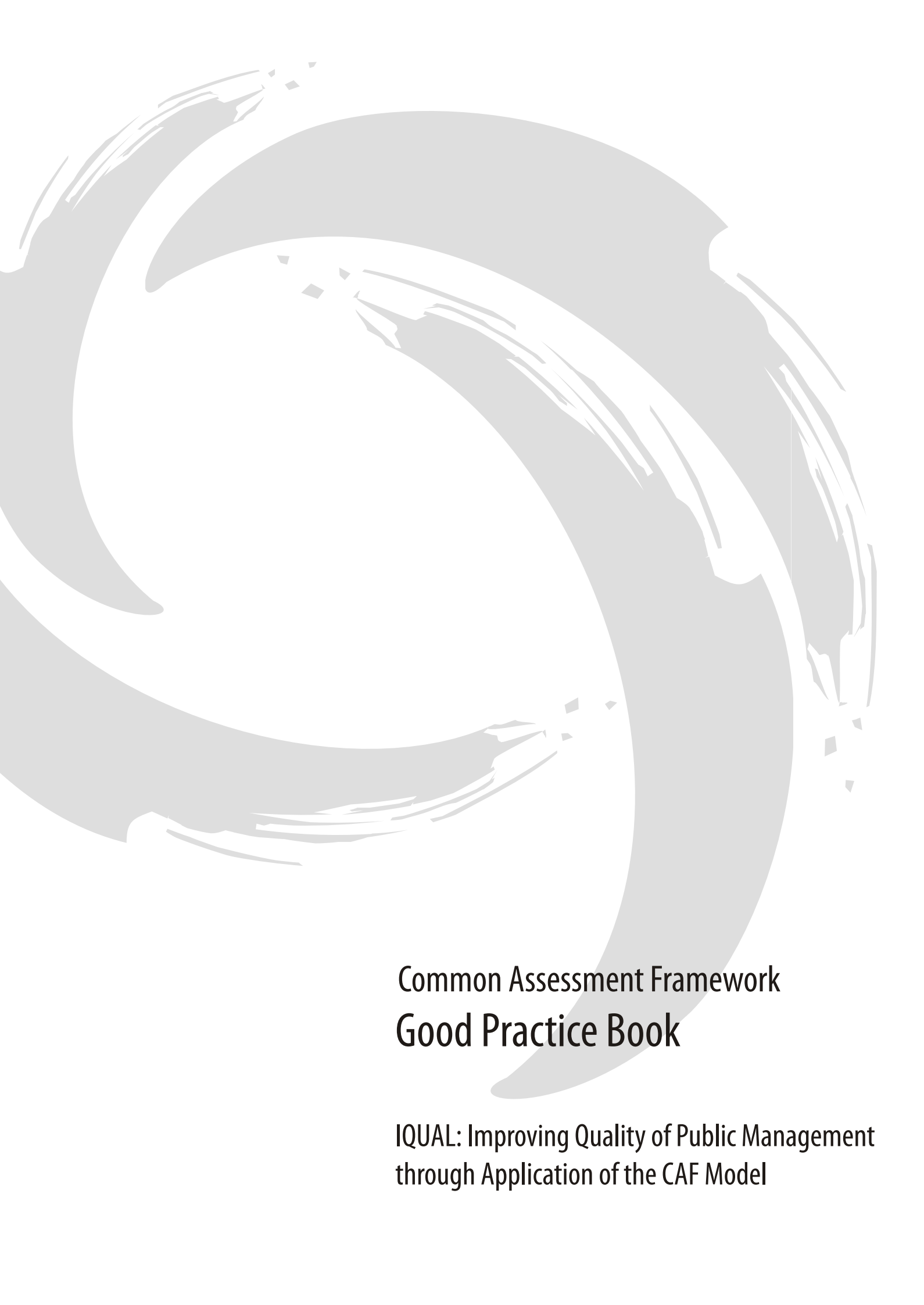


Common Assessment Framework Good Practice Book

IQUAL: Improving Quality of Public Management
through Application of the CAF Model



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UNDP Regional Centre for Public Administration Reform (RCPAR)

The Regional Centre for Public Administration Reform is a five-year regional project launched by the United Nations Development Programme, Bratislava Regional Centre and primarily financed by the Hellenic Government. Through multi-country initiatives generated by network members, the Project aims at facilitating professional networking and cooperation between the countries in the region of Central and Eastern Europe and the Commonwealth of Independent States. Thematically, the Regional Centre focuses on strengthening capacities for policy-making and coordination; improving public finance management; enhancing organization and staffing in the public sector; and promoting public service delivery.

The network of focal points, consisting of government entities, academic institutions and non-governmental organisations from the countries in the region, is one of the cornerstones of the Regional Centre for Public Administration Reform. A systematic effort to expand the network is an ongoing process. In each country, the aim is to engage a government institution responsible for coordination of the national public administration reform efforts, as well as a set of Focal Points in each of the thematic areas. Although there is an emphasis on government entities, and middle and high level civil servants, who constitute around 80% of the current contact persons in the network, non-governmental organizations and academic institutions are also included.

Through its philosophy, design and operational mechanisms, the Project offers significant opportunities for countries in the region to engage in the formulation and implementation of multi-country activities (MCA) funded by the Centre. Network members are actively encouraged to propose ideas and develop proposals, involving a minimum of three countries from the region, within one of the thematic areas. The funding available for each initiative is around US\$100,000 and the Project aims at generating at least six initiatives per year. Application guidelines and templates have been distributed widely in the network; they are also publicly available at www.rcpar.org.

Set up under the central UNDP online collaborative work platform, the Project operates a workspace which was launched in June 2009. Its purpose is to provide a virtual meeting place for members of the Network of Focal Points. By enabling members to launch or participate in online discussions, and use a variety of tools to share experiences and documents, the aim is to facilitate the generation of multi-country proposals and produce a large base of documentation and knowledge.

ABBREVIATIONS AND ACRONYMS

BoL	Bank of Latvia
CAF	Common Assessment Framework
CB	Central Bank
CEPOL	European Police College
CCA	Chamber for Control and Accounts
ECB	European Central Bank
EFQM	European Foundation for Quality Management
EIPA	European Institute of Public Administration
EPUS	Effective Public Service
EU	European Union
GRICS	Governance Research Indicator Country Snapshot
HRM	Human Resource Management
IA	Information Architecture
IIEC	Index of Inside Employees Consent
IQUAL	Improving quality of public management through application of the CAF model
ISF	Information System Framework
ISO	International Organization for Standardization
ISPU	Ivanovo State Power University
KPI	Key Performance Indicator
LMT	Latvian Mobile Telephone
MAI	Management Adequacy Index
MBR	Management by Results
NGO	Non-governmental organization
PDCA	Plan-Do-Check-Act
PRSP	Business Excellence Prize of the Republic of Slovenia
PSIR	Public Sector Institutional Reform
RAB	Reduction of administrative barriers
RADAR	Results, Approach, Deployment, Assessment and Review
RCPAR	Regional Centre for Public Administration Reform
SME	Small and Medium Enterprises
TNT	(Delivery company)
TQM	Total Quality Management
UNDP	United Nations Development Programme

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I. INTRODUCTION

The multi-country activity “Improving quality of public management through application of the Common Assessment Framework (CAF) model” (IQUAL) was initiated in September 2009, and implemented over a period of nine months, until May 2010. The overall purpose of IQUAL was to enhance the effectiveness of public administration reforms in partner countries by introducing and developing total quality management principles and models. The specific objective of the activity was to build capacity in the participating countries to allow them to deploy quality management tools in the public sector, through an improved understanding of the Common Assessment Framework (CAF) model.

The initiator and coordinator of the activity was the Ivanovo State Power University in the Ivanovo region of the Russian Federation, and the two main implementing partners were the Ministry of Welfare in Latvia and the Ministry of Public Administration in Slovenia. The now defunct Public Administration Policy Department in Kyrgyzstan and the Civil Service Agency in Kazakhstan were also included in several of the events, primarily to acquire basic knowledge about quality management tools, since the CAF model is not currently in use in the public sector in any of the two countries.

The (CAF) model was extensively introduced in Slovenia in 2002. It was incorporated in ongoing public administration reforms and various governmental bodies support the use and further development of the CAF model. In Latvia, CAF was not introduced until 2008, and CAF users in the Latvian administration required more knowledge and exchange of practical experiences on the successful use of CAF in other countries to be able to fully reap the benefits offered by the CAF model. In Russia, the CAF model has been used only sporadically. Based on the above, the multi-country activity partners, in co-operation with RCPAR and the European Institute of Public Administration (EIPA), designed a series of events, primarily training, workshops and study tours, aimed at responding to the specific needs of the institutions and countries participating in the activity. By the end of the implementation period, the partners had successfully implemented a 3-day training in Riga, Latvia in September 2009, which included the presentation of three Latvian cases where CAF is used in practice; a 3-day CAF study tour in Ljubljana, Slovenia in October 2009, which included the presentation of three Slovenian cases where CAF is used in practice, as well as participation in the Good Practices Conference in the Slovene Public Administration 2009; a 2-day CAF training in Bishkek, Kyrgyzstan in February 2010, and a final training for External Feedback Actors in Maastricht, Netherlands in March 2010, organized by EIPA. Individual event reports have been produced for all events, and a final report on the overall activity was published in autumn 2010.

This CAF Good Practice Book represents a collection of all the cases presented, studied and/or visited in the course of the implementation of the activity: In the second chapter Dr. Gordana Zurga, Head of the Quality Committee and Secretary at the Ministry of Public Administration of the Republic of Slovenia, recounts how CAF was first introduced in the Ministry of Public Administration, and how it has contributed to shaping the Ministry's mission and management philosophy. She describes in detail the 2008 CAF self-assessment exercise undertaken with the view of implementing a quality management system in full. Dr. Zurga concludes that by integrating CAF in the organisation's own development and improvement, the Ministry of Public Administration is not only improving its own functioning and providing better services; it is also setting an example for other organisation of how CAF, as a total quality management tool, can work in practice.

In the third chapter, Ms Svetlana Parunova, Chief Specialist of the Ples Town Board in the Ivanovo Oblast of the Russian Federation, presents the application of the CAF self-assessment method in the Ples Town Board. High importance was placed on assessing the Council's operational efficiency, but in the absence of mechanism for feed-back for users of the municipal services, it was difficult to measure such efficiency on the demand side. As a result, development of stable feedback channels with consumers/citizens was identified as the main area for improvement. Ms Parunova notes that the CAF model works only if the organisation's top manager clearly sees the need for implementing changes and supports the process. She concludes by adding that external recognition is also crucial, which is why the Ples Town Council, in addition to the self-assessment, decided to carry out an external “Commitment to excellence” audit and certification procedure.

The following chapter is devoted to the application of the CAF self-assessment in the Central Bank of Latvia. The ISO 9001 certification has been used in the Bank since 2000, but in 2008/2009, following internal discussions; the Bank's management concluded that the ISO certification was inadequate as a tool for organisational development. Preparations for a CAF self-assessment project were initiated, and in May 2009, the exercise started. The chapter presents a comprehensive table of strengths and weaknesses/areas for improving identified during the self-assessment, and it notes that in the end, the Board approved an improvement plan for the period 2010–2012 which contains 18 main improvement projects. The chapter concludes by listing some useful observations made during the exercise before providing suggestions for how to improve the next self-assessment.

In the fifth chapter, Mr. Franc Virtic, of the Maribor Police Directorate in Slovenia, describes the development of quality management in the Maribor Police Directorate, noting that the Slovene police is dedicated to community policing. In 2003, to successfully implement community policing, the Police Directorate's management decided to make use of CAF for public sector organisations, and the first self-assessment was conducted. In 2005, the Directorate developed and implemented its own methodology for assessing the success in achieving its priority objectives. Mr. Virtic concludes by noting that a research conducted in 2005 showed that residents in the area of the Maribor Police Directorate feel safe, trust the police, and are ready to cooperate in solving safety-related problems, and that the Directorate's achievements in implementing business excellence models set an example for other police organisations nationally and internationally.

In the sixth chapter, Mr Aleksey Gasparov, Chairman and Albert Korolenko, member of the Chamber for Control and Accounts of the Ivanovo Region, reflect on the benefits of adopting the CAF model of self-assessment in evaluating the activities of the Chamber for Control and Accounts, noting that it would help improve efficiency and improve the quality of services. The process and results of the 2009 CAF self-assessment are presented analytically. Mr Gasparov concludes by noting that the recommendations resulting from the self-assessment are particularly helpful in determining priorities regarding spending allocations within the limits of the organisation's overall budget.

The seventh chapter focuses on the use of CAF in the management audit conducted in the Latvian Ministry of Welfare. Since 2000, an internal audit system has been in place in the ministry, but ahead of the 2008 management audit, the quality management team of the Ministry reviewed various quality management tools in light of the organisation's need. The team concluded that the CAF model fully included all aspects to be covered by the audit, while also being a useful instrument for further organizational development. As a consequence, it was decided to base the audit on the CAF model. However, contrary to standard practice, the auditors opted for a simple assessment scale: good, average, unsatisfactory. This simplified rating proved adequate in determining the Ministry's level of efficiency in control, risk management and governance processes, and identifies improvement areas. As the auditors were self-taught in the use of the CAF model, they did not have the skills or capacity to use the CAF model to its full extent. The Ministry planned to organize its first self-assessments towards the end of 2010 or in the first part of 2011.

In the eight chapter, Ms Alenka Burnik, Head of Administrative Unit Jesenice, a middle-sized administrative unit north-west in Slovenia, recounts the various developments and steps taken during Jesenice's eight years of experience with CAF self-assessments. Her detailed account vividly illustrates the CAF model's contribution to developing the organization and its services, to the benefit of its major stakeholders: employees and citizens. Ms. Burnik concludes by noting that the CAF model is perceived as a powerful and, at the same time, soft tool which helps to continuously improve the organization. The purpose of self-assessments is not to achieve a high score but to identify possibilities for improvement.

In the ninth chapter, Mr Aleksandr Pakholkov, Head of the Administration of the Rodniki municipal district in the Russian Federation, analyses how the CAF self-assessment model was applied in the municipal district's education unit, following a study trip to a similar municipal unit based in Jesenice, organized in the framework of the IQUAL activity. The self-assessment resulted in the identification of 54 improvement measures in the municipal unit, and a plan for implementing seven measures is being developed. The author concludes that the CAF model can facilitate the collection of best management practices in various municipal units in a database, which in turn can be used at the regional level.

In the tenth chapter, Mr Sergey Tararykin, Rector of the Ivanovo State Power University and Ms Yuliya Vylgina, of the Faculty of Management and Marketing, describes in detail a distance learning course developed by the University, entitled "Improving the quality of management in public administration with the help of the CAF model". The course is highlighted as an example of innovative educational technologies, capable of providing high-quality educational services, which is one of the strategic objectives pursued by the ISPU.

Last but not least, in the eleventh chapter, Mr. Dmitry Maslov, Director of the Scientific Centre for Benchmarking and Excellence at the Ivanovo State Power University in the Russia federation, and coordinator of the UNDP/RCPAR multi-country activity IQUAL, analyses the current situation regarding effectiveness and quality of services in the Russian public administration. After summarizing the European experience, in particular activities related to the Common Assessment Framework (CAF), Mr. Maslov explains the concept of the Effectiveness Assessment Systems for Public Administrations (EPUS). EPUS is based on the CAF model, and it includes two-sided self-assessments and best practice indicators. He concludes by noting that consistent application of the two main instruments of the EPUS system, self-assessment (which is about people) and benchmarking (which is about innovation and learning) could lead to successful institutional reforms in Russia.

The Good Practice Book targets primarily public administration practitioners, i.e. public sector employees involved in the use and development of quality management tools in their country's administration, at central and local levels. All chapters have been written with this specific target group in mind.

II. CAF in the Ministry of Public Administration of Slovenia¹

2.1 Introduction

The Ministry of Public Administration was established in December 2004, based on the intention of the Government to join different organizational units (already operating under other ministries or as Government offices) which all shared the same goal, namely to improve the functioning and quality of public administration. The Ministry of Public Administration was set up by joining the following existing organizational units: Directorate for Public Administration and Directorate for Salaries in the Public Sector, Ministry of the Interior, the Government Centre for Informatics, the Government Office for Joint Services and the Government Personnel Office.

When established, the Ministry consisted of five Directorates and five Headquarter units, including one for strategy, analysis and quality. Over the years, the organizational structure of the Ministry changed, in accordance with its goals and strategic orientation². However, since its establishment in 2004, the mission and the vision³ of the Ministry of Public Administration have remained the same:

"Our mission is to establish a friendly and an effective public administration, i.e. friendly towards users who are the reason for the existence of the public administration, and towards civil servants who are the nucleus of the public administration. However, in order to establish a friendly public administration, it will be our common task to increase the efficiency of the exploitation of human, financial and material resources and the knowledge within the public administration. The Slovenian public administration respects the principles of legality and legal safety, political neutrality and professional independence, openness and user orientation, expertise and quality, compatibility, rationality and efficiency. Our objective is to secure the satisfaction of users and civil servants and to provide a public administration that will not only be comparable to public administrations in other EU Member States but which will be among the best in the European Union, with regards to organization, user satisfaction and finances"

The latter has been an imperative for the proactive functioning of the Ministry of Public Administration, and the results it has achieved. Moreover, the Ministry of Public Administration is taking a proactive role in the international context as well.

2.2 Quality management in the Ministry of Public Administration

It is important to emphasize that although the Ministry of Public Administration is a relatively young ministry, its constituent bodies possessed relevant experience in quality management and this has impacted positively on its functioning:

- In the Directorate for Public Administration of the Ministry of the Interior, which was in charge of quality management in public administration, the operation of the Quality Committee, as well as promotion and support to CAF implementation, the first CAF self-assessment was performed in 2002;
- The Directorate for Salaries in the Public Sector of the Ministry of the Interior equally performed its first CAF self-assessment in 2002;
- The Government Centre for Informatics, which operated as a Government Office before being transferred to the Ministry of Public Administration, has held the ISO 9001 certificate since 2001;
- The Government Office for Joint Services of the Government started its ISO certification project just before it was transferred to the new Ministry of Public Administration, and it received the ISO 9000 certificate in 2005, as the Directorate for Investments, Real Estate and Joint Services

The existing quality management tradition and experience contributed substantially to the establishment of quality management processes in the new Ministry of Public Administration.

¹By Dr Gordana Zurga, Secretary at the Ministry of Public Administration of the Republic of Slovenia, Head of the Quality Committee

²For more information on organizational structure and working areas of the Ministry of Public Administration, please visit: http://www.mju.gov.si/en/areas_of_work/

³http://www.mju.gov.si/en/about_the_ministry/

The approach

In January 2008, a Quality Team was established at the Ministry of Public Administration. Its mission was to fully implement a quality management system in the Ministry, based on an **incremental** approach, assuring a **step-by-step** implementation.

