

THE IMPLEMENTATION OF TQM MODELS IN AN UNSTABLE MACRO-ENVIRONMENT

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Submitted in Partial Fulfilment of the Requirements
of the Degree of Doctor of Philosophy, July 2018

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List of Abbreviations

BEM	Business Excellence Models
BS	Balance Scorecard
CAF	Common Assessment Framework
CSF	Critical Success Factor
EFQM	Excellence Model of the European Foundation for Quality Management
EU	European Union
GS	General Secretary
IPSG	Innovative Public Services Group
LA	Local Authority
LAs	Local Authorities
NPM	New Public Management
SA	Self-Assessment
SAT	Self-Assessment Team
TQM	Total Quality Management

ACKNOWLEDGMENTS

The author, Aristeidis Tasios, would like to thank the following people who helped with the creation and completion of this PhD Thesis.

Professor John Davies, my supervisor, for kindly offering his knowledge, and for the many helpful comments and suggestions.

Dr Yiannis Polychronakis, Salford University lecturer, for helping me with his broad knowledge, about how to compose a PhD research study and how to defend it, during the final – viva exam.

And finally, my wife Rania, and my two daughters, Maria and Alexandra, who were both born during the period of the study. My family was supporting and encouraging me for the entire 7 years in the great effort that was necessary for me to achieve this difficult task of obtaining this PhD degree.

ABSTRACT

This research is dealing with the implementation of Total Quality Management tools in an unstable macro-environment, by using a special TQM tool, the Common Assessment Framework and its implementation in the Greek Public Sector, which faced unusual circumstances over the last 8 years, due to the Greek debt crisis.

As many authors indicated in the past, literature has everything someone needs to know about TQM implementations, but in most of the cases the reality does not match with the original plan, because there are internal organisational factors that affect the TQM implementation process. Additionally, according to PESTEL analysis, external macro-environmental factors have an impact on an organisation, and its processes. These factors are; Political, Economic, Sociological, Technological, Environmental and Legal. Hence there are external organisational factors that affect the TQM implementation process.

On the other hand, in times of fiscal crisis and unstable economic macro-environment the adoption of quality principles by organisations may improve their ability to deal with uncertainty and offer citizens – customers quality services. Nevertheless, lack of resources and support in times of financial crisis may affect corporate culture and cause problems in TQM successful implementation. Additionally, uncontrollable factors in the external environment have an adverse impact on implementation process and cause strategy implementation problems.

Having the above in mind, the author combined TQM implementation theory with PESTEL analysis, in order to identify the critical factors for successful implementation of TQM tools, especially in times of an unstable macro-environment; finding out that an important area that needs attention is the attributes of the external environment where the organization operates, in order for the TQM implementation to be effective.

Hence, this research contributes to the body of knowledge of TQM theory by exploring how the external environmental factors affect its implementation processes, by using the PESTEL analysis.

1. Introduction Chapter

1.1 Chapter Introduction

This research is dealing with the implementation of Total Quality Management tools in an unstable macro-environment, by using a special TQM tool, the Common Assessment Framework, and its implementation in the Greek Public Sector. In this chapter the background of the research area will be given, the reasons for researching into this area will be explained, the aim and objectives of the research will be provided, the primary and secondary research questions will be developed, the scope of the research will be identified, the research methodology will be described (its analysis will be developed in chapter 3), the intended contribution of the research will be highlighted and the structure of the Thesis will be described.

1.2 Background of the Research

It has been almost 30 years since the European Union first implemented public administration management programmes. This led to the actual establishment of Total Quality Management (TQM), as an innovative tool for managing public services. One of the TQM models that are widely used in the EU's Public sector is the Common Assessment Framework (CAF).

As pointed out by Pollitt and Bouckaert (2000), cited by Staes *et al.* (2010, p. 35) *"The launch of the CAF, placed in a context 13 years ago when, as is still the case today, public sector had to cope with a lot of challenges and had to respond to many new needs and demands in society. Due to these challenges and pressure, the public sector has been the subject of large reforms. Especially in times of financial crises and severe cost-cuts in public administrations, the focus is on efficiency and effectiveness, attention to transparency and accountability, awareness for public service delivery"*. Alongside *"with the principles of the New Public Management (NPM), methods and techniques were constructed, focusing on one of these principles or trying to combine more than one. Under this scope, TQM became a feature of the public sector from the late 1980s and particularly the early 1990s"* (Staes *et al.* 2010, p. 35). As Van Dooren *et al.* (2004) argued, since that time, a vast number of quality models and techniques, such as

EFQM and ISO, and later CAF, were used in the public sector. Indeed, as Engel (2002) stated, during the decade of 2000, there was a growing need within the EU, for a more concentrated and official attempt to maximize cooperation among EU countries, regarding the modernisation of government services and the preparation for the forthcoming enlargement.

Under this concept, since its early beginnings, CAF has been adapted by the EU's public sector, as a TQM technique. Nevertheless, despite its high acceptance as a TQM tool, a lot of public administrations face problems when implementing it. But this is not only the case for CAF. The public sector faces problems when implementing any TQM tool. These problems lead to ineffective implementations.

This unfortunate reality also applies to the Greek Public Sector as well, and to the Greek Local Authorities. Especially nowadays due to the Greek debt-crisis, the renovation of the Greek Public sector is more necessary than ever. It is essential the Greek Public sector to be restructured in order to become more efficient and effective. That is why; the Greek Ministry of Interior is preparing a Presidential Decree for the evaluation of the public sector. This upcoming Presidential Decree is based upon the adoption of TQM techniques in general, and particular in the adoption of the Balance Scorecard and the implementation of CAF.

Having the above in mind this research investigates the implementation of CAF in the Greek LAs, especially in times of an unstable macro-environment, with a view to creating a framework, for successful implementation. It is one of the researcher's great beliefs that the project will have both theoretical contribution and practical implications as it will be explained in the following parts of this chapter.

1.3 Common Assessment Framework – The Model

1.3.1 Definition – Use

The Common Assessment Framework (CAF) is a Total Quality Management (TQM) tool for the public sector. It is inspired by the Excellence Model of the European Foundation for Quality Management (EFQM) and the model of the German University of Administrative Sciences in Speyer. It is based on the premise that excellent results in organizational performance,

such as: citizens/customers, people and society satisfactory, are achieved through enablers such as: leadership driving strategy and planning, people, partnerships, resources and processes. It looks at the organization from different angles at the same time. It is a holistic approach of organization performance analysis (EIPA 2006; 2013).

The model was created by the European Union Public Administration Authorities and its final form was agreed among the EU Ministries being responsible for the Public sector. It has been developed under the support of the Innovative Public Services Group (IPSG). The idea was to find innovative ways of modernizing government and public service delivery in EU Member States (EIPA 2006; 2013). Additionally, in order to have a holistic uniform implementation across EU, a CAF Resource Centre was created at the European Institute of Public Administration (EIPA) in Maastricht. This Centre has the purpose to promote and monitor the model and its implementation around EU and in any other country interested in CAF. The first version of the model was presented in May 2000 while revised versions were launched in 2002, in 2006 and in 2013.

CAF is a useful tool and is being designed to assist organizations across EU in implementing TQM techniques to improve their performance (EIPA 2006; 2013). According to its handbook, it is a tool that can be implemented freely and easily, due to the fact that it has been created from the public sector, i.e. it has taken into account all the special needs, requirements and restrictions that occur in the Public Services (EIPA 2006; 2013). The implementation of CAF gives the organization an opportunity to learn more about itself. It can be seen as the first step for quality management techniques to be developed and it is an extremely user - friendly tool. The implementation of CAF is the first step in developing and performing a fully developed TQM model (EIPA 2006; 2013).

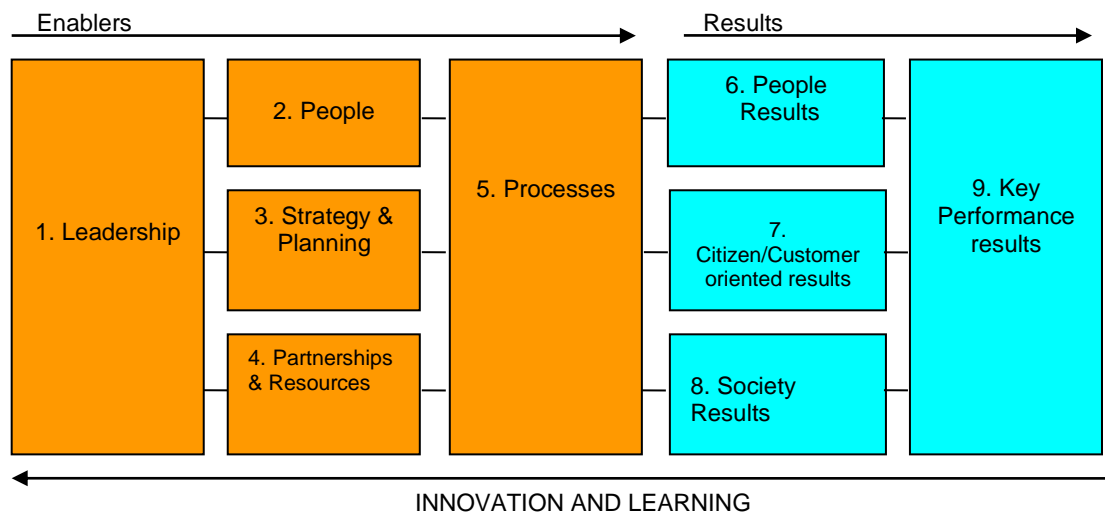
CAF has been intended to apply to all parts of the public sector, at the national, regional and local level. It may also be used in different situations (EIPA 2006; 2013). As pointed out in the CAF's handbook it can be used "*as part of a systematic programme of reform or as a basis for targeting improvement efforts in specific public service organizations*" (EIPA 2006, p.2). Moreover, in some cases, especially in very large organizations, CAF may be

implemented only in one part of the organization, i.e. in a chosen section or department (EIPA 2006; 2013).

1.3.2 The description of the model

The composition of CAF contains 9 criteria and 28 sub-criteria, which against each organization will be tested when implementing the model. Those criteria and sub-criteria are compulsory. The structure of the model can be easily demonstrated using the following figure:

Figure 1.1: The CAF - 2006 Model



Source: EIPA 2006, p. 3

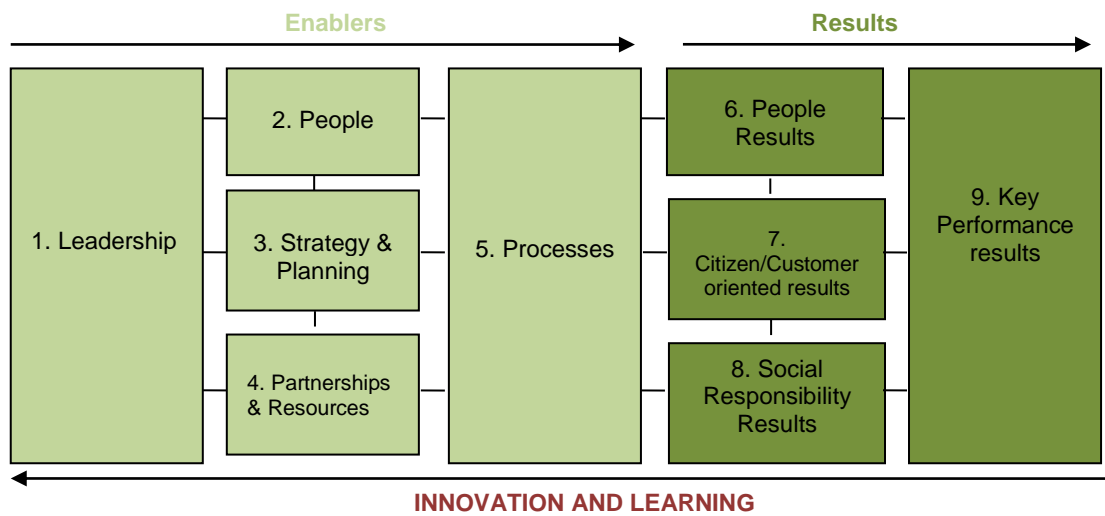
The nine-box structure classifies the main aspects of organizational analysis. Criteria 1-5 are concerned with the Enabler features of an organization, i.e. with what the organization does. Criteria 6-9, deal with the results achieved in the fields of citizens/customers, people, society and key performance results. Each criterion is further broken down into a list of sub-criteria (28 sub-criteria). These criteria identify the key issues that need consideration when assessing an organization (EIPA 2006; 2013). The detailed structure of the model is presented in Appendix 1.

The evolution of CAF has recently led to the CAF 2013 model. Having a six-year working experience with CAF 2006, the CAF Resource Centre, with the cooperation of the National Correspondents, based on the feedback of the 2011's study, revised the model for the third time, launching the CAF 2013 version (EIPA 2013).

The CAF 2013 version can be easily demonstrated using the following

figure:

Figure 1.2: The CAF - 2013 Model



Source: EIPA 2013, p. 9

According to EIPA (2013, p. 7) *“this revision has made the CAF 2013 Model even stronger than before – better equipped to support the public sector to the benefit of all its stakeholders in general and the citizens in particular. Concepts such as users’ orientation, public performance, innovation, ethics, effective partnerships with other organization(s) and social responsibility have been deepened and should result in the creation of new opportunities for further development of public sector organizations”*.

As can be seen from the above figures the updated version of CAF, has kept the 9 criteria and the 28 sub-criteria structure, but a lot of them have been redefined. The main changes are:

- in the examples that used to support those criteria and sub-criteria coping with the changes,
- in the glossary used,
- in the adoption of the eight principles of excellence, which are put in the core concept of the model in order to cope with the External Feedback Procedure,
- in the criterion “Processes”, into which two sub-criteria have been merged and a new one has been adopted (EIPA 2013).

Analytically the differences between the two versions are presented in Appendix 2.

CAF gives an organization the opportunity to start a process of permanent improvement. As it is stated in CAF's handbook (EIPA 2006, p. 3) "CAF provides:

- *an assessment based on evidence, against a set of criteria which has become widely accepted across the public sector in Europe,*
- *opportunities to identify progress and outstanding levels of achievement,*
- *a means to achieve consistency of direction and consensus on what needs to be done to improve an organization,*
- *a link between the different results to be achieved and supportive practices or enablers,*
- *a means to create enthusiasm among employees by involving them in the improvement process,*
- *opportunities to promote and share good practice within different areas of an organization and with other organizations,*
- *a means to integrate various quality initiatives into normal business operations,*
- *a means of measuring progress over time through periodic self-assessment."*

Organizations that implement CAF introduce a culture of change in the organization, growing towards excellence. The effective use of CAF can lead to the maturity of this type of thinking (EIPA 2013).

Taking into consideration the CAF 2013 version along with the two previous versions (CAF 2002 and CAF 2013) it can be stated that the evolution of the model is represented in the three versions and this evolution copes with the different emphasis highlighted over time. Under this scope three distinct phases in the evolution of CAF can be identified.

1. In the first phase according to Staes and Thijs (2005) quoted at Staes *et al.* (2011, p. 14), *"the emphasis was put on the introduction of TQM principles and values in the public sector by using the CAF as a self-assessment tool. Public sector organizations were not used to looking at themselves, certainly not by involving their own people. A lot had to be learned and most of the energy was put into spreading a sound*

methodology of self-assessment". The first phase was well presented in the CAF 2002 version.

2. In the second phase the attention was driven to the next step of the self- assessment, i.e. to the implementation of the improvement plan as a result of the identified areas for improvement. In this second phase of the evolution of CAF the success of the model had to cope with the success of the improved management techniques integrated in an organization, especially in the result criteria (Staes and Thijs 2005). This phase resulted in the CAF 2006 version.
3. However, in the third phase, which is well presented by the CAF 2013 version and the CAF External Feedback Procedure, awareness is raised towards developing the concept of excellence. This concept is based on the eight principles of excellence, which they can be accomplished by a successful self-assessment and an effective improvement plan (Staes and Thijs 2010).

At this point it has to be clarified that the organizations participated in this study had all used the CAF 2006 version since the new version at the time of the study had not been expanded to all CAF users. Needless to say, that this had no effect on the study since this research is focusing on the implementation of the model and not on the model itself. Furthermore, in both CAF handbooks (for the CAF 2006 version and for the CAF 2013 version) the suggested action plan for implementing the model is exactly the same. Hence, the implemented version had no effect in the results of this study. Nevertheless, the CAF 2013 could not be ignored, in order for the literature of this study to be up to date, and since it is the new CAF and will be in use in the future.

1.3.3 The evolution of the CAF

Since its early beginnings, CAF has widely been spread in the EU's public sector in terms of the implementation of TQM techniques. Until today it has been translated into 20 languages (Staes *et al.* 2010) and it has been used in more than 3900 organizations (Appendix 3). As Staes and Thijs (2010, p.5) state "*Common Assessment Framework has become a reference*

model of excellence for the public sector in Europe". More analytically the evolution of CAF since its first origin is presented in Appendix 4.

1.4 Reasons for researching into this area

1.4.1 Why investigate TQM implementation issues in times of an unstable macro-environment

As many authors have indicated in the past, the literature has everything someone needs to know about TQM implementations, but in most of the cases the reality does not match the original plan (Zairi and Thiagarajan 1997; Vrakking 1995; Thiagaragan *et al.* 2001). "*Quality strategies fail because what is planned and what is implemented are not the same*" (Zairi and Thiagarajan 1997, cited by Davies 2004, p. 6). Hence there are internal organizational factors that affect the TQM implementation process.

Additionally, according to PESTEL theory, external macro-environmental factors have an impact on an organization, and its processes. These factors are; Political, Economic, Sociological, Technological, Environmental and Legal. Hence there are external organizational factors that affect the TQM implementation process.

On the other hand, as stated by Vakalopoulou *et al.* (2013), in times of a fiscal crisis and an unstable economic macro-environment the adoption of quality principles by organizations may improve their ability to deal with uncertainty and offer citizens – customers quality services and thus contributing to the improvement of "every-day life".

Having the above in mind, the author thought of combining TQM implementation theory with PESTEL analysis, in order to identify the critical factors for successful implementation of TQM tools, especially in times of an unstable macro-environment.

1.4.2 Why investigate CAF?

CAF plays an important role in the modernisation process in Europe's public sector. Since its very beginnings it has been adopted as a tool to guide public sector organizations across Europe towards quality (Staes *et al.* 2010; Vakalopoulou *et al.* 2013).

Over the years, CAF has evolved and grown to become the well-known quality model for the public sector that it is today. In fact, over the past 20 years, more than 3900 public sector organizations all over Europe have used the model and the number of CAF users is still growing (Staes *et al.* 2010; Vakalopoulou *et al.* 2013). Hence, taking the above into consideration when we are talking about TQM in the European Union Public Sector we cannot ignore CAF.

Nevertheless, despite its high acceptance as a TQM tool, there is little academic research done about it, and particularly about how the model can be successfully implemented especially in times of an unstable macro-environment. Except for the studies conducted by EIPA, which mainly survey its implementation, descriptively, a guide of how to implement the model from the Greek Ministry of Interior, and a paper published in 2013 which aims stimulating the interest in implementing CAF, by reviewing the Best Practices in Europe presented by EIPA in some of its publications and in some of the conferences that EIPA carries almost every two years, there is no research done for the key factors that affect models' successful implementation, especially during an unstable macro-environment. Additionally, both CAF handbook, published by EIPA, and the guide published by the Greek Ministry of Interior, limit their reference in describing the process for implementing CAF (make the decision, carry out the self-assessment, train the participants, communicate the process, come up with an improvement plan, communicate it, implement it, plan the next self-assessment and so on), without identifying what takes to be successful in implementing the model, especially in times of an unstable macro-environment. Thus, the author of this research argues that in addition to the process to be followed, as it is suggested by the model itself and by the guide published by the Greek Ministry of Interior, an organization should be aware of other factors as well, that have an impact on this process in order for the model to be successfully implemented; such as, the culture of the organization, the established motivation, the commitment to the project, the planning of the entire process, the communication before, during and after the implementation process to all the stakeholders, the overall pace of the implementation, the integration of the CAF model into the organization, and the activities taken to maintain the momentum. These critical success factors

have been identified by similar studies conducted for the implementation of other TQM models and particular for the implementation of the EFQM (Davies 2004). Hence, the author simply argues, that not all the 3900 implementations of CAF across Europe are successful, despite the fact that the organizations have followed the guide of the model, and this is due to other factors that this research aims to reveal. Moreover, especially in times of an unstable macro-environment an organization should be aware of other factors as well, that influence the process of implementing TQM tools, such as; political, economic, sociological, legal factors as these factors are suggested by PESTEL theory.

Finally, the need for “Effective CAF users” has also been identified by EIPA itself, and that is why it has established the “CAF External Feedback Procedure”. The objectives of this procedure are to:

“1. Support the quality of the CAF implementation and its impact on the organization.

2. Find out if the organization is installing TQM values as the result of the CAF application.

3. Support and renew enthusiasm in the organization for continuous improvement.

4. Promote peer review and bench learning

5. Reward organizations that have started the journey towards continuous improvement to achieve excellence in an effective way, without judging their obtained level of excellence

6. Facilitate the participation of CAF users in the EFQM Levels of Excellence” (EIPA 2010, p. 7).

Thus, if EIPA, in order to fulfil the need of CAF users, establishes the “CAF External Feedback Procedure” and rewards “Effective CAF users”, this simply means that there are “ineffective CAF users” as well; hence, the need for identifying what makes CAF successfully implemented, especially in times of an unstable macro-environment, is clear.

1.4.3 Why investigate Greek Public sector and especially Greek LAs?

One of the most important issues nowadays in Greek democracy is the structural reformation and the modernization of its Public Administration. This unfortunate reality is well-known, not only by analysts all over the world but within Greek society as well. Almost 45 years after the rehabilitation of democracy in Greece, it is time to face and commence the meaning of quality and efficiency in the Public Administration system so as to meet the modern requirements of the society and the competitive environment of the globalization. Everyone agrees that the key issue in Greek Public Administration is neither the number of employees (almost 580.000 for 11.000.000 population), nor the number of laws, but the quality of the service it produces (Sotirakou and Zeppou 2006; Spanou and Sotiropoulos 2011).

On the other hand, Greek LAs play an important role within the big picture of the Greek Public Sector (Hlepas 2007) and they occupy the 14% of the total number of employees (Appendix 5).

Greek LAs are divided into two levels; the first level of self-Government Authorities (the Municipalities) and the second level of self-Government Authorities (the Peripheries). The detailed structure and competences of the Greek LAs are given in Appendix 6.

Moreover, Greek LAs are more familiar with the implementation of TQM techniques, when compared to the Central Government. This is basically due to their small size which enables them to adopt and implement such techniques, more easily. This is also the case concerning the implementation of CAF. As can be seen in Appendix 7, of the 64 CAF users all over Greece the 27 are from the Local Authorities' sector.

Hence, having the above in mind, it is one of the author's great beliefs that researching public administration in Greece and especially Greek Self-Government Local Authorities, in terms of quality and efficiency and in terms of their ability to implement CAF successfully, is a matter of high interest not only for the author but also for the Greek Government and the Greek Society.

Finally, for the purpose of this study the Greek public sector can be seen as a unique case, due to its special condition with the financial crisis and the

severe macro-environmental factors that occur, in order to identify TQM implementation issues in times of an unstable macro-environment.

1.5 Aim and Objectives of the Research

The aim of this study is to find out how CAF has been implemented, in times of an unstable macro-environment, by examining a number of cases, with a view to create a framework for successful implementation.

The Objectives of this study are:

- To explore how CAF has been implemented in a number of cases, in order to identify the critical factors for successful implementation, in times of an unstable macro-environment.
- To investigate why CAF has been implemented successfully or unsuccessfully in times of an unstable macro-environment

1.6 Research primary question and secondary questions

Taking everything into account, the key research question in order for the above aim and objectives to be met is:

How external macro-environmental factors affect CAF's successful implementation?

The vital words in this key research question are the meaning of "successful" and the meaning of "implementing".

According to the "Concise Oxford Dictionary of Current English" we can define "successful" as "*having or resulting in success*", and we can define "success" as "*the accomplishment of an aim*", as "*specified outcome of an undertaking that a person turns out well*" (CODCE 1995, p. 1391). Similarly, according to the "Cambridge Advanced Learner's Dictionary" we can define "successfully" as "*achieving the desired result*" (CALD 2005, p. 1297).

Similarly, according to the "Concise Oxford Dictionary of Current English" we can define "implement" as "*to put into effect*" (CODCE 1995, p. 681), and according to the "Cambridge Advanced Learner's Dictionary" we can define "implement" as "*to put a plan or system into operation*" (CALD 2005, p. 639).

To be more specific, according to CAF's handbook (EIPA 2006, p. 2)

"CAF has four main purposes:

1. *To introduce public administrations to the principles of TQM and progressively 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 (PDCA)” cycle;

2. *To facilitate the self-assessment of a public organization in order to obtain a diagnosis and improvement actions;*
3. *To act as a bridge across the various models used in quality management;*
4. *To facilitate bench learning between public-sector organizations”.*

In addition to this, according to the “CAF External Feedback” handbook, in order for an organization to be recognized as an “Effective CAF User”, three issues have to be examined; the process of self-assessment, the process of improvement actions, and the TQM Maturity of the organization (EIPA 2010).

Having the above in mind in order to state that CAF has been successfully implemented, we have to identify in an organization the following:

1. To be in use as a model, to be in operation
2. To have led to a diagnosis report
3. To have led to an improvement plan, which is in use, in operation
4. To have led to the adoption of TQM techniques or to have bridged the existing ones
5. To have been integrated into the day to day operation

Additionally, the meaning of the external macro-environment and its stability, for the purpose of this study, will be addressed by identifying the following factors as suggested by PESTEL analysis; Political, Economic, Sociological, Technological, Environmental and Legal.

Following on, the secondary research questions are:

1. What are the critical success factors that affect the implementation of CAF in times of an unstable macro - environment?
2. What is the theoretical framework for the implementation of CAF, in times of an unstable macro - environment?
3. How has CAF been implemented in a number of cases, in times of an unstable macro - environment?
4. Why has the implementation of CAF been successful or unsuccessful in a number of cases in times of an unstable macro - environment?

The first three secondary questions will meet the first objective of the research, while the answers to the last will meet the second one.

Overall, the answers to the secondary questions and the completion of the two research objectives will contribute to the answer of the primary research question and to the completion of the aim of this study.

1.7 Scope of the Research

The scope of this research focuses on case studies selected from the Greek public sector and especially on Greek Local Authorities.

According to the new Greek constitution (1975/86/01) the Greek Public Sector has been consolidated on the “decentralization system” (art. 101). Following on, the local governmental bodies have become solely responsible for local affairs (art. 102) and the central government has maintained only the competence for national affairs, such as defence, monetary policy and industrial development.

To be more clarified the local government in Greece after the implementation of the Kallikratis Plan (Law 3852/2010- Kallikratis act) consists of 325 Municipalities (there were 1033 before the merge of Kallikratis had taken place), and of 13 peripheries (there were 51 – called Prefecture Authorities – before the merge of Kallikratis had taken place).

Municipalities are governed by a municipal council, led by a Mayor. Council members are elected via public elections every five years. Municipalities have responsibility for the administration of their local jurisdiction in terms of the social, financial, cultural and spiritual interests of their citizens. More specifically, Municipalities have responsibility in the areas of:

- Development
- Environment
- Quality of life and proper functioning of Cities and Settlements
- Employment
- Social Protection and Solidarity
- Education, Culture and Sport (theatres, museums, libraries, parks, sports and leisure facilities)
- Civil Protection
- Security and police
- Civil Protection

- Nurseries and kindergartens
- Repair and maintenance of all schools
- Family and youth services
- Water and waste cure

(Law 3852/2010- Kallikratis plan)

Peripheries are governed by a regional council and a regional governor, elected via public elections every five years. Each Periphery is divided into regional units, which are in most of the cases coterminous with the former Prefectures. Each regional unit is governed by a vice-regional governor. Peripheries have responsibility for

- Planning and Development.
- Agriculture and Livestock.
- Natural Resources - Energy – Industry
- Employment - Trade - Tourism.
- Transport - Communications.
- Works - Planning - Environment.
- Health – Welfare
- Education - Culture – Sports
- Civil Protection

(Law 3852/2010- Kallikratis plan)

Having the above administrative structure in mind, alongside with the justification for this research as it has already been presented in section 1.3 of this report, the author has selected the Greek Local Government sector for this research for the following reasons:

1. CAF has a lot of users from the LAs sector.

According to Staes *et al.* (2011, p.24) *“the most organizations using the CAF are from the sector of local administrations”*. Actually, in the European database of CAF as it has been reflected in all EIPA studies so far, although CAF has been applied across a wide range of sectors the sector of Local Administration is the biggest one. Local Governments are concerned with quality matters for a long time throughout their existence. As Davison and Grieves (1996, p. 32) state *“in addition to external political pressures for change in local government, the emergence of quality control and total quality management in the latter part of the twentieth century has created various*

discourses which include the concepts of excellence, value, conformance to specifications and meeting or exceeding customer expectations". Hence the scope of this research has a lot of CAF users from the LAs sector.

2. Greek public sector has a lot of CAF users (especially LAs) and can be seen for the purpose of this study as a unique case

As it was stated by Makridimitris *et al.* (2000), Chryssanthakis (2000) and Michalopoulos (2001), quoted at Chondroleou *et al.* (2005), Greek LAs have started using TQM and New Public Management Techniques. Moreover, as it was stated by Karipidou (2011, p. 74) *"the CAF has clearly earned a place among the TQM tools used in Europe. This finding is true for Greece as well, although its use is still limited"*. As can be seen at Appendix 7 over the 64 CAF users in Greece that were registered into the European database of CAF in EIPA, the 27 come from the LAs sector. Moreover, the author kept in mind that a lot of users might not have registered in the European database of CAF in EIPA when they started using CAF, but they might just have registered to the data base of the Ministry of Interior, he communicated via email with the Ministry of Interior, finding out that the LAs that were registered to this data base were 33 (Appendix 8). Combining the two data bases the author find out that the actual CAF users in Greece from the LAs sector are 35 (Appendix 9). Hence, the scope of this research has a lot of potential case studies to select from within the Greek public Sector.

According to PESTEL theory external macro-environmental factors have an impact on an organization. These factors are; Political, Economic, Sociological, Technological, Environmental and Legal. Obviously, these factors and their impact can be investigated when they occur, especially in a severe and more apparent way. Hence, Greece and its public sector is a unique case due to its special condition with the fiscal crisis and the severe macro-environmental factors that occur

3. Effective CAF implementation is more needed during times of financial crisis

As it was stated by Vakalopoulou *et al.* (2013, p. 762) *"through this time of financial crisis, many people would regard CAF use as a luxury for public organizations. However, the truth is exactly the opposite. Effective CAF implementation is an opportunity to change the mentality and reform the*

common conception of public administration, without great cost or effort. The adoption of quality principles by public administration may drive towards an administration that is able to deal with malfunctions and grasp improvement opportunities. It may also help to upgrade the quality of the services offered and thus contribute to a parallel improvement of citizens' every-day life". Hence it is one of the author's great beliefs that researching Greek LAs in order to create a framework for effective CAF users is needed nowadays in the Greek Public Sector, more than any other time in its history, due the Country's financial crisis.

1.8 Research Methodology

This study adopts an interpretivistic – realistic research philosophy, using the abductive approach (combining both the deductive and inductive approach) to implement the case study research strategy, cross-sectional, using the interviews, the archival records and the document research methods to explore the phenomenon of interest.

More specifically this research involves two stages.

During the first stage, the literature review part of the study will be completed. The literature review will be conducted in order to find out what research has already been done about the implementation of CAF. This literature review will combine knowledge of the implementation of TQM programmes, knowledge of the implementation of EFQM, knowledge of the implementation of CAF and knowledge of the Greek public sector and the Greek LAs and their TQM culture, especially in times of an unstable macro-environment. The completion of the literature review stage will generate the theoretical framework for implementing CAF that will be explored in the second stage of this research, using the case study research strategy.

The second stage involves the carry - out of case studies in Greek LAs. This research strategy was chosen because it is expected to provide rich and in-depth understanding of the phenomenon of interest. The case studies will be carried out in four Greek LAs covering six cases. The one will be used as a pilot study and the others for the main study. Each case study will be chosen, baring in mind its potential contribution to the research strategy. This selection will be explained later in this report.

Overall, after the completion of the two research stages (literature research and case study research) the key research question is expected to be answered, i.e.; “how external macro-environmental factors affect CAF’s successful implementation?”, and the aim of this study is supposed to be accomplished: “to find out how CAF had been implemented in Greek LAs, by examining a number of cases, with a view to create a framework for successful implementation”.

1.9 Intended Contribution of the Research

1.9.1 Lack of research done for TQM implementation issues in times of unstable macro-environments

Literature has everything someone needs to know about TQM implementations, but in most of the cases the reality does not match the original plan, due to the fact that there are some critical success factors that affect the TQM implementation process (Zairi and Thiagarajan 1997; Vrakking 1995; Thiagaragan *et al.* 2001). Additionally, according to PESTEL theory external macro-environmental factors have an impact on an organization, and its processes. These factors are; Political, Economic, Sociological, Technological, Environmental and Legal Hence, there are external organizational factors that affect the TQM implementation process as well. Until now there is lack of academic research done compiling those two, i.e. critical success factors as suggested by many authors for successfully implementing TQM tools, with the critical factors that affect the organizations concerning the external environment as suggested by the PESTEL theory. Hence this study aims to fulfil this identified gap.

1.9.2 Lack of research done about CAF

Despite its high acceptance as a TQM tool there is little academic research done about CAF. Mostly, the basic studies conducted for the model and its implementation are made by the CAF Resource Centre in EIPA. Those studies are:

- Study on the use of CAF (EIPA, 2003)
- Study on the use of CAF (EIPA, 2005)

➤ Five Years of CAF 2006 (EIPA, 2011)

These studies were made basically to highlight the use of CAF at the time being and were concerned about its upcoming future. They mainly study its implementation descriptively, using questions regarding the following aspects: how many authorities, in which countries, from which sector, reasons for using the model, aspects of the self-assessment process and the improvement plan, obstacles faced in the process, results of the CAF, aspects of project management, satisfaction and plans for the next CAF application and so on.

Furthermore, there are some publications made to support the expansion of CAF in EU's public sector, such as:

- *CAF WORKS: better service for the citizens by using CAF*, published by the Austrian Federal Chancellery in 2006, which shows a selection from the current, 900 CAF users in different European countries that achieved remarkable results using the CAF
- *CAF for Education*, published by EIPA in 2010, which tailors the model for the educational public sector
- *A decade of European collaboration with CAF*, published by EIPA in 2010, which highlights the expansion of CAF in each EU Country, introduces the CAF External Feedback Procedure and the principals of excellence, and gives some case examples across Europe.
- *CAF External Feedback*, published by EIPA in 2010, introducing the CAF External Feedback Procedure, which is “*a system of external feedback on the introduction of total quality management with the help of CAF – not only on the self-assessment process, but also on the way forward organizations had chosen to reach for excellence in the long run*” (Staes and Thijs 2010, p. 89). The “CAF External Feedback Procedure” has been developed to provide added value to CAF implementation in public sector organizations.

Moreover, there are three handbooks of the model, translated into several languages, assigned for the up to date, three versions of the model, CAF 2002, CAF 2006 and CAF 2013, which present the model, with its criteria and sub criteria, provide a scoring system and a proposed action plan for its implementation, alongside with a useful glossary for inexperienced users.

Furthermore, there is a publication made by the Greek Ministry of Interior in 2006 titled “Guide on how to implement Common Assessment Framework”, which provides an action plan, a questionnaire, scoring paradigms, and hints and tips so as to implement the model.

Additionally, there 9 MSc thesis in total regarding the implementation of CAF in Greece, each one referring to a case study within the Greek Public Sector. All these studies examine their cases descriptively, without identifying how to have an effective implementation of the CAF.

Finally, there is an article titled “Implementing CAF in public administration: Best practices in Europe – obstacles and challenges” published in 2013 which aims to stimulate the interest in implementing CAF, by reviewing the Best Practices in Europe that were presented by EIPA in some of its publications and in some of the conferences that EIPA carries out almost every two years.

Having the above in mind it is more than obvious that there is lack of academic research done for the model.

1.9.3 Theoretical Contributions of the Research

As stated earlier in this chapter there is lack of research made for what it takes in order for the model to be successfully implemented, especially in times of an unstable macro-environment. As many authors have indicated in the past, literature has everything someone needs to know about TQM implementations, but in most of the cases the reality does not match the original plan (Zairi and Thiagarajan 1997; Vrakking 1995; Thiagaragan *et al.* 2001). “*Quality strategies fail because what is planned and what is implemented are not the same*” (Zairi and Thiagarajan 1997, cited by Davies 2004, p. 6). Moreover, external organizational factors affect the TQM implementation process as well, as suggested by PESTEL theory.

