

**КАЧЕСТВО И ОБНОВЛЕНИЕ
ГОСУДАРСТВЕННОГО УПРАВЛЕНИЯ:
КОМПЛЕКСНОЕ УПРАВЛЕНИЕ КАЧЕСТВОМ И
ЕВРОПЕЙСКАЯ МОДЕЛЬ ОБЩИХ РАМОЧНЫХ
ПРАВИЛ ОЦЕНКИ**



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По мере того, как конкретные стороны Нового государственного управления стали постепенно становиться частью жизни и деятельности граждан и потребителей и определять их удовлетворенность качеством госуправления, разработчики политики госуправления начали изучать инструменты и модели управления качеством. Внимание было обращено на подходы, цель которых улучшить 'внутреннюю' результативность и действенность организаций и повысить 'внешнюю' удовлетворенность потребителей путем использования типовых управленческих процедур, основанных на комплексном управлении качеством (КУК, англ. TQM). Для внедрения принципов КУК в госуправление используется модель общих рамочных правил оценки (ОРПО, англ. SAF). Данные правила оценки – это управленческий инструмент для организаций, который специально нацелен на продвижение культуры качества, применение инструментов, связанных с КУК, и распространением процедур самостоятельной оценки деятельности в органах госуправления ЕС. По форме и содержанию ОРПО вытекают из Европейских основ управления качеством (ЕОУК, англ. EFQM), модели действий для достижения совершенства. Когда разрабатывались ОРПО, данная модель действия уже широко и повсеместно использовалась европейским бизнесом. Исходя из достоверных оценок, мы можем подтвердить, что ОРПО представляют модель ЕОУК, адаптированную для органов госуправления. Италия – одна из европейских стран, где ОРПО пользуются гораздо большим вниманием и шире распространены. Цель данной статьи представить модель ОРПО, описать ее структуру и принципы и показать ее адекватность для удовлетворения потребностей органов госуправления в повышении качества. Использование модели ОРПО в государственном управлении Италии может, таким образом, рассматриваться как эталон действий для органов госуправления других стран.

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The renewal of public administration: the reference framework

The modernisation process for public administration, which is still today a key requirement for many countries, falls under the framework of the debate that began in the late 1970s and then developed throughout the 1980s and 1990s regarding the problem of changing governance systems and public sector management systems. A key reference can be found in the "scientific management" philosophy known as New Public Management, which has certainly had mixed influences - having received both wide consensus as well as strong criticism - on the process of changing public administration in various countries. In particular, New Public Management has found success in Anglo-Saxon countries, and first and foremost in the United Kingdom, in turn drawing scientific inspiration from the practical experiences of these countries (Boston et al, 1996; Denhardt, 1981; Dunleavy et al, 2006; Osborne and Gaebler 1993; Simon, 1976).

As the citizen/customer role and their satisfaction have gradually been embracing the specific issues of New Public Management, the public administration policy makers have begun to examine instruments and models that focus on quality. The attention has therefore fallen on approaches which, by now long established in the private sector, aim to improve the 'internal' effectiveness and efficiency of organisations and the 'external' satisfaction of the customer through typical management procedures based on *Total Quality Management (TQM)*.

If there has been a delay in bringing Quality into Public Administration compared with the private sector, this delay has certainly been longer, and more serious, in Italy than in other countries: indeed, it would not be out of place to point out that in the 1980s - while elsewhere tough structural reforms were being put in place in public sectors - Italian public debt was careering towards an explosion, the bitter consequences of which are still being felt today.

But now, for almost twenty years, the implementation process of quality principles within PA has also been underway in Italy, having been encouraged by laws, regulations and various directives, initially within processes based primarily on other needs - but nevertheless belonging to the broad concept of quality - such as "modernisation", "transparency" and "simplification" (e.g. Law 241/90, Law 273/95 and Law 127/97), which have more recently assumed a leading role. For example, this last

phase includes the Directive of March 2004 of the Minister of Public Service (Luigi Mazzella) on quality surveys among citizens, which aimed to promote, disseminate and develop quality survey methods as seen by users, thereby encouraging public administrations to abandon self-referencing. Following in its footsteps came the Directive of December 2006 of the Minister of Public Service (Luigi Nicolais) "For Quality Public Administration", which aimed to persuade local administrations to adopt effective reference models and instruments to strive for continuous improvements in performance. This document freely used the typical terminology of an approach based on Total Quality Management and for the first time in a ministerial directive explicit reference was made to the Common Assessment Framework (CAF), which we will discuss later on, as a quality management model within an organisation. The regulatory path towards quality in Italian public administration was completed when Legislative Decree No 150/2009 came into force, which was signed by Minister Renato Brunetta (as such, it is better known as the "Brunetta reform"). This decree envisaged a comprehensive PA reform and set out the preconditions for a real "revolution" within PA, introducing aspects and instruments which typically characterise private companies to improve the performances of public administrations. The current debate on the modernisation of Italian public administration, which has found renewed vigour in recent months, should help to accelerate this reform in concrete terms.

