

Common Assessment Framework (2020)

Stand: 27.03.2020

Criterion 1: - Leadership - Consider what the organisation's leadership is doing to achieve the following.

Subcriterion 1.1 - Provide direction for the organisation by developing its mission, vision and values

Examples

a	Set a clear direction for the organisation by developing the mission, vision and values, involving relevant stakeholders and employees.
b	Ensure that European public sector principles and values such as integrity, transparency, innovation, social responsibility and inclusion, sustainability, diversity and gender aspects are in the mainstream of the organisation's strategies and activities.
c	Ensure that mission, vision and values are in line with local, national, international and supranational strategies taking into account digitalisation, public sector reforms and common European agendas (e.g. SDGs, EU2020, better regulation).
d	Ensure the wider communication and dialogue about the mission, vision, values, strategic and operational objectives to all employees in the organisation and to other stakeholders.
e	Ensure organisational agility by periodically reviewing the mission, vision, values and strategies reflecting changes in the external environment (e.g. digitalisation, climate change, public sector reforms, demographic developments, impact of smart technologies and social media, data protection, political and economical changes, social divisions, customers' differentiated needs and views).
f	Prepare the organisation for the challenges and changes of digital transformation (e.g. digitalisation strategy, training, guidelines for data protection, appointment of DPO).

Subcriterion 1.2 - Manage the organisation, its performance and its continuous improvement

Examples

a	Define appropriate managerial structures, processes, functions, responsibilities and competencies ensuring the organisation's agility.
b	Steer the improvement of the organisation's management system and performance in accordance with the expectations of stakeholders and customers' differentiated needs.
c	Define the management information system with input from the internal control and risk management system.
d	Set targets and use a balanced set of results and outcomes to measure and evaluate the performance and impact of the organisation, prioritising customers' and citizens' differentiated needs.
e	Ensure good internal and external communication in the whole organisation and use new means of communication including social media.
f	Develop a management system that prevents corruption and unethical behaviour, but also supports employees by providing compliance guidelines.

Subcriterion 1.3 - Inspire, motivate and support people in the organisation and act as a role model

Examples

a	Inspire through an innovation-driven leadership culture based on mutual trust and openness.
b	Lead by example, thus personally acting in accordance with established objectives and values (e.g. integrity, sense-making, respect-fulness, participation, innovation, empowerment, precision, accountability, agility).
c	Promote a culture of mutual trust between leaders and employees with proactive measures to counter any kind of discrimination, encouraging equal opportunities and addressing individual needs and personal circumstances of employees.
d	Inform and consult employees regularly on key issues related to the organisation.
e	Empower and support employees providing them with timely feedbacks in order to improve their performance.
f	Promote a learning culture, stimulate employees to develop their competences and to adjust to new requirements (by preparing for the unexpected and by learning quickly).

Subcriterion 1.4 - Manage effective relations with political authorities and other stakeholders

Examples

a	Analyse and monitor the stakeholders' needs and expectations including relevant political authorities.
b	Assist the relevant political authorities in defining the public policies related to the organisation.
c	Align the organisation's performance to public policies and political decisions.
d	Maintain proactive relations with the political authorities from the appropriate executive and legislative areas.
e	Manage partnerships with important stakeholders (citizens, non-governmental organisations, interest groups and professional associations, industry, other public authorities, etc.).
f	Raise public awareness, reputation and recognition of the organisation, and develop a concept of marketing focused on stakeholders' needs.

Criterion 2: - Strategy and Planning - Consider what the organisation is doing to achieve the following.

Subcriterion 2.1 - Identify the needs and expectations of the stakeholders, the external environment and the relevant management information

Examples

a	Observe and analyse the external environment regularly including legal, political, demographic change and digitalisation, as well as global factors like climate change as inputs for strategies and plans.
b	Identify all relevant stakeholders and analyse information about their current and future needs, expectations and satisfaction.
c	Analyse public sector reforms, at national and European level, to define and review effective strategies.
d	Analyse the performance and capability of the organisation, focusing on internal strengths, weaknesses, opportunities and threats/risks.

