

# The CAF Model and its practical Application in a Training and Assessment Division of the Hainan Province

The Common Assessment Framework (CAF) is a total quality management tool (TQM) specifically designed for the development of TQM in public sector organizations. It is based on the premise that excellent results in organizational performance, citizens/customers, people and society are achieved through leadership to drive strategy and planning, people, partnerships, resources and processes. Strategy and planning enable public sector organizations to implement their mission and vision by aligning public policies/goals and other stakeholders' needs, supported by a continuously improving management of resources and processes. The strategy is translated into plans, objectives and measurable targets. Planning and strategy also reflects the organization's approach to implementing modernization and innovation.

Strategic thinking changes the traditional Weberian bureaucratic administration into a result-oriented (output and outcome) organization. However, many public administrations struggle with this transition. They have little or no experience in strategic thinking and do not know how to handle it.

**Institutional Performance Assessment is Part of the Institutional Development Cycle**

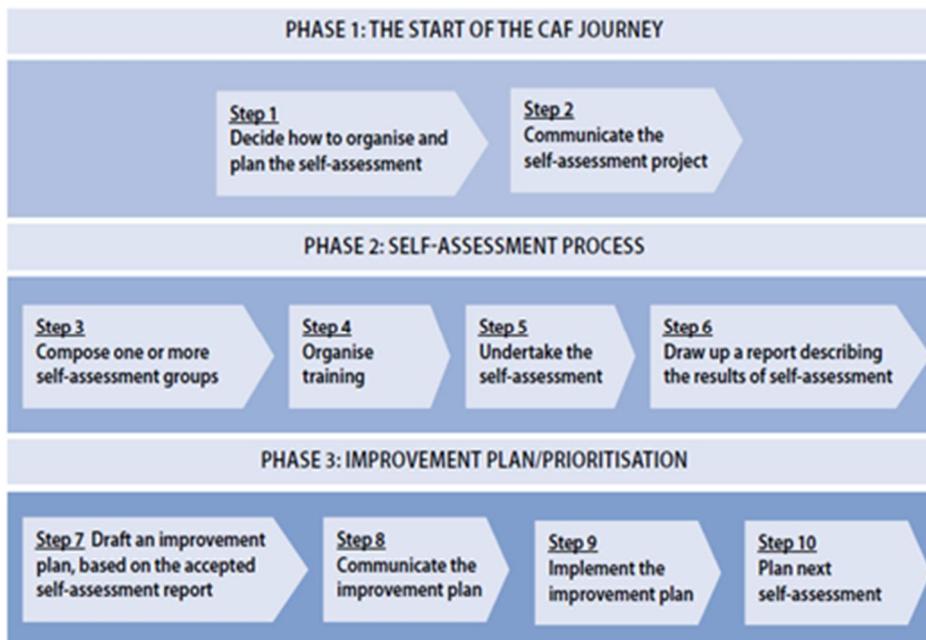


**Assessing Performance takes place at the strategic, operational and individual level**

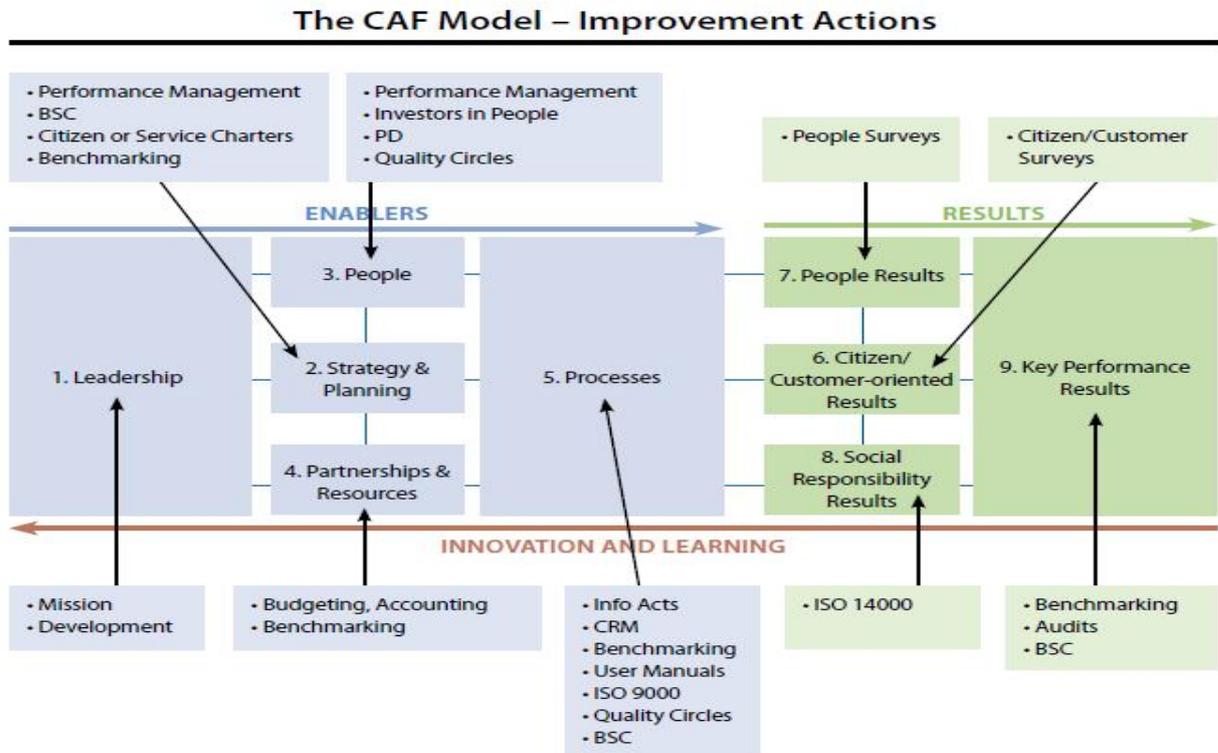


The CAF Model makes a difference between enablers ( Leadership, People, Strategy and Planning, Partnership and Resources ) to be analyzed and the results ( People, Citizen/Customer, Society, Key performance on its products ) to be achieved in an administration.

The self assessment cycle goes through ten steps as follows:



The indicators for the results have in first instance a quantitative basis and in second instance they are quality based. The indicators for the enablers are in first instance quality based and in second instance they are quantitative especially regarding the processes like cycle time of business processes.