Legislative Decree No 150 of 2009 (implementing the "Brunetta reform" No 15/2009) forms a very important, high-impact measure for Italian public administration, imposing a behavioural transformation among all actors in the public sector. In terms of its language and concepts, Legislative Decree No 150/2009 introduces a still relatively unknown term to Italian legal traditions: that of *performance*. Performance can be defined as the contribution (the results and the methods for achieving that result) which an entity (an individual, group of individuals, organisational unit, organisation, programme or public policy) brings through its work to achieving the purposes and objectives and, ultimately, to fulfilling the requirements for which the organisation has been set up. The reform requires that each public administration body measures and assesses its own performance in order to ultimately improve the quality of the services offered and to increase its professional skills by promoting those who deserve it and providing bonuses for the results achieved by individuals and organisational units. The obligation of

setting measurable and challenging objectives on various aspects of performance (efficiency, customer satisfaction, modernisation, quality of relationships with citizens, etc) represents one of the challenges of the reform since it puts the citizen at the centre of the planning and reporting; furthermore, the administrations have to present a yearly report on the results obtained, highlighting the objectives achieved and explaining any deficiencies, all while complying with the principle of transparency which requires the full involvement of citizens and stakeholders.

At this stage, it is not appropriate or necessary to examine in detail all the new features proposed by the Brunetta reform, but it would undoubtedly be useful to at least schematically outline the phases of the "performance management cycle", which represents the key concept behind the decree with reference to quality standards.

The activities constituting the performance management cycle can be attributed to six phases organised according to logical and temporal criteria. The phases are as follows:

- defining and setting the objectives to be achieved, the expected values of the result and the respective indicators;
- connecting the objectives with the allocation of resources;
- monitoring throughout the cycle and implementing any corrective measures;
- measuring and assessing organisational and individual performances;
- using bonus systems, based on criteria for promoting those who deserve it;
- reporting results to administrative and political guidance bodies, to administration senior management, as well as to the competent external bodies, citizens, concerned parties, users and recipients of the services.

Therefore the performance management cycle is organised into the programming, planning, monitoring, assessing and measuring phases, with the final outcome being the awarding of bonuses and the drafting of reports at various levels within public administration, and among citizens and stakeholders.

The CAF European model for public administrations

CAF is an acronym that stands for Common Assessment Framework:

- framework, since the model is organised into a framework that is used as a guide for analysis;
- common, because it is designed to be adopted in general by public administrations at European level;

- assessment, since the research is conducted by the organisations themselves to identify their own weaknesses to be corrected and improved.

The CAF is therefore a management instrument for organisations, which has been specially made to promote the culture of quality, the adoption of instruments connected to TQM and the dissemination of self-assessment activities in European Union public administrations.

The development of the CAF, which had already begun in 1998, is the result of a desire for cooperation among the Ministers of Public Service of the European Union, which has benefited from the work of a group of European experts, as well as from its collaboration with the EFQM (*European Foundation for Quality Management*), the *German University of Administrative Science* in Speyer and the EIPA (*European Institute for Public Administration*).

The structure of the CAF has taken its shape and substance from the EFQM model for excellence which, when the CAF was created, already represented a widespread, commonly used reference model by European businesses. Based on solid, but not perfect, estimates, we can confirm that the CAF represents the EFQM model 'translated' for public administrations. In reality, the need for a model based on TQM principles, and specifically aimed at PA, has emerged from the experiences of public organisations which have adopted the EFQM model: in many cases, they have widely benefited from using the model, but at the same time they have brought many aspects to light which made it difficult to implement within public administrations. The time had therefore come to create a *Total Quality Management* model which was designed and perfectly functional to the specific features of the public sector.