Hence, this study intends to contribute to the TQM implementation body of knowledge by using the CAF model and the Greek Public Sector (which faces the Greek special condition with the fiscal crisis and the severe macro-environmental factors that occur) as a “vehicle” to explore TQM implementation issues using the PESTEL analysis in times of an unstable macro-environment by:

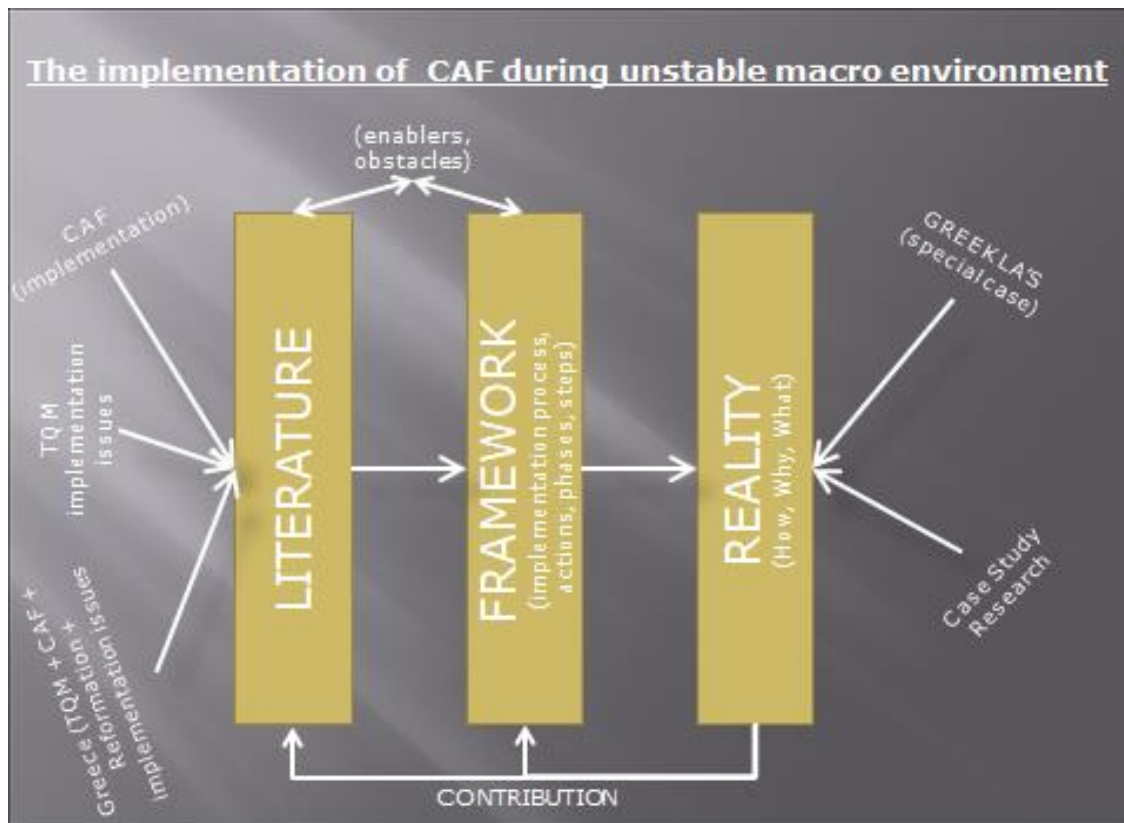
- a. exploring TQM implementation issues in times of an unstable macro - environment
- b. creating a framework for implementing the CAF model (a special TQM model) in times of an unstable macro - environment

1.9.4 Practical Contribution of the Research

In addition to the previously described theoretical contribution this research is expected to have practical application as well, by increasing the degree of effectiveness in the implementation of CAF. The outcome of this research will be a Framework for the successful implementation of CAF in Greek LAs. This framework will identify the comprehensive set of factors that influence the successful implementation of CAF, especially in times of an unstable macro-environment. Hence, each Greek LA could be assisted in its effort to implement CAF successfully. Moreover, the Greek Ministry of the Interior could benefit in reforming the Greek Public Sector by the implementation of TQM techniques, such as CAF

The intended contribution of this study can be demonstrated using the following figure:

Figure 1.3: Picturing the Contribution of this study



1.10 Structure of the Thesis

This thesis is divided into six chapters. In this first chapter, which is the introductory one, what this research is about was highlighted. Chapter two presents the literature review and outlines the theoretical framework of the study. Following on in chapter three the methodology of this research is being thoroughly explained. Next in chapter four the findings of the cases are being presented. In chapter five the discussion of the findings is being given, in comparison with the literature and the theoretical framework. Finally, in chapter six conclusions will be drawn, the limitations and the contributions of the research are being discussed and the recommendations for further related research will be given.

1.11 Chapter Summary

In this first chapter of the Thesis, there was a thorough presentation of what this research is about. More specifically, the background of the research area was given, the reasons for researching into the area were explained, the aim and objectives of the research were provided, the primary and secondary research questions were developed, the scope of the research was identified, the research methodology was described, the intended contribution of the research was highlighted, and the structure of the Thesis was given.

2. Literature Review

2.1 Chapter Introduction

In this chapter of the Thesis the literature review of the study is being given by presenting the theoretical framework for implementing CAF successfully, which will be tested in the case studies.

2.2 Critical Success Factors for the CAF to be successfully implemented

During the literature review stage of this study and having in mind that due to the lack of academic research about CAF, there is also lack of literature about the implementation of the model, the author had to conduct research on TQM implementation issues in general and TQM implementation issues for EFQM. Additionally, there was a comprehensive literature review about the TQM implementation issues in the Greek public sector. Having done so, the following key success factors that influence CAF's implementation process in an organization were revealed:

1. The organization's culture should have been taken into account
2. Motivation for implementing CAF should have been established
3. Senior managements' and politicians' commitment should have been gained
4. The entire implementation process should have been planned and organized
5. The project should have been communicated before, during and after the implementation process to all the stakeholders
6. Employees' commitment and involvement should have been assured
7. The project should have been integrated into the organization and its processes
8. The momentum of the implementation should have maintained in the entire process
9. The pace of the implementation process should have been appropriate according to the organization's culture.

Following on, these critical success factors are thoroughly explained.

2.2.1 The culture of the organization

According to Ott (1989) quoted to Rad (2006, p. 608) “*organizational culture consists of the beliefs, values, norms, customs and practices of the organization*”. Additionally, Schein (1992) defined the concept of culture, as a “*system of norms, shared values, concerns, and common beliefs that are understood and accepted by the members of the organization*”. “*The members of the organization accept these as valid, follow them and teach them to incoming members as a pattern to be followed for problem solving and as required thinking style and behaviour. Newcomers to an organization may bring with them prior expectations about the culture when they join, but culture is also transmitted to new arrivals by established staff, sometimes explicitly but more often implicitly*” (Rad 2006, p. 609). Moreover, according to Langfield-Smith (1995) the organizational culture is shaped not just by individuals but also by new and old organizational features. The organizational routines, operational norms, and structures, all have their influence. According to Anjard (1995) culture is defined as a set of shared values and beliefs that guides of managers’, and employees’ behaviour.

As many authors of TQM agree one of the most important elements regarding the successful implementation of TQM techniques is that of organizational culture (Anjard 1995; Werner 1997; Shih and Gurnani 1997; Samuelsson and Nilsson 2002; Baidoun and Zairi 2003; Lomas 2004; Baidoun 2004; Seetharaman and Sreenivasan 2006; Rad 2006; Davies *et al.* 2007). As Rad (2006, p. 606) indicates “*organizational culture is a major variance-causing factor in TQM implementation programs that inhibits or allows the success of such a program. A number of studies have highlighted that cultural variables drive TQM success* (Sahney and Warden 1991; Dean and Bowen 1994; Hackman and Wageman 1995; Galperin, 1995; Powell 1995; Nasierowski and Coleman 1997; Katz *et al.* 1998; De Cock 1998; Tata and Prasad 1998; Kujala and Lillrank 2004; Metri, 2005). *TQM programs are more likely to succeed if the prevailing organizational culture is compatible with the values and basic assumptions proposed by the TQM discipline* (Kujala and Lillrank 2004)”. Additionally, as Maroufi (2012, p. 330) states “*Organizational culture is recognised the effectiveness of quality management implementation. The values and beliefs underlying an organization’s culture*

are able to shape it policies of managing business, which in turn influence the development of quality management practices (Waldman, 1993)”

On the other hand, as pointed out in Kano (1993) culture is not a barrier to the implementation of TQM. But, as they both admit it should be taken into consideration when implementing TQM.

Furthermore, in the case of Greece and its public sector according to Vakalopoulou *et al.* (2013, p. 750) in their study for the implementation of CAF in public administration in Europe state as far as national and organizational cultural effects on quality implementation are concerned *“in nations like Greece, where people try to avoid unstable situations, they are not resilient to new ideas and they require sets of rules and regulations to feel content, the implementation of quality management systems is of ambiguous success, if the above mentioned aspects are not taken into account and properly resolved (Tata and Prasad, 1998)”*. Additionally, as it is stated by many authors that have studied TQM implementation issues in the Greek Public Sector, the difficulties in the implementation process have to do with the administrative culture that exists in the Greek public administration and in particular the lack of culture change, the non-exercise by the middle management of their leadership, the obsolescence of the concept of evaluation and the lack of confidence of staff to the leadership as a whole (Alexopoulou 2011; Tsolaki 2011; Vakalopoulou *et al.* 2013).

Finally, in the literature review about the cultural aspect in TQM implementation process it came up that the understanding of the culture of the organization is so crucial that many authors suggest that before implementing TQM or similar initiatives a cultural assessment should be carried out in order to identify potential obstacles and help the designing of a successful TQM implementation process (Anjard 1995; Poirier and Tokarz 1996; Werner 1997; Vermeulen 1997; Bardoel and Sohal 1999; Chin and Pun 2002, Davies *et al.* 2007)

All in all, it is clear that for the successful implementation of CAF the organization’s culture should be taken into account.

2.2.2 The established motivation for the implementation of CAF

Motivation should be the basic component that drives people to the entire process of the implementation of CAF. People should have a completely clear view of the purpose of the CAF self-assessment process and the improvement of the overall performance of the organization (EIPA 2006; 2013). As Staes *et al.* (2011) found out in their research of the implementation of CAF 2006 lack of motivation is encountered to be as one of the biggest obstacles in the implementation process. Additionally, as Boys *et al.* (2004) and Van der Wiele *et al.* (1996) argue, the success of a quality management program relates strongly to the motivation of the organization to implement it.

Tan (1997) claims that most organizations find it hard to implement TQM techniques because there is lack of belief within the organization that TQM works, i.e there is lack of a clear motive. Thiagaragan *et al.* (2001) identify that a critical requirement to develop the necessary commitment to implement TQM is a clear belief in the benefits of doing it, i.e. a clear motive. Eugene (1998) agrees with this and identifies that having an established need is a primary reason for TQM successful implementation.

The research of Davies (2004) on the implementation of EFQM highlighted the importance of clarifying the motive(s) at the initial stages of the implementation process. This is also supported by the research of Vraldcing (1995), Sullivan-Taylor & Wilson (1996), Ritchie & Dale (2000), Wells (2001), and Chin & Pun (2002). Additionally, Dearing *et al.* (2006) in their research about best practices in Europe with CAF claim that the success of many organizations relies upon the engagement and motivation of the people in the organization.

Finally, the importance of motivation in the successful implementation of CAF has been highlighted by CAF Resource Center and that is why one of the reasons why the CAF External Feedback procedure has been established was to motivate the organizations to continue with CAF (Staes and Thijs 2010).

Having the above in mind it is clear that establishment of motive(s) for the implementation of CAF is an important element for its successful

implementation.

2.2.3 The senior management and political commitment to the project

The success of a TQM program relies a lot on senior management commitment. As it is argued by many authors in the past, involvement and commitment of managers at various levels are vital to implement TQM (Crosby 1992; Conti 1997b; Eriksson and Garvare 2005; Seetharaman *et al.* 2006; Najeh and Kara-Zaitri 2007). The senior management commitment is also highlighted as a crucial factor in the implementation of TQM by several empirical studies (Ramirez and Loney 1993; Thiagarajan and Zairi 1997; Lau and Idris 2001; Taylor and Wright 2003; Baidoun & Zairi 2003; Baidoun 2004; Hides *et al.* 2004; Rad 2006; Salaheldin 2009; Jamali *et al.* 2010).

The commitment of senior management in creating an organizational climate that empowers employees is necessary (Ugboro & Obeng 2000). According to Pheng and Jasmine (2004), the degree of management support in TQM implementation is very critical. TQM cannot be effectively implemented if there is lack of commitment from senior management (Jamali *et al.* 2010).

Additionally, it is also highlighted by many studies that it is not sufficient for management just to be committed, but this commitment should be demonstrated during the entire TQM implementation process as well as being obvious (Ramirez and Loney 1993; Bertsch and Williams 1994; Thiagarajan and Zairi 2003). As Dean and Bowen 1994 stated, quoted in Calvo-Mora *et al.* (2005, p.745) *“the management’s commitment and leadership in quality must be visible, permanent and present at all management levels, since it acts as the guide and promoter of the TQM implementation process”*

As is stated earlier in this chapter due to the fact that there was lack of literature about the implementation of CAF the literature review of the study had to expand in the literature about the implementation issues for the EFQM which is the core model of CAF. In this research about EFQM and especially in the publication on behalf of the Consortium for Excellence in Higher Education by Sheffield Hallam University which was published in order to share the learning among the Consortium members for the successful

implementation of EFQM it was stated that, *“implementation of the Excellence Model is much more successful when there is commitment from senior leaders. It has been shown that commitment is significantly greater where senior leaders are personally engaged in improvement and learning activities using the Excellence Model”* (Consortium for Excellence in Higher Education 2003, p.14).

Moreover, in the case studies for the implementation of CAF in the Greek public sector, the importance of senior management commitment is also highlighted. Alexopoulou (2011) argues that a key prerequisite for the successful implementation of CAF is to ensure the support and commitment of the administrative leadership, which is translated into integrating an integrated quality policy in the organization. Karipidou (2011) highlights the need for senior management commitment and involvement in the implementation of CAF. Lagoudas (2001) states that support, commitment and the conscious participation of the leadership have an important role on the implementation of CAF. Finally, Tsolaki (2011) states that commitment and support from senior leadership is essential for any TQM program to succeed and continues by arguing that the adoption of a quality culture in the Greek public sector requires the continuous commitment of senior management to quality in order for the values and principles of TQM to become part of the mentality of the organization.

Continuing on, apart from the senior management committed, a key issue for the implementation of CAF is also the political commitment to the project, in the reality of the Greek public sector. Michalopoulos *et al.* (2006) argue that, a primary and indispensable prerequisite for the implementation of CAF is to ensure the active and systematic support to the project by the political leadership of the organization. And continue on by stating that, this support should be visible in practice through specific actions, such as organizing events to inform the employees and managers of the organization, circulate certain epistles to stimulate commitment to the project and so on. Karipidou (2011) in her case study research about the implementation of CAF in the administrative Periphery of Central Macedonia found out that, top managers believe that the commitment of the political leadership to the implementation of CAF is essential so that the project can be successful. Additionally, Tsolaki

(2011) argues that, the inability of the Greek Public Administration to adopt the principles of total quality management and provide quality services lies in the problem of discontinuous support for such policies by the political leadership not only concerning self – Government authorities but even the Central Government. Finally, Vakalopoulou (2011) argues that a key prerequisite for the successful implementation of the CAF is to ensure the support of the political and administrative leadership, which stimulates an integrated quality policy into the organization's operational strategy.

Having the above in mind it is clear that senior management and political commitment for the implementation of CAF is an important element for its successful implementation.

2.2.4 The planning of the entire implementation process

According to Sue (2001) without careful planning the implementation of any TQM program is likely to fail having a negative impact on the quality of the organization. As Martins and Carlos de Toledo (2000, p. 145) state *“a well-structured and complete plan for the implementation of TQM is necessary to avoid failings”*.

Planning, which implies developing a clear scope in order to identify obstacles and driving forces, is highlighted as an important element for the successful implementation of TQM by many authors in the past (Vracking 1995; Michael *et al.* 1997; Yusof Mohd and Aspinwall 1999; Seetharaman *et al.* 2006). The importance of planning the entire implementation process of TQM is also highlighted by several empirical studies (Baidoun 2003; Tarí and Juana-Espinosa 2007; Salaheldin 2009; Ernest and Fred Appiah 2012)

Moreover, in the reality of the Greek Public Sector the importance of planning in order to assure the organizations' capacity to implement TQM projects is clear (Fitsilis *et al.* 2011). Additionally, the importance of planning is also addressed by the empirical case studies research done for the implementation CAF in the Greek Public Sector (Michalopoulos *et al.* 2007; Anastasopoulou 2010; Katsani 2010; Karipidou 2011; Lagoudas 2011)

Taking everything into account it is clear that planning the entire process of implementing CAF is an important element for its success.

2.2.5 The communication before, during and after the implementation process to all the stakeholders

Effective communication between management and staff and to all the stakeholders, before, during and after the implementation process is considered vital for the TQM. Effective communication is important for the success of any quality program (Martinez – Lorente *et al.* 1998; Sureshchandar *et al.* 2001) and it is critical for the beginning of a change effort. According to Kanji and Asher (1993) effective communication is part of the cement that holds together the bricks of the total quantity process (quoted at Baidoun 2003).

Porter and Parker (1993, p.14) state that, *“communication provides the means of raising quality awareness and involvement and reinforcing the message. It is also critical as a means of publicizing achievements and recognizing contributions to quality improvement”*. Additionally, Michael *et al.* (1997, p. 118) highlights the power of communication by arguing that *“newsletters and reports are a good way to disseminate information to the community to keep them informed and to get them involved in the institution’s successes”*. Moreover, as Zairi and Thiagaragan (1997, p. 334) argue *“organizations recognize that communication could make the difference between success and failure. They see effective communication as a means of maintaining enthusiasm for quality initiatives within the organization”*. Additionally, Jonas *et al.* (2003, p. 999) state that *“information and communication promote desired achievements such as understanding and involvement”*. The importance of communication in the implementation of TQM programs is also highlighted by many authors in the past (Vracking 1995; Salegna and Fazel 1996; Thiagarajan and Zairi 1997; Baidoun and Zairi 2003; Warwood and Antony 2003; Seetharaman *et al.* 2006; Najeh and Kara-Zaitri 2007; Tarí 2010) and confirmed by many empirical studies as well (Baidoun and Zairi 2003; Rad 2006; Tarí and Juana-Espinosa 2007).

Continuing on, in the Greek Public Sector the importance of communication for the successful implementation of TQM, is also highlighted by the empirical research studies done for the implementation CAF in the Greek Public Sector (Anastasopoulou 2010; Katsani 2010; Vakalopoulou

2011; Karipidou 2011; Lagoudas 2011).

Having the above in mind, it is clear that communication, before, during and after the implementation process to all the stakeholders is an important element for the successful implementation of CAF.

2.2.6 The employee's commitment and involvement to the project

The implementation of TQM succeeds with employees' involvement in the TQM process and their commitment to its goals (Crosby 1979; Bank 1992; Kano 1993; Thiagarajan and Zairi 2003). Poirier and Tokarz (1996, p. 137) state that: *"No improvement process would be successful without dedicated people"* while Mersha (1997, p. 170) argues that: *"TQM success is unthinkable without the full and active involvement of all employees"* (quoted at Davies 2008 p. 388). Porter *et al.* (1993, p. 14) claim that *"employee involvement in the TQM process is a key determinant of a successful program. Until everyone is involved in the process of quality improvement, there is a major cost of lost opportunity being carried by the organization"*. Additionally, Thiagarajan *et al.* (2001) argue that maximizing employees' commitment and involvement in quality initiatives is the most basic requirement for making TQM succeed in an organization. Jonas *et al.* (2003) emphasizes on this argument by claiming that employee commitment is necessary since employees actually execute the activities during the implementation.

Lack of commitment and involvement could obstruct acceptance of and motivation to work with an implementation process of a TQM program (Jonas *et al.* 2003). *"Difficulties obtaining commitment have to do with the characteristics of individuals, such as perceptions (Saad and Siha, 2000), attitudes (Tsang and Chan, 2000), expectations (Schawn and Khan, 1994) and values (Saad and Siha, 2000)"* (Jonas *et al.* 2003, p. 998). As (Rad 2006) states, employee involvement and commitment to the goals of the TQM process are critical in TQM success, adding that the most common vehicle for employee involvement is the teamwork and the creation of a team for implementing TQM. Davies (2008) agrees on that and indicates that employee involvement through teamwork and its importance for TQM success relies on

the premise that people are most willing to support any effort in which they have taken part or helped to develop.

Hence, the importance of employees' commitment and involvement is highlighted by many authors in the past (Vracking 1995; Mersha 1997; Martins and Carlos de Toledo 2000; Baidoun and Zairi 2003; Jackson 2001; Taylor and Wright 2003; Calvo-Mora *et al.* 2005; Karuppusami and Gandhinathan 2006; Salaheldin 2009) and confirmed by many empirical studies (Bridgette and Marie 1996; Kufidu *et al.* 1997; Tsang and Antony 2001; Carol *et al.* 2003; Baidoun 2003; 2004; Eriksson and Garvare 2005; Rad 2006; Najeh and Kara-Zaitri 2007).

Moreover, in the Greek Public Sector the importance of employees' commitment and involvement is also highlighted for the successful implementation of TQM (Alexopoulou. 2011). Additionally, this importance is also addressed by the empirical research done for the implementation CAF in the Greek Public Sector (Karipidou 2011; Lagoudas 2011, Tsolaki 2011).

Having the above in mind, it is clear that employees' commitment and involvement is an important element for the successful implementation of CAF.

2.2.7 The integration of the CAF model into the organization

The importance of integration in the TQM implementation process is highlighted by many studies in the past. According to Assiri *et al.* (2006) in their study about the implementation of the balanced scorecard they identified integration as the most important supportive factor for its successful implementation. Additionally, according to Davies (2008) the more integration is taking place, the more likely it is that the implementation would be effective. Moreover, according to Vakalopoulou *et al.* (2013) everyone involved in the TQM implementation process should try to adapt and adjust themselves to their own internal environment and working conditions so as for the implementation to be successful, i.e. integrate the process in their day – to-day operation. Bauer (2002) in his research about the implementation of business excellence argues that successful implementation is aided by integration. Chin and Pun (2002) also support this argument by stating that TQM implementation is part of the business planning process and should be

integrated with any other strategy employed. Wells (2001) suggests that the implementation of self-assessment as part of a TQM program should be integrated into the organization's strategy. Furthermore Van der Wiele *et al.* (1996) argues that if the self-assessment process employed while implementing business excellence models it is not linked with the business cycles of strategic planning, human resources systems, budget decisions, and so on, then it will never be associated with the day-to-day management activities. Finally, Jackson (2001) identified that integration is a key to success in his study about the key actions for successfully implementing TQM tools within healthcare.

In addition to the above mentioned studies the importance of integration in the successful implementation of TQM tools was addressed by many authors in the past (Tan Liang 1997; Shih and Gurnani 1997; Conti 1997; Zairi and Thiagarajan 1997; Henderson *et al.* 1999; Zink and Voss 1998; Thiagaragan *et al.* 2001; Pupius 2002; Jonas *et al.* 2003; Beatham *et al.* 2005; Salaheldin 2009;) and confirmed by many empirical studies (Elmuti *et al.* 1996; Bardoel and Sohal 1999; Ritchie and Dale 2000)

Moreover, in the empirical studies for the implementation of TQM and especially for the implementation of CAF in the Greek public sector the integration of CAF is highlighted as a crucial factor. Alexopoulou (2011) argues that it is important for CAF to be integrated and aligned with the ongoing planning of the organization. Lagoudas (2011) also supports this argument and suggests that the improvement plan resulted from the implementation of CAF should associate with any other business excellence model of the organization and be integrated into the strategic improvement plan. Additionally, Tsolaki (2011) in her empirical study about the implementation of CAF found out that the process failed due to the fact that the improvement plan of CAF was not integrated into the strategic planning process of the organization.

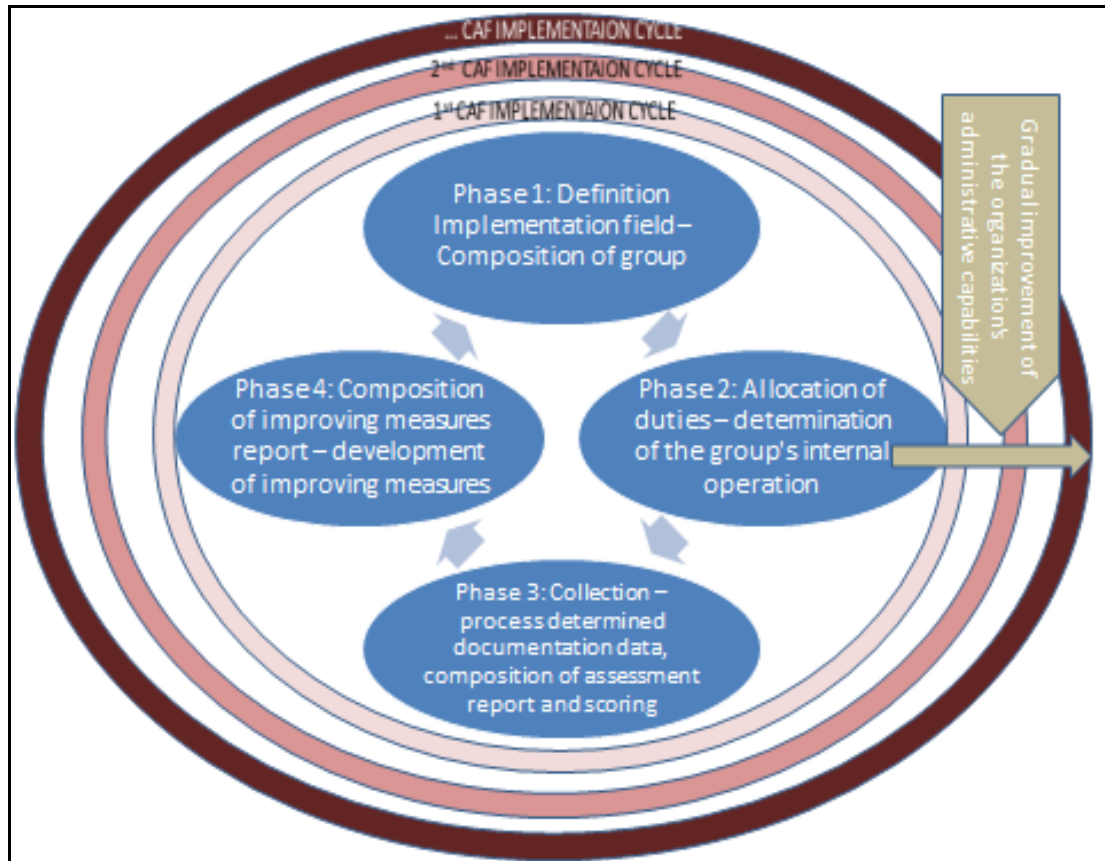
Having the above in mind, it is clear that integration of the CAF model into the organization is an important element for its successful implementation.

2.2.8 The activities taken to maintain the momentum

Michalopoulos *et al.* (2007) in their guide on how to implement CAF in the

Greek Public Sector described an ongoing process of four phases as it is indicated in the figure below.

Figure 2.1: Presentation of the steps of each implementation phase of CAF



Source: Michalopoulos *et al.* 2007, p. 6

In their publication they support the idea of following certain actions in order to implement CAF effectively. This idea of having a certain action plan which supports the implementation of TQM was favoured by many authors in the past who believed that if a number of actions are carried out effectively by organizations, this could ensure that the implementation process maintains its momentum. Davies (2004, p. 83) also supports this view and argues that *“the process of improvement planning, action and review has the potential to maintain the momentum of the implementation and thus contribute to effective implementation”*. The importance of implementing TQM tools using certain phases and actions is also supported by many authors who described in detail the phases to be followed. In this way they argue that momentum is being maintained and the implementation process turns to be successful (Van der Wiele *et al.* 1996; Zink & Schmidt 1998; Pitt 1999; Samuelsson & Nilsson

2002). In addition to this the idea of 'quick wins' and the improvement in 'champion-areas' are also addressed as being important to maintain momentum of the process and make the implementation of TQM effective (Chapman 2000; Jackson 2001; Moeller & Sonntag 2001).

Another critical issue that has to do with maintaining the momentum is the issue of rewards. According to Davies (2004, p. 84) *"recognition for staff involved in implementation can have a positive effect on staff motivation and willingness to change, and this in turn can be an aid to effective implementation. However, there is some concern expressed about the appropriateness of linking rewards to staff involvement in implementation and also the issue of internal awards. In both cases, the concern is about the potential to negatively impact on staff motivation"*. Additionally, in the issue of recognition and awards there is a debate in the literature whether to reward individuals or teams participating in the implementation process, concluding that team rewards seem to be more effective (Davies 2004).

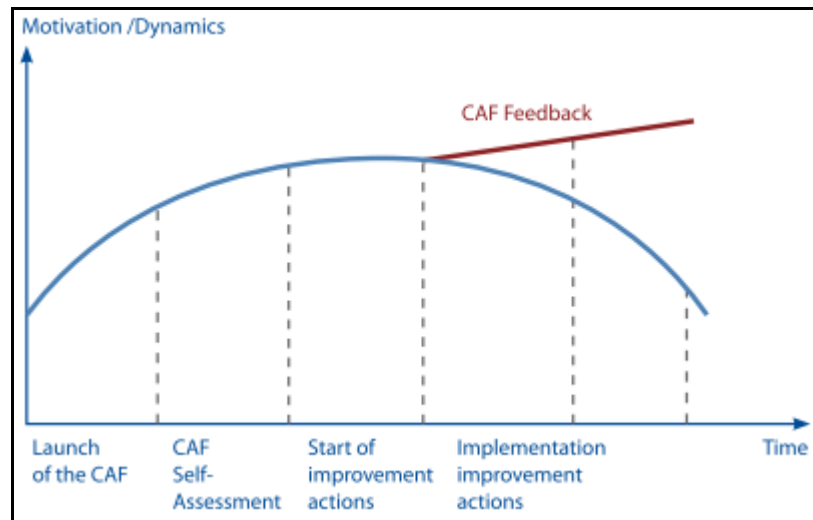
Having the above in mind it is more than clear that taking certain actions to maintain momentum is an important aspect for implementing CAF successfully.

2.2.9 The overall pace of the implementation

The sense of time is a principal element in any TQM implementation process. Davies (2004, p. 84) argues that *"the pace of implementation needs to be carefully judged if implementation is to be effective. If it is too fast, then this might produce resistance to change and if it is too slow then the momentum of the implementation process is lost."* Staes and Thijs (2010) in their article about the process of implementing CAF and the process of the External Feedback Procedure agree on that and pay certain attention to time and the motivation for implementing CAF, by stating that *"an important element in a good CAF self-assessment is the creation and implementation of an improvement plan. It is tough for organizations to maintain the pace of change over an extended period. Many organizations lose focus and motivation after a while"*. Moreover, they argue that the External Feedback Procedure has been established in order to stimulate motivation about the implementation of CAF by keeping attention to improvements over time. This

view is better presented by the following figure:

Figure 2.2: CAF implementation phases over time



Source: Staes and Thijs 2010, p. 11

Alexander (1985) also highlights the importance of pace in an implementation process by arguing that one of the most common problems is the underestimation of time needed. On the other hand, more time raises the risk of reduced motivation and interest of all parties involved in a TQM implementation process (EIPA 2006; 2010). Vrakking (1995, p.32) agrees on that and states that *“the chances of successful implementation of innovations increase if the time between generation of the idea and implementation is kept to a minimum”*. In addition, Taylor and Wright (2003) argue that originating success from TQM has also been shown to be significantly associated with the time since adoption.

Additionally, in the empirical studies for the implementation of CAF in the Greek Public Sector the pace of the implementation process was also highlighted as an important factor. Karipidou (2001) in the case of the Periphery of Central Macedonia found out that there was insufficient time for training and information to convince employees as well as an appropriate choice of time to apply CAF. These time limitations created obstacles during CAF implementation process. On the other hand, Lagoudas (2011) in the case of the Prefecture Authority of Serres found out that there was lack of motivation and commitment due to the long implementation period.

Having the above in mind, it is more than clear that the pace of the

implementation is an important element for implementing CAF successfully.

2.3 Steps to be followed for the CAF to be successfully implemented

Following on from the identification of the critical success factors for the effective implementation of CAF the literature review continuous in identifying the action plans and guidelines for implementation that are suggested to be followed in order to apply the model and improve organizations when using it. Those action plans are suggested in the model's handbook in both versions, CAF 2006 and CAF 2013.

This suggested guideline can be easily demonstrated using the following figure:

Figure 2.3: Ten steps to improve organizations with CAF

<i>Phase 1 – The start of the CAF journey</i>
Step 1: Decide how to organize and plan the self-assessment (SA) <ul style="list-style-type: none"> - Assure a clear management decision in consultation with the organization - Define the scope and the approach of the SA - Choose the scoring panel - Appoint a project leader
Step 2: Communicate the self-assessment project <ul style="list-style-type: none"> - Define and implement a communication plan - Stimulate involvement of the staff in the SA - Communicate during the different phases to all the stakeholders
<i>Phase 2 – Self-Assessment Process</i>
Step 3: Compose one or more self-assessment groups <ul style="list-style-type: none"> - Decide on the number of self-assessment groups - Create a self-assessment group that is relevant for the whole organization in all its aspects, respecting a set of criteria - Choose the chair of the group(s) - Decide if the manager should be part of the self-assessment group
Step 4: Organize training <ul style="list-style-type: none"> - Organize information and training of the management team - Organize information and training of the self-assessment group - The project leader provides a list with all relevant documents - Define the key stakeholders, the products and services that are delivered and the key processes
Step 5: Undertake the self-assessment <ul style="list-style-type: none"> - Undertake individual assessment - Undertake consensus in group - Score
Step 6: Draw up a report describing the results of self-assessment
<i>Phase 3 – Improvement plan/ prioritization</i>

<p>Step 7: Draft an improvement plan, based on the accepted self-assessment report</p> <ul style="list-style-type: none"> - Prioritize improvement actions - Differentiate the actions within realistic time scales - Integrate the action plan in the normal strategic planning process
<p>Step 8: Communicate the improvement plan</p>
<p>Step 9: Implement the improvement Plan</p> <ul style="list-style-type: none"> - Define a consistent approach of monitoring and assessing the improvement actions, based on the Plan-Do-Check-Act cycle - Appoint a responsible person for each action - Implement the appropriate management tools on a permanent basis
<p>Step 10: Plan next self-assessment</p> <ul style="list-style-type: none"> - Evaluate the improvement actions by a new self-assessment

Source: EIPA 2006, p. 38; 2013, p. 59

At this point it must be stated that the above action plan is just a suggestion, and that public-sector organizations are not obliged to follow it. As it is stated in both versions of the model; the *“advice given in the handbook is based on the experience of the many organizations that have used CAF; however, each improvement process is unique and therefore the description given should be seen as an inspiration for the people responsible for the process of self-assessment rather than as a precise manual for the process”* (EIPA 2006, p. 30; 2013, p. 59). After all, according to Bauer (2002), organizations implementing Business Excellence Models are not obliged to follow certain formalized written rules for implementation; the less formalized in terms of Written Rules the more successful the implementation of business excellence is. As Tan Liang (1997) states *“preparation is required to gain maximum result from applying TQM. There is no custom-made TQM strategy that one can pick from the shelf. Organizations must evaluate the circumstances they are facing and decide on how to achieve business success through TQM”*.

As can be seen in the above figure, the CAF’s implementation process, as suggested from the CAF’s handbook consists of three phases divided into ten steps. These steps have been critically reviewed through the literature review using the academic knowledge of TQM implementation process and the academic knowledge of EFQM implementation issues and were enriched when needed. Additionally, as it came up, through the literature review, prior to the implementation of CAF there should be a clear decision for doing so. This initial decision should take into account:

- the organization's culture about the implementation of TQM techniques
- the consideration of using CAF against other TQM models
- the consideration for the reasons (motives) for using CAF
- the consideration for the expected benefits for using CAF
- the consideration about the approach and the scope of the Self-Assessment process that will be used

Thus, there should be a Step 0, in the entire process of CAF's implementation.

