

Draft:

For Approval by the Directors General

## **The Common Assessment Framework (CAF) A Quality tool for the European Public Administrations**

### **Part I: Introduction and Background to the CAF action plan**

#### **Introduction**

The use of quality management tools and systems, for a long time confined to the private sector, has since the early 1990's started to pervade the public sector in Europe as part of its strive for modernization, better public management, increased performance and a stronger "customer" focus. In the course of the last decade, various quality management tools and systems started to be used in the public sector across the EU but it was not possible to speak of a common understanding and language of quality.

In this context, the Innovative Public Services Group (IPSG) developed the Common Assessment Framework (CAF), a simple and easy-to-use tool that could help public administrations across the EU to understand and employ Total Quality Management (TQM) techniques, to embark on their "journey to excellence" and to compare themselves with similar organisations in Europe. CAF has been developed by public administrations for public administrations and reflects all needs of public sector organisations.

The guidelines, developed e-tools, training and last but not least the low cost help the CAF-users to obtain the major outcomes:

- A better awareness of the total quality approach at all levels of the organisation, including the concern for efficiency, effectiveness and citizen/client orientation;
- The identification of strengths and areas for improvement;
- The input into ongoing improvement activities;
- The promotion of the exchange of views in the organisation, the basis for a sustained change management;
- The assessment of the effectiveness of the improvement actions by repeating the CAF application on a regular basis;
- The possibility to exchange experiences with other CAF-users all over Europe, to learn from their strengths and to help them with their improvements

#### **Background**

To help and assist public organisations all over Europe in implementing the CAF, the Directors General requested in the Mid Term Programme for 2004 – 2005, that IPSG should oversee the development of a CAF Action Plan to be submitted for the approval of the DGs during the Luxembourg presidency in 2005.

At the IPSG meeting in Dublin in May 2004, the IPSG agreed that the CAF Resource Centre established EIPA are to present a draft Strategy and Work Programme for the RC to tie in with this CAF Action plan. Subsequently, EIPA drafted a strategy statement for the CAF Resource Centre<sup>1</sup> which identifies its main Role and Objectives as follows:

- A permanent basis for further Development, Promotion of the CAF and Best Practice in its use in public administrations in Europe
- A Focal and Meeting Point receiving and distributing information and expertise in the use of CAF
- A Centre of Expertise in CAF implementation 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
- A Centre of Expertise in Quality Management Development

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<sup>1</sup> see Part III: annexes

**Main goals of the CAF action plan**

The CAF RC and the CAF network – composed by the CAF Correspondents of the member states - have elaborated an Action Plan which identifies actions and responsibilities, and proposes dates/deadlines for the completion of these activities.

The specific goals to be achieved include:

1. Further disseminate the CAF within Europe, maximising collaboration at National and European level
2. Increase capability of using the CAF
3. Investigate possibilities for Improving the CAF
4. Investigate possibilities of the CAF for benchlearning

## Part II: CAF Action Plan

**1. Further disseminate the CAF within Europe, maximising the collaboration at national and European level**

WHAT	WHO	WHEN
1. Develop a <b>draft communication plan</b> taking into account all the stakeholders (Member States, the EU-Commission, Public organisations etc.) and new communication tools	CAF Network and CAF RC, EUPAN	March 05
2. New state of affairs concerning the spreading of CAF since the Italian presidency (as requested in the MTP), including an overview of expectations : <b>CAF Survey 2005</b>	LUX presidency, CAF Network and CAF RC	13/05/05
3. Gaining <b>the ministers sustainable support</b> for the CAF at their informal meeting during the Luxembourg presidency	LUX presidency, IPSPG and DGs	08/06/05
4. <b>2<sup>nd</sup> European CAF Event</b>	LUX presidency - IPSPG - CAF Network - CAF RC	1-2/06/05
5. <b>CAF best practices at the 4<sup>th</sup> EU-Quality Conference 2006</b>	Finnish presidency-IPSPG –CAF Network - CAF RC	Sept 06
6. Assist national resource centres in developing a <b>national CAF strategy</b>	CAF RC	05 - 06

