

CAF External Feedback & Effective CAF User Label

Presentation 3

Philosophy and Pillars



“The why and what of the CAF External Feedback”

1. CAF External Feedback: Why ?

- 1.1. Effective CAF use and why give feedback
- 1.2. The aims of the CAF External Feedback
- 1.3. The general principles

2. CAF External Feedback: What ?

- 2.1. The 3 pillars: aim of the pillars
- 2.2. Pillar 1 (Content, Questionnaire, Scoring & scoring profile)
- 2.3. Pillar 2 (Content, Questionnaire, Scoring & scoring profile)
- 2.4. Pillar 3 (Content, Questionnaire, Scoring & scoring profile)



1.1. Effective CAF use and why give feedback

A. Four main purposes of the CAF

- 1. To introduce public administration to the principles of TQM and guide them, through the use and understanding of self-assessment, from the current “Plan-Do” sequence of activities to a full fledged “Plan-Do-Check-Act” cycle;**
- 2. To facilitate the self-assessment of a public organisation in order to obtain a diagnosis and the definition of improvement actions;**
- 3. To act as a bridge across the various models used in quality management both in public and private sectors;**
- 4. To facilitate bench learning between public sector organisations**



1.1. Effective CAF use and why give feedback

B. Effective use of the CAF model

=> The CAF recognition is created to further support organisations in the use of the CAF and their future quality management journey. Why feedback on the effective use

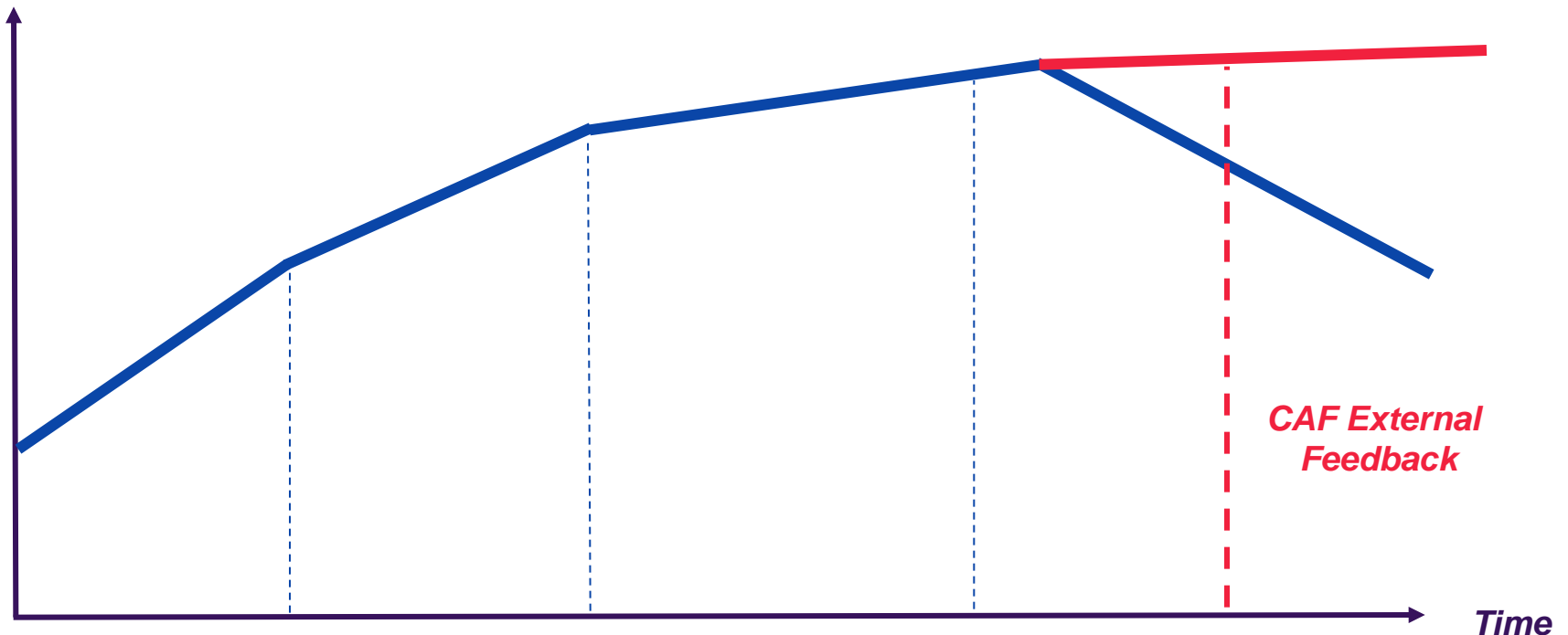
- Reason 1: The success of the CAF depends on the way it is applied***
- Reason 2: Working with CAF is also launching improvement actions***
- Reason 3: Excellence is the beginning and the end of the CAF***