In the following sections of this sub-chapter the steps for implementing CAF are thoroughly explained:

2.3.0 Step 0: Start of the process – Initial decision for implementing CAF

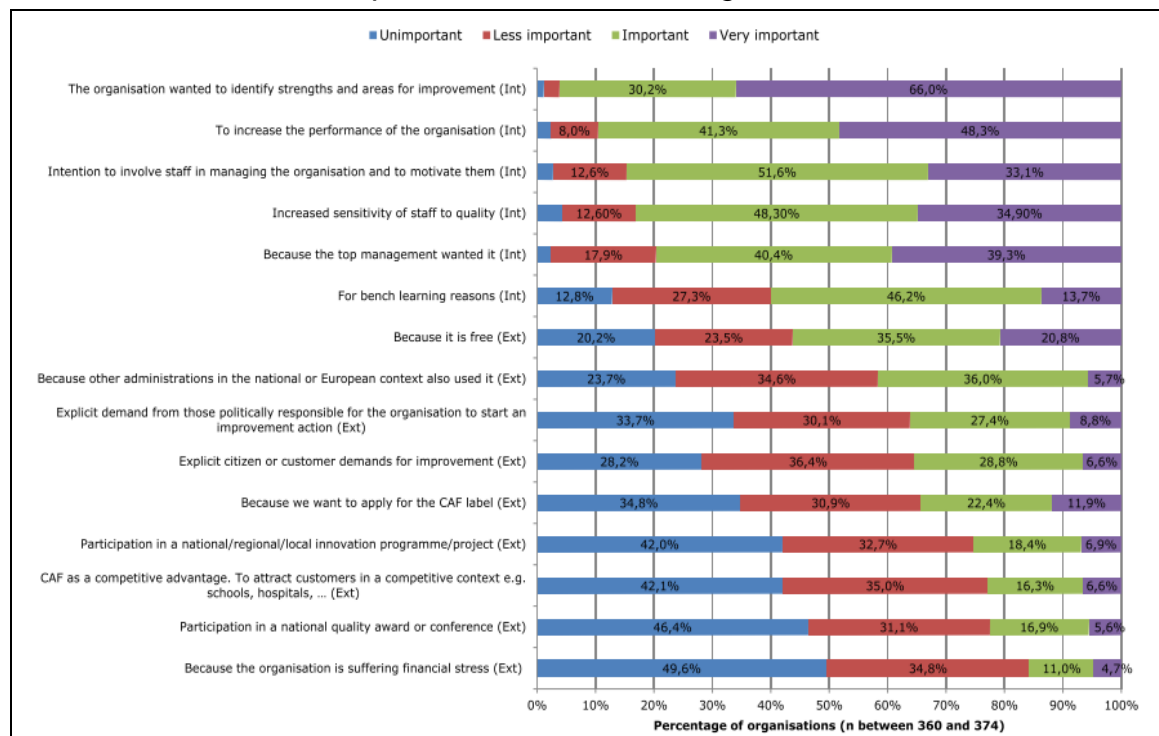
In order for CAF to be successfully implemented in an organization, as any TQM model, the organization's culture should be mature. Hence at the beginning of the process the organization's culture is suggested to be assessed, by auditing the current state regarding quality-culture in the organization. This will identify the magnitude of the task of the implementation process. If the organization's culture towards quality is immature, then prior to the implementation of any TQM model a plan for maturing organization's culture is suggested to be applied (Anjard 1995; Poirier and Tokarz; 1996; Werner 1997; Vermeulen 1997; Bardoel and Sohal 1999; Chin and Pun 2002, Davies *et al.* 2007). As Rad (2006, p. 620) points out, *“prevailing organizational culture should be compatible with the values and basic principles of TQM approach if significant progress in quality improvement is to be made. Therefore, Managers may choose a TQM approach that fits the existing organizational culture or may try to change the existing culture”*.

Following on a pre-implementation assessment is suggested to be carried out in order to understand the perceptions of those individuals who will take part in a quality program implementation, the training needed and the organizational atmosphere (Wright *et al.* 1998; Baidoun and Zairi 2003; Baidoun 2004; Davies *et al.* 2007). This pre-implementation assessment will identify whether a Business Excellence Model (BEM) could be implemented or not.

Continuing on, if a BEM is about to be implemented, there should be a decision about which BEM is suitable for the organization to use. Hence in this step the CAF alternatives should be considered (Lomas 2004, Vakalopoulou 2011). According to Lomas (2004, p. 163) “an organization may choose to employ a particular quality management model; the choice that is appropriate will depend to a large extent on the strengths and the needs”. Furthermore, in this step the reasons for using CAF instead of its alternatives should be identified. As Staes (2005) points out, in this step, in order to gain a high level of commitment and shared ownership among the management and the people of the organization, it will be useful to identify the reasons for using the model. According to Staes (2005) those reasons can either be internal or external.

As can be seen in the following graph the most important reasons for using CAF are all internal drivers.

Graph 2.1: Reasons for using CAF



Source: Staes et al. 2011, p. 67

Hence, identifying strengths and areas for improvement is the most important reason for using CAF, while suffering financial stress is the least important. These are exactly the same findings as in 2005. “Organizations

want to use CAF in the first place for themselves, in order to improve their organization, which exactly is the purpose of a self- assessment tool” (Staes *et al.* 2011, p. 67).

Following on, in this step the benefits of using CAF as well as the benefits from the self-assessment process are suggested to be highlighted. As Dearing *et al.* (2006) points out, the benefits of using the model can provide the basic motivations to gain commitment to the project. The CAF self-evaluation process is a simple, but very innovative procedure that introduces public organizations to continuous improvement. It facilitates organizations to achieve quality at low financial cost. It enables public administrations to easily find out their strengths and their areas of improvement and gives rise to new ideas and new ways of thinking (Dearing *et al.* 2006). The importance of using self – assessment is also addressed by many studies in the past (Hides *et al.* 2004; Staes 2005; Assiri *et al.* 2006; Seetharaman *et al.* 2006; Dong Young *et al.* 2010)

Moreover, in this step the self – assessment method that will be used should be identified. The choice depends on the time an organization has to implement the SA, the monetary cost that it is willing to accept, the quality of the results, the culture of the organization and the objectives to be achieved by the exercise (Ritchie and Dale 2000; Benavent *et al.* 2005; Davies 2008; Tari 2010). According to the literature there are eight methods:

- Questionnaire and survey approaches
- Matrix chart approach
- Workshop approach
- Pro-forma approach
- Peer involvement approach
- Award simulation approach
- e-approach
- Hybrid approach

(Zink and Schmidt 1998; Hides *et al.* 2004)

Regardless of the approach that will be selected the generic stages for SA are:

1. Developing Management commitment
2. Planning SA

3. Establishing teams and training
4. Communicating SA plans
5. Conducting SA
6. Establishing action plan
7. Implementing action plan
8. Review

(EFQM 2009)

Continuing on, in this early stage there should be a decision whether CAF will be implemented in the entire organization or in a department and whether there should be a pilot implementation or not. This decision has to do with the size and the structure of the organization (centralized or decentralized organization and so on) (Wright *et al.* 1998; Zink and Schmidt 1998; Fryer *et al.* 2007). According to EIPA (2006, p. 30; 2013, p. 60) the answer to that is that *“separate parts can perform self-assessment, but in order to assess all criteria and sub-criteria in a meaningful way, they should have enough autonomy to be considered as a mainly autonomous organization with a proper mission and significant responsibility for human resources and financial processes”*.

Finally, in this initial step of implementing CAF a high level of commitment and shared ownership among the management, the politicians and the people of the organization are important essentials in securing the accomplishment of the process. In order to do so, a clear decision that will exemplify the willingness of the management to actively participate in the process is needed. This decision is suggested to highlight the added value of the self-assessment, to clarify that the results will be respected and that the improvement actions will be followed, to allocate the resources needed for the project and to guarantee that the entire process will be dealt open-minded by all parties (shareholders, managers, and employees) (EIPA 2006; 2013). According to Baidoun (2004, p. 178) *“top management must accept the responsibility for commitment to a quality policy that deals with the organization for quality and the satisfaction of the customer needs. In the pre-launch stage commitment of top management is achieved when the rewards of implementing TQM are realized. That is, the tangible business and operating benefits of TQM must be realized by top management as a*

prerequisite for their serious commitment". Dearing *et al.* (2006) point out, that the implementation of CAF requires a clear stakeholders' analysis, since the model requires the involvement of all relevant internal and external parties of the organization. Additionally, the model's handbook suggests that, in some cases, during the face of the decision to use CAF, there is need to get the approval of external stakeholders. *"This may be the case with politicians or senior management of higher level organizations who are traditionally closely involved in management decision-making. Key external stakeholders may have a role to play, particularly in data collection and processing information, and they can also potentially benefit from changes regarding some of the areas of improvement that may be identified"* (EIPA 2006, p. 30; 2013, p. 60). Hence in a lot of cases, the decision for using CAF should be taken in the higher level of an organization (e.g. board of directors, Municipality's Council and so on)

To sum up, having the above in mind, the figure presented in Appendix 10 can be constructed representing the framework for step 0 in CAF's implementation process.

2.3.1 Step 1: Decide how to organize and plan the self-assessment (SA)

Following on the decision for implementing CAF, the planning process can start. This planning process is suggested to include the *"definition of the scope and the approach of self-assessment"* (EIPA 2006, p. 30; 2013, p. 60).

At the begging of this stage a steering committee and / or a project leader is suggested to be appointed (Yusof and Aspinwall 2000; Jackson 2001; Tari *et al.* 2007). *"This person has to have both a high level of knowledge regarding his or her own organization, knowledge of the CAF model, as well as knowledge about how to facilitate the process of self-assessment. Appointing the right project leader who has this knowledge, as well as the confidence of senior management and people within the organization is one of the key management decisions that can affect the quality and outcome of the self-assessment"* (EIPA 2006, p. 31; 2013, p. 61).

After appointing the project leader there should be a strong assurance of commitment motivation and shared ownership among the management and

the people of the organization, as explained earlier in this chapter.

Following on the project leader is suggested to plan the entire process of implementing CAF. This planning will include the definition and the scope of the SA, the framework of the SA process and the following actions, along with the time, the resources and the people needed to implement CAF and the SA process. (Kasul and Motwani 1995; Michael *et al.* 1997; Martins and Carlos de Toledo 2000; Jacson 2001; EFQM 2003; Biadoun 2003; Jonas *et al.* 2003; Seetharaman *et al.* 2006; Michalopoulos *et al.* 2007; Salaheldin 2009; Fitsilis *et al.* 2011)

Continuously in the process of planning the project leader should allocate the resources needed and define how to prioritize the distribution of the resources. The allocated resources should be maintained during the entire process (Kasul and Motwani 1995; Michael *et al.* 1997; Jacson 2001; Chin and Pun 2002; Benavent *et al.* 2005; Seetharaman *et al.* 2006; Davies 2008)

Finally, in this step it is also suggested that the scoring system that will be used, be included in the decision to implement CAF (Michalopoulos *et al.* 2007; EIPA 2006; 2013). On the other hand, it must be stated that in term of scoring there is a big debate in the literature whether scoring is useful or not. Dale *et al.* (2000) argue that in a lot of cases the attention is given to scoring against the criteria of award models, and not to the essence of quality. Therefore prior to the selection of the scoring system that is going to be used there must be a decision whether the organization will use score at all. The survey of 2011 indicated that 23 out of 370 organizations (6.2%) said that they do not use any of the scoring panels (Staes *et al.* 2011). In addition, Dearing *et al.* (2006) pointed out that, scoring is not the key issue of the self-assessment process. The purpose of scoring is to launch Operational Systems of Management. It is also a process of continuous improvement in an organization, rather than obtaining big scores at any price. Hence, it seems that the organizations that are not scoring at all prefer to focus on the improvement process. After all it should be beared in mind that only a few TQM systems use score, while the majority does not.

To sum up, having the above in mind, the figure presented in Appendix 10 can be constructed representing the framework for step 1 in CAF's implementation process.

2.3.2 Step 2: Communicate the self-assessment project

Communication is an important feature to all TQM implementation processes as it was thoroughly explained in part 2.2.5 of this study.

An effective communication plan regarding the aim and the actions of CAF ensures that the whole process will not be seen as *“just another project”* or *“some management exercise”* (EIPA 2006, p. 31; 2013, p. 61). An effective communication plan ensures commitment and involvement by both managers and people of the organization. As it is stated in EIPA (2006, p. 31; 2013 p. 61), *“this plan should include communication efforts targeted at all stakeholders in the project with a special emphasis on middle managers and people of the organization”*.

Moreover, an effective communication plan encourages managers and people of the organization to be directly involved in the Self-Assessment process. This direct involvement is expected to ensure motivation by all parties involved in the project. When people have a completely clear view of the purpose and the aims of Self-Assessment, when they believe that the whole project aims at improvement in the overall performance of the organization, then they are happy to be involved thus being highly motivated (EIPA 2006; 2013).

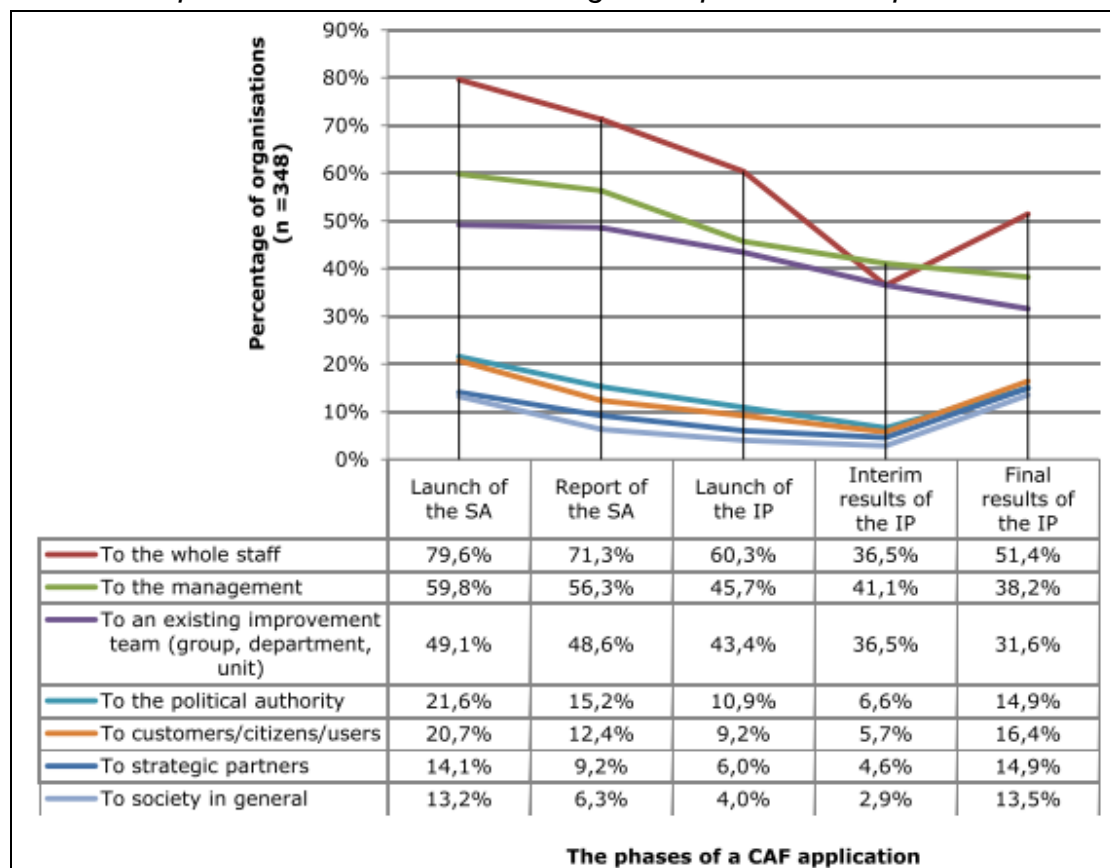
As Staes (2005, p. 42) states *“Communication is one of the critical success factors of a self-assessment and the improvement actions that should follow. Communication actions have to provide the appropriate information with the appropriate media to the appropriate target group at the appropriate moment: before, during and after the self-assessment”*. Additionally, in his survey in 2005 Staes pointed out that the communication plan should also involve the external stakeholders and especially the citizens/customers by saying that *“without stronger external communication, the opportunity to strengthen the legitimacy of public services by showing that they are working on better performance will be missed”* (Staes 2005, p. 42).

Moreover, it must be stated that communication is one of the vital success enablers not only for the Self-Assessment (SA) but also for the entire project of CAF's implementation, and especially for the application of the improvement plan. As Staes *et al.* (2011, p. 91) argue *“when organizations have to improve, things need to be changed. Changing things requires the*

support of all the stakeholders, internal as well as external. Communication is one of the critical success factors in an improvement process. It is crucial in order to build a platform for change”.

But despite the obvious use of an effective communication plan, CAF users tend to communicate only at the beginning of the project; i.e. in the phase of the Self-Assessment, and then communication is neglected. As Staes *et al.* (2011, p. 91) state “organizations communicate the least on the interim results of the improvement plan”. Moreover, communication is greater to the staff and the management and less to the political authority, to customers / citizens / users, to strategic partners and to society in general. This can be seen in the following graph

Graph 2.2: Communication during the implementation process



Source: Staes *et al.* 2011, p. 91

Needless to say, that this is basically ineffective due to the fact that CAF, from its nature, is an extroversion model (Staes 2011).

Finally, as it is stated in both EIPA’s handbooks about the two versions of CAF, “clear and coherent communication to all stakeholders during the relevant phases of the project is key to securing a successful process and

follow up action. This communication plan should be differentiated and consider the following elements: focus group, message, medium, sender, frequency and tools” (EIPA 2006, p. 31; 2013, p. 63).

To sum up, having the above in mind, the figure presented in Appendix 10 can be constructed representing the framework for step 2 in CAF’s implementation process.

2.3.3 Step 3: Compose one or more Self-Assessment Teams

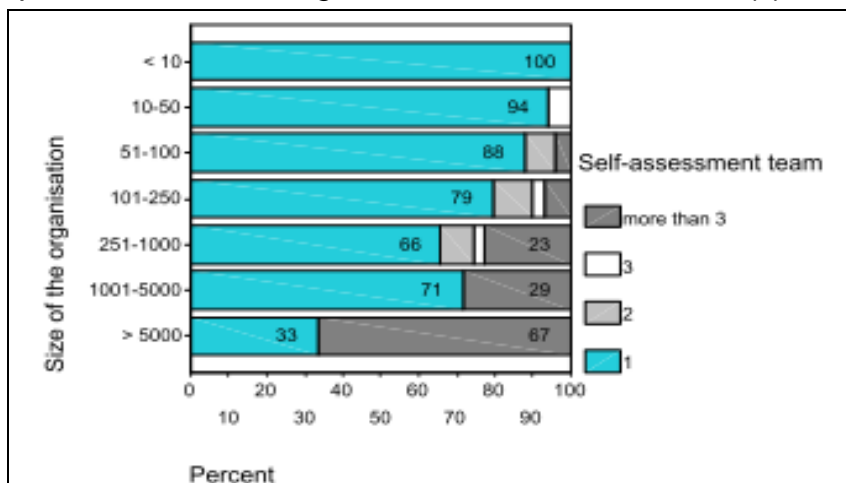
Most of the organizations create one Self-Assessment Team (SAT). Moreover, in the case of big or decentralized organizations, different self-assessment teams are usually created in order to capture a representative opinion of all parts of the organization. In the study of 2005 for the implementation of CAF in 79% of the cases there was one SAT (Staes 2005). This can be seen in the following table and graph.

Table 2.1: Number of self-assessment team(s)

How many self-assessment teams were created	N°
1	98
2	8
3	3
> 3	15

Source: Staes 2005, p. 43

Graph 2.3: Size of the organization and number of SAT(s) created



Source: Staes 2005, p. 43

The Self-Assessment Team should not be either too big or too small. It should be at the right size and at the same time be as representative of the organization as possible (Staes 2005; Mixalopoulos *et al.* 2007; Alexopoloulou

2011; Karipidou 2011; Vakalopoulou *et al.* 2013). *“The objective is to establish an effective group as possible, while, at the same time, a group which is able to provide the most accurate and detailed internal perspective of the organization”* (EIPA 2006, p. 31; 2013, p. 62).

In order to achieve the optimum composition, usually the SAT should include people from different sectors, experience and levels within the organization. Participants should be selected having in mind both their knowledge of the organization as well as their individual skills (Zink and Schmidt 1998; Assiri *et al.* 2006; Katsani 2010; Anastasopoulou 2011). A good suggestion is to select the participants on a voluntary basis (EIPA 2006; 2013). As Staes (2005, p. 46) states *“the SAT should be as representative of the organization as possible, include members from different sectors/levels and provide the most accurate information”*.

As can be seen from the following table, in the study conducted in 2005, the composition of the SAT in the 133 organizations participated in the study included top managers, middle managers, experts, technical staff members and supporting staff.

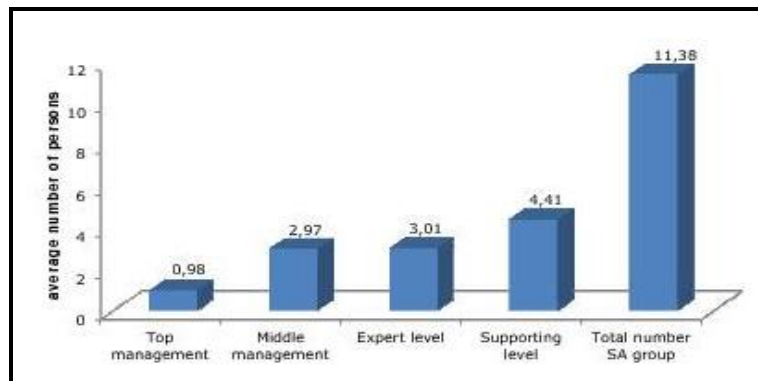
Table 2.2: Composition of the Self-Assessment Team(s)

Which type of staff took part in the SA group	N ^o
Middle management	106
Experts (A-level staff members)	91
Top management	84
Technical assistants (B-level staff members)	75
Supporting staff (secretaries, office clerks....)	71

Source: Staes 2005, p. 45

This is also confirmed by the study carried out in 2011, as can be seen in the following graph.

Graph 2.4: Composition of the Self-Assessment Team(s)

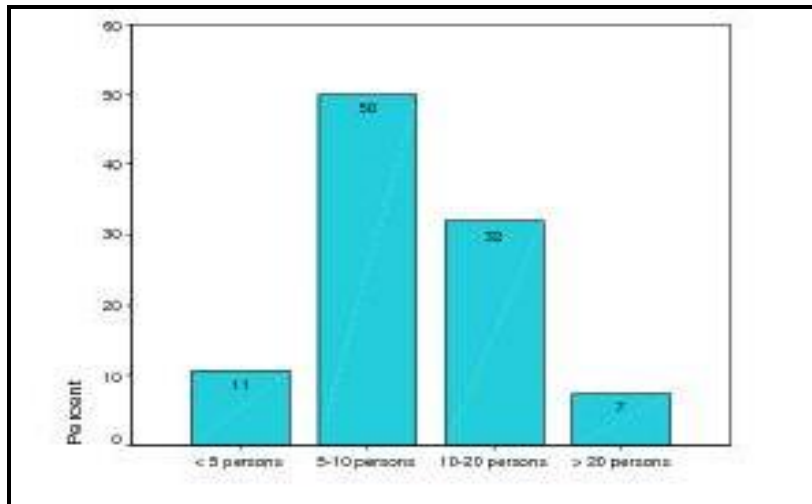


Source: Staes *et al.* 2011, p. 69

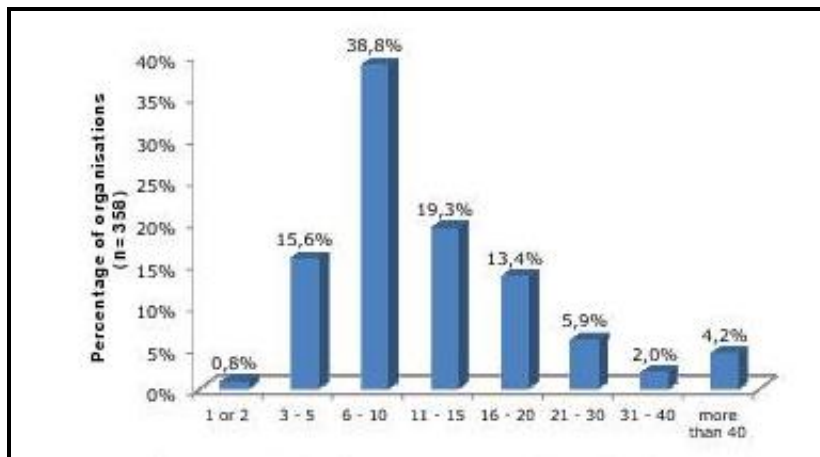
As Staes (2005 p. 46) points out *“the middle management and the A-level experts are the best represented in the SAT. The top management is also well involved in contrast with the B-level staff members and the supporting staff. The latter, who do not usually speak up, should have a chance to have a say in the evaluation. Very often they have a more realistic view on the daily life of an organization”*. In addition, this composition of the SAT should take under good consideration the involvement of managers. *“If management is involved, they can provide additional information and will increase the likelihood that management has ownership to the later implementation of the improvement actions identified. It also increases diversity/representation. However, if the culture is not likely to support this, then the quality of the self-assessment can be jeopardized if one or more of the group members feels inhibited and unable to contribute or speak freely”* (EIPA 2006, p. 32; 2013, p. 62). Hence the involvement of managers is an organization’s cultural issue.

Moreover, both CAF handbooks (CAF 2006, CAF 2013) propose *“that the experience of CAF shows that groups are composed of between 5 to 20 participants. However, in order to secure an effective and relatively informal working style, groups of around 10 participants are generally preferable”* (EIPA 2006, p. 32; 2013, p. 62). This is confirmed by both studies (Staes 2005, Staes *et al.* 2011) as can be seen in the following graphs

Graph 2.5: Size of the Self-Assessment Team(s)



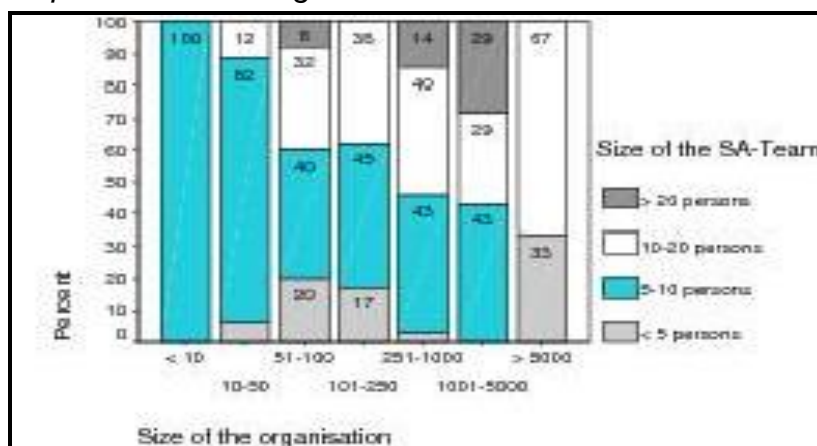
Source: Staes 2005, p. 44



Source: Staes et al. 2011, p. 69

Of course, the size of the SAT depends on the size of the organization, as can be seen in the following graph.

Graph 2.6: Size of organization and size of the SAT created



Source: Staes 2005, p. 44

Following on the chair of the SAT should be appointed. Both CAF handbooks (CAF 2006, CAF 2013) suggest that the project leader allocated in step 1 should also be the chair of the Self-Assessment-Team, because that will be beneficial for the project's continuity. Nevertheless, care should be taken in order to avoid conflicts of interest. *“What is important is that the chair of the group is trusted by all the members of the group to be able to lead discussions in a fair and effective way that will enable everybody to contribute to the process”* (EIPA 2006, p. 32; 2013, p. 62).

Finally, in this step it is suggested that the chair of the SAT should assign responsibilities to each member. Each team member is usually given a certain criterion to assess (Michalopoulos *et al.* 2007; Anastasopoulou 2010, Kastani 2010)

To sum up, having the above in mind, the figure presented in Appendix 10 can be constructed representing the framework for step 3 in CAF's implementation process.

2.3.4 Step 4: Prepare the Self-Assessment-Team, Organize Training

At the beginning of this step the preparation of the SAT should take place. As Staes *et al.* (2011, p.70) point out *“an explanation of the CAF (an introduction) remains the most frequently used preparation of the self-assessment team. Only a minority of the SATs did not receive an explanation (0.8%)”*. In the self-assessment team, the CAF model should be explained, and the purposes and nature of the self-assessment process should be analyzed (Staes *et al.* 2011). Additionally, in this step the project leader should provide a list with all relevant documents. These documents and information will be needed, for the self-assessment team, to assess the organization in an effective way (EIPA 2006; 2013; Michalopoulos *et al.* 2007; Anastasopoulou 2010; Karipidou 2011).

Moreover, in this step, an important issue is to get a common picture *“of the key stakeholders of the organization, those which have a major interest in its activities: customers/citizens, politicians, suppliers, partners, managers and employees”* (EIPA 2006, p. 32; 2013, p. 63).

Additionally, in this step the training of both the participants in the self-

assessment team and the managers of the organization should take place. Thus, the planning of training should take place having in mind the cost, the time needed, the resources allocated and the trainers. This training should be followed by a definition of the key stakeholders, the products and services that are delivered and the key processes of the organization, along with a list of relevant documents provided by the project leader (Michael *et al.* 1997; Chin and Pun 2000; Jacson 2001; Ernest *et al.* 2002; Baidoun 2003; Warwood and Antony 2003; Baidoun and Zairi 2003; Assiri *et al.* 2006; Karuppusami and Gandhinathan 2006; Michalopoulos *et al.* 2007; Fryer *et al.* 2007; Davies 2008; Jamali *et al.* 2010; EIPA 2006; 2013). As it is stated in EIPA (2006, p. 32; 2013, p. 63) the training of the self-assessment team should *“include practical exercises to open the minds of participants to the principles of total quality, and also to experience consensus building as these concepts and behaviour may be unfamiliar to most members”*. In this training phase a good idea is to assess a sub-criterion of both enablers and results. This will provide a better perception of how CAF works. Moreover a *“consensus has to be reached on how to evaluate evidence of strengths and areas for improvement and how to assign scores”* (EIPA 2006, p. 32; 2013, p. 63).

Finally, in this step the involvement of political leaders, top managers, middle managers and other stakeholders in the self-assessment training, on a voluntary basis, should also take place. This training should include, apart from CAF, the wider knowledge and understanding of the concepts of TQM (EIPA 2006; 2013). This training will stimulate their interest, involvement and commitment to the project.

To sum up, having the above in mind, the figure presented in Appendix 10 can be constructed representing the framework for step 4 in CAF’s implementation process.

2.3.5 Step 5: Undertake the Self – Assessment

Continuing on the CAF’s implementation process, the Self-Assessment is carried out. This step consists of three actions; the individual self-assessment, the group assessment and the scoring.

To begin with the process of the individual self-assessment, it is expected that each member of the team will give a precise evaluation, using

documentation and information provided by the project-leader, based on their knowledge and experience of working in the organization, for each criterion and sub-criterion. This evaluation report should consist of strengths, weaknesses and areas of improvement, along with findings and scores for each sub-criterion (Zink and Schmidt 1998; Carol *et al.* 2003; Michalopoulos *et al.* 2007; Anastasopoulou 2010; Katsani 2010; Karipidou 2011; Lagoudas 2011; EIPA 2006; 2013).

Following on from the individual assessments, *“the group should meet and agree on the strengths, areas for improvement and the scores on each sub-criterion. A process of dialogue and discussion is necessary, indeed essential as part of the learning experience, to reach consensus as it is very important to understand why differences regarding the strengths and areas of improvement and scoring exist”* (EIPA 2006, p. 33; 2013, p. 63).

Reaching a consensus within the self-assessment team is not an easy task. Actually, the survey of 2005 showed that one organization did not reach a consensus and did not use the scoring system at all. On the other hand, the majority of the organizations did reach consensus after discussion. This process of discussion is the real added value of the self-assessment (Vakalopoulou 2011; Staes 2005). As pointed out by Staes (2005, p. 50) *“evidence and the background to different views became more important this time than the scores”*. As can be seen in the following table reaching consensus in the self-assessment team can be achieved by intense discussions, by taking the statistical means from the individual scores and by arbitration by the chairperson of the SA group.

Table 2.3: Reaching consensus within the Self-Assessment Team(s)

Reaching consensus in the group	N°
Intense group discussions until we reached agreement	92
We took the statistical means of the scores	50
Arbitration by the chairperson of the SA group	14
Other	4

Source: Staes 2005, p. 50

Although taking the statistical means is an obvious way of reaching a consensus within the self-assessment team, it does not offer any added value,

despite the fact that it does not necessarily exclude discussion (Staes 2005).

Finally, in this step the scoring assessment is carried out. CAF provides two ways of scoring, the “classical CAF scoring” and the “fine-tuned CAF scoring”. Both scoring systems rely on the “Plan – Do – Check – Act” (PDCA) cycle.

An interesting finding in the 2011 survey is that, although scoring is compulsory (according to both CAF handbooks); in reality a few organizations using CAF are not scoring at all. It seems that these organizations focus more on the discovery of strengths, weaknesses and areas of improvement than scoring the performance itself.

To sum up, having the above in mind, the figure presented in Appendix 10 can be constructed representing the framework for step 5 in CAF’s implementation process.

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

The next step in CAF’s implementation process is the preparation of a self-assessment report, which should have the following structure for each criterion and sub-criterion:

Figure 2.4: Pro forma Self – Assessment Sheet

CRITERION 1: LEADERSHIP				
Evaluation of Criterion 1 Consider evidence of what the organisation's leadership is doing to...				
SUB-CRITERIA				
1.1 Provide direction for the organisation by developing its mission, vision and values				
1.2 Manage the organisation, its performance and its continuous improvement				
1.3 Motivate and support people in the organisation and act as a role model				
1.4 Manage effective relations with political authorities and other stakeholders				
Sub-criteria	Strengths	Areas for Improvement	Score and Justification / 100	(Optional) Action Items
1.1				
1.2				
1.3				
1.4				
Total / 400				
Average on 100				

Source: EIPA 2006, p. 39; 2013, p. 68

As pointed out in both CAF's handbooks the self-assessment report should consist of at least:

- “1. The strengths and areas for improvement for each sub criterion supported by relevant evidence;*
- 2. A score which is justified on the basis of the scoring panel;*
- 3. Ideas for improvement actions” (EIPA 2006, p. 34; 2013, p. 64).*

Additionally, as it is recommended in both CAF handbooks, at this stage it is essential that the management team officially accept the self-assessment report by signing and approving it. Moreover, it is vital that they communicate the main results to people in the organization and other stakeholders participating (Michalopoulos *et al.* 2007; Anastasopoulou 2010; EIPA 2006; 2013). Communication is an important aspect of this stage as well; as it was at the beginning of the implementation process.

Although communication plays a rather important role for the effectiveness of the entire project it is surprising that organizations do not have a communication plan that involves all parties equally at all implementation stages (Staes 2005).

To sum up, having the above in mind, the figure presented in Appendix 10 can be constructed representing the framework for step 6 in CAF's implementation process.

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

The self-assessment process, as suggested by both CAF handbooks should go beyond just a self-assessment report and lead to a report of actions, to an improvement plan.