**2. Increase capability of using the CAF, and also linking it to other quality instruments**

WHAT	WHO	WHEN
1. Improvement of CAF website and redesign of the database, e.g. with clear links to national quality centres and/or national CAF-agencies	CAF RC	January 05
2. Put good practices and links to good practices concerning the CAF applications and quality instruments on the EIPA CAF website 1. Good Practices 1 <sup>st</sup> CAF European Event 2. Good Practices of the 3QC related to CAF 3. Good Practices 2 <sup>nd</sup> CAF European Event 4. Permanently	transmitted by the MS/ CAF Network 1. CAF RC 2. 3QC 3. CAF RC 4. MS	1. March 05 2. March 05 3. Sept.05 4. March 05 onwards
3. Offer technical possibilities to introduce good practices, given examples of answers to the questions asked in the model, in the CAF database	CAF RC	March 05
4. Development of training scheme and services 1. Training for organisations/CAF Users 2. Training for CAF trainers	1. CAF RC 2. CAF RC in coordination with the national centres responsible for CAF	1. March 05 2. October 05
5. Investigate additional and refined Guidelines for Self-Assessment based on the lessons learned on the implementation.	CAF RC and CAF Network	March 2005
6. Coordination and development of e Tools (e.g. e-learning), in connection with EIPA website	CAF Network and CAF RC	CAF Users Event 1-2/06/05
7. The Frequently Asked Questions on CAF-Use	CAF Network and CAF RC	CAF Users Event 1-2/06/05
8. Development of internet-based forum/ specific email address for CAF users at the EIPA site	CAF network and CAF RC	2 <sup>nd</sup> half 2005
9. Increase the volume of CAF applications in the CAF database, defining a strategy to reduce the gap between real users and users registered at the CAF RC	CAF Network and CAF RC	Dec 05

WHAT	WHO	WHEN
10. A structure for additional information on the Good Practice (CAF) Organisations, to provide interesting information on the Website and in a publication during the Austrian presidency	CAF Network and CAF RC	Spring 06
11. Explore the issue of assessment/assessors training: compare national approaches and agree on guidelines for training	CAF RC in cooperation with EFQM and the CAF network	June 06

### **3. Investigate possibilities for improving the CAF**

WHAT	WHO	WHEN
The CAF 2002 model will be examined in view of a possible adaptation on the basis of the answers to a permanent CAF questionnaire on <ul style="list-style-type: none"> <li>• The structure of the model</li> <li>• The scoring system or evaluation panels</li> <li>• The Role and content of the examples</li> <li>• The Protection of the model</li> </ul>	CAF Network and CAF RC	March 05 – November 06
1. Approve permanent questionnaire 2. Evaluate replies to questionnaire 3. Present results/ new version		March 2005 March 2006 Sept 2006

### **4. Investigate the possibilities of the CAF for bench learning**

Study the feasibility of using the CAF model to stimulate Bench learning among the public organisations of the MS, in cooperation with the IPSP work group for Benchmarking and Best Practices

WHAT	WHO	WHEN
1. Elaborate a pilot project focused on Bench learning based on CAF <ul style="list-style-type: none"> <li>- 1<sup>st</sup> progress report</li> <li>- present state of the art of the project to IPSP</li> <li>- if agreement on project, present new state of the art and possibly final results under the UK presidency</li> </ul>	Austria; Hungary; Slovakia; CAF RC	<ul style="list-style-type: none"> <li>- March 2005</li> <li>- May 2005</li> <li>- 2<sup>nd</sup> half 2005</li> </ul>
2. Discussion and eventual adaptation of the CAF Bench learning approach	CAF Network and CAF RC	2 <sup>nd</sup> semester 2005
3. Launching of 1 or 2 bench learning projects	CAF Network and CAF RC	1st semester 2006
4. Evaluation of the pilot projects	CAF Network and CAF RC	2nd semester 2006

**Part III: Annexes****Annex I. Responsibilities concerning CAF**

1. The **Ministers** for the Public Service give the political impulse, discuss the results and renew or adapt their options.
2. The **Director Generals** (DG's) for Public Service and Innovation put the political mandate into concrete terms and instruct the IPSP to implement these instructions.
3. The **IPSP** has a strategic role in coordinating and steering the work on CAF between the 25 Member States, elaborated by the CAF-Network and the CAF Resource Centre at EIPA
4. The **CAF-Network** consists of the national correspondents who are responsible for the dissemination of CAF on national level. Meetings of the CAF –Network should be held once per presidency. The CAF-Network reports to the IPSP.
5. **The CAF-Resource Centre** is a member of IPSP and reports on its work concerning CAF. It supports the CAF-Network as an expert. The participation of the CAF-Resource Centre in CAF-Working group-Meetings is free of charge. Extra reports and evaluations have to be ordered and paid separately.
6. **CAF-Users** should exist as a group on national and on international level. Every 2 years (2005/2007/2009) a CAF-Users Conference should open an exchange of experiences between CAF-Users on international level. The national CAF-Users Network is up to every Member State but could be supported by the CAF- Resource Centre if data are available.