The Quality Team was led by the Secretary General of the Ministry whose responsibilities included ensuring the quality and effective functioning of the Ministry as well as the efficient use of the Ministry's resources. All Directorates, i.e. all the different areas of work of the Ministry, were represented in the team.

The work plan of the Quality Team included the following activities:

- Testing the level of satisfaction among employees;
- Testing the level of satisfaction among customers;
- Self-assessment of the Ministry performed according to the CAF model;
- Preparation of action plan for improvement.

Testing the level of satisfaction among employees

Testing the satisfaction of employees was the first activity of the Quality Team. The questionnaire and methodology were prepared bearing in mind the goals that the Ministry of Public Administration had set out in relation to the desired level of satisfaction and motivation among its employees.

The whole process was communicated to the management as well as to all employees, emphasizing that the purpose was to **measure** the motivation and satisfaction level, to **improve** the existing level and eventually to **maintain the motivation and satisfaction of employees at a high level**.

Table 1: Managing the process of testing the employees' level of satisfaction

What? The activities	Who? The people involved	When? The timing
Questionnaire and methodology development	The Quality team, External expert	February - March 2008
The survey	Employees at the Ministry, The Quality team	April 2008
Processing the questionnaires and preparing the report	Two specialists of the Ministry, the Quality team	May June 2008
First presentation of results to each Directorate separately	Secretary General, Director General, with respective Quality team member	July August 2008
Separate meetings of Secretary General and Directorates, with presentations of the results and discussion	Secretary General, Director General and all employees of each Directorate	September 2008
Why?	To communicate the results of the survey, to create an environment willing to share feedback and to ensure the engagement of all involved in relation to the proposed improvements.	

CAF self-assessment

The self - assessment, executed in accordance with the CAF model, was performed at the Ministry of Public Administration in November 2008, as a one month intensive activity. The timing end of the year was deliberate, to allow for the identification of a set of possible improvement areas, and consequently, to define a number of relevant projects which could be included in the work plan of the Ministry for the following year(s). Moreover, the timeliness of the exercise was further reinforced by the fact that a new Government of the Republic of Slovenia had just been appointed, and the new Minister and State Secretary of Public Administration had been nominated.

Citizen/customer satisfaction

Testing customer satisfaction is one of the activities that the Ministry of Public Administration performs on an ongoing basis. For example, users of e-services are constantly asked to share their immediate feedback to every e-service they have made use of; participants at seminars organized by the Ministry receive a questionnaire at the end of the seminar as well as a follow-up questionnaire after a certain period of time to identify the outcomes and impact of the seminar; participants at events such as conferences organized by the Ministry answer specific questionnaires and contribute to the evaluation of the events performed. However, in the process of establishing a quality management system in the Ministry of Public Administration, all Directorates were invited to list and classify their customers in order to develop questionnaires for the so-called "A" type of customers.

Table 2: Process of listing and classifying customers

Directorate / Sector	Customer type	Relation	Number of customers, frequency of communication, classification, ...
Organizational unit at the ministry	Specify different types of customers representing typical customer groups (users, recipients of products /services, etc.)	Shortly describe relations with each type of customer.	For each type of customer indicate: <ul style="list-style-type: none"> • (Approximate) number, • Frequency of communication, • Classify according to the ABC method (A the most important: the most demanding or, requires the most of resources, or is the most numerous, etc.)

On the basis of this review, the Quality team decided to develop questionnaires for following customers of the Ministry of Public

Table 3: Different groups of customers identified

Customers	Directorate / Sector at the Ministry of Public Administration
Citizens who made suggestions / proposals for simplification / reduction of administrative barriers; Organizations contributing to the preparation and implementation of the Government RAB ⁴ programme;	Directorate for e-Government and Administrative Processes
Tenants of apartments owned by the State;	Directorate for Investments and Real Estate
Individuals in charge of HRM and organizational matters in public sector and other state organs;	Directorate for Management and Personnel
Individuals who contacted the Directorate about the new public sector salary system.	Directorate ⁵ / Sector for Salaries in the Public Sector

The general methodological principle followed was that each Directorate's goals and intended follow-up actions, based on the eventual feed-back received, influenced the work with developing questionnaires. Besides the specific questions intended to measure the level of satisfaction with the work of each Directorate, all questionnaires had a common set of questions to measure the overall level of satisfaction with the Ministry of Public Administration.

⁴RAB Reduction of Administrative Barriers.

⁵The body dealing with salaries in public sector was first organized as a Directorate (2004-2009), and since September 2009 as a sector.

2.3 The CAF self-assessment project in the Ministry of Public Administration

The CAF self-assessment group

In order to conduct a self-assessment process in the Ministry, a CAF self-assessment group was established. The idea behind and the actual content of the self-assessment project were communicated to the Ministry's management and its employees, who were also invited to volunteer for the self-assessment group. In order to manage the expectations of all involved, the rules were clearly set out at the very beginning: (1) the composition of the self-assessment group shall reflect the structure of the ministry; and (2) all members must fully respect the work schedule of the self-assessment project and adjust their other work activities accordingly.

The composition of the CAF self-assessment group was similar to that of the Quality Team in the Ministry. The self-assessment group consisted of eight members, reflecting the organizational structure of the Ministry, both hierarchically and thematically. The head of the self-assessment group was a quality expert and an experienced user of CAF.

The self-assessment group in the Ministry of Public Administration was established formally for a specific period of time, for the duration of the implementation of the self-assessment project.

The process of self-assessment

The process of self-assessment at the Ministry of Public Administration was organized in accordance with CAF guidelines⁶. Only one month elapsed between the establishment of the self-assessment group and the issuing of the group's final report to the Ministry's management, in November 2008.

The results of the self-assessment

Overall, the scores are not as important as the other results of the CAF self-assessment process, namely:

- **Positioning of criteria on the Enablers' side of the CAF model, according to the PDCA cycle**
- **Strengths and weaknesses identified and supported by evidence,**
- **Areas for improvement identified,**
- **Possible improvement activities and projects discussed.**

In the case of the Ministry of Public Administration, discussion and evidence from different exercises and activities (employees' satisfaction, customers' satisfaction, and CAF self-assessment) produced similar conclusions, with regards to areas for improvement as well as possible solutions.

⁶Guidelines for improving organizations using CAF, CAF 2006, pages 3645

Table 4: The process of self-assessment step by step

Step Activity the guidelines		Implementation in the Ministry
I. THE START		
1.	Decide how to organize and plan the self-assessment	Decision made and plan drawn up by the Quality Team in January 2008: <ul style="list-style-type: none"> • Employee satisfaction survey, spring 2008; • CAF self-assessment, November 2008; • Results and improvement areas identified used as input for the Action plan / Working plan of the Ministry of Public Administration;
2.	Communicate the contents of the self-assessment project	Special attention was given to communication directed to: <ul style="list-style-type: none"> • Management • Employees. Members of the ministerial management team were encouraged to inform, involve and motivate their employees; important the Secretary General of the Ministry played a crucial role in this respect.
II. SELF-ASSESSMENT PROCESS		
3.	Compose one or more self-assessment groups	One self-assessment group was formed: <ul style="list-style-type: none"> • Consisted of eight members; • Appropriate representation of the ministry, its working areas, hierarchal levels, and seniority; • Formally set, for a defined period of time.
4.	Organize training	One-day training for the self-assessment group, delivered by an external expert, organized at the Ministry,. Regardless of their prior experience with CAF, the whole self-assessment group attended the training, and the management was also invited to attend the first training session.
5.	Undertake self-assessment	First, individual assessments by all self-assessment group members were performed (between 7 and 12 November 2008), followed by a consensus meeting of the whole self-assessment group, conducted at a location outside the ministry, over three days (17 19 November, 2008).
6.	Draw up a report describing the results of self-assessment	The self-assessment report, with all corresponding documentation, was prepared by the end of November, and reviewed by all self-assessment group members before it was forwarded to the management team of the Ministry of Public Administration.

2.4 Conclusions and further steps

For the Ministry of Public Administration as the Ministry in charge of quality management in the Slovene public administration, it is important to have its own, well developed quality management system in place, underpinning its credibility in taking a lead in the area. In building and continuously improving the quality management system of the Ministry, CAF possesses an important role. By integrating CAF in its own development and improvement, the Ministry of Public Administration is not only contributing to its own improved functioning and higher quality of services, but is also setting an example for how CAF, as a total quality management tool, works in practice. In Slovenia, CAF is not only on the list of quality management tools to be used in public sector organizations, but it is “in the heart and minds” of the Ministry of Public Administration and the people who promote it since 2002.

Moreover, the Ministry of Public Administration is among the leading institutions in the EU in the development of the Common Assessment Framework. During the Slovenian EU Presidency, the decision to develop a module entitled “CAF External Feedback” was taken by the Directors-General for Public Administrations at the 50th working meeting in May 2008 at Brdo (Ljurgå, 2008c). Slovenia represented by the Ministry of Public Administration was a member of the development team. The “CAF External Feedback” module has been finalised, and the whole methodology has been approved by the Directors-General for Public Administrations in the EU. The Ministry of Public Administration has already prepared to take a proactive role in its implementation in the Republic of Slovenia.

III. CAF self-assessment in Ples town and EFQM certification⁷

3.1 Introduction

Ples is the administrative centre of the Privolzhsky district of Ivanovo Oblast in the Russian Federation, situated on the right bank of the Volga River some 70 kilometres north-east of Ivanovo. In October 2009 the Ples Town Council decided to carry out a self-assessment on the basis of the CAF model criteria in order to improve the quality of municipal services and the efficiency of the administration's management system. The Government of the Ivanovo Region supported the adoption of the CAF model self-assessment methods with the aim of examining its possible application at the municipal level and in municipal management.

Apart from the main objectives – determining areas for improvement and actions for optimizing work processes, and improving the quality of municipal services – a number of other goals were also determined. High importance was placed on assessing the Council's operational efficiency, examining all available options and results achieved. A step-by-step project was developed for the purpose of achieving the agreed objectives.

3.2 CAF self-assessment step by step

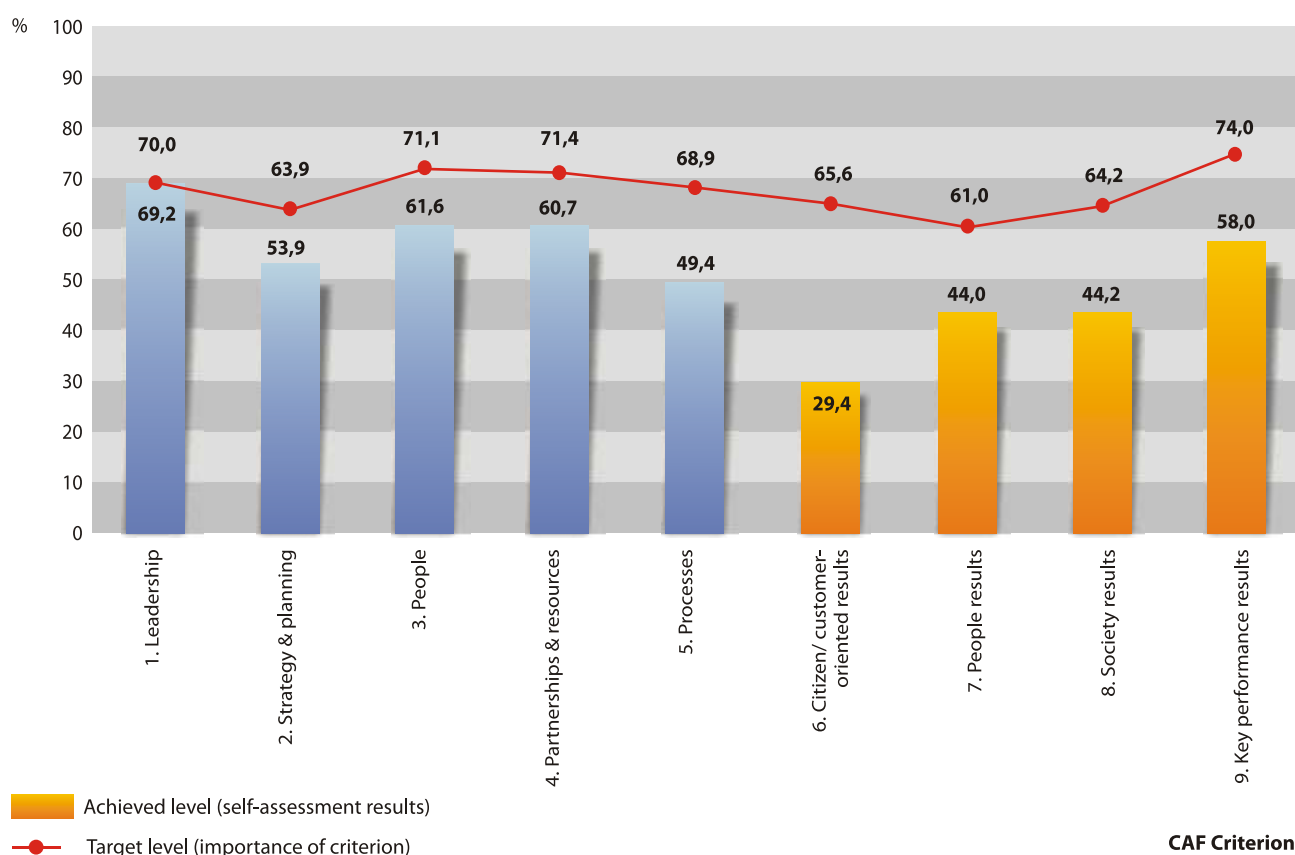
The management team consists of eight staff members, and it was agreed that two of them would receive more in-depth training on self-assessment methods according to the CAF model criteria. After completing the training, under the supervision of external experts, they would carry out a full-scale self-assessment. The other employees participated in an introductory training workshop on self-assessment, after which each employee conducted a self-assessment of the administration's activities through the distribution of a questionnaire. In the course of the two-month project, very valuable information was obtained, and it provided the basis for the implementation of a plan to improve the Administration's performance.

The results of the questionnaire revealed that the Town's employees place particular importance on close cooperation with consumers, but they also pointed at the absence of systematic measurement and feedback on the level of satisfaction among citizens. There was no mechanism for feed-back regarding the satisfaction with the municipal services provided and the Council's performance in general, and an image analysis and information on the degree of trust between the administration and various consumer groups were missing.

⁷by Svetlana Parunova, Chief Specialist of the Ples Town Board

An interpretation of the results based on the EFQM model criteria appear below. Low marks for the aforementioned points resulted in a low overall score for «The results for citizens/consumers» sub-criterion. However, in the organization's results structure, the degree of importance accorded to this sub-criterion was assessed as very high. As a consequence, the development of stable feedback channels vis-a-vis consumers/citizens was defined as the primary task for improving the activities of the Ples Town Council. Other possible improvements include the development of safety, health, and social support services for employees, as well as a cost analysis of municipal service provision.

Figure 1: Results of self-assessment based on EFQM model criteria



3.3 Results of the self-assessment

The results of the Council's performance assessment, carried out by the self-assessment group were as follows: overall assessment according to the CAF criteria: **57.4%**; assessment according to the «Possibilities» group - **50.3%**; assessment according to the «Results» group - **64.5%**. The lowest value was given to the criterion on the «Processes» group.

The methods of self-assessment presuppose that the members of the group, following discussion of each of the CAF model's 28 sub-criteria, define strong points and areas where reform is necessary, and suggest measures for improvement. Every sub-criterion is assessed by using the corresponding assessment tables for the «Possibilities» and «Results» groups. All information is recorded and analyzed by external experts. Following exhaustive discussions a list of improvement measures, with individual rating and identification of priority areas, is prepared.

On the whole, the above set the stage for a better allocation of resources, in particular where resources should be concentrated if certain improvements or agreed results are to be achieved. In other words, one of the main outputs of the self-assessment was the creation of a specific action plan for how to achieve the agreed improvements.

Figure 2: Results of self-assessment based on CAF model criteria

PHASE	ENABLERS PANEL	SCORE	LEVEL
	We are not active in this field. We have no information or very anecdotal	0 - 10	0
PLAN	We have a plan to do this.	11 - 30	1
DO	We are implementing / doing this	31 - 50	2
CHECK	We check / review if we do the right things in the right way.	51 - 70	3
ACT	On the basis of checking / review we adjust if necessary.	71 - 90	4
PDCA	Everything we do, we plan, implement, check and adjust if necessary.	91 - 100	5

RESULTS PANEL 1	SCORE	LEVEL 2002
No results are measured and / or no information is available	0 - 10	0
Results are measured and show negative trends and / or results do not meet relevant targets	11 - 30	1
Results show flat trends and / or some relevant targets are met	31 - 50	2
Results show improving trends and / or most of the relevant targets are met	51 - 70	3
Results show substantial progress and / or all the relevant targets are met	71 - 90	4
Excellent and sustained results are achieved. All the relevant targets are met. Positive comparisons with relevant organisations for all the key results are made.	91 - 100	5

Stage	Table for the group "POSSIBILITIES"	SCORE	LEVEL
	We do not carry out activities in this area We do not have information or the information is not sufficient	0 - 10	0
Plan (P)	We are planning to develop this area	11 - 30	1
Do (D)	We take measures in this area	31 - 50	2
Check (C)	We assess / analyze our activities in this area	51 - 70	3
Act (A)	On the basis of assessment and analysis we reconsider the applied approaches if it is needed	71 - 90	4
PDCA	We plan, carry out, control and correct on a regular basis our activities in this area, we learn from others and constantly improve our approaches	91 - 100	5

Table for the group "RESULTS"

There are no measurable results and/or there isn't reliable information	0 - 10	0
The results are measured and reveal negative tendencies and/or results do not match the targets	11 - 30	1
The results show weak positive tendencies and/or some goals have been achieved	31 - 50	2
The results are improving and/or the majority of goals have been achieved	51 - 70	3
The results show steady progress and/or all set goals have been achieved	71 - 90	4
The best results have been achieved. All goals have been achieved. All key results are better in comparison with other organizations.	91 - 100	5

In the activities of the Ples Town Council, the main area for improvement is «the development of stable feedback channels with consumers/citizens». More specifically, the following measures have been defined:

- Develop the Council's mission statement, perspective and set of values;
- Set up a system for regular feedback from employees, to ensure that their opinion and suggestions for operational improvements are captured;
- Assign responsibility for every citizen's appeal to individual employees and set a clear response date;
- Install "confidential" mail-boxes around town and set up a direct e-mail for the Head of the Council,
- Set-up an official Ples Town Council website;
- Launch a program for monitoring public opinion - «Social Barometer»;
- Create a youth council under the jurisdiction of the Town Council;
- File an application with the Pan-Russian Quality Organization in order to gain recognition for the EFQM "Commitment to excellence" certification;
- Conduct a stakeholder analysis among user of services, including division into particular interest groups and a definition of their key needs.