=> These reasons translated in the 3 main pillars



From self assessment over improvement to feedback

Level of Motivation



Phase 1:
Launch of the CAF

Phase 2:
Self Assessment

Phase 3:
Improvement Plan

Implementation
Improvements

*CAF External
Feedback*



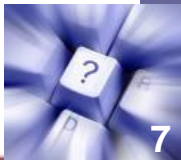
1.2. Aims of the CAF External Feedback Procedure

1. Support the quality of the CAF implementation and its impact on the organisation.
2. Support and renew enthusiasm in the organisation for continuous improvement.
3. Find out if and to what extent the organisation is installing TQM values as the result of the CAF application, and show the way forward.
4. Promote peer review and bench-learning. To facilitate organisations to learn from each other.
5. Reward organisations that started the journey on continuous improvement toward excellence in an effective way, without judging their obtained level of excellence.



1.3. The 6 general principles

1. The CAF External Feedback Procedure is *a common European framework*, to be implemented according to the national contexts on a voluntary basis.
2. The CAF External Feedback Procedure promotes *feedback on the implementation of CAF and its effects* on the organisation.
3. This feedback is given by *peers and/or external experts*.
4. The CAF External Feedback Procedure leads to the *label of Effective CAF User (ECU)* for 2 years, not the recognition or accreditation of an excellent organisation.
5. The CAF External Feedback Procedure is build upon *3 pillars*.
6. The decision and responsibility for implementing the CAF External Feedback Procedure on the *national level* belongs to each Member State.