**Annex II.****CAF Resource Centre, based in EIPA****A STRATEGY STATEMENT****Role and Objectives of the Resource Centre (CAF-RC)**

- **A permanent basis for further Development, Promotion of the CAF and Best Practice in its use in public administrations in Europe**
  - CAF promotion through the further development of supporting tools and guidelines, through the use of the CAF Website, marketing tools developed by the CAF-RC, publications, training events at introductory and/or expert level, adapted to the specific needs and expectations of the different customers: the national correspondents and the CAF users.
  - Best Practice development through both learning from experience and sharing lessons learnt in the CAF Network (network of CAF correspondents in European countries), and during the CAF Users events and quality conferences, national as well as European
  - An extensive database collecting information on all CAF applications, processing this information to provide appropriate and customised feedback to CAF users and to the national CAF correspondents.
  - CAF development through close follow-up of all applications made and communicated to the CAF-RC, capitalisation on practice, refining the tool and its application guidelines, producing an updated version of the CAF when deemed necessary.
- **A Focal and Meeting Point receiving and distributing information and expertise in the use of CAF**
  - A training centre on CAF, based in a training Institute with broad experience and expertise in training Public administration officials in issues related to European Integration and Public Management. The training events at introductory and/or expert level (training the trainers) should be developed in coordination with the national CAF training centres, exchanging each others experience.
  - A Centre directly related to the European Public Administration Network (25 EU Member States and the European Commission, with privileged relations in other European countries)
  - CAF database, a structured bank of information, a basis for sorted and analysed information, feedback to users and stimulation of the use of CAF as a basis for benchmarking projects among public administrations
  - Participation in European Quality Conferences
- **A Centre of Expertise in CAF implementation 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**
  - Consultancy for national or regional officials responsible for the development of CAF national or regional Action Plans and the development of national, regional or sector CAF networks
  - Consultancy on concrete implementation of the CAF in Public Administration organisations
  - Training for CAF trainers and implementers (at EIPA or on location)
- **A Centre of Expertise in Quality Management Development**
  - Further development of the CAF will be carried out with due consideration to other developments in the world of Quality Management

**The CAF-RC is accountable for**

- the IPSPG, the Innovative Public Services Group, one of the standing working groups operating under the supervision of the Directors General in charge of Public Administration, has the authority to supervise and steer the overall work of the CAF-RC
- the CAF-Network consisting of the national correspondents in charge of the dissemination of the CAF at national level
- CAF Users who are organised at national and European level, as a Forum for sharing experience and best practices. They already meet every two years in the European Quality Conferences, and could meet once in between in a CAF Users Conference, supported by the CAF-RC on request and with the support of a CAF database regularly fed by the organisations and/or the Member States
- The management of EIPA, as the development of the CAF RC is part of the overall strategy for development of EIPA
- in this framework, the CAF-RC manager is a permanent member of the CAF Network and the IPSPG and reports regularly; once a year s/he submits, through the IPSPG to the Directors General, an Annual Report of the activities run and developments achieved through the RC operations.
- when deemed necessary, the DGs report on all CAF developments to the Ministers in charge of Public Administration who have the highest authority on strategic CAF and Quality Management Policy.

**Resources and Funding**

- A CAF-RC manager is appointed by EIPA. This expert is allocated full-time to CAF and related activities. EIPA funds his/her participation in the CAF Users conferences, CAF Network and IPSPG meetings.
- Additional human resources from EIPA are allocated in order to ensure the smooth and swift operations of the CAF-RC: this involves a part-time Programme Organiser and the use of other EIPA resources such as the webmaster, the linguistic and editing team. EIPA will extend the resources if required through a development of activities that would justify such an extension.
- No specific funding has been to date granted to EIPA to support the CAF-RC. However, EIPA enjoys the approved right to organise training events on the CAF and to request registration fees for these events at the same level as other training seminars provided by EIPA in its mainstream activity. Training can be organised in EIPA for multinational groups, the best option for sharing experience and learning from each other. Training can also be organised on premises of client administrations or countries, the best and most economical option for hands-on preparation of CAF users, team members and self-assessors. Other services provided by EIPA staff in the framework of the CAF-RC portfolio, e.g. research and/or consultancy services, are also invoiced to the client organisations on the same basis as other EIPA research and consultancy work.