



Resource
Centre
European Institute of
Public Administration



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MINISTERIJA

CAF External Feedback & Effective CAF User Label Presentation 4

Process and Steps



“The how of the CAF External Feedback”



MOKSLAS • EKONOMIKA • SĄNGLAUDA



EUROPOS SĄJUNGA
EUROPOS SOCIALINIS FONDAS

Kuriame Lietuvos ateitį

Projektas „Viešojo administravimo sektoriaus kokybės iniciatyvos“

1. Who can apply & Preconditions

2. The phases in the CAF External Feedback
 - *Phase 1: The application*
 - *Phase 2: The process of providing feedback*
 - *Phase 3: The final decision and receiving of the Effective CAF User label*

1. Who can apply ?

=> Every public organisation using CAF - no matter how many times a self-assessment with the model it has undertaken - can apply for the CAF External Feedback.

Preconditions for CAF Users that want to apply.

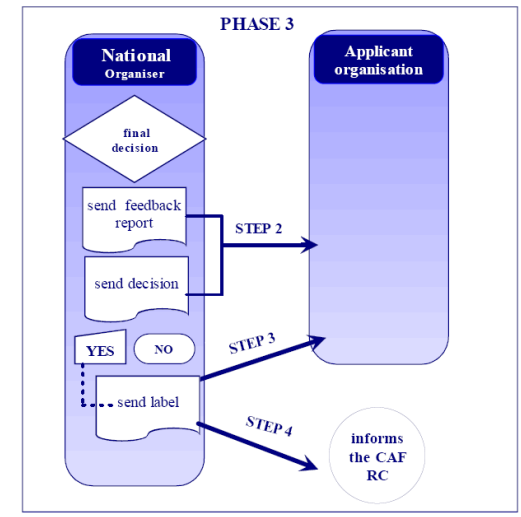
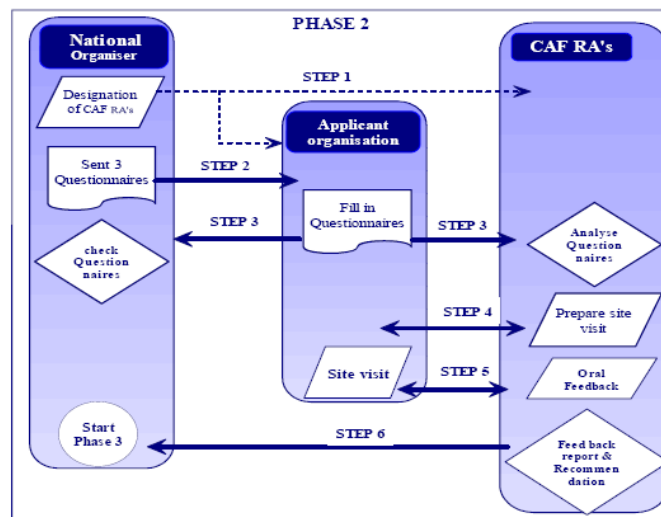
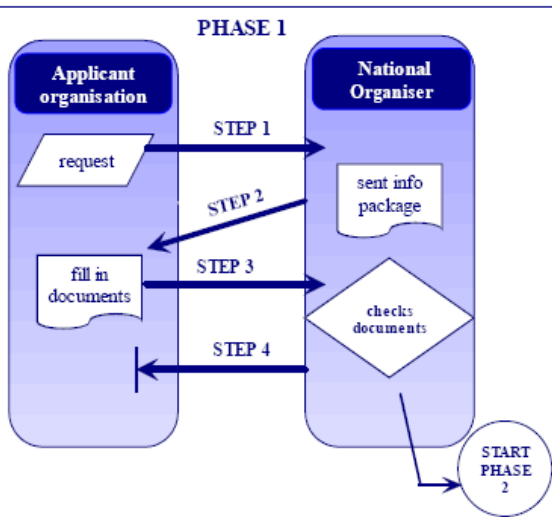
1) The application should however be done **in between 6 and 12 months after the CAF self-assessment took place and the self-assessment report was concluded and delivered.**

- CAF = self-assessment and launching concrete improvement actions.
- needs time to set up these improvements.
- After 6-12 months there is the risk organisations suffer from some dip in enthusiasm

