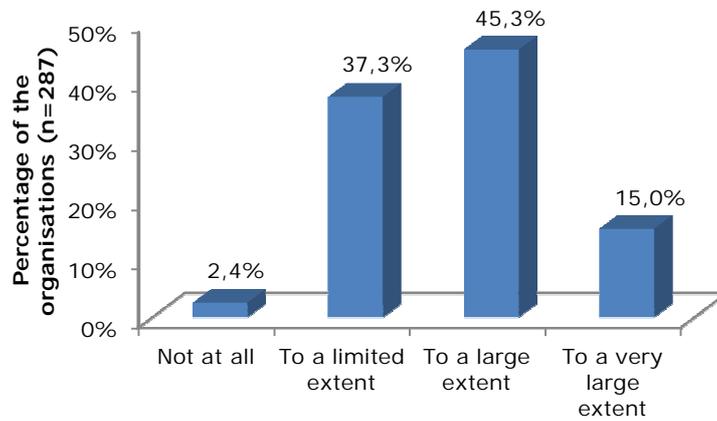
Remarkably, lack of (top) management support is repeatedly one of the smallest obstacles. Neither during the self-assessment, during the development of the improvement plan, nor in the implementation phase, did CAF users suffer from a lack of backing from the highest function levels. This may be suspicious, as 17,9% of the respondents were top managers. Therefore, we checked if the function of the respondent, being a top manager or not, effects the answers to the questions on obstacles. No effect was found. Besides, the fact that 17,9% of the respondents were top managers might be less of a threat to the accuracy of these answers as it is a proof of their high level of interest in the CAF.



Graph 43 Obstacles in implementing the improvement actions

5.3 Impact of the improvement plan

More than 60% of the organisations declare that the improvement actions have a large or very large impact on the functioning and results of the organisations. For only 7 organisations (2,4%) did the improvement plan have no impact at all.



Graph 44 Impact of the improvement actions on the organisation

5.4 Towards a TQM culture

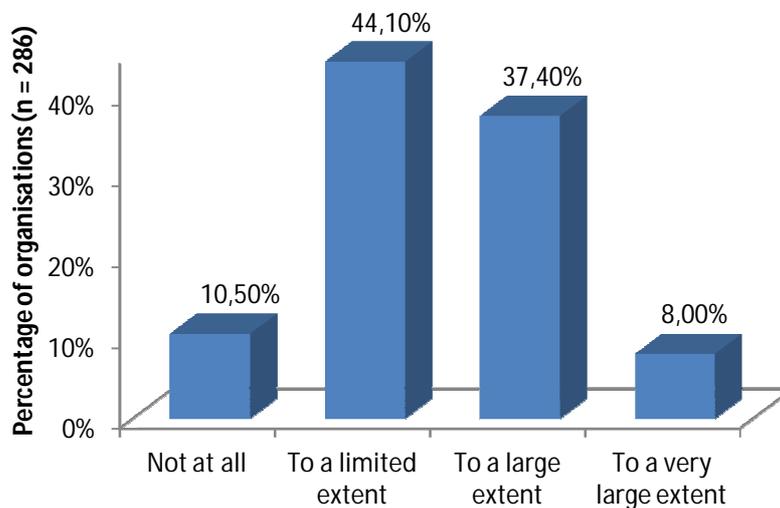
The main purpose of the CAF is to improve the performance of public sector organisations through self-assessment and to guide them towards the important values of Total Quality Management. As a tool of Total Quality Management, CAF subscribes to the principles of excellence. These principles are: results orientation (RO), citizen/customer focus (CCF), leadership and constancy of purpose (LCP), management by processes and facts (MPF), people development and involvement (PDI), continuous learning, innovation and improvement (CII), mutually beneficial partnerships (MBP), and corporate social responsibility (CSR). For more information on these principles, see part 1 title 3.3.



Figure 9 The principles of excellence

We measured the shift of the organisations towards a TQM culture due to the application of CAF by presenting them with a list of 16 characteristics of TQM culture. The characteristics were based on the 8 principles of excellence. Every principle was covered by two characteristics. One characteristic described a basic level of excellence and one a more advanced level. The respondents had to indicate to what extent their organisation had improved in terms of every characteristic thanks to the implementation of the improvement actions based on the CAF self-assessment: not at all, to a limited extent, to a large extent or to a very large extent.

Amongst the 16 characteristics, there was a seventeenth item that was not directly linked to one of the 8 principles of excellence. This item aimed to measure if the overall TQM focus of the employees had improved thanks to the application of the CAF. In other words, whether the employees of the organisation were now better acquainted with and more focused on Total Quality Management in the organisation. In nine of the ten organisations, the employees were more focused on TQM than before; in 45% of the cases this was even to a large or very large extent.

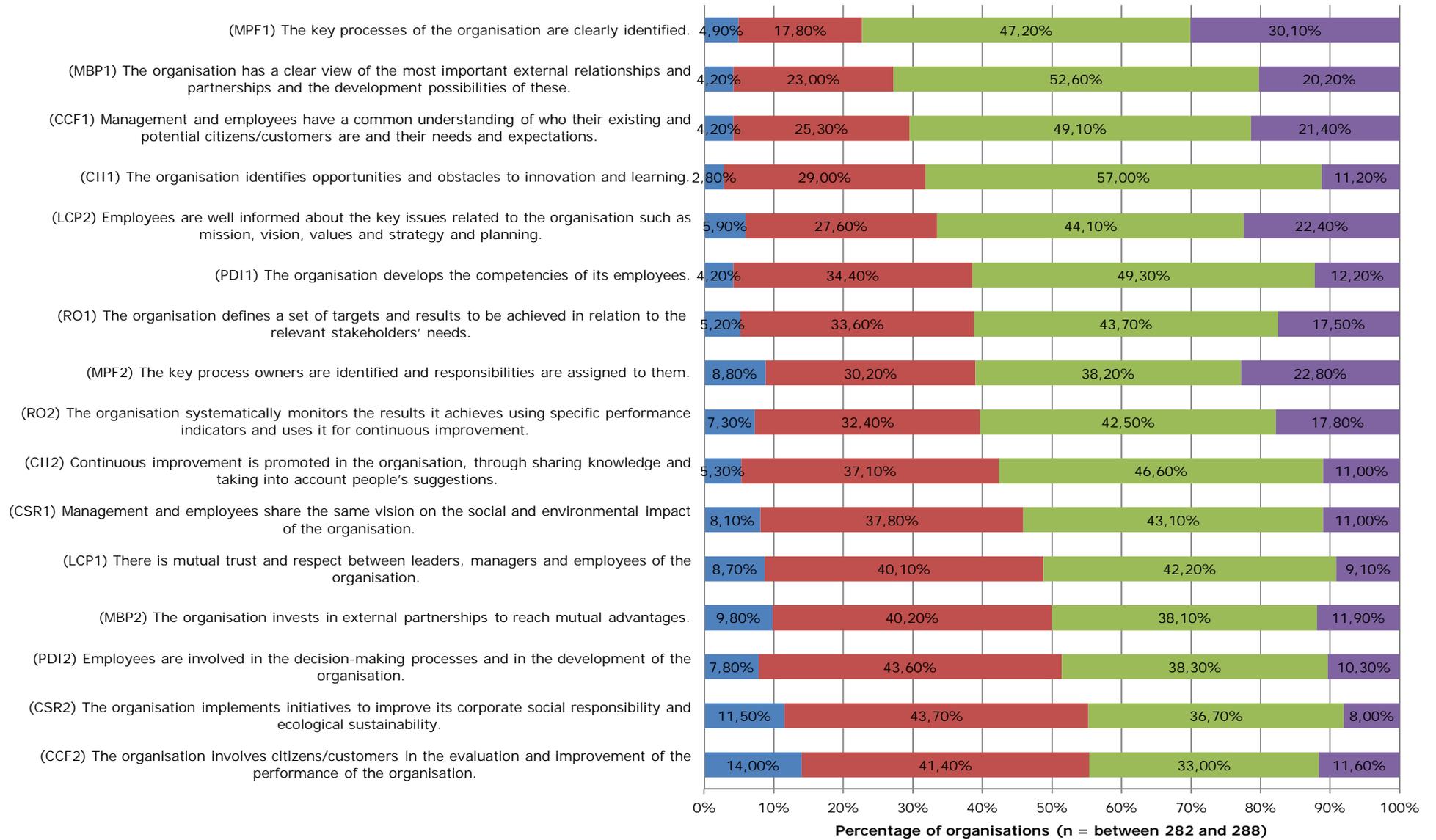


Graph 45 Shift in the TQM focus of the employees

Now that we have an overall picture of the TQM culture shift, we will have a look at the shift in every principle of excellence. The answers are summarised in graph 46. Almost all the organisations declare that using CAF results in a positive shift in every aspect of TQM culture. The weakest shift is measured in the involvement of citizens/customers in the evaluation and improvement of the performance of the organisation. In this aspect, 14% of the organisations have not improved at all, 41,4% have improved to a limited extent, 33,0% have improved to a large extent and 11,6% have improved to a very large extent. CAF leads to the biggest improvements in identifying the key processes of the organisation. More than 75% of the organisations have improved to a large or very large extent at this aspect.

The shift in the basic levels of excellence (indicated by 1) is bigger than the shift in the richer level of excellence (indicated by 2) for almost every aspect. This seems logical, as improvements on the basic level are easier to achieve. Nonetheless, the CAF also leads to improvements on the richer levels of excellence. This is another indication that CAF is evolving from a starting-up tool to a robust TQM instrument.

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



Graph 46 Improvement towards TQM excellence

6. Aspects of project management

6.1 Ten steps to improve organisations using CAF

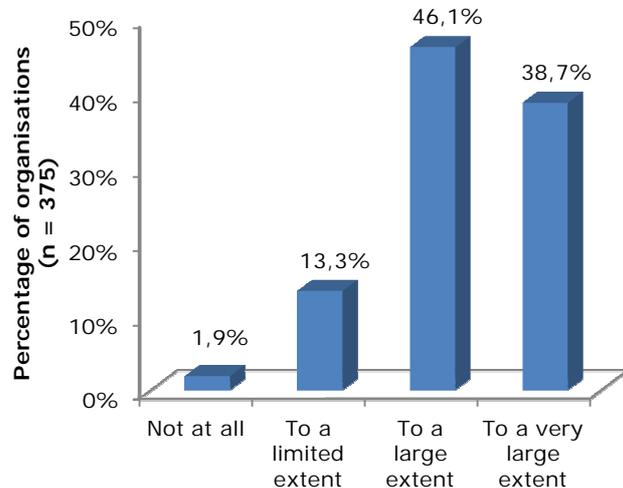
The CAF 2006 manual dedicates a chapter to the description of a 10-step process of continuous improvement using CAF (see table 8). These 10 steps serve as an inspiration for people responsible for the CAF application rather than as a precise manual for the process. Nonetheless, 85% of CAF users follow these guidelines to a large or very large extent.

Because of the value of the guidelines for the organisations, it is important that they are well developed and easy to use. In this respect, the participants were asked if they need more guidelines on the design and implementation of the improvement plan. More than 75% of the participants answered positively (see graph 48).

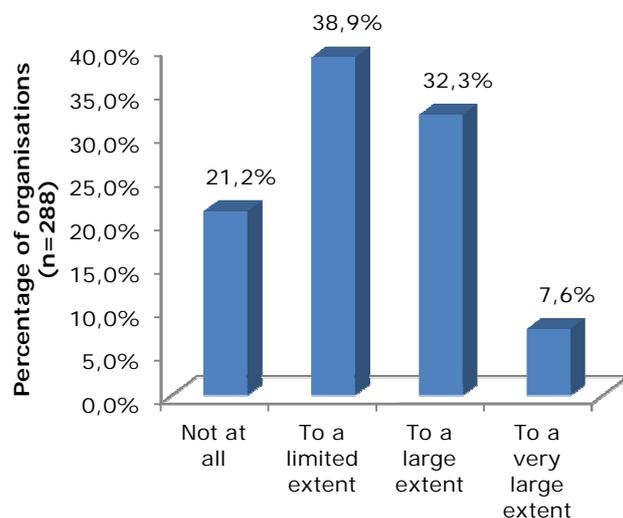
They were also asked for suggestions to complete the guidelines on the process in the CAF manual; 37 participants made suggestions. The following clusters regarding the aspects for improvement can be made:

- The part of improvements, action plan, follow up / monitoring;
- Methods / techniques, criteria for bench learning;
- The scoring method with the link to the "evidence";
- Providing the "questionnaires" / evaluation forms;
- Make the language simpler

Some of these suggestions can be linked to the obstacles encountered during the self-assessment process and the development and realisation of the improvement plan (see part 2, titles 3.6, 4.4 and 5.2).