3.4 Concluding remarks

As far as the participants in this exercise in the Ples Town Council are concerned, all aspects of the self-assessment process are valuable, as they enable organizations to reconsider their activities, reallocate resources to better satisfy consumer needs and overall results. Furthermore, in the case of system failure, self-assessments allow an organization to reconsider its overall goal, understand its origin and manage activities through the appropriate channels at every stage.

Every manager understands the need for self-appraisal. At the same time, the outcomes of such exercises do not always offer clear proposals for improvement, the way the CAF model does. However, the CAF model works only if the Chief Executive understands the need for implementing changes and gets involved in the process.

Moreover, even if the process is mainly aimed at producing internal changes and improvements, external recognition is also crucial. This is the reason why the Ples Town Council decided to carry out an external EFQM “Commitment to Excellence” audit and certification procedure. The audit was co-ordinated with the Centre for Expert Programs of the Pan-Russian Quality Organization, which is a national partner of EFQM in Russia, and involved completion of a variety of forms and documents, as well as a field visit involving a review of the process on the ground.

The following three were singled out as priority actions: (1) develop the Council's mission statement, perspective and set of values; (2) set-up an official Ples Town Council website; and (3) assign responsibility for appeals from citizens to individual employees.

IV. CAF self-assessment in the Bank of Latvia

4.1 Introduction

The Bank of Latvia (BoL) is the Central Bank of the Republic of Latvia. It is one of the country's key public institutions and carries out various economic functions as prescribed by law. The principal objective of the Bank of Latvia is to maintain price stability in Latvia. The Bank of Latvia functions are set out in the Republic of Latvia Law “On the Bank of Latvia”. Among the most important tasks of the national Central Bank are the following:

- to establish and implement monetary policy in order to ensure price stability in the country;
- to issue the national currency;
- to organize and ensure the functioning of payment and settlement systems in Latvia;
- to collect, record and aggregate financial information and data on the national payment balance, as well as to publish processed statistical information;
- to manage foreign assets;
- to act as financial agent for the government and
- to issue permits (licences) to legal persons listed in the Republic of Latvia Register of Enterprises, except credit institutions, for the purchase and sale of foreign currency as a business activity.

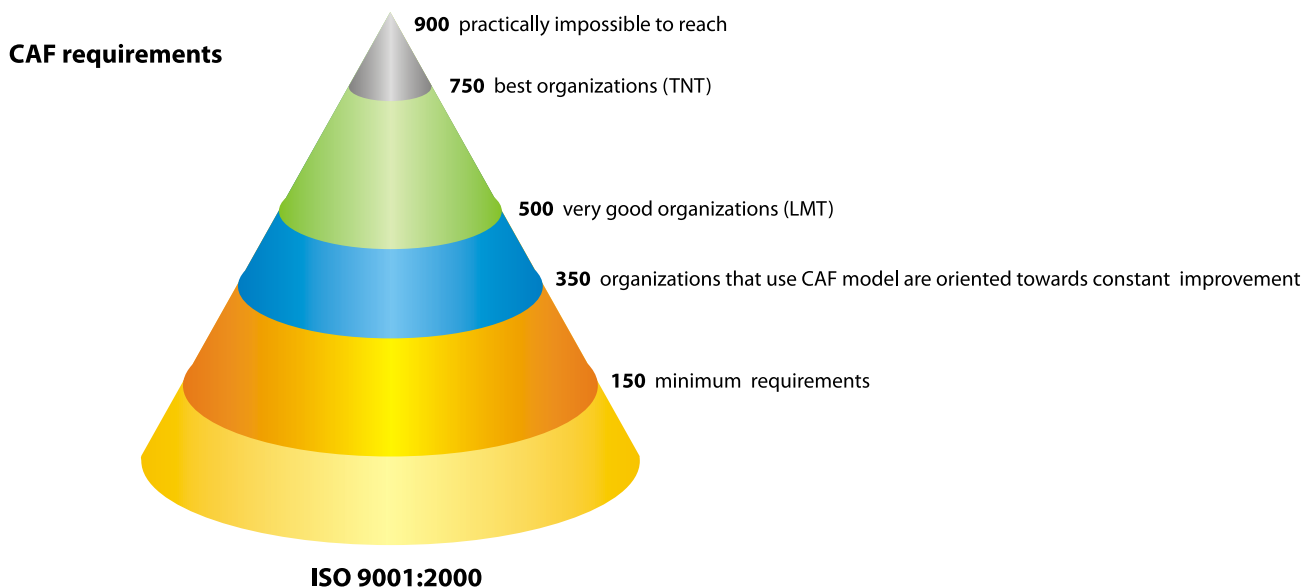
The Bank of Latvia represents the Republic of Latvia in relations with foreign central banks and international financial institutions. The Bank of Latvia also consults the Parliament and the Cabinet of Ministers on monetary policy issues.

4.2 The idea of CAF self-assessment

The Bank's quality management system has been regularly audited since 2000, in accordance with the ISO 9001:2000 requirements. In order to ensure the systematic maintenance and development of quality management systems, the Bank employed a quality manager on a temporary contract which was regularly renewed during the period the ISO certificate was valid. The system was fully compliant with the requirements of ISO 9001:2000. Processes were implemented, their owners were identified, regular bases for measuring results were developed, a reference book for the system was prepared, and detailed process descriptions (procedures) were drafted. All the documents were regularly updated, and a clear mechanism for dealing with non-conforming products was defined and worked successfully. Nevertheless, the system was perceived as very cumbersome. Reports on results and KPIs were presented to the quality management group, which included only one representative from the Board of the Bank. This latter may have been the reason why the mechanism did not work properly and the information collected did not result in further development.

In hindsight, two observations can be made: (1) a temporary part-time contract for a quality manager was not sufficient to secure the necessary detailed knowledge of internal processes and particular activities, which in turn affected negatively the results achieved; and (2) staff and management did not see the potential for organizational development and did not make sufficient use of the information collected to promote changes. Over time, the Bank's management became increasingly convinced that ISO 9001 was not a tool for further organisational development because it did not propose any potential improvements. Moreover, the tool itself was perceived more as a set of criteria rather than a user-friendly system, to be used on a daily basis, and there was no feedback in the form of suggestions for improvements from the external assessors (auditors), as they found no non-conformities for years and consistently the Bank as one of the best organisations in Latvia. Figure 3 shows that when having obtained the ISO, the Bank could only be sure that it had reached a certain level of organizational development. By using other management tools, the Bank could increase the scope to include organizational evaluation and further development.

Figure 3: Levels of organisational development in relation to ISO 9001:2000 and CAF



The idea of using CAF first came to the Bank's attention in 2008, when CAF was presented as an appropriate tool for improving an organisation at a meeting of the quality management group. The advantages of CAF, as well as possible ways of linking it with the existing tools and systems were presented and, - but unfortunately-, the audience was not persuaded and concluded that CAF was an appropriate tool which could however only be used sometime in the future. After some time, with a new certification round approaching, the quality manager proposed to base the development of the quality management system on the Common Assessment Framework (CAF).

Several internal meetings and presentations followed until the beginning of 2009, when the Board made a decision not to certify the quality management system according to ISO 9001 anymore, but instead start preparing for the CAF self-assessment project. External assistance to the self-assessment process and funding for training were made available. The staff responsible for the CAF project had meetings with external experts to evaluate the current state of affairs and agreed on potential alternatives for successful project implementation.

4.3 The process

CAF training

The training of the staff engaged in the project started in May 2009. The project team members were selected: Advisor to the Board, Chief Accountant, Strategic Management Process Manager, Deputy Director of the Internal Audit Department, and Deputy Director of the Personnel Department. The training covered the following topics: nature and principles of the CAF model, its application, structure etc., followed by an introduction to the CAF criteria and sub-criteria, real-life examples and situations at the Bank. As a result of the training, a Common Assessment Framework was prepared. It was general, without much detail, yet the basic issues were captured and it was sufficient as a basis for a subsequent, more detailed assessment of the Bank.

CAF self-assessment

After the training, the main criteria were divided among the members of the working group, based on the relevance of the particular criterion to their everyday tasks and responsibilities. The members had to prepare an assessment report including specific evidence in relation to the criterion and its sub-criteria. The Advisor to the Board assessed the leadership criterion and its sub-criteria, the representative from the Internal Audit Department assessed processes, and the Chief Accountant evaluated the allocation of resources. A representative from the Public Relations Department was involved in the assessment of criteria and sub-criteria related to the general public. Before the CAF self-assessment project, the procedure of getting feedback from the public and to use such feed-back in organisational development was not precisely defined or made clear to the staff at the Bank. The main communication processes had been identified and studied, and reports had been presented to the Board, but these mostly contained information on trends rather than evidence and particular facts. The results of surveys conducted among the general public were only available to the Public Relations Department. Each member prepared a report (see below) with the names of the criteria and sub-criteria, outlining the strengths and weaknesses, areas for improvement, and evaluation phase of the PDCA cycle. Specific scores and proposals for improvement were also included.

Example: "Sub-criteria Processes. Evidence and areas of improvement: Identify, design, manage and improve processes on an ongoing basis. Score: 37 points"

- a) Identifying, describing and documenting key processes on an ongoing basis.
- b) Identifying process owners and assigning responsibilities.
- c) Involving employees and other external stakeholders in the design and development of key processes.
- d) Allocating resources to processes, based on the relative importance of their contribution to the strategic aims of the organisation.
- e) Gathering, recording and understanding the legal requirements and other regulations relevant to the processes of the organisation, analysing these requirements and formulate proposals for streamlining legally integrated processes aimed at eliminating unnecessary administrative burdens and bureaucracy.
- f) Implementing process indicators and setting citizen/ customer-oriented performance goals.
- g) Co-ordinating and synchronising processes.
- h) Monitoring and evaluating impacts of online/e-government services/ on the organisation's processes (e.g. efficiency, quality, effectiveness).
- i) In co-operation with relevant stakeholders, improving processes on the basis of measured efficiency, effectiveness and results (outputs and outcomes).
- j) Analysing and evaluating key processes, risks and critical success factors taking into consideration the objectives of the organisation and its changing environment.
- k) Identifying, designing and implementing process changes leading to one-stop-principle services.
- l) Measuring and reviewing the effectiveness of process changes and carrying out benchmarking to drive improvement.

Table 5: Strengths, weaknesses and recommendations identified through the self-assessment

Strengths	Weaknesses / areas of improvement
<ul style="list-style-type: none"> • All the processes are identified and divided into core, supporting, management and other processes; • Main processes are described in detail (step by step) and have a status of an internal regulation (rules, instructions etc.); • All processes are generally described on the process map; • All processes are documented in Excel. There is a list of documents/ map in the quality manual; • Internal regulations which describe the key processes are regularly updated with changes; • The process list is revised annually; • Sorted processes according to their significance (for the risk management process); • Prioritisation of processes has started (within the framework of the risk management process); • Owners of all the processes are identified; • Responsibility to identify and describe processes is delegated by the Board; • For some processes, such as risk management, responsibilities and obligations of the process owners are determined; • There are several examples where external stakeholders are involved in the designing and development of processes, such as the Credit Register, payment systems, cash circulation statistics; • Staff members with relevant expertise and experience are involved in the designing and development processes, including not only those directly associated with the process, but also from the support functions (named); • Resources are always allocated for core processes; if needed, additional resources can be obtained; • For development projects, resources always are allocated if project benefit-cost analysis is done; • If necessary, other processes are funded taking into account the strategic objectives, risks, etc. criteria, such as (named), physical security, etc.; • Departments identify and follow changes in all related regulatory acts of the Bank and the ECB or other related institutions' requirements; • Legal services follow the changes in legislation and inform the relevant departments, help to understand the requirements by advising and providing an opinion; • Before making any changes in policies and procedures lawyers always check compliance with legislation or other regulatory acts; • In some areas laws and regulations are reviewed to simplify or reduce the bureaucracy; • Increased power to heads of departments, such as for money payment transaction, for approving of procedures or instructions; • There are several performance indicators for measuring citizen / customer satisfaction, the targets are set; • From measurements there is a trend identified; and the management is also willing to look for additional indicators and improve the performance of the organisation; 	<ul style="list-style-type: none"> • Processes are mapped using Excel which is not so easy and transparent to use. The map of processes is rarely used in practice; • Link between outputs and inputs of various processes is not always clear; • The level of detail in process descriptions, scope and quality content of different processes is different; • Processes are not always updated and the quality of descriptions should be improved; • As the processes are described mainly in the text format, they can be very successfully used for implementation and compliance, but it is difficult to use them for evaluation and development (process description using a flowchart is more efficient for the purposes of evaluation). The possibility to describe processes (at least the key processes) using flowcharts should be considered; • Process objectives are not always clear and sufficiently specific; therefore, the process performance evaluation and improvement is hard; • Although process owners are identified, their responsibilities are not fully defined and sufficiently clear; • Unclear distribution of roles between Heads of Departments and owners of processes. Current internal environment and culture is also not helpful; • Cost-efficiency is not always analysed and sufficiently justified; • Process optimisation or the need for changes is not analysed and justified, not always optimisation projects are aligned with strategic or process objectives; • Documents relevant to specific processes are not easy to find. A linkage with the "edps" system is planned to be established; • There are a few cases when processes become inefficient because of unnecessary administrative barriers (e.g. documents must be approved by too many people); • Not all processes have defined indicators; • The quality of process indicators should be improved, there are measures which do not show that the goals have been achieved; • In cases when a process involves several departments, the process owner responsibilities as well as the issues of cooperation with other Department Heads are not clearly defined. • One cannot be confident that all projects are aligned with certain business objectives; project result is not always measured against the set target; • Insufficient analysis on achievement of targets and efficiency of resource use. Wide pre-project analysis should be provided; • There are some good examples when specific assessments / information from employees served as a basis for process improvements, but it is not a general practice. Process evaluation is carried out irregularly and it is incomplete;

- The main processes are synchronised with the support processes, for example, accounting and (named);
- Indicators before and after the project to compare the impact are being evaluated in the HR system implementation project;
- Orientation towards more effective processes (both internal and external) with a maximum use of e-services;
- Several separate assessments / informal opinion polls were conducted, which were the basis for process improvement (named);
- Financial risks are managed and analysed on a daily basis by the Market Operations Department;
- Risks are analysed, business contingency plans for critical processes are created; Information systems analysis is based on a specific methodology;
- Internal Audit Department has begun the process of performance audits and promotes regular assessment and analysis of the processes (IS development, strategy, risks, statistics, document management) with the help of recommendations;
- The experience of other CBs/ECB or similar bodies in the development of processes (e.g. cash circulation and risk management) is very often used;
- Staff members attend experience sharing activities, and when learning something useful recommend it for implementation at the Bank;
- The Bank implements good practices, and uses the standards (IA, ISF study) in the development of specific fields, attends workshops, conferences, etc.

- When analysing the operational risk, more attention should be paid to the objectives of the processes;
- The effectiveness of changes is not measured and sufficiently analysed (including e-services efficiency), but there is a tendency to do it. Indicators for efficiency of changes should be measured, analysed and used for further planning.

Recommendations

1. Establish qualitative goals for processes (specific, clear and measurable).
2. Introduce regular reviews of processes, analysing the effectiveness and efficiency of the processes, proper use of resources (staff, IT, etc.) and making the necessary improvements.
3. Improve the internal document for the process owners by determining the owner's liability.
4. Implement the practice to set project goals to determine targets for measuring performance and to measure whether the project objectives are achieved.
5. Implement practices to analyse the effectiveness of the changes, including e-services, identifying indicators for performance measurement of changes, measure them and analyse the results.

The process

Meetings of the working group tended to last two hours and were organised once per week for a period of two months. In the meetings, the official responsible for the preparation of each specific criterion presented the respective assessment (that had been sent out to other members of the working group ahead of the meeting), and discussions were held on each specific sub-criterion, its compliance with the PDCA cycle, and scores and proposals to be included in the improvement plan. The scores and assessment given by each member of the working group were recorded in a single table, revealing wide differences in the scores. This suggested that different members of the working group had different views about several issues. Looking at the total scores, it turned out that the lowest scores were provided by the Strategic Management Process Manager, while the highest ones were given by the Advisor to the Board.

While the self-assessment process was carried out, the Advisor to the Board launched an employee survey involving 15 randomly selected employees. The survey focused in particular on sub-criteria related to the leadership criterion. The overall score was surprisingly high, as employees rated the Board on the basis of how it was supposed to function in accordance with set requirements rather than how it actually operated.

During the self-assessment, two working group members received external training on the CAF model in September 2009 in Riga in the framework of the UNDP RCPAR "IQUAL" activity. The training seminar shed light on a number of questions raised in the working group, especially regarding the self-assessment process. It also helped to gain a deeper understanding of the PDCA cycle, evaluation of an organisation's activities and certain scoring. After the CAF training, the study trip to Slovenia provided an opportunity to obtain valuable information from organizations with more experience in performing CAF self-assessment. Examples of self-assessment procedures and related document containing information on results of self-assessment were useful as inputs to the Bank's project. In fact, the Bank has adopted one of the forms obtained in Slovenia (see Appendix to the Final Self-Assessment Report).

Finally after more than two months of weekly discussions in the working group, an overall consolidated self-assessment at the criteria and sub-criteria level was prepared. It featured the strengths and improvement areas / specific proposals. The working group came to a consensus about the final scores of the criteria and sub-criteria in the overall self-assessment. The final scores were obtained by calculating the average score of all members of the working group. The final self-assessment report was prepared containing the following sections: (1) Introduction; (2) Essence of CAF; (3) Assessment System; (4) Improvement Plan with specific tasks and deadlines; and (5) Conclusions.

In November 2009, the final self-assessment report was presented to enable the Board to take decisions on activities to be implemented, set the implementation deadlines and appoint the responsible staff members. The Board's decisions regarding activities to be implemented differed from the working group's proposals. In addition to clarifying and changing several activities, the Board proposed more realistic (longer) deadlines for activity implementation. In the end, the Board approved an improvement plan for 2010 - 2012, which contained 18 main projects that could lead to improvements of the Bank's strategic management process, process and project management, human resources management and client orientation. The improvement activities were defined within 5 CAF basic criteria where the most notable gaps were discovered during the self-assessment.

Starting from 2010, the improvement plan was integrated into the Bank's annual Operational Plan which is monitored once every quarter. The next CAF self-assessment at the Bank is planned in 2012.