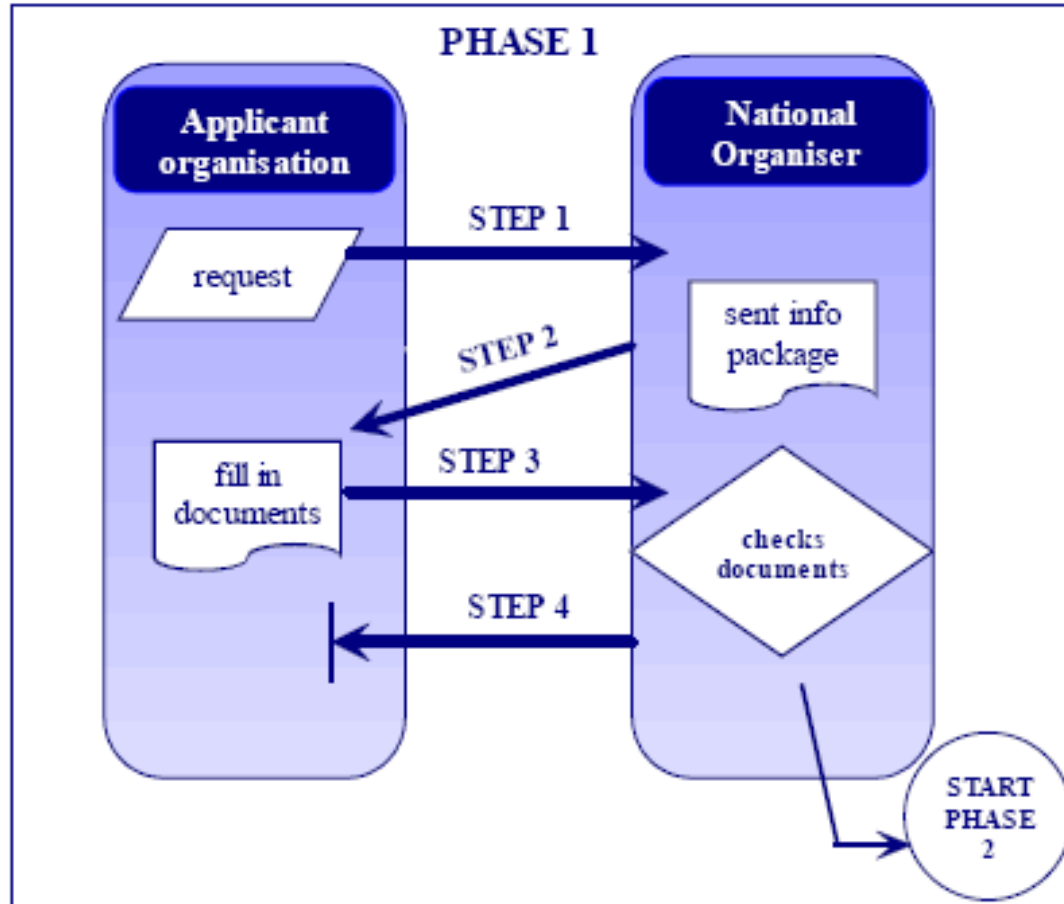
2) The second precondition is that **the organisation registers/ is registered as a CAF user in the online European database of CAF users.**

3. The phases in the CAF External Feedback

- Phase 1: the application
- Phase 2: the process of providing feedback
- Phase 3: the final decision and receiving of the Effective CAF User label



Phase 1: The application



4 Steps in phase 1

STEP 1. The candidate public organisation contacts the National Organiser (NO) to request CAF External Feedback. To that end he submits the statement (see appendix 4) stating his conformity with the 2 preconditions.



APPENDIX 4

Form for applicant organisation

Contact Details

Applicant

Name (Organisation/ Department):

Address:

Tel.:

Fax:

eMail:

Website:

Contact Person:

CAF has been implemented in the organisation as a whole

CAF has been implemented in part of the organisation, namely:

The CAF self-assessment report was concluded and delivered to the Management of the organisation on (dd/mm/yyyy).

!!! Please note that the application should be done in between 6 and 12 months after the CAF self-assessment took place and the self-assessment report was concluded and delivered.

Registration as a CAF user

The organisation (or department) is registered as a CAF user in the European online database of CAF users (URL: <http://caf.eipa.eu/3/98/>)

Signature by the Management of the Organisation
(e.g. General Director)