Graph 47 Extent to which the 'Ten steps to improve organisations with CAF' were used as guide



Graph 48 The need for guidelines on the design and implementation of the IP

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

Table 8 Ten steps to improve organisations with CAF

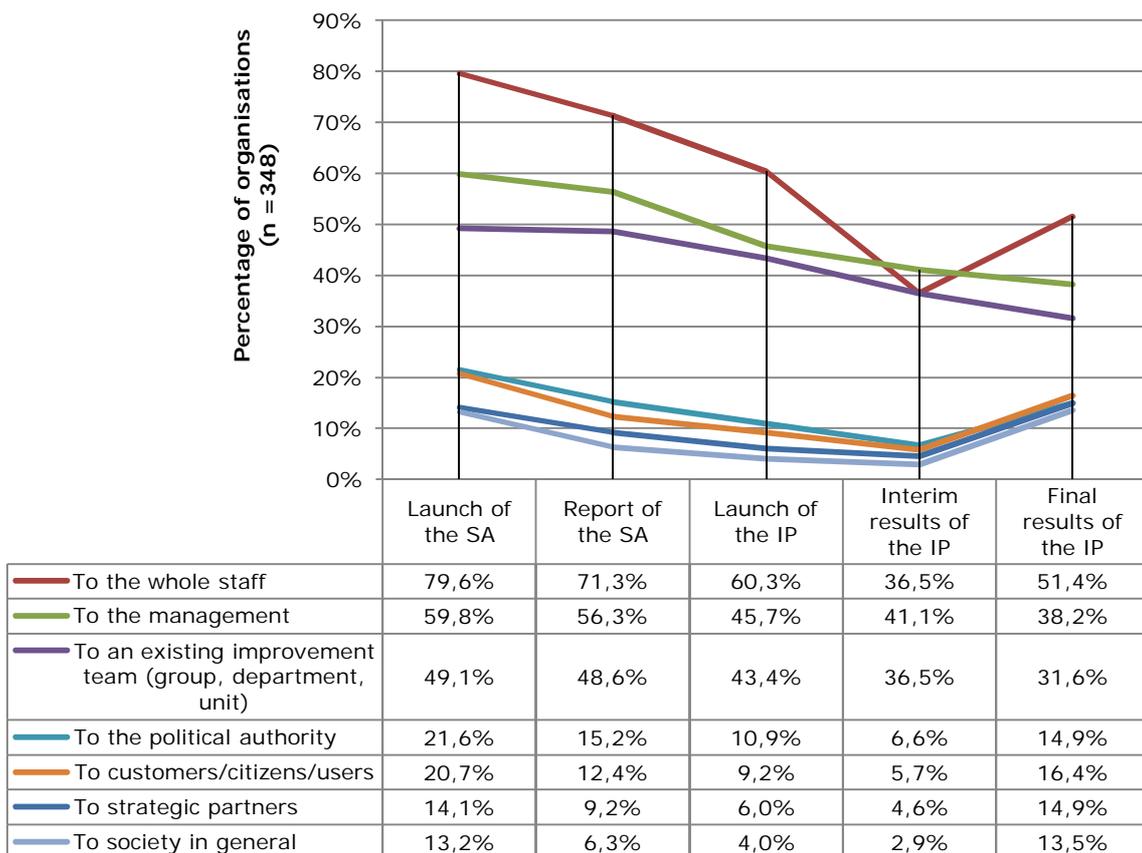
6.2 Communication

When organisations have to improve, things need to be changed. Changing things requires the support of all the stakeholders, internal as well as external. Communication is one of the critical success factors in an improvement process. It is crucial in order to build a platform for change.

CAF users tend to communicate most intensively in the first phase of the CAF application: the launch of the self-assessment. The communication decreases with every phase. Organisations communicate the least on the interim results of the improvement plan. We see a modest increase in the communication on the final results of the improvement plan, except for communication with the management and to an existing improvement team – this is surprising. One could suppose that the management is more interested in the results than in the process of the self-assessment.

Most of the communication is addressed to the whole staff, followed by communication to the top management and to an existing improvement team.

Compared with the CAF Users Study 2005, we now find more communication with all actors at the launch of the self-assessment. In particular, the communication to customers/citizens/users has improved. In 2005 only two organisations communicated to customers/citizens/users in this phase.



The phases of a CAF application

Graph 49 Communication during the implementation process

In 1996, John Kotter identified communication to all employees as one of the guiding principles for managing change in an organisation.* Eleven years later, 'communication as an essential aspect of continuous improvement' was one of the key messages in the CAF Movie.**

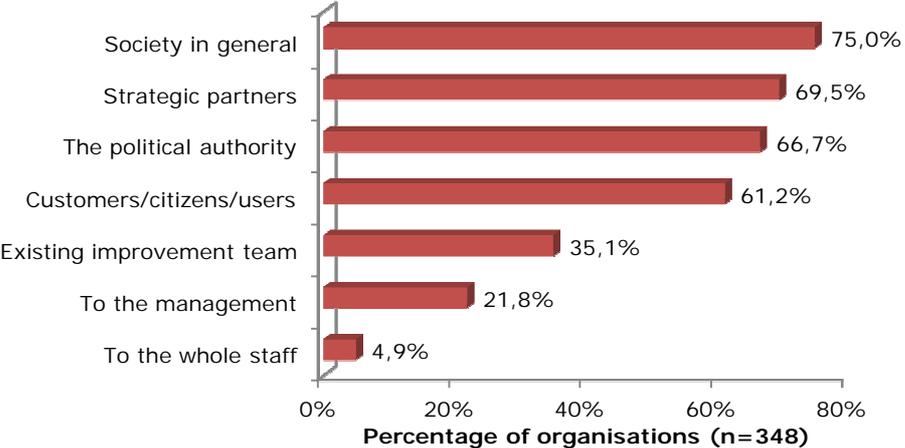
Source:

* Kotter, 1996.

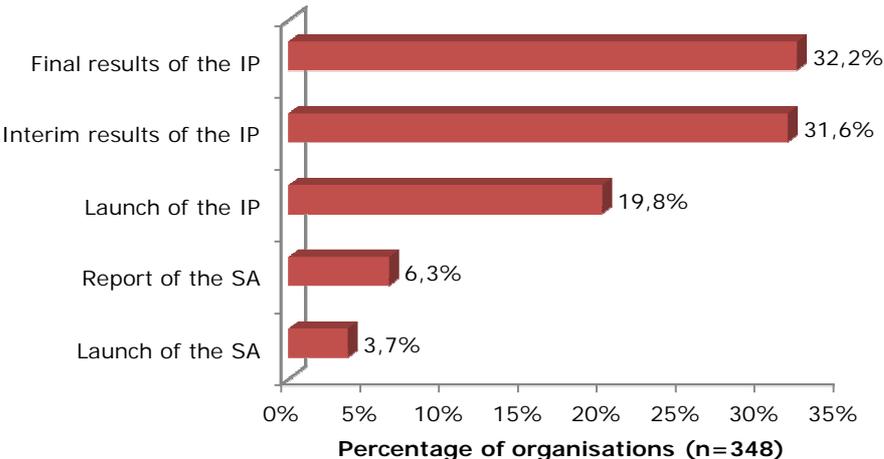
** CAF Movie, 2007, www.eipa.eu/caf.

There is now also over 30% more communication to the whole staff on the report of the self-assessment compared with 2005. Communication in the other phases and to other actors cannot be compared with 2005 because the question was slightly different.

Nevertheless, it is clear that most of the organisations underestimated the importance of communication in 2005. CAF users tend to communicate a lot more since then. However, internal communication still has the upper hand. That is in fact logical because lack of internal communication undermines one of the essential elements of an improvement process: the internal support. It is very comforting to see that only a minority of the organisations (4,9%, see graph 51) do not communicate at all to the whole staff. On the other hand, the gap between the extent of internal and external communication is huge. External stakeholders and especially the citizens/customers are involved to a far too little extent. As stated previously in the CAF Users Study 2003, without stronger external communication, the opportunity to strengthen the legitimacy of public services by showing that they are working on better performance will be missed.



Graph 51 No communication at all per actor

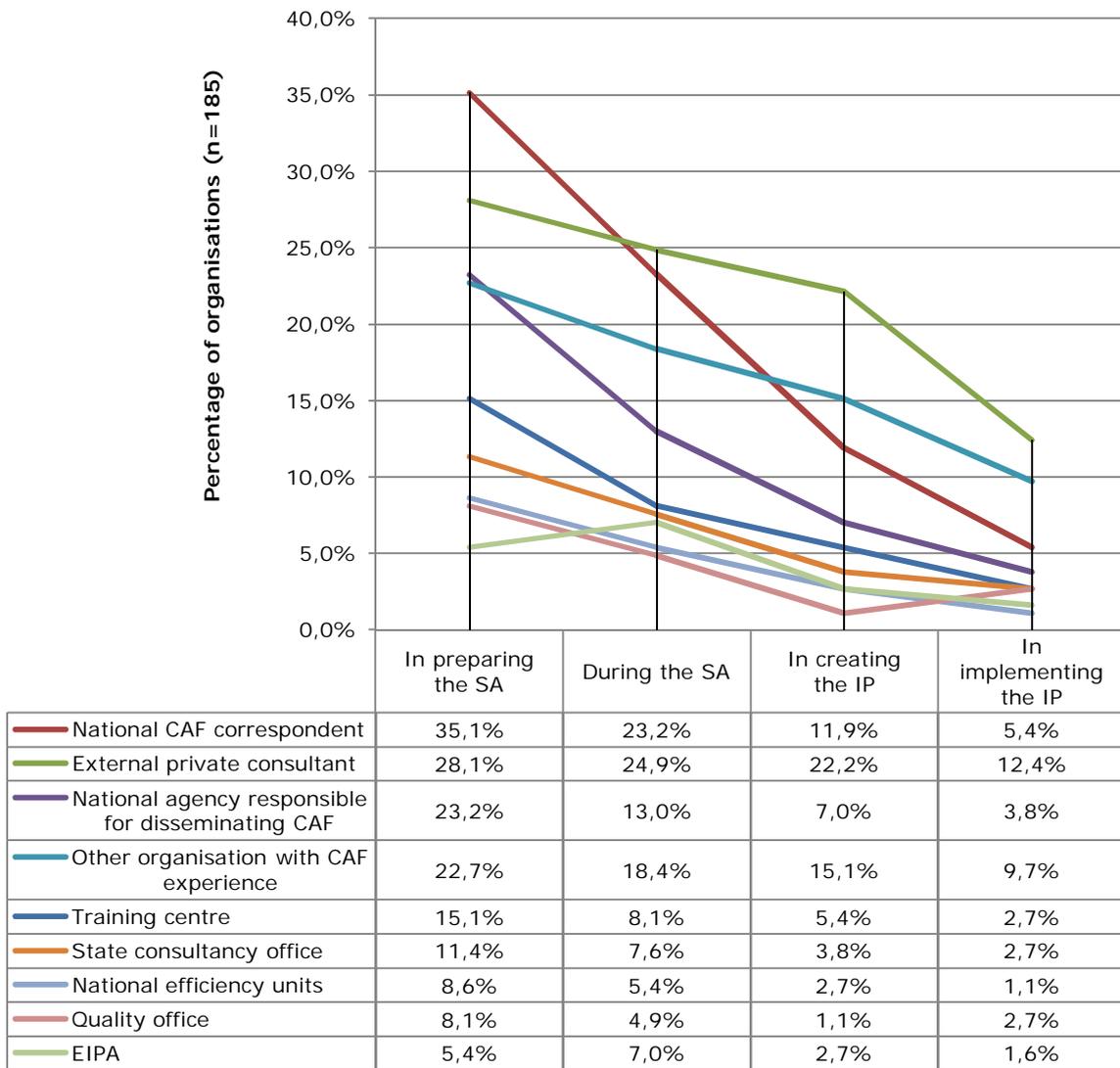


Graph 50 No communication at all per phase

6.3 External (expert) assistance

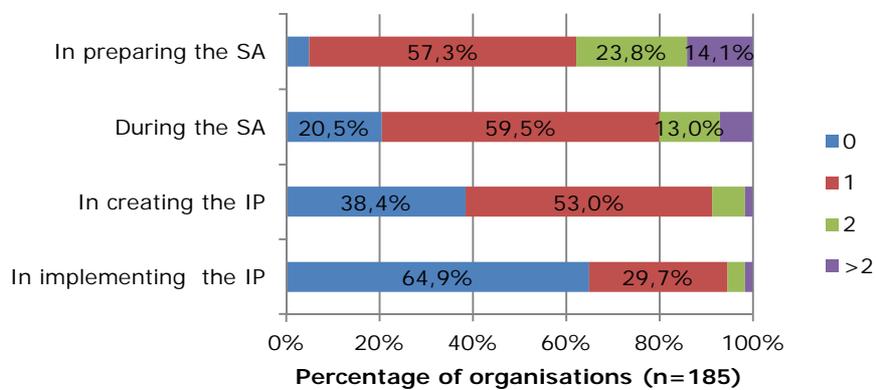
More than half of the organisations (52%) received external (expert) assistance, in particular during the preparation of the self-assessment (SA). Graph 52 and 53 only contain the organisations that received external assistance in one of the phases of the CAF process; the others are left out of the picture.