4.4 Concluding remarks

- Examples provided for each CAF sub-criterion are not always meant for assessment and evidence should not be gathered for all examples. Instead, they should be considered as examples of good practices, which could be used to enhance the user's understanding of the essence and meaning of the sub-criteria;
- Some of the sub-criteria were not relevant to the Bank's operations; therefore, they should not be taken into account and assessed;
- The understanding of the link between outputs and outcomes should be strengthened;
- Identification of weaknesses may be difficult because it requires a hard look at reality and the essence of the issue, which may in some cases be unpleasant;
- When assessing an activity, understanding the PDCA cycle is more important than the actual score;
- Regular self-assessment enables you to look at yourself through the prism of good practice, using an internationally accepted approach;;
- CAF provides an opportunity to benchmark the results with other organisations operating in similar areas.

What should be done differently next time?

- A larger and more representative (from each operational area) working group should be formed;
- A classical scoring system could be used;
- Avoid going in depth when assessing and prioritising proposals for improvement for every single sub-criterion: avoid analysing how good, bad, suitable or less suitable such proposals are, and instead leave them for the Board to consider and decide;
- Representatives of the Board should not be involved in the working group during the preparation of self-assessment, but should be involved in prioritisation of improvement projects;
- A checklist with specific questions should be prepared and distributed to all the structural units during the self-assessment. Otherwise there is a danger that the working group lacks information on innovation projects that have been implemented in the structural units;
- Additional knowledge and understanding of assessment according to the PDCA cycle is required.

V. Developing Quality Management in the Maribor Police Directorate

*It's not enough that we do our best; sometimes we have to do what's required.
Winston Churchill (1874 - 1965) British politician*

5.1 Introduction

There are numerous definitions of quality and these definitions tend to change over time. Not long ago, quality used to mean the compliance of a product or service with an individual standard, while today it increasingly includes the changing expectations and requirements of the users and the ability to meet such changes. Quality is a dynamic phenomenon that is constantly changing. At their own initiative, individual organisations in the public sector have already started implementing various quality standards and models. The use of ISO quality standards is particularly widespread, and the State has increasingly been stressing the importance of quality, first within the Ministry of the Interior, and later, in the Ministry of Public Administration.

The current practice in police organisations is to measure their success rate almost exclusively on the basis of statistics on safety and security and the number of solved cases. In community policing, other criteria gain in importance, not the least the public, their general level of satisfaction as well as the satisfaction of individual user groups (Virtic⁸, 2007, p. 125).

5.2 Quality management in the Maribor Police Directorate

Since 2003, the Maribor Police Directorate has been striving for improvement in order to provide high quality services to the area's inhabitants and beyond. The Directorate's work is focused on the community, and in return, a sense of partnership, assistance, initiatives and input are expected from the public. The management and employees of the Maribor Police Directorate have undertaken various measures to constantly develop the quality of our work and build on our business excellence in relation to users of our services.

Our desire to constantly upgrade the quality of our services prompted us to search for new challenges and opportunities in the context of our own working environment. This was the reason why the Maribor Police Directorate, as the first in Slovenia, adopted international criteria for assessment of performance and quality as early as 2003. Through co-operation with other police forces in the European Union, we also learned from international experiences in this field (Virtic, 2009).

The Maribor Police Directorate, as other police directorates in Slovenia, followed the "Fundamental Guidelines for the Preparation of the Medium-Term Plan of Development and Work of the Police from 2003 to 2007" (2002): The fundamental guideline of the Slovene police is community policing, which includes:

- the mission of the Slovene police: to help people, to look after their safety and the safety of their property
- the values of the Slovene police: lawful and professional conduct, protection of human rights and freedoms, and respect for people and their personal dignity, fairness and impartiality, non-discrimination and responsibility to the community; and
- the vision of the Slovene police: to provide safety for people by investing in human resources, organisation and professional standards, and developing partnerships with individuals and communities.

The primary objective as stated in this document is to ensure security in the Republic of Slovenia and assume our share of responsibility for global security.

In addition to following the mission, values and vision of the Slovene police, we aim at achieving the objectives that are set on a yearly basis. In the process of determining these objectives, local communities are included as much as possible. In order to achieve our objectives, we have elaborated our own assessment model, and periodically notify the public and the local community about the results of our work and the progress towards achievement of set objectives.

⁸By Mr. Franc Virtic, MA Maribor Police Directorate

As we are aware of the importance of being embedded in and working in partnership with the local community, we regularly conduct public opinion polls on our work, the sense of cooperation with the public, the perception of safety and on other facts that are relevant to our work. These findings are used to plan our activities, aiming at ameliorating the areas that are in need of changes or improvements. The polls are used to measure the differences between the citizens' expectations and the actual state of affairs, and the success of measures implemented to reduce the gap between expectations and reality.

Aspects of quality management

The management of the Maribor Police Directorate started examining the differences between the management of profit vs. non-profit (such as the police) organisations already in 2003. The focus was less on financial aspects and more on the users of services, their level of satisfaction, the organisation and its employees. The question of whether “we are doing things right” was used to ask whether “we are doing the right things”, and it was addressed to people outside the organisation (users of services, partners) as well as within the organisation (employees).

The opinion of the users of services, i.e. the public, is one of the main elements for assessing performance, and regardless of the fact that the police faces very limited competition in the provision of safety, the Maribor Police Directorate wishes to achieve the best possible results in the implementation of services. Through years of using quality models, successfulness, efficiency, quality, equity and stimulation have proven to be the fundamental factors in monitoring performance.

Successfulness is verified by measuring public opinion and the gap between expectations and what is actually provided, as well as the level of satisfaction among employees, with their work and working conditions. In the latter, the Directorate has recorded constant progress.

As far as quality is concerned, we need to stress that the police has already elaborated medium-term development plans for 2003 2007 and 2008 2012, prepared with the assistance of the management of the Maribor Police Directorate. On the basis of the medium-term plans, the Maribor Police Directorate elaborates its own yearly work plans. This plan is prepared with the active participation of all relevant stakeholders, and includes priority objectives and concrete tasks. In previous years, the majority of the tasks were successfully completed, and in case of non-fulfilment, the reason for the shortcoming has been carefully studied. While determining objectives, we have also developed our own methodology, using concrete indicators to measure our success in attaining individual objectives, while also monitoring the quality of our work. In addition to the methodology used to monitor achievement of objectives, we have determined indicators to measure the efficiency in achieving our objectives.

In the context of measuring and assessing the success in achieving objectives, we have also achieved equity, as the same measures apply to all. This further allows for a comparison of results between individual organisation units within the Police Directorate. A wide array of partners is invited to assist in determining objectives and co-operate in the implementation of relevant measures.

Chronology of quality management in the Maribor Police Directorate

The year 2003 was of seminal importance to the implementation of quality models in the Maribor Police Directorate. Since the very beginning of this effort, we have been aware of the benefits of its implementation in the organisation. At the same time, the management was aware that only by pursuing the organisation's own mission, vision and values can the model be successfully implemented. A year after the first self-assessment, we were invited to participate in the PRSPO pilot project (the Slovenian Business Excellence Prize) which is based on the EFQM business excellence model. The Prize is the highest recognition given by the Republic of Slovenia for the achievements related to quality of products and services, and development of knowledge and innovation (www.mirs.gov.si).

Two years later, the self-assessment was repeated, using the EFQM methodology.

Table 6: Chronologic review of approaches to improving quality in the Maribor Police Directorate (Virtic, 2009/a, p.8)

Year	Activity	Contractor
2003	<ul style="list-style-type: none"> self-assessment using the CAF model 	Management of the Police Directorate
2004	<ul style="list-style-type: none"> self-assessment using the CAF model participation in the PRSPO pilot project self-assessment using the EFQM model 	A special commission was set up
2005	Development and implementation of own methodology for assessing the success in achieving priority objectives of the Police Directorate	Quality Commission
2006	<ul style="list-style-type: none"> self-assessment using the EFQM model and participation in the PRSPO 2006 tender in the Public Sector category inclusion and active participation in the EFQM POLICE FORCES COMMUNITY OF PRACTICE international project 	Quality Commission

In the same period, the following activities, aimed at improving the quality of services and the organisation, were implemented at the Maribor Police Directorate:

Table 7: Main improvements introduced in compliance with the CAF and EFQM models (Virtic, 2009/a, p.8)

Criteria	Activity	Contractor
Leadership	<ul style="list-style-type: none"> drawing up an action plan of measures for improvements carrying out annual interviews with civil servants 	Management of the Police Directorate and the Quality Commission
Policy and Strategy	<ul style="list-style-type: none"> elaboration of the Guidelines for my Work 2004, 2005, 2006 brochure, on the basis of strategic objectives of the police, setting annual priorities and indicators for monitoring of progress towards achievement of objectives for the Police Directorate 	Management of the Police Directorate and the Quality Commission
Employees	<ul style="list-style-type: none"> setting up Lotus Notes internal email, interviewing employees re: their satisfaction with the Police Directorate in 2003, 2004 and 2006, by using mailboxes at the Police Directorate and police stations, collecting feed-back, ideas and suggestions for initiatives from employees directed at improving the work of the Police Directorate 	Management of the Police Directorate and the Quality Commission
Partnership & resources	<ul style="list-style-type: none"> drawing up a catalogue of partners of the Maribor Police Directorate, providing advice to citizens and institutions on personal safety and safety of property, interviewing citizens in the area of the Maribor Police Directorate about their level of satisfaction with police work in 2004, 2005, and 2006 and establishing a clear picture of the gap between the current state of affairs vs. the expectations of citizens. 	Management of the Police Directorate and the Quality Commission

According to Virtic (2009/a), there are at least two important success factors in the Maribor Police Directorate: (1) motivation and inclusion of employees in planning and in fulfilling the priorities set for the Police Directorate, and (2) establishment of a partnership with the citizens and local communities, and joint efforts to find solutions to safety-related problems.

In addition to the above, it should be added that representatives of the Directorate have often been invited to participate in international seminars, to present their experiences, accumulated over the last years. Representatives of the Directorate participated in the CEPOL (European Police College) seminars twice to share their good practices with other participants in the implementation of quality models.

5.3 Obstacles and lessons learned

In the beginning, the terminology used was met with stiff resistance. The group conducting the self-assessments as well as other stakeholders in the process, used some terms that were uncommon and, in many cases, difficult to explain or understand. It was widely perceived that the model contained too much theory for a police organisation. At the same, the management of the Police Directorate had set expectations too high. They were not aware that striving for excellence in an organisation is a process and not a one-time event and that the result will be evident only after a longer period of consistent implementation.

The Maribor Police Directorate was the first to face such problems, as it was the only Police Department in Slovenia that participated in the project. The Directorate overcame the problems on its own and occasionally sought advice from the Ministry of Public Administration and other Administrative Units that had begun this process earlier and already had similar experiences.

The implementation of quality models included assessments that represent the foundation for setting bold long-term goals:

- to become a police directorate with the highest level of employee work satisfaction in Slovenia,
- to become a police directorate with the highest level of satisfaction among citizens,
- to receive an award within the framework of the Slovenian Business Excellence Prize,
- to be an active member in the group of countries participating in the international project EFQM Police Forces Community of Practice, to upgrade our system of assessing the achievement of priorities of the police directorate and enable its implementation in other police directorates in Slovenia (dissemination of good practice).

If we were to assess our way towards the realisation of our objectives, we can initially determine that our objectives were realistic and attainable. Research is being conducted on employee satisfaction in the Slovene Police that will provide a first insight of the Maribor Police Directorate position compared to other directorates. The same applies to public opinion surveys. A research conducted in 2005 showed that residents in the area of the Maribor Police Directorate feel safe, trust the police, and are ready to cooperate with them in solving safety problems. Virtič and Gorenak (2008) further established that police officers meet the expectations of the citizens, as they performed better in dealing with people than was expected of them.

In the light of the plan to apply for the Business Excellence Prize of the Republic of Slovenia, a CAF-based self-assessment was again conducted in 2010, and after two years it will be upgraded with the EFQM model. This self-assessment was used to apply for the national quality award.

We have developed our own system of assessing to what extent the priorities of the Police Directorate have been and we are continually upgrading this system. Our practice is now being adopted in other police directorates in Slovenia.

In monitoring the achievement of objectives, we observe that we are often faced with the question of whether we are measuring progress with the right tools and methods. However, time has shown that the methodology is appropriate even though individual objectives have not always been realised. A further analysis has established reasons for non-fulfilment and the situation has since been remedied.

According to Virtič (2009), we have to be careful in setting the objectives so as not to put quantity before quality, as this can result in a completely different effect than the desired one. Too many irrelevant, unattainable, quantitative objectives can stop the process of innovation and progress. In innovations, a certain percentage of error is acceptable and required, as we often learn from our mistakes. This is why an organisation has to focus on its own individual key quality indicators.

Globalisation and Slovenia opening up to the outside world have influenced the operations of the State administration. Moreover, the expectations and requirements of the citizens – users of services – have to be taken into consideration. This is how the need to implement quality in the State administration arose. Quality is an important aspect in each organisation, regardless of whether we are talking about the private or the public sector.

The Maribor Police Directorate has been aware of this fact since 2003 when the CAF business excellence model for self-assessment was first used. Through the years, these exercises have been further refined through the application of the EFQM model, demonstrating to the police directorates in Slovenia that the model emphasizes the importance and role of clients, i.e. users of services, in assessing the level of success of a police organisation in fulfilling its duties. At the same time, we can ascertain that community policing is a philosophy which needs models such as CAF and EFQM to successfully meet the safety requirements of the community.

In relation to quality management in public administration and use of quality models, Zurga (2008) states that “as a rule, the use of individual quality models and tools should not be obligatory or even required by law; the use of individual quality tools depends, to a certain extent, on the level of maturity of public administration organisations”. Lately, the actions of other police directorates in Slovenia have underscored the truthfulness of this statement. As a tool for self-assessment, CAF is being used by the Celje, Novo Mesto and Slovenj Gradec Police Directorates, while Koper and Murska Sobota are in the phase of preparing self-assessments.

In addition to this positive effect, i.e. the expansion of business excellence models in the Slovene police, there is another positive aspect – inclusion in the international environment and the fact that the Maribor Police Directorate is setting a positive example for other (police) organisations that are implementing business excellence models in their organisation.

VI. CAF Self-assessment in the Chamber for Control and Accounts of Ivanovo region⁹

6.1 Introduction

At this stage of development of the Russian Federation, improving the quality of public services and of state and municipal management is one of the universally recognized priority objectives of the state. Modernization of public management mechanisms requires thorough study, adaptation and expert application. The necessity for the development of performance audit as a tool for improving the functioning of State Authorities for the public good has been repeatedly emphasized by the Chamber for Control and Accounts of the Russian Federation. In the documents of the Association of the Chambers for Control and Accounts of the Russian Federation, there is reference to performance audits as an activity the regional bodies for control and accounts should develop.

The Chamber for Control and Accounts (CCA) of the Ivanovo region as a state body of external financial control carries out control activities. It also determines the efficiency and advisability of expenditure of regional financial resources as well as whether the use of public property should be done mainly through analytical work, aimed at detailed monitoring of processes in regional state bodies.

6.2 The CAF process in the CCA

The interest shown in the CAF model and its practical application, by the CCA employees, is not accidental. In November 2009, on the basis of an assumption that implementing the CAF model may increase the efficiency of the State and improve the quality of public services offered to the residents of our region, the CCA of the Ivanovo region adopted the decision to implement the CAF model self-assessment in its own activities. The main objective of the self-assessment was the determination of areas for improvement, measures for optimizing work processes and improving the quality of the services provided by CCA. An additional self-assessment objective was the assessment of the CCA's activities from the point of view of realization of possible solutions and achieved results.

The Chamber established a self-assessment group. Taking into account that the CCA employs 16 people, a decision was adopted for the maximum level of involvement of staff members. The group consisted of seven civil servants and three members of the CCA board. It was assumed that the choice of the self-assessment model would allow the organisation to uncover internal as well as external problems connected to CCA activities and have a positive effect on the self-assessment of its activities on the basis of the CAF model criteria. Two external experts representing the Scientific Centre of Benchmarking and Excellence of the Ivanovo State Power University were also invited to join the group.

Every member of the self-assessment group was assigned to one of the criteria of the CAF model, and each member had to prepare a report according to the set template. In the course of a month, four sessions of self-assessments were conducted, in which each member of the assessment group presented their individual evaluation of the assigned criterion for discussion. Every sub-criterion was discussed separately and strengths as well as areas that would require reforms were defined. Particular actions for improvement were suggested throughout the discussion. Every sub-criterion was assessed with the help of corresponding assessment tables. All the information was recorded and systemized by the moderators of the self-assessment sessions. Following discussion on improving further the ratings and choices of priority areas, a list of measures was prepared.

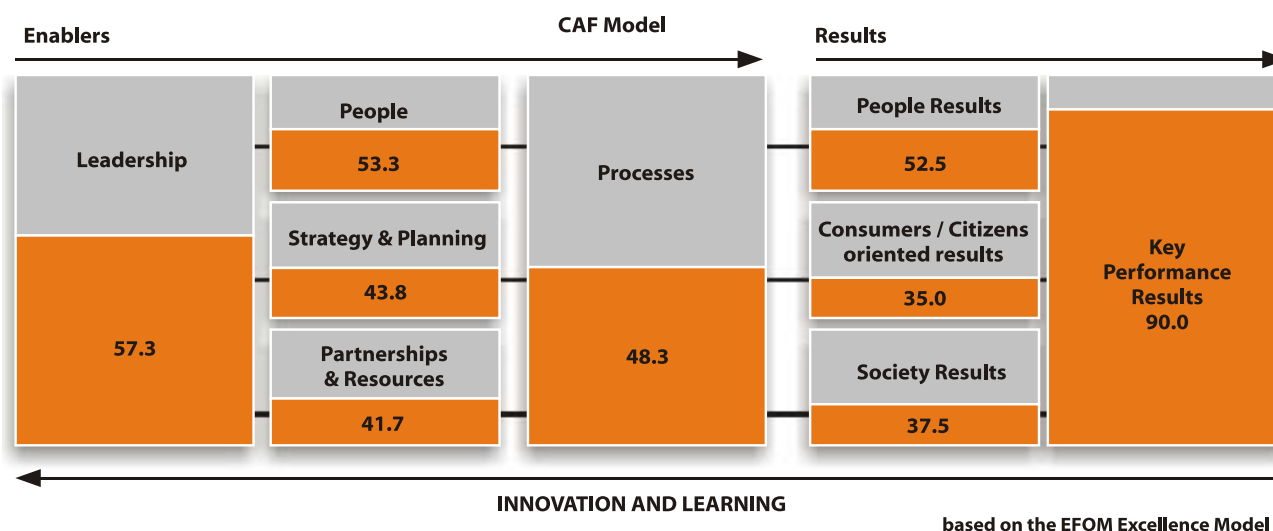
A separate workshop was organized in order to rate the activities aimed at improvement. The assessment determined implementation priorities as well as a starting position for each activity. Those receiving 20 points and above were to be initiated immediately and those receiving between 18 and 19 points in the nearest future.