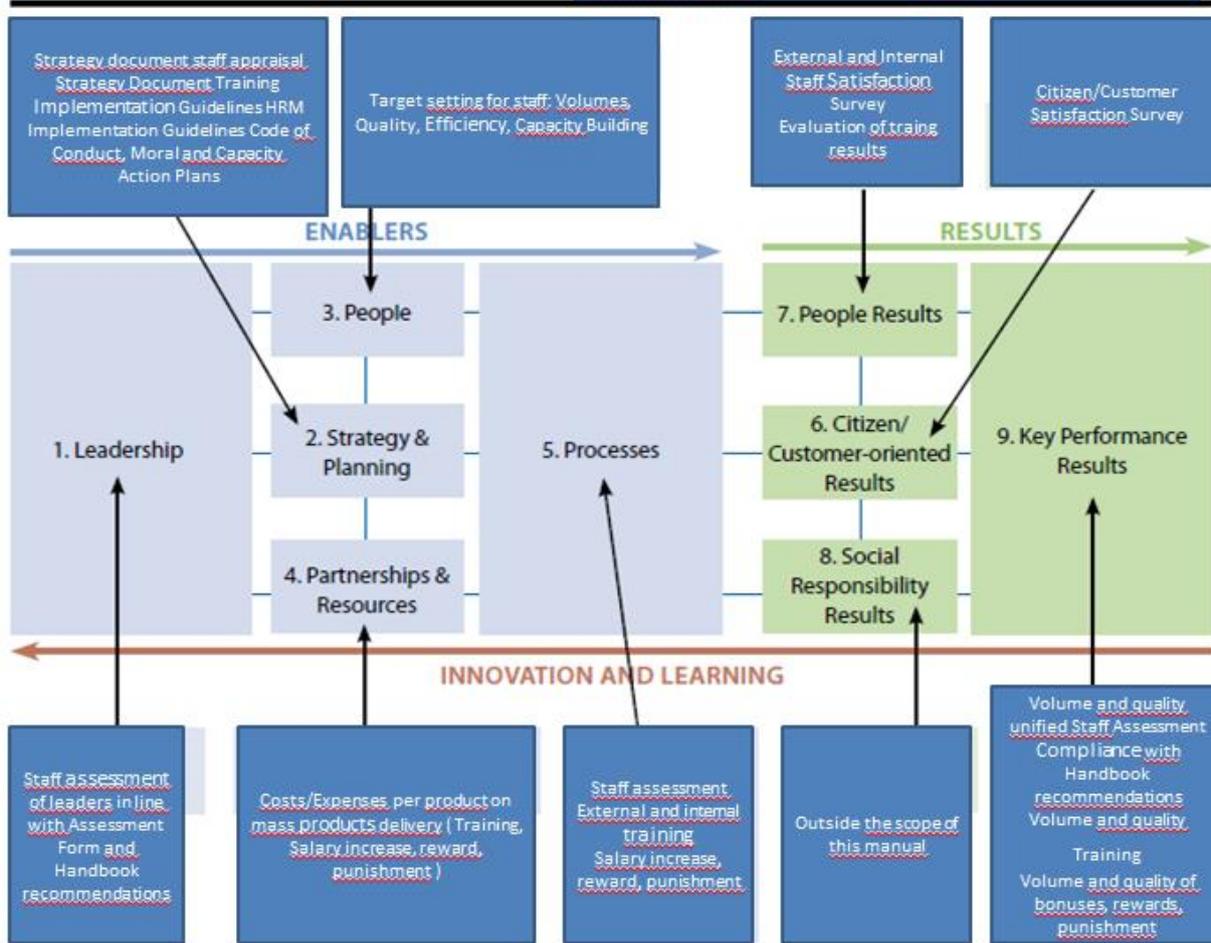


The Hainan Division of Staff Assessment and Training occupies 6 staff member and has defined its products as follows:

- “ Staff Performance Assessment Policy and Procedures developed and introduced
- “ Quality of Performance Assessment and Supervision of staff
- “ Supervision of implementation of policies and regulations for the HRM as a whole
- “ Implementation of policies on code of conduct, moral construction and capacity building
- “ Training Policy developed and introduced
- “ Training of external and internal Customers
- “ Salary Increase , Award and Punishment prepared

If this division applies the CAF-Model it needs Strategic Policy Documents, Guidelines, Process Information and Quantative and Qualitative Indicator as shown the following picture.

## The CAF Model – Hainan Staff Assessment and Training Division



If we are measuring Quantity we can use the following Volume Based Indicators for the assessment and training division of the Civil Service Bureau brought forward from Staff assessment.

- “ Number of training courses held measured against original target, Number of course days held
- “ Number of participants per course, as an average for all courses and as a sum of all participants
- “ Percentage of participation and time spend in E-Learning Courses
- “ Number of salary increases, other rewards and punishments and percentages
- “ Cycle time of typical business processes
- “ Volume of internal Customer Assessments
- “ Volume of Staff Assessments in comparison with the actual number of staff
- “ Number of Applications for Staff Recruitment
- “ Number of Applicants evaluated personally
- “ Number of Staff recruited
- “ Number of Staff administered in various dimensions
- “ Vacancy Rates of staff
- “ Illness and Attendance Rates

If we are measuring quality the following indicators could be applied to the assessment and training division:

Success Rate of Appeal against legal decisions

Approval Rate: % of approvals regarding draft documents by government

Customer Satisfaction Survey: A survey with a customer measuring the customer satisfaction after a service has been delivered to the customer.

Staff Satisfaction Survey

Training/Seminar Evaluation: A survey measuring the success rate of trainings/seminars based on the perceived opinions of the participants.