This action plan should:

- be the means to provide crucial information on the overall strategic plan of the organization,
- introduce an integrated plan for the organization to improve its functioning,
- integrate a systematic tool for continuous improvement of the organization's functionality and operability,

- be a straightforward result of the self-assessment report, thus reflecting on evidence and data provided by the people of the organization,
- build on the strengths and address the weaknesses of the organization as well as responding to them with the proper improvement actions (Zink and Schmidt 1988; Michalopoulos *et al.* 2007; Anastasopoulou 2010; Katsani 2010; Karipidou 2011; EIPA 2006; 2013)

As the study of 2005 found out, the implementation of CAF led to sustainable improvement activities for 85% of the organizations implemented the model, while on the study conducted in 2003 this percentage was 62% (Staes 2005). Additionally, the similar study made in 2011 indicated that the “78% of the organizations have developed an improvement plan or have integrated improvement actions in the management plan of the organization based on the self-assessment with the CAF. Of those who do not yet have an improvement plan, 12.1% are still working on it, while 10.3% have not developed one at all” (Staes *et al.* 2011, p. 76). Hence, although the majority of the organizations using CAF end up with an improvement plan, a not insignificant percentage of more than 10%, do not adopt improvement actions at all, this means that they do not follow the implementation guideline in its final steps. The reasons for doing so have been identified in both CAF surveys (2005, 2011), and they are presented in the following tables:

Table 2.4: Reasons why an improvement plan was not developed

Reasons	average
Lack of time	3,00
Other priorities	2,71
No real willingness to change	2,41
Lack of financial resources	2,38
Lack of support for giving follow-up	2,32
The results of the self-assessment were not seen as concrete enough	2,24
The results of self-assessment were not accepted as an adequate picture of the organisation	2,00
Key players had not been involved in the self-assessment	1,94
Self-assessment was never meant to lead to improvements (it was just a “health check” of the administration)	1,94
We did not succeed in identifying relevant areas for improvement	1,81
The results of self-assessment were not accepted by key persons	1,81
Other	1,70
The reason for conducting self-assessment was only to take part in an award contest	1,44

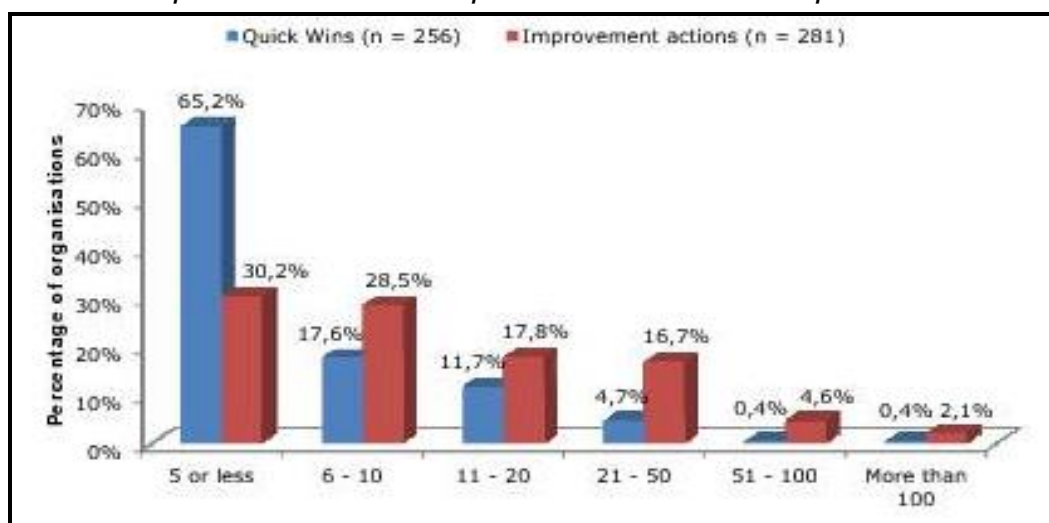
Source: Staes 2005, p. 58

Reasons	Important or very important
A) The organisation had other priorities	75,0%
B) Lack of support for developing an improvement plan	46,9%
C) Self-assessment was never meant to lead to improvements (it was just a "health check" of the administration)	45,5%
D) Lack of time	42,8%
E) No real willingness to change	34,4%
F) Lack of financial resources	33,4%
G) The results of the self-assessment were not seen as concrete enough	30,3%
H) Management had not been involved in the self-assessment	26,7%
I) The reason for conducting the self-assessment was only to take part in an award contest	18,7%
J) We did not succeed in identifying relevant areas for improvement	18,7%
K) The results of the self-assessment were not accepted as an adequate picture of the organisation by the management	16,2%

Source: Staes *et al* 2011, p. 76

On the other hand, as was stated before, the implementation of self-assessment in the majority of the cases led to the adoption of an improvement plan. As Staes *et al.* (2011, p. 77) states *"an ideal improvement plan should contain improvement actions and quick wins. Quick wins are actions that are easy to realize without additional resources and in a very short time. They are crucial because fast concrete results are stimulating: success breeds success"*. In their survey in 2011 they found out that in more than 50% of the cases organizations had one to ten improvement actions. Unfortunately, as can be seen in the following graph a lot of CAF users have not yet discovered the benefits of quick wins.

Graph 2.7: Number of improvement actions and quick wins



Source: Staes *et al.* 2011, p. 77

The importance of identifying and implementing quick wins is also highlighted by Vakalopoulou *et al.* (2013) in their study about the implementation of CAF in Europe, in the case of Europol, and by Flyer *et al.* (2007) in their study about critical success factors of continuous improvement in the public sector.

The next stage in this step, after identifying the improvement actions and the quick wins, is to prioritize them and differentiate them within realistic time scales. In order to do so, two basic questions should be asked:

- Where is the organization going in the medium term? (Supposedly in the following 2 years). Having in mind the overall vision and strategy,
- What actions need to be taken in order to meet these medium-term targets?

Analytically, the organization's management team should take into account the findings of the self-assessment and prepare the improvement plan using the following structured approach:

1. Gather ideas for improvement from the SA and put them under common themes – actions
2. Consider the areas for improvement along with the recommended ideas and formulate certain actions coherent with the existing (if any) organization's strategic plan
3. Prioritize the improvement actions and use for each one agreed criteria to evaluate their impact, such as
 - a. strategic weight of the action (impact on stakeholders, impact on results, impact on society and so on)
 - b. ease of implementation of the actions (time needed, resources needed and so on)
4. Assign for each action person/persons responsible, time schedule, necessary resources (Benavent *et al.* 2005; Michalopoulos *et al.* 2007; Katsani 2010; Karipidou 2011; Lagoudas 2011; Dutt *et al.* 2012; EIPA 2006; 2013).

Additionally, in EIPA (2006, p. 35; 2013, p. 65) it is stated that *"it is a good idea to involve the people who carried out the self-assessment in the improvement activities. This is usually personally rewarding for them and boosts their confidence and morale. They may also become ambassadors for*

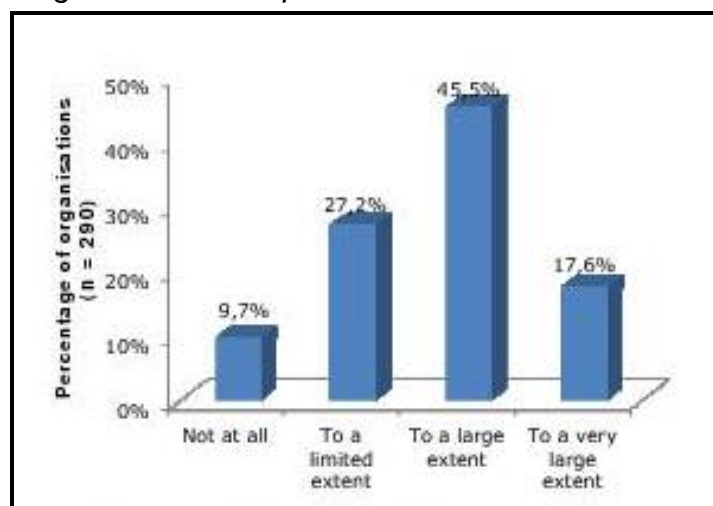
further improvement initiatives”.

Moreover, in this step ways to measure the performance of the improvement actions together with their expected results should be established, i.e. for each action there should be agreed criteria that will evaluate their impact. This will give the opportunity to monitor the entire process of implementing CAF (EIPA 2010)

Afterwards the improvement plan should be officially presented and accepted both by the management team and the political leaders of the organization (Tari *et al.* 2007; Lagoudas 2011; EIPA 2006; 2013).

Finally, in this step, the improvement action plan should be integrated into the normal strategic planning process of the organization and become part of the overall management of the organization (EIPA 2006; 2013; EIPA 2010). Although that integration as pointed out by Davies (2007) is the key to effective implementation of the EFQM Excellence Model, (which is the core model for CAF), CAF users do not give a lot of attention to this point. As Staes *et al.* (2011) found out around 60% of the organizations have integrated the improvement actions to a large or very large extent in their management plan or strategic plan, while around 40% did not. This can be easily demonstrated by the following graph:

Graph 2.8: Integration of the improvement actions in the management plan



Source: Staes *et al.* 2011, p. 82

To sum up, having the above in mind, the figure presented in Appendix 10 can be constructed representing the framework for step 7 in CAF's implementation process.

2.3.8 Step 8: Communicate the improvement plan

Similarly, communication in this stage is vital. The importance of communication during the entire implementation process was thoroughly explained in part 2.2.5 of this study.

In EIPA (2006, p. 35; 2013, p. 66) it is stated that *“an organization should decide individually whether or not it makes the self-assessment report available, but it is good practice to inform the whole staff about the results of the self-assessment i.e. the main findings of the self-assessment, the areas in which action is most needed, and the improvement actions planned. If not, the possibility to create an appropriate platform for change and improvement runs the risk of being lost”*. Additionally, an organization should bear in mind when communicating results, it is always good practice to underline the strengths and emphasize on how to further improve. Hence in this step the communication plan for the improvement actions should be defined. This communication plan should provide the appropriate information with the appropriate media to the appropriate target group at the appropriate moment, addressed to all stakeholders of the improvement actions (EIPA 2010; Lagoudas 2011).

Next in this step the communication plan should be implemented. The areas in which improvement actions are more necessary and the improvement action plan should be communicated to, are the following: the whole staff, the management team, the existing improvement team, the political authority, the customers/citizens/users of the organization, to the strategic partners and to society in general (EIPA 2010; Lagoudas 2011). Additionally, in this step there should be on a regular basis a plan for informing all the relevant stakeholders regularly – especially the people of the organization on the status and progress including evaluations and experiences

To sum up, having the above in mind, the figure presented in Appendix 10 can be constructed representing the framework for step 8 in CAF's implementation process.

2.3.9 Step 9: Implement the improvement plan

The next step in the implementation of CAF in any organization, as suggested by both CAF handbooks (CAF 2006, CAF 2011), should be the implementation of the improvement plan formed in step 7. Staes *et al.* (2011, p. 84) points out that the *“CAF application is not finished once the improvement plan is written. The real challenge is in the implementation of the improvement actions in the day-to-day business of the organization”*. In EIPA (2006, p. 36; 2013, p. 66) it is stated that *“the implementation of these improvement actions should be based on a suitable and consistent approach, a process of monitoring and assessment; deadlines and results expected should be clarified; a responsible person for each action (an ‘owner’) should be assigned, and alternative scenarios for complex actions should be considered”*.

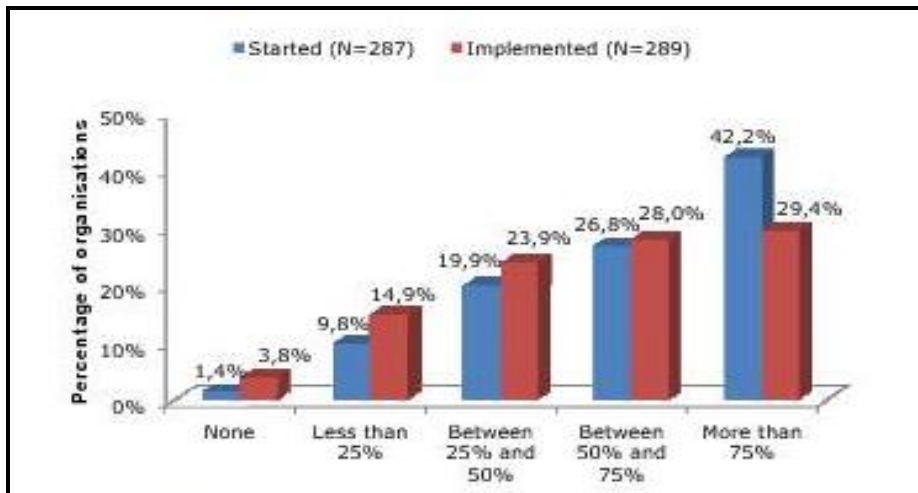
Thus, both CAF handbooks, point out the value of monitoring and evaluating the improvement plan’s implementation process. With monitoring and evaluation, it is possible:

- to regulate the process and correct any implementation problems
- to check what was achieved and its impact

In order to monitor and to evaluate it is essential to ascertain ways to measure the performance and the impact of the improvement actions. An appropriate tool to do so is to use the PDCA cycle for each action (EIPA 2006; 2013; EIPA 2010; Vakalopoulou 2011; Karipidou 2011; Lagoudas 2011).

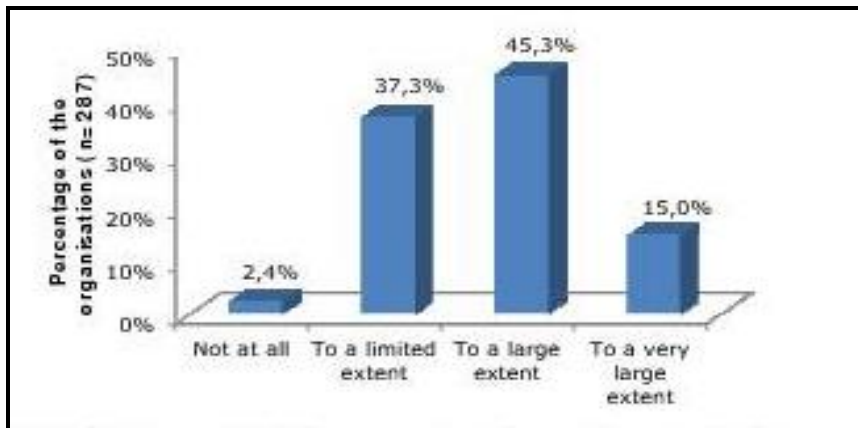
In EIPA (2006, p. 36; 2013, p. 66) it is stated that: *“to fully benefit from the improvements actions they should be integrated in the ordinary processes of the organizations”*. Despite the obstacles encountered in the survey of 2011 about the implementation of CAF, overall the organizations implement improvement plans, which have impact on their functioning and results on their performance (Staes 2011). This can be demonstrated in the following graphs:

Graph 2.9: Improvement actions started up versus implemented



Source: Staes *et al.* 2011, p. 84

Graph 2.10: Impact of the improvement actions on the organization



Source: Staes *et al.* 2011, p. 86

Additionally, in this step it is very important to define clear ownership and ensure transparency in task and responsibility delegations and involve employees in the improvement actions so as to ensure anchoring of the improvement actions of the improvement projects throughout the organization (EIPA 2010).

To sum up, having the above in mind, the figure presented in Appendix 10 can be constructed representing the framework for step 9 in CAF's implementation process.

2.3.10 Step 10: Plan next self – assessment

The survey in 2005, about the implementation of CAF, concluded that the organizations surveyed consent that, in order to be effective, the CAF has to

be applied several times. In fact, 95% of the organizations surveyed intend to use the CAF again (Staes 2005). Additionally, as can be seen in the following table there is a preference towards “every 2 years”. As Staes (2005, p. 60) points out “*the investments in the exercise and the time needed to generate results in the improvement actions motivate this rhythm*”.

Table 2.5: Time table to use the CAF again

	N°	%
Every two years	52	44
Annually	39	33
Every three years	12	10
No preference	8	7
At a later date	5	4
Every four years	1	1

Source: Staes 2005, p. 60

After formulating and implementing the improvement plan it is important to evaluate whether the changes have a positive effect or not. The best way to do so is to implement the self-assessment again, i.e. to apply CAF again (Eriksson and Garvare 2005; Kastani 2010; Vakalopoulou 2011; Karipidou 2011; Lagoudas 2011). As stated in EIPA (2006, p. 37; 2013, p. 67), “some organizations have built regular self-assessment into their business planning process – their assessments are timed to inform the annual setting of objectives and bids for financial resources”.

Moreover, a review and evaluation should be made of the entire process of CAF’s implementation procedure (cost – benefit analysis of the process (SA, Improvement plan), whether the improvement plans gave the expected results, or not, what value comes from the improvement projects, whether the reasons for using CAF were met or not, and so on (Jonas *et al.* 2003; Benavent *et al.* 2005; Seetharaman *et al.* 2006; Ford and Evans 2006; Tari *et al.* 2010; Katsani 2010; EIPA 2010).

Additionally if the organization decides to implement CAF again in the evaluation process of the first implementation experience there should be a consideration about the choices made during the entire process (the reasons for using the model, the Self – Assessment Approach, whether CAF should be implemented in the entire organization or in a “unit”, whether to use a “pilot” or

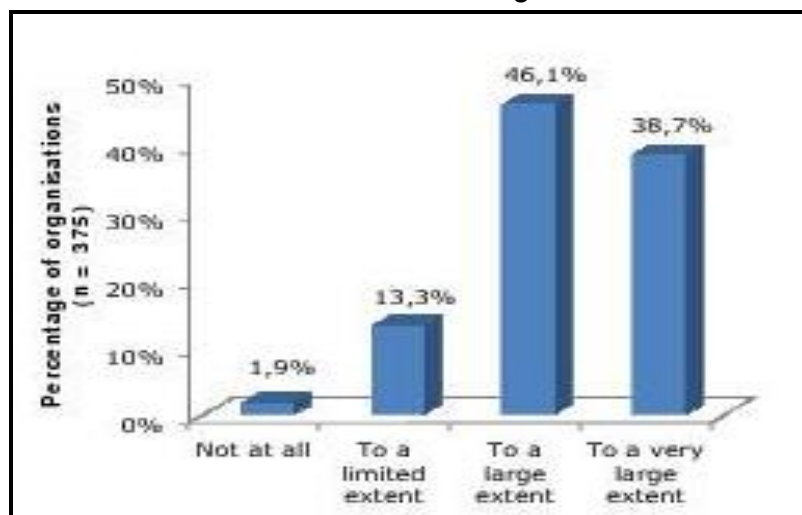
not, to score or not, and so on) and probably to choose differently in the next implementation process (EIPA 2006; 2013). As Fitsilis *et al.* (2011) argue “organizations should have processes to evaluate and measure system’s performance in order that the continuous improvement of the organization is attained”.

To sum up, having the above in mind, the figure presented in Appendix 10 can be constructed representing the framework for step 10 in CAF’s implementation process.

2.3.11 The usefulness of the ten steps guideline for using CAF

Coming to a conclusion, as it was presented in this sub-chapter, both CAF handbooks present a 10-step process of continuous improvement using CAF. Staes *et al.* (2011, p. 89) point out that “these 10 steps serve as an inspiration for people responsible for the CAF application rather than as a precise manual for the process; nonetheless, 85% of CAF users follow these guidelines to a large or very large extent”. This can be seen in the following graph:

Graph 2.11: Extent to which the “Ten steps to improve organizations with CAF” were used as guide



Source: Staes *et al.* 2011, p. 89

Hence, having the above in mind, it is safe to conclude that CAF users find it very useful to follow the guideline suggested by the model’s handbook when

implementing CAF. Moreover, in a lot of cases special guidelines created at the national level to help organizations implement CAF in different European countries (Staes *et al.* 2011).

2.4 Marco – environmental factors affecting CAF's implementation process

Today's organizations are facing an exceptional change in the external business environment and this is characterised by velocity, turbulence, flux and uncertainty (Bani Ismail 2012; Jamali *et al.* 2010). However, managers rarely take account of project environmental influences when they configure their strategies (Ehlers 2009).

According to Mensah *et al.* (2012) the decision to adopt and therefore implement TQM is influenced by the external environment. Additionally, the conditions in the external environment can be seen as forces leading to change (Mersha 1997). Zetie *et al.* (1994) argues that a large number of case studies in the literature confirm that the trigger for TQM implementation was a crisis which had not been solved by other more “conventional” means. Staes and Thijs (2010) agree on that stating that Public Sector needs a shift towards modern management, especially in times of economic crisis and budget cuts in order to create value for the organization as a whole. Moreover Cappelli *et al.* (2011) argue that in the context of reinforcing the urgency of a radical change of the complex Public Sector in the Mediterranean Countries several TQM instruments can be useful as the CAF. Vakalopoulou *et al.* (2013) agrees with that, and states that in time of fiscal crisis, as in the case of Greece, the implementation of CAF is not a luxury but a necessity.

On the other hand, as Rad (2006) states the lack of resources and support in times of fiscal crisis may affect corporate culture and cause problems in TQM successful implementation. Ou-Yang and Tsai (2013) also share this view and although they believe that an economic downturn like the global financial crisis of 2008 may represent a better timing for TQM implementation, they add that the number of resources allocated determines the probability of success of TQM implementation. Zeng *et al.* (2003) in their study about TQM implementation in the Chinese Construction Industry reveal that external factors are more crucial than internal factors in hampering the successful

implementation of TQM.

However, the conditions in the external macro – environment are not only determined by economic factors. According to Ernest and Fred (2012), the external factors include social, legal/political, technological and economic ones. Moreover, as Bowerman (2002) states in the case of TQM implementation in Local Governments the Central government's implied legitimacy can cause a surge in use of TQM. Mellahi and Eyuboglu (2001) in their study about TQM implementation in the Turkish banking sector found out that a key factor to successful TQM implementation were formal national bodies that introduced organizations to TQM and provided assistance during and after TQM implementation. Sadeghian (2010) believes that the external environment (political, economic, social and technological) plays a vital role. As he states, "*organizations are highly influenced by the external environment (political, economic, social and technological); these environments factors make it difficult for organizations to have long term planning, strategies, goal and objectives*" (Sadeghian 2010, p. 265). This uncertainty may hassle the TQM implementation process. Moreover, as Alexander (1985) states, uncontrollable factors in the external environment have an adverse impact in implementation process and cause strategy implementation problems. Additionally, Saleh and Salem (2013) in their study about TQM implementation in Libyan Oil and Gas Companies argues that social environment has a significant impact on the implementation of TQM and on its requirements. Psomas *et al.* (2010) in their study about the ISO 9001 effective implementation in Greek SME service companies found out that a critical area that needs attention by the quality management team are the attributes of the external environment that the organization operates. Temtime (2004) argues that, since the external environment is a significant contingency for TQM implementation, managers should use appropriate means through which they could scan and interpret the environment in which they operate. Martins and Carlos de Toledo (2000) agree on that and propose that an assessment of the current and future external environment should be carried out for the time horizon relating to the TQM implementation. This will cover the economic and technological environment in which a company is operating and likely developments. Prasad and Tata (2003) believe that external conditions (e.g.

socio-cultural, political-legal, economic, and educational factors) have a major influence on how quality management techniques should be adopted, and that these issues have been largely unexamined in the literature. Mohammad (2013), in his literature review study about the reasons that TQM programmes fail, agrees on that and states that one of the main reasons for TQM failure in the inappropriate environment for implementing TQM.

Additionally, in a study that was carried out by Psomas *et al.* (2017) in Greek LAs in order to determine the main TQM factors adopted and the respective results achieved by them, it was concluded, among others, that the Greek LAs, despite the fiscal crisis that dominates the Greek economy and the need for the Greek organizations to improve their quality they have not yet adopted TQM practises in a significant level, due to external reasons. *“It seems that the non-favorable conditions in the Greek political sphere (e.g. lack of stability) have negatively influenced the organizations’ quality improvement effort”* (Psomas *et al.* 2017, p. 56). This study builds on that conclusion in identifying the critical factors for successful implementation of TQM practises, in times of an unstable macro-environment in Greek LAs.

In order to understand the importance of the external macro – environment in CAF’s implementation process PESTEL analysis can be employed. PESTEL analysis refers to the **p**olitical, **e**conomic, **s**ocial, **t**echnological, **e**nvironmental and **l**egal factors influencing the environment in which a firm operates (Shilei and Yong 2009; Pearce and Pons 2013).

In the case of the Greek Public Sector, for the time of the study, the macro-environmental factors are:

Political:

- Political instability, changes in leadership due to differences of political parties towards the austerity measures
- Local Authorities have become more autonomous, regional and Municipal authorities have more responsibilities
- Transparency and performances of excellence are supported by the Ministry of Interior
- Reforms of public management are difficult to be implemented in the macro-level
- Action for the reduction of bureaucracy through ICT is being supported

by the Ministry of Interior

- The Ministry of Interior promotes the implementation of CAF by organizing certain educational seminars

Economic:

- Extremely adverse macroeconomic circumstances (High debt of the country, High Inflation rate, GDP decay)
- Austerity measures and macroeconomic policy subject to scrutiny by the International Monetary Fund and the European Union.
- Yearly decrease of public spending and further increase in future taxes in order to avoid further increase of the government debt
- Decreasing expenses in the public sector due to wage and pension cuts, suspension of recruitments as well as working expenses
- Yearly decrease of Public funding in Local Authorities
- Privatization schemes in the public sector to create revenues for the country
- Substantial Reduction of state shareholdings in state-owned companies.

Social:

- Threatening percentage of population below poverty line
- Increasing unemployment rates especially among young people, tertiary graduates and female
- Reducing trend in public sector expenditures in health and education due to austerity measures
- Dissatisfaction in Greek society and hostility towards Public Sector Employees because they have stable and permanent employment
- Job cuts in the public sector

Technological:

- ICT is a priority field for the country
- Public sector implicates a special Operational Program for “Digital Strategy” to improve the quality of life through the use of information technologies
- e-Government usage is relatively high, and it is expanded

Environmental:

- Greece follows the EUROPE 2020 targets “Resource Efficient Europe”: shift towards a resource-efficient, low carbon economy
- Greece is a member of many environment international agreements

Legal:

- The implementation of “Kallikratis Plan”. “Kallikratis Plan” is the common name of the Greek Law 3852/2010, a major administrative reform in Greece. Named after the ancient Greek architect Kallikratis, the program was presented at the beginning of 2010 and was voted for by the Hellenic Parliament in May 2010. The programme's implementation started with the November 2010 local elections and was completed by June 2011. “Kallikratis Plan” reduced the number of self-governing local administrative units by compulsory merging the 1033 municipalities and communities to just 325 municipalities. Furthermore the “plan” abolished the 51 self-governing prefectures leaving them only in place as regional units. The former prefectures' competencies were transferred to the 13 administrative regions.
- Law 3230/2004 titled “Management by Objectives and Performance measurement”, which is the official paper employing the quality in the Greek public sector. The responsibility for its implementation was assigned to the Director of Quality and Efficiency at the Ministry of Interior.
- Upcoming Presidential Decree for the evaluation of the public sector prepared by the Ministry of Interior. This upcoming Presidential Decree is based upon the adaptation of TQM techniques in general, and particularly in the adaptation of the Balance Scorecard and the implementation of CAF.
- The Ministry of Interior regularly sends circular letters to all Public-Sector Authorities for the implantation of CAF and the implementation of the Law 3230/2004. Additionally, a guide of how to implement CAF was circulated from the Greek Ministry of Interior.

Having the above in mind and the fact that the Technological and Environmental issues were not disturbed during the Greek Debt Crisis the following time-table can be constructed:

Table 2.6: Time table of the Greek Debt Crisis and the external macro-environment

Date	Event			
	Political	Economic	Legal	Social
4 October 2009	The centre left PASOK wins the Greek legislative elections			
20 October 2009		Greece's budget deficit is expected to reach ~12.5% of GDP, according to disclosure by George Papaconstantinou, finance minister in Greece's new PASOK government		
22 October 2009 until 23 December 2009		Greece's credit rating is downgraded rapidly by all the Big Three credit ratings agencies		
9 February 2010		The First austerity package is passed by the Greek parliament		
3 March 2010		The Second austerity package is passed by the Greek parliament		
9 April 2010 until 14 June 2010		Greece's credit rating is downgraded rapidly by all the Big Three credit ratings agencies		
23 April 2010	Prime Minister George Papandreou formally requests an international bailout for Greece			
2 May 2010	The IMF, Greek Prime Minister Papandreou, and other eurozone leaders agree to the First bailout package for €110 billion (\$143 billion) over 3 years			
5 May 2010				Greece-wide riots and popular revolt break out as

				Greece turns violent. There is a 48-hour nationwide strike and demonstrations in two major cities. Three people are killed
6 May 2010		The Third austerity package is passed by the Greek parliament		
May 2010			The Hellenic Parliament adopts the "Kallikratis Plan", which is the common name of the Greek Law 3852/2010	
07 and 14 November 2010	Local elections are held			
November until June 2011			The Kallikratis implementation started with the November 2010 local elections and was completed by June 2011	
14 January 2011 until 27 July 2011		Greece's credit rating is downgraded constantly by all the Big Three credit ratings agencies		
25 May 2011				The Greek Indignant Citizens Movement (also known as the Square Movement) starts daily

				protests
29 June 2011		The Fourth austerity package is passed by the Greek parliament		Protests outside the parliament building. The two-day demonstrations turn violent as protesters clash with police in front of the Greek parliament and other areas of central Athens
20 October 2011		The Fifth austerity package is passed by the Greek parliament,		Protests and violent rioting outside the parliament building
6 November 2011	Prime Minister Papandreou resigns			
12 February 2012		The Sixth austerity package is passed by the Greek parliament		Violent protests take place. Many buildings in the centre of Athens are burned during the riots
21 February 2012	The Second bailout package is finalized. It brings the total amount of eurozone and IMF bailouts to €246 billion by 2016, which is 135% of Greece's GDP in 2013			
6 May 2012	Elections are held. The New Democracy party wins, but with a smaller share of the popular vote and fewer seats than it had in the previous election. The governing PASOK party collapses, while more votes go to the left wing parties (Syriza, KKE, and DIMAR) and right wing			

	parties (ANEL, XA). No party wins the majority of the parliament seats			
16 May 2012	No coalition government is able to be formed, so Panagiotis Pikramenos assumes the position of caretaker Prime Minister. An early election is called for 17 June			
17 June 2012	Early elections are held. The New Democracy party leads, winning 29.7% of the popular vote, but doesn't win a majority of seats in parliament. Four days later, a coalition government is formed between New Democracy, PASOK and DIMAR. Antonis Samaras, the president of New Democracy, becomes the new Prime Minister			
7 November 2012		The Seventh austerity package is adopted by the Greek parliament		
11 June 2013			The Greek parliament shuts down the country's Public Broadcasting service ERT	
21 June 2013	The Democratic Left party withdraws from the Greek coalition government,			

	which retains a razor-thin majority in parliament			
18 May 2014	Local elections are held			
25 May 2014	Syriza wins the European Parliament election			
8 December 2014	Parliament begins attempts to elect a new president to replace outgoing Karolos Papoulias, whose five-year presidential term was due to end in February 2015			
29 December 2014	The government's candidate for the president (a largely ceremonial role), Stavros Dimas, fails to win majority support from parliament, and the government falls. This leads to snap parliamentary elections, which are set to be held on 25 January 2015			
25 January 2015	The Greek legislative election is held. Syriza wins a historic victory			
26 January 2015	Syriza and the Independent Greeks join to form a			

	new coalition government. Alexis Tsipras is sworn in as the new Prime Minister			
20 February 2015	The Eurogroup brokers an agreement between Greece and the eurozone for a four-month loan extension			
27 June 2015	Prime Minister Tsipras announces a referendum on a bailout agreement, to be held on 5 July 2015			
5 July 2015	The Greek bailout referendum is held. Over 61% vote against the proposed measures by the Juncker Commission, the ECB and the IMF			
14 August 2015	Greek parliament approves the package of measures for the third bailout package			
20 August 2015	The prime minister Alexis Tsipras resigns and proclaims elections for 20 September			
20 September 2015	The Greek legislative election is held. Syriza wins with 7.5 point over New Democracy			
23 September 2015	The new government is sworn in			
19 November 2015		The government passes a new austerity package. Two deputies of the government's coalition vote against the measures and they were expelled. The new majority consists of 153 deputies		

28 June 2015		Tsipras announces that Greek banks will remain closed for a while; he also announces the imposition of capital controls
20 July 2015		Greek banks open again, but capital controls remain. The Greek government repays two loans to the IMF and ECB
8 May 2016		A new austerity package (the thirteenth one) to the tune of 5.4 billion euros is passed by the Greek parliament

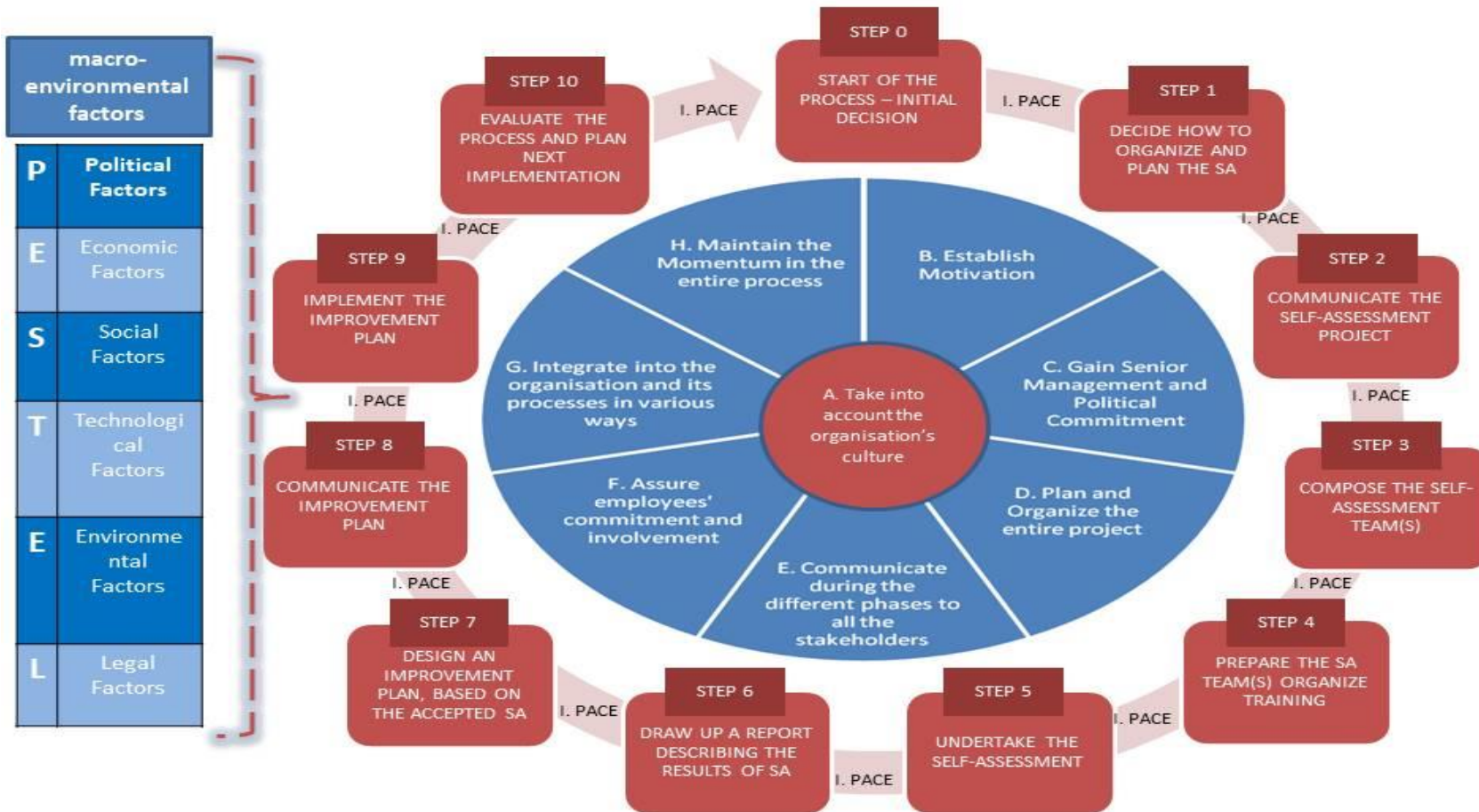
Source: https://en.wikipedia.org/wiki/Greek_government-debt_crisis_timeline (visited 12/12/2017)

2.5 The framework for implementing CAF successfully

Following on from the critical success factors for implementing CAF that presented in section 2.3, the steps to be followed that were presented in section 2.4 and Appendix 10 and the macro – environmental factors affecting CAF’s implementation process, the literature review identified the framework for implementing CAF successfully. This framework is presented in the following figure:

Figure 2.5: Framework for implementing CAF

Framework for implementing C.A.F.



2.6 Chapter Summary

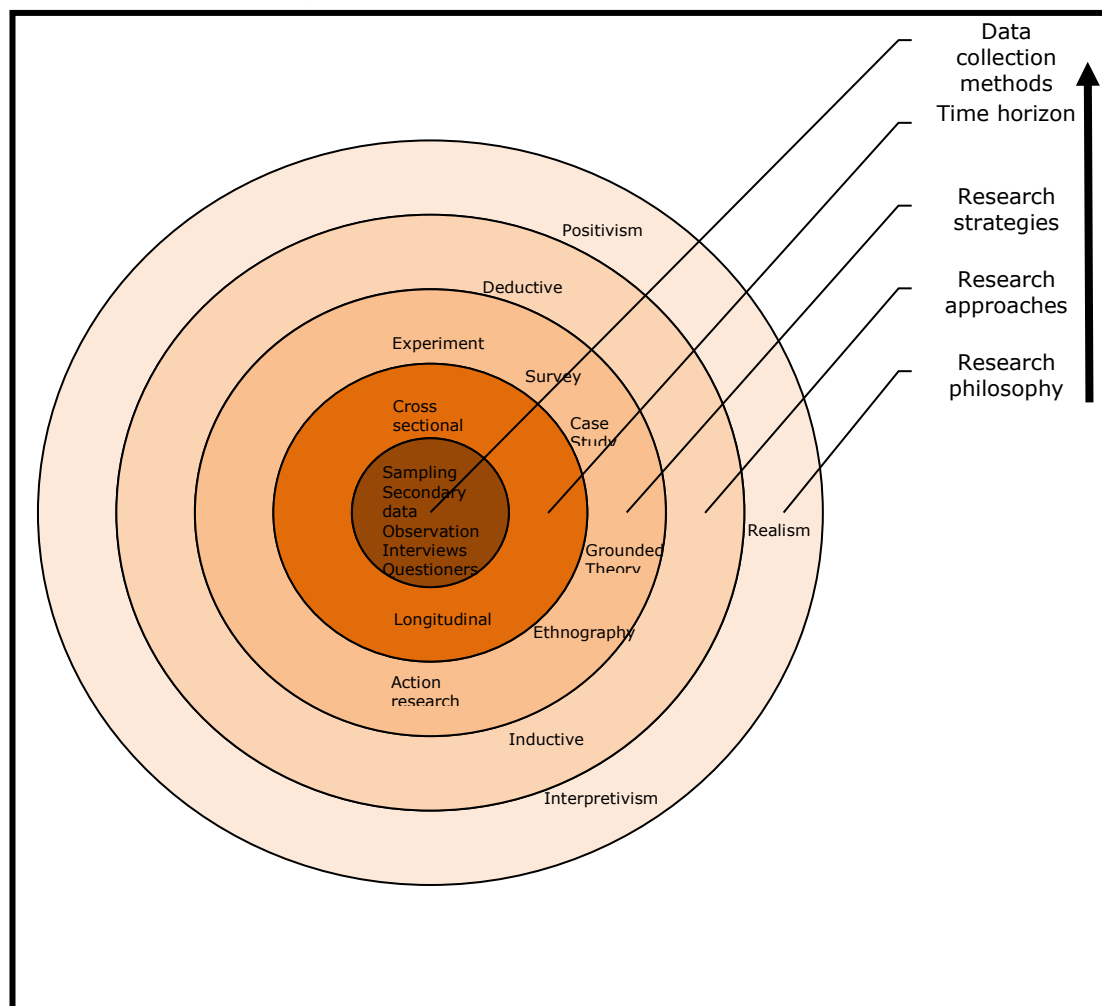
In this chapter the theoretical framework of this study was presented. This theoretical framework consists of the issues that an organization has to have in mind when implementing CAF along with the steps to be followed in order to be successful. This theoretical framework, following the methodology that will be presented in the next chapter will be tested in the case studies of this research.