A first pilot version of the CAF appeared in Lisbon in 2000 at the First Quality Conference for PA organised by the EUPAN (*European Public Administration Network*), but the real launch of the model came in 2002 (*Second Quality Conference*, Copenhagen). In addition to these conferences, meetings have also taken place that were specifically dedicated to the CAF, the "CAF European events", the first of which was held in Rome in 2003. On the one hand, this set of initiatives helped disseminate the model within European public administration facilities and, on the other hand, allowed the first exchange of experiences linked to the concrete use of the instrument in organisations and to the problems which it entailed. This aimed to understand, alongside the stimulus for adopting the model, which improvements could be made to make

the model more suitable for the needs and typical nature of public administrations. This therefore led to the second review of the CAF model, thanks in part to the information obtained from several surveys conducted by the EIPA, which produced the 2006 version that was presented in Tampere, in Finland, during the Fourth Quality Conference for PA. The review process for the model then took place and the final version was submitted at the 5th CAF European event held in Oslo in September 2012: the “2013 CAF” therefore represents the current version of the model.

The CAF has proven to be a great success in terms of its dissemination: the EIPA estimates that to date over 2500 organisations in the public sector in Europe have used the model since it was introduced. This is certainly an important result, especially when we take into account the commitment required to adopt the model: in fact, it involves an adjustment in one’s cultural approach – even before the managerial approach – which is firmly established, in particular, in the public sector, not to say set in stone. The warm welcome which the CAF has received, including as the preferred instrument in public policies for PA renewal in various countries, has persuaded the EIPA to launch and/or favour support and dissemination initiatives that are connected to the use of the CAF. Following in this vein came the *CAF Resource Centre*, created back in 2001, and *CAF External Feedback*, established in 2009. The main task of the CAF Resource Centre is to develop and update the CAF database, systematically gathering the experiences of European public organisations and serving as a central hub for identifying and exchanging “best practices”; while the objective of CAF External Feedback is to provide expert external support to any individual facilities who decide to adopt the CAF, in order to help them use the model and to enhance its effects, including by involving

the organisations in potential bonus schemes and other forms of recognition.

All the projects and initiatives linked to the CAF – at European and national levels – prove that it is an instrument which European public administrations will increasingly refer to in the future when renewing and falling in line with TQM principles and models. As we shall highlight later on, Italy is one of the European countries where the CAF has received more significant attention and has been more widely disseminated.

The structure of the model

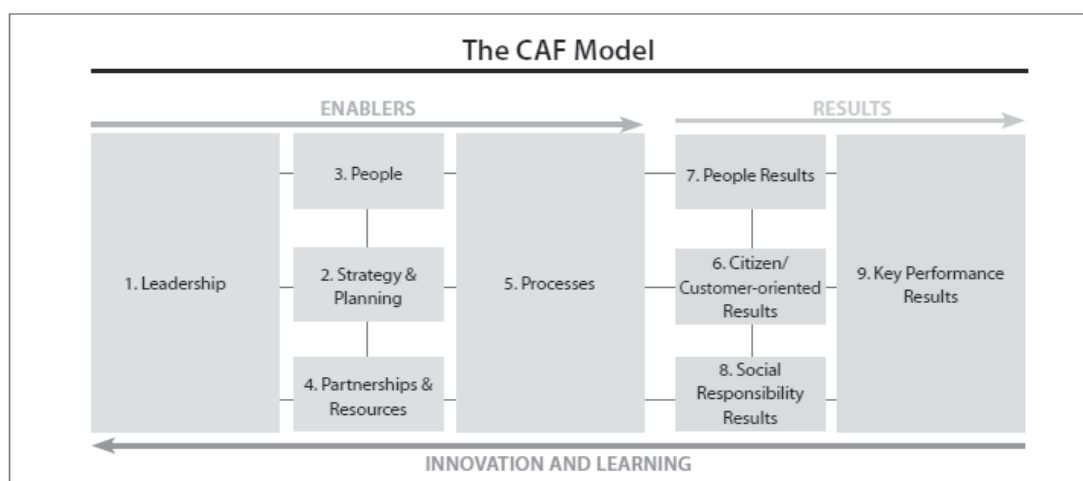
First and foremost, the CAF is a self-diagnosis instrument for public organisations. Self-assessment is therefore the essence of the model: the identification of internal strengths and weaknesses represents an essential condition for the basis behind the subsequent phase of preparing the improvement plan, using the logic of the Deming Cycle of PDCA (Plan, Do, Check, Act).

The CAF has four main goals:

- a) to introduce public administrations to TQM principles and to progressively guide them through the use and comprehension of the self-assessment process, from the general sequence of *Plan-Do* to the fully integrated PDCA cycle;
- b) to facilitate the self-assessment of a public organisation in order to carry out a diagnosis and to make any improvements;
- c) to act as a bridge between the various models in use for quality management;
- d) to facilitate *benchlearning* among organisations in the public sector.