The top four external assistants in every phase are the CAF national correspondents, external private consultants, a national agency responsible for disseminating the CAF and other organisations with CAF experience. A total of 35,1% of the organisations receive help from the CAF national correspondent in preparing the self-assessment. This makes the CAF NC the most important external assistant in preparing the self-assessment. The number of organisations using the CAF NC's help decreases steeply in the three other phases, in favour of the external private consultants and other organisations with CAF experience. These two become the biggest assistants at the end of the CAF application process. Graph 53 shows that a number of organisations (14,1%) are advised by more than two external assistants in preparing the self-assessment.



The Phases in a CAF application

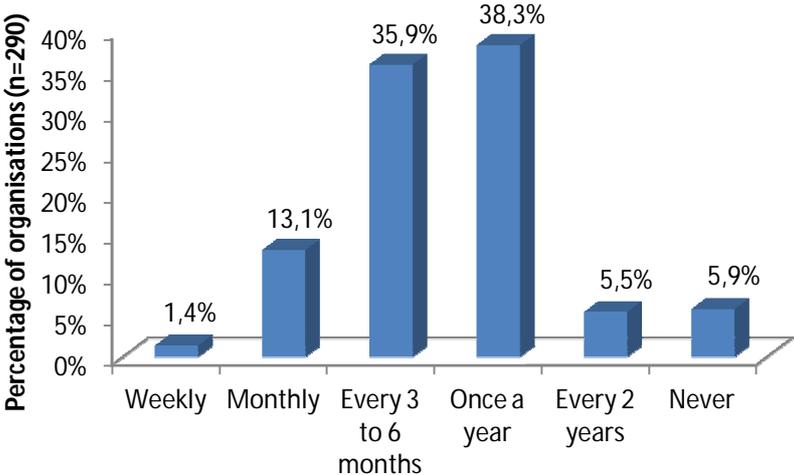
Graph 52 External assistance during the CAF process



Graph 53 Number of external assistants per phase

6.4 Monitoring by the top management

As stated earlier before, the support and commitment of the top management is crucial for a successful CAF application. The top management from half of the organisations monitor the improvement plan between a weekly basis to every 6 months. The majority of the other half of the top management monitors once a year (38%). Only 6% of the top managers never monitor.

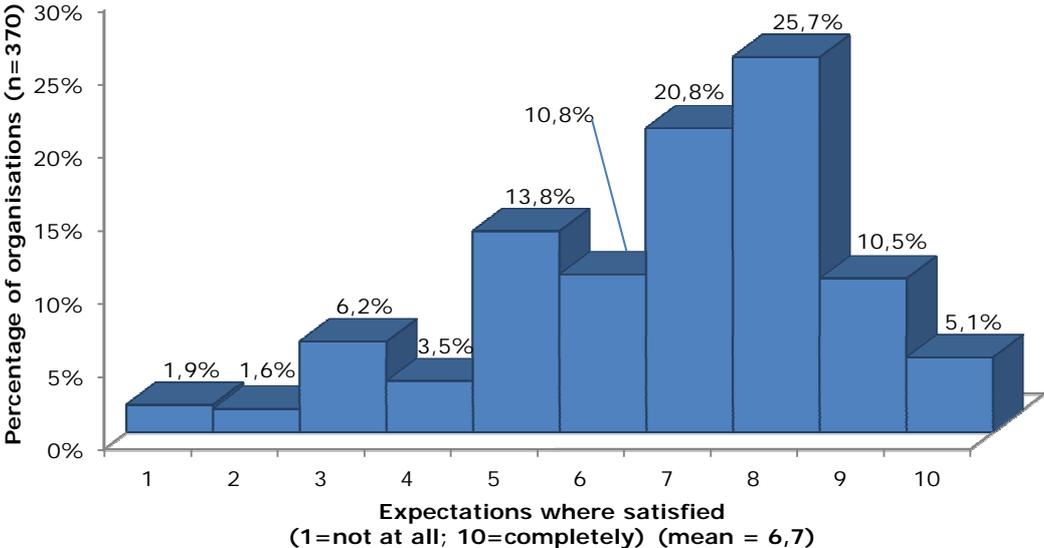


Graph 54 Monitoring by the top management

7. Satisfaction and plans for the following CAF application

7.1 Satisfaction of the expectations towards the CAF

The participants were asked to what extent the use of the CAF lived up to their expectations. The average satisfaction level was 6,7 out of 10.

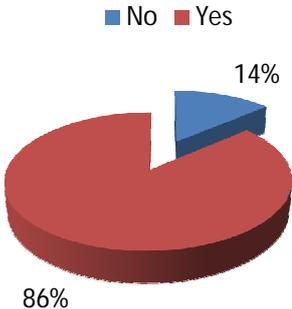


Graph 55 Satisfaction of the expectations towards the CAF

7.2 CAF again in the future

The majority (86%) of the participants will use the CAF again in the future. This is less than in 2005 (95%) but more than in 2003 (82%).

Only 50 organisations out of 407 will not use the CAF again. The main reason is that the CAF demands too much effort for the organisation, whereas the participants in 2005 mostly wanted to move to EFQM.



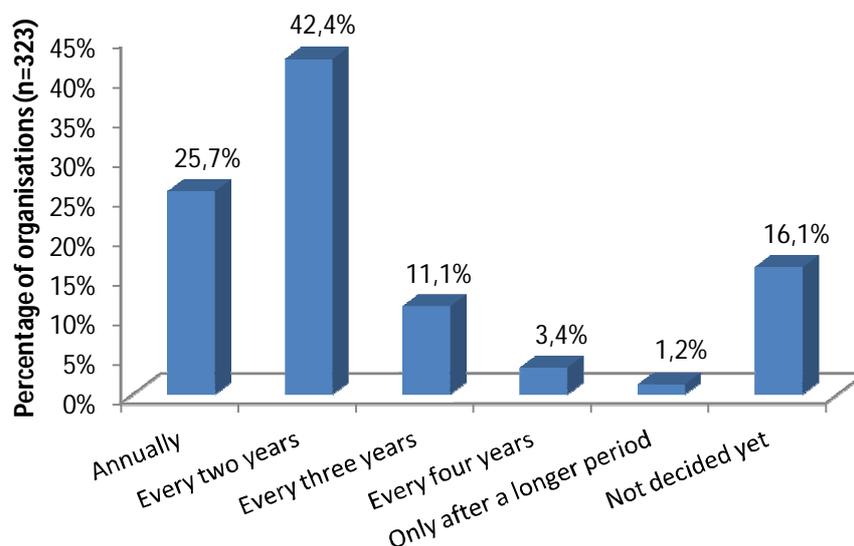
Graph 56 CAF again in the future

Reason	Important or very important
A) It is demanding too much effort from the organisation	72,5%
B) No follow up of the proposed actions in the improvement plan	38,4%
C) No external recognition	38,4%
D) We do not see any tangible results	37,5%
E) We consider CAF to be too difficult	33,4%
F) We used CAF as a first-level tool and want to move towards other TQM methods (EFQM, ...)	25,0%

Table 9 Reasons why not to use CAF again
(n = between 39 and 42)

7.3 Interval to use the CAF

The findings in the CAF 2005 study were that 33% of the organisations use CAF annually, and 44% use it every two years. Taking into account that there are now more organisations who have not yet decided, the findings in this study are more or less the same. The vast majority of the organisations plan to use the CAF every second year. As concluded in the CAF Users Study 2005, the investments in the exercise and the time needed to generate results in the improvement actions motivate this rhythm.



Graph 57 Interval to use the CAF

7.4 Lessons for future CAF application

If you intend to use the CAF again, what, if anything, would you change about how you conducted the self-assessment? This was one of the last questions in the CAF users' survey. The correspondents could indicate as many things as they wanted. Table 10 summarises the answers of 316 organisations. They are sorted in order of descending importance. Nearly half of the organisations (43,7%) would collect more data to support the assessment. More than one-third would involve the employees more, make more time for discussions in the SAG, increase the internal communication and better prepare and explain the application of the CAF. A change of method in reaching consensus in the SAG and involving trade union representatives is the least important change for the future.

Lessons learned	Percentage of organisations
A) More data collection (facts on results, etc.) to support the assessment	43,7%
B) Greater involvement of the employees	37,0%
C) More time for discussions within the SA group	36,7%
D) More internal communication of the purpose	36,7%
E) More (or better) preparation and explanation	35,4%
F) A stronger involvement of key persons	29,7%
G) Make sure that other priorities and activities do not get in the way	28,2%
H) Different composition of the SA group	26,6%
I) Stronger management involvement	22,5%
J) More careful selection of the right moment for SA	21,5%
K) More external communication	18,0%
L) More (or better) external assistance	17,1%
M) We don't want to change anything next time	8,9%
N) Change of method in reaching consensus in the group	6,6%
O) Involvement of trade union employees/representatives	5,7%
P) Other	2,5%

Table 10 Lessons for a future CAF application

Conclusions

“It should be stressed that 86 % of the users want to use the CAF again in the future, which is maybe the most important indicator of the users’ satisfaction. Nevertheless, there is also enough information coming out of this study which should prevent the CAF community from becoming too self-satisfied. Challenges lie before us and it will be up to the CAF Expert Group to face them in an appropriate way in order to make the model even stronger and more sustainable for the future.”

Conclusions

As stated in the introduction, the purpose of this study was three-fold: (a) to collect information on the use of CAF and the dissemination and support in the Member States; (b) to analyse whether there is a need to improve the CAF model itself; and (c) to look for new opportunities to further spread its use.

The sustainable growth of the CAF users and the potentialities for the further spreading as expressed by the national CAF correspondents, confirm that the TQM culture remains attractive for the public sector in Europe, and does have a future. Even in times of budgetary restrictions and austerity, the involvement of the civil servants in the improvement of the efficiency and effectiveness of their organisation through the use of an excellence model such as CAF, constitutes a way out of defeatism and lethargy. The holistic approach of organisational development, taking into account all stakeholders needs, including the authorities, citizens/customers, partners and the people working in the organisation, contributes in this way to strengthening the legitimacy of the public sector. But the study also shows that there is still a lot of work to do to reach the whole of the public sector in the EU with these concepts. The change of culture towards TQM remains limited in relation to the entire public sector. Even in those countries where the impact of CAF was estimated to be important, the success depends directly on the total number of CAF users and thus on the engagement of the political authority to foresee the necessary resources for the promotion and support of CAF. As important as this was in the launching period of CAF, it continues to be so now and will also be in the future. Therefore, the need to approach the political authorities so that at least they sponsor total quality in their administrations remains of the highest priority.

The national correspondents advanced more proposals for improvement to the model than the CAF Users themselves. But even amongst the correspondents, they are of the strong opinion that not too much energy should be spent in rewriting the model. Sustainability, transparency and ethics should be put forward more as well as the principles of excellence in corporate social responsibility, partnerships and innovation, and creativity. Improvements on the wording of the model and the selection of the examples can be made, guidelines on improvement planning and implementation can be further developed and a new attempt to stimulate benchlearning with CAF can be undertaken; but the CAF Expert Group will have to reflect carefully upon how far it wants to go in these adaptations since the CAF model seems to have achieved a relative stability. For the sustainability of the model, the users of the CAF 2006 must easily find their way around the CAF 2012.

The procedure of external feedback (PEF) still has to be started up in most of the countries and it is too early to draw conclusions on the validity of the system. But it must be clear that without support from the authorities, based on their conviction of the added value of CAF itself, the PEF and the Effective CAF User label will not be a success.

A total of 407 public organisations from 27 different nationalities invested their precious time in answering the comprehensive and demanding survey, showing in this way their dedication to the model. The high number of respondents from the “new” Member States such as Hungary, Poland and Slovenia – states that were not involved in the creation of CAF – shows that the CAF has achieved a real breakthrough in these countries. The answers illustrate that the CAF is used as it is intended to be: a holistic instrument, used by most of the organisations on their own initiative to strengthen their functioning. They want to keep the model simple, also in the scoring system, although already 23,5 % used the fine-tuned panel. Internal communication has been improved since 2005 but communication on quality issues towards external stakeholders is very limited. The major obstacles for the use of CAF did not lie in the model itself but in the modalities of implementation. Many organisations though seem to struggle with the improvement plan. How to prioritise actions, include them in the normal strategic and operational planning and monitoring the execution, is for many still the subject of a learning process. This confirms the need for more guidelines on this issue. One can discuss whether 40% limited to no impact of an action plan coming from a CAF self-assessment is a good or a bad result, but we consider this as an opportunity for progress.