Name

Title

Place, Date

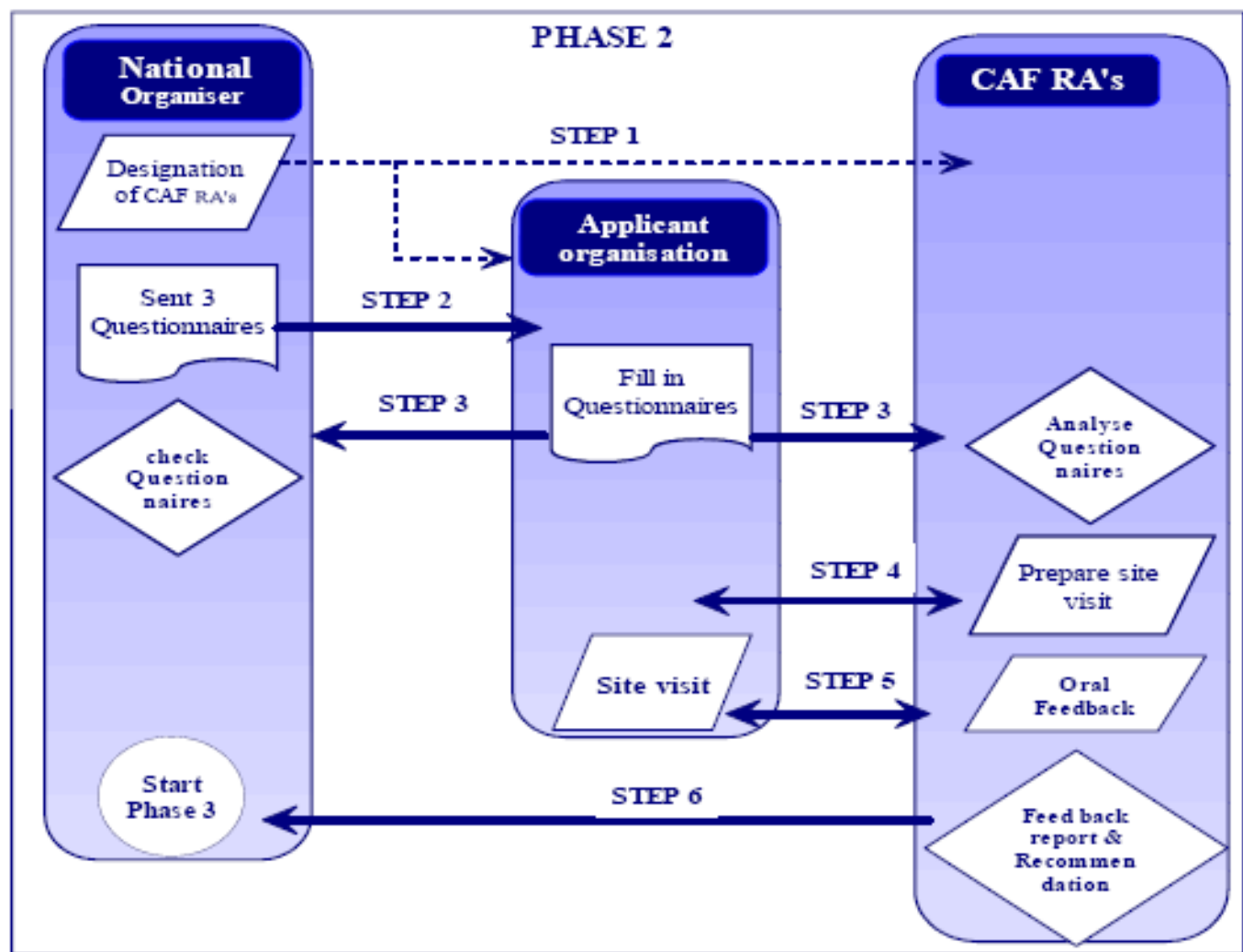
STEP 2. The National Organiser confirms receipt, sends a full information package (brochure) and invites the applicant to submit:

1. a short presentation of the institution;
2. a brief description of the CAF self-assessment process;
3. the last self-assessment-report(s) presented to the management;
4. the action plan(s) for the implementation of improvements.

STEP 3: The applicant completes the requested info and sends it back to the National Organiser, in order to proceed towards the actual CAF External Feedback (phase 2).

STEP 4. When the required documents have been received by the National Organiser, the applicant organisation receives a written notification. The feedback procedure (phase 2) will be started.

Phase 2: The process of providing feedback



STEP 1. The National Organiser designates two or more **CAF Feedback Actors (CAF FA's)** depending on the type, size and complexity of the applicant organisation.

STEP 2. The National Organiser informs the applicant organisation of the CAF Feedback Actors in charge and sends the 3 CAF Feedback-questionnaires:

- 
- 1) Questionnaire on the CAF self-assessment process (pillar1)
 - 2) Questionnaire on the improvement process (pillar2)
 - 3) Questionnaire on TQM Maturity (pillar3)

The applicant organisation is invited to complete the 3 questionnaires based on his own judgement and to submit them to the CAF Feedback Actors designated and/or to the National Organiser (based on national context/arrangements):

STEP 3. The CAF Feedback Actors analyse the questionnaires submitted by the organisation.