⁹By Aleksey Gasparov, Chairman of the Chamber and Albert Korolenko member of the Chamber

6.3 Results of the CAF self-assessment

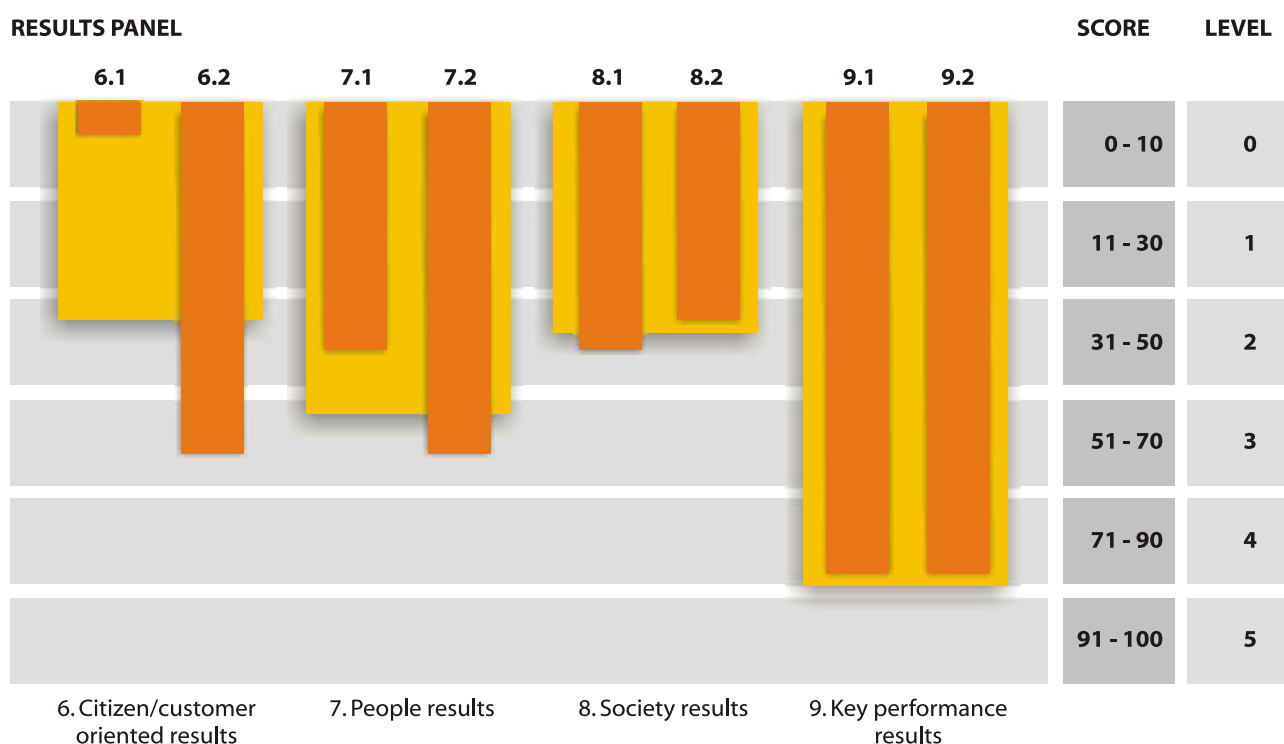
A discussion of the CAF sub-criteria resulted in defining 43 areas for improvement and 43 measures aimed at improvement.

Figure 4: Results of the point assessment, CAF model criteria and sub-criteria



The average score for the «Possibilities» group was 49 points. The assessed criteria «Partnership and resources» scored 41,7 points and «Strategy and planning» 43,8 points. An analysis of these criteria showed that the self-assessment group had singled out 14 areas for improvement (52% of the total number of areas open to reform) and 28 measures for improvement (82,4% of the total number of measures for improvement) in the «Possibilities» group). Hence, we can deduct that the identified areas for improvement, defined on the basis of the «Partnership and resources» and «Strategy and planning» criteria, will be the subject of reforms in the future activities of the Chamber for Control and Accounts.

Figure 5: Results of the CAF self-assessment



The above conclusion is supported by the analysis of top-priority measures for improvement. Four of the selected nine measures (45%) refer to the «Possibilities» group criteria under consideration. Among these are six (out of 12) additional measures for improvement that received 15-17 points, meaning that they are the closest to the nine measures that have been chosen for implementation. On the whole, an analysis of sub-criteria in the «Possibilities» group shows that activities which achieved 11 out of 20 sub-criteria (55%) are currently being carried out by CCA while two (10%) have already been completed.

The average score in the «Results» group stands at 54 points. The criteria for the «Results for consumers (citizens)» group have been assessed even lower, with 35 points, while the «Results for the society» group scored 37,5 points. All together, the self-assessment group has singled out six areas for improvement (43 % from the total number of areas) and 3 measures for improvement (50 % from the total number of actions) in the «Results» group.

The «Results» group was characterised by a lower number of measures for improvement. While for the «Possibilities» group, 36 such measures were singled out, only 14 suggested measures (28% of the total number) were made for the «Results» group. Moreover, eight of these measures were already included in the «Possibilities» category. The analysis of the sub-criteria in the «Results» group reveals that seven out of the nine sub-criteria (78%) have been initiated by the CCA and the majority of the CCA target objectives have been achieved.

By the decision of the Board of the Chamber for Control and Accounts of 24 February 2010, a report on the self-assessment results, carried out according to the CAF model criteria, has been ratified. Furthermore, the CCA has decided to make ample use of the self-assessment results in the planning process related to its day-to-day and longer-term activities. In particular, four out of nine priority actions on improvement have practically already been implemented by the CCA.

Another practical aspect of the CAF model self-assessment should be highlighted. The Chamber for Control and Accounts is a state-financed organization, receiving financial transfers from the regional budget. The CAF model criteria for the management of financial and material resources, information and knowledge, technologies and other resources are directly connected with the process of budgeting. Consequently, recommendations based on the results of the self-assessment are helpful in the process of determining CCA priorities concerning budgetary allocations within the limits of its overall financing.

Top-priority actions for improving the CCA's operations include: (1) an increase in CCA staff taking into account differentiations of fields of interest, (2) the creation of an official website for the CCA, and (3) development of a «Consultant Plus» base.

VII. Latvia: Use of CAF in management audit of the Ministry of Welfare

7.1 Introduction

The Ministry of Welfare is the leading public institution in the areas of labour, social security and gender equality. The work of the Ministry of Welfare involves 4 major areas:

1. Compensation for lost income and additional expenses in the case of a social risk including the following:
 - To ensure income replacement in the case of retirement, disability, maternity, illness or unemployment;
 - To secure the functionality and development of the state social insurance system.
2. Financial support to the specific groups of population, mainly:
 - To improve the financial situation of families with children, of disabled persons, of elderly people, of children without supporters, and of the liquidators¹⁰ of the Chernobyl nuclear power plant accident.
3. Measures to secure and implement the social rights including the followings:
 - To increase the competitive capacity and quality of the labour force, to reduce unemployment;
 - To ensure the protection of the employees' rights to a legal, safe and harmless work environment and to reduce illegal employment;
 - To ensure that social services and social assistance are professional and of a high quality.
4. Planning and supervision of the implementation of the policy in the welfare field, specifically:
 - To plan and implement effective and results-oriented policies in the areas of the competence of the Ministry.

The Ministry of Welfare is the institution responsible for implementation of measures co-financed by European Union funds. In the field of welfare, support from both the European Social Fund and European Regional Development Fund is available.

7.2 Background to the use of quality management tools

Since 2000, a system of internal audit has been established in the Ministry. An internal audit is a tool for the identification and assessment of potential risk, i.e. identifying weak points of an organization and systematically providing the top management with proposals for improvement of existing systems and processes, to achieve greater effectiveness and efficiency. The role of managers is to govern the institution in order to achieve the objectives set in the most effective way. This task depends largely on two factors: whether the manager has the information required to take decisions and whether there is effective control over implementation of decisions taken. Close cooperation between the management and those in charge of performing internal audits is not only desirable but necessary.

The requirement to examine risk management, control and governance processes, and promote their development through a systematic and structured approach is clearly defined by legislation and by internal auditing standards.

The Internal Audit Act stipulates that the Internal Audit Unit provides an assessment of the overall management process of the organisation's development by providing information about risks and controls in specific areas. To facilitate the achievement of the Ministry's objectives, the Act permits the use of consulting services.

In relation to **governance**, the internal audit standards require that the Internal Audit Unit should assess the management process and provide recommendations for improvement as follows:

- a) to promote appropriate ethics and values in the organization;
- b) to ensure effective performance management and accountability;
- c) to establish an effective process of communication on particular risks and controls within organization;
- d) to provide effective coordination of all stakeholders (Cabinet of Ministers, top management of Ministry, external and internal auditors), and to supply these stakeholders with the necessary information.

¹⁰ Liquidator is a term used to describe the people who were in charge of cleaning up the site of the 1986 Chernobyl disaster.

In the context of **risk management**, internal audit standards require the internal audit unit to assess the effectiveness of and possible improvements in the risk management process.

With regards to **activities of internal control**, internal audit standards require the Internal Audit Unit to assist the organization in ensuring effective control measures, assessing their effectiveness and efficiency and promoting continuous improvements. Adequacy and effectiveness of controls should be evaluated in risk management process, governance processes, on level of operational actions and in IT systems related to:

- a) financial and operational information, reliability and consistency;
- b) effectiveness and efficiency;
- c) asset protection and
- d) compliance with laws and treaties.

According to the internal audit strategy the Management of the Ministry was to be assessed in 2008.

7.3 Planning and implementation of internal audit using CAF

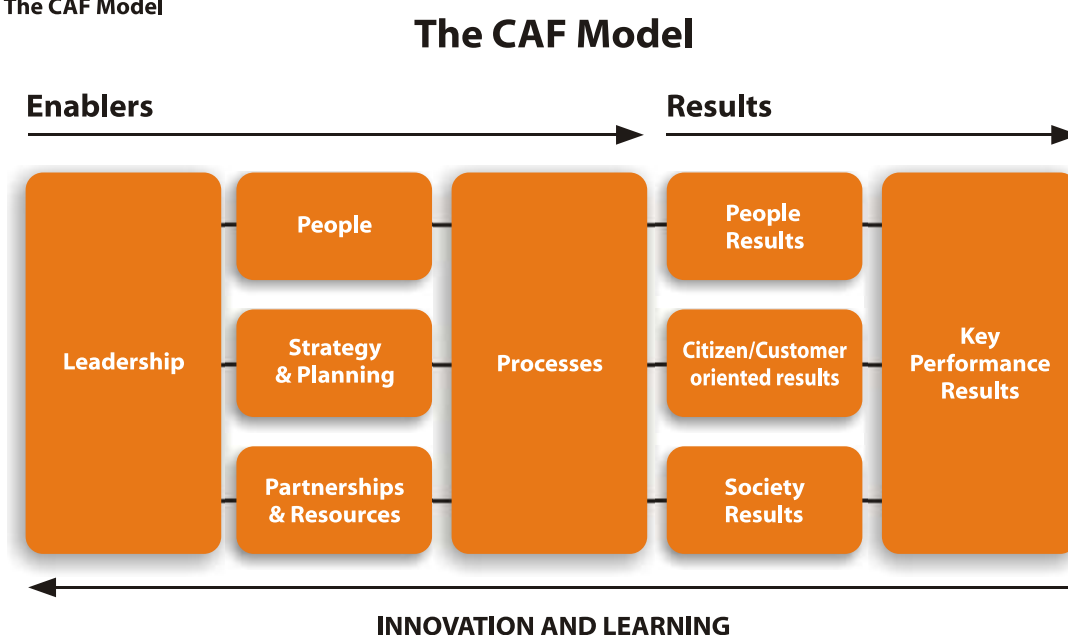
In the development of an audit programme, the most appropriate audit approaches for the Ministry were sought and identified. Emphasis was placed on the ability to carry out control, risk management, planning, decision making, communication and sharing of responsibilities with the Ministry's administrative management. Furthermore, it was important to evaluate the management of resources, including human resources.

During the planning process, the audit team agreed that the following areas should be assessed:

1. purposefulness of activities - strategy, policies, optimal organizational structure, risk management, quality management etc.;
2. system for performance monitoring and results reporting - performance indicator system, quarterly and annual reports on results, public review, evaluation of strategy, etc.;
3. human resources - professional capacity, ethics, internal culture, potential risk of corruption, etc.;
4. cooperation with other ministries, NGOs, employers, trade union representatives, the State Audit Office, municipal authorities and other stakeholders.

The CAF model fully includes all these aspects, and at the same time, the quality management team of the Ministry considered the CAF model a useful instrument for further organizational development. As a consequence, the audit team decided to base the audit on the CAF model

Figure 6: The CAF Model



Moreover, during the audit, special attention was to be paid to the risk management process, and an in-depth assessment of the maturity of the Ministry's risk management would be made, based on what is known as the Australian standard. This risk management maturity assessment model has previously been used in Finland and in the Rural Support Service in Latvia. The results of the latter were made available to the audit team. As the capacity, management and control system of the Rural Support Service, - a Payment Authority for the European Union Structural Funds -, were highly evaluated in an external audit, the audit team planned to use the results to benchmark or compare the Ministry of Welfare with best practice in the Rural Support Service.

Procedure

The aims of the audit were to evaluate effectiveness of controls, risk management and management processes; and to lay the foundation for the next CAF self assessment. The scope of the audit included the following: 1) Management, leadership and basic values; 2) Risk management; 3) Strategy and objectives; 4) Planning and performance management; 5) HR management; 6) Partnership and Resources; 7) Process and change management; 8) Customer focused results; 9) Employee satisfaction; 10) Key performance results.

The audit approach focused on the following: analysis of documents, including planning documents for the sector development, Balanced Scorecard, internal regulations, regulations for particular units of the Ministry, job descriptions, and internal protocols; weekly meetings with the Minister and the quality management group; production of specific working group reports, process descriptions, documents of quality management system, working plans and reports on the implementation of plans etc. A risk maturity model was used for evaluating the risk management process. The survey to evaluate risk maturity was conducted among 17 expert-level managers (Deputy Secretary of State, Department Directors and Deputies, quality manager, auditors), and 11 employees at other levels (five Heads of Units, and six senior experts). The questionnaire covered the following aspects, which were also used as the basic criteria: philosophy / culture of risk management; leadership on risk management; integration with the other management systems; capacity for risk management and controls within risk management.

19 staff members at different levels of the Ministry were interviewed (Deputies of the Vice-Secretary, Directors of the Departments, Heads of the Units and senior experts). The respondents were selected through random sampling at different management levels as well as within different departments and units. The main objective of the interviews was to collect staff members' views on the management's involvement in developing the Ministry's mission and fundamental values; the existence and effectiveness of communication related to changes within the Ministry; as well as the support provided by the management to maintain and develop management and motivation systems.

While the audit approach was based on the CAF model, the auditors did not perform measurements in the classic sense. On the contrary, the questionnaire was based on a simple assessment scale: "good", "average", "unsatisfactory". In cases where the information available to the audit team did not allow for a clear assessment, the audit team agreed on a value between good and average.

"GOOD"

control measures are identified and fully met in practice. Risk is managed systematically, and prevention of undesirable incidences is carried out in a timely manner.

"AVERAGE"

control measures are identified and mainly met in practice (situations occur when there is not enough evidence to ascertain that this is the case). Risks are periodically managed and there are no situations where undesirable incidences occur.

"UNSATISFACTORY"

control measures are not identified and respected in practice. Risks have not been managed; there are situations when undesirable incidences occur.

The audit took place over three months, from June to August 2008, and the discussion on the final report was done in a meeting of the quality management group in November 2008. The final version was agreed with the State Secretary in December 2008.

7.4 Results

The evaluation results showed that proper controls and correspondingly, low levels of risk, exist in the following areas: a) processes and change management; and b) employee satisfaction. Needs for improvements were identified in several areas.

Table 8: Results of self-evaluation according to simplified criteria

Scope	Assessment of control	Assessment of risk level
Leadership and values	AVERAGE	AVERAGE
Risk management	AVERAGE	AVERAGE
Strategy and targets	GOOD	GOOD / AVERAGE
Planning and performance management	GOOD	GOOD / AVERAGE
HR management	AVERAGE	AVERAGE
Partnership and Resources	AVERAGE	GOOD
Process and change management	GOOD	GOOD
Customer focused results	AVERAGE	GOOD
Employee satisfaction	GOOD	GOOD
Key performance results	GOOD / AVERAGE	AVERAGE

The risk management maturity measurement showed that the Ministry is in the early phases of a transformation into an organization with a clear strategic plan, where both management and employees are interested in the development of the organization, and, within their respective competence and resources, contribute to the achievement of the Ministry's objectives. Although the expert assessment was more critical than the assessment of the average employee, the overall trend is that more knowledge and skills in risk assessment and management are needed.

Figure 7: Risk assessment by the criteria of maturity

Comparing the results of risk management maturity in the Ministry of Welfare and Rural Support Service, significant deviations were not found, but it should be noted that the ability to and experience in managing risks were assessed as higher in the Rural Support Service than among the specialists of the Ministry of Welfare (see Figure 8).