Subcriterion 2.2 - Develop strategies and plans based on gathered information

Examples

a	Develop the strategy by defining long- and short-term priorities and goals in line with the vision and the national and European strategies.
b	Involve stakeholders and use information about their differentiated needs and views to develop strategies and plans.
c	Integrate aspects of sustainability, social responsibility, diversity and gender mainstreaming in the strategies and plans of the organisation.
d	Develop plans by defining priorities, objectives and outputs (the products and services provided) and outcomes in line with the mission and public sector reform.
e	Ensure the availability of resources for an effective implementation of the plan.

Subcriterion 2.3 - Communicate, implement and review strategies and plans

Examples

a	Translate the strategies of the organisation into relevant plans, tasks and targets for units and individuals.
b	Develop plans and programmes with targets and results for each organisational unit with indicators for the expected results.
c	Communicate strategies, performance plans and intended/achieved results of the organisation internally and to all relevant stakeholders.
d	Monitor and evaluate the performance of the organisation at regular intervals at all levels (departments, functions, organisational chart) to control efficiency, effectiveness and the strategies' implementation levels.

Subcriterion 2.4 - Manage change and innovation to ensure the agility and resilience of the organisation

Examples

a	Identify needs and drivers for innovation considering the opportunities and pressure of digital transformation.
b	Communicate the organisation's innovation policy and results to all relevant stakeholders
c	Build an innovation-driven culture and create scope and space for cross-organisational development.
d	Manage change effectively and inform and involve employees and stakeholders at an early stage.
e	Implement systems for generating creative ideas and encourage innovative proposals from employees and stakeholders at all levels supporting exploration and testing.

Criterion 3: - People - Consider what the organisation is doing to achieve the following.

Subcriterion 3.1 - Manage and improve human resources to support the strategy of the organisation

Examples

a	Analyse current and future human resource needs in line with the strategy of the organisation.
b	Develop and implement a transparent HR policy based on objective criteria for recruitment, promotion, remuneration, development, delegation, responsibilities, rewards and the assignment of managerial functions, in accordance with the organisation's HR principles.
c	Implement the principles of fairness, political neutrality, merit based, equal opportunities, diversity, social responsibility and work-life balance in the HR policy and review the necessity for promoting women's careers and develop plans accordingly.
d	Ensure the necessary competences and capabilities to achieve the mission, vision and values of the organisation are in place, especially focusing on social skills, agile mindset, and digital and innovation skills.
e	Support a performance culture by defining performance goals shared with the people and monitoring the performance systematically, and conduct performance dialogues with the people.

Subcriterion 3.2 - Develop and manage competencies of people

Examples

a	Implement a human resource development strategy/plan based on identified current and future competence, skills and performance requirements of people.
b	Attract and develop the talents necessary to achieve the mission, vision and objectives.
c	Enable new and innovative forms of learning to develop competencies (design thinking, teamwork, labs, experiments, e-learning, on-the-job learning).
d	Establish individual competence development plans including personal skills (e.g. openness for innovation) as part of the regular performance interview (employee development interview), which provides a forum for mutual feedback and matching expectations.
e	Create specific programmes and training for leadership development including public management instruments.
f	Guide new people by means of mentoring, coaching and individual counselling.
g	Develop and promote modern training methods (e.g. multimedia approach, on-the-job training, e-learning, using social media).
h	Assess the impacts of training and development programmes on the organisational goals and transfer of content to colleagues.

Subcriterion 3.3 - Involve and empower the people and support their well-being

Examples

a	Promote a culture of open communication and dialogue, and encourage teamwork.
b	Involve employees and their representatives (e.g. trade unions) in the development of plans, strategies, goals, the design of processes, and in the identification and implementation of improvement and innovation activities.
c	Develop systems for gathering ideas and suggestions from employees.
d	Regularly conduct staff surveys, publish and give feedback on the results, their analysis and on the derived improvement actions.
e	Ensure good environmental working conditions throughout the organisation including taking into account all health and safety requirements.
f	Ensure that conditions are conducive to achieving a reasonable work-life balance for employees (e.g. the possibility to adapt working hours, part-time working, people on maternity or paternity leave).
g	Pay particular attention to the needs of socially disadvantaged employees and people with disabilities.
h	Provide adapted schemes and methods for rewarding people in a non-financial way, (e.g. by planning and reviewing people's benefits and supporting social, cultural and sport activities focused on people's health and well-being).