2. CAF External Feedback: What ?

2.1. The 3 pillars: aim of the pillars

2.2. Pillar 1

- Content
- Questionnaire
- Scoring & scoring profile

2.3. Pillar 2

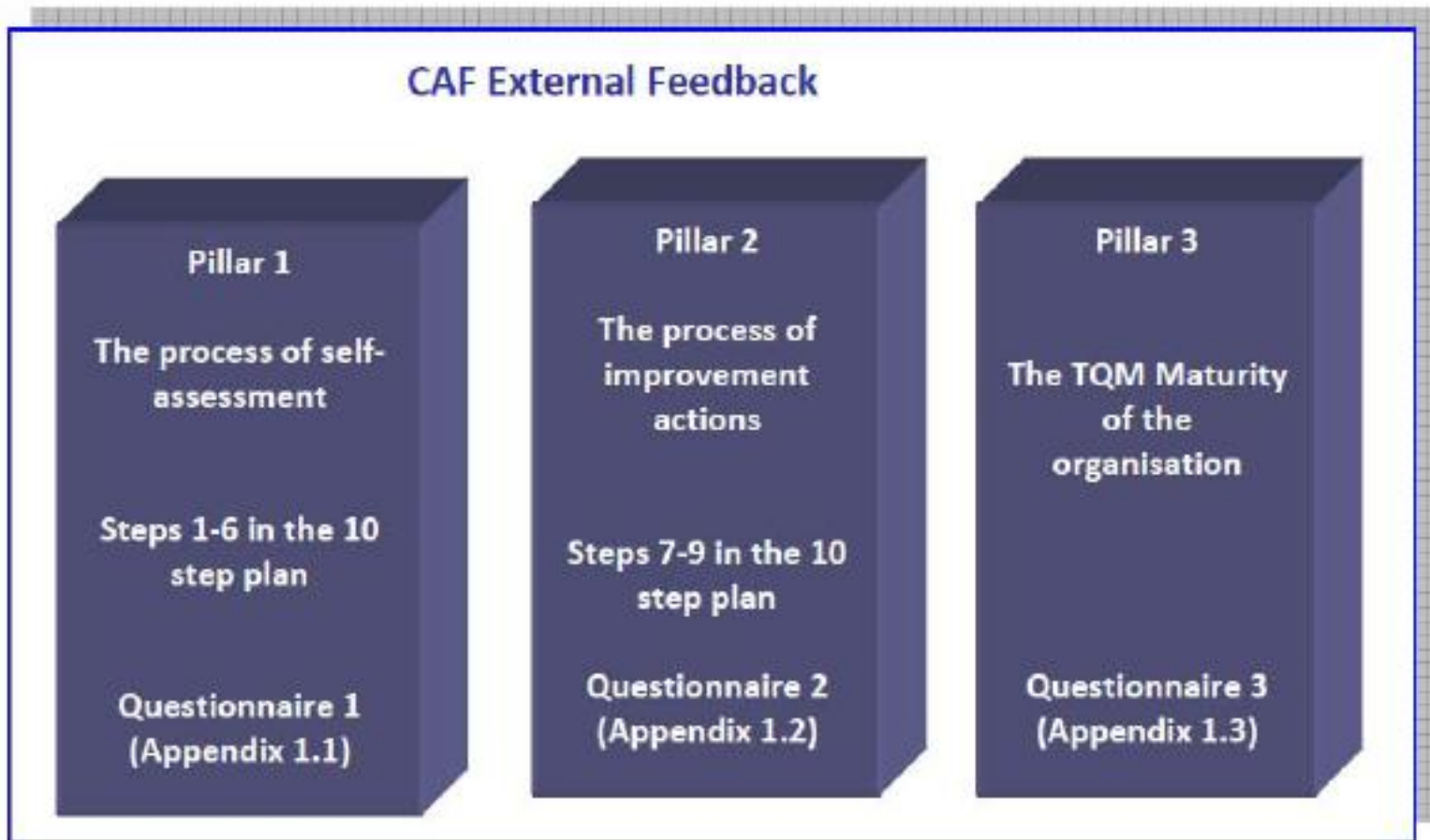
- Content
- Questionnaire
- Scoring & scoring profile