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					

STEP 4. Preparation site visit: The CAF Feedback Actors inform the organisation on:

- the main purpose of the site visit,
- to align expectations,
- decide the necessary amount of documentation
- and which persons, institutions and groups the CAF Feedback Actors wish to participate in interviews and workshops at the site visit.

STEP 5. The site visit lasts a maximum of 2 days, depending on the type, size and complexity of the applicant organisation. The CAF Feedback Actors examine whether the institution has made an effective implementation of the CAF-model:

1. *They analyse the quality of the **self-assessment process**, using the answers to the process questionnaire as a starting point for discussions (steps 1 to 6 of the CAF guidelines) with participants at the SA process other than the person(s) that completed the questionnaire.*
2. *Then they discuss the drafting, communicating and implementation of **the improvement process**, using the answers on the improvement plan questionnaire as an input (steps 7 to 9 of the CAF guidelines), with a number of people involved in this process.*
3. *In order to evaluate to what extent a TQM culture has been installed, different stakeholders will be interviewed, based upon the Questionnaire on TQM Maturity.*

The CAF Feedback Actors give a first oral impression of their findings to the organisation.

STEP 6. Based on all the gathered information, before and during the site visit, the CAF Feedback Actors write a feedback report within 1 month. The CAF Feedback Actors transmit this report and a recommendation to the National Organiser as to whether the applicant organisation ought to be recognised as “Effective CAF user” or not (see a **template of the feedback report** in the **appendix 3**).

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Feedback report
Effective CAF User

[Name of institution]
[Date]

CAF Recognition Actors
[Name of Actor], [institution]
[Name of Actor], [institution]

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Section 2: Feedback on the self-assessment process

General comments about the self-assessment process:

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

Strengths

- [Insert strengths]

Areas of improvement

- [Insert areas of improvement]

The activities have been carried out in a: [Mark with grey]

very limited way	limited way	acceptable way	satisfying way	outstanding way
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Step 2 - Communicate the self-assessment project

Strengths

- [Insert strengths]

Areas of improvement

- [Insert areas of improvement]

The activities have been carried out in a:

very limited way	limited way	acceptable way	satisfying way	outstanding way
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Step 3 - Create a self-assessment group (s)

Strengths

- [Insert strengths]

Areas of improvement

- [Insert areas of improvement]

The activities have been carried out in a:

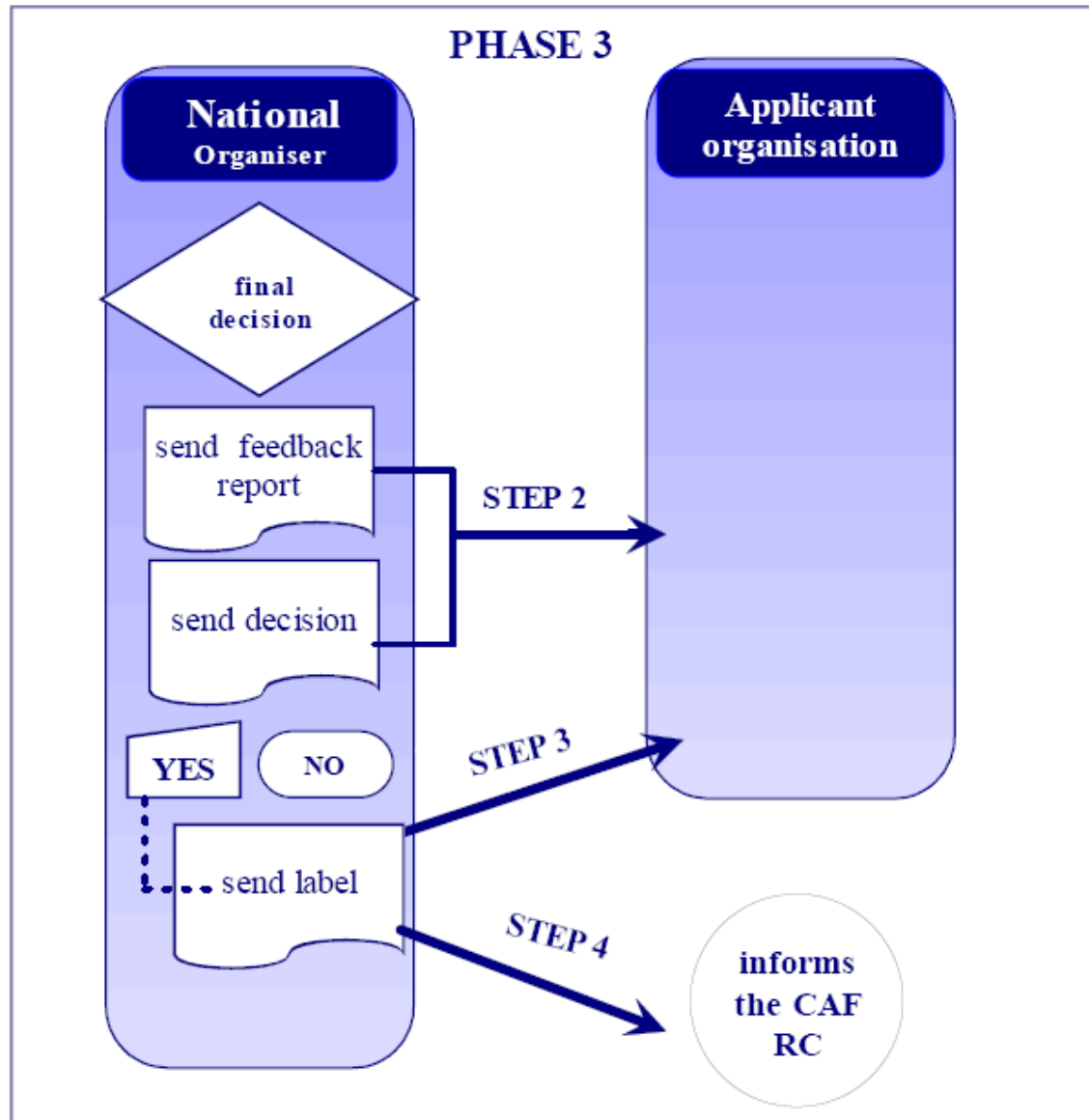
very limited way	limited way	acceptable way	satisfying way	outstanding way
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Appendix 3: Format of the External Feedback Report