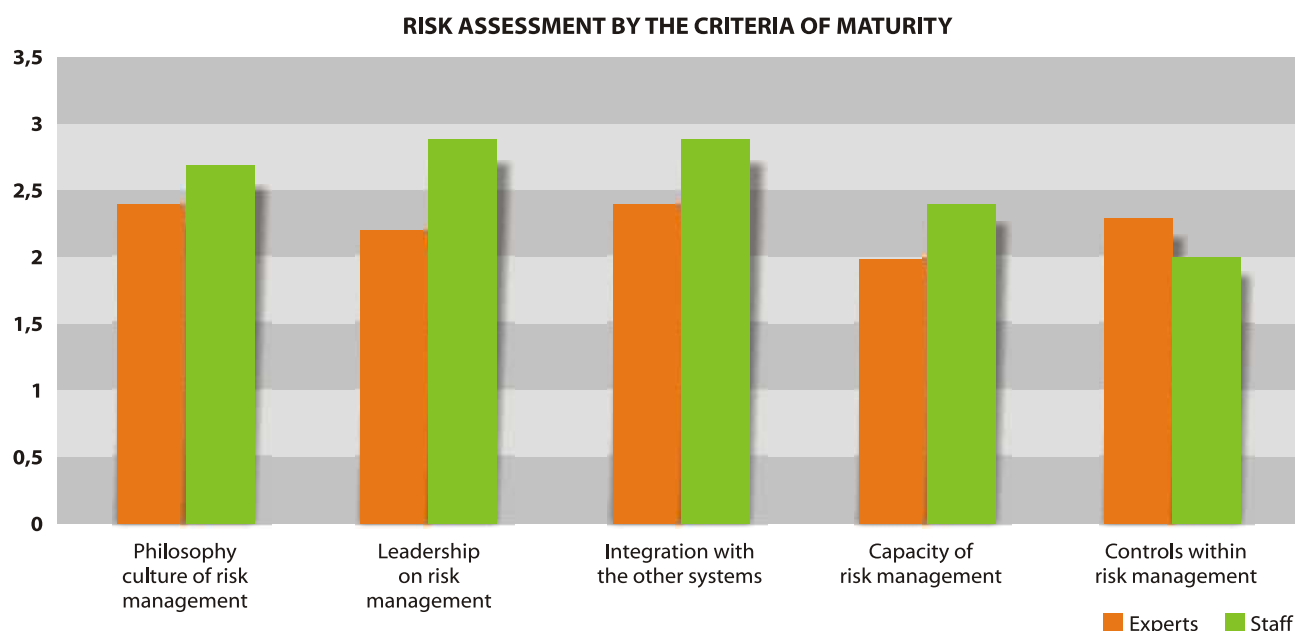


Figure 8: Comparison between the Ministry of Welfare and the Rural Support Service

The audit team identified areas of improvement, with particular suggestions for how to move forward. Following discussions with the top management of the ministry, as well as with directors of departments, particular activities to be implemented were identified and approved by the State Secretary:

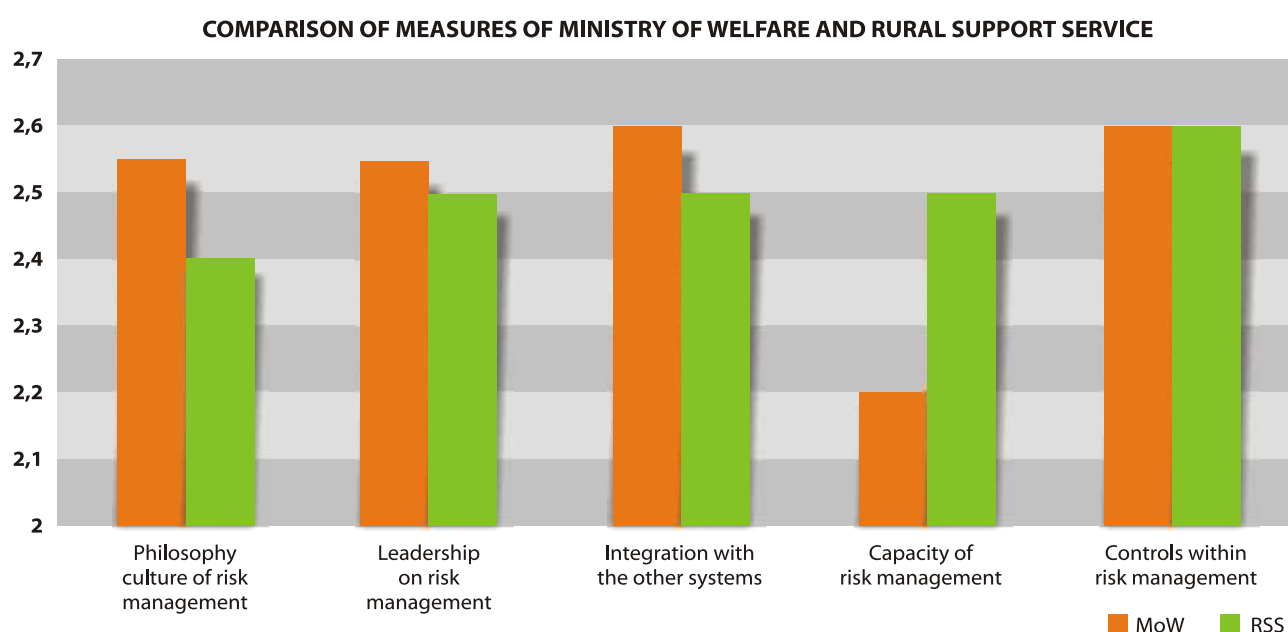


Table 9: Activities for implementation classified in order or priority and by implementation date

Activities for implementation	Priority	Implementation date
Establish HR policy	High	01.10.2009
Develop and implement new communication strategy, both external and internal	Average	01.07.2009
Improve performance of risk management group (meetings on regular basis)	Average	01.07.2009
Develop internal regulation for sector policy monitoring	Average	01.04.2009
Develop training system for new employees on how to prepare policy documents as well as how to use the internal document management system	Average	01.01.2010
Improve internal communication especially to provide timely and adequately information on situations involving changes.	Average	01.10.2009
Improve dissemination of good practice	Average	01.10.2009
Provide repeated measurements of the risk maturity level	Low	01.07.2010

7.5 Conclusions

The Ministry believes that the audit based on the CAF model produced good results, primarily because the management of the Ministry understood the importance of efficiency in control, risk management and governance processes. The internal audit approach represent a complete system for assessment, and the management of the Ministry as well as Directors of Departments were introduced to the criteria, which would later be used for self-assessment.

As the auditors were self-taught in the use of the CAF model and had not attended any training, they did not have the skills or capacity to use the model to its full extent. If applied to its full extent, the CAF model would be a helpful asset for the Ministry in the long-term, to assess progress systematically, identify areas in need of further improvement and to compare activities with those of other organizations.

At the beginning of 2010, the Ministry of Welfare had several experienced CAF experts among its staff who would be able to train potential self-assessment teams and successfully oversee the process of self-assessment. The Ministry plans to organize self-assessments towards the end of 2010 or in the first part of 2011, depending on available resources. As the internal audit unit already has gained experience in conducting assessments using elements from the CAF model, the unit will participate in the CAF self-assessment team.

VIII. Using CAF in the Administrative Unit of Jesenice, Slovenia¹¹

8.1 Introduction

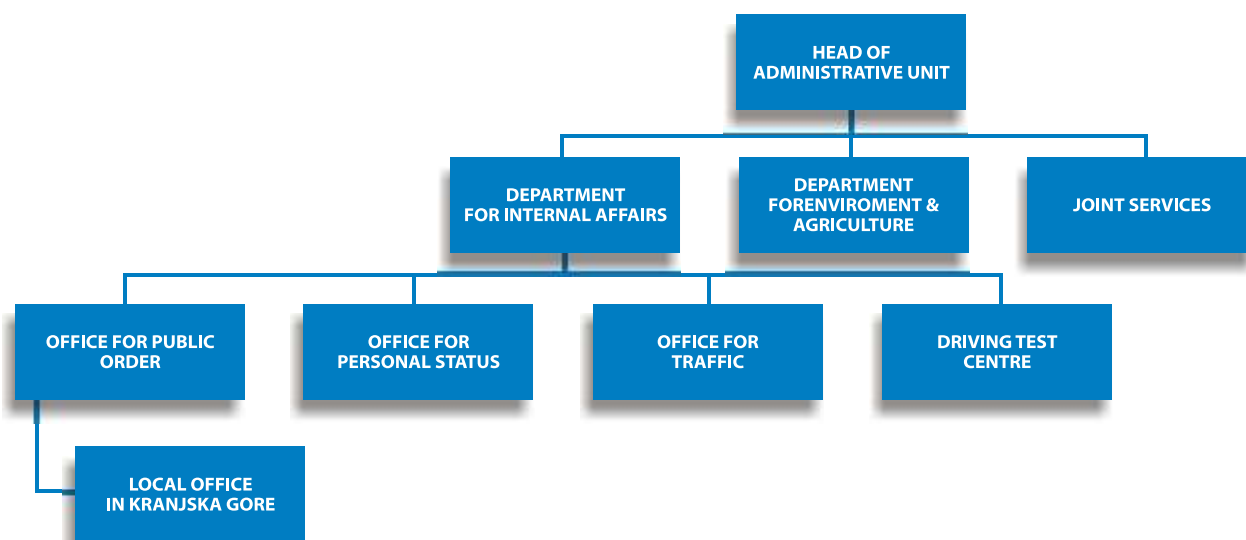
In Slovenia, Administrative Units were established in 1995 as a part of the State administration, to perform administrative services at the local level. The Head of an Administrative Unit is appointed by the Minister of Public Administration for five years, and can be re-appointed.

There are 58 Administrative Units covering the whole territory of the Republic of Slovenia, each of them covering parts of the 200 local communities / municipalities. The Administrative Unit Jesenice covers three municipalities in the north-west of Slovenia, with approximately 33.000 inhabitants: Municipality of Jesenice, Municipality of Kranjska Gora and Municipality of Zirovnica. In the north, the Administrative Unit Jesenice borders with Austria and in the west, with Italy.

Based on their size, the Administrative Units are divided into three groups:

- Small Administrative units, with up to 35 employees,
- Middle Administrative Units, with 36-55 employees, and
- Large Administrative Units, with more than 55 employees.

Figure 9: Organizational structure of the Jesenice Administrative Unit



The Jesenice Administrative Unit is a middle-sized administrative unit with 43 employees.

With respect to its organization, the Jesenice Administrative Unit follows the structure of a middle-sized administrative unit, with three main departments (some may have four) and a Local Office in Kranjska Gora. As one of 16 Administrative Units in Slovenia, Jesenice also has a Driving Test Centre, offering citizens the possibility to pass their driving test.

The majority of the employees are women, who represent 86 % of the work force. The average age (as of 31 December 2009) is 44 years, and the majority of employees have obtained higher education.

¹¹ By Alenka Burnik, Head of Administrative Unit Jesenice, (alenka.burnik@gov.si)

In the Department for Internal Affairs, the administrative services most in demand are as follows: issuance of identity cards, passports and driving license; vehicle registration; clarifying procedures for how to obtain an entertainment permit; permit issuance for weapons possession; and issuance of verifications from the registers of births, deaths and marriages. The Local Office in Kranjska Gora, open twice a week, is also part of the Department for Internal Affairs, and it allows citizens in the Municipality of Kranjska Gora to access to administrative services in their local environment.

In the Department for Environment and Agriculture the administrative services most in demand are issuance of building permits; issuance of all acts needed for buying agricultural land; and clarifying procedures required for establishing a company.

In the Joint Services unit, all support functions are performed: finance, HRM, IT, archives and quality management.

8.2 Quality management in the Jesenice Administrative Unit

Quality management has a long tradition in the Jesenice Administrative Unit:

- In 2000, the Jesenice Administrative Unit began implementing the ISO 9001 Standard, with the adoption of its first mission statement. In 2001, as the third Administrative Unit in the Republic of Slovenia, the Administrative Unit Jesenice successfully acquired an ISO 9001:1994 certificate.
- In 2002, the Jesenice Administrative Unit participated in the CAF pilot project and the first self-assessment was performed. The Unit was one of the eight public administration organizations included in the pilot phase, which had their first experience with CAF in Slovenia
- In 2004, the second CAF self-assessment was performed and the first action-plan was adopted. The same year, the Jesenice Administrative Unit, as one of 14 public sector organizations, participated in the competition for the Business Excellence Prize of the Republic of Slovenia (PRSPÖ), in the framework of the pilot project for public administration.
- In 2005, the CAF self-assessment group revised the organizational mission statement and the first survey of the level of satisfaction among the organization's partners was performed.
- In 2006, the third CAF self-assessment was carried out and the second action-plan was adopted. The Unit participated in the competition for the PRSPÖ reward for the second time.
- In 2007, the Quality Manual was revised. The rationale behind this division was to combine ISO and CAF and to make ISO requirements more user-friendly.
- In the 2009, the fourth CAF self-assessment was performed. Besides the action-plan, some additional proposals for minor improvements were prepared by the CAF self-assessment group and presented to the top management. The same year, it was decided to drop external ISO certification, and continue only with internal ISO quality audits, as the added value, of external certifications was deemed too limited to justify the costs. Besides, for an organization with only 43 employees, it was rather demanding to include ISO in CAF activities. However, although external ISO certification was dropped, the approaches, solutions, tools and techniques derived from ISO which proved to be useful for the Jesenice Administrative Unit were retained, including the procedure for gathering proposals for improvements.

8.3 Procedure for gathering the proposals for improvements

The main reason for formalizing this type of procedure is that in the past, suggestions put forward by employees were not given sufficient consideration. A particular chapter in the Quality Manual is dedicated to this procedure, and it includes a form for proposals, which was developed in 2007 and has been used since then.

Table 10: Form for proposal for improvement

Title of the proposal:

Author(s):	Department:	
Position:	Head of Department:	
Description of current situation:	Description of proposal:	
Delivered to the Head (Date):		
Area of improvement: <i>(indicated by the Head)</i>		
1. LEADERSHIP	5. PROCESSES	
2. STRATEGY AND PLANNING	6. SOCIETY RESULTS	
3. PEOPLE	7. OTHERS	
4. PARTNERSHIP AND RESOURCES		
TYPE OF IMPROVEMENT <i>(indicated by the Head)</i>	A Useful proposal	B - Recommendation
Remarks:		
INTRODUCED (indicated by the Head)	YES	NO
Date of realisation:		

The employee putting forward the proposal fills in the form; and the form is delivered to his/her supervisor, with a copy to the quality manager. The supervisor must consider the proposal within a period of two weeks and inform the employee and the quality manager about his/her decision. In case the quality manager does not get the supervisor's feed-back in two weeks, a copy of the proposal is delivered to the Council of the Administrative Unit, consisting of the Head of the Administrative Unit, Heads of Departments and the quality manager. The Council considers the proposal, determines the deadline for implementation and the person responsible for implementation. If the proposal is not accepted, the reasons must be explained. The minutes from the council meeting are published on the intranet. Once a year, in November, the CAF self-assessment group reviews all the proposals and their implementation. The group also takes note of the employees with the highest number of proposals, prepares a report and publishes it on the intranet.

In Table 11, the number of proposals for improvement in the period 2006 - 2009 is presented. The actual realization of the ideas put forward in this period was 73 %.

Table 11: Number of proposals for improvement

	Leadership	Strategy and Planning	People	Partnerships and Resources	Processes	Society Results	Others
2006			1	2	10	1	
2007			9	3	16	11	
2008					9	2	
2009		1	2		8	4	

8.4 CAF in practice

After eight years of experience with CAF, the following have proved to be important success factors:

Knowledge of the CAF model

When the Jesenice Administrative Unit started using CAF, only a few employees from the top management had some knowledge about the CAF model; it was necessary to train the members of the whole CAF self-assessment group. Before the first self-assessment took place in 2002, the members of the self-assessment group participated in a workshop conducted by the Metrology Institute, the EFQM National Partner Organisation in Slovenia, in cooperation with the Ministry of the Interior. At this workshop, the CAF model was presented, and valuable practical exercises and examples were shared.

The structure of the CAF self-assessment group

The members of self-assessment group were chosen very carefully, to adequately represent the structure and diversity of the organization. Members from different parts of and positions in the organization, with different educational level, age and sex had very different views, and the exchange proved very useful.

Working conditions

Every process of self-assessment requires some time; the duration of the last self-assessment in 2009 was two months. Each member of the CAF self-assessment group first made his/her own assessment, and the individual "scores" were discussed, before trying to reach consensus. This process demands time and a place where the group can meet and work undisturbed.

Group Leader

It is not recommended that the Head of the Organization acts as the head of the CAF self-assessment, or that he/she is present in every group session, as it influences the level of openness and the nature of participation of the group members. The Head of the Organization should be present when the group discusses strategy and planning, but his/her presence is not required, or indeed desirable in the discussion about processes.

Clear and Transparent Action Plan

In every CAF self-assessment process, numerous proposals for improvement are defined. All the proposals are listed in a table, and the proposals are later classified according to the set criteria. If several proposals refer to one criterion, the proposals have to be prioritized. Table 12 presents the difference between number of all proposals identified during the CAF self-assessments and number of the proposals included in the action plans.

Table 12: Number of proposals generated over time

	2004	2006	2009
No. of all proposals	144	210	35
No. of proposals included in the Action Plan	14	29	14

At the last self-assessment in 2009, the group proposed to accept not only the Action Plan but also some additional proposals (12) for improvement. The difference between the activities in the Action Plan and the additional proposals was that activities in the Action Plan require thorough consideration and time before their introduction, whereas the others can be implemented more easily.

Every Action Plan of the Jesenice Administrative Unit is published on the intranet so every employee has the possibility to check/control whether or not the activity is realized. The Action Plan is presented in a form of a table, which contains several categories.

Table 13: Structure of the Action Plan at the Jesenice Administrative Unit

Criterion	Activity	Deadline	Responsible Person	Way of Monitoring	Indicator	Evidence	Realisation (date)
Leadership							
Strategy and Planning							
People							
Partnership and Resources							
Processes							
...							

8.5 Conclusion

In the Jesenice Administrative Unit, the CAF model is perceived as a powerful and, at the same time, soft tool which helps to continuously improve the organization. The purpose of self-assessments is not to achieve a high score but to identify possibilities for improvement. After eight years of using the model, it was decided that half of the CAF self-assessment group will be changed before every self-assessment process. This change will provide all employees with an additional opportunity to contribute to a better organization - for all stakeholders, including customers/citizens and employees.

Table 14: Extract from the 2009 Action Plan

Criterion	Activity
Leadership	Internal survey among employees about the level of satisfaction with the top management (Head of Administrative Unit, Heads of Departments)
	Define period for reviewing Mission Statement
	Training on good behaviour
Strategy and Planning	Catalogue of special knowledge of our employees
	Business Plan, Training Plan must be published at the intranet
	List of employees must be reviewed regularly
People	Training programmes analyses, and evaluation of performance
	Training on safety at work and harassment, to be repeated every four or five years in the premises of the Administrative Unit
	To ensure demonstration of use/ presentations of new working equipment
	To additionally elaborate the selection process criteria for new employees
Partnerships and Resources	Book for feedback and remarks to be placed in the hall
Customer Oriented Results	To introduce Info-Point
People Results	To review the form Annual Discussion with Employee, to elaborate on various criteria
	To assure prompt information related to HRM, finances, documentation procedures and archives for all employees Employee orientation to the joint support services of the organisation.

IX. Self-assessment of performance in the municipal administration, of the Rodniki District¹²

9.1 Foreword

In October 2009, within the framework of the IQUAL project and as a member of the delegation from the Ivanovo region in Russia, the author of this chapter visited the Republic of Slovenia. In the context of the visit, participants from Russia, Kazakhstan, Kyrgyzstan and Latvia studied modern methods and best practices for improving the quality of state and municipal management, presented by the Ministry of Public Administration, the Police Directorate of Maribor, and the Council of municipal education in Jesenice in northern Slovenia.

At present, Slovenia is one of the European Union leaders in terms of quality of public sector management and citizens' satisfaction with state and municipal services and the country has long-standing experience on quality assurance. Practically right after declaration of independence in 1991, a national quality program was adopted at the central level, followed by a national quality policy.