2.4. Pillar 3

- Content
- Questionnaire
- Scoring & scoring profile



2.1. The different pillars



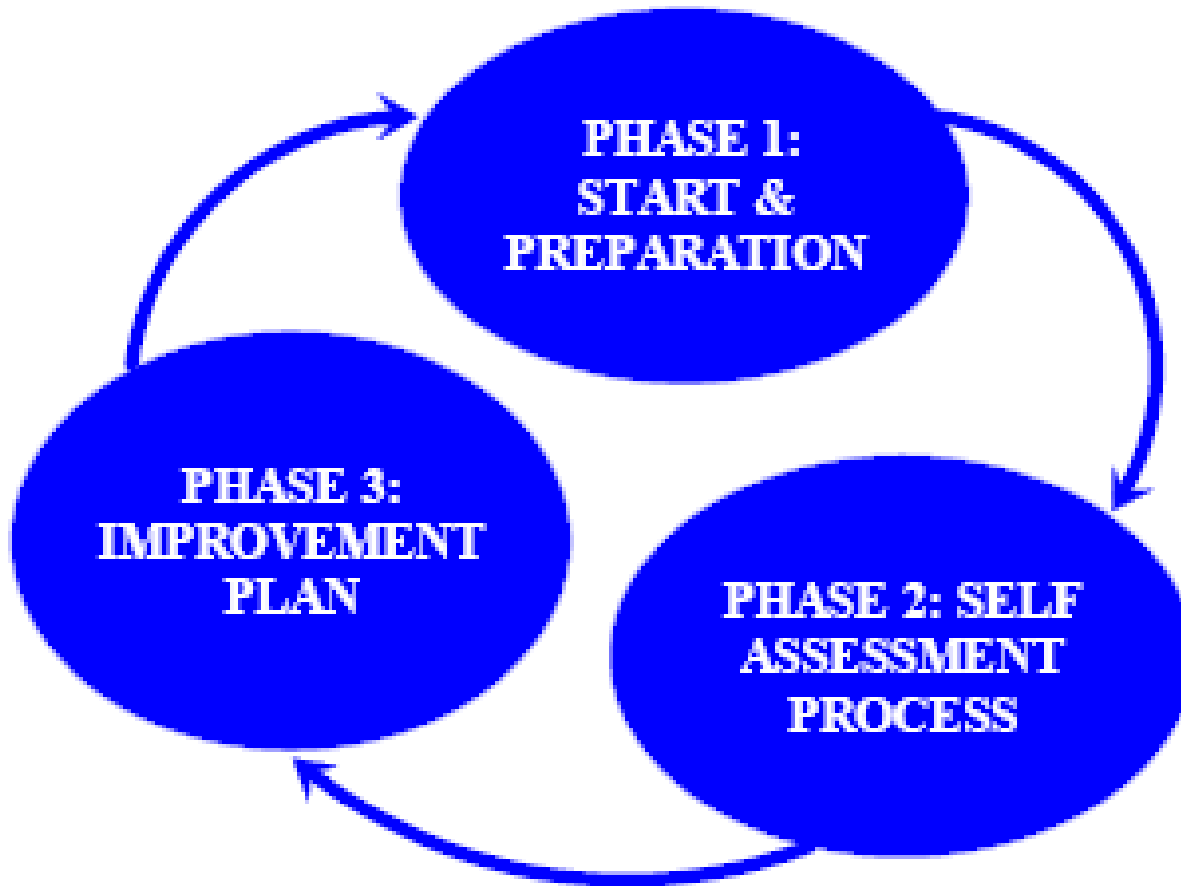
Why give feedback on the effective use of the CAF model ?

- *Reason 1: The success of the CAF depends on the way it is applied*
=> PILLAR 1

- *Reason 2: Working with CAF is also launching improvement actions*
=> PILLAR 2

- *Reason 3: Excellence is the beginning and the end of the CAF*
=> PILLAR 3





Phase 1 – The start of the CAF journey

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

Step 2: Communicate the self-assessment project

Phase 2 – Self-Assessment Process

Step 3: Compose one or more self-assessment groups

Step 4: Organise training

Step 5: Undertake the self-assessment

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

Phase 3 – Improvement plan/ prioritisation

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

Step 8: Communicate the improvement plan

Step 9 Implement the improvement Plan

Step 10: Plan next self-assessment

PILLAR 1

PILLAR 2



CAF External Feedback

Pillar 1

The process of self-assessment

Steps 1-6 in the 10 step plan

Questionnaire 1
(Appendix 1.1)

Pillar 2

The process of improvement actions

Steps 7-9 in the 10 step plan

Questionnaire 2
(Appendix 1.2)

Pillar 3

The TQM Maturity of the organisation

Questionnaire 3
(Appendix 1.3)



- The quality of the self-assessment basis of the success for the future improvements.
- The self-assessment process is in the focus (steps 1 – 6).