3. Methodology

3.1 Chapter Introduction

In each research, methodology issues are the key factors of its success. At the beginning of each project the researcher deals with a dilemma, about which methodology to follow in order to come up with the best result. As Hussey and Hussey (1997) points out, the term methodology refers to the overall approach to the research procedure. The different types of procedures, along with the different approaches and philosophies of research can be best demonstrated by the following figure:

Figure 3.1: The research process “onion”



Source: Saunders *et al.* 2003, p. 83

Hence, designing the research methodology of any research project means, finding the way from the outer circle of the above figure to its inner

circle, in other words, finding the way to unravel the research's "onion".

3.2 The Philosophy of the Research

According to Saunders *et al.* (2003, p. 83) *"three views about the research process dominate the literature: positivism, interpretivism and realism"*. If someone adopts the positivism, then will probably adopt the philosophical stance of a natural scientist, i.e. will prefer to work as an observer, and use quantifiable methods that lead to statistical analysis (Saunders *et al.* 2003). On the other hand, if someone believes that the research into the social world of business and *management* *"is far too complex to lend itself to theorising by definite laws"* (Saunders *et al.* 2003, p. 84), then adopts the interpretive way of thinking. Finally, as pointed out by Saunders *et al.* (2003, p. 84), *"realism is based on the belief that a reality exists that is independent of human thoughts and beliefs"*.

Nevertheless, the above views of research process can all be adopted in the research into the social world of business and management, since no approach is prior better than the other. Each approach is better at doing different things; which is better, depends on the research questions and the objectives of each research (Saunders *et al.* 2003). Actually, in practise *"research rarely falls neatly into only one philosophical domain. Business and management research is often a mixture between positivistic and interpretivist, perhaps reflecting the stance of realism"* (Saunders *et al.* 2003, p. 85).

Having the above in mind, and due to the fact that this research has an exploratory and explanatory purpose (what is happening, why and how) it mainly adopts a realistic and interpretivist philosophy.

3.3 The Approach of the Research

According to Saunders *et al.* (2003) there are two main approaches to research: the deductive approach and the inductive one. *"When using the deductive approach, you develop a theory and hypothesis (or hypotheses) and design a research strategy to test the hypothesis, while when using the inductive approach, you collect data and develop theory as a result of your data analysis"* (Saunders *et al.* 2003, p. 85). Saunders *et al.* (2003, p. 85), furthermore argues that *"the deductive approach owes more to positivism and*

the inductive approach to interpretivism, although such labelling is potentially misleading and of no practical value”.

On the other hand, Gadde and Dubois (2002) argue that the logic of abductive approach is more useful than just use of the pure inductive or deductive approach. Additionally, Lukka and Modell (2010), state that abductive approach is gradually accepted as an important part in interpretive research.

This research follows three steps:

1. Identifies through the literature review the theoretical framework for the successful implementation of CAF in Greek LAs, in times of an unstable macro-environment
2. Investigates how this framework worked in a number of case studies
3. Reflects back in the literature and into the theoretical framework, the findings of the case studies, so as to contribute into the knowledge of TQM implementation issues in times of an unstable macro-environment.

Hence, this research adopts the abductive approach, by combining the deductive and inductive approach. It begins by adopting the deductive approach, by creating through the literature review the theoretical framework and the propositions for implementing CAF successfully in an unstable macro-environment, propositions which then are investigated in the case studies It continues adopting the inductive approach by reflecting into the theoretical framework the findings from the case studies in order to contribute into the knowledge TQM implementation, creating the theoretical framework for successful implementation.

3.4 Choice of Research Strategy

The selection of the strategy of the research depends on the nature of the questions, aims and objectives of the research.

To begin with the research questions; the primary one is a “how?” question. Following on, the research has four secondary questions; two “what?” one “why?” and one “how?”. The “what?” secondary questions will be answered through the literature review, since they refer to aspects of the theoretical framework of the implementation of CAF in Greek LAs.

According to Saunders *et al.* (2003, p. 93), *“the case study strategy has considerable ability to generate answers to the question “why?” as well as the “what?” and “how?” questions, although “what?” and “how?” questions tend to be more the concern of the survey strategy”*. This use of the case study strategy is also pointed out by Yin (1994; 2003). Yin (1994), cited by Davies (2004, p.101), states that there are *“five main research strategies; experiment, survey, archival analysis, history and case study”*, and describes *“three conditions which need to be considered in order to distinguish the most appropriate research strategy to be employed. These three conditions are: (a) the type of research question posed (b) the extent of control an investigator has over actual behavioural events (c) the degree of focus on contemporary as opposed to historical events”*. The selection of the appropriate strategy can be done following the table presented in Appendix 11. According to this table, the most appropriate strategy for this research is the case study strategy since:

- a) It gives answers to “why?” and “how?” questions,
- b) The researcher has no control over behavioural events (the implementation of CAF has been carried out in the past in all cases)
- c) The researcher focuses on contemporary (current, modern) and not historical (“dead” past) events

Continuing on, with the nature of the research’s aims and objectives they are concerned with “finding out”, “exploring” and “investigating” the phenomenon of interest. Hence, the aims and objectives of this research involve exploration, investigation and gain a rich, in-depth understanding of the phenomenon of interest. According to Fisher (2007, p. 59) *“the issue (regarding the choice of research strategy) is whether the researcher is trying to obtain a broad and representative overview of a situation, in which case a survey approach would be appropriate, or an in-depth understanding of particular situations, in which event case studies will be appropriate”*.

Moreover, according to Jonas *et al.* (2003) case studies are performed to obtain in-depth knowledge of TQM implementation process. Such approach is suitable because the boundaries between the phenomena and their contexts are not obvious. In these cases, the phenomena are the implementation processes. Moreover, according to Yin (2003), although case studies lack the

ability to statistically generalize, they are suitable for making theoretical generalizations.

Having the above in mind it is more than obvious that this research cries out for the adoption of the case study strategy.

Nevertheless, it must be stated that although the case study research strategy has a lot of strengths; can help understand complex inter-relationships, is grounded in “real life” situations, facilitate the exploration of the unexpected and unusual, can facilitate rich conceptual/theoretical development, is suitable for investigating complex social units, results a rich and holistic justification of the phenomenon of interest (Hodkinson and Hodkinson 2001; Stake 1995; Yin 1994; 2003), has some limitations as well that should be taken into account when it is being used. Flyvbjerg (2006, p. 221) debates on five misunderstandings of the case study strategy “a) *general, theoretical (context-independent) knowledge is more valuable than concrete, practical (context-dependent) knowledge*, b) *a researcher cannot generalize on the basis of an individual case, therefore, the case study cannot contribute to scientific development*, c) *the case study is most useful for generating hypotheses; that is, in the first stage of a total research process, whereas other methods are more suitable for hypotheses testing and theory building*, d) *the case study contains a bias toward verification, that is, a tendency to confirm the researcher’s preconceived notions* and e) *it is often difficult to summarize and develop general propositions and theories on the basis of specific case studies*” and explains how these issues can be effectively addressed. Moreover, Hodkinson and Hodkinson (2001) refer to some limitations the researcher have to take into account when using case studies; there are too much data for easy analysis, there are very expensive when implemented on a large scale, the complexity examined is difficult to be represented simply, the results are not generalisable in a conventional sense, they are strongest when researcher expertise and intuition are maximised, but this raises doubts about their “objectivity”, they are easy to dismiss, by those who do not like the messages that they contain, they cannot answer a large number of relevant and appropriate research questions. These limitations are highly being debated in the literature and the tools to be employed to restraint these limitations are also given. These tools will be thoroughly explained in

section 3.7 of this chapter.

3.5 The Time Horizon of the Research

A crucial decision to make at the beginnings of each research study is its time horizon. Research can either be a “snapshot”, meaning taken at a particular time, or a “diary” meaning investigating events over a period of time. The first type of studies are called cross-sectional and the second type are called longitudinal (Saunders 2003). This research is definitely a cross-sectional study since it investigates a particular phenomenon at a particular time, the “implementation of CAF in Greek LAs”.

3.6 Data Collection Methods

According to Yin (2003), there are six major sources of evidence; documents, archival records, interviews, direct observation, participant-observation and physical artefacts. Each one has its advantages and its drawbacks, as can be seen in the following table:

Table 3.1: Six Sources of Evidence: Strengths and Weaknesses

Source of Evidence	Strengths	Weaknesses
Documentation	<ul style="list-style-type: none"> • Stable - can be reviewed repeatedly • Unobtrusive - not created as a result of the case study • Exact - contains exact names, references, and details of an event • Broad coverage - long span of time, many events, and many settings 	<ul style="list-style-type: none"> • Retrievability - may be low • Biased selectivity, if collection is incomplete • reporting bias – reflects (unknown) bias of author • access - may be deliberately blocked
Archival Records	<ul style="list-style-type: none"> • [same as above for documentation] • precise and quantitative 	<ul style="list-style-type: none"> • [same as above for documentation] • accessibility due to privacy reasons
Interviews	<ul style="list-style-type: none"> • targeted - focuses directly on case study topic • insightful – provides perceived causal 	<ul style="list-style-type: none"> • bias due to poorly constructed questions • response bias • inaccuracies due to poor recall

	inferences	<ul style="list-style-type: none"> • reflexivity - interviewee gives what interviewer wants to hear
Direct Observations	<ul style="list-style-type: none"> • reality - covers events in real time • contextual - covers context of event 	<ul style="list-style-type: none"> • time consuming • selectivity - unless broad coverage • reflexivity - event may proceed differently because it is being observed • cost - time needed by human observers
Participant Observation	<ul style="list-style-type: none"> • [same as above for direct observations] • insightful into interpersonal behaviour and motives 	<ul style="list-style-type: none"> • [same as above for direct observations] • bias due to investigator's manipulation of events
Physical Artefacts	<ul style="list-style-type: none"> • insightful into cultural features • insightful into technical operations 	<ul style="list-style-type: none"> • selectivity • availability

Source: Yin (2003, p.86)

Having the above table in mind it is obvious that there is no single source of evidence that has an absolute advantage over the others. As Yin (2003, p.85) states *“the various sources are highly complementary, and a good case study will therefore want to use as many sources as possible”*.

In this research it is more than obvious that “direct observations” and “participant observations” are not applicable, due to the fact that the researcher does not participate to any of the case study implementations of CAF (which all took place in the past). Additionally, none of the implementations gives physical artefacts, so the “physical artefacts” source of evidence is not an option either.

Hence, the ones that are applicable to this research, and were used, are:

- Documents
- Archival Records, and
- Interviews

3.6.1 Documents

According to Yin (2003, p. 85) *“this type of information can take many forms and should be the object of explicit data collection plans”*. Yin (2003, p. 85) continues on by suggesting the following variety of documents that maybe available in a case study research:

- *” Letters, memoranda, and other communiques.*
- *Agendas, announcements and minutes of meetings, and other written reports of events.*
- *Administrative documents - proposals, progress reports, and other internal documents.*
- *Formal studies or evaluations of the same "site" under study.*
- *Newspaper clippings and other articles appearing in the mass media”.*

According to Saunders *et al.* (2003) documentary data include both written and unwritten material. Written documents include *“notices, correspondence, minutes of meetings, reports to shareholders, diaries, transcripts of speeches, journal and magazine articles and newspapers”* Saunders *et al.* (2003, p.190). On the other hand, non-written documents include *“tape and video recordings, pictures, drawings, films and television programmes, DVDs and CD-ROMs”* Saunders *et al.* (2003, p.191). The actual importance of documents also pointed by Yin (2003) is to corroborate and augment evidence from other sources.

Actually most studies reviewed in the literature part of this research, which used the case study research strategy to their research about TQM implementation issues, had also used documentary data; Karipidou (2011) in her study about the implementation of CAF in the Periphery of Central Macedonia; Tari´ (2010) in his study about the difficulties, benefits and success factors of self-assessment in a public university in Spain; Davies (2004) in his study about the effectiveness of the implementation of EFQM in UK Universities and the importance of integration; Benavent *et al.* (2005), in their study about the variables and relationships underlying self-assessment application in three Spanish organizations with a broad experience in self-assessment application; Jonas *et al.* (2003) in their study about successful implementation of TQM, TPM or RCM in Sweden industry; Yusof and Aspinwall (2001) in their study about the implementation of TQM in the UK

automotive SMEs; Ladawan and James (1998) in their study about TQM implementation in Thailand.

Having the above in mind the author thought that the sort of documents that might have been available for reviewing in this study were:

- Agendas and minutes of meetings.
- Improvement planning, action and review documents.
- Letters, memoranda.
- Newsletters.
- Presentations.
- Project plans, progress reports.
- Reports.
- Self-assessment reports.
- Strategic or business plans.

That is why the researcher, prior to the site visits to the case study organizations, informed the contact person (either the General Secretary or the Mayor of the Municipalities), about the accessibility to the above documents, in order for each case to be included in the study (Appendix 12).

3.6.2 Archival Records

As Saunders *et al.* (2003) points out, the term archival records refer to both recent and historical documents although it has historical connotations. Additionally, Yin (2003) gives some examples of archival records that can be used in case studies:

- *“Service records, such as those showing the number of clients served over a given period of time.*
- *Organizational records, such as organizational charts and budgets over a period of time.*
- *Maps and charts of the geographical characteristics or layouts of a place.*
- *Lists of names and other relevant items.*
- *Survey data, such as census records or data previously collected about a “site”.*
- *Personal records, such as diaries, calendars, and telephone listings”.*

Yin (2003 p. 89)

Moreover, according to Yin (2003, p. 89) *“archival records can be used in conjunction with other sources of information in producing a case study. However, unlike documentary evidence, the usefulness of these archival records will vary from case study to case study. For some studies, these records can be so important that they can become the object of extensive retrieval and quantitative analysis. In other studies, they may be only passing relevance”*.

Having the above in mind the researcher, thought that the relevant archival records to this study were personal diaries of the interviewees (in order to confirm dates and procedures during CAF’s implementation process), organizational charts and the organization’s reports about CAF (in order to provide the profile of the case study organization). In both cases, the researcher, prior to the site visits to the case study organizations, informed the contact person (either the General Secretary or the Mayor of the Municipalities) and the interviewees, about the accessibility to the above archival records (Appendix 12 and Appendix 13, respectively).

3.6.3 Interviews

According to Yin (2003, p. 92) *“interviews are an essential source of case study evidence because most of case studies are about human affairs. These human affairs should be reported and interpreted through the eyes of specific interviewees, and well-informed respondents can provide important insights into a situation”*.

Actually in the past in a lot of studies that used the case study research methodology to their research about TQM implementation issues, the most commonly used research method is the method of interviews (for example: Barraza *et al.* (2009) in their study about the implementation of the Lean-kaizen improvement initiative in Spanish local government, using in-depth and semi-structured interviews; Benavent *et al.* (2005) in their study about a proposed self-assessment tool in three Spanish organizations, using semi-structured interviews; Davies (2004) in his study about the effectiveness of the implementation of EFQM in UK Universities and the importance of integration, using semi-structured interviews; Jonas *et al.* (2003) in their study about increasing the odds for successful implementation of TQM, TPM or RCM

strategies; Tari' (2010) in his study about the self-assessment processes and the importance of follow-up for success, using structured interviews; Tari' and Juana-Espinosa (2007) in their study about the implementation of EFQM model self-assessment using a questionnaire approach in university administrative services, using semi-structured interviews; Yusof and Aspinwall (2001) in their study about the implementation of TQM in the UK automotive SMEs; Vouzas and Gotzamani (2005) in their study about the contribution of the new ISO 9000:2000 series of standards in Greek organizations on their road to business excellence, using semi-structured interviews; Yusof and Aspinwall (2000) in their study about the TMQ implementation in SMEs; Ladawan and James (1998) in their study about TQM implementation in Thailand, using structured interviews).

Having the above in mind the author thought that interviewing the people involved in the implementation of CAF in each case will be an appropriate research method for this case study research. Moreover, great attention in this research method must be paid concerning the designing and conduction of the interviews (Davies 2004). This issue has basically to do with the type of interview that will be used.

According to literature there are three types of interviews:

- Structured or pre - codes interviews
 - Open or unstructured interviews
- and
- Semi – structured interviews.

Structured or pre-coded interviews are controlled by the researcher. As Fisher (2007 p. 159) states *"in these interviews the interviewer generally reads from a prepared script and is expected not to deviate from it. The questions asked are organized into a logical sequence, and for most questions the respondent is given a series of options and asked to choose a given number of them"*. This is also pointed out by Saunders *et al.* (2003, p. 246), by stating that *"structured interviews are questionnaires based on a predetermined and standardised or identical set of questions"*

Open or unstructured interviews are informal. According to Fisher (2007, p. 159) in an open interview the *"interviewer engages in informal conversation with the respondent about a particular area of interest. The interviewer may*

steer the conversation a little, by picking up on the cues and themes raised by the respondent, but generally the respondent leads the direction of the interview". This is also pointed out by Saunders *et al.* (2003, p. 247), by stating that in unstructured interviews *"there is no predetermined list of questions to work through, although you need to have a clear idea about the aspect or aspects that you want to explore. The interviewee is given the opportunity to talk freely about events, behaviour and beliefs in relation to the topic area"*.

Semi - structured interviews are in between. According to Fisher (2007, p. 159) in a semi – structured interview, *"the interviewer has a schedule about the topics that need to be covered by the responder. However, the respondent has much latitude to respond to the questions in the way that seem sensible to them"*.

The researcher, for the purpose of this research, decided that semi – structured interviews will be more suitable, due to the fact that all the main propositions of the study had to be covered by the interviewees. On the other hand, the interviews did not have to be strictly structured because there was no point into giving to the interviewees a restrict series of options and ask to choose out of them. This decision is highly supported by the literature. According to Saunders *et al.* (2003, p. 248) *"semi – structured interviews are used in qualitative research in order to conduct discussions not only to reveal and understand the 'what' and the 'how' but also to place more emphasis on exploring the 'why'"*. Additionally, Saunders *et al.* (2003, p. 248) state that *"in an explanatory study, semi – structured interviews can be used"*. Hence, since this study has both exploratory and explanatory aims, and deals with answering 'how', 'why' and 'what' questions, semi – structure interview is an appropriate research method. The detailed interview design, which includes the context of the interview, the procedure, the choice of the interviewees, the contact of the interviews and the time and location is given later in this chapter.

3.6.4 Principles of Data Collection Methods

In each case study research a crucial matter is to find methods to establish reliability and validity of the case study evidence. In order to achieve this, the

researcher has to maximize the benefits of the different data collection methods used while at the same time to overcome their disadvantages. A way to do so is to follow three principles:

- the principle of using multiple sources of evidence,
- the principle of creating a case study data base
and
- the principle of maintaining a chain of evidence.

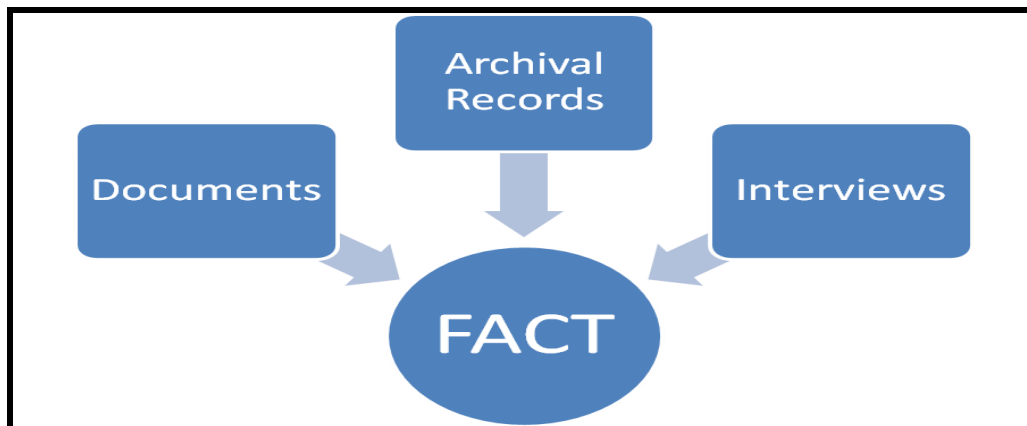
According to Yin (2003, p. 97) *“these principles are relevant to all six sources, and when used properly, can help to deal with the problem of establishing construct validity and reliability of the case study evidence”*. Actually, in the majority of the literature reviewed that used the case study research strategy as a methodological tool these principles were followed by the researchers (Davies (2008); Benavent *et al.* (2005); Tari’ (2010); Yusof and Aspinwall (2001); Ladawan and James (1998)). Hence these principles were followed in this research as well.

3.6.4.1 Multiple Sources of Evidence

As Yin (2003, p. 97) states *“the approach to individual sources of evidence is not recommended for conducting case studies. On the contrary, a major strength of case study data collection is the opportunity to use many different sources of evidence”*. This rationale of using various sources of evidence in a research strategy is called “triangulation”. According to Saunders *et al.* (2003, p. 99) *“triangulation refers to the use of different data collection methods within one study in order to ensure that the data are telling you what you think they are telling you”*. Moreover Yin (2003, p. 98) argues that “the use of multiple sources of evidence in case studies allows an investigator to address a broader range of historical, attitudinal, and behavioural issues. However, the most important advantage presented by using multiple sources of evidence is the development of converging lines of inquiry. Hence, by triangulating several sources of evidence in a case study the findings are likely to be much more convincing and accurate (Yin 2003). Moreover, according to Taylor and McAdam (2003) data verification is enhanced by triangulation.

Having the above in mind the author triangulated all the three sources of evidence used in this research as described in the following figure:

Figure 3.2: Convergence of Evidence



Source: adapted by Yin (2003, p.100)

3.6.4.2 Case Study Data Base

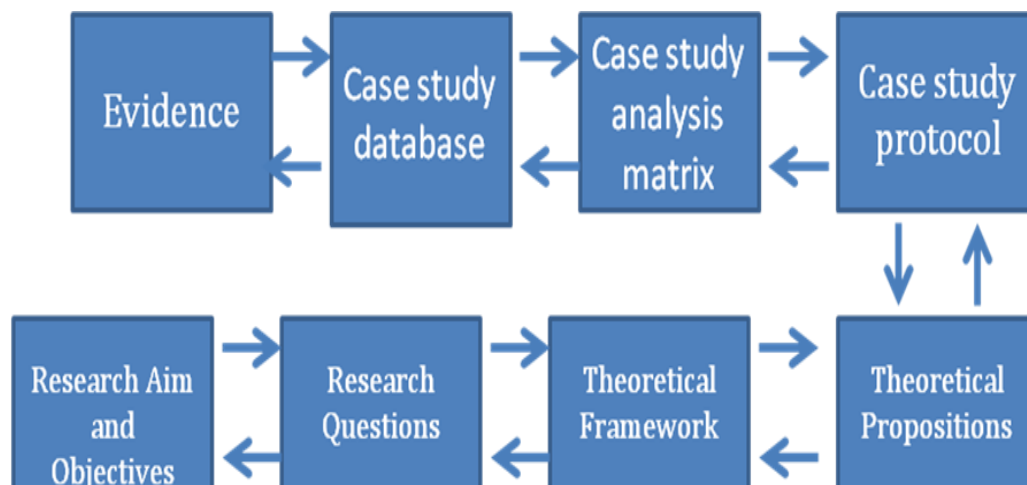
The case study data base has to do with the way of organizing and documenting the various data collected in the case study. The researcher has to distinguish between the data presented in the case study report and led to the case study's conclusions and the raw data kept in the case study data base. When having done so, any critical reader is able to inspect the raw data and critically reflect on the researcher's findings and conclusions (Yin 2003). According to Yin (2003, p. 102) *"every case study project should strive to develop a formal, presentable database, so that in principle other investigators can review the evidence directly and not be limited to the written case study reports"*. Having the above in mind for the purpose of this study the case study data base will contain the following:

- Archival Records used for the background of the case study organizations
- Documents retrieved from the cases
- The typed records of the forms used to contact the case study organizations
- The typed records of the forms used to contact the interviewees in each case study
- The typed records of the semi-structured interviews
- The digital recorder's electronic files that will be recorded during the interviews

3.6.4.3 Chain of Evidence

The chain of evidence helps a case study research address the methodological problem of construct validity and increases the reliability of the research (Yin 2003). As Yin (2003, p. 105) states the principle of maintaining a chain of evidence is “to allow an external observer to follow the derivation of any evidence, ranging from initial research questions to ultimate case study conclusions” and continues by arguing that “this external observer should be able to trace the steps in either direction – i.e. from conclusions back to initial research questions or from questions to conclusions”. Having the above in mind the author for each case within this study has constructed a chain of evidence as described in the following figure:

Figure 3.3: Chain of Evidence



Source: adapted by Yin (2003, p.100)

3.7 Research Design

The research design is the link among the research question of the study, the data that is to be collected and the conclusion of the research. According to Yin (2003, p.20) the research design is “the logical sequence that connects the empirical data to a study’s initial research question and, ultimately, to its conclusions. Colloquially, a research design is a logical plan for getting from here to there, where here may be defined as the initial set of questions to be answered and there is some set of conclusions (answers) about these questions”. Additionally, another way of addressing the research design of a project is by addressing a “blueprint” of the research by dealing with at least

four issues:

- what questions to study,
- what data are relevant,
- what data to collect,
- how to analyze the results (Davies 2004).

It must be noted that a research design is much more than a work plan. As Yin (2003, p.21) states *“the main purpose of a research design is to help to avoid the situation in which the evidence does not address the initial research question”*

The research design of this study can be shown in the following figure:

Figure 3.4: The Research design of this study



According to Yin (2003) there are four tests that are commonly used to establish the quality of a research design. As Kidder and Judd (1986, p. 26-29; cited by Yin 2003, p. 34) state these four tests are:

- *“Construct validity: establishing correct operational measures for the*

concepts being studied.

- *Internal validity: establishing a causal relationship, whereby certain conditions are shown to lead to other conditions, as distinguished from spurious relationships.*
- *External validity: establishing the domain to which a study's findings can be generalized.*
- *Reliability: demonstrating that the operations of a study - such as the data collection procedures- can be repeated, with the same results”.*

Following on, according to (Yin 2003) there are various case study tactics that can be applied in the different phases of a research in order to ensure that the above four tests are met. The following table describes the phases of the research, the case study tactics to be employed and the tests that will be met.

Table 3.2: Ensuring the quality of the research design of this study

Tests	Case Study Tactics	Phase of the research in which tactic occurs
Construct validity	Use multiple sources of evidence	Data collection
	Establish chain of evidence	Data collection
	Have key informants review draft case study report	Composition
Internal validity	Do pattern-matching	Data Analysis
	Do explanation-building	Data Analysis
	Address rival explanations	Data Analysis
	Use logical models	Data Analysis
External validity	Use theory in single – case studies	Research Design
	Use replication logic in multiple-case studies	Research Design
Reliability	Use case study protocol	Data collection
	Develop case study database	Data collection

The use of multiple sources of evidence, along with the establishment of the chain of evidence and how these case study tactics will contribute to establish construct validity of the research has already been explained (section 3.6.4.1 and 3.6.4.3). Moreover, the use of developing a case study data base and how this tactic will contribute to establish reliability of the research has already been explained (section 3.6.4.2). The rest of the above case study tactics and how these were applied are explained in the next

sections of this chapter.

3.7.1 Case Study Research Design

This section of the methodology chapter deals with the research design of this study by describing and explaining, the components of the case study research design, the types of case study design and the selection of the cases.

3.7.1.1 Components of Case Study Research Design

According to Yin (2003, p. 21) there are five components of a research design:

1. *“a study's questions;*
2. *its propositions, if any;*
3. *its unit(s) of analysis;*
4. *the logic linking the data to the propositions; and*
5. *the criteria for interpreting the findings”*

1. The study's questions

As explained earlier in this chapter the questions of the research, which were presented in section 1.6 of this report, led to the selection of the case research strategy to meet the aim and objectives of this research.

2. The study's propositions

According to (Yin 2003, p. 23) proposition *“directs attention to something that should be examined within the scope of the study”*. In this study the propositions derive from the framework of successfully implementing CAF as presented earlier in chapter 2, which was created having in mind the relevant literature. In other words, the propositions of this study are, the *issues derived* from the literature, which *issues are presented* in the theoretical framework, which framework will *be used to design the research tools*, which will be applied to *gather primary data* from the case studies.

These propositions are:

For the CAF to have been successfully implemented in Greek Local Authorities the following propositions are likely to have occurred:

Proposition 1: The decision for implementing CAF would have taken into account the organization's culture, i.e. some or all of the following would have been made:

- An assessment of the current quality culture of the organization would have been carried out
- A decision which BEM will be used by considering CAF alternatives, and CAF benefits would have been made
- A decision to implement CAF would have been made
- A decision to implement CAF either in the entire organization or in a department would have been made
- A decision whether to do a "pilot" implementation or not would have been made
- A selection on the approach to SA would have been made

Proposition 2: Clear motive(s) for implementing CAF would have been established at an early stage, i.e.

- An identification for the reasons for using CAF would have been made, including both:
 - internal reasons, and
 - external reasons

Proposition 3: Senior management and political commitment for implementing CAF would have been gained, by having done some or all of the following:

- Commitment would have been stimulated through communication
- A decision for implementing CAF would have been made, including some of the following:
 - Clarification that the results will be respected
 - Clarification that the improvement actions will be followed
 - Allocation of the resources needed for the project
 - A guarantee that the entire process will be dealt with in an open-minded way by all parties
- Training would have occurred, by having done some of the following:
 - The model would have been explained
 - TQM concepts would have been explained
 - Ownership and commitment would have been promoted

- The SA report would have been officially accepted both by the management team and the political leadership
- The improvement action plan would have been officially accepted both by the management team and the political leadership

Proposition 4: Planning and organizing of the entire process would have occurred, by having done some or all of the following:

- A project leader would have been appointed
- The entire process would have been planned
- Resources for the SA would have been allocated
- A decision whether to score or not would have been made
- The number of the SA team(s) would have been decided
- SA team(s) would have been created
- The chair of the SA team(s) would have been chosen
- Responsibilities to each member of the SA team(s) would have been assigned
- Preparation of the SA team(s) would have been made by having done some or all of the following:
 - the model would have been explained
 - the purposes and process of the SA would have been analyzed
 - the key stakeholders, the products and services, and the key processes would have been defined
- The member of the SA team(s) would have been trained, i.e.:
 - A training plan would have been established and implemented
- The improvement actions would have been prioritized
- A responsible person for each improvement action would have been appointed
- A structured action plan for the selected improvement actions would have been made

Proposition 5: Communication during the different phases of the process would have occurred, by having done some or all of the following:

- A communication plan would have been defined

- This communication plan would have been implemented during the different phases of the process, i.e.:
 - Communication would have been occurred during the different phases among all the stakeholders (whole staff, management team, existing improvement team, political authority, customers/citizens/users, strategic partners, society in general)
- Involvement in the SA of the senior managers and the employees would have been stimulated
- The SA report would have been communicated to all parties
- All the relevant stakeholders would have been informed about the improvement plan (the areas in which action is most needed, the improvement actions planned)

Proposition 6: Employees' commitment and involvement for implementing CAF would have been gained, by having done some or all of the following:

- Involvement would have been stimulated through communication
- Training would have occurred, i.e.:
 - The model would have been explained
 - TQM concepts would have been explained
 - Ownership and commitment would have been promoted
- Involvement in the implementation of the different improvement actions would have been ensured

Proposition 7: Integration of the use of the CAF into the organization and its processes would have taken place in various ways, by having done some or all of the following:

- Alignment of the CAF with the other organizational systems would have taken place
- The action plan of the improvement actions would have been integrated in the normal strategic planning process
- Clear ownership of the improvement program and the projects would have been defined

Proposition 8: Momentum of the implementation would have been maintained through the entire process, by having done some or all of the following:

- Planning and Project progress monitoring would have been done
- The improvement plan would have been implemented and monitored, i.e.:
 - A consistent approach for monitoring and assessing the improvement actions would have been defined
 - The implementation of the improvement actions would have been monitored on a regular basis
- Senior management commitment and involvement would have been demonstrated
- Employees' commitment and involvement would have been demonstrated
- Communication during the entire process would have taken place
- Education and training about CAF would have been made
- The entire process would have been reviewed and evaluated. i.e.:
 - An evaluation about whether the changes had a positive effect or not would have been made
 - An evaluation about whether the improvement plan had given the expected results or not, and the expected value would have been made
 - An evaluation about whether the reasons for using CAF were met or not would have been made
 - A consideration about the choices made during the entire process would have been made

Proposition 9: The pace of the implementation process would have been appropriate according to the organization's culture, i.e.:

- The pace would have been fast enough in order to maintain the momentum
- The pace would have been appropriate in order to deal with any resistance to change

Proposition 10: The implementation of CAF would not have been affected by the unstable macro-environment, i.e some or all of the following would not have affected the process of implementing CAF:

- Political factors
- Economic factors

- Social factors
- Technological factors
- Environmental factors
- Legal factors

3. Unit of Analysis

The unit of analysis defines what the “case” is. As Yin (2003, p.23) states “*the definition of the unit of analysis is related to the way the initial research question is defined*”. Hence having in mind, the key research question of this study (i.e. how external macro-environmental factors affect CAF’s successful implementation?), the case of this research is defined as the process of implementing CAF. Hence in this study the unit of analysis is the event of implementing CAF.

Additionally, as Yin (2003) points out, it is crucial that one determine “*who*” is involved in an event, alongside with the time of the event. For this research the “*who*”, is defined as the Local Authority - in the case that the entire organization has implemented CAF, or one specific department of the Local Authority - in the case that only one department has implemented CAF. Additionally, at a “*personal*” level the meaning of “*who is involved*”, had been determined with the Mayor or General Secretary in the case study organizations prior to the site visit for the interviews. In each case only a handful of people had a sufficient knowledge of the implementation process and were able to provide an insight into either the whole implementation process or significant portions of it. The selection to the interviewees is discussed later in this chapter (3.9.1.1.2). Finally, for the issue of determining the time of the event, the beginning of the event is the point of time that the implementation of CAF was considered for use in the Local Authority and the end is the time at which the “improvement plan” has been implemented thus giving results.

4. The logic linking the data to the propositions

This has to do with the data gathered and how these data were linked back to the propositions (the issues) which in turn were derived from the theoretical framework of this study. This logic linking will be described later in this chapter in section 3.9.

5. The criteria for interpreting the findings

The theoretical framework described in chapter 2 will form the basis for interpreting the findings from the case studies. The method for doing so will be described later in this chapter in section 3.10.

3.7.1.2 Types of Case Study Design

According to Yin (2003, p.39) there are four types of designs for case studies:

1. *“Single-case (holistic) designs*
2. *Single-case (embedded) designs*
3. *Multiple-case (holistic) designs*
4. *Multiple-case (embedded) designs”*

As he points out *“a primary distinction in designing case studies is between single and multiple case designs. This means the need for a decision, prior to any data collection, on whether a single case study or multiple cases are going to be used to address the research questions.”*

Hence, having the above in mind, the author decided whether a single – case study would be appropriate for this research. In order for a single - case study to be used to address the research question the following five rationales must be served as major reasons for conducting a single – study:

1. this single - case represents the critical case in testing a well-formulated theory,
or
2. this single - case represents an extreme case or a unique case, or
3. this single - case is the representative or a typical case
or
4. this single - case is the revelatory case
or
5. the study is a longitudinal study and the researcher is using a longitudinal case, studying the same single case at two or more different points in time Yin (2003)

To begin with the last “rationale” as it was explained earlier in this chapter (section 3.5) this study is not a longitudinal study. As a result, a single case studied over time will not be suitable, because the aim of this research is to

investigate a particular phenomenon at a particular time, the “implementation of CAF in Greek LAs” (cross - sectional study). Moreover, as CAF had been implemented by the time of the study in 35 Local Authorities in Greece it was not possible that a single case could be claimed to be *critical, extreme, unique, representative or typical*. Finally, none of the potential cases could have been claimed to be revelatory, as there had not been any thorough study about the effectiveness of the implementation process to any of these cases. As it was explained earlier the studies made so far about the implementation of CAF do not focus on the implementation process itself but on the usefulness for implementing CAF and the obstacles for doing so.