The CAF has been designed to be used in all types of public organisations and for different areas of application. It is therefore a generic, flexible and easily adaptable instrument.

Below we will describe the structure of the CAF 2013 model.



As the figure shows, the CAF is organised into 9 criteria: the first 5 belong to the area of the so-called “enablers” and the other 4 to the area of the “results”. Each criterion is then divided into two or more “sub-criteria”, 28 in total, which definitively represent the specific analysis areas for the self-assessment activities (and for assigning the relative scores).

The structure of the model clearly embodies the principle of “results orientation”, which is already part of the EFQM model for excellence. Results orientation is the principle which comes above quality orientation, and in this sense it represents the most innovative idea behind the concept of excellence, not so much for its originality as an absolute principle, because it is not about originality, but rather for its weight and for the message which it incorporates. For the first time, results become essential and indispensable for a TQM-based management approach. We should explain this better. Generally speaking, principles and approaches, along with the models which incorporate them, are prescriptive of a certain behaviour: namely they are based on a precept, which is considered a preliminary step to achieving the objective. The problem is that typically this prescriptive approach does not include the results. It therefore does not cover the concrete effects that it produces. It is as though, however, the precept is always deemed correct and the failures are justified on the basis of its poor application. The principle of results orientation cleans up these ambiguities and is consequently very important. Organisations are very clearly asked to adopt survey methodologies, process monitoring and measurement instruments that can provide data and results on the concrete and operative achievements linked to management approaches. With this in mind, the result assumes a completely new significance, given that results and approaches are assessed and interpreted interdependently: the result no longer just represents an “output” of the organisation’s processes, in a general sense, but also an “input” to serve as a basis for the redevelopment of management approaches. However, to achieve this, organisations need to perform the fundamental and critical conceptual transition of acquiring a “culture of results”, which integrates and surpasses the “culture of quality”: this is the challenge which public administrations are faced with today.

The content of the criteria of the model

For a more in-depth view of the specific contents of the criteria and sub-criteria of the model, we recommend consulting the CAF

2013 paper, which has been published in most European languages and can also be easily found on many websites (for example, www.eipa.eu). Here we shall limit ourselves to a brief presentation of the 9 criteria.

1) *Leadership*. The ability of managers to display leadership, which is something very different from simply being in charge of a facility, is commonly recognised as the key element in promoting and systematically using TQM instruments and models aimed at the continuous improvement of the organisation. Furthermore, the first criterion includes the self-assessment regarding the ability of leaders to build the identity of the organisation, guiding it by defining and developing the mission (what we want to be), the *vision* (what we want to do and where we want to go) and the fundamental values for long-term success.

2) *Strategy and planning*. Criterion 2 refers to the self-assessment of the process through which the organisation translates its *mission* and *vision* into strategies, policies and concrete objectives. To achieve this, the organisation must skilfully balance public policies with the present and future expectations and needs of the stakeholders. Objectives and strategies must then be translated into action plans, which can be used to obtain measurable results for continuous improvements: by constantly monitoring results it helps to ensure they are in line with policies and strategies and to work on them, keeping them up-to-date and altering them when necessary.

3) *People*. Criterion 3 tackles one of the most critical factors for a public organisation, analysing how it achieves its *mission* and *vision* by managing and developing human resources, i.e. the repositories of the facility’s *know-how*. In particular, human resources management policies must be assessed by enhancing the main characteristics of people and their subsequent allocation within the organisational structure, as well as by developing skills, especially through suitable training plans and, in general, all the support activities to fully fulfil the potential of staff in order to promote their well-being, in line with the organisation’s strategic objectives.

4) *Partnerships and resources*. Criterion 4 refers to the fundamental resources for achieving the *mission* and *vision*, when they are different from people: on the one hand, by *partnerships*, which allow strategies to be executed and, on the other hand, by the various *assets*, whether tangible or intangible, which allow the operability of the processes to be concretely fulfilled. For example, a particularly significant

resource is represented by the information and knowledge distributed within the organisation, which must be suitably managed so they are selectively accessible and available for staff to help them perform their jobs in full.