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Phase 3. Decision/ Designation label



4 Steps in Phase 3

STEP 1. The National Organiser takes the final decision based on the report/recommendations of the Feedback Actors.

STEP 2: The National Organiser transmits the feedback report with the decision to the applicant organisation. The organisation does not have the possibility to appeal the decision.

STEP 3: In case of a positive decision, the applicant organisation receives the recognition “Effective CAF user” in a timely manner.

STEP 4: The National Organiser informs the EIPA CAF Resource Centre when an organisation has obtained the label. The CAF RC publishes the information (receipt of the label & date) on the online European database of CAF users.

Remark 1:

The recognition “Effective CAF user” expires after 2 years and can be renewed after a new self-assessment with CAF followed by a new application for the label.

Remark 2:

In case the organisation does not receive the recognition “Effective CAF user”, it can apply again after a new self-assessment with CAF.

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

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

1. National CAF correspondents own the ECU label. This will have an impact on their functioning, the creation of national CAF resource centres maybe.
2. A pool of experts of public administration to do the External Feedback will be necessary in each country
3. Professional feedback has a price but must be accessible for all public administrations. In principle this remains to the national responsibility.

intro in exercise 2

09.30 – 10.15	3 Working groups: exercise 2 (part 1)
<i>Group 1</i>	step 3 <i>“create a SA group”</i>
<i>Group 2</i>	step 8 <i>“communicate the improvement plan”</i>
<i>Group 3</i>	principle 1 <i>“leadership and constancy of purpose”</i>
	<p>1) Asses the filled in questionnaires by the applicant organisation using the provide information.</p> <p>2) prepare for the site visit by formulating a number of questions for the pillar.</p>

Work group exercise 2: Simulation of site visit

<p>10.45 – 11.30</p> <p><i>Group 1</i></p>	<ul style="list-style-type: none"> - Simulation of the site visit (30 min.) <p><i>Group 1 discusses with applicant organisation on pillar 1 (questions formulated in exercise 1 and 2 - step 5 and step 3)</i></p> <ul style="list-style-type: none"> - Plenary discussion (15 min.)
<p>11.30 – 12.15</p> <p><i>Group 2</i></p>	<ul style="list-style-type: none"> - Simulation of the site visit (30 min.) <p><i>Group 2 discusses with applicant organisation on pillar 2 (questions formulated in exercise 1 and 2 - step 7 and step 8)</i></p> <ul style="list-style-type: none"> - Plenary discussion (15 min.)
<p>12.15 – 13.00</p> <p><i>Group 3</i></p>	<ul style="list-style-type: none"> - Simulation of the site visit (30 min.) <p><i>Group 3 discusses with applicant organisation on pillar 3 (questions formulated in exercise 1 and 2 - principle 3 and 2)</i></p> <ul style="list-style-type: none"> - Plenary discussion (15 min.)