The Ministry of Public Administration in Slovenia supports the implementation of quality management methods in all of the 58 administrative units of Slovenia. At the beginning of 2000, the focus was placed on the creation of quality management systems in state and municipal bodies on the basis of ISO 9000 standards. However, during the second half of the decade, more emphasis was given to the CAF model, as it does not require rigid standardization and additional bureaucracy, but on the contrary, facilitates employee involvement in the search for optimal management and organizational solutions, identified on the basis of self-assessments.

The group visited one of the municipal units based in Jesenice, and had an opportunity to familiarize its members with the process of self-assessment based on the CAF model as it was carried out in Jesenice. Upon return from Slovenia, the Administration of the Rodniki municipal district in Russia decided to use a variant of the CAF self-assessment methods in their own administration.

9.2 The process

In the process of forming the self-assessment group, the management tried to achieve a representative selection. In the end, 10 individuals from the Administration, and the Departments of Finance, Law, Organization, Youth and Youth Administration, Education, Agriculture, Municipal Services and Tariff Policy were included. The official group of members included the Administration Deputy Head, three department managers, one Deputy Director, three Chief Specialists and one leading expert, with 60% female and 40% male representation.

Specialists of the Scientific Centre for Benchmarking and Excellence of the Ivanovo State Power University conducted two training workshops for the self-assessment group members, focusing on main models, content of criteria and self-assessment tools. Within a few days, the self-assessment group successfully analyzed 28 model components. The main tool for self-assessment consisted in filling out a form, shown below.

For every component, strengths and weaknesses were analyzed. Strengths were defined as areas where current practice could be considered best practice and as a consequence, be applied to other municipal units. Conversely, weaknesses were areas where improvements in the efficiency and quality of municipal services could be made. Following a brain-storming within the self-assessment group, specific proposals for follow-up actions were made.

¹² by Aleksandr Pakholkov, Head of Administration, Rodniki municipal district.

Figure 10: Self-assessment form

CRITERION _____		Self-Assessment Form	
Sub criterion _____			
Strengths		Areas for improvement (what should be improved?)	
Suggested improvement activities (what have to do?: develop..., approve..., implement...)		Level/ Score	

CRITERION	Self-assessment form
Sub-criterion	Areas for improvement (what exactly has to be improved?)
Strong points	
Suggested measures on improvement (what exactly has to be done?: develop..., adopt..., hold...)	Level/ points

Furthermore, areas of improvement were considered. The point assessment for every CAF component is determined according to a rating that corresponds to the stages of the PDCA cycle of steady improvements: «plan do check act». However it should be noted that the point assessment was not the group's top-priority. On the contrary, the main objective was to diagnose the management system, to hear the Staff's points of view and to come up with specific proposals in areas that required improvement.

As a result of this process, the self-assessment group indicated 54 improvement measures, which were thoroughly analyzed, taking into consideration that it was impossible to adopt the entire package of proposals. The goal was to identify the measures which, if properly implemented, would have the greatest impact on the performance of the organization and the quality of services provided.

We applied the priority setting tool shown in the slide below. The self-assessment group evaluated every improvement measure according to two key indicators: strategic weight and simplicity of realization. Assessment of the strategic weight included the influence on interested parties and on the results of the organization, as well as the visible effects of the measure. The simplicity of realization was determined on the basis of the assessment of difficulty level (or the scale of the suggested measure), resource requirements and the terms of realization. Measures that got over 20 points were accepted for top-priority realization.

At present we are developing a plan for realizing the following improvement measures:

1. To divide/classify citizen requests in various categories for more efficient customer problem resolution (for example, «not possible to solve»; «possible to solve but additional actions and time are required»; «can be solved quickly»);
2. To work out procedural regulations (instructions) concerning the behaviour of municipal employees in the process of dealing with citizen requests (for example if the citizen addresses the wrong institution);
3. To create a community board (on the model of the Public Chamber of Ivanovo region) in order to develop citizens feedback channels;
4. To rate the measures on the basis of their importance at the planning stage;
5. To discuss, develop and adopt the organization's vision and mission;
6. To provide the workplace with information on the performance of local government bodies;
7. To create a navigator in the organization's administration building (a stand with handouts).

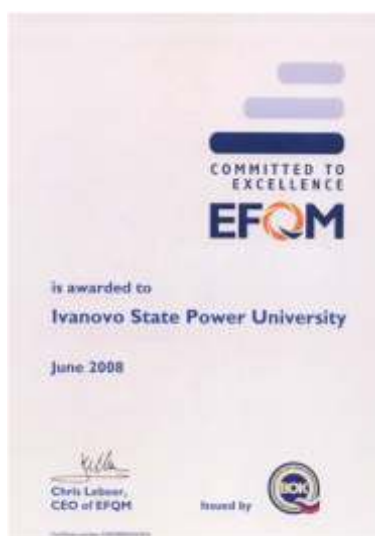
9.3 Final remarks

In order to obtain more profound theoretical knowledge on the CAF model, the Staff of the Rodnik Administration has completed a training course within the framework of a distance learning programme on the CAF model, provided by the Ivanovo State Power University.

The methods of self-assessment applied have been registered with the Joint Fund of Electronic Resources «Science and Education»¹³.

The author of this chapter believes the CAF method of excellence can be recommended for the Administration of municipal district education. CAF and self-assessment methods facilitate the collection of best management practices in various municipal units in a database, which in turn can be used at the regional level.

X. CAF: Distance learning for government officials¹⁴



10.1 Introduction

In May 2008, the Ivanovo State Power University (ISPU) successfully passed the external audit and certification of Quality Management System, performed by experts of the European Fund of Quality Management (EFQM) at the «Commitment to excellence» level. At present, ISPU is the first organization in the Ivanovo region and one of few in Russia (not only among higher educational establishments but also among commercial establishments) to receive such a recognition at the European level. Higher educational establishments in Russia have a long tradition of using advanced management methods, aimed primarily at securing high quality specialist training. Recently, the EFQM model for management system self-assessment has been applied actively, in the identification of areas for reform and to further performance development. In this perspective, the certificate obtained by ISPU is simply an approval of the chosen direction and a first step towards new achievements.

One of the most important strategic objectives set by ISPU is the improvement of educational technologies¹⁵ and development of systems capable of providing quality educational services. We are well aware of the fact that the future of Russian education will be secured by the use of new information technologies, including forms of distance education. It is not accidental that our higher educational establishment has conducted studies in this sphere, with some projects existing for over 10 years.

10.2 Presentation of the course

In April 2010, a workshop was held on the principles and methods of self-assessment as a diagnostic tool in assessing the performance of public sector organizations according to the criteria of the European CAF model. The group consisted of 25 representatives from the Ivanovo, Yaroslavl and Moscow regions in Russia, as well as from Kazakhstan and Kyrgyzstan. They all participated in distance learning mode. The main requirement for participation was access to a computer and internet. The officially registered software system «Boomerang», developed by ISPU specialists and widely used in its distance learning, with more than 4000 registered users in five years, provided the technical platform for the workshop. The «Boomerang» system has been subject to about 30 000 updates, and the active database contains about 120 disciplines. In 2008, on the basis of «Boomerang», specialists from the Faculty of Economics and Management at the ISPU completed the development of a tool used for the assessment of the knowledge of public sector employees. (<http://boomerang.economic.ispu.ru>).

¹³ Certificate of Sector-specific fund of electronic resources for science and education No 9628

¹⁴ By Sergey Tararykin, Rector of the Ivanovo State Power University and Yuliya Vylgina, Associate Professor, Faculty of Management and Marketing, EFQM assessor

¹⁵ Educational technology is most simply defined as an array of tools that might prove helpful in advancing student learning. It includes, but is not limited to, software, hardware, as well as Internet applications and activities.

A distance learning course entitled «Improving the quality of management in public administration with the help of the CAF model» is a glowing example of a “Boomerang”- based course. It has been developed and approbated by specialists of ISPU, and aimed at representatives of state administration bodies. The project has been carried out as an adult education project, and the following aspects deserve to be highlighted: The training comprises four weeks of distant communication between supervisors and participants according to an established procedure which includes several main stages: from studying and discussing theoretical and practical aspects of tool application, to practical work on problem solving in the aforementioned conditions. At the initial stages, all course participants receive detailed instructions on how to navigate the system; the main control points are established within the system and are available for users following their registration. In order to acquire knowledge about the theoretical basis and specific topics, different formats are used: hypertext workbook, video materials, glossary and links to additional literary sources and practical research.

One week is given for a detailed study of the fundamentals of model application. All user logins into the system are fixed. The materials used by the participants are tracked, and the course contains 30-minute video lectures with online discussions of relevant topics. All this supports the virtual auditorium atmosphere. Our understanding of quality education means, above all, the possibility to discuss and access the instructor and other resources for a better understanding of the subject. Distance learning is no exception. Interfaces or online forums to facilitate discussions on important topics and questions that arise during the course have been created, and the participants can address a supervisor through online consultations and video-lectures. All these features create a profound feeling of being in an auditorium which is, however, virtual.

Most stages of the course end with a practical task, which is assessed by the relevant supervisor. Every participant is provided with a list of assignments which, upon completion, are handed over to the supervisor via a Learning Management System (LMS). In turn, the supervisor makes comments and assesses the completed assignments. The final stage is a one-day workshop conducted under the aegis of ISPU, and it involves one-on-one consultations and lectures, and individual presentations of final projects. The final testing of participants is also conducted during the workshop through the use of LMS and all results are stored in the participants' personal records.

On April 24 2010, a workshop as described above took place. The participants prepared and defended their projects. The Board, which included the Deputy Chairman of the Government of Ivanovo Oblast, noted the high quality of the projects presented and the solid knowledge of the material demonstrated by the participants. The group, which consisted of 19 individuals, successfully completed the training and were awarded state-recognized certificates, attesting to the completion of an adult-learning training course, as well as a certificate of the ISPU Distance Learning Centre for the completion of the «Improving the quality of management in public administration with the help of the CAF model» course.

XI. From CAF to EPUS: Effective Public Service Model for Russia¹⁶

11.1 Introduction

Since 2003, the President of the Russian Federation, Vladimir Putin, in his annual memorandum to the Federal Assembly, has focused on the insufficient quality and effectiveness at all levels of public administration. In 2003, administrative and civil service reforms were launched in Russia, and quick results were expected. But in 2004, more than 71% of citizens were not satisfied with the quality of public services¹⁷. Changes continued with the budgetary reform in 2004-2006, the reform of local self-government and a new phase of the administrative reform in 2006-2008. The administrative reform programme in Russia aims to improve the quality of public services, reduce governmental influence on business and increase the efficiency of public administration. The Russian administrative reform follows the European trend of introducing private sector practices in the management of the public sector. This chapter (1) analyses the current situation regarding the effectiveness and quality in the Russian public administration, (2) summarizes the European experience, in particular activities related to the Common Assessment Framework (CAF), as well as Polish good practice, and (3) describes the Effective Public Service (EPUS) system, which is expected to be introduced by the Russian government as a method for introducing quality management principles in the public sector.

11.2 Quality in Russian public administration: the current situation

According to the Public Opinion Foundation, only 14 % of the citizens in 2004 were satisfied with the quality of public services provided by Russian state authorities. At the same time, small and medium enterprises (SMEs) spent nearly 8.5 % of their income on overcoming administrative barriers¹⁸. According to the GRICS¹⁹ index, which is defined by the World Bank and estimates the efficiency of the governments of 209 countries, Russia was, and still is, at the bottom in the overall performance of the government, quality of the legislation, rule of law and control of corruption. A large amount of other official (statistical) evidence of the poor quality of public services in Russia could be provided; some of it was included in the Concept of Administrative Reform in Russian Federation 2006-2008.

At the same time, ordinary citizens feel the weight of the low quality of public services on a daily basis, queuing for hours, going from office to office to perform simple operations such as legalisation of property rights, waiting for important documents for weeks and so on and so forth.

Citizens today demand higher quality public services. And the government agrees. The administrative reform for 2006-2008 set very ambitious objectives: increasing citizens' satisfaction with public services to 50 % in 2008 and no less than 70 % satisfaction rate at the end of 2010. How could this be achieved?



There are different ways. First do it just on paper and present to society that everything is satisfactory. Second do it through introducing some kind of measurement system with indicators that will allow for approximation of estimated satisfaction rates. Third deploy quality-management systems at different levels in the public administration: federal, regional and local. The underlying concept of the 2006-2008 administrative reform in Russia closely resembles private sector practices on implementing quality management systems.

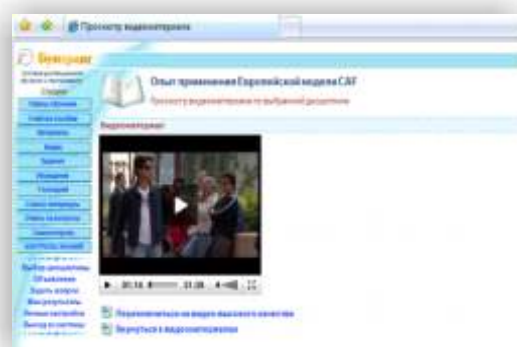
Many typical business principles were introduced in the Concept: customer focus, process approach, result orientation. But there is a problem: how to mainstream these principles into the day-to-day activities of public administration organisations? How to make it work?

¹⁶ By Dmitry Maslov, Director of the Scientific Centre for Benchmarking and Excellence Ivanovo State Power University, Russia; project initiator/coordinator of the UNDP/RCPAR multi-country activity "Improving Quality of Public Management through Application of the CAF Model (IQUAL)".

¹⁷ The Concept of the Administrative Reform in Russian Federation in 2006-2008

¹⁸ All-Russian Public Organisation of Small and Medium Sized Business "Opora of Russia" & Public Opinion Foundation. The research was conducted in 2004 in 80 regions of the Russian Federation.

¹⁹ Governance Research Indicator Country Snapshot



How to provide high-quality services to citizens, businesses and society in general using quality-management methodology and introducing modern tools and techniques like ISO 9000, benchmarking, the EFQM Excellence Model, etc.?

The first stage of the administrative reform in 2003/2004 encompassed just the federal level whereas the second stage 2006/2008 focused mostly on regional authorities. In 2006, the Ministry of Economy and Trade funded pilot projects within the administrative reform framework, and 63 projects from 29 regions were supported by a total amount of 215 million rubles (US\$9 million approx.)²⁰.

The projects were classified as follows²¹:

- Designing and implementing administrative regulations (50%)
- Introducing management-by-results approaches (20%)
- Introducing pre-judicial appeal mechanisms (7%)
- Introducing mechanisms for outsourcing administrative processes (7%)
- Developing anticorruption programmes (5%).

As we can see, half of all initiatives are about administrative regulations. So what is wrong? At first sight, the standardisation of public services has to bring about consistency in quality. It means that any citizen should have a guarantee about the quality of services s/he receives from the

government, and every contact with a civil servant or governmental official should be a visit to “McDonalds”, where you always get the same “BigMac” anytime and anywhere you want. Are there any differences between Russian governmental bodies and “McDonalds”? What underpins standards of quality in “McDonalds” and regulations in the governmental sector in Russia? Let us look for an answer. “McDonalds” provides a quality product with full understanding of its processes, how they flow from input to output, who the internal and external customers are, which requirements need to be satisfied. The opposite can be seen in state and local governments in Russia, which have an organisational structure that Max Weber called “mechanistic bureaucracy”. Such structures have a strict hierarchy, limited people empowerment, precise functional specialisation and strong central-apparatus control.

Could we believe that administrative reform can succeed on this ground? Could we wait for a breakthrough in the quality of public services using standardisation without making significant changes in the way people who provide those services are thinking? For now, it is hard to answer “Yes”. The discrepancy between the form (declared quality priorities) and its contents (deepened principles of mechanistic bureaucracy) is one of the reasons for the insufficient effectiveness of reforms in Russia²². But the Russian Government has a choice: to stick to the dangerous path of formalization of each step in public service provision, increasing control, or to focus on necessary mindset changes for people who provide public services by giving them a chance to improve by motivating their thinking, learning, will and ability to serve society and citizens, and to carry out their job in the best possible way. This is possible within the quality approach described above. It is crucial to understand that quality management is not only about results orientation, it is about people involvement, continuous improvement, innovation and learning. The quality-management system is not only a set of standards and procedures, it is a self-learning system which is focused on raising the degree of each stakeholder's satisfaction, including citizens, employees, organisations both from the private and public sectors, society and state.

²⁰ Extract from the report by A.V. Sharov, Director of the Department of State Regulation of Economy of the Ministry of Economic Development and Trade, at the meeting “Outcomes and Perspectives of the Administrative Reform at Federal and Regional Levels”, 2 February 2007.

²¹ Protocol of the Commission of the Ministry of Economic Development and Trade, appendices 2, 4, 18 July, No 2, 2006.

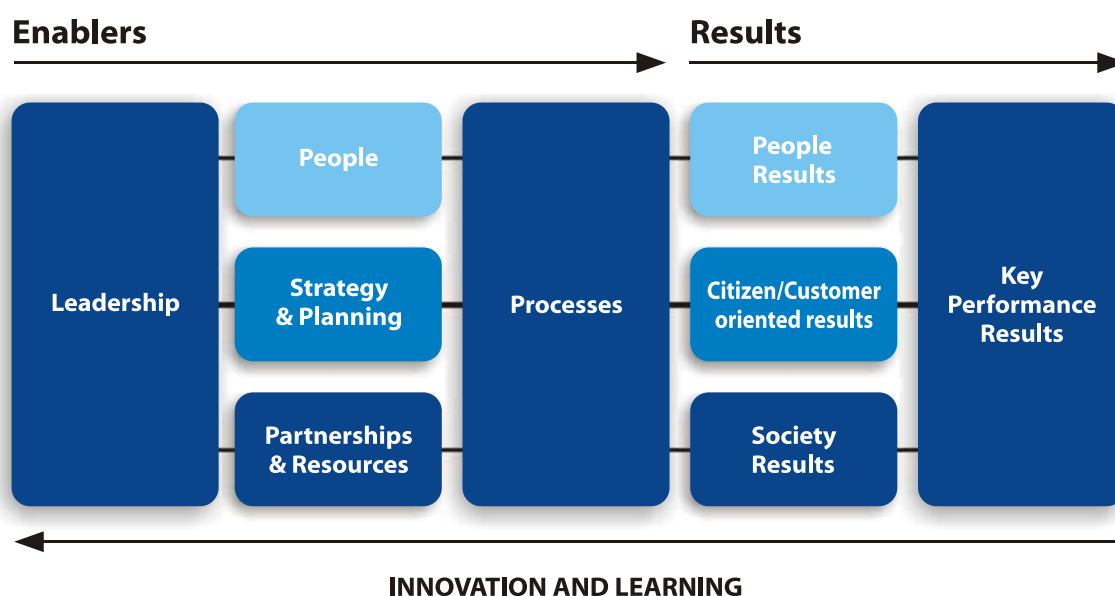
²² Nevertheless there are some positive examples in Russian regions mostly connected with ISO 9000 in local administration (e.g. city of Shahty in the Rostov region).