Phase 1 – The start of the CAF journey
Step 1: Decide how to organise and plan the self-assessment Step 2: Communicate the self-assessment project
Phase 2 – Self-Assessment Process
Step 3: Compose one or more self-assessment groups Step 4: Organise training Step 5: Undertake the self-assessment Step 6: Draw up a report describing the results of self-assessment

PILLAR 1

- For this purpose a questionnaire is developed for the assessment of these different steps. The questionnaire covers the 6 steps and is not meant for validating the scores given in the CAF self-assessment



The questionnaire: The different steps in pillar 1

- Purpose of questionnaires:
1. support the applicant to prepare the feedback
 2. Support the feedback actors to prepare and carry out the site visit

STEPS IN PILLAR 1

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

Step 2 – Communicate the self - assessment project

Step 3 – Create a self-assessment group (s)

Step 4 – Organise training

Step 5 – Undertake the self-assessment

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



Self-assessment process (Pillar 1)

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

1.1. Assure commitment and ownership of the management for launching the process.

1.2. Assure a clear management decision about carrying out SA in consultation with the organisation, the scope of SA (SA covers the whole organisation or only parts/units/departments....) the overall objective of SA

1.3. Define the framework for SA process and the following actions, planning the SA activities

1.4. Appoint a SA process leader with a high level of knowledge of the organisation or constitute a SA Committee headed by the SA process leader

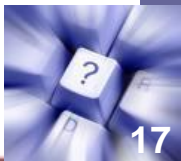
1.5. Define the scoring panel to be used

1.6. Allocate resources for SA and define how to prioritize resources distribution



What is recognised in the scheme is the ability to make an effective and well planned self -assessment. The evaluation scale is a 5 level scale:

1	= The activities have been carried out in a very limited way
2	= The activities have been carried out in a limited way
3	= The activities have been carried out in an acceptable way
4	= The activities have been carried out in a satisfying (satisfactory) way
5	= The activities have been carried out in an outstanding way



Scoring for all these activities in the steps

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

Activities	1	2	3	4	5
1.1. Assure commitment and ownership of the management for launching the process.	There is no evidence of commitment and ownership of the management	There is some evidence of commitment of the management for launching the process, but limited to a part of the involved managers	There is evidence of commitment and ownership of the management for launching the process	There is clear evidence of commitment and ownership of the management for launching the process, as guide and sponsor, communicating the targets and advantages	There is strong evidence of commitment and ownership of all the involved management for launching the process, as guide and sponsor, communicating the objectives and advantages and participating to the project definition
1.2. Assure a clear management decision about carrying out the SA in consultation with the organisation, about the scope of SA (SA covers the whole organisation or only parts/units/departments....) and about the overall objective of the SA.	There is no evidence of decision by the management. The decision has been taken by one or more persons without consultation of the management	There is some evidence of the consultation of the management, but without a discussion of the criteria for the decision and choice, a formal decision and a clear definition of the objectives	There is evidence of the consultation of the management team and of a formal decision, but the criteria for the choice and the objectives are not clearly defined	There is clear evidence of the management decision to realize the evaluation, in the framework of the periodic meetings, involving the heads of the functions. The decision has been formalized in a document and the SA objectives have been clearly defined, but the	There is strong evidence of the management decision, taken after a well-pondered discussion involving the heads of the competent functions, with a definition of the scope of the SA on the basis of well defined criteria. The decision and the scope have been formalized in a document The SA objectives and advantages for the stakeholders have been clearly defined



Appendix 1.1. the self-assessment process questionnaire of the brochure



Scoring profile (Appendix 2)

Step 1 - Decide how to organise and plan the self-assessment (SA)					
Activities	1	2	3	4	5
1.1. Assure commitment and ownership of the management for launching the process.	There is no evidence of commitment and ownership of the management	There is some evidence of commitment of the management for launching the process, but limited to a part of the involved managers	There is evidence of commitment and ownership of the management for launching the process	There is clear evidence of commitment and ownership of the management for launching the process, as guide and sponsor, communicating the targets and advantages	There is strong evidence of commitment and ownership of all the involved management for launching the process, as guide and sponsor, communicating the objectives and advantages and participating to the project definition
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Self-assessment process (Pillar 1)	1	2	3	4	5
Step 1 - Decide how to organise and plan the self-assessment (SA)					
Assure commitment and ownership of the management for launching the process.			X		
Assure a clear management decision about carrying out SA in consultation with the organisation, the scope of SA (SA covers the whole organisation or only parts/units/departments....) the overall objective of SA		X			
Define the framework for SA process and the following actions, planning the SA activities					