5) *Processes*. Criterion 5 analyses how the organisation identifies, manages, develops, improves and innovates its own key processes that are aimed at supporting and implementing its policies and strategies. It is important to bear in mind that in public organisations the typical distinction between the main processes (those directly connected to the provision of products or services), the support processes, which provide the necessary resources for the main processes (partnership management, human resources management, knowledge management, etc) and the management processes (leadership, planning, organisational structure, etc) could have blurred boundary lines, but nevertheless – similarly to the previous criteria – the role should always be assessed and interpreted which the political side plays in different situations, either as an incentive or an obligation to carry out the organisation's activities.

6) *Citizen/customer-oriented results*. Criterion 6 examines the results which the organisation achieves in relation to the level of satisfaction of its citizens/customers, either as a whole or with regard to the specific products/services which it provides. Citizens/customers mean the people (users, students, patients, etc), companies, associations and, in general, all the public and private facilities which receive products and services from the organisation.

7) *People results*. Criterion 7 is the basis for which the organisation is required to carry out a self-assessment for the results that it obtains regarding the development of the skills, motivation, satisfaction and *performance* of its own staff.

8) *Social responsibility results*. Criterion 8 refers to the results which the organisation obtains in meeting the needs of the local, national and international communities, depending on its own characteristics and regional context. For example, this might include measurements of the external perception regarding the organisation's contribution to the quality of life, the environment and the conservation of global resources, as well as the internal measurements which the organisation carries out to check the effectiveness of its own social contribution.

9) *Key performance results*. Criterion 9 takes into account the external results which the organisation achieves, such as those regarding the effects of the strategies and policies on meet-

ing the needs and expectations of stakeholders, and in terms of its internal results, such as those which the organisation obtains in its management and improvement processes. The measurements taken into account in this sub-criterion are closely correlated to criteria 2, 4 and 5.

As we have mentioned, each criterion is divided into sub-criteria, which represent the specific reference for the concrete self-assessment activities (and for the allocation of scores, as we will explain later on). To simplify this activity, the CAF 2013 manual offers each sub-criterion a list of examples to be used as a guide. Naturally, not all of the examples should be seen as relevant for every circumstance and for each facility or study area. It depends on the ability and experience of the person carrying out the self-assessment to understand which examples are relevant or not.

Conclusive remarks

As we already said before, the CAF model have been widely used and diffused in many European countries and in all kinds of public administrations. Italy represents one of the countries where the model is used in a large scale. This occurred because the Italian Department of Public Administration has implemented a policy strongly directed to the diffusion of CAF in public administration, both through initiatives focused on the generality of the Italian public administration, as the Awards for Quality in Public Administrations (PQPA), and with programs particularly related to specific areas, such as the project called ForMiur addressed to the sector of public education.

The concrete experiences in using CAF model, allowed to bring out clearly the main areas of weakness of the public administrations, which in most cases have begun their journey along the path of quality just through the implementation of the CAF and the preparation of their first reports of self-assessment. For almost all the authorities involved, it has not been an easy task to deal with the CAF model. As we have seen, the CAF is an ambitious model that can not work without the existence, in the organization, of a sufficient «quality culture», that is only possible with an adequate training on the principles of TQM.

In a forthcoming article we will present some of the experiences of the use of CAF in the Italian public administrations, in order to bring out the main strengths and weaknesses emerged, also in the perspective of a comparison with the reality of the Russian public administrations.

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QUALITY AND RENEWAL OF PUBLIC ADMINISTRATION: THE TQM APPROACH AND THE CAF EUROPEAN MODEL

As the citizen/customer role and their satisfaction have gradually been embracing the specific issues of New Public Management, the public administration policy makers have begun to examine instruments and models that focus on quality. The attention has therefore fallen on approaches which aim to improve the 'internal' effectiveness and efficiency of organisations and the 'external' satisfaction of the customer through typical management procedures based on Total Quality Management (TQM). In order to introduce the principles of TQM in Public Administration, the Common Assessment Framework (CAF) model has been used. CAF is a management instrument for organisations, which has been specially made to promote the culture of quality, the adoption of instruments connected to TQM and the dissemination of self-assessment activities in European Union public administrations. The structure of the CAF has taken its shape and substance from the EFQM (European Foundation for Quality Management) model for excellence which, when the CAF was created, already represented a widespread, commonly

used reference model by European businesses. Based on solid estimates, we can confirm that the CAF represents the EFQM model 'translated' for public administrations. Italy is one of the European countries where the CAF has received more significant attention and has been more widely disseminated. This paper aims to introduce the CAF model, highlighting its main structure and principles, in order to show how this may adequately meet the needs of quality coming from a public administration. The use of CAF model in the Italian public administration may, therefore, be considered as a benchmark for other administrations.

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