For the first time, this study tried to measure the impact of the use of CAF on the culture of Excellence in the applying organisations. In the organisations using CAF, 45% of the employees are affected by the TQM culture. In some areas the impact is relatively high, e.g. on key processes, stakeholders and citizens orientation; however, a lot of work still remains to be done on real involvement of the citizen/customer and the employees. The mentality is changing but the four dimensions of real citizens’ involvement (e.g. co-design, co-decision, co-production and co-evaluation) are only very partially present in the participating organisations.

The average satisfaction level on the use of CAF of 6,7/10 reflects that the users of CAF are satisfied. It should also be stressed that 86% of them want to use the model again in the future, which is maybe the most important indicator of the users’ satisfaction. Nevertheless, there is also enough information coming from this study which should prevent the CAF community from becoming too self-satisfied. Challenges lie before us and it will be up to the CAF Expert Group to face them in an appropriate way in order to make the model even stronger and more sustainable for the future.

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Appendices

Appendix 1: List of abbreviations

CAF NC	CAF National Correspondent
CAF RC	CAF Resource Centre
ECU	Effective CAF User Label
EIPA	European Institute of Public Administration
ESF	European Social Fund
n	Number of responses (per question)
PEF	Procedure on External CAF Feedback
SA	Self-assessment
SAG	Self-assessment group

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All these organisations are public, unless stipulated otherwise

(1) private

(2) non-profit

CAF NATIONAL CORRESPONDENT	PARTNER ORGANISATION
Austria <i>Michael KALLINGER</i> <i>Sandra KASTENMEIER</i> Federal Chancellery Vienna	KDZ – Zentrum für Verwaltungsforschung (Center for Public Administration Research) (2) Vienna
Belgium <i>Jean-Marc DOCHOT</i> Federal Public Service P&O Brussels	No
Cyprus <i>Lenia ORPHANIDOU</i> <i>Eleni GEREODAKIS</i> Public Administration and Personnel Department Ministry of Finance Nicosia	No
Czech Republic <i>Karel BLAHA</i> Ministry of the Interior Prague	No
Estonia <i>Karin NÄREP</i> Ministry of Finance Tallinn	No
Finland <i>Johanna NURMI</i> Ministry of Finance Public Management Department Helsinki	No
Germany <i>Astrid STEIN</i> Federal Office of Public Administration German CAF-Centre Cologne	Kommunale Gemeinschaftsstelle für Verwaltungsmanagement (KGSt) (2) Cologne

<p>Greece <i>Nikos MICHALOPOULOS</i> Ministry of the Interior, Decentralisation, E-government General Secretariat of Public Administration and E-government Athens</p>	No
<p>Hungary <i>Leticia FEKETE</i> Ministry of Public Administration and Justice Budapest</p>	No
<p>Italy <i>Sabina BELLOTTI</i> Department for Public Administration Rome</p>	Formez PA Rome
<p>Latvia <i>Inese VAIVARE</i> State Chancellery Riga</p>	No
<p>Lithuania <i>Lina SEMETULSKYTE</i> Ministry of the Interior Vilnius</p>	Lithuanian Institute of Public Administration (2) Vilnius
<p>Luxembourg <i>Guy WAGENER</i> Ministry for Civil Service and Administrative Reform Luxembourg</p>	Public Research Centre Henri Tudor Luxembourg
<p>Malta <i>Ian CILIA PISANI</i> Office of the Prime Minister Management Efficiency Unit Blata l'Bajda</p>	No
<p>Norway <i>Gudrun VIK</i> Agency for Public Management and e-Government Oslo</p>	No
<p>Poland <i>Marta KUZAWINSKA</i> Chancellery of the Prime Minister Warsaw</p>	No

<p>Portugal <i>Cristina EVARISTO</i> Directorate General for Administration and Public Employment Lisboa</p>	<p>No</p>
<p>Romania <i>Steluta BULACEANU</i> Ministry of Administration and Interior Bucharest</p>	<p>No</p>
<p>Slovak Republic <i>Monika JURKOVIČOVÁ</i> Slovak Office of Standards, Metrology and Testing Bratislava 15</p>	<p>No</p>
<p>Slovenia <i>Gordana ŽURGA</i> Ministry of Public Administration Ljubljana</p>	<p>No</p>
<p>Spain <i>Eloy CUÉLLAR</i> AEVAL – National Agency for the Evaluation of Public Policies and Quality of Services Department for Quality of Services Madrid</p>	<p>A collective partner : The interadministrative network for quality of public services (secretariat carried out by AEVAL)</p>

Appendix 4: Answers from CAF NC on open questions

Table 11 Examples of the impact of the CAF in the member states (see part 1, title 2.3)

Austria	Some regional governments implemented the CAF in almost all district authorities – action plans were worked out and implemented in the organizations – so each organization moves on in the process of modernization and further more has the possibility to use CAF for bench learning.
Hungary	CAF application has been ordered by the management of the public organisations mostly as compulsory task without real commitment for introducing improvement actions. The mandatory application of CAF is not the most suitable way for changing culture in the public sector.
Italy	Over the past 10 years more than 1500 Italian administrations took part to the CAF model promotion initiatives and to the implementation actions and nowadays more than 350 Italian administrations have already used the model and many others are interested to do it. This result was stimulated by mean of some relevant political acts: the Directive for quality in PAs, issued on December 2006, and the Legislative Decree 150/2009. With the Directive for quality in PAs all public administrations were invited to introduce self assessment practices as a mean to implement continuous improvement actions aimed at increasing the overall quality of performances and services delivered to citizens and enterprises. The Directive suggested the use of TQM and excellence models in general but a special focus was given to the CAF model recommended to the “beginners”. In 2009 the Legislative Decree 150/2009 introduced a special focus on measurement, evaluation and improvement of the performance. To that purpose all public administrations have to guarantee a correct management of the so called “performance cycle”. The strategic approach for a performance based evaluation system capitalizes on the users/citizens demand for quality of service delivery and in this perspective CAF plays again an important role. Last the CAF has been promoted as a useful tool in the context of the guidelines delivered in 2010 to help PAs in implementing the principles of the ongoing reform (2009). It can be said that the political commitment to promote the model is both a key factor for the diffusion of the model and a result of the diffusion itself. So the CAF has on one site stimulated a change of culture at political level, with an increased focus be given to the assessment of the performance and the process of continuous improvement. On the other site the CAF has contributed to spread a culture and a practice of self assessment among a relevant and always increasing number of Italian PA's.
Latvia	Use of CAF in public bodies is an indicator of the change culture itself. In Latvia it is very popular to introduce ISO standards in public bodies but organizations are slowly recognizing the overall value of CAF as a self-assessment tool. The interest has always been high but there has lacked a decision by higher level executives for introduction of the tool.
Malta	It will install more transparency, more accountability and more empowerment.
Norway	To a very limited extend in the country as a whole, but In a modest way in the organizations using CAF.
Poland	<p>One of the experts, a practitioner, I've questioned about it has written about deep changes in people mindsets and new attitudes, especially in an area of team work. The changes are more often at local government level, but not only. Another says that the “CAF exercise in many public institutions is often the first experience of real teamwork, ownership and shared responsibility. It switches management & employee focus from the internal perspective to the external one, spotting citizen/client interest and building awareness of ethical behaviour”.</p> <p>Some of the proofs for the above thesis I've been delivered with:</p> <ul style="list-style-type: none"> • repeated self-assessment - often as soon as possible - to preserve team spirit, that has been built during the first CAF exercise; • wide employees' participation in improvement project teams (far exceeding the size of SA group) • observers' participation in CAF activities (guest attendants - employees from the related institutions, who wish to learn from colleagues how to apply CAF on their own ground); • code of conduct and set of organizational values as the first improvement actions in many organizations that apply CAF first time <p>There are also more concrete, result-oriented changes, enumerated by one of our experts for the organizations that used the CAF:</p>

1. Having learnt the 8 principles of excellence & the PDCA cycle as well as getting familiar with the CAF model made the organizations understand the need of having and following a strategy of general management, HRM, information management etc.
2. With the 4.4. sub-criterion the knowledge management has been brought into conscious of many institutions going beyond the standard "archives procedures" regulated by laws.
3. The 5.1, 5.2 & 5.3 explained what all the processes are about. Before, having applied the ISO standards the organizations were not enthusiastic about this approach and couldn't see the profits of it.

Measuring – before the CAF started the only worry was to report the number of decisions, dossiers etc. The CAF made people understand that those measurement matters only when the results compared with the goals set for the organization. All those "results criteria" did a good job while preparing the Polish public institutions for the performance budgeting that we've just started to do.

Portugal

CAF is a starting point to create a culture change in public organizations. The organizations testimony that experience with CAF: - help them to implement MBO in their organizations (in the scope of the Performance Assessment System – organizational and individual - which is compulsory for all public services), based on evidences, oriented results, improvement actions and stakeholders expectations; - implemented good practices such as results assessment, identification of stakeholders, introduction of PDCA cycle in the management of organization, improvement of communication in all directions (top down; bottom up) and documentation (evidence) arrangement.

Table 12 Which new themes should be integrated in the CAF model? (Themes mentioned as 'other' in graph 4)

Austria	Risk management, open government, open government data, social media, responsibility, activating citizen, co-decision and co-production.
Belgium	We should revise the content of some criteria taking into account the new information available and the progress made in other groups of the EUPAN. For example: <ul style="list-style-type: none"> • Criterion 8: see the Spanish document on the sustainability, ISO 26000,...; • Criterion 7: see the booklet published by the HRM group on the HR indicators and the Belgian group fed 20; • Criterion 5: is not yet clear enough about the definition of the key process and the examples; • Etc.
Finland	Perhaps a few hints about eGovernment, the shared use of data and interoperability.
Germany	Demography: demographic developments already have a strong impact on personnel recruitment and they change the services that governmental organisations must provide to their costumers/ citizens; Health management becomes an increasingly import part of human resource management because of growing stress for employees.
Hungary	Equal opportunities.
Latvia	It could be discussed if some indicators on how the implementation plan of CAF evaluation has been introduced. This is evaluated if organization goes for CAF label but at the same time this is a good indicator of continuity.
Malta	Rather than introducing more concepts, the CAF model should be written in a more concise way and straight to the point.
Norway	We miss a question about structure/organization.
Poland	Guidelines for integrating CAF with a law / regulations that are already present in the law systems like internal audit and now management audit.; Accountability – it seems there is a general interest and trend toward this approach. The result criteria of CAF might be a useful tool to demonstrate which areas should be shown by the authorities in the framework of reporting their activity results; Process budgeting (means services delivery processes pricing on their administrative costs side).
Slovenia	Innovation.
Spain	Public marketing.

Table 13 Reasons for the evolution of the CAF in the member states (see part 1, title 4.1)

Austria	Marketing actions (new homepage, new folder, network, external feedback) and Best Practices.
Belgium	Change takes time.
Cyprus	A) Other priorities, and especially our obligations in view of the Cyprus Presidency of the Council of the EU in 2012 and other running projects. B) The Decision of the Cyprus Council of Ministers that the CAF is implemented by all public service organisations, in the frame of the Cyprus' Academy of Public Administration training programme for the Strategic, Leading and Managerial Development of the public service, implemented in 2011 – 2015. The programme is addressed to the management staff of the public service and aims at satisfying their learning needs in the field of strategy, leadership and management and providing them with the support necessary for putting the principles learned into practice. During the programme, participants will be expected to draw action plans aiming at the systematic implementation of strategic management practices in their organisations. In this aim, the CAF application will enable them to first diagnose weaknesses and areas for improvement.
Czech Republic	Getting feedback for further improvement of the work
Estonia	Agencies (in the central government level) are now more interested in finding new solutions for their management models, probably also due to the target to be more cost-efficient. In 2011 the Ministry of Finance is also carrying out a public sector quality award (based on CAF-model), so as there is 15 agencies in this project, it's very good way to promote the use of CAF.
Finland	They say that it takes about 10 years to get any reform implemented... perhaps at the moment there is already enough experience of the CAF use available so that it supports the implementation. We now have a critical mass of people aware of the CAF. They act as good examples and ambassadors of the model. Also the current financial situation has forced organizations to take a look at their main processes and CAF is a comprehensive tool to be used for assessing what should be achieved with which resources.
Germany	The German CAF Centre does its continuous work to advance the high profile of CAF, to show its impact on efficiency and to provide the CAF users with coaching and training. The more organizations use CAF the more other organizations are interested. Brochures with practical information and QM relevant activities (e.g. interdepartmental working group) outside the CAF Centre also promote the use of CAF. The increasing use of CAF is also a result of our cooperation with various partners, e.g. in education and training.
Greece	A major breakthrough has been the launch of the National Quality Award in 2007. The CAF was the criterion for the evaluation of any public organization wanting to participate in the Award.
Hungary	There was no real evolution.
Italy	The main reasons for this evolution could be summarized in: a strong supporting policy based on political commitment; a good communication strategy which promoted the idea of the CAF application first to a sector and then to the whole organisation; the easy accessibility of all the tools and documents for CAF application through the dedicated website; many training initiatives aiming at increasing the know how about the model; the customization of the model for some strategic and pervasive sectors such as Education and Justice.
Latvia	There have been several training courses on CAF, projects that stimulated introduction. Also there were funds available from ESF for introduction QM in public sector and few organizations choose CAF. Also we have established working group from representatives of organizations who have implemented CAF and started to work on translation of materials in Latvian.
Lithuania	Financial support of ESF; Promotional activities (trainings, CAF national conferences, publications, information on website) of the Ministry of the Interior.