Scoring profile (Appendix 2)

Scoring profile Pillar 1	1	2	3	4	5
Step 1 - Decide how to organise and plan the self-assessment					
Step 2 – Communicate the self - assessment project					
Step 3 – Create a self-assessment group (s)					
Step 4 – Organise training					
Step 5 – Undertake the self-assessment					
Step 6 – Draw up a report describing the results of self-assessment					
Scoring profile Pillar 2					
Step 7 – Draft an improvement plan, based on the accepted self-assessment report					
Step 8 – Communicate the improvement plan					
Step 9 – Implement the improvement Plan					
Minimum score needed (incl. 3 steps with 4) = 28					

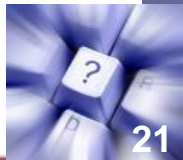
To obtain the label, the minimum requirements are as follows:

- 1) The summated overall score of the assessment of pillar 1 and 2 must be at **least 28 points.**
- 2) **Steps 1, 5 and 9** are deemed at least satisfying with score 4 i.e. the minimum score of 4 must be achieved





Self-assessment process (Pillar 1)	1	2	3	4	5
Step 1 - Decide how to organise and plan the self-assessment (SA)					
Assure commitment and ownership of the management for launching the process.	X			X	
Assure a clear management decision about carrying out SA in consultation with the organisation , the scope of SA (SA covers the whole organisation or only parts/units/departments....) the overall objective of SA	X			X	
Define the framework for SA process and the following actions, planning the SA activities	X			X	
Appoint a SA process leader with a high level of knowledge of the organisation or constitute a SA Committee headed by the SA process leader		X		X	
Define the scoring panel to be used		X	X		
Allocate resources for SA and define how to prioritize resources distribution		X		X	
Self-assessment process - Overall score - Step 1:		X		X	
Step 2 – Communicate the self - assessment project					
Define a communication plan including the expected benefits, the goal and the					



2.3. Pillar 2

CAF External Feedback

Pillar 1

The process of self-assessment

Steps 1-6 in the 10 step plan

Questionnaire 1
(Appendix 1.1)

Pillar 2

The process of improvement actions

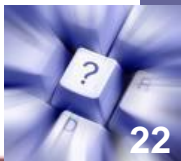
Steps 7-9 in the 10 step plan

Questionnaire 2
(Appendix 1.2)

Pillar 3

The TQM Maturity of the organisation

Questionnaire 3
(Appendix 1.3)



- Doing something with the results of a self assessment
- The focus in this second pillar (steps 7-9)

Phase 3 – Improvement plan/ prioritisation

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

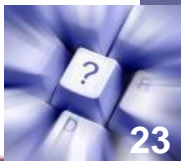
Step 8: Communicate the improvement plan

Step 9 Implement the improvement Plan

Step 10: Plan next self-assessment

PILLAR 2

- The steps all give a detailed look into the improvement plan, what is the quality of this plan, how is this composed, communicated and monitored.
- The CAF External Feedback covers the planning and the process of improvement and is not meant for assessing the results of the improvement actions.



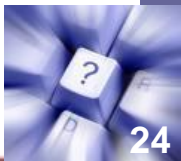
Steps -> Activities -> Scoring panel

Steps in Pillar 2

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

Step 8 – Communicate the improvement plan

Step 9 – Implement the improvement Plan

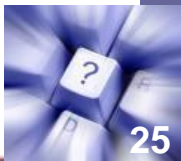


Steps translated in Activities

Step 9 – Implement the improvement plan

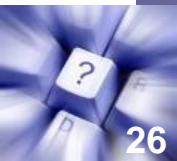
Activities

- 9.1. Define clear ownership of the improvement program and the projects, and ensure transparency in task and responsibility delegation.
- 9.2. Implement the improvement plan as scheduled.
- 9.3. Involve employees in the different improvement actions to ensure anchoring of the improvement projects throughout the institution.
- 9.4. Define a consistent approach for monitoring and assessing the improvement actions.
- 9.5. Monitor on a regular basis the implementation of the improvement actions.