In addition to the above defensive reasons for not having a single – case study design and using multiple case-studies it must be stated that according to Herriott and Firestone (1983) cited by Yin (2003, p. 46) *“the evidence from multiple cases is often considered more compelling, and the overall study is therefore regarded as being more robust”*. Hence taking the above into account a decision was made to conduct multiple case-studies, the selection of which will be explained in the following section of this chapter.

Following on, as Yin (2003, p. 42-43) states *“the same case study may involve more than one unit of analysis. This occurs when within a single case attention is given to a subunit or subunits. Regardless how the units are selected, the resulting design would be called an embedded case study design”*. In this study there were no embedded cases. All the cases are holistic cases since the unit of analysis is the LA or a specific department that had implemented CAF. Consequently, no case involves more than one unit of analysis.

Hence a multiple – case study design made up of holistic cases was chosen to be more appropriate for the nature of this study.

3.7.1.3 Selection of Cases

Having decided to conduct a multiple – case study design the next step is to select the cases to be studied. The selection of the cases is obviously fundamental for researches based on the case study methodology. Hence the researcher needs to consider two issues: how many cases need to be included in the study and what criteria need to be followed in order to select

the cases (Benavent *et al.* 2005). According to Yin (2003, p. 47) “every case should serve a specific purpose within the overall scope of the inquiry. A major insight is to consider multiple cases as one would consider multiple experiments – that is, to follow a ‘replication’ logic”.

Each case must be selected on the basis that it either “(a) predicts similar results (a literal replication) or (b) predicts contrasting results but for predictable reasons (a theoretical replication)” (Yin 2003, p. 47). It must be stated that a mixture of literal and theoretical replications is more influential in supporting the initial propositions (Davies 2004). According to Yin (2003, p. 47) “the ability to conduct 6 or 10 case studies, arranged effectively within a multiple – case design, is analogous to the ability to conduct 6 or 10 experiments on related topics; a few cases (2 or 3) would be literal replications, whereas a few other cases (4 to 6) might be designed to pursue two different patterns of theoretical replications. If all the cases turn out as predicted, these 6 to 10 cases, in the aggregate, would have provided compelling support for the initial set of propositions. If the cases are in some way contradictory, the initial propositions must be revised and retested with other set of cases”.

Following the importance of the theoretical framework in order to proceed with this multiple-case study replication logic is widely highlighted in the literature (Stake 1995; Yin 1994; 2003). As (Yin 2003, p 47) points out, “an important step in all of these replication procedures is the development of a rich theoretical framework. The framework needs to state the conditions under which a particular phenomenon is likely to be found (a literal replication) as well as the conditions when it is not likely to be found (a theoretical replication). The theoretical framework later becomes the vehicle for generalizing to new cases, again similar to the role played in cross-experiment designs, Furthermore, just as with experimental science, if some of the empirical cases do not work as predicted, modification must be made to the theory”. Additionally, this view is supported by Hussey and Hussey (1997) by stating that “similar cases will help to show if the theory can be generalized and dissimilar cases will help to extend or modify any theory” (cited by Davies 2004, p.112). For the purpose of this study the theoretical framework which was developed through the literature review and presented in chapter 2 of this

report, indicates the conditions needed for the phenomenon (the successful implementation of CAF) to occur as well as the conditions needed for the phenomenon not to occur. These conditions have been stated as the propositions and the rival propositions of this study in section 3.7.1.1 of this chapter.

Having discussed the nature of the case studies needed for this study (a number of literal and a number of theoretical replications), the next issue to consider, is the number of the cases needed. For selecting the appropriate number of cases, the sampling logic cannot be used. As Yin (2003, p. 48) states *“any application of the sampling logic to case studies would be misplaced. First, case studies are not the best method for assessing the prevalence of phenomenon. Second, a case study would have to cover both the phenomenon of interest and its context, yielding a large number of potentially relevant variables. In turn, this would require an impossibly large number of cases – too large to allow any statistical consideration of the relevant variable. Third, if a sampling logic had to be applied to all types of research, many important topics could not be empirically investigated, especially in the cases that there are a large number of relevant variables impacting on a phenomenon and there are few cases of the phenomenon in existence”*. Hence, having in mind that there is a large number of variables influencing the phenomenon of interest (10 propositions with a lot of prerequisites), and a few number of existence cases (35) the sampling logic is inappropriate, while the replication logic suits better this research. Thus, the selection of the cases was made based on the logic of selecting literal and theoretical replications to include in the study. Furthermore, according to Yin (2003, p. 51) *“the selection of the number of literal replications depends on the certainty you want to have about your multiple-case results (as with the higher criterion for establishing statistical significance, the greater certainty lies with the larger number of cases)”*. Moreover, for the number of the theoretical replications *“the important consideration is related to your sense of the complexity of the realm of external validity. When you are uncertain whether external conditions will produce different case study results, you may want to articulate these relevant conditions more explicitly at the outset of your study and identify a larger number of theoretical replications to be included”*.

However as pointed out by Cresswell (1998) quoted at Davies (2004, p. 113) “the more cases an individual studies, the greater the lack of depth in any single case”. This view is also supported by Dyer and Wilkins (1991) who state that as the number of cases is increasing, so is the difficulty in studying each case in depth. Thus, a balance needs to be achieved between the number of cases selected in order to be able to generalise and the number of cases selected in order to be able to have an in-depth investigation into each case. Additionally, as Stake (1995) points out the primary criteria in selecting the cases is maximizing what can be learnt. Clearly for a single investigator (as in the case of a PhD study) it is not feasible to conduct more than six cases. Hence the researcher having in mind:

- firstly, that evidence from multiple cases is often more compelling, and the overall study can therefore be regarded as being more robust
- secondly, that the primary criteria for the selection of cases must be based on maximizing what can be learnt (both literal and theoretical replications are needed)
- thirdly, that the decision of the number and decision of the cases implies a trade-off between the number and the difficulty in studying each case in depth
and
- fourthly, that one case will be needed as a pilot study

decided to select six cases to include in this multiple-case study research one of which will be used as a pilot study.

Before describing the logic behind the selection of certain cases made for this study, the choice of doing a pilot study must be justified. The author thought that the data collection instruments and especially the semi-structured interviews should be piloted in a case that had completed the entire process of implementing CAF in order to make sure that the whole issues of this process would be covered. This tactic has been followed by many researchers in similar cases (for example: Bauer *et al.* 2005, Calvo-Mora *et al.* 2005, Prybutok *et al.* 2010, Warwood and Antony 2003, Papadimitriou and Westerheijden 2010) and is suggested by Yin (1994; 2003) as part of the preparation process for collecting the data in order to ensure validity and reliability of a research.

To select the cases, two data bases were combined; the data base of EIPA and the data base of the Greek Minister of Interior. In both data bases the CAF users should register prior of implementing CAF. Although both registrations are not compulsory, it is followed by the majority of the CAF users because both organizations (EIPA and Greek Ministry of Interior) provide support to CAF users in their effort for implementing it. The data base of EIPA is given in Appendix 7 and the data base of the Greek Ministry is given in Appendix 8.

To begin with the first data base as can be seen in Appendix 7 out of 64 organizations that had implemented CAF in Greece the 20 are Municipalities (i.e. Local Self – Government Authorities – 1st degree) and 7 are Prefecture Authorities (i.e. Local Self – Government Authorities – 2nd degree). Hence, since this study is dealing with Local Government Authorities the possible cases are 27 organizations.

After identifying the possible cases of the Greek LAs that have used CAF in the past, the next step is to select out of them the cases needed for this research. For this selection the author had in mind that it will be useful to include cases before and during the crisis. Additionally, the author chose to exclude the ones that had implemented CAF before “Kallikratis plan” took place and were merged with others and abolished when “Kallikratis plan” was implemented. This decision was made due to the fact that in the case that a number of LAs had been merged with each other and had abolished their structure, following “Kallikratis” plan, it will be too difficult to trace elements of the CAF implementation process and its impact along with any kind of improvement plans because simply the LAs do not exist anymore. Hence, the author excluded the 7 Prefecture Authorities.

Following on in order to decide the cases among the Municipalities the author contacted the Greek Ministry of Interior in order to get informed about the Municipalities that had implemented CAF along with the exact dates¹ of the implementation (Appendix 8). As can be seen in Appendix 8 according to the data base of the Greek Ministry of Interior there are 33 Municipalities that had implemented CAF in the recent past. Combining the two data bases

¹ The exact dates are not presented at the Appendix in order to maintained anonymity for the cases

(EIPA's and Ministry's) the following table showing the possible cases for this study, can be constructed. At this point it must be stated that the Municipalities will not be mentioned further on with their names, but they will be given a certain letter (A, B, C, and so on), in order to ensure the anonymity and the confidentiality of the research.

Table 3.3: Possible cases for this study

Name of Municipality	Date of Implementation	Merged according to Kallikratis Plan in 2010	Abolished its structure according to Kallikratis Plan in 2010	Comment
(A)	2007	No	-	Possible Case
(B)	2009	Yes	Yes	Cannot be selected as a case
(C)	2009	Yes	Yes	Cannot be selected as a case
(D)	2007	No	-	Possible Case
(E)	2007	Yes	Yes	Cannot be selected as a case
(F)	2007, 2009	No	-	Possible Case
(G)	2009	No		Possible Case
(H)	N/A	Yes	Yes	Possible Case
(I)	N/A	Yes	Yes	Possible Case
(J)	2007, 2010, 2012	Yes	No	Possible Case
(K)	2007	Yes	Yes	Cannot be selected as a case
(L)	2007, 2009	Yes	Yes	Cannot be selected as a case
(M)	2010	Yes	Yes	Cannot be selected as a case

(N)	2012	Yes	Yes	Possible Case
(O)	2009	No	-	Possible Case
(P)	2013	Yes	Yes	Possible Case
(Q)	2010	No	-	Possible Case
(R)	2009	Yes	Yes	Cannot be selected as a case
(S)	2010	Yes	Yes	Cannot be selected as a case
(T)	2010	Yes	Yes	Cannot be selected as a case
(U)	2010	Yes	Yes	Cannot be selected as a case
(V)	2007	No	-	Possible Case
(W)	2010	Yes	Yes	Cannot be selected as a case
(X)	2010	Yes	Yes	Cannot be selected as a case
(Y)	2010	Yes	Yes	Cannot be selected as a case
(Z)	2010	Yes	Yes	Cannot be selected as a case
(AA)	2010	Yes	Yes	Cannot be selected as a case
(AB)	2010	Yes	Yes	Cannot be selected as a case
(AC)	2010	Yes	Yes	Cannot be selected as a case
(AD)	2010	Yes	Yes	Cannot be selected as a case
(AE)	2007	Yes	Yes	Cannot be selected as a case
(AF)	2010	Yes	Yes	Cannot be selected as a case

(AG)	2013	Yes	Yes	Possible Case
(AH)	2007	No	-	Possible Case
(AI)	2010	Yes	Yes	Cannot be selected as a case

As can be seen from the above table the author excluded from this study the LAs that had implemented CAF before Kallikratis Plan took place and they were merged with other LAs in 2010-2011 and abolished their structure. Hence the possible cases from which the author had to choose from are the LAs that implemented CAF after Kallikratis plan and the ones that were not abolished according to Kallikratis “plan”.

These LAs were:

- Municipality (A)
- Municipality (D)
- Municipality (F)
- Municipality (G)
- Municipality (H)
- Municipality (I)
- Municipality (J)
- Municipality (N)
- Municipality (O)
- Municipality (P)
- Municipality (Q)
- Municipality (V)
- Municipality (AG)
- Municipality (AH)

After identifying the possible cases the author contacted each one of them using the questionnaire presented at Appendix 14 in order to get the information needed to decide which of them would be included as a case study in this research. The author emailed the Mayor or General Secretary of each Municipality. The answers are presented in Appendix 15.

Having the results presented in Appendix 15 in mind the author made the following decisions regarding the cases to be included in the research:

- First of all, the author excluded Municipality D, H, I, AG and N because they had only started the process without having implemented CAF.
- Secondly, the author excluded Municipality Q and AH because they had only gone half way implementing CAF since they had not implemented any improvement action plan.
- Thirdly, the author excluded Municipality A because it was the oldest implementation and there was the potential danger that the memory might have eclipsed, or the participants might not work for the Municipality any more.
- Fourthly, the author excluded Municipality V because they answered that there were in an ongoing process of implementing CAF, probably because they had mistaken it with another TQM technique that Municipalities used for receiving funds from the European Structural Funds (a management competence certificate that the Ministry of Economics and Development supported at that time).
- Fifthly, for the main study the author decided to use the:
 - Municipality F, as a pre-crisis case and probably as a successful implementation (literal replication), since they have implemented CAF three times, and all three before the Greek Debt Crisis, the political instability and the legal – administrative changes due to Kallikratis Plan
 - Municipality P as a during crisis case and the most recent implementation, after the implementation of Kallikratis and probably as an unsuccessful implementation since the improvement plan has yet to be implemented (theoretical replication).
 - Municipality J as a Municipality with three cases (J1, J2, J3) that started implementing CAF before crisis and ended the implementation during crisis (theoretical replication).
- Finally, for the pilot study between Municipality G and Municipality O the author chose Municipality G, because they had implemented CAF in the entire organization hence they could enrich better the semi – structured questionnaire

3.7.2 Theory Development

As Yin (2003, p. 28-99) points out *“for case studies theory development as part of the design phase is essential, whether the ensuing case study purpose is to develop or test theory. The simple goal is to have a sufficient blueprint for your study and this requires theoretical propositions. Then the complete research design will provide surprisingly strong guidance in determining what data to collect and the strategies for analysing the data”*. Hence the idea for theory development prior to the collection of any case study data is straight forward; the researcher needs a theoretical framework, a blue print of the key aspects for the issue(s) of interest that the research is about. In this study the theoretical framework presented in chapter 2 which was created based on a comprehensive literature review, form the base for the aspects needed to be covered in the case study research.

Additionally, this theoretical framework will be the main vehicle in order for the results of the case studies to be generalized (Davies 2004). More specifically, as Yin (2003, p. 31) argues *“theory development does not only facilitate the data collection phase of the ensuing case study. The appropriate development theory also is the level at which the generalization of the case study results will occur”*. This role of theory has been characterized by Yin (2003) as *“analytic generalization”* in contrast to *“statistical generalization”* used in survey researches. Again, the idea of this *“analytic generalization”* is straight forward; the researcher develops throughout the literature the theoretical framework of the study, which is being used as a template in order to be compared with the empirical results of the case studies.

Therefore, to sum up, the theory development is essential when doing case studies, not only as an important assistance in defining the appropriate research design and data collection but in order to have the appropriate tool for generalizing the results of the case study. The issue of *“analytic generalization”* affects the analysis of the data (Davies 2004). This issue is dealt later on this chapter.

3.8 Ethical Approval

Prior to data collection procedure ethical approval was obtained. The application for the *“Ethical Approval”* was made on the 2nd of September 2014

and was obtained on the 28th of October 2014 (Appendix 18). The Ethical Approval Application form had the following supporting documents:

- Notes for Mayor or General Secretary (Appendix 12)
- Notes for Interviewees (Appendix 13)
- Municipality's Profile regarding CAF (Appendix 14)
- Interview Questionnaire (Appendix 16)

3.9 Preparation for Data Collection

As Yin (2003, p. 57) points out *“the preparation for doing a case study includes the prior skills of the investigator, the training and preparation for the specific case study, the development of a case study protocol, the screening of candidate case studies, and the conduct of a pilot case study”*. Following on in the next sub-sections of this chapter these issues as suggested by Yin are thoroughly explained.

3.9.1 Skills and Training

As Yin (2003) points out case study research is among the hardest types of research to do, and requires a well – trained and experienced investigator to conduct a high – quality case study because of the continuous interaction between the theoretical issues being studied and the data being collected also providing a certain list of required skills as follows:

- *“A good case study investigator should be able to ask good questions and interpret the answers.*
- *An investigator should be a good listener and not trapped by his/her own ideologies or preconceptions.*
- *An investigator should be adaptive and flexible, so that newly encountered situations can be seen as opportunities, not threats.*
- *An investigator must have a firm grasp of the issues being studied, whether this is theoretical or policy orientation, even if an exploratory mode. Such a grasp reduces the relevant events and information to be sought to manageable proportions.*
- *A person should be unbiased by preconceived notions, including those derived from theory. Thus, a person should be sensitive and responsive to contradictory evidence”*. (Yin 2003, p. 57)

The author of this study has acquired many of the above mentioned skills through previous training and experience while others were obtained by attending a number of development seminars at the University of Salford.

First of all, the author has great experience of the Greek Local Government Sector since:

- From 2005 until 2010 he was head of the department of private, public investments in the regional authority of Evrytania and was the project manager of the quality management system that the regional authority had
- From 2010 until 2014 he was the General Secretary of the Municipality of Karpenissi having the responsibility of human resource management, planning and development along with the issues of quality, economy, effectiveness and efficiency of the Municipality
- From 2014 and so he is the vice – president of the Regional Authority of Sterea Ellada, having the responsibility of the governance of the sub-regional authority of Evrytania.

Additionally, since 2008 the author has been a qualified trainer for implementing the Common Assessment Framework and the Management by Objectives technique in the Greek Public Sector, since he had successfully followed a two weeks seminar in the Greek National School of Public Administration and Local Government. Since then the author has taught in a lot of seminars regarding the implementation of CAF in the Greek Public Sector.

Finally, the author during the first years of the PhD study at the University of Salford attended the following seminars for training and skills' development:

- Evidence and PhD Research
- Objectivity, Bias and Partisanship
- Case Study Research
- In depth interviews

3.9.2 The Screening of Candidate Case Studies

The screening of the candidate case studies was presented previously in this chapter when the selection of the cases used for this research was justified (section 3.7.1.3)

3.9.3 The Conduct of a pilot case study

The need for a pilot study was explained earlier in this chapter (section 3.7.1.3). The author in the pilot study checked the document named “Municipality’s Profile regarding CAF” and the semi-structured interview questionnaire. The pilot study carried out on the 3rd of June 2015, at Municipality G with the project leader of Municipality’s CAF implementation.

To be more specific, in the pilot study, regarding the interview questionnaire, the author checked the following:

- The wording of the questions
- The questions themselves
- The time needed to conduct the interview

The outcomes of this pilot study were that:

- There were minor changes to the wording of question 6.2, in the Greek version of the questionnaire where the word “empowered” confused the interviewee, hence the question rephrased in its Greek version
- There were some questions added:
 - Question 5.3 was added in order for the interviewee to express his/her opinion on the outcome of the communication plan
 - Questions 10.9, 10.10, 10.11, 10.12, 10.13, 10.14, 10.15, and 10.16 were added in order for each interviewee to express his/her opinion in similar questions to the questions asked in the General Secretary or the Mayor during the first contact with the case study Municipality. The author, after the suggestions made in the pilot study, thought that this would overall benefit the study since these questions would have helped in order to have as much clear view as possible about the outcomes of the CAF’s implementation in the Municipalities.
 - The time needed for the interview was about one hour and a half, as it was scheduled. This duration of the interview was fine, and it was not expected to cause any inconvenience to the rest of the interviewees.

The revised interview questionnaire is presented in Appendix 16.

Overall the feedback from the pilot study gave confidence to the author that the substance of the data gathering instruments and the overall process of the data gathering were well structured and designed.

3.9.4 Protocol Development

The case study protocol is essential in increasing the reliability of the case study and it aims at helping the researcher carry out the data collection from the selected cases (Yin 2003). As Yin (2003, p. 67) points out, the case study protocol *“is more than a questionnaire or instrument. It contains the instrument as well as the procedures and general rules to be followed in using the protocol”*. The case study protocol should have the following sections:

Table 3.4: Context of the Case Study Protocol

Section	Issues covered
An overview of the case study project	project objectives and auspices, case study issues, and relevant reading about the topic being investigated
Field procedures	Presentation for credentials, access to the case study “sites”, general sources of information, procedural reminders,
Case study questions	The specific questions that the case study investigator must keep in mind in collecting the data, “table shells” for specific arrays of data, and the potential sources of information for answering each question
A guide for the case study report	Outline, format of the data, use and presentation of other documentation, and bibliographical information)

Source: Yin (2003, p.69)

For the purpose of this study the protocols took the forms of the notes for the Mayor or the General Secretary and the notes for the interviewees that

were used prior to the “site” visit to the case study organizations (Appendix 12 and Appendix 13, respectively), These notes were sent to them so that the participants in this study could consent.

Analytically these forms contained:

- The project’s aim, objectives, key research question and the secondary questions
- The plan for gaining access to the organization alongside with the way of accessing the interviewees and the other sources of evidence
- The data collection elements
- Details of the methodology that was going to be used (site visit, the need to search for documents and archival records, the plan for the interviews, the time needed, so on)
- A list for documents needed for the research in order to avoid visiting the case study sites again and again.
- Agreement on the recording of interviews
- The procedures to be followed for recording, transcribing and verifying the interviews
- The procedures to be followed for storing and filing the data collected
- The measures for having confidentiality and anonymity during the entire process

Finally, the case study questions were formed in the form of a semi-structured interview questionnaire which contained the specific questions and issues that the case study investigator had to cover. This detailed interview questionnaire is given in Appendix 16.

3.10 Data Collection Methods and Instruments

In this section the details of the data collection methods and instruments and the details of the contact of the data collection within the case study are provided.

3.10.1 Design of the Data Collection Methods and Instruments

The detailed design of the data collection methods and instruments includes the documentation the archival records needed and the interviews in

each case study. The details of these data collection methods and Instruments have already been discussed earlier in this chapter (section 3.6) and the documents used in order to employ these instruments are presented in Appendix 12, Appendix 13, Appendix 14 and Appendix 16. Since the relevant documentation and the background information to be collected in the cases studies are already presented in sections 3.6.1 and 3.6.2 respectively the following sub-section presents the design of the semi-structured interview questionnaire.

3.10.1.1 Interview Design

In the process of designing the interview questionnaire the author had in mind the following aspects:

- The content of the interview (what the interviewees should be asked about)
- The procedure of the interview (how to conduct the interviews)
- The selection of the interviewees (who to ask)
- The time and location of the interviews (when and where to contact the interviewees)

The above issues are discussed following on.

3.10.1.1.1 Content of the Interview

The content of the interview is determined by the theoretical framework described in chapter 2 of this report, and the propositions needed to get covered, described in section 3.7.1.1 of this chapter. This ensured that all the key issues regarding the implementation of CAF were fully covered.

The interview consists of ten parts. The nine parts cover the propositions of this study which in turn cover the key issues regarding the implementation of CAF and the last (10th) part covers some general issues about the CAF's implementation process. Each part consists of some sub-parts in order to cover all the issues regarding the CAF's implementation process as was determined by the literature review of this study. The details of the links between the interview questions and the elements of the theoretical framework are given in Appendix 17.

3.10.1.1.2 Choice of Interviewees for the Interviews

As it was discussed earlier in this chapter (section 3.7.1.1), in each case only a handful of people had sufficient knowledge of the implementation process and were able to provide an insight into either the whole of the implementation process or significant portions of it. Additionally, as the interviews were to be detailed and in depth and supporting documents of the interviewees answers were to be accessed, the author was confident that this practical limitation of having a few interviewees in each case would not affect the validity of the research. After all there would be sufficient sources of evidence for triangulation purposes as it was thoroughly discussed in section 3.6.4.1 of this chapter and presented in figure 3.2. Additionally, as Yin (1994, cited at Davies 2004) points out, having interviewed people with a few knowledge about CAF's implementation process, might have risked the validity of this study by risking facing the problem of reflexivity in which interviewees "invent" answers to please the interviewer.

Hence in each case study the Mayor or General Secretary indicated the project leader of each implementation process and each project leader indicated the interviewees in each case. So in each case the interviewees were the project leader and a handful of people that had sufficient knowledge of CAF's implementation process. The details of the interviewees, position and role in the CAF implementation process are given in Appendix 19.

3.10.1.1.3 Interview Procedure

After the selections of the interviewees a certain form was sent to them prior to the interview in order to inform them about the content of the questionnaire and gain their concurrence for their participation (Appendix 13). In this form all the necessary details were given, about the project, about their participation, about the confidentiality, about the intention to keep digital record of the interview and about the entire interview process.

Analytically:

1. The interviews were recorded, with the interviewee's permission, using a digital recorder. The digital recordings were used in order to verify that the original source data could be referred to, at any stage in the process of data analysis.

2. Notes were kept during each interview and the digital recordings were used to check the accuracy of the transcribed interview notes. There was no need to produce a word-for-word transcript of the interview as the intention was to capture and confirm the mentioned key points, and the data analysis technique selected did not require a word-for-word representation (see section 3.10 of this chapter).
3. The notes of each interview were sent to the interviewees to verify the content, and any corrections were sent back to each interviewee until the final report reached the interviewee's agreement
4. The interviews were done in Greek. In order to address any translation issues a translation method was used. Analytical the author followed the next steps:
 - a. The interview questions were written in English
 - b. A translation of the interview questionnaire was made from English to Greek
 - c. The Greek interview questionnaire was sent to the individuals in order for them to get prepared.
 - d. The notes of the interviews were written in Greek.
 - e. The notes of each interview were sent to the interviewees to verify the content, and any corrections were sent back to each interviewee until the final report reached the interviewee's agreement.
 - f. Each final interview report was in Greek.
 - g. A translation of each final interview report was made from Greek to English.
 - h. Both English and Greek final interview reports are kept in the case study data base

3.10.1.1.4 Time and Location of the Interviews

The interviews were conducted from summer 2015 until autumn 2017 on the site of each case study organization, so that the author can access all the relevant documents as planned. What time the interviews took place was arranged in order to be convenient for the interviewees. Each interview was

conducted into a room, allocated by the case study organization, which was free of interruptions from other colleagues or telephone calls.

3.10.2 Contact of the Data Collection within the Case Studies

The contacts with the case study organizations were made using the documents presented in Appendix 12 and Appendix 13. The one was for the Mayor or General Secretary of each organization and the other was for the interviewees.

First of all, the document named “Information Sheet for Mayor or General Secretary” was sent to the case study organization in order to get permission of the LAs’ participation and in order to get informed about the data collection procedures.

This document explained the:

- The project’s aim and objectives
- The benefit for the LA for its participation (a free study for the process of implementing CAF)
- The measures for having confidentiality and anonymity during the entire process
- Details of the methodology that is going to be used (site visit, the need to search for documents and archival records, the plan for the interviews, the time needed, so on)

At the end of this document there was a questionnaire named “Municipality’s Profile regarding CAF”, which was used by the author in order to get a first view of CAF’s implementation process and decide whether the LA will be part of this study or not. Additionally, at the end of this document there was a consent form which was required to be signed only if the LA was selected to be a case study for this research.

Secondly the document named “Information Sheet for Interviewees” was sent to each interviewee of each case study respectively in order to get their agreement for participating in this study and to inform them for:

- The project’s aim and objectives
- The measures for having confidentiality and anonymity in the entire process

- Details of the methodology that is going to be used (site visit, the need to search for documents and archival records, the plan for the interviews, the time needed, so on)
- The process of the interviews (the digital recording, the procedure for keeping notes and for sending the entire interview report in order to get their agreement, the time needed for the interview, the place for the interview (quite, avoid interruptions), the documents needed (for example agendas), and so on).

With this document the interviewees were asked to have with them during the interview their personal diaries from the implementation period in order to be able to confirm important dates and actions in the implementation process and any other document that would help them answer the interview questions. At the end of this document the interviewee questionnaire was attached in order for the interviewees to get prepared for the interview.

All communication with the Mayor and/or General Secretary and with the interviewees was conducted in Greek. In order to address any translation issues a translation method was used. Analytically the author followed the next steps:

1. The forms were written in English
2. A translation of the forms was made from English to Greek
3. The forms were sent to the individuals to get their answers. The answers were in Greek
4. A translation of the forms was made from Greek to English
5. Both English and Greek Forms are kept in the case study data base

3.11 Methods for the analysis of Case Study Data

Data analysis consists of *“examining, categorizing, tabulating, or otherwise recombining the evidence to address the initial propositions of a study”* (Yin 2003, p. 109). According to Yin (2003, p. 109 - 110) *“analyzing case study evidence is especially difficult because the strategies and techniques have not been well defined. Unlike statistical analysis, there are few formulas to guide the researchers. Much depends on the investigator’s own style of rigorous thinking, along with the sufficient presentation of evidence and careful consideration of alternative interpretations”*. In order to

overcome this difficulty, the need for the researcher to have a general analytic strategy – defining priorities for what to analyze and how is stressed out in the literature (Stake 1995; Yin 1994; 2003)

Following on (Yin 1994; 2003) describes three types of general analytic strategies to be employed in case studies:

1. **Relying on theoretical proposition.** According to this strategy the researcher follows the theoretical propositions that led to the case study, which in turn reflected a set of research questions, reviews of the literature, and new hypotheses or propositions (Yin, 2003).
2. **Thinking about rival explanations.** This second strategy tries to define and test rival explanations. In the case of rival theoretical propositions this strategy can be related to the first one (Yin 2003). However, this *“strategy is relevant even in the absence of such theoretical propositions and is especially useful in doing case study evaluations”* (Yin 2003, p. 112).
3. **Developing a case description.** According to this strategy the researcher is developing a descriptive framework in order to organize the case study. *“This strategy is less preferable than the use of theoretical propositions or rival explanations but serves as an alternative when the researcher is having difficulty making either of the other approaches work”* (Yin 2003, p. 114).

Clearly the situation of this study better fits with the “relying on the theoretical proposition” strategy since the theoretical propositions described earlier in this chapter, which derived from the theoretical framework, which in turn derived from the literature review, shaped the data collection plan employed in the case studies.

3.11.1 Analytic Techniques

Regardless of the general analytic strategy employed in a case study research there are five analytic techniques that can serve the selected strategy (Yin 2003). These techniques are:

1. **Pattern – Matching.** This one is the most commonly and desirable technique used for case study analysis Yin (2003). According to Trochim (1989) cited by Yin (2003, p. 116) it *“compares an empirically*

based pattern with a predicted one (or with several alternative predictions). If the patterns coincide, the results can help a case study to strengthen its internal validity". This is basically the case of this study since there is a pattern, the theoretical framework, and alternative predictions in terms of the propositions presented in this chapter,

2. **Explanation Building.** This one is a special type of pattern matching and is used mainly in explanatory case studies. According to this technique the goal is to analyze the case study data by building an explanation about the case (Yin 2003). In "explaining" a phenomenon the researcher has to "stipulate a presumed set of causal links about it. These causal links are similar to the independent variables in the use of rival explanations analytic strategy" (Yin 2003, p. 120). This technique is also suitable for this study since the researcher tries to explain the phenomenon of interest, i.e. this study is partly explanatory in nature.
3. **Time-Series Analysis.** According to this technique the researcher conducts a time-series analysis, similar to the time-series analysis conducted in experiments and quasi-experiments. This technique usually follows many intricate patterns (Yin 2003). *"The more intricate and precise the pattern, the more that the time-series analysis will lay a firm foundation for the conclusions of the case"* (Yin 2003, p. 122). Time-series analysis is often seen as an important case study technique, especially when accompanied by with other ones, since it allows the researcher to trace events over time, which is a major strength of case studies (Yin 2003). Again, this technique can be used in this study since the essence of chronological events, which is a relative time issue, is a basic element of the theoretical framework presented in chapter 2 and has the form of the steps for implementing CAF, which are followed to a timed (chronological) order, from step 0 to step 10. Additionally, a basic element of this study's theoretical framework is that of pace, which by definition, is a time-related issue.
4. **Logic Model.** *"This technique deliberately stipulates a complex chain of events over time. The events are staged on repeated cause – effect – cause – effect patterns"* (Yin 2003, p. 122). As this technique

matches empirically observed events to theoretical events can be seen as another form of pattern matching (Yin 2003). Moreover, as this technique deals with a complex set of events (pattern) over time (time-series) is a combination of pattern-matching and time-series analysis (Davies 2004). Additionally, according to Yin (2003) this approach is useful for explanatory and exploratory case studies.

5. **Cross – Case Synthesis.** This technique applies specifically to the analysis of multiple cases. *“Nevertheless cross – case synthesis can be performed whether the individual case studies have previously been conducted as independent research studies or as predesigned part of the same study”* (Yin 2003, p. 134).

Regardless of the specific analytic strategy or technique to be employed in a case study research the researcher has to make sure that the analysis is of the highest quality. In order to do so four principles, require attention:

- a. The analysis should show that the researcher attended all the evidence
- b. The analysis should address all major rival interpretations
- c. The analysis should address the most significant aspects of the study
- d. The researcher should use his/her prior expert knowledge in the case study (Yin 2003).

Having the above in mind the researcher used the Logic – Model technique to analyse the data of this case study, since this study is both explanatory and exploratory and the selected technique is a combination of pattern – matching and time – series analysis.

3.12 Chapter Summary

In this chapter the methodology of the study was thoroughly presented. Analytically, the philosophy of the research was identified, the approach of the research was developed, the choice of the research strategy was justified, the time horizon of the research was provided, the data collection method that was used was explained, the design of the research strategy was described, the preparation of the data collection was provided and the methods that were used in order to analyse the data were explained. In the next chapter the findings of the case studies will be presented.

4. Findings

4.1 Chapter Introduction

In this chapter the findings of the research will be presented.

Before analysing the data, it would be very useful to have a clear time line table about the selected cases and the time line of the macro-environmental factors that were likely to affect CAF's implementation process. This time line table is presented below:

Table 4.12: Time line of the macro-environmental factors and the cases of CAF's Implementation process

EVENTS	TIME LINE								
	2007	2009	2010	2011	2012	2013	2014	2015
Political instability				Very unstable macro-environmental factors				Very unstable macro-environmental factors	
Economic instability				Very unstable macro-environmental factors			Less unstable macro-environmental factors		Very unstable macro-environmental factors
Legal instability				Very unstable macro-environmental factors			Less unstable macro-environmental factors		Very unstable macro-environmental factors
Social instability				Very unstable macro-environmental factors			Less unstable macro-environmental factors		Very unstable macro-environmental factors
The implementation of kallikratis plan					Very unstable macro-environmental factors				
Elections for Local Goverments					Very unstable macro-environmental factors				Very unstable macro-environmental factors
Environmental factors				Less unstable macro-environmental factors					
Technological factors				Less unstable macro-environmental factors					
Case P Implementation (theoretical replication) (During Crisis)							CAF's implementation process		
Case J Implementation (Dep. Of Municipal Status) (Implementation during Crisis)			CAF's implementation process		Implementation of the Improvement Plan				
Case J Implementation (Dep. Of Youth and Sports) (Implementation during Crisis)			CAF's implementation process		Implementation of the Improvement Plan				
Case J Implementation (Dep. Of Road Constructions) (Implementation during Crisis)				CAF's implementation process		Implementation of the Improvement Plan			
Case F Implementation (literal replication) (Before Crisis)	CAF's implementation process	Implementation of the Improvement Plan							

CAF's implementation process
 Implementaion of the Improvement Plan
 Very unstable macro-environmental factors
 Less unstable macro-environmental factors

² The pilot study is not presented at the table

As explained earlier in the previous chapter to analyze the data, the Logic – Model technique, which is a combination of pattern – matching and time – series analysis, will be used.

Analytically in this chapter for each case, the case study background information will be first presented, followed by the interview and document analysis in which patterns will be identified. Then a time-series analysis will be presented in which the events that took place during CAF's implementation process will be placed in chronological order. Finally, the combination of the pattern – matched data and the chronological data will be compared with the theoretical framework presented in chapter 2, using the program logic approach.

4.2 Case study “P” background

The Municipality used for Case study P was founded on the 1st of January 2011, as a result of the combination of three existing Municipalities, due to Kallikratis plan. The new administration was established on 01/01/2011.

During the regional and local elections that took place on the 7th of November 2010, the first Mayor and Municipal authority was elected. The Mayor had since then on the responsibility of the Municipality's management. The Mayor is assisted by six deputy mayors, who are assigned responsibilities by the Mayor himself, and by a General Secretary who is also assigned by the Mayor.

The City Council is the supreme governing body of the Municipality; it is composed by 33 elected members, the municipal councilors of the governing party and the opposition.

The Municipality started implementing CAF in 2012, following the proposal put forward by the Planning and Development Department and the Mayor's and General Secretary's decision. The duration of CAF implementation was 6 months and after that period the necessary report of self-assessment was prepared and delivered. Up until the point of the completion of the self-assessment report, CAF implementation by the Municipal Administration was deemed to be relatively successful. Nevertheless, the delays in the improvement plan reporting –that took place a year later- as well as the delay in the implementation of the improvement actions, that has not yet started,

indicate that CAF implementation has been partly unsuccessful. The analysis of CAF implementation process and the comparisons between the implementation and the theoretical framework follow in the next sections of this chapter.