Luxembourg	Change of Government, changes in political priorities, lack of communication.
Malta	CAF is at the initial stages of introduction, thus increased efforts are being made in its importance and effectiveness in organizations that adopt it. One should highlight the fact that there is now consensus by the Maltese Government to introduce CAF model as the way forward to install total quality management within the Public Sector.
Norway	Increasing the last years, but stable at the moment. The last year I nearly had no time to work with CAF. Thus the new CAF-users are only among those who accidentally hear about it.
Poland	<ul style="list-style-type: none"> - Increasing awareness of public managers of their responsibilities in the quality of delivered services. - Disappointment related to ISO standards experiences in our country. - Promotion and information on benefits of CAF implementation. - Support from top governmental level (activities of Civil Service Department of Chancellery of the Prime Minister and Ministry of Internal Affairs and Administration, Dept. of Public Administration). - CAF is seen as a primary alternative for quality systems (ISO) because of costs, convenience, flexibility (scope, customization) and its value irrespective of certification/labelling - in particular, for institutions, that begin their work with the quality. - Possibility to co-finance the implementation from the ESF founding. - Global initiative of Ministry of Finance to create and implement generic quality system for 401 Polish tax offices including the CAF self-assessment . - The approach of Ministry of Interior according to which the ESF co-financing will be only possible for those initiatives of local government institution which were indicated as the improvement actions of the CAF self-assessment.
Portugal	<p>Several reasons:</p> <ul style="list-style-type: none"> - The pressure on the public services to be more effective and concerned with performance assessment and customer/citizen satisfaction (mainly through performance appraisal system); - The visibility that was given to CAF experiences (through conferences, events, publications); - The relative simplicity of the model and the possibility to use it in a free way; - Some public servants that believed in CAF and in a voluntary way have been CAF agents in their organizations.
Romania	The activities that have been undertaken by the Ministry of Administration and Interior, in order to promote the CAF, were very important for the evolution of CAF implementation in public administration. The public institutions understood the importance of a clear diagnosis, through CAF implementation, for the future planning of their activities, the prioritization and the real budget allocation. They also understood the importance of involving the employees in identifying the solutions for the existing gaps within the institution.
Slovakia	A lot of effort carried out and done by the Quality Department.
Slovenia	Support of the Ministry of Public Administration; - Introducing the CAF External Feedback
Spain	A EVAL promotes CAF in several Spanish Autonomous Communities (Regions) and municipalities

Table 14 The most important requirements for a good dissemination of the CAF in the MS, now and in the future

Belgium	To develop a communication plan focusing on people (vulgarization) and for the local administration in the French speaking part.
Cyprus	Our commitment to the CAF dissemination project.
Czech Republic	Stability of the cabinet.
Estonia	The existence of the central point for training and consultation of CAF and also for the dissemination of the information on the CAF-model. At the moment this capacity is very limited.
Finland	Our capability to support the national network and the regional networks in their CAF activities. This is a good momentum for CAF in Finland, people are active and inspired, we need to be able to support them in that.
Germany	We need leaders with great conviction and we should have financial incentives to use CAF. We need internal and external experts, our largest problem is the lack of staff.
Greece	The most important requirement would be the establishment of a legal framework that will prescribe the terms and conditions under which a public organisation could apply the CAF and will provide a system of rewards. The legal framework should also introduce the compulsory evaluation of all public organizations with the use of CAF.
Hungary	Easy to use; free of charge; governmental support and recognition.
Italy	The most important requirement and condition to disseminate the CAF is the continuity of the supporting policy aimed at spreading the knowledge of the model. The involvement of public and private stakeholders, the partnership with national and regional actors, the contribution of many experienced organizations are also important key success factors. Last but not least, initiatives for people empowerment involving the organizations using the CAF play a key role.
Latvia	Translation of materials in Latvian but unfortunately there have not been any resources for doing this by now. Therefore we have started to collect working materials from organizations who have introduced as they are in Latvian.
Lithuania	Support of EU structural funds for the implementation of quality management models. Continuous publicity and promotion (through conferences, publications, internet) on the national level.
Luxembourg	To create a network of CAF users, to create a dynamic of change and exchange, to have the full support of political leaders
Malta	Ease of use of the model, support at national level and the possibility of certification (Procedure on External Feedback, PEF).
Norway	Leader support and time to spend on the task for the national correspondent.
Poland	<ul style="list-style-type: none"> - For new users: stable and accessible financing (now projects financed by EU structural funding) as well as possibilities for financing the improvement actions. - Easy access to information about CAF, education initiatives (especially conducted in a national language), guides, best practices etc. The best recommendation for small units of local government is the one given by peer organizations. - Strengthening the exchange of good practices about CAF use is crucial. - Strengthening the top management consciousness and involvement in the CAF applications. - Switching the focus from self-assessment to improvement action. CAF is frequently seen as a tool of evaluation/assessment and not often enough as a tool for improvements. - Access to national External Feedback - The decisive level of administration (e.g. ministries, chief inspectors etc.) must be aware of CAF benefits and involved in the promotion of the CAF. - CAF should be recognized as one of the possible and recommended tools for "management audits" (obligation from 2009 Polish Law on Public Finances) - - Using quality management tool should be promoted by giving the users concrete benefits. For example the approach of the Ministry of Administration to accept for co-financing only projects being the result of CAF self-assessment.

Portugal	Order of importance: 1. Engagement of CAF in ongoing government measures to improve performance and quality in public services. 2. Commitment of the national CAF Agency (DGAEP) leadership to facilitate and drive forward dissemination actions. 3. Allocation of resources to CAF activities.
Romania	The most important requirement is to create a CAF Network at the country level.
Slovakia	Top management interest and support.
Slovenia	Constancy of Purpose.
Spain	<ul style="list-style-type: none">- Availability of documents and electronic tools in Spanish.- Bench learning electronic tools, blogs, etc.- Presentation of CAF experience in the Spanish Quality Conferences, or in monographic events.

Table 15 Why are some actions to disseminate the CAF in your country not undertaken?

Austria	In Austria CAF has no legal foundation.
Belgium	Other quality tools are promoted: satisfaction survey (people and customer), leadership development, competence management model, complaint management,....
Czech Republic	Because of financial reasons.
Estonia	Due to the limited resources (there are no special units or even full-time positions for this kind of activities).
Finland	The lack of resources (and a lack of suitable structures) is the main reason for not yet taken some actions, e.g. PEF. We highly depend on the activity of our networks as we do not have an agency that could carry out this sort of activities and it is not really a job for a ministry either.
Germany	The development of quality management in the organisations of public administration is not an important political goal. People do not find the link between QM/CAF and their own daily work.
Hungary	Lack of governmental commitment and financial support; CAF was not integrated into the governmental or organisational strategies; Lack of bench learning possibilities (conferences, trainings, database of best practices etc.); Lack of recognition (e.g. national CAF award).
Latvia	To organize conference/seminar on CAF. This was supposed to take place in spring but we hope to organize it in autumn. Also the organizations that have started CAF might be finished it in autumn and we would have more experiences in event.
Luxembourg	Lack of possibilities to communicate on CAF, interference with the political agenda of the moment.
Malta	Since CAF is at the initial stages of adoption, the most important action to be taken is to "sell" this model to public entities. In this respect we have started one to one meetings with various Ministries to inform them about the CAF model, the advantages of introducing such a management tool. Other actions required to disseminate this model will follow suit. Concurrently four pilot projects are currently being undertaken, with diverse departments and entities to assess the difficulties that one could encounter before introducing the CAF model in a more widespread way.
Norway	The TQM has not been embraced by the public administration at the governmental level, and the name "quality tool" is not selling as good as a tool for self assessment would have done. Change of top management in our ministry could change this attitude, in other words it is very dependent on the persons in charge.
Poland	- At a national level: lack of experienced coaches/experts especially working in public institutions who might lead new activities. - Innovation and quality management in public administration are still not appreciated enough, they are not enough part of national strategies.
Portugal	- Changes in the human resources assigned to CAF activities, in last three years, obliged a reorganisation of priorities. - Difficulties to put CAF in the political agenda mainly due to budget constraints.
Romania	We have undertaken lots of actions to disseminate the CAF.
Slovakia	Weak support from the management side, not enough information on the CAF Model in the highest positions.
Slovenia	Dissemination of CAF follows combination of demand and supply driven approach.

Appendix 5: Results of the CAF users survey per country

Country	CAF experience				Total
	Once applied	Twice applied	Three times applied	More than three times applied	
Austria	7 (70,0%)	2 (20,0%)	0 (,0%)	1 (10,0%)	10 (100,0%)
Belgium	6 (54,5%)	2 (18,2%)	1 (9,1%)	2 (18,2%)	11 (100,0%)
Dominican Rep.	4 (33,3%)	3 (25,0%)	2 (16,7%)	3 (25,0%)	12 (100,0%)
Finland	9 (90,0%)	1 (10,0%)	0 (,0%)	0 (,0%)	10 (100,0%)
Germany	7 (70,0%)	2 (20,0%)	1 (10,0%)	0 (,0%)	10 (100,0%)
Hungary	64 (72,7%)	5 (5,7%)	2 (2,3%)	17 (19,3%)	88 (100,0%)
Italy	27 (67,5%)	7 (17,5%)	4 (10,0%)	2 (5,0%)	40 (100,0%)
Lithuania	7 (77,8%)	2 (22,2%)	0 (,0%)	0 (,0%)	9 (100,0%)
Norway	11 (44,0%)	4 (16,0%)	4 (16,0%)	6 (24,0%)	25 (100,0%)
Poland	43 (72,9%)	15 (25,4%)	1 (1,7%)	0 (,0%)	59 (100,0%)
Portugal	17 (77,3%)	5 (22,7%)	0 (,0%)	0 (,0%)	22 (100,0%)
Slovakia	7 (58,3%)	3 (25,0%)	2 (16,7%)	0 (,0%)	12 (100,0%)
Slovenia	11 (32,4%)	13 (38,2%)	7 (20,6%)	3 (8,8%)	34 (100,0%)
Other ¹⁸	26 (68,4%)	11 (28,9%)	1 (2,6%)	0 (,0%)	38 (100,0%)
Total	246 (64,7%)	75 (19,7%)	25 (6,6%)	34 (8,9%)	380 (100,0%)

(Remark: significant, $p = .000$)

Table 16 Crosstabs: CAF experience per country

¹⁸ The category 'other' contains the following countries Bosnia-Herzegovina, Bulgaria, Croatia, Cyprus, Denmark, Greece, Latvia, Romania, Spain, Sweden, Switzerland, the Czech Republic, the United Kingdom and the European Institutions.

Country	Type of scoring panel			Total
	Classical	Fine tuned	None of them	
Austria	10 (100,0%)	0 (,0%)	0 (,0%)	10 (100,0%)
Belgium	10 (100,0%)	0 (,0%)	0 (,0%)	10 (100,0%)
Dominican Rep.	5 (45,5%)	1 (9,1%)	5 (45,5%)	11 (100,0%)
Finland	6 (60,0%)	1 (10,0%)	3 (30,0%)	10 (100,0%)
Germany	8 (80,0%)	2 (20,0%)	0 (,0%)	10 (100,0%)
Hungary	63 (73,3%)	22 (25,6%)	1 (1,2%)	86 (100,0%)
Italy	15 (39,5%)	17 (44,7%)	6 (15,8%)	38 (100,0%)
Lithuania	7 (77,8%)	2 (22,2%)	0 (,0%)	9 (100,0%)
Norway	21 (84,0%)	3 (12,0%)	1 (4,0%)	25 (100,0%)
Poland	39 (69,6%)	16 (28,6%)	1 (1,8%)	56 (100,0%)
Portugal	19 (86,4%)	2 (9,1%)	1 (4,5%)	22 (100,0%)
Slovakia	8 (66,7%)	4 (33,3%)	0 (,0%)	12 (100,0%)
Slovenia	22 (64,7%)	12 (35,3%)	0 (,0%)	34 (100,0%)
Other ¹⁹	27 (73,0%)	5 (13,5%)	5 (13,5%)	37 (100,0%)
Total	260 (70,3%)	87 (23,5%)	23 (6,2%)	370 (100,0%)

(Remark: significant at .000)

Table 17 Crosstabs: Type of scoring panel per country

¹⁹ The category 'other' contains the following countries Bosnia-Herzegovina, Bulgaria, Croatia, Cyprus, Denmark, Greece, Latvia, Romania, Spain, Sweden, Switzerland, the Czech Republic, the United Kingdom and the European Institutions.