Criterion 4: - Partnerships and Resources - Consider what the organisation is doing to achieve the following.

Subcriterion 4.1 - Develop and manage partnerships with relevant organisations

Examples

a	Identify key partners (e.g. purchaser-provider, supplier, co-production, complementary/ substitution product provider, owner, founder) from the private and public sector and civil society to build sustainable relationships based on trust, dialogue and openness.
b	Manage partnership agreements taking into account the potential of different partners to achieve mutual benefit and to support one another with expertise, resources and knowledge.
c	Define each partner's role and responsibilities including controls, evaluations and reviews; monitor results and impacts of the partnerships systematically.
d	Secure the organisation's principles and values by selecting providers with a socially responsible profile in the context of public procurement.

Subcriterion 4.2 - Collaborate with citizens and civil society organisations

Examples

a	Ensure transparency by a proactive information policy, also providing open data of the organisation.
b	b. Actively encourage participation and collaboration with citizens: - co-design and co-decision: via consultation groups, surveys, opinion polls and quality circles; - co-production: taking over roles in service delivery; - co-evaluation
c	Actively seek ideas, suggestions and complaints of citizens/customers, collecting them by appropriate means (e.g. surveys, consultation groups, questionnaires, complaints boxes, opinion polls).

Subcriterion 4.3 - Manage finances

Examples

a	Ensure financial resilience through long-term budget planning, risk analysis of financial decisions and a balanced budget.
b	Implement performance budgeting (integrate performance data in budget documents).
c	Use effective financial cost accounting and controlling, and evaluation systems (e.g. spending reviews).
d	Monitor the effects of budgeting on diversity and gender mainstreaming.
e	Delegate and decentralise financial responsibilities and balance them with central controlling.
f	Ensure budgetary and financial transparency and publish the budget information in an easily understood way.

Subcriterion 4.4 - Manage information and knowledge

Examples

a	Create a learning organisation providing systems and processes for managing, storing, and assessing information and knowledge to safeguard the resilience and flexibility of the organisation.
b	Use the opportunity of digital transformation to increase the knowledge of the organisation and empower digital skills.
c	Establish learning and collaboration networks to acquire relevant external information and also to gain creative inputs.
d	Monitor the organisation's information and knowledge, ensuring its relevance, correctness, reliability and security.
e	Develop internal channels to ensure that all employees have access to the relevant information and knowledge.
f	Promote knowledge transfer between people in the organisation.
g	Ensure access to and exchange of relevant information and open data with all external stakeholders in user-friendly way, taking into account the specific needs.
h	Ensure that key (explicit and implicit) knowledge of employees who are leaving is retained within the organisation.

Subcriterion 4.5 - Manage technology

Examples

a	Design technology management in accordance with the strategic and operational objectives, and monitor its effect, cost-effectiveness and impact systematically.
b	Identify and use new technologies (big data, automatisisation, robotics, AI, data analytics, etc.) relevant for the organisation, implementing open data and open source application whenever appropriate.
c	Use technology to support creativity, innovation, collaboration (using cloud services or tools) and participation.
d	Define how ICT can improve internal and external services and provide online services in an intelligent way to meet stakeholders' needs and expectations.
e	Take actions to provide effective data protection and cyber security implementing the General Data Protection Regulation.
f	Take into account the socio-economic and environmental impact of ICT, e.g. waste management of cartridges, reduced accessibility by non-electronic users.

Subcriterion 4.6 - Manage facilities

Examples

a	Ensure effective, efficient and sustainable provision and maintenance of all facilities (buildings, offices, facilities, energy supply, equipment, means of transport and materials).
b	Provide safe and effective working conditions and use facilities, including barrier-free access in order to meet customers' needs.
c	Apply a life cycle policy in an integrated facility management system (buildings, technical equipment, etc.), including their safe re-use, recycling or disposal.
d	Ensure that the facilities of the organisation provide an added public value, (by putting them at disposal of the local community, for example).

Criterion 5: - Processes - Consider what the organisation is doing to achieve the following.