- “ Other Surveys. Surveys in other specialised service areas like publications, library and IT to measure the perceived quality of the service
- “ Quality Compliance Tests: Tests made by management functions evaluating the quality of the services delivered.
- “ Check List Compliance Tests: Tests made by the management and/or internal quality audit evaluating compliance with check lists to be followed during service delivery
- “ Internal Quality Audit: Systematic and independent examination to determine whether quality activities and related results comply with planned arrangements, and whether these arrangements are implemented efficiently, effectively and are suitable to achieve objectives

We are suggesting to set up as a summary indicator system for the steering function of the Civil Service Bureau where the division is a part as follows:

#### **Qualified, motivated, flexible Personnel**

- “ Training of staff/leader
  - “ % of Personnel Costs
  - “ Number of days for staff/leaders
  - “ % of staff/leaders participation
  - “ Performance of Training unit in the internal and external training
- “ % achievement of targeted internal staff fluctuation
- “ Age structure in line with the target

- “ Staff Survey of job satisfaction

### **Attractivity of the working place**

- “ % of turnover to other organisations
- “ % achievement of targeted internal mobility during the first year
- “ % of applicants in comparison with open positions
- “ Vacancy Rate at the staff position

### **Optimisation of Personnel Costs**

- “ Costs of typical personnel administrative services
- “ % of staff being ill
- “ % of deviation from budgeted personnel costs
- “ Actual staffing in comparison with planned staffing
- “ Attendance Rate of staff
- “ Income generated

### **Equal access**

- “ % of women in leading positions for different levels and branches
- “ % of handicapped occupied

### **Performance Improvement**

- “ Compliance Rate and Coverage of Staff Assessment
- “ Project Performance of a planned unified system for staff assessment

We finally have proposed for the Assessment and Training division a Project plan for the further development and introduction of a unified Staff Assessment System as follows. This Project Plan can be used to measure the success of this project in terms of achievement and time

<b>Overall Objective</b>	<b>Objectively verifiable indicators</b>	<b>Sources of verification</b>	<b>Assumptions</b>
Staff Performance Improved	Results from external and internal Customer Survey	Reports	
<b>Project Objective</b> Unified Staff Assessment System for the Headquarters of the Provincial Administration introduced	<b>Objectively verifiable indicators</b> Governor approves introduction starting 01.01.2016 Quality in line with Manual %Performance Assessment of Staff+	<b>Sources of verification</b> Hainan Province Reporting to the Ministry of Human Resources Presentation at Conferences	<b>Assumptions</b>
<b>Results</b>	<b>Objectively verifiable indicators</b>	<b>Sources of verification</b>	
1. Development of a unified Staff Assessment System in the headquarter of the Provincial Administration 2. Development and Introduction of a pilot staff assessment system in the Civil Service Bureau of Hainan Province	Governor approves introduction starting 01.01.2016 Quality in line with Manual %Performance Assessment of Staff+ General Director approves introduction starting 01.01.2015 Quality in line with Manual %Performance Assessment of Staff+	EU Project Reporting until 31.12.2014 Hainan Province Reporting to the Ministry of Human Resources	
<b>Activities Result 1</b>	<b>Activities Result 2</b>		
1.1 The deputy director of HR drafts and recommend Guidelines and Procedures for a unified performance evaluation system for employees until 30.06.2014 1.2 The director of HR makes appropriate revisions and submits the draft procedure to the Governor for review and approval until 15.07.2014 1.3 After a positive decision of the Governor ( until 31.07.2014 ) the HR management team convenes a focus group of stakeholders to work on the details of the Staff Performance Appraisal until 31.10.2014 with a focus on job description and staff performance assessment 4. The Deputy Director submits a detailed instruction for the further approval process until 30.11.2014 5. After a positive decision of the Higher Authorities leading staff of 35 departments are trained until 31.12.2015	2.1 The Deputy Director asks approval to conduct a pilot implementation in the Civil Service Bureau of the Province with the General Director and the Governor until 30.06.2014 2.2. An internal working group of the Civil Service Bureau develops the key documents ( Job Description Form, Performance Assessment Form ) until 30.08.2014 2.3 The DD asks the GD for an approval of the key document 2.4 After a positive decision of the GD the staff of the Department is trained in the practical application of the Performance Assessment. 2.5. Superiors set Baselines and Target until 0.5.12.2014 2.6. Staff assessment unit conducts quality control until 13.12.204		