Appendix 6: Detailed information on the bivariate (ANOVA) analysis in part 2

In order to have an impression of which factors in the preparation of the self-assessment have an influence on the amount of obstacles encountered, an index of the obstacles was made. First, each level of extent received a score: not at all (0), to a limited extent (1), to a large extent (2) and to a very large extent (3). Secondly, the scores of all the obstacles were added together for each organisation. This resulted in a score per organisation representing to what extent they had encountered obstacles in the course of the self-assessment. Thirdly, we looked if there was a significant relationship between the extent of obstacles and other factors by means of a one way analysis of variance (one way ANOVA)²⁰. Four statistical significant relationships were found. The factors were: CAF experience, the preparation of the self-assessment group (SAG) with an explanation of the CAF, the preparation of the SAG with training on the CAF and the preparation of the SAG with documentation on the CAF.²¹

The graphs on the following page illustrate the effects these four factors have on the amount of obstacles encountered in the course of the self-assessment. The dots in the middle of the lines represent the mean score for all organisations. The upper and lower end of the lines are the mean added or reduced with one standard deviation²².

All four factors are inversely related to the extent of obstacles encountered during the self-assessment. In other words, an increase on these factors is associated with a decrease of the extent of obstacles. Before we discuss all four relations into detail, we want to stress that some categories represent a very small number of CAF users. Therefore, the number of organisations is always indicated as 'n' between the brackets. The categories with few CAF users are: 'three times applied' for the factor 'CAF experience' (n = 6), 'not at all' for the factor 'an explanation of the CAF' (n = 1) and 'not at all' for the factor 'training' (n = 2). As the means for these categories are calculated on the situation of a few number of CAF users, they could possibly be biased and not representative. Therefore, when looking at the results of this analysis, we should only look for the big tendencies.

The mean score for the extent of obstacles encountered decreases as the *CAF experience* increases: once applied (n = 78, mean = 24,68), twice applied (n = 27, mean = 19,52), three times applied (n = 10, mean = 17,4) and more than three times applied (n = 6, mean = 19,33).

Preparation of the SAG with *an explanation* of the CAF also reduces the extent of obstacles encountered: not at all (n = 1, mean = 41,00), to a limited extent (n = 14, mean = 29,14), to a large extent (n = 61, mean = 22,85) and to a very large extent (n = 44, mean = 19,70).

The same applies to *Training* of the SAG: not at all (n = 2, mean = 25,00), to a limited extent (n = 30, mean = 26,70), to a large extent (n = 48, mean = 23,23) and to a very large extent (n = 40, mean = 18,78).

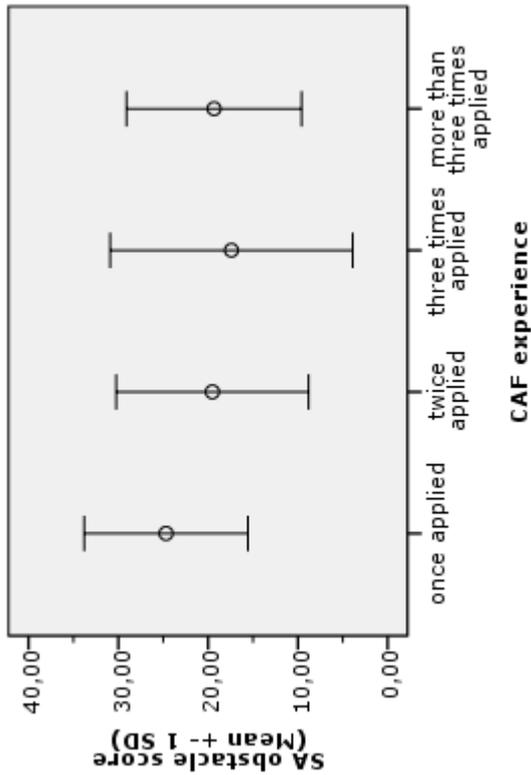
²⁰ By analysing the variances, the method tests for significant differences between class means.

²¹ No homogeneity was found for any of these four factors. All were significant at .05 (respectively .028, .005, .012 and .001). The ANOVA analysis is based on a total of respectively 121, 120, 120 and 119 organisations.

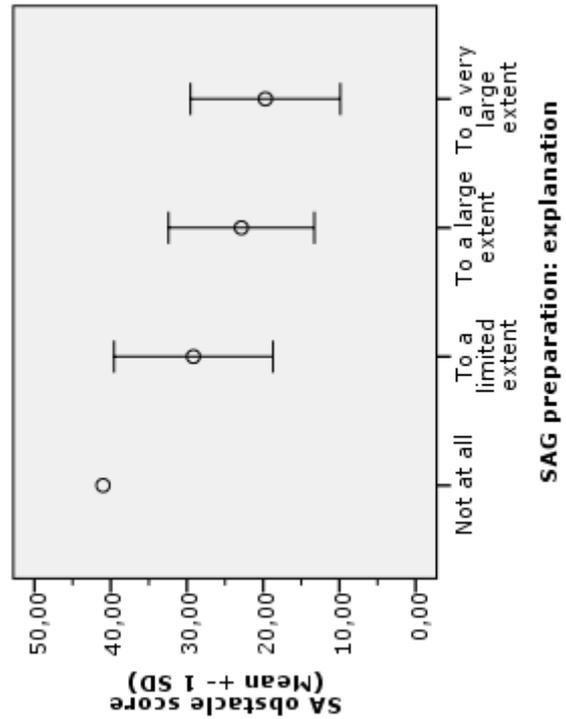
²² The standard deviation shows how much variation or "dispersion" there is from the average (mean, or expected value). A low standard deviation indicates that the data points tend to be very close to the mean, whereas high standard deviation indicates that the data are spread out over a large range of values. (wikipedia, September 2010)

Preparation of the SAG with *documentation* is not different from the two other forms of preparation. It has a good effect too: to a limited extent (n = 23, mean = 28,35), to a large extent (n = 67, mean = 22,66) and to a very large extent (n = 29, mean = 17,76).

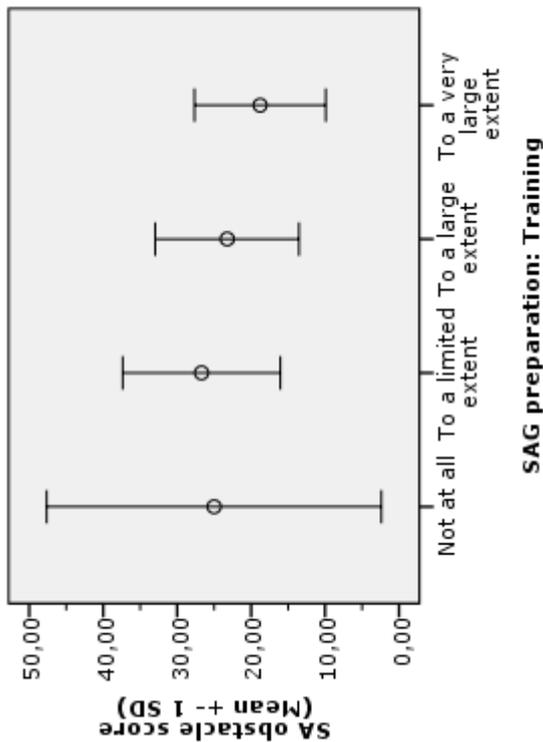
We can conclude that CAF experience and preparing the self-assessment group reduces the number of obstacles encountered during the self-assessment with the CAF.



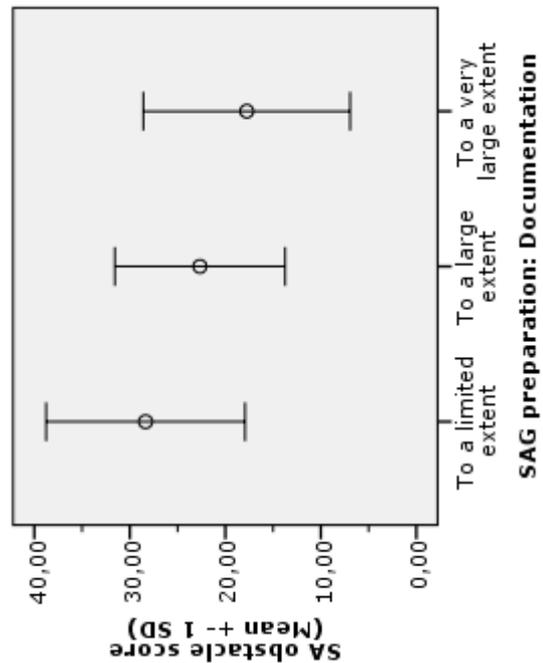
Graph 58 Crosstabs: CAF experience versus extent of obstacles in the SA



Graph 59 Crosstabs: Explanation of the CAF to the SAG versus extent of obstacles in the SA



Graph 60 Crosstabs: Training of the SAG versus extent of obstacles in the SA



Graph 61 Crosstabs: Documentation on the CAF for the SAG versus extent of obstacles in the SA

Appendix 7: CAF NC Survey 2011

CAF Questionnaire for National Correspondents

I. Identification

1. Country

2. Name of the CAF National Correspondent

3. The organisation in charge of the CAF in your country
 - Name

 - Location

 - Type of the organisation
 - public
 - private
 - non-profit

4. Do you have a national partner that assists the organisation in charge of CAF in your country?
 - Yes
 - No

5. The national partner assisting the organisation in charge of CAF in your country
 - Name

 - Location

 - Type of the organisation
 - public
 - private
 - non-profit

II. Application of the CAF in your country

1. Sector activity and potential

Below you will find a list of sectors the CAF can be applied in. Please indicate in the left hand column to what extent the CAF is used in each sector in your country at this moment. Please indicate in the right hand column the potential for the near future. The number of organisations that have expressed the intention to use the CAF in the future is a good indicator for the potential. (1 = no activity/potential at all, 5 = a lot of activity/potential)

	Activity at this moment					Potential				
	None at all >> a lot					None at all >> a lot				
	1	2	3	4	5	1	2	3	4	5
1. Criminal, justice and law										
2. Customs, taxes and finances										
3. Higher education and research										
4. Schools										
5. Culture and cultural heritage										
6. Environment										
7. Energy										
8. Urban and territorial policies (housing, planning, etc)										
9. Health										
10. Police and security										
11. Fire services and Civil Protection Services										
12. Social services and social security										
13. Transport, infrastructure and public works and utilities										
14. Economy, agriculture, fisheries and trade, development and EU regional policy										
15. Foreign affairs										
16. Home affairs										
17. Post and communication										
18. Public sector management departments (P&O, budget, ICT, etc.)										
19. General policy and oversight/audit / coordination										
20. Local administration (municipality, province)										
21. Other (please explain)										

2. Level of government activity and potential

Please indicate in the left hand column to what extent the CAF is used at each level of government in your country at this moment. Please indicate in the right hand column the potential for the near future. The number of organisations that have expressed the intention to use the CAF in the future is a good indicator for the potential. (1 = no activity/potential at all, 5 = a lot of activity/potential)

	Activity at this moment					Potential				
	None at all >< a lot					None at all >< a lot				
	1	2	3	4	5	1	2	3	4	5
Central level of government and national / federal authorities										
Regional level of government										
Sub regional level of government										
Local level of government										

3. Impact of the CAF in your country

To what extent do you think CAF stimulates a change of culture in the public sector in your country?

- Not at all
- To a very limited extent
- In a modest way
- To a large extent

Do you have concrete examples? (please explain)

III. Improvement of the CAF

1. Does the CAF has to be rewritten in a more accessible way, adapting the wording more to the public sector context?."

Strongly disagree

Strongly agree

1

2

3

4

5

2. Which new themes should be integrated in the CAF model?

- None
- Ethics
- Sustainability
- Transparency
- Other (please explain)....

3. Do you agree that the 8 principles of excellence fully cover TQM excellence?

- Yes
- No, they do not. I suggest to add (please explain)

4. Which aspects of excellence are not enough stressed throughout the CAF model?
 - All aspects of excellence are stressed enough
 - Other (please explain)

5. Other suggestions to improve the CAF? (e.g. introduction and presentation of the model, structure of the model, Examples, benchmarking / benchlearning, self assessment, improvement process, scoring system, other (please explain))

IV. Dissemination of the CAF

1. How would you describe the evolution in the use of CAF in your country in the past 2 years?
 - Decreasing
 - Stable
 - Increasing

2. What are in your opinion the main reasons for this evolution?

3. What are the most important requirements and conditions to disseminate the CAF in your country, now and in the future?