Evaluation Panel

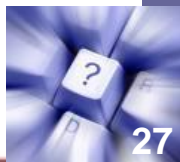
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3	= The activities have been carried out in an acceptable way
4	= The activities have been carried out in a satisfying (satisfactory) way
5	= The activities have been carried out in an outstanding way



Step 9 – Implement the improvement plan					
Activities	1	2	3	4	5
9.1. Define clear ownership of the improvement program and the projects, and ensure transparency in task and responsibility delegation.	There is no evidence of definition of ownership of the program and the projects	There is some evidence of definition of ownership for the programs and/or for the projects, but the level or the coherence of the roles for the assigned responsibilities are not demonstrated. Limited evidence of transparency and responsibility delegation	There is evidence of definition of ownership for the improvement program and for the projects. The ownership is communicated, ensuring transparency and responsibility delegation. The level of assigned responsibilities is adequate and the roles of the owners are coherent with the activities to be realised	There is clear evidence of definition of ownership for the improvement program and the projects. The level of assigned responsibilities is adequate and the roles of the owners are coherent with the activities to be realised. The delegation of responsibilities is formally defined and communicated to guarantee transparency	There is strong evidence of definition of ownership for the entire improvement program and for the single projects and activities, at appropriate level and coherent with the activities to be realised. The delegation of responsibilities is formally defined and communicated to all the interested stakeholders to guarantee transparency and to promote involvement and collaboration
9.2. Implement the improvement plan as scheduled.	There is no evidence of implementation of the improvement plan	There is some evidence of implementation of the improvement plan, but relevant deficiencies are evident in terms of completeness, extent of deployment, controls, monitoring, changes to the planning due to lack of resources or changes to priorities etc.	There is evidence of implementation of the improvement plan, with a substantial alignment to the scheduling. The deviations from the scheduled plan are documented and motivated. No relevant deficiencies are evident in terms of completeness, extent of deployment, controls, monitoring, changes to the planning due to lack of resources or changes to priorities etc.	There is clear evidence of implementation of the improvement plan, with a structured control. The deviations from the scheduled plan are limited and do not reduce the completeness, extent of deployment, controls or monitoring; they are analysed, documented and motivated	There is strong evidence of implementation of the improvement plan, with a structured control. The deviations from the scheduled plan are analysed and documented, and are clearly finalised to improve the scheduling and to assure the attainment of the best possible objectives (completeness of the activities, extent of deployment, controls, monitoring etc.)



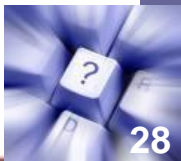
Appendix 1.2. the improvement plan questionnaire of the brochure



Scoring profile Pillar 1	1	2	3	4	5
Step 1 - Decide how to organise and plan the self-assessment					
Step 2 – Communicate the self - assessment project					
Step 3 – Create a self-assessment group (s)					
Step 4 – Organise training					
Step 5 – Undertake the self-assessment					
Step 6 – Draw up a report describing the results of self-assessment					
Scoring profile Pillar 2					
Step 7 – Draft an improvement plan, based on the accepted self-assessment report					
Step 8 – Communicate the improvement plan					
Step 9 – Implement the improvement Plan					
Minimum score needed (incl. 3 steps with 4) = 28					

To obtain the label, the minimum requirements are as follows:

- 1) The summated overall score of the assessment of pillar 1 and 2 must be at **least 28 points.**
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2.4. Pillar 3

CAF External Feedback

Pillar 1

The process of self-assessment

Steps 1-6 in the 10 step plan

Questionnaire 1
(Appendix 1.1)

Pillar 2

The process of improvement actions

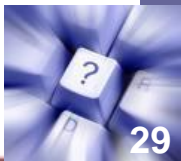
Steps 7-9 in the 10 step plan

Questionnaire 2
(Appendix 1.2)

Pillar 3

The TQM Maturity of the organisation

Questionnaire 3
(Appendix 1.3)



Pillar 3: Content

- Guide towards TQM values
- The third pillar is focussing on the 8 principles of Excellence and the shifted focus after applying the CAF model



The aim whether the self-assessment and improvement activities have stimulated the introduction and development of a culture of excellence in the organisation.