4.3 Case study “P” Interview and Document Analysis

In this section the document and Interview analysis will be made having in mind the data of the Case study organization presented in Appendix 20 and Appendix 21, respectively:

1. Taking into account the organization’s culture

1.1 When was CAF considered for the first time?

CAF was first considered in April 2012 after a seminar that the project leader did at the National School of Governance. It was suggested by a colleague that worked in the District, where it was implemented and awarded.

1.2 In order to decide whether to implement CAF or not, was the Municipality’s quality culture assessed?

The overall view of the interviewees was that there was a certain quality control culture in the Municipality, but there was no specific action to study this culture.

1.3 Were any CAF alternatives considered?

The interviewees shared the opinion that CAF alternatives were not considered. The project leader thought about ISO, not as an alternative but as an obligation to be certified in the European Programs’ framework.

1.4 When the decision for implementing CAF was made?

1.4.1 Who took this decision?

The overall view of the interviewees was that the decision for implementing CAF was taken in 2012. It was decided by the Mayor (Mayoral Decision with File Number 1775/52471/6-11-2012) in collaboration with the General Secretary (GS), based on the proposal put forward by the Programming Department.

1.5 Was there a decision on the SA approach that would be used?

All the interviewees shared the view that there was no decision on the Self – Assessment approach that would be used. The Municipality followed

the method proposed in the Ministry of Interior Guide. This approach described in the General Secretary's epistles was send to the departments during CAF's implementations process.

1.6 Was CAF implemented in the entire organization or in a department?

All interviewees agreed that CAF was implemented in the entire organization, after the decision made by the Mayor (Mayoral Decision N.1775/52471/6-11-2012) and the General Secretary (General Secretary's epistle N. 2915/22-01-2013). This proposal was put forward by the project leader, since the size of the Municipality was ideal for CAF to be implemented in the whole organization.

1.7 Did a pilot implementation take place?

A pilot Implementation did not take place. This was the General Secretary's decision and the project's leader. They both did not find it necessary. They did not even think about a pilot implementation, since it was better to implement CAF at once.

1.8 Has the organization's culture been affected by the unstable macro-environment?

The implementation of CAF was influenced by policies for rationalization and optimization of public organizations in the country as a result of the economic crisis. At the time of the implementation of the SA report there were some initiatives taken by the Ministry of the Interior that were to make CAF mandatory (there was an upcoming Presidential decree for the evaluation of the public sector based upon the adoption of TQM techniques in general, and particular in the adoption of the Balance Scorecard and the implementation of CAF). Hence, the culture of the organization about TQM initiatives (such as CAF) at the beginning was positively affected because the organization wanted to be prepared. This was described at the Proposal Letter (File number 16227/18-04-2012) by the Programming and Development department to the General Secretary to implement CAF. But in the end since the improvement plan was not implemented the quality culture of the organization was affected in a negative way.

2. Establish Motivation

2.1 Were the motive(s) for using CAF identified?

All the interviewees shared the view that the motives for implementing CAF were somehow obvious from the beginning of the process (either through the seminars or through the epistles sent from the General Secretary to all the departments at the beginning of the process). The documentation research indicated that the motives (the reasons) for using CAF were identified at the beginning of the implementation process. These motives were described at the General Secretary's epistle to the senior Managers and the employees (the No. 2915/22-01-2013 epistle of the G.S). The main motives were that CAF would result in better self-awareness and ability to improve.

2.2 Were the added value and the benefits of CAF highlighted?

2.2.1 What was the expected timescale for these benefits to occur?

Initially there were highlighted by the General Secretary (the No. 2915/22-01-2013 epistle of the GS) and the Mayor. Except for that, there was a meeting with the employees and relevant memos were sent. Moreover, there were also highlighted by the project leader in the Self-Assessment Team. The benefits were expected to be visible in one-year time but the Municipality did not reach that target.

2.3 Has the motivation for using CAF affected by the unstable macro-environment?

In the beginning it was affected in a positive way because the Municipality wanted to be prepared for the upcoming Presidential decree. This was described at the Proposal Letter (File number 16227/18-04-2012) by the Programming and Development department to the General Secretary to implement CAF. But in the end since the improvement plan was not implemented motivation was affected in a negative way.

3. Gaining senior management and political commitment

3.1 Was there a management decision to implement CAF?

All the interviewees shared the view that there was a clear management decision to implement CAF. It was the Mayor's and GS's decision who both hold the highest-ranking position in the Municipality. The Municipal Council was not involved in the decision. The SA team composition and the timeframe of the CAF implementation were included in the decision. This decision had the full support of the Administration and

the GS, who was actively involved in many meetings. Also, by a Municipal Counsellor that was assigned for CAF. The timeframe was eventually not followed.

3.2 Was there a political decision to implement CAF?

All the interviewees agreed that there was a political decision to implement CAF by the Mayor who is a member of the political leadership (Mayoral Decision, No. 1775/52471/6-11-2012). The implementation of CAF was not discussed in the City's Council.

3.3 Was the commitment and ownership of the Management for initiating the process assured?

All the interviewees shared the view that the commitment and ownership of the Management for initiating the process were somehow (either in paper or in words) assured. Managers and Head of the Departments were briefed for CAF implementation, there was a memo sent by the GS, who throughout the process checked the Management's dedication to the project. Also, members of the senior Administration participated in the SA team. The commitment was assured, since there was a Regulation in place for the implementation of the CAF. The GS's presence in all the stages of implementation and the SA team helped to ensure the Administration's commitment (Mayoral letter, No 426/04-01-2013 and the GS.'s letter, No 3752/22-01-2013).

3.4 Did the managers participate in the SA teams?

Some of the senior managers (two) participated in the SA teams and that helped the Administration's commitment. The selection belongs to the GS and the majority of the interviewees shared the view that this selection was done on the basis of the representativeness of the departments and the will and ability of the participants.

3.5 Was training and education organized for political leaders in order to promote ownership and commitment?

The overall view of the interviewees was that there was no training and education organized for political leaders in order to promote ownership and commitment, even though there was a will from the GS's part to present the official results of CAF to the political leadership

3.6 Was training and education organized for senior managers in order to promote ownership and commitment?

The training involved the SA team and the managers that participated in it. Also, some of the managers and Heads of Departments participated in the seminars. The training included CAF analysis and adjustment of the Ministry of Interior Guide to the needs of the Municipality

3.7 Was the SA report officially presented?

The SA report was not officially presented. The project leader delivered the SA report through a memo to the Mayor and the GS in November 2013, when the process of Self – Assessment was concluded. The Mayor asked for a meeting with the SA team, but up until today, the meeting has not taken place.

3.8 Was the SA report officially accepted?

There were mixed views whether the SA report was officially accepted or not. The report was given to the GS and the Mayor but there was no feedback.

3.9 Was the improvement plan officially presented?

The improvement plan report was not officially presented. It was given to the GS by the project leader and presented to him, orally. The purpose was the selection of the measures of improvement that will go ahead. Then, it was elections time and they did not pursue it further. It is believed by the project leader that the timing was all wrong for the presentation.

3.10 Was the improvement plan officially accepted?

All the interviewees shared the view that the improvement plan has not been officially accepted. The GS was informed but the plan has yet to be officially accepted by the Mayor. Hence the Municipality cannot move forward with the improvement plan. This is due to the incessant elections and the general feeling of insecurity and uncertainty that existed at the time of implementation.

3.11 Has senior management and political commitment been affected by the unstable macro-environment?

In the beginning it was affected in a positive way because the Municipality wanted to be prepared for the upcoming Presidential decree. This was described at the Proposal Letter (File number 16227/18-04-2012)

by the Programming and Development department to the General Secretary to implement CAF. But in the end since the improvement plan was not implemented senior management commitment was affected in a negative way.

3.12 Has political commitment been affected by the unstable macro-environment?

Not at the beginning of the project but at the end of it since the improvement plan was not implemented political commitment was affected in a negative way.

4 Planning and organising the entire project

4.1 Was a project leader appointed?

A project leader was appointed. It was the GS's decision with the Mayor's agreement, because the candidate had the relevant knowledge and education. It was proven that she was the suitable candidate (Mayoral decision, No.1775/52471/6-11-2012).

4.2 Was a steering committee appointed?

A steering committee was not appointed. With the Mayor's decision a surveillance committee was appointed. It consisted of the GS and a Municipal Councillor that had some knowledge of quality matters. The decision about this rested with the GS (Mayoral decision No. 1775/52471/6-11-2012).

4.3 Was the entire project planned?

The entire project was planned by the project leader based on the implementation guide published by the Ministry of Interior. The planning involved all the necessary steps, the meaning of CAF and its goals. The pace of the implementation was also taken into account in the planning process, since it was included in the Mayor's initial decision

4.4 What resources were allocated?

Resources were allocated in terms of man-hours paid through the SA team, the cost of the seminars, but also, a small administrative-secretarial cost for the completion of the reports (self-assessment report, improvement plan)

4.5 Was a decision whether to score or not made?

4.5.1 Was the scoring panel to be used defined?

4.5.2 What were the motives for scoring?

All the interviewees shared the opinion that scoring was agreed in the SA team. The SA team followed the seminar's guidelines and the guidelines of the implementation guide published by the Ministry of Interior. The SA team believed it was necessary to give a grade, in order to have comparative data from one implementation of CAF to the other. The scores helped understand on which part of the Deming circle the organization was. The simple scoring system was used, since it was deemed to be more suitable for a first-time implementation of the CAF.

4.6 How many SA Teams were created?

Only one SA team was created, because it was suitable for the size of the Municipality. The decision was both the project's manager and the G.S.'s (Mayoral Decision, No 1775/52471/6-11-2012).

4.7 How was the selection of the participants in the SA teams made?

The criterion was the creation of a team that will be representative of all the main units of the Municipality and of all the educational levels. The selection was the Mayor's and the GS's job (Mayoral Decision, No 1775/52471/6-11-2012).

4.8 Did the SA team(s) have a chair?

The SA team had the project leader as a president. She was appointed with the Mayoral decision. The decision made by the G.S. and the Mayor. The person appointed was deemed to be the suitable candidate for the position (Mayoral decision No 1775/52471/6-11-2012).

4.9 Did the SA team members have certain responsibilities?

Responsibilities were outlined by the SA team and the project leader, and it was done so everybody will know the responsibilities of their position. The interviewees shared the allocation of responsibilities was very successful. The responsibilities were outlined in order for the project to be well-organized

4.10 How were the SA team(s) prepared for the Self-Assessment?

The preparation was done by the project leader and the seminars. In the first three meetings with the SA team they collaborated in order to agree on the criteria and CAF's supporting documentation. Additionally, the SA team got prepared through the seminars. The first seminar took

place in December 2012 and the second –which was more specialized– took place in April 2013.

4.11 Was a plan for training and education prepared?

A plan for training and education was prepared by the project leader and the help of a colleague from the District and the collaboration of the Ministry of Interior. There were two seminars, the first of which was a general seminar and the second a more specialized one for the scoring and the improvement plan. The SA team participated in the seminars, as well as some employees, heads of department and managers of the Municipality

4.12 Were the improvement actions prioritised?

The improvement actions were prioritized by the project leader, in collaboration with the SA team, based on the implementation costs' priorities and their applicability.

4.13 Was a person responsible for the implementation of each improvement action appointed?

There is no indication that there are people appointed for the improvement actions.

4.14 Was a structured action plan defined for the selected improvement actions?

There were no clear views among the interviewees whether a structured action plan had been defined for the selected improvement actions or not, probably because not all of them participated in that. Nevertheless, there is a first draft of the context of this plan in the implementation report.

4.15 Has planning and organising the entire project been affected by the unstable macro-environment?

The unstable macro-environment had no effect on planning and organizing the project until the completion of the SA report.

5 Communicate during the different phases to all stakeholders

5.1 Was a communication plan defined?

A plan for communication was not defined, but there was communication among the GS, the Mayor and the project leader with the

employees and heads of the Municipality's departments via, epistles and e-mails. Also, there was constant communication among the people that participated in the SA team, mainly via e-mails.

Additionally, according to the project leader the Municipality is about to disseminate the results, when the improvement plan is completed. They are going to host an open event and present the results. During the process of implementation, they issued a press release which was published on the Municipality's newspaper.

5.2 Was this communication plan implemented?

Communication among the Self – Assessment team members through the entire process was made via e-mails.

5.3 Has this communication plan succeeded?

There was no communication plan.

5.4 Has communication been affected by the unstable macro-environment?

Communication was not affected by the external macro-environment up to the point of the SA report. But then the Municipality lost its motivation about CAF.

6 **Assuring employees' commitment and involvement during the entire process**

6.1 Which actions were taken to gain employees' commitment?

All the interviewees shared the view that there were actions taken to gain employees' commitment. These actions were the epistles sent by the GS, in order to guarantee the employees' participation in the research. There were also briefings to keep them informed about the Municipality and CAF. The SA team also pressured them to participate in the CAF's implementation process. (The GS's epistle No. 2915/22-01-2013 and the GS's epistle No. 8742/26-02-2013)

6.2 Which actions were taken to empower employees?

There were no actions taken to empower employees, according to all interviewees.

6.3 Which actions were taken to ensure employees' involvement?

All interviewees shared the view that employees' involvement was mainly ensured through the GS's epistle. Additionally, the president of the SA team arranged a meeting, which the GS and the heads of the

Municipality's departments attended, in order to ensure the employees' involvement. Moreover, the members of the SA team spoke to the Heads of the Municipality's Departments and have asked for their help in order to motivate the employees to participate in the self-assessment process through the completion of the questionnaires and the collection of the supporting documents

6.4 Were there any rewards or recognition for those participating in the implementation process?

Except from the moral satisfaction of participating in a process that will help improve our Municipality there were no rewards, neither for the SA team, nor for the Municipality's employees

6.5 Has employees' commitment been affected by the unstable macro-environment?

In the beginning it was affected in a positive way because the Municipality wanted to be prepared for the upcoming Presidential decree. This was described at the Proposal Letter (File number 16227/18-04-2012) by the Programming and Development department to the General Secretary to implement CAF. But in the end since the improvement plan was not implemented senior management commitment was affected in a negative way.

6.6 Has employees' involvement been affected by the unstable macro-environment?

Same as above.

7 Integration of the use of CAF into the organization and its process

7.1 Was clear ownership of the improvement programme and the projects defined?

All the interviewees shared the view that there was not, because the improvement plan has not yet been fully implemented. Nevertheless, according to the project leader the SA team participants have gained a lot of expertise and they use it daily

7.2 Was the improvement action plan integrated into the normal strategic plan?

All the interviewees shared the view that the improvement action plan has not integrated into the normal strategic plan of the organization, since

it has not been implemented yet. Nevertheless, according to the project leader, CAF is part of the normal strategic plan of the Municipality. Some of the proposed actions are definitely connected to the normal strategic plan of the Municipality

7.3 How was CAF aligned with other organizational systems (if any)?

It was clear among all interviewees that CAF was not aligned with other organizational systems. The Municipality has no alternative quality system, apart from the managerial capacity within the ELOT framework, which is something standard. Nevertheless, the goal is to align CAF with the other organizational systems and it is believed that this will be proven beneficial.

7.4 Has integration been affected by the unstable macro-environment?

CAF was not integrated into the organization since the improvement actions were not implemented; hence the unstable macro-environment at that time affected CAF's integration

8 **Maintaining momentum in the entire process**

8.1 How was the progress of the project monitored and by whom?

The progress of the project was monitored by the project leader, who informed the GS who informed the Mayor. Monitoring was proved to be essential in order to have control of the project during implementation.

8.2 Was the improvement plan implemented as scheduled?

The plan has not been implemented yet.

8.3 Was the effectiveness of the improvement plan monitored?

The plan has not been implemented yet.

8.4 How was senior management commitment demonstrated throughout the implementation process?

Senior managers' commitment was demonstrated by their collaboration in the Self – Assessment process as well as by giving the employees time to participate in it. Their commitment was maintained throughout the CAF implementation process, since it was a Mayoral decision to be implemented. The CAF implementation was a common obligation for all the Departments of the Municipality. Additionally, the perseverance of the project leader helped maintain senior management commitment.

However, as the project progressed, the commitment was partly lost, due to the fact that the CAF implementation time schedule lasted longer

than planned initially and the time of election approached. Additionally, at different times, when the workload of the Departments was heavy, the commitment was partly lost, due to other priorities.

8.5 How was senior management involvement demonstrated throughout the implementation process?

The senior management involvement was demonstrated –thanks to the SA team’s perseverance- through the collection of the supporting documentation during the Self – Assessment. Their commitment was demonstrated throughout the CAF implementation process, since it was a Mayoral decision to be implemented. The CAF implementation was a common obligation for all the Departments of the Municipality.

However, at various times when the workload of the Departments was heavy, the involvement was lost, due to other priorities

8.6 How was employees’ commitment demonstrated throughout the implementation process?

The employees’ commitment was demonstrated by their keen participation during the Self – Assessment process. Their commitment was reinforced further by the SA team’s perseverance on the collection of the supporting documentation but also due to the letter sent by the GS

8.7 How was employees’ involvement demonstrated throughout the implementation process?

The employees’ involvement was proven to be satisfactory during the CAF implementation period. It was proven by the great percentage of response to the self-assessment questionnaire and through the perseverance, as members of the SA team, as well as the impact the epistle had which was sent to all of them by the GS.

8.8 Were the allocated resources maintained during the implementation process?

The allocated resources were maintained throughout the duration of the implementation process. The project was not particularly influenced by the allocated resources

8.9 Was the plan for training and education implemented?

Training and education plan was implemented, exactly as it was planned by the Ministry of Interior, the Balkan Centre and the National

School of Governance. Members of the SA team and colleagues took part in the seminars

8.10 Was the entire process reviewed and evaluated?

The process was not reviewed neither evaluated in a methodical way

8.11 Was the choice of the scoring panel evaluated?

The choice of the scoring panel was not evaluated in a methodical way

8.12 Was a decision made whether to continue with CAF or not?

8.12.1 If you intend to use CAF again, what, if anything, would you change?

8.12.2 If you don't intend to use CAF again why is that?

There was no decision made whether to continue with CAF or not. If they had the chance to do it all over again, they would pay more attention to the implementation's pace, so as to make sure it would have been quicker, including the improvement plan. Also, they would have handled differently the communication plans both within the Municipality and with the public. The goal of the Municipality, according to the majority of the interviewees is to implement it again

8.13 Was the momentum affected by the unstable macro-environment?

The macro-environment had not affected the momentum of the project at the time of the implementation. But in the end since the improvement plan was not implemented the momentum was affected in a negative way.

9 Controlling the pace of the implementation

9.1 How was the pace of implementation?

9.1.1 Who determined that pace?

9.1.2 How long did it take to implement CAF?

All the interviewees shared the view that the pace of implementation was very slow, even though it took them six months to implement the self-assessment. After that, the pace was lost, especially during the drafting of the improvement plan. The implementation of the improvement plan has not been concluded yet. That happened because the 13 members of the SA team, and the Municipality in general, had other issues to attend to. The pace was set by the SA team. The project leader believes that CAF should conclude within six months.

9.2 Was the pace affected by the unstable macro-environment?

The pace of the implementation was affected by the external macro-environment because at the time of the implementation there was an extremely busy time for all the participants

10 General issues

10.1 How did the members of the SA team undertake the Self - Assessment?

Each member scored individually on the criterion that was assigned to them and then, the SA team met to agree on that score and produce an average from all the scores produced by the SA team members

10.2 How did the SA group reach consensus on strengths and areas for improvement?

Each SA member put some proposals forward, concerning the criterion that was assigned to them, and then in a meeting of all the SA team members they reached consensus on these proposals

10.3 How did the SA group reach consensus on scoring?

They reached consensus on scoring by discussing among them each score and by producing an average score.

10.4 What obstacles did you encounter in the course of the Self – Assessment

10.4.1 What did you do to overcome these obstacles?

There were no insurmountably obstacles in the course of the self-assessment. If there were minor problems they would be resolved through discussions in the SA team.

However, in many cases the proposed questionnaire for the implementation guide given by the Ministry of Interior did not fit the Municipality's characteristic and therefore there were many explanations given by the SA team and the project leader for many of the criteria and the sub-criteria

10.5 What were the main benefits of the Self - Assessment?

All the interviewees agreed that the main benefit of the self-assessment was self-awareness. It also gave to the SA team the opportunity to suggest solutions for their Municipality's problems, during the drafting of the improvement plan

10.6 How was the report regarding the results of the SA prepared?

10.6.1 Was that report communicated?

It was prepared by the SA team, each member prepared the criterion assigned to them, and the final drafting and editing was done by the project leader. Each line and each criterion was, of course, agreed upon by all the SA team members.

The report was delivered by the project to the GS, the Mayor and the members of the SA team in November of 2013.

10.7 How was the improvement plan developed?

10.7.1 What were the main obstacles encountered in developing the CAF improvement plan?

10.7.2 What did you do to overcome these obstacles?

The improvement plan was developed by the project leader and each line had the approval of the SA team, in the same way the self-assessment report was approved and agreed upon.

10.8 What were the main obstacles encountered implementing the improvement actions of the improvement plan?

10.8.1 What did you do to overcome these obstacles?

The improvement plan has not been implemented yet

10.9 Did the implementation of CAF lead to the adoption of a TQM system/technique?

All interviewees agreed that the implementation of CAF has not led to the adoption of a TQM system/technique yet. Nevertheless, it is the project leader's wish that a Department of Quality Control would be created to implement CAF and the rest of the TQM systems/techniques

10.10 Did the implementation of CAF result in benchmarking with other organizations?

No, there was no benchmarking with other organizations

10.11 To what extent was the improvement plan aligned with the strategic plan of your organization

The overall view of the interviewees was that that the improvement plan was aligned to a great extent with the strategic plan of the organization, since it is formed for the Municipality

Mean = 3.4

Range = 3 to 4

(1=Not at all, 4=Totally)

10.12 To what extent was the improvement plan aligned with the day-to-day operation of your organization

The overall view of the interviewees was that the improvement plan was aligned to a great extent with the day-to-day operation of the organization.

Mean = 3.4

Range = 3 to 4

(1=Not at all, 4=Totally)

10.13 How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the self-assessment report

The improvement actions have not been implemented yet

10.14 Did the implementation of CAF achieve the expected results?

There were mixed views whether the implementation of CAF had achieved the expected results or not. Either way all the interviewees agreed that there is a gap left in the implementation process since the improvement plan has not been implemented yet and therefore the organization had no real results in terms of improvement.

Mean = 1.8

Range = 1 to 3

(1=Not at all, 4=Totally)

10.15 To what extent was CAF connected with the other TQM systems of your organization?

All the interviewees agreed that CAF was not connected at all with the other TQM systems, because there are no permanently installed quality control systems in the organization.

Mean = 1

Range = 1 to 1

(1=Not at all, 4=Totally)

10.16 How would you evaluate your organization regarding the maturity of CAF's implementation?

The majority of the interviewees believed that their organizations is on the preliminary stage (entry level) regarding CAF's maturity since this was the first time they had implemented CAF and since the implementation has not been

completed yet, due to the incompleteness of the implementation of the improvement plan

Mean = 1.2

Range = 1 to 2

(1=Entry level, 3=High level)

10.17 Would you evaluate the implementation of CAF to your organization as effective?

The overall view of the interviewees was that the implementation of CAF was effective up to a certain point, but since the improvement plan has not been implemented yet, in part it was a failure.

Mean = 2.4

Range = 2 to 3

(1=Not at all, 4=Totally)

Coming to an end in this section it is worth mentioning that the researcher also interviewed another person that was originally member of the Self-Assessment team, but he resigned before the process even started. This resignation drew researcher's attention because it might have had to do with employees' commitment to the project. The researcher asked the permission of the General Secretary to reach that person and ask the reason for resigning of the project. The interview was done over the phone and resulted that the reason of withdrawing was that at the time that the self-assessment was about to take place this person had a lot of work to do since he was the only one with high-school education in the Cleaning and Recycling Department and could not be replaced by another colleague. This is also supported by his letter of resignation that was given to the Mayor. That is why at the beginning of the process there were two Mayoral decisions, the first concerning the formation and appointment of the members of the Assessment Team and the next one concerning the replacement of this team member.

4.4 Case study "P" Time-Series Analysis

The following table presents the time-series analysis of the Case Study, i.e. placing in chronological order of the events that took place during CAF's implementation process:

Table 4.2: Case Study “P” – Time Series Analysis

DATE	ACTION	Step/Element of the Theoretical Framework
Apr/2012	The implementation of CAF was first considered	Step 0 – Start of the Process
Dec/2012	The Decision for Implementing CAF was taken	Step 0.4 Step 0.8 Step 0.9 Step 0.10
	A steering Committee was appointed	Step 1.1
	A Project Leader was appointed	Step 1.2
	The Self-Assessment (SA) Team was created	Step 3.1 Step 3.2 Step 3.3
	The Choice of the chair of the SA team was made	Step 3.4
3-7/12/2012	Training and education took place (1 st seminar)	Step 4.1 Step 4.2 Step 4.3 Step 4.4 Step 4.5
Dec/2012	The entire project was planned	Step 1.4
First 3 weeks of Jan/2013	The reasons (Motives) for using the model were identified (22-Jan-2013)	Step 0.5
	The expected benefits (the added value) for using the model were identified	Step 0.6
	The scope and the approach of (SA) were identified (22-Jan-2013)	Step 0.7
	The Commitment and ownership of the management for launching the process was assured (04-Jan-2013 and 25-Jan-2013)	Step 1.3
	Senior Management and Political commitment were stimulated (04-Jan-2013 and 25-Jan-2013)	C Step 2.4

	Employee's commitment and involvement during the entire process were stimulated (22-Jan-2013)	F Step 2.4
Last week of Jan 2013	Responsibilities for each Member of the SA team were assigned	Step 3.5
	The SA team was prepared to undertake the Self-Assessment	Step 4.1
	The Key Stakeholders, the products and services and the key processes were defined for the SA team	Step 4.2
Feb 2013 – Apr 2013	The SA Team gathered evidence the criteria and sub criteria of CAF	Step 5.1
	Each member of the SA Team individually assessed his/her criteria	Step 5.2
Last week of Apr 2013	Training and education took place (2nd seminar), regarding issues of how to implement the Self-Assessment for the SA Team Members	Step 4.1 Step 4.2 Step 4.3 Step 4.4 Step 4.5
Apr 2013 – June 2013	The individual Assessments were collected	Step 5.3
	The SA Team reached consensus on the issues regarding the criteria and sub-criteria of CAF	Step 5.4
	A decision on the final score for each criterion and sub-criterion was made	Step 5.5
Last weeks of June 2013	All proposals for actions of improvement, including the ideas formulated during the Self-Assessment were collected	Step 7.1
July 2013	The Self-Assessment report was prepared	Step 6.1
Nov 2013	The Self-Assessment report was given to the General Secretary and the Mayor	Step 6.1
From Nov 2013 until Mar 2014	The Improvement actions were prioritized	Step 7.2
Mar 2014	The improvement plan report was prepared	Step 7.5
	The improvement plan report was given to the General Secretary and the Mayor	Step 7.5

4.5 Case Study “P” Program Logic – Comparison with Theoretical Framework

Having analyzed the data of the interviews and the documents from the case study along with the events that took place during CAF’s implementation process, the next step is to combine the pattern – matched data and the chronological data and compare them with the theoretical framework presented in chapter 2, using the program logic approach. The analysis of this is presented below:

STEPS IN CAF’S IMPLEMENTATION PROCESS:

➤ **STEP 0: START OF THE PROCESS – INITIAL DECISION**

- **STEP 0.1: ASSESS THE CURRENT QUALITY - CULTURE OF THE ORGANIZATION**

In order for the CAF implementation to take place the organization did not assess its current quality culture in a methodical way. Nevertheless, the perception of the people that were about to participate in CAF’s implementation process believed that due to the fact that the organization in the recent past had some involvement in TQM programmes the organization’s culture was mature to implement TQM programmes.

- **STEP 0.2: DEVELOP A PLAN FOR MATURING ORGANIZATION’ S CULTURE TOWARDS QUALITY**

There was no need for this step during the implementation process because the organization was mature for TQM techniques.

- **STEP 0.3: CARRY OUT A PRE-IMPLEMENTATION ASSESSMENT**

There was no pre-implementation assessment carried out. The perception of the people of the organization that were about to decide about CAF’s implementation process was that the organization was mature for TQM techniques.

- **STEP 0.4: CHOOSE WHICH BEM WILL BE USED. CONSIDER CAF ALTERNATIVES**

There were no CAF alternatives considered. The original idea for implementing CAF came from the department of Planning and Development. An employee of this department participated in the middle of 2012 in a seminar that the National School of Public Sector

offered. After this seminar the employee suggested to the General Secretary through an epistle the implementation of the CAF. The General Secretary knew about the CAF due to the fact that in his previous career had implemented and it agreed to carry on.

- STEP 0.5: IDENTIFY THE REASONS (MOTIVES) FOR USING THE MODEL
- STEP 0.6: IDENTIFY THE EXPECTED BENEFITS (THE ADDED VALUE) FOR USING THE MODEL
- STEP 0.7: DEFINE THE SCOPE AND THE APPROACH OF THE SELF-ASSESSMENT
- STEP 0.8: DECIDE IN WHICH DEPARTMENT

The General Secretary sent an epistle to all the departments (to the managers and the employees, in person, asking to undersign that they got informed) in order to explain both the reasons and the benefits for implementing CAF. In this epistle the scope and the approach of Self - Assessment were defined along with the decision to implement CAF in the entire organization.

Additionally, all interviewees shared the view that the motives for implementing CAF were somehow obvious from the beginning of the process (either through the seminars or through the epistles sent by the General Secretary to all the departments at the beginning of the process).

- STEP 0.8.1: DECIDE THE “PILOT UNIT”

The General Secretary with the project leader decided not to have pilot implementation.

- STEP 0.9: ASSURE A CLEAR MANAGEMENT DECISION IN CONSULTING WITH THE ORGANIZATION

There was a clear management decision to implement CAF from the Mayor of the Municipality. Moreover, this decision was supported by the General Secretary’s epistle explained previously.

- STEP 0.10: ASSURE POLITICAL COMMITMENT

The political commitment to implement CAF was assured by the Mayor’s decision.

➤ **STEP 1: DECIDE HOW TO ORGANIZE AND PLAN THE SA**

• **STEP 1.1: APPOINT A STEERING COMMITTEE**

A Steering committee was not appointed. The entire process, as decided by the Mayor, was under the supervision of the General Secretary and of a City Councils' member, who in the end did not participate so actively as the General Secretary did.

• **STEP 1.2: APPOINT A PROJECT LEADER**

A project leader was appointed by the Mayor in consulting with the General Secretary. This project leader was appointed with the Mayor's decision. This person was chosen for her knowledge of TQM techniques and of the CAF

• **STEP 1.3: ASSURE THE COMMITMENT AND OWNERSHIP OF THE MANAGEMENT FOR LAUNCHING THE PROCESS**

The commitment and the ownership for launching the process were assured by the General Secretary who sent an epistle for implementing the model and also organized a meeting with all senior managers. The role of the General Secretary was decisive in order to maintain senior management's commitment during the entire process. The commitment was assured, since there was a Regulation in place for the implementation of the CAF (Mayoral letter, No 426/04-01-2013 and the GS.'s letter, No 3752/22-01-2013).

• **STEP 1.4: PLAN THE ENTIRE PROJECT**

The entire project was planned by the project leader. This planning took into account the plan that is suggested by the Ministry of Interior when implementing CAF.

• **STEP 1.5: ALLOCATE RESOURCES FOR THE SELF - ASSESSMENT**

Resources were allocated in terms of man-hours paid through the SA team, the cost of the seminars, but also, a small administrative-secretarial cost for the completion of the reports (self-assessment report, improvement plan)

• **STEP 1.6: CHOOSE THE SCORING PANEL**

The Self - Assessment team decided to score using the classic scoring system.

➤ **STEP 2: COMMUNICATE THE SELF-ASSESSMENT PROJECT**

- STEP 2.1: DEFINE THE COMMUNICATION PLAN
- STEP 2.2: IMPLEMENT THE COMMUNICATION PLAN
- STEP 2.3: COMMUNICATE DURING THE DIFFERENT PHASES TO ALL THE STAKEHOLDERS
- STEP 2.4: STIMULATE INVOLVEMENT IN THE SA OF THE TOP AND MIDDLE MANAGERS, STAFF AND EMPLOYEES

There was no communication plan defined at the beginning of CAF implementation process. Nevertheless, communication among the Self – Assessment team members through the entire process was made mainly via e-mails. Additionally, part of the overall communication procedure of CAF's implementation process was the Mayor's decision, the Mayor's epistle for implementing TQM techniques in the Municipality and the General Secretary's epistles that kept both senior manager and employees committed to the entire project. These epistles stimulated involvement to the entire process for both managers and employees.

➤ **STEP 3: COMPOSE THE SELF-ASSESSMENT-TEAM(S)**

- STEP 3.1: DECIDE ON THE NUMBER OF SELF-ASSESSMENT-TEAMS

A decision for the number of the Self – Assessment Teams was made by the Mayor after the suggestion of the General Secretary and the Project leader. It was clear from the beginning of the process that the creation of one Self – Assessment Team was suitable for the Municipality due to its size and its administrative structure.

- STEP 3.2: DECIDE IF THE MANAGER(S) SHOULD BE PART OF THE SA TEAM(S)

A decision for some of the managers whether to participate in the Self – Assessment Teams was made by the Mayor after the suggestion of the General Secretary.

- STEP 3.3: CREATE A SELF ASSESSMENT TEAM THAT IS RELEVANT FOR THE WHOLE ORGANIZATION RESPECTING ITS ASPECTS

The self-Assessment team was created by the Mayor, after the suggestions of the General Secretary. The selection of the participants was made on the basis of representing each organization's department and having in mind the capabilities of the participants.

- **STEP 3.4: CHOOSE THE CHAIR OF THE TEAM**

The chair for the Self-Assessment Team was appointed by the Mayor, after the suggestion of the General Secretary. The project leader was also the chair of the Self-Assessment Team.

- **STEP 3.5: ASSIGN RESPONSIBILITIES TO EACH MEMBER AS NEEDED**

Certain responsibilities were assigned to each team member by the project leader, in consulting with each team member. This choice was made having in mind each member's capabilities.

➤ **STEP 4: PREPARE THE SA TEAM(S) – ORGANIZE TRAINING**

- **STEP 4.1: PREPARE THE SELF-ASSESSMENT TEAM(S)**

The Self – Assessment team was prepared for its task by participating in two seminars and by having discussions with the project leader as a team.

- **STEP 4.2: DEFINE THE KEY STAKEHOLDERS, THE PRODUCTS AND SERVICES AND THE KEY PROCESSES**

During the first three meetings of the Self – Assessment Team there was a discussion for defining the key stakeholders, the products and services as well as the key processes, so as to get a common picture for those issues.

- **STEP 4.3: PLAN TRAINING FOR THE SA TEAM (S)**

Training for the Self – Assessment Team was planned by the project leader in collaboration with the Ministry of Interior and the National School of Governance

- **STEP 4.4: TRAIN THE SELF-ASSESSMENT TEAM(S)**

The training of the Self – Assessment Team took place as scheduled

- **STEP 4.5: INFORM AND TRAIN THE MANAGEMENT TEAM**

In the two seminars that took place some senior managers participated. Besides that, there was no other special training for the senior managers.

➤ **STEP 5: UNDERTAKE THE SELF-ASSESSMENT**

- STEP 5.1: GATHER EVIDENCE REGARDING THE CRITERIA AND SUB – CRITERIA OF CAF

The members of the Self-Assessment Team gathered evidence for each criterion and sub-criterion as it was appointed to them by the project leader

- STEP 5.2: UNDERTAKE INDIVIDUAL ASSESSMENT
- STEP 5.3: COLLECT THE INDIVIDUAL ASSESSMENTS
- STEP 5.4: UNDERTAKE CONSENSUS IN THE SELF - ASSESSMENT TEAM(S)
- STEP 5.5: DECIDE ON THE FINAL SCORES

Each team member assessed his/her criterion and then as a group there was a discussion for each criterion and sub-criterion in order to decide on the final score and on the strengths and weaknesses.

➤ **STEP 6: DRAW UP A REPORT DESCRIBING THE RESULTS OF SA**

- STEP 6.1: PREPARE THE SELF – ASSESSMENT REPORT

The project leader prepared the Self-Assessment report by combining all the individual reports from the Self-Assessment Team members for each criterion. The final draft of the Self-Assessment report was discussed and agreed with the Self-Assessment Team

- STEP 6.2: PRESENT AND OFFICIALLY ACCEPT THE SELF – ASSESSMENT REPORT

The Self – Assessment report was not presented in public, but it was handed over to the Mayor and the General Secretary. The Self – Assessment report was not officially accepted or rejected yet.