Subcriterion 5.1 - Design and manage processes to increase value for citizens and customers

Examples

a	Design lean processes around customer needs and views to ensure an agile organisational structure. Identify and document the processes on an ongoing basis.
b	Match the processes on a regular basis to the needs and expectations of employees and relevant stakeholders.
c	Design and implement a system for managing processes exploiting the opportunities from digitalisation, data-drivenness and open standards.
d	Ensure that the processes support the strategic goals and are planned and managed, allocating the needed resources to achieve the targets established.
e	Identify process owners (the people who control all the steps in the process) and assign responsibilities and competences to them.
f	Analyse and evaluate processes, risks and critical success factors regularly, taking into consideration the changing environment.
g	Simplify the processes on a regular basis, proposing changes in the legal requirements if necessary.
h	Drive process innovation and optimisation forward by paying attention to national and international good practices, involving relevant stakeholders.
i	Review and improve the processes to ensure the protection of personal data (General Data Protection Regulation, GDPR).

Subcriterion 5.2 - Deliver products and services for customers, citizens, stakeholders and society

Examples

a	Identify and design the products and services of the organisation and actively manage the full life cycle including recycling and re-use.
b	Use innovative methods for developing customer-oriented and demand-driven public services and focus on the once-only principle.
c	Apply diversity and gender management to identify and meet needs and expectations.
d	Involve citizens/customers and other stakeholders in the design and delivery of products and services, and in the development of quality standards.
e	Promote the products and services of the organisation and ensure appropriate information to assist citizens and customers.
f	Promote accessibility to products and services of the organisation (e.g. online accessibility of services, flexible opening hours, documents in a variety of formats e.g. on paper as well as an electronic version, appropriate languages, posters, brochures, Braille and audio notice boards).
g	Use customer surveys, complaint management procedures and other forms of feedback to identify potentials for optimising processes, products and services.

Subcriterion 5.3 - Coordinate processes across the organisation and with other relevant organisations

Examples

a	Create a culture for working across borders in the process management, getting out of a silo mentality.
b	Define the organisation's service delivery chains and its relevant partners.
c	Agree on common standards, facilitate data exchange and shared services to coordinate processes of the same delivery chain across the organisation and with key partners in the private, NGO and public sectors.
d	Involve employees, customers and stakeholders in cross-border design and collaboration.
e	Use partnerships at different government levels (municipalities, regions, state and the public companies) to enable the delivery of coordinated services.
f	Build in incentives (and conditions) for management and employees to create cross-organisational processes (e.g. shared services and common process development between different units).

Criterion 6: - Citizen/Customer-oriented Results - Consider what the organisation has achieved to meet the needs and expectations of customers and citizens through the results of the following.

Subcriterion 6.1 - Perception measurements

Examples

	General perception of the organisation
a	The overall image of the organisation and the public reputation;
b	The accessibility of the organisation;
c	The citizen/customer orientation of the staff;
d	The involvement and participation of the citizen/customer including e-participation;
e	The transparency, openness and information provided by the organisation;
	Perception of the services and products
f	The accessibility of physical and digital services;
g	The quality of products and services;
h	Differentiation of services taking into account customer needs;
i	The capabilities for innovation of the organisation;
j	The agility of the organisation;
k	The digitalisation in the organisation;
l	The integrity of the organisation and the general trust of the customers/citizens.

Subcriterion 6.2 - Performance measurements

Examples

	Results regarding the quality of products and services
a	Waiting time (handling/processing time of service delivery);
b	Number and processing time of complaints and corrective actions implemented;
c	Results of evaluation measures regarding errors and compliance with Q-standards;
d	Adherence to published service standards;
	Results regarding transparency, accessibility and integrity
e	Number of information and communication channels, including social media;
f	Availability and accuracy of the information;
g	Availability of performance goals and results of the organisation;
h	Extent of open data delivery;
	Results regarding stakeholder involvement and innovation
i	Extent of involvement of stakeholders in the design and the delivery of services and products and/or decision-making processes;
j	Number of suggestions received and implemented;
	Results regarding usage of digitalisation and e-government procedures
k	Extent of evaluation activities jointly with the stakeholders to monitor their changing needs and the degree to which they are satisfied;
l	Opening hours of the different services (departments);
m	Cost price of the services;
n	Availability of information concerning management responsibilities of the different services.