11.3 Common Assessment Framework: a way to improve the public sector

The second option described above would entail opting for quality management (or Total Quality Management TQM) instead of Management by Results (MBR). Quality-management tools like business-process reengineering, self-assessment, benchmarking and best-practice exchange have been widely used by the public sector for the last five to six years. The most popular approach to implement quality management is ISO 9000 standards. But it has many limitations. Practice shows that ISO 9000 is too complex, not always understandable and always very expensive. Another approach is TQM Models like the EFQM (European Foundation for Quality Management) Excellence Model in Europe or the Baldrige Criteria in the USA.

Since 2000, the Common Assessment Framework has been widely used in the European public sector a TQM Model inspired by the EFQM Excellence Model, the model of the German University of Administrative Sciences in Speyer. CAF is a result of co-operation among the EU Ministers responsible for public administration. Being a generic tool, CAF includes nine criteria, 28 sub-criteria and a scoring system. The structure of the CAF model is illustrated in figure 11 (CAF 2006, 3)

Figure 11: The Common Assessment Framework (CAF 2006 version)



CAF is offered as an easy-to-use tool to assist public-sector organisations across Europe with introducing quality management techniques to improve performance. CAF provides a self-assessment framework that is conceptually similar to the major TQM models, EFQM in particular, but is specifically conceived for the public sector, taking into account its differences. Among CAF users, we find organisations from fields as diverse as education, social services, health care, transport and infrastructure, police and even churches. But the sector or area with the highest number of CAF users are federal governmental bodies as well as local and regional administrations.

The use of CAF has undeniably increased further: from 500 applications in late 2003 to nearly 900 in mid-2005 and over 1,900 by the end of 2006. The implementation of CAF in Europe is voluntary in nine member states; it is recommended by the government in 15 member states, and CAF is obligatory on the central level in the Czech Republic, Slovakia and Romania, (Staes and Thijs 2005, 44).

Nearly nine out of 10 users engaged in improvement actions as a result of CAF and 95 % of users want to use CAF again. Using CAF in benchmarking/learning projects is a great challenge for the future and could bring further value for organisations in the public sector to help improve performance.

Another huge advantage of CAF is that it is in the public domain and free of charge. Every organization is free to use the Common Assessment Framework as it wishes. Some of the reasons why CAF works are presented below (CAF Works 2006, 9698):

- CAF provides a framework for introducing public management strategy and tools: this can be seen when CAF is used to define a strategy for the organisation or simply by defining the initial measures, responsibilities and time schedules for improvement actions.
- Quality management with CAF is a continuous process: it is important to constantly evaluate the process of change, by means of staff and citizen surveys, benchmarking with other administrations and repeatedly (e.g. every two years) defining one's position with the help of CAF.
- CAF motivates people: employees involved in the CAF self-assessment process, in data management and surveys are very proud to be a part of a group dedicated to improvement and make a strong contribution to the success and diffusion of the initiative.
- Bench-learning is a major objective of CAF: The Common Assessment Framework is an important instrument for bench-learning between public sector organisations in different countries, but also within a single country.
- CAF provides a link between results and measures: the CAF self-assessment can be seen as an eye-opener on the linkage between results and measures within the complex system of an organisation.

11.4 Russian CAF Effective Public Service System "EPUS"

The concept of Effectiveness Assessment Systems for Public Administrations "Effective Public Service" (EPUS) is a comprehensive TQM-oriented approach which is based on the Common Assessment Framework (CAF version 2006), the EFQM Excellence Model and the Model of the Russian Federation Government Quality Award²³. EPUS was developed with the purpose of assisting the Russian Government in fulfilling the scope of the 2006 - 2008 administrative reform, by (1) raising efficiency and transparency of public sector transactions at federal, regional and local levels; (2) improving the quality of public services provided by administrative authorities of state, regions and municipalities to citizens, society and other stakeholders.

EPUS was designed taking into account specific features of the Russian public service and internal legislation. EPUS provides a clear mechanism for performance measurement and identifies efficiency levels for the public service in Russia. The deployment of the EPUS tools makes it possible to incorporate principles of customer orientation, employees' involvement and continuous improvement into the day-to-day activities of public authorities.

The EPUS system offers:

- Self-assessment and external expert assessment techniques;
- A decision-making toolkit (including software) for the analysis of self-assessment outcomes and identifying areas for improvement;
- Mechanisms for best-practice identifying, gathering and exchange through networking and benchmarking upon the EPUS multilevel database.

EPUS includes a number of specific innovation features:

- Establishment of expert councils (federal and regional) for external expert assessment and best-practice selection process;
- Modified CAF Model EPUS, which is adopted to various functional types and hierarchical levels of public authorities through the proposed scheme of public service and changing weight among the nine criteria;
- Two-sided self-assessment (managers-to-employees) approach;
- Multilevel database and networking of regional benchmarking centres in seven federal districts of the Russian Federation.

EPUS scoring scheme

The EPUS scoring system is based upon the evaluation approach of the Russian Federation Government Quality Award, which incorporated a RADAR-based assessment scheme. But the EPUS model has variable weights of criteria depending on the functional types and hierarchical levels of assessing public authority. Thus to count the final score, different administrations use different coefficients. Such an approach allows for observing the difference and taking into account diversity in activities and the specific role of this or that authority for the state. On the other hand, the initial assessment of sub-criteria and criteria is calculated in percentages, and these results can be freely used for benchmarking and best-practice exchange.

²³The EPUS system is developed by the research team of Dmitry Maslov, Albert Korolenko and Victor Smirnov (all from the Russian Organisation for Quality (ROQ) Committee for Quality in State and Local Governments).

The final score categorises the effectiveness of a public authority according to a 5-level scheme:

1. Ineffective activities (0100 points)
2. Little effective activities (101250 points)
3. Effective activities (251500 points)
4. Highly effective activities (501750 points)
5. Best (benchmark) activities (7511000 points)

Two-sided self-assessment

The suggested two-sided self-assessment approach is a questionnaire-based survey with participants of two groups of respondents: managers and employees. The questions in the questionnaire are harmonised with the nine criteria of the EPUS model and are identical for both groups of respondents. The assessment scheme has a 5-point evaluation scale (from "1" {poor activity demonstrated} to "5" {best practice level activities}).

The objectivity of results is achieved by surveying more than 90% of the managers and no less than 70% of the employees. The advantage of the two-sided assessment is the opportunity to determine if the managers' thinking corresponds to employees' opinions. The average manager's evaluation ($I_{man.av.}$) of the criteria is compared with an average employee's evaluation ($I_{emp.av.}$). The Management Adequacy Index (MAI) is calculated with the help of the following formula for each of the nine criteria (it can also be calculated for each of the 28 sub-criteria):

$$MAI = \frac{I_{man.av.} - I_{emp.av.}}{5}$$

where	MAI	• Management Adequacy Index;
	$I_{man.av.}$	• Average manager's evaluation, points;
	$I_{emp.av.}$	• Average employee's evaluation, points;
	5	• Max score.

The Management Adequacy Index shows the level of accordance between management decisions and the perception of such decisions by the employees. The value of the Management Adequacy Index varies from "1" up to "1". The manager can determine whether the management decisions are effective or not.

The zone of adequate estimation of management system [-0,1- 0,1]: This zone characterises an adequate employee perception of managerial decisions; managers and employees are guided by identical principles in the work that promotes harmonious development of the organisation. In such a situation, managers have a good chance for improvements.

The zone of underestimation of management system [1; 0,1): The underestimation zone reflects insufficient leadership by managers. There are hidden opportunities for improvements in the management system. Employees have evaluated performance higher than managers. It is necessary to use this situation for updating management policy and starting improvement processes.

The zone of revaluation on estimation of management system (0,1; 1): This zone of revaluation reflects divergences of managers' and employees' opinions concerning business activity in this field. In such a situation, the majority of administrative decisions may result in internal resistance by employees.

An important element of the self-assessment methodology is the Index of Inside Employees Consent (IIEC) which shows the polarity of judgments by employees. The dispersion of employees' evaluation is defined for each of the mentioned criteria; also IIEC can be calculated for each of the 28 sub-criteria using the following formula:

$$IEC = \frac{n \sum (I_{emp.i})^2 - \sum (I_{emp.i})^2}{n^2}$$

Where the abbreviations mean: IIEC Index of Inside Employees Consent;
n Number of the employees in the survey;
 $I_{emp.i}$ Employee evaluation;

The analysis of employees' responses with help of IIEC makes it possible to define two zones:
Zone of unity [01] means equivalence of employees' judgments pertaining to the given problem.
Zone of polarity [14] relates to absolute polarity of employees' judgments.

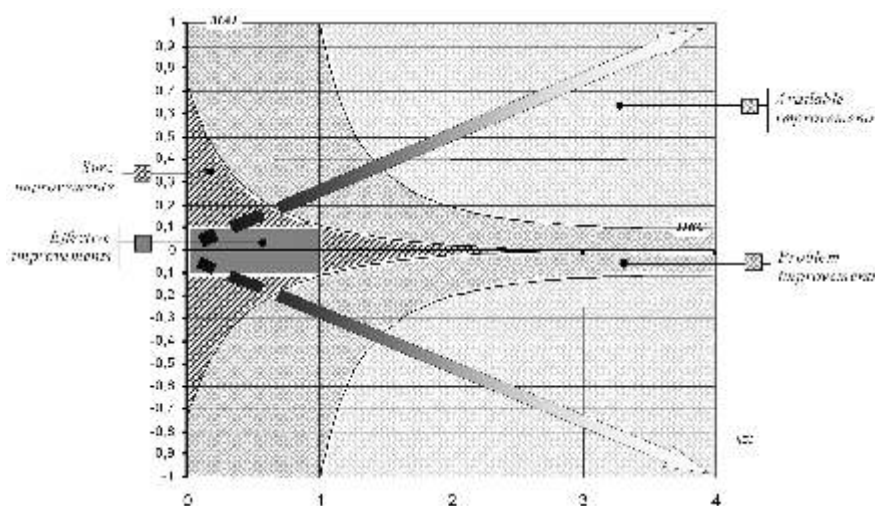
The categories on which employees have given an equivalent estimation provide greater potential for fulfilling effective changes, since managers and employees are on the same wave length. The categories from the zone of polarity require analysis for the reasons of disagreement, otherwise any improvement plans will be poorly perceived by employees, and the productivity of changes will be low, or the effect will be negative.

Further analysis of the survey results is based on revealing correlations between the factors of management adequacy and a factor of consent among the employees. The matrix of areas of improvement abilities (figure 12) is used to identify where the most efficient and effective managerial actions can be taken.

Depending on the zones, the point with coordinates (MAI; IIEC) and the degree of improvement abilities is estimated. There are four areas of improvement abilities:

1. Effective the efficiency of improvements is high.
2. Sure high probability of improvement.
3. Available all improvements require a detailed preparation with preliminary analysis.
4. Problem improvements should begin after studying unsatisfactory MAI and IIEC.

Figure 12: Matrix of four areas of improvement abilities



Relying on the results of the two-sided assessment, managers identify good practice and areas for improvement. Managers make additional analyses of weaknesses and describe good practice for further sharing, learning and benchmarking using the brainstorming and pro-forma methods.

Expert assessment and best-practice database

An expert assessment plays several roles:

- 1.To confirm the results of the self-assessment and provide an expert opinion/conclusion;
- 2.To help managers in planning improvement activities;
- 3.To identify and select best practice stories for the EPUS database.

Expert councils are to be formed in each region (subject of federation) with the head expert council at the federal level. The head expert council creates expert groups for expert assessment of federal-level authorities. The regional expert council creates expert groups of 7±2 professionals (3 of them must be from a different regional expert council) to provide expertise in its region including regional and local authorities.

The confirmed assessment score for each administration as well as their best practice input are stored in the EPUS multilevel database, the structure of which is presented in table 15

Table 15: EPUS database structure

Database level	Responsible person
Municipal	Head of the region (Subject of Federation)
Regional	Senior federal inspector
Federal District	Plenipotentiary of the President of Russia
Russian Federation	Head of the Administration of the President of Russia

All information in the EPUS database should be free for all stakeholders and accessible at the EPUS website. Additional technical and organisational support as well as infrastructure for sharing learning and benchmarking in the public sector should be based upon EPUS centres in each region of the Russian Federation.

Milestones of the EPUS development

The EPUS concept is now being discussed by public authorities at all levels (including federal Ministries and the Presidential Administration), educational institutions (e.g. Russian Academy of Civil Service), quality-related organisations and communities (e.g. Russian Organisation for Quality) and other stakeholders.

At present, there are several examples of pilots in the practical implementation of CAF-EPUS at the regional level. In 2005, the World Bank planned introducing the CAF model in the Southern Federal Okrug (in particular Kalmykia and Kabardino-Balkarya) but results were not widely presented.

The first practical implementation of the EPUS system took place in 2006 in the Election Commission of the Ivanovo region. There were two phases of the self-assessment process. During the first phase, 30 employees (nearly 90% of staff) were involved in a survey which was conducted electronically by the "State Automatic System 'Elections'". The second phase was a diagnostic self-assessment within the executive team of five people including the chairman of the commission. For a detailed revision of 28 EPUS criteria, the EFQM pro-forma method and the scoring system of the Russian Federation Government Quality Award were used.

At the stage of result analysis, the employees' assessment was compared with the executives' assessment. It allowed identifying areas for improvement more correctly. Employee teaching and learning was chosen as a priority improvement area. As the Chairman of the Commission Victor Smirnov commented on his pilot self-assessment "it allowed us to measure a level of efficiency, to see the potential of our activity and to understand where to launch improvements. Unfortunately this experience does not provide an opportunity to explore the main advantages of EPUS; I mean benchmarking with our colleagues from other regions as well as best practice exchange that could help many public administrations in their journeys towards excellence".

Besides local cases, initial steps have already been taken on the federal level. The EPUS system was introduced in spring seminars this year to representatives of Rusarchive, the Ministry of Economic Development and Trade, the Ministry of Finance, the Ministry of Culture within the Public Sector Institutional Reform (PSIR) project in Russia²⁴. The CAF Resource Centre recommended EPUS as a Russian interpretation of CAF for implementation in CIS countries.

11.5 Conclusion and recommendation

In 2005, in one of its analytical reports concerning prospective instruments to use in promoting institutional reforms in Russia, the World Bank recommended that the Russian Government introduces the Common Assessment Framework. In 2006, a Russian version of CAF – the EPUS system – was introduced, inspired by the dynamic development of CAF in Europe as well as by the satisfactory results which were achieved by hundreds of European public sector bodies.

The proposed EPUS system does not contradict current approaches used within the framework of administrative reform in Russia. EPUS is not a substitute; it is a supplemental product which aims to cover a gap in the methodology of building a high-quality management system for the whole state. It is the right time to make the governmental approach more comprehensive. Separate fragments like standardisation, management by results, and informatisation are not sufficient to achieve the high levels of efficiency, transparency and quality of public service that have been declared as aims by the President and Government of Russian Federation. To avoid a "prison" of formal standards and make-believe improvements, the Russian Government needs not a discrete but a comprehensive quality policy for public administration.

Years of European experience show that the CAF movement is mostly inspired by local leaders and quality management supporters and it does not have strong support within federal CAF-related policies. Support is not only about funding, but also organisational, informational and strategic support.

Today's Russia is several steps behind Europe as far as quality and effectiveness of public management and public services are concerned. The proposed EPUS approach based on the CAF model is expected to become standard in Russia. The two main instruments of the EPUS system – self-assessment (which is about people) and benchmarking (which is about innovation and learning) – could ensure the success of administrative reform and other institutional reforms in Russia.

²⁴ Materials available at http://new.hse.ru/sites/irgs/second/seminar_29032007.aspx

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APPENDIX: Examples of assessment forms used in CAF

EXAMPLE OF A FORM FOR ASSESSING THE ENABLERS (CRITERION 1 5)

Criterion 1: Leadership		
SUB - CRITERION 1.1:		
PROVIDE DIRECTION FOR THE ORGANISATION BY DEVELOPING ITS MISSION, VISION AND VALUES		
EXAMPLES: a. Formulating and developing the mission (what our goals are) and the vision (where we want to go) of the organisation involving relevant stakeholders and employees. b. Translating the mission and vision into strategic (long-term and medium term) and operational (concrete and short-term) objectives and actions. c. Establishing a value framework, including in it transparency, ethics and citizen service, and a code of conduct involving stakeholders. d. Strengthening of mutual trust and respect between leaders/managers/ employees (e.g. defining norms of good leadership). e. Creating conditions for effective communication. Ensuring the wider communication of the mission, vision, values, strategic and operational objectives to all employees in the organisation and to other stakeholders. f. Reviewing periodically the mission, vision and values reflecting changes in the external environment. g. Managing "conflicts of interest" by identifying potential areas of conflicts of interest and providing guidelines for employees.	Strengths:	
	Areas for improvement:	
Evidence:		
SCORE: _____		
	0 - 10	We are not active in this field. We have no information or very anecdotal.
Plan	11 - 30	We have a plan to do this.
Do	31 - 50	We are implementing/doing this.
Check	51 - 70	We check/review if we do the right things in the right way.
Act	71 - 90	On the basis of checking/reviews we adjust if necessary.
PDCA	91 - 100	Everything we do, we plan, implement and adjust regularly and we learn from others. We are in a continuous improvement cycle on the issue.

EXAMPLE OF A FORM FOR ASSESSING THE RESULTS (CRITERION 6 9)

CRITERION: CITIZEN/CUSTOMER-ORIENTED RESULTS		
SUB-CRITERION 6.1:		
RESULTS OF CITIZEN/CUSTOMER SATISFACTION MEASUREMENTS		
EXAMPLES: a. Results regarding the overall image of the organisation (e.g. friendliness and fairness of treatment; flexibility and ability to address individual solutions). b. Results regarding involvement and participation. c. Results regarding accessibility (e.g. opening and waiting times, one-stop-shops). d. Results relating to products and services (e.g. quality, reliability, compliance with quality standards, processing time, quality of advice given to the customers/citizens).	Strengths:	
	Areas for improvement:	
Evidence:		
SCORE: _____		
	0 - 10	No results are measured and/or no information is available.
Plan	11 - 30	Results are measured and show negative trends and/or results do not meet relevant targets.
Do	31 - 50	Results show flat trends and/or some relevant targets are met.
Check	51 - 70	Results show improving trends and/or most of the relevant targets is met.
Act	71 - 90	Results show substantial progress and/or all the relevant targets are met.
PDCA	91 - 100	Excellent and sustained results are achieved. All the relevant targets are met. Positive comparisons with relevant organizations for all the key results are made.



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