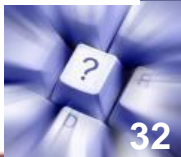


The evaluation scale has 4 levels:

0	Initiation level is not achieved
I	= Initiation level
R	= Realisation level
M	= Maturity level



General characteristics	0	Initiation	Realisation	Maturity
2. Result orientation - Definition	The initiation level has not been reached	The organisation identifies relevant stakeholders and result areas.	The organisation defines a set of targets and results to be achieved in relation to the relevant stakeholders' needs.	The organisation systematically monitors the results it achieves and uses it for continuous improvement.
2. Result orientation - Examples		<p>There is a focus on developing a result-oriented culture in the organisation.</p> <p>The organisation has identified the different stakeholders and segmented them into different categories.</p> <p>It has defined relevant result areas linked to the mission of the organisation.</p>	<p>A result-oriented culture is systematically promoted in the organisation.</p> <p>A first systematic assessment of the stakeholders - as well as their current and future needs and expectations - has been carried out.</p> <p>A first set of corresponding targets has been defined for relevant stakeholders in relation to the result areas.</p>	<p>Stakeholders are involved in setting and reviewing results and targets.</p> <p>The organisation has defined result targets for all key processes. These targets are connected with the dimensioning and planning of the assignments.</p> <p>Employees know the targets relating to their work tasks and processes.</p> <p>Management supervises the organisational development in terms of result targets for key processes and finances.</p>

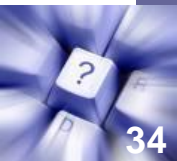


Pillar 3: Scoring profile

- ⇒ A score signifying the level of TQM maturity (initiation, realisation and maturity) is given for each of the 8 principles of excellence.
- ⇒ To obtain the label, the minimum requirements are as follows:
- All 8 principles must reach level of Initiation (I).
 - The CAF Feedback Actor's assessment will be based on evidence gathered by interviewing different groups in the workplace.
 - All of the 8 Principles of Excellence will be briefly examined. 2 concepts chosen by the applicant will be systematically assessed in depth (one of which has to be either Customer Focus or Result Orientation).



8 Principles of Excellence	Maturity level			
	0	I	R	M
1.Result orientation				
2.Customer Focus				
3.Leadership and constancy of Purpose				
4.Management by processes and facts				
5.People Development and Involvement				
6.Continuous learning, improvement and innovation				
7.Partnership Development				
8.Corporate social responsibility				



CAF and Application

- CAF Self Assessment and Improvement Plan
- 6-12 months later application to the National Organiser

Self assessment on 3 pillars

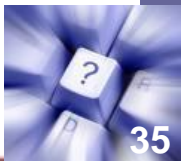
- Organisation carries out self assessment on the 3 pillars by filling out the questionnaires

CAF Feedback Actors

- Document analysis by CAF Feedback Actors
- Site visit by team of CAF Feedback Actors

Feedback and ECU Label

- The applicant organisation receives feedback
- If positive on 3 pillars “Effective CAF User” Label



<p>14.00 – 15.30</p>	<p>4 Working groups exercise 1 (part 1)</p> <p>1) Assess :</p> <ul style="list-style-type: none"> - step 5 “undertake the SA” - step 7 “draft improvement plan” - principle 3 “customer focus” <p>2) Taking into account case material</p> <p>3) Make in consensus a workgroup scoring profile and formulate a number of questions for the 3 pillars preparing the site visit</p>
<p>15.30 – 16.00</p>	<p>Break</p>
<p>16.00 – 17.00</p>	<p>Work group exercise 1 (part 2): plenary</p> <p>Presentation of the results of the work groups (presentation of the scoring profiles and questions formulated)</p>