Criterion 7: - People Results - Consider what the organisation has achieved to meet the needs and expectations of its people through the results of the following.

Subcriterion 7.1 - Perception measurements

Examples

	General perception of the organisation
a	The image and the overall performance of the organisation;
b	People's involvement in the organisation, the decision-making process and improvement activities;
c	People's awareness of possible conflicts of interest and the importance of ethical behaviour and integrity;
d	The mechanism of feedback, consultation, dialogue and systematic staff surveys;
e	The organisation's social responsibility;
f	The organisation's openness for change and innovation;
g	The impact of digitalisation on the organisation;
h	The agility of the organisation;
	Perception of the management and management systems
i	The management's ability to lead the organisation and to communicate about it;
j	The design and management of the different processes of the organisation;
k	The division of tasks and the evaluation system regarding people;
l	The management of knowledge;
m	The internal communication and information measures;
n	The extent and the quality to which individual and team efforts are recognised;
	Perception of the working conditions
o	The working atmosphere and the organisation's culture;
p	The approach to social issues (e.g. flexibility of working hours, work-life balance, health protection);
q	The handling of equal opportunities, and fairness of treatment and behaviour in the organisation;
r	The working facilities;
	Perception of the career and skills development
s	Systematic career and competency development;
t	The access to and quality of training and professional development.

Subcriterion 7.2 - Performance measurements

Examples

	General people's results
a	Indicators regarding people's retention, loyalty and motivation;
b	The level of involvement in improvement activities;
c	The number of ethical dilemmas (e.g. possible conflicts of interest) reported;
d	The frequency of voluntary participation in the context of activities related to social responsibility;
e	Indicators regarding people's ability to respond to citizens'/customers' needs;
	Results regarding individual performance and capacities
f	Indicators regarding individual performance;
g	Indicators regarding the use of digital information and communication tools;
h	Indicators regarding skills development and training;
i	The frequency of recognising individuals and teams.

Criterion 8: - Social Responsibility Results - Consider what the organisation is achieving regarding its social responsibility, through the results of the following.

Subcriterion 8.1 - Perception measurements

Examples

a	The impact of the organisation on the quality of citizens'/customers' life beyond the institutional mission;
b	The reputation of the organisation as a contributor to local/global society;
c	The organisation's impact on economic development;
d	The organisation's impact on environmental sustainability, including climate change;
e	The organisation's impact on the quality of democracy, transparency, ethical behaviour, the rule of law, openness and integrity.

Subcriterion 8.2 - Performance measurements

Examples

a	The organisation's activities to preserve and sustain resources;
b	The frequency of the relationship with relevant authorities, groups and community representatives;
c	The amount and importance of positive and negative media coverage;
d	Support dedicated to socially disadvantaged and underprivileged citizens;
e	Support as an employer for a policy on diversity and on integration and acceptance of ethnic minorities and disadvantaged people;
f	Support for international development projects;
g	Shared knowledge, information and data with all interested stakeholders;
h	Programmes to prevent health risks and accidents for citizens/customers.

Criterion 9: - Key Performance Results - Consider the results being achieved by the organisation, in relation to the following.

Subcriterion 9.1 - External results: output and public value

Examples

a	Outputs – quantity and quality of services and products;
b	Outcomes – effects of the services and products on the target group;
c	The degree of achievement of contracts/agreements between authorities and the organisation;
d	Results of external inspections and performance audits;
e	Results of benchmarking (comparative analysis) in terms of outputs and outcomes;
f	Results of public sector reforms implementation.

Subcriterion 9.2 - Internal results: level of efficiency

Examples

a	The efficiency of the organisation in managing the available resources including people, knowledge and facilities;
b	Results of improvements and innovations of processes;
c	Results of benchmarking (comparative analysis);
d	Results of joint activities and partnership agreements;
e	The impact of digitalisation on the performance of the organisation;
f	Results of internal inspections and audits;
g	Results of participation in competitions, quality awards and the quality management system certification;
h	Results of fulfilment of budgets and financial targets;
i	Cost-effectiveness – achieving outcomes at the lowest possible costs.