4. Why are some actions to disseminate the CAF in your country not undertaken?

5. How can the European CAF Resource Centre help to disseminate the CAF in your country?

6. What is your advice to other CAF NC for a successful dissemination of the CAF in their country?

V. Support at the national level

1. Which support do organisations request from the CAF NC? Please answer in the list below (1 = not requested at all, 5 = requested a lot).

Support	Not at all << a lot				
	1	2	3	4	5
Information on the CAF model					
Additional tools to help implement the CAF					
Training					
Individual advice and coaching					
Exchange of experiences/Networking					
Information on application					
CAF Brochures					

2. How do you meet these requests? Which actions do you take? Please explain.
3. Do you offer the support to organisations as a CAF NC free of charge?
- Yes
 - Partly
 - They have to cover themselves
 - Covered by EU funds
4. How do you plan to meet these requests in the future? Which actions are planned? Please explain.
5. Have specific CAF versions been developed in your country?
- No
 - Education sector
 - Local government
 - Health
 - County level
 - Judiciary sector
 - Culture and cultural heritage
 - Police
 - Border guard
 - Pension Insurance offices
 - Adult training centers
 - Voluntary relief organizations
 - Music and Art schools
 - Ministry of Infrastructure
 - Church administration
 - Regulators
 - Central State administration
 - Other (please explain)
6. To what extent can organizations appeal on external support in your country in implementing the improvement actions?

	Presence of external support				
	Not at all >< a lot				
	1	2	3	4	5
1) Databases with best practices					
2) Private consultants					
3) Training institutes					
4) Internal consultants					
5) National correspondent / resource centre					
6) Communities / groups of practice, bench learning					
7) Other					

7. To what extent is there interest for the External Feedback Procedure in your country?

**No
interest
at all**

**Much
interest**

1 2 3 4 5 6 7

8. Which preparations has your country made to realize the External Feedback Procedure?

- No real actions were taken, we are in the planning phase
 - Yes
 - No
- the External Feedback Procedure brochure has been translated and distributed
 - Yes
 - No
- Marketing on the PEF and the CAF label has been organized amongst the CAF Users and the potential CAF Users
 - Yes
 - No
- The PEF National Organiser has been appointed
 - Yes
 - No
- Training for External Feedback Actors has been organised
 - Yes
 - No

If yes, at which level?

- at the national level
- at the European level?

How many External Feedback Actors have been trained?

- Candidate public organisations have contacted the National Organiser to request CAF External Feedback.
 - Yes
 - No

If yes, (1) how many organisations have requested CAF External Feedback?

If yes, (2) how many feedback procedures were launched?

- The Effective CAF User Label has been awarded

- Yes
- No

If yes, how many organisations have been awarded with the ECU-label?

9. Do you have a national databank with CAF applications in your country?

- Yes
- We are planning to set one
- No

10. Are there internal (national) or external bench (European) learning projects in your country?

- Yes
- We are holding national bench learning project(s)
- We are holding European bench learning project(s)
- No

VI. Support at the European level

1. How satisfied are you about your contacts with the European CAF Resource Centre?

**Not
satisfied
at all**

1

2

3

4

5

6

**Very
satisfied**

7

2. What is your overall satisfaction with the support from the European CAF Resource Centre?

**Not
satisfied
at all**

1

2

3

4

5

6

**Very
satisfied**

7

3. Which support did you receive and to what extent was it useful?

Please indicate in the left hand column the extent of support you received (1= none support at all, 5 = a lot of support). Indicate in the right hand column how satisfied you were of the work of the European CAF Resource Centre on each aspect of support (1 = not satisfied at all, 5 = very satisfied).

	Extent of support					Satisfaction of the work of the CAF RC				
	None at all >< a lot					Not at all >< very				
	1	2	3	4	5	1	2	3	4	5
1) Support and stimulation through the European CAF network										
2) Training										
3) Presentation on a quality conference										
4) Answers on questions										
5) Newsletter										
6) Support on PEF										
7) Support on CAF & Education										
8) E-tools										
9) E-community										
10) European CAF database										
11) Other (please explain)										

4. Which support of the European CAF Resource Centre did you not receive that would have been useful?

5. Which aspects of the European CAF Resource Centre should be improved?

6. What are your future expectations towards the European CAF Resource Centre?

Appendix 8: CAF Users Survey 2011



Study CAF 2006 Users

Introduction

Welcome to the questionnaire on the use of the Common Assessment Framework (CAF).

With this survey the European CAF Network wants to have a more detailed insight in how the CAF is used, to what results it leads and how the instrument and its use might be improved in the future.

For that reason this questionnaire is composed of 4 parts:

Part 1: Short identification of the organisation

Part 2: Application of the CAF

- A. Basic Information on the use of the CAF
- B. The CAF self assessment process
- C. Obstacles in the self assessment process
- D. The making of an improvement plan
- E. Implementation of the improvement plan
- F. Towards a Total Quality Management culture
- G. Communication
- H. The use of external support

Part 3: The future of CAF in your organisation

Part 4: Detailed information about your organisation

This questionnaire will take +/-1hour. In order to be sure that we have the view of the organisations using CAF, we ask that this questionnaire would be filled in by the organisation itself.

Your input will be treated strictly confidential. In reporting no individual organisations will be mentioned.

This questionnaire will be carried out all over Europe and its added value depends on the willingness of the respondents. The overall results will be published via many ways.

Suggestion: Keep your self-assessment report and improvement plan at hand when filling in the questionnaire

If you notice technical problems or if you have comments about the survey, please send them to caf@eipa.eu.

Many thanks for your kind collaboration.

1. Short identification of the organisation

1. What is the name of your organisation?

[open space to answer]

2. location (country, international organisation, other)

Austria, Belgium, Bulgaria, Bosnia- Herzegovina, China, Cyprus, Croatia, Czech Republic, Germany, Denmark, Dominican Republic, Spain, Estonia, France, Finland, Greece, Hungary, Italy, Ireland, Luxembourg, Lithuania, Latvia, FYR of Macedonia, Malta, Namibia, the Netherlands, Norway, Portugal, Poland, Romania, Russia, Serbia, Slovenia, Slovakia, Sweden, Switzerland, Tunisia, Turkey, United Kingdom, European Institutions and European Commission, other

3. Contact data of the organisation

– Contact person [open space to answer]

– Function [open space to answer]

– Email [open space to answer]

2. Application of the CAF

A. Basic information on the use of the CAF

4. A. Has your organisation used the CAF 2006 version at least once and established a Self-Assessment report using CAF 2006?

- Yes
 No

[if your answer is 'yes', go to question 4b]

[if your is 'no', read the following message:

“This study focuses on the CAF 2006 version. If your organisation has never used the CAF 2006 version or has not established at least once a Self-Assessment report using CAF 2006, you do not have to answer the other questions in this questionnaire.

Thanks for your willingness to participate in this survey.

The results of the survey will be available on the website of the European CAF Resource Centre in 2011. Please click [here](http://www.eipa.eu/caf) to go to the CAF website (<http://www.eipa.eu/caf>.)”]

- 4b. How much time did it take to do the self assessment and establish the SA report ?

- less than 2 months
 between 2 and 4 months
 between 4 and 6 months
 More than 6 months

5. How many times has your organisation used the CAF 2006 version?

- 1
 2
 3
 More than 3

[if your answer is '1', go to question 6]

[if your answer is '2', '3' or 'more than 3', read the following message:

“If your organisation is in the middle of a second or a third CAF 2006 application (performing the self-assessment or developing the improvement plan), please complete this questionnaire referring to a previous more completed CAF 2006 application (performed self-assessment, designed improvement plan, implemented improvement plan).”]

6. Has your organisation performed the self-assessment by assessing all the 9 criteria and the 28 subcriteria?

For more information on these criteria and subcriteria, please click [here](#) (Information on the criteria and sub-criteria of the CAF 2006.pdf).

- Yes
- No

If no, please indicate in the list below which criteria were not (fully) assessed (if one of the subcriteria is not assessed, we consider that the criterium is not fully assessed).

Multiple answers are possible.

- Leadership
- Strategy and planning
- People
- Partnerships and resources
- Processes
- Citizen/customer-oriented results
- People results
- Society results
- Key performance results

7. Do you think aspects about the functioning of public organisations are missing in the criteria or subcriteria?

For more information on the criteria and subcriteria, please click [here](#) (Information on the criteria and sub-criteria of the CAF 2006.pdf).

- Yes
- No

If YES, please explain in few English words which aspects are missing.
[open space to answer]

8. Before using the CAF, did your organisation have any experience with other tools of quality management or improvement?

- Yes
- No

If yes, please indicate which Quality Management tools your organisation has experience with.
Multiple answers are possible.

- ISO
- Balanced Scorecard
- EFQM
- Investors in People
- Customer Satisfaction Questionnaires
- others ... [open space to answer]

B. The Self Assessment (SA) Process

9. To what extent is the use of CAF (or TQM in general) mandatory ? Multiple answers are possible.

- Not mandatory
- Mandatory by law
- Mandatory by a political decision
- Mandatory by a top management decision
- Mandatory by ... (Other: please explain in few English words)
[open space to answer]

10. Please tell us why your organisation decided to use the CAF. Below are given some reasons. Indicate how important they were to use the CAF in your organisation.

	Level of importance			
	Very important	Important	less important	Unimportant
a) Increased sensitivity of staff to quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) The organisation wanted to identify strengths and areas for improvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Intention to involve staff in managing the organisation and to motivate them	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Because the top management wanted it	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) To increase the performance of the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) Because the organisation is suffering financial stress	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) Explicit citizen or customer demands for improvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h) Participation in a national quality award or conference	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i) Participation in a national/regional / local innovation programme/project	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j) Explicit demand from those politically responsible for the organisation to start an improvement action	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k) Because other administrations in the national or European context also used it	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
l) CAF as a competitive advantage. To attract customers in a competitive context e.g. schools / hospitals ...	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
m) For bench learning reasons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- n) Because it is free
- o) Because we want to apply for the CAF label

11. How important was the role of each of the following actors in taking the initiative to use the CAF or Total Quality Management in the organisation?

- | | Very
important | Important | less
important | unimportant |
|---|---------------------------|--------------------------|---------------------------|--------------------------|
| a) Top management | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Middle management | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Quality manager or team | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d) Elected Officials (politicians) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| e) Others: (please describe in few English words) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

12. To what extent has your organisation followed the ten steps to improve organisations with CAF as recommended in the guidelines in the CAF brochure 2006?
For more information on these ten steps, please click [here](#) (Information on the ten steps to improve organisations with CAF.pdf).

- | | | | |
|-------------------------------|--------------------------|----------------------------|--------------------------|
| To a very large extent | To a large extent | To a limited extent | Not at all |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

13. Do you have suggestions to complete the guidelines on the SA-process in the CAF brochure?
Mention the most important suggestions in a few English keywords.
[open space to answer]

14. Composition of a single self-assessment group (if you have several groups take the average):
please indicate which type of staff took part in the self-assessment group and their number.

	Type of staff	Number
a)	Top management	[open space to answer]
b)	Middle management	[open space to answer]
c)	expert level	[open space to answer]
e)	Supporting level	[open space to answer]
Total number SA group		[open space to answer]

15. What kind of preparation did the self-assessment group receive and to what extent ?

	To a very large extent	To a large extent	To a limited extent	Not at all
a) An explanation of the CAF	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Documentation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) E-learning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Cases	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) International exchange of experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

16. What kind of scoring panel did you use?

- Classical scoring panel
- Fine tuned scoring panel
- none of them

C. Obstacles in the Self Assessment (SA) Process

17. To what extent did you encountered the following obstacles in the course of the self-assessment with the CAF?

	Extent			
	To a very large extent	To a large extent	To a limited extent	Not at all
A. Difficulties linked to the understanding of the CAF itself				
A.1. The complexity of the model	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A.2. the content of some of the criteria or subcriteria	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A3 The difference between some subcriteria are not clear	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A.4. Examples not related to the specific field of the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A.5. the language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A.6. the scoring systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Difficulties linked to the maturity level of the organisation				

- | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| B.1. Insufficient experience in sharing views and information in the organisation | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| B.2. Being honest and outspoken is not in the organisational culture | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| B. 3. Our organisation was, on the whole, not enough prepared for the SA | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| B.4. A lack of trust in the self-assessment group | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| B.5. The process was imposed and not "owned" by the SA group members | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| B.6. Lack of faith in the relevance of the whole exercise | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| B.7. The organisation is not familiar with TQM concepts | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

C. Difficulties linked to lack of support and time

- | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| C.1. Lacking training | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| C.2. Lacking expert support | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| C.3. Lacking management support | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| C.4. Lacking leading support in the SA Group (CAF project leader / president of the SA) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| C.5. Lacking involvement of the members of the SA Group | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| C.6. Lack of time for the members of the SAG to prepare and undertake the SA | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

D. Difficulties linked to the lack of information

- | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| D.1. Uncertainty about the purpose and outcome of the SA | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| D.2. Problems with identifying strengths and areas for improvement | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| D.3. Members of the SA Group did not have a sufficient overview of the organisation | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| D.4. Difficulty in getting sufficient data/information from other colleagues outside the SA group | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| D.5. Not enough measurement in the organisation | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

E. other major obstacle Please mention here in few English keywords the other major obstacle and indicate its importance.

- | | | | | |
|-----------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| E.1. [open space to answer] | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|-----------------------------|--------------------------|--------------------------|--------------------------|--------------------------|

D. The making of the improvement plan

This part of the questionnaire is about the improvement plan. If your organisation is in the middle of a second or a third CAF 2006 application (performing the self-assessment or developing the improvement plan), please complete this questionnaire referring to a previous more completed CAF 2006 application (performed self-assessment, designed improvement plan, implemented improvement plan).

18. Has your organisation developed an improvement plan (specific for CAF or integrated in the management plan) after conducting the CAF SA ?

- Yes
- we are currently still working on its definition
- No

[If your answer is “**yes**”, go to question 20. If “**no**”, go to question 19. If your answers is “**Working on it**”, go to question 31.]

19. If the self-assessment was not followed up by an improvement plan, what were the reasons for this? Typical reasons are given by the list below. Please indicate if these reasons were also important in your organisation.

	Level of importance			
	Very important	Important	less important	Unimportant
a) Lack of time	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Other priorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) No real willingness to change	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Lack of support for developing an improvement plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Lack of financial resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) The results of the self-assessment were not seen as concrete enough	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) The results of the self-assessment were not accepted as an adequate picture of the organisation by the management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h) We did not succeed in identifying relevant areas for improvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i) Self-assessment was never meant to lead to improvements (it was just a “health check” of the	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

administration)

- j) The reasons for conducting the self-assessment was only to take part in an award contest
- k) Management had not been involved in the self-assessment
- L) Other reasons: Please mention here in few English keywords the other major obstacle and indicate its importance.[open space to answer]

[Go to question 31 if you answered “no” on question 18 and after you have completed question 19]

20. How many actions and quick wins were in that improvement plan?

Total number of improvement actions	[open space to answer]
Number of Quick Wins (meaning the actions easy to realise without additional resources and in a very short time)	[open space to answer]

21. On which criteria of the CAF model does the improvement plan focus?

Criteria of the CAF model	Amount of actions compared to the total amount of actions				
	0%	Less than 10%	Between 10 and 25%	Between 25% and 50%	More than 50%
Leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strategy and planning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
People	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Partnerships and resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Processes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Citizen/customer-oriented results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
People results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Society results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Key performance results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

22. To what extent do you think the improvement actions have a strategic impact on the functioning and results of the organisation? *In other words*, to what extent does your improvement plan touch the essence of the functioning of your organisation?

To a very large

To a large extent

To a Limited extent

Not at all

23. What were the main obstacles encountered in **developing** the CAF improvement plan? Below is a list of possible obstacles. Please indicate to what extent you encountered these obstacles in your organisation.

	Extent			
	To a very large extent	To a large extent	To a limited extent	Not at all
a) Lack of involvement of the top management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Lack of involvement of the members of the self-assessment group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Lack of a good methodology for prioritizing the actions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Difficult to put a timing on the actions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Difficult to find project owners for every action	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) Difficult to communicate about the improvement plan to all the employees of the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) Difficult to integrate current existing improvement actions in the new improvement plan.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h) Difficult to formulate good and clear actions (SMART)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i) Unclear formulation of areas of improvement during the self assessment, as the basis for improvement actions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j) other priorities defined by the management or political authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k) Other main obstacle: Please mention here in few English keywords the other major obstacle and indicate its importance. [open space to answer]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E. Implementation of the improvement plan

24. To what extent are the improvement actions integrated in the management / strategic plan of your organisation?

To a very large extent

To a large extent

To a Limited extent

Not at all

Please explain your answer in few English words. [open space to answer]

25. How many of the planned improvement actions were **actually started up** within one and a half year after the self-assessment?

- None
- less than 25%
- between 25 and 50 %
- between 50 and 75 %
- more than 75 %

26. How many of the planned improvement actions were **actually implemented** within one and a half year after the self-assessment?

- None
- less than 25 %
- between 25 and 50 %
- between 50 and 75 %
- more than 75 %

27. How frequent is the realization of the improvement plan monitored by the top management?

Weekly

Monthly

Every 3 to 6 months

Once a year

Every 2 years

Never

28. What were the **main obstacles** encountered in **implementing** the improvement actions of the **improvement plan**? Below is a list of possible obstacles. Please indicate to what extent you faced these obstacles in realizing the improvements in your organisation.

	Extent			
	To a very large extent	To a large extent	To a limited extent	Not at all
a) Lack of involvement of the top management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Lack of involvement of the employees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Lack of project management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Lack of follow up by the project owners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Lack of internal competency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) Lack of external support	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) Loss of dynamic, focus and motivation to improve the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h) Lack of financial resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i) Lack of recognition / reward	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j) Other obstacle: Please mention here in few English keywords the other major obstacle and indicate its importance. [open space to answer]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

29. To what extent did you felt the need for more information on the design and the implementation of the improvement plan in the guidelines of the CAF brochure?

To a very large extent	To a large extent	To a Limited extent	Not at all
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

F. Towards a Total Quality Management culture

30. Below is a list of 17 characteristics that may be used to describe the TQM maturity level of an organisation. Please indicate to what extent your organisation **has improved** on each characteristic **thanks to the implementation of the CAF SA and the improvement plan**.

	Extent of improvement			
	To a very large extent	To a large extent	To a Limited extent	Not at all
(1) The organisation identifies opportunities and obstacles to innovation and learning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) There is mutual trust and respect between leaders, managers and employees of the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) The organisation systematically monitors the results it achieves using specific performance indicators and uses it for continuous improvement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) Management and employees share the same vision on the social and environmental impact of the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(5) The organisation involves citizens/customers in the evaluation and improvement of the performance of the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(6) The organisation has a clear view of the most important external relationships and partnerships and the development possibilities of these.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(7) The organisation develops the competencies of its employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(8) Employees are well informed about the key issues related to the organisation such as mission, vision, values and strategy and planning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(9) The employees of the organisation are more than before acquainted with and focused on Total Quality Management in the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(10) The key process owners are identified and responsibilities are assigned to them.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(11) Management and employees have a common understanding of who their existing and potential citizens/customers are and their needs and expectations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- (12) Employees are involved in the decision-making processes and in the development of the organisation.
- (13) Continuous improvement is promoted in the organisation, through sharing knowledge and taking into account people's suggestions.
- (14) The organisation defines a set of targets and results to be achieved in relation to the relevant stakeholders' needs.
- (15) The organisation invests in external partnerships to reach mutual advantages.
- (16) The key processes of the organisation are clearly identified.
- (17) The organisation implements initiatives to improve its corporate social responsibility and ecological sustainability.

G. Communication

31. To whom was communicated about the CAF usage in the different phases?

	Launch of the Self Assessment	report of the Self assessment	launch of the Improvement Plan	Interim results of the Improvement Plan	Final results of the Improvement Plan
a) Management only	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) The whole staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) An existing improvement team (group, department, unit)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) The political authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Customers/ citizens/ users	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) Strategic partners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) Society in general					

H. The use of external support

32. Did you have external (expert) assistance during the application of the CAF?

- Yes
 No

If yes, what kind of external assistance did you have and from whom? Please indicate when every external assistant offered assistance (SA = self-assessment, IP = improvement plan).

	No	In preparing the SA	During the SA	In creating the IP	In implementing the IP
National CAF Correspondent	<input type="checkbox"/>				
National agency responsible for disseminating CAF	<input type="checkbox"/>				
State consultancy office	<input type="checkbox"/>				
National efficiency units	<input type="checkbox"/>				
Quality office	<input type="checkbox"/>				
Training centre	<input type="checkbox"/>				
EIPA	<input type="checkbox"/>				
External private consultant	<input type="checkbox"/>				
Other organisation with CAF experience	<input type="checkbox"/>				

3. The future of CAF in your organisation

33. Did the use of CAF in your organisation lived up to your expectations?
(1 indicates “the expectations were not met at all” while 10 indicates “the expectations were completely met”)

Not at all

Completely

- 1 2 3 4 5 6 7 8 9 10

34. Is your organisation planning to use the CAF in the future?

- Yes
 No

[If your answer is “yes”, go to question 35.]

[If your answer is “no”, go to question 37.]

35. Which is the interval chosen in your organisation to use the CAF?

- Annually
 Every two years
 Every three years
 Every four years
 Only after a longer period
 Not decided yet

36. If you intend to use the CAF again, what, if anything, would you change about how you conducted the self-assessment?

Below is a list of things organisations might want to change. Please indicate what you want to change next time in your organisation. Multiple answers are possible

- We don't want to change anything next time
 Stronger management involvement
 Different composition of the SA group
 More (or better) external assistance
 More (or better) preparation and explanation
 A stronger involvement of key persons
 Involvement of trade union/employees' representatives
 Stronger involvement of the employees
 More data collection (facts on results etc.) to support the assessment
 More time for discussions within the SA group
 Change of method in reaching consensus in the group
 More careful selection of the right moment for self-assessment
 More internal communication of the purpose
 More external communication
 Make sure that other priorities and activities will not be in the way
 Other (please specify in a few English key words other major change): ... [open space to answer]

[Go to question 38 if you have answered “yes” on question 34 and after you have completed question 35 and 36.]

37. If your organisation does not intend to use the CAF again, what are the reasons?

Below is a short list of reasons. Please indicate to what extent these reasons are important in your organisation.

	Level of importance			
	Very important	Important	Less important	Unimportant
a) We used CAF as a first-level tool and want to move towards other TQM methods (EFQM, ...)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) We consider CAF to be too difficult	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) It is demanding too much efforts for the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) We do not see any tangible results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) No external recognition	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) No follow up of the proposed actions in the improvement plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) Other (please specify): ... [open space to answer]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Detailed information about your organisation

Yourself

38. Do you work for
- A central government (national, federal)
 - A regional government
 - A subregional level of government (province, community group, ...)
 - A local government
39. In which function did you take part in the CAF implementation?
Multiple answers are possible.
- Top manager
 - Quality manager
 - Project leader
 - Member Self assessment group
 - Other (please tell us your role) [open space to answer]
40. How did you become aware of this study? Multiple answers are possible.
- Personal invitation by the European CAF Resource Centre (EIPA)
 - Personal invitation by the CAF National Correspondent
 - Announcement on the website or in a newsletter of the European CAF Resource Centre (EIPA)
 - Announcement on the website or in a newsletter of the CAF National Correspondent

Your organisation

41. What is the sector of activity of your organisation?
- Criminal, justice and law; Customs, taxes and finances; Education and research; Culture; Environment; Health; Police and security; Social services and social security; Transport, infrastructure and public works and utilities; Economy, agriculture, fisheries and trade; Foreign affairs; Home affairs; Post and communication; Public sector management departments (P&O, budget, ICT, etc.); General policy and oversight/coordination; Local administration (municipality, province); other
42. What type of administration is your organisation?
- Government ministry/department and other national authorities
 - Territorial unit of a ministry/ department and other national authorities
 - Agency
 - State-owned or state-run enterprise
 - Local or regional administration
 - Other

43. Was the CAF applied last time in the whole or in a part of your organisation?

- In the whole organisation
- In a part of the organisation

44. *If applied in a part of the organisation*, about how many full time-equivalent employees (FTEs) are there in the part of the organisation where CAF was applied?

- < 10
- 10 - 50
- 51 – 100
- 101 -250
- 251 – 1000
- 1001 – 5000
- > 5000

45. About how many full time-equivalent employees (FTEs) are there in the total organisation?

- < 10
- 10 - 50
- 51 – 100
- 101 -250
- 251 – 1000
- 1001 – 5000
- > 5000

5. Questionnaire complete

Thank you very much for your participation.

Your answers will be taken in account to improve the CAF.

The results of the survey will be available on the website of the European CAF Resource Centre in 2011.

If you want to register your organisation as a CAF user in the European CAF Database, please click [here](http://www.eipa.eu/en/pages/show/&tid=71) (<http://www.eipa.eu/en/pages/show/&tid=71>).

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