- STEP 6.3: COMMUNICATE THE SELF – ASSESSMENT REPORT

The Self – Assessment report was not officially communicated. It is still in the hands of the General Secretary and the Mayor. According to the project leader the Municipality is about to disseminate the results, when the improvement plan is completed. They are going to host an open event and present the results.

➤ **STEP 7: DESIGN AN IMPROVEMENT PLAN, BASED ON THE ACCEPTED SA**

- STEP 7.1: COLLECT ALL PROPOSALS FOR ACTIONS FOR IMPROVEMENT, INCLUDING THE IDEAS FORMULATED DURING THE SA

The Project leader collected all the proposals for actions of improvement from the Self – Assessment Team members and started formulating the improvement plan

- STEP 7.2: PRIORITISE AND DIFFERENTIATE THE IMPROVEMENT ACTIONS WITHIN REALISTIC TIME SCALES

The Project leader in consulting with the Self – Assessment Team prioritised the improvement actions according to their effectiveness and possibility

- STEP 7.3: DEFINE A STRUCTURED ACTION PLAN FOR THE SELECTED IMPROVEMENT ACTIONS BASED ON THE PDCA CYCLE

The first draft of a structured action plan for the improvement actions was prepared by the project leader, in cooperation with the Self – Assessment team

- STEP 7.4: ESTABLISH WAYS TO MEASURE THE PERFORMANCE OF THE ACTIONS AND THE RESULTS

There is no methodical way established to measure the performance of the actions and the results

- STEP 7.5: PRESENT AND OFFICIALLY ACCEPT THE IMPROVEMENT PLAN

The improvement plan report was given by the project leader in person to the General Secretary. This report was not officially accepted either rejected yet.

- STEP 7.6: INTEGRATE THE ACTION PLAN IN THE NORMAL STRATEGIC PLANNING PROCESS

The improvement action plan is aligned with the normal strategic plan and the day-to-day operation of the organization but was not implemented.

➤ **STEP 8: COMMUNICATE THE IMPROVEMENT PLAN**

- STEP 8.1: DEFINE THE COMMUNICATION PLAN
- STEP 8.2: IMPLEMENT THE COMMUNICATION PLAN

- STEP 8.3: INFORM THE RELEVANT STAKEHOLDERS

Since the improvement plan was not officially accepted yet there is no communication plan defined in order to inform the relevant stakeholders.

➤ **STEP 9: IMPLEMENT THE IMPROVEMENT PLAN**

- STEP 9.1: APPOINT A RESPONSIBLE PERSON FOR EACH ACTION

There is no person appointed for each action of the action plan

- STEP 9.2: DEFINE CLEAR OWNERSHIP OF THE IMPROVEMENT PROGRAM AND THE PROJECTS

There is no indication that clear ownership of the improvement plan and the improvement projects was defined

- STEP 9.3: IMPLEMENT THE IMPROVEMENT PLAN AS SCHEDULED

The improvement plan was not implemented

- STEP 9.4: INVOLVE EMPLOYEES IN THE DIFFERENT IMPROVEMENT ACTIONS

The improvement plan was not implemented

- STEP 9.5: DEFINE A CONSISTENT APPROACH FOR MONITORING AND ASSESSING THE IMPROVEMENT ACTIONS

The is no consistent approach defined for monitoring and assessing the improvement actions

- STEP 9.6: MONITOR ON A REGULAR BASIS THE IMPLEMENTATION OF THE IMPROVEMENT ACTIONS

The improvement plan was not implemented

- STEP 9.7: IMPLEMENT THE APPROPRIATE MANAGEMENT TOOLS ON A PERMANENT BASIS

The improvement plan was not implemented

➤ **STEP 10: EVALUATE AND PLAN NEXT IMPLEMENTATION**

- STEP 10.1: REVIEW AND EVALUATE THE ENTIRE PROCESS

The process of implementing CAF was neither reviewed nor evaluated

- STEP 10.2: GO TO STEP 0 AND START ALL OVER AGAIN

No need for this step since the organization is considering implementing CAF again after the improvement actions take place

- STEP 10.3: CONSIDER THE CHOICES MADE DURING THE ENTIRE PROCESS AND CHOOSE AGAIN

There is not a methodological consideration of the choices made during the implementation of CAF yet. Nevertheless, as it was pointed out in the next implementation more attention will be given to the pace of the implementation process

- STEP 10.4: PLAN NEXT SELF – ASSESMENT. USE CAF AGAIN

The next Self – Assessment has not planned yet.

- STEP 10.5: GO TO STEP 1 AND START ALL OVER AGAIN

There is no decision to implement CAF again. The organization is considering implementing CAF again after the improvement actions take place.

4.6 Case study “J” background

The Municipality used for Case study J was founded on the 1st of January 2011, as a result of the combination of two existing Municipalities, due to Kallikratis plan.

During the regional and local elections that took place on the 7th of November 2010, the first Mayor and Municipal Authority were elected. The Mayor had since then on the responsibility of the Municipality’s management. The Mayor is assisted by eight deputy mayors, who are assigned responsibilities by the Mayor himself, and by a General Secretary who is also assigned by the Mayor.

The City Council is the supreme governing body of the Municipality; it is composed by 49 elected members, the municipal councilors of the governing party and the opposition.

The Municipality started implementing CAF in 2005, following the proposal put forward by the Planning and Development Department and the City’s Council decision. The first implementation was a pilot one and was done at the Directorate of Social Care. It ended in December 2006. Then in 2009 (with the previous Municipal authority, prior to the November 2010 elections, which changed after the 2010 elections) the Municipality started implementing CAF again in two directorates; the Directorate of Youth and Sports and the Directorate of Municipal Status. For both Directorates the implementation phase for the SA report ended in 2010, the first in May 2010 and the second in December 2010, both prior to the local political change. Additionally, the

implementation of the improvement actions for the Directorate of Youth and Sports ended in December 2010 (with the previous Municipal authority), while the implementation of the improvement actions for the Directorate of Municipal Status ended in July 2011 (with the new Municipal Authority). Moreover, in September 2010 (with the previous Municipal authority) the Municipality started implementing CAF at the Directorate of Road Constructions which ended in December 2012 (with the new Municipal Authority). .

All the three cases since they were implemented by the same Municipality, they have common issues (the SA team, the project leader, the City Council's decision, the senior managers' decisions, so on) hence they were analyzed and presented together in order to avoid repeating over and over the same issues, but for the purpose of the findings they were considered as three separate cases.

The analysis of the CAF implementation process and the comparisons between the implementation and the theoretical framework follow in the next sections of this chapter.

4.7 Case study “J” Interview and Document Analysis

In this section the document and Interview analysis will be made having in mind the data of the Case study organization presented in Appendix 22 and Appendix 23, respectively:

1. Taking into account the organization's culture

1.1 When was CAF considered for the first time?

CAF was first considered in 2005 after a letter received by the Ministry of Interior about CAF (5/2015). Then the department of Planning and Development informed the Mayor and the General Secretary (8/2015).

1.2 In order to decide whether to implement CAF or not, was the Municipality's quality culture assessed?

The overall view of the interviewees was that there was a certain quality control culture in the Municipality, but there were no specific actions to study this culture.

1.3 Were any CAF alternatives considered?

The interviewees shared the opinion that CAF alternatives were not considered. The assistant project leader thought that CAF will be useful, since it was promoted by the Ministry of Interior.

1.4 When the decision for implementing CAF was made?

1.4.1 Who took this decision?

The overall view of the interviewees was that the decision for implementing CAF was taken in 2005. It was decided by the City Council (City Council's Decision with File Number 2014/2005) based on the proposal put forward by the department of Planning and Development (Information – Suggestion Letter (72948/2544/08-08-2005) by the Planning and Development Department to the Mayor (via the deputy Mayor)).

1.5 Was there a decision on the SA approach that would be used?

All the interviewees shared the view that there was no decision on the Self – Assessment approach that would be used. The Municipality followed the method proposed in the Guide of the Ministry of Interior

1.6 Was CAF implemented in the entire organization or in a department?

There was a pilot study made in 2006 in the Directorate of Social Care, and then there were three implementations. The first one at the Directorate of Municipal Status from 09/2009 until 07/2011, the second one at the Directorate of Youth and Sports from 10/2009 until 12/2010 and the third one at the Directorate of Road Constructions from 09/2010 until 12/2012

1.7 Did a pilot implementation take place?

A pilot Implementation took place at the Directorate of Social Care in 2006. This was the General Secretary's and the project leader's decision.

1.8 Has the organization's culture been affected by the unstable macro-environment?

The implementation at the directorate of Youth and Sport was at the beginning of the appearance of the Greek Debt crisis, and prior of the implementation of Kallikratis Plan, so during the implementation of CAF there was no change to the organization's culture.

The implementation at the Directorate of Municipal Status was at the beginning of the Greek Debt Crisis and at the beginning of the implementation of Kallikratis Plan so during the implementation of CAF there was no change to the organization's culture.

For the implementation that was during the Greek Debt crisis and along with the implementation of Kallikratis Plan it is stated that the organization's culture was affected due to the economic crisis and the political changes but that the SA team managed to fulfil the implementation of CAF.

The assistant project leader also believes that the external macro-environment affected the nature of the improvement actions in all three implementations which had to be cost effective due to budget restraints.

Additionally, the fact that the organization did not continue with CAF has to do with the quality culture been affected because of the massive lack of human capital due to the economic crisis, and the changes caused by Kallikratis.

2. Establish Motivation

2.1 Were the motive(s) for using CAF identified?

All the interviewees shared the view that there was not a formal way to identify the motives for implementing CAF, but it was somehow obvious from the beginning of the process (either through the seminars or through the suggestion letter sent by the department of Planning and Development to the Mayor). The documentation research indicated that the motives (the reasons) for using CAF were identified at the beginning of the implementation process. These motives were described at the suggestion letter (No. 72948/2544/08-08-2005) sent by the department of Planning and Development to the Mayor (via the deputy Mayor). This document was part of the City Council's Decision (No. 2014/2005). The main motives were that CAF would result in better self-awareness, identification of strengths and weaknesses and ability to improve.

2.2 Were the added value and the benefits of CAF highlighted?

2.2.1 What was the expected timescale for these benefits to occur?

Initially they were highlighted by the department of Planning and Development at their suggestion letter (No. 72948/2544/08-08-2005), but not in a formal way. Apart from that there were regular meetings among the SA team members and the benefits were discussed among them. The benefits were expected to be visible at a short time for the Directorate of Youth and Sport.

2.3 Has the motivation for using CAF affected by the unstable macro-environment?

For the implementation at the Directorate of Youth and Sports that was at the beginning of the appearance of the Greek Debt crisis, and prior to the implementation of Kallikratis Plan there were no changes to the established motivation although there were some concerns about upcoming job-cuts.

For the implementation at the Directorate of Municipal Status which was at the beginning of the Greek Debt Crisis and at the beginning of the implementation of Kallikratis Plan it was stated that some administrative changes made during the time of the implementation affected the motivation for using CAF.

For the implementation that was during the Greek Debt crisis and along with the implementation of Kallikratis Plan it is stated that the motivation was affected due to the economic crisis but in a positive way because they were more focused on implementing cost – effective improvement actions.

According to the assistant project leader the unstable macro-environment in the beginning affected the motivation in a positive way because they wanted to implement CAF again in order to have a benchmark with their own implementations. But in the end the implementation of Kallikratis plan (2011) and the unstable macro-environment (new administrative structure, new jurisdictions, moving to a new building) made TQM issues to come in second place. This had to do mainly with administrative and legal reasons and not with political willpower.

3. **Gaining senior management and political commitment**

3.1 Was there a management decision to implement CAF?

All the interviewees shared the view that there was a clear management decision to implement CAF. The Mayor (via the deputy Mayor) agreed to implement CAF and suggested it to the City Council, having the suggestion letter given to him by the Department of Planning and Development (No. 72948/2544/08-08-2005). The General Secretary also participated in that decision and sent an epistle (No. 10443/3528/14-11-2005) to all departments to appoint members for the SA team. This

decision had full support of the Administration since senior managers participated in the SA Team.

3.2 Was there a political decision to implement CAF?

All the interviewees agreed that there was a political decision to implement CAF by the Mayor who is a member of the political leadership. The Mayor (via the deputy Mayor) agreed to implement CAF and they suggested it to the City Council, having the suggestion letter given to them by the Department of Planning and Development (No. 72948/2544/08-08-2005).

3.3 Was the commitment and ownership of the Management for initiating the process assured?

All the interviewees shared the view that the commitment and ownership of the Management for initiating the process were assured. The senior managers and the SA team(s) had regular meetings. Additionally, the senior managers participated in the SA team(s). The commitment was assured, since there was a Regulation in place for the implementation of the CAF from the City Council (City Council's Decision with File Number 2014/2005).

3.4 Did the managers participate in the SA teams?

The senior managers participated in the SA teams, which helped the Administration's commitment. The selection belongs to the Mayor, who suggested the members to the City Council (Suggestion Letter (8617/24-01-2006) by the Planning and Development Department to the Mayor (via the Deputy – Mayor) for appointing the SA Team).

3.5 Was training and education organized for political leaders in order to promote ownership and commitment?

The overall view of the interviewees was that there was no training and education organized for political leaders in order to promote ownership and commitment.

3.6 Was training and education organized for senior managers in order to promote ownership and commitment?

The training involved the SA team and the senior managers that participated in it. The training included CAF analysis and adjustment of the Ministry of Interior Guide to the needs of the Municipality

3.7 Was the SA report officially presented?

All the SA reports were officially presented to the City Council (City Council's Decision (978/2010) for accepting the SA Report for the Directorate of Youth and Sport, City Council's Decision (2350/2010) for accepting the SA Report of the Directorate of Municipal Status and City Council's Decision (101/2012) for accepting the SA Report of the Directorate of Road Constructions) Additionally the SA reports were sent to the Ministry of the Interior.

3.8 Was the SA report officially accepted?

All the SA reports were officially accepted by the City Council (City Council's Decision (978/2010) for accepting the SA Report for the Directorate of Youth and Sport, City Council's Decision (2350/2010) for accepting the SA Report of the Directorate of Municipal Status and City Council's Decision (101/2012) for accepting the SA Report of the Directorate of Road Constructions).

3.9 Was the improvement plan officially presented?

All the Improvement plans were officially presented to the City Council (City Council's Decision (978/2010) for accepting the Improvement Plan for the Directorate of Youth and Sport, City Council's Decision (2350/2010) for accepting the Improvement Plan of the Directorate of Municipal Status and City Council's Decision (101/2012) for accepting the Improvement Plan of the Directorate of Road Constructions). Additionally, the Improvement plans were sent to the Ministry of the Interior.

3.10 Was the improvement plan officially accepted?

All the Improvement plans were officially accepted by the City Council (City Council's Decision (978/2010) for accepting the Improvement Plan for the Directorate of Youth and Sport, City Council's Decision (2350/2010) for accepting the Improvement Plan of the Directorate of Municipal Status and City Council's Decision (101/2012) for accepting the Improvement Plan of the Directorate of Road Constructions).

3.11 Has senior management been affected by the unstable macro-environment?

For the implementation at the Directorate of Youth and Sport which was at the beginning of the appearance of the Greek Debt crisis, and prior

to the implementation of Kallikratis Plan, it was stated that there was no influence from the macro-environment, although one of the interviewees mentioned that the management commitment was affected due to political reasons caused by prosecutorial investigations in the Municipality.

For the implementation at the Directorate of Municipal Status which was at the beginning of the Greek Debt Crisis and at the beginning of the implementation of Kallikratis Plan it was stated that the management commitment was lost due to the political change after the elections of 2010 which caused a lot of administrative changes in the senior managers.

For the implementation at the Directorate of Road Constructions which was during the Greek Debt crisis and along with the implementation of Kallikratis Plan it was stated that commitment was lost due to the administrative changes caused by Kallikratis.

The assistant project leader stated that there was no direct effect because all the improvement plans had low-cost improvement actions, but after Kallikratis plan the memory of the improvement plan was lost due to administrative changes.

3.12 Has political commitment been affected by the unstable macro-environment?

For the implementation at the Directorate of Youth and Sport which was at the beginning of the appearance of the Greek Debt crisis, and prior to the implementation of Kallikratis Plan, it was stated that there was no influence from the macro-environment, although one of the interviewees mentioned that the political commitment was affected due to political reasons caused by prosecutorial investigations in the Municipality.

For the implementation at the Directorate of Municipal Status which was at the beginning of the Greek Debt Crisis and at the beginning of the implementation of Kallikratis Plan it was stated that the political commitment was lost due to the political changes followed the elections of 2010.

For the implementation at the Directorate of Road Constructions which was during the Greek Debt crisis and along with the implementation of Kallikratis Plan it was stated that commitment was lost due to the

administrative changes caused by Kallikratis. This was also the view of the assistant project leader for all implementations.

4 Planning and organising the entire project

4.1 Was a project leader appointed?

A project leader and an assistant project leader were appointed. It was the Mayor's decision who suggested the implementation of CAF at the City Council. The candidates were selected because they had the relevant knowledge and their jurisdictions had to do with TQM issues (City Council's Decision with File Number 2014/2005 based on the proposal put forward by the department of Planning and Development (Information – Suggestion Letter (72948/2544/08-08-2005) by the Planning and Development Department to the Mayor (via the deputy Mayor)).

4.2 Was a steering committee appointed?

A steering committee was not appointed.

4.3 Was the entire project planned?

The entire project was planned by the project leader, her assistant, the senior managers of each Directorate and the Members of the SA Team(s). The planning involved all the necessary steps, the meaning of CAF and its goals. The pace of the implementation was also taken into account in the planning process.

4.4 What resources were allocated?

Resources were not allocated exclusively for the project, except for the man-hours paid through the SA team.

4.5 Was a decision whether to score or not made?

4.5.1 Was the scoring panel to be used defined?

4.5.2 What were the motives for scoring?

All the interviewees shared the opinion that scoring was agreed to by the SA team. The SA team followed the seminar's guidelines and the guidelines of the implementation guide published by the Ministry of Interior. The SA team believed it was necessary to give a grade, in order to have comparative data from one implementation of CAF to the other. The simple scoring system was used, since it was deemed to be more suitable for a first-time implementation of the CAF.

4.6 How many SA Teams were created?

One SA team was created, and three sub-teams because it was suitable for the size of the Municipality. The decision for the sub-teams was made by the Mayor and the decision for the SA Team was made by the City's Council having the Mayor's suggestion (City Council's Decision (392/2006) for appointing the SA Team, City Council's Decision (1266/2006) for appointing additional members to the SA Team, City Council's Decision (2509/2009) for reformatting the SA Team, Mayoral Decision (1228/02-02-2010) for appointing a sub - SA Team for the Directorate of Municipal Status, Mayoral Decision (10203/05-11-2010) for appointing a sub- SA Team for the Directorate of Road Constructions).

4.7 How was the selection of the participants in the SA teams made?

The criterion was the creation of teams that were representative of all the main units of the Municipality and the Directorates where CAF was implemented. The General Secretary at the beginning of the project sent an Epistle (2927/109027/07-12-2005) to all the departments that were selected to implement CAF titled "Beginning of the process of implementing CAF" in order for the senior managers to suggest members for the SA team.

4.8 Did the SA team(s) have a chair?

The SA team had the project leader or her assistant as a president. They were appointed with the City Council's Decision (2014/2005). Additionally, for each sub-team the senior manager of the Department was the president.

4.9 Did the SA team members have certain responsibilities?

The SA team members did not have certain responsibilities allocated to them in a formal way. Their responsibilities were outlined during the meetings by the senior manager of each department and the project leader.

4.10 How were the SA team(s) prepared for the Self-Assessment?

The preparation was done by the project leader, the senior managers and the seminar, which took place in April 2006 (03 to 07 of April 2006).

4.11 Was a plan for training and education prepared?

A plan for training and education was prepared by the project leader. All members of the SA team and a number of members of the sub-teams

participated in the seminars. The senior managers participated as members of the SA team.

4.12 Were the improvement actions prioritised?

The improvement actions were prioritized by the project leader, in collaboration with senior manager of each department, based on the implementation cost priorities and their applicability.

4.13 Was a person responsible for the implementation of each improvement action appointed?

There were certain people appointed for the improvement actions. This was the choice of the senior manager of each department and the project leader.

4.14 Was a structured action plan defined for the selected improvement actions?

For each Directorate there was a certain structured action plan defined for the selected improvement actions by the project leader in collaboration with each senior manager.

4.15 Has planning and organising the entire project been affected by the unstable macro-environment?

The process of planning and organizing the project was not affected by the external macro-environment even in the implementations that happened during the Greek Debt Crisis and along with the implementation of Kallikratis Plan.

5 Communicate during the different phases to all stakeholders

5.1 Was a communication plan defined?

A plan for communication was not defined, but there was communication among the GS, the Mayor and the project leader, the senior managers and the members of the SA team and sub-teams. Additionally, there was regular communication with the Ministry of the Interior about the progress of the implementation in all Directorates.

5.2 Was this communication plan implemented?

There was not a certain plan, but the communication implemented was effective

5.3 Has this communication plan succeeded?

There was no communication plan

5.4 Has communication been affected by the unstable macro-environment?

According to the assistant project leader the last phase of all implementations was to inform the citizens about the improvement action which never took place due to the implementation of Kallikratis Plan. This view was also shared by all the other interviewees. Additionally, the General Secretary sent an information letter (File No. 5981/1670/15-12-2011) to the Ministry of Interior that the Municipality is to reschedule the planning about the future implementations of CAF because they had first to adjust their administrative structure according to Kallikratis Plan.

6 Assuring employees' commitment and involvement during the entire process

6.1 Which actions were taken to gain employees' commitment?

The majority of the interviewees shared the view that there were actions taken to gain employees' commitment. These actions were the epistles sent by the department of Planning and development to all parties involved and the regular briefings held among the participants.

6.2 Which actions were taken to empower employees?

The majority of the interviewees shared the view that there were actions taken to empower employees. These actions were the epistles sent by the department of Planning and development to all parties involved and the regular briefings held among the participants.

6.3 Which actions were taken to ensure employees' involvement?

All interviewees shared the view that employees' involvement was mainly ensured by the Mayor's and the City Council's Decision to implement CAF. Additionally, regular meetings held among the participants helped to ensure employees' involvement.

6.4 Were there any rewards or recognition for those participating in the implementation process?

There were no rewards, neither for the SA team, nor for the Municipality's employees, except in the case of the Directorate of Road Constructions who took extra credit in their annually evaluation sheets.

6.5 Has employees' commitment been affected by the unstable macro-environment?

Overall the interviewees share the view that at a certain point when the crisis affected the Municipality, TQM issues were left aside, for economic, political and administrative reasons (Kallikratis Plan). This withdrawal about CAF was also confirmed by the Information letter that the General Secretary sent to the Ministry of Interior informing that the Municipality will need to reschedule the planning about the future implementations of CAF because they had first to adjust their administrative structure according to the Kallikratis Plan (File No. 5981/1670/15-12-2011).

6.6 Has employees' involvement been affected by the unstable macro-environment?

Same as with the employees' commitment.

7 Integration of the use of CAF into the organization and its process

7.1 Was clear ownership of the improvement programme and the projects defined?

The interviewees had mixed opinions. For the implementation at the Directorate of Youth and sport the interviewees shared the view that the ownership of the improvement programme was not defined. This is also the view of the project leader. On the other hand, in the other two implementations the interviewees believed that clear ownership of the improvement programme and the projects had been defined.

7.2 Was the improvement action plan integrated into the normal strategic plan?

The interviewees had mixed opinions. For the implementations at the Directorate of Municipal Status and the Directorate of Road Constructions the improvement action plan was clearly integrated into the normal strategic plan. In the Directorate of Youth and Sport there were mixed opinions about who had the jurisdiction for the strategic planning, but also in that case there were actions to integrate the implementation of CAF in the normal strategic process of the Directorate. On the other hand, the project leader shared the view that since CAF at all implementations resulted in short term improvement actions those were not related to the strategic plan. Nevertheless, the General Secretary had sent an information letter to all the departments prior to CAF's Implementation in order to stimulate the actions needed to complete CAF's implementation,

to ally it with the other TQM tools and integrate it in the normal strategic process (information Letter with file No.58110/03-07-2008).

7.3 How was CAF aligned with other organizational systems (if any)?

It was clear among all interviewees that CAF was aligned with ISO and Management by Objectives. This was done basically through the information letter that the General Secretary had sent to all departments in order to ally CAF with the other TQM systems (information Letter with file No.58110/03-07-2008).

7.4 Has integration been affected by the unstable macro-environment?

The interviewees had mixed opinions.

The project leader shared the view that until the time of the implementations the unstable macro-environment did not affect the integration of CAF. This was also the view of the senior manager of the Directorate of Youth and Sport, who believed that the improvement actions that were up to the Directorate to do were implemented as scheduled and integrated in the organization.

In the Case of the Directorate of Municipal status which implemented CAF at the beginning of the Greek Debt Crisis and at the beginning of Kallikratis plan the integration had been affected because the improvement actions were not normally implemented due the new administrative structure.

On the other hand, for the case of the Directorate of Road Constructions it was stated that the external macro-environment had in the end a positive effect, because CAF gave the opportunity to overcome the economic crisis and find new ways to fund the projects and be more cost – effective. Additionally, the administrative changes had affected the improvement actions in the beginning negatively but then in a positive way because the Directorate managed to be adjusted to changes.

Nevertheless, the official status of the Municipality about CAF has been highlighted at the General Secretary's information letter to the Ministry of the Interior in which it was pointed out that the Municipality will be withdrawn regarding future CAF implementations (File No. 5981/1670/15-12-2011).

8 Maintaining momentum in the entire process

8.1 How was the progress of the project monitored and by whom?

The progress of the project was monitored by the project leader who had constant communication with the senior managers and the SA Teams. Monitoring proved to be essential in order to have control of the project during implementation but was interrupted in the end due to the administrative change (for the Directorate of Municipal Status and the Directorate of Road Constructions).

8.2 Was the improvement plan implemented as scheduled?

The interviewees had mixed opinions.

In the case of the directorate of Youth and Sport in which the implementation of CAF was at the beginning of the appearance of the Greek Debt crisis, and prior to the implementation of Kallikratis Plan the improvement plan was implemented partly for the actions that had to do with the Directorate and did not need cooperation with other Departments. This was due to the changes because of the new administrative structure that were coming (due to Kallikratis plan) and the new political Leadership of the Municipality (after the elections of Nov/2011)

For the implementation at the Directorate of Municipal Status in which the implementation of CAF was at the beginning of the Greek Debt Crisis and at the beginning of the implementation of Kallikratis Plan the improvement plan was implemented but not as scheduled due to the administrative changes of Kallikratis which also changed the jurisdictions of the Directorate.

For the case of the Directorate of Road Constructions which was during the Greek Debt crisis and along with the implementation of Kallikratis Plan it is stated that the improvement plan was implemented except the improvement actions that had to do with the new administrative structure (due to Kallikratis plan) and the budget restrictions (due to the Greek Debt Crisis which led to budget cuts to the Local Governments).

8.3 Was the effectiveness of the improvement plan monitored?

The implementation of the improvement plan was monitored by the project leader and the senior managers of each department.

8.4 How was senior management commitment demonstrated throughout the implementation process?

Senior managers' commitment was demonstrated by their participation in the Self – Assessment process and was maintained due to the regular meetings they had with the SA Team(s) and the project leader. However, after a certain point, in the case of the Directorate of Municipal Status, it was lost due to the political changes after the elections of 2010, because the new administration had different culture about TQM issues.

8.5 How was senior management involvement demonstrated throughout the implementation process?

Same as above.

8.6 How was employees' commitment demonstrated throughout the implementation process?

The employees' commitment was demonstrated by their keen participation during the Self – Assessment process. Their commitment was reinforced further by the SA team's regular briefings and the commitment of the project leader to fulfil the implementation of CAF. However, after a certain point, in the case of the Directorate of Municipal Status, it was lost due to the political changes after the elections of 2010, because the new administration had different culture about TQM issues.

8.7 How was employees' involvement demonstrated throughout the implementation process?

Same as above.

8.8 Were the allocated resources maintained during the implementation process?

There were no resources allocated

8.9 Was the plan for training and education implemented?

Training and education were implemented, exactly as it was planned. The people that were appointed actually participated. The training plan was monitored by the project leader who informed the participants so as to keep up with the training.

8.10 Was the entire process reviewed and evaluated?

The process was neither reviewed nor evaluated in a methodical way

8.11 Was the choice of the scoring panel evaluated?

The choice of the scoring panel was not evaluated in a methodical way

8.12 Was a decision made whether to continue with CAF or not?

8.12.1 If you intend to use CAF again, what, if anything, would you change?

8.12.2 If you don't intend to use CAF again why is that?

The interviewees shared the view that they wanted to continue but the changes on the external macro-environment (political and administrative) affected them. The official status of the Municipality about CAF has been highlighted at the General Secretary's information letter to the Ministry of the Interior in which it was pointed out that the Municipality will be withdrawn regarding future CAF implementations (File No. 5981/1670/15-12-2011), because they needed time to adjust their administrative structure to Kallikratis plan first.

8.13 Was the momentum affected by the unstable macro-environment?

All the interviewees shared the view that the unstable macro-environment had affected the momentum of the project in the phase of the implementation of the improvement action plan, due to the political and administrative changes.

9 Controlling the pace of the implementation

9.1 How was the pace of implementation?

9.1.1 Who determined that pace?

9.1.2 How long did it take to implement CAF?

All the interviewees shared the view that the pace (from 8 to 10 months) of the implementation was fine. The project leader and the senior managers controlled that pace.

9.2 Was the pace affected by the unstable macro-environment?

All the interviewees shared the view that the pace was not affected by the external macro-environment. The only effect was during the phase of the implementation of the improvement action plan, which stopped at the Directorate of Municipal Status due to the political and administrative changes.

10 General issues

10.1 How did the members of the SA team undertake the Self - Assessment?

All the interviewees agreed that the members of the SA Team(s) discussed each criterion and came up with a common score.

10.2 How did the SA group reach consensus on strengths and areas for improvement?

All the interviewees agreed that the members of the SA Team(s) discussed each criterion and came up with a common score using the statistical average and by using the forms suggested by the guide of the Ministry of the Interior.

10.3 How did the SA group reach consensus on scoring?

All the interviewees agreed that the SA Team(s) discussed each criterion and came up with a common score using the statistical average.

10.4 What obstacles did you encounter in the course of the Self – Assessment

10.4.1 What did you do to overcome these obstacles?

All the interviewees agreed that they did not have any problems. They acted as a team.

10.5 What were the main benefits of the Self - Assessment?

The interviewees shared the view that the main benefit of the self-assessment was self-awareness and the ability to improve things through the improvement plan.

10.6 How was the report regarding the results of the SA prepared?

10.6.1 Was that report communicated?

It was prepared by the SA teams, after having discussed each criterion, in cooperation with the senior management and the project leader.

The report was presented at the City's Council and in the case of the Directorate of Municipal Status was also communicated to all employees.

10.7 How was the improvement plan developed?

10.7.1 What were the main obstacles encountered in developing the CAF improvement plan?

10.7.2 What did you do to overcome these obstacles?

All the interviewees agreed that they did not have any problems. They acted as a team. They discussed each criterion and they used the forms suggested by the guide of the Ministry of Interior.

10.8 What were the main obstacles encountered in implementing the improvement actions of the improvement plan?

10.8.1 What did you do to overcome these obstacles?

The interviewees had mixed opinions about that. The project leader believed that the main obstacle was the every-day work which was heavy enough, hence the people involved did not have enough time to deal with the improvement actions. In the case of the implementation at the Directorate of Road Constructions which was during the Greek Debt crisis and along with implementation of Kallikratis Plan it is stated that there were no problems. In the other two implementations it was stated that the main obstacle was the administrative and political changes which left TQM issues aside after a certain point.

10.9 Did the implementation of CAF lead to the adoption of a TQM system/technique?

The implementation of CAF has not led to the adoption of a TQM system/technique. Some TQM systems operated along with CAF. None of them continued after the Kallikratis plan.

10.10 Did the implementation of CAF result in benchmarking with other organizations?

No, there was no benchmarking with other organizations

10.11 To what extent did the improvement plan align with the strategic plan of your organization

The overall view of the interviewees was that that the improvement plan was aligned to a large extent with the strategic plan of the organization, since it is formed for the Municipality

Mean = 2.8

Range = 2 to 3

(1=Not at all, 4=Totally)

10.12 To what extent was the improvement plan aligned with the day-to-day operation of your organization

The overall view of the interviewees was that that the improvement plan was aligned to a large extent with the day-to-day operation of the organization.

Mean = 3

Range = 3 to 3

(1=Not at all, 4=Totally)

10.13 How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the self-assessment report

The improvement actions to all cases were implemented in a percentage more than 75%

10.14 Did the implementation of CAF achieve the expected results?

There were mixed views whether the implementation of CAF had achieved the expected results or not. The project leader believed that CAF achieved the expected results to a large extent and it would have been even better results if there weren't the changes due to Kallikratis Plan. This is also the view for the implementation at the directorate of Youth and Sport which was at the beginning of the appearance of the Greek Debt crisis, and prior to the implementation of Kallikratis Plan. For the Directorate of Road constructions which implementation was during the Greek Debt crisis and along with the implementation of Kallikratis Plan, it is believed that CAF achieved the expected results to a large extent. On the other hand, for the implementation that was at the beginning of the Greek Debt Crisis and at the beginning of the implementation of Kallikratis Plan it is believed that CAF had not achieved the expected results at all due to the administrative changes caused by the external macro-environment.

Mean = 2.6

Range = 1 to 3

(1=Not at all, 4=Totally)

10.15 To what extent was CAF connected with the other TQM systems of your organization?

All the interviewees agreed that CAF was connected with the other TQM systems to a large extent.

Mean = 3

Range = 3 to 3

(1=Not at all, 4=Totally)

10.16 How would you evaluate your organization regarding the maturity of CAF's implementation?

There were mixed views about that. The project leader believes that they are in an intermediate level.

Mean = 2

Range = 1 to 3

(1=Entry level, 3=High level)

10.17 Would you evaluate the implementation of CAF to your organization as effective?

The overall view of the interviewees was that the implementation of CAF was effective up to a certain point, but since the improvement plan has not been implemented as scheduled due to the administrative changes caused by Kallikratis plan it was not effective in the end.

Mean = 2.6

Range = 2 to 3

(1=Not at all, 4=Totally)

4.8 Case study “J” Time-Series Analysis

The following table presents the time-series analysis of the Case Study, i.e. placing in chronological order of the events that took place during CAF’s implementation process:

Table 4.3: Case Study “J” – Time Series Analysis

DATE	ACTION	Step/Element of the Theoretical Framework
Aug/2005	The implementation of CAF was first considered	Step 0 – Start of the Process
08/08/2005	The reasons and the expected benefits for using CAF were identified	B Step 0.5 Step 0.6
25/08/2005	The Decision for Implementing CAF was made	C Step 0.4 Step 0.8 Step 0.8.1 Step 0.9 Step 0.10
25/08/2005	A Project Leader was appointed	Step 1.2

25/08/2005	The commitment of the Political and Administrative leadership was secured by the City Council's Decision	C Step 1.3
14/11/2005	The Ministry of Interior was informed about the beginning of the process for implementing CAF	E Step 2.3 Step 2.4
Dec/2005 – Feb/2006	The Self-Assessment (SA) Team was created	Step 3.1 Step 3.2 Step 3.3
	The Choice of the chair of the SA team was made	Step 3.4
08/03/2006	The Ministry of Interior was informed about the formation of the SA Team and the training planning for April (03-07/ Apr)	E Step 2.3 Step 2.4
14/03/2006	Training and education was planned	Step 4.1 Step 4.3
Mar/2006 – Apr/ 2006	The Self-Assessment (SA) Team was reformed	Step 4.2 Step 4.4
Apr/2006	The decision for a pilot implementation was made, the pilot unit was selected, and the pilot implementation started at the Directorate of Social Care	Step 0.8.1
08/05/2006	The Mayor and the General secretary were informed about the progress of the process of implementing CAF and the next steps needed	E Step 2.3 Step 2.4
16/06/2006	A meeting took place among the members of the SA Team to discuss the progress of the process of implementing CAF	C H I
23/11/2006	The Ministry of Interior was informed about the progress of the process of implementing CAF and the next steps needed	E Step 2.3 Step 2.4
Dec/2006	The pilot implementation finished	Step 0.8.1
09/02/2007	The results of the pilot implementation were presented to the SA Team, the Directorates, the senior Managers and the Deputy- Mayors	E Step 2.3 Step 2.4 Step 8.3
05/04/2007	The Ministry of Interior informed about the progress of the process of implementing CAF and the next steps needed	E Step 2.3 Step 2.4

03/07/2008	The progress of the process was stimulated by the General Secretary	C H I
29/09/2009	The implementation for the Directorate of Municipal Status was planned	D Step 1.4
23/11/2009	The Self-Assessment (SA) Team was reformed	Step 3.3
14/12/2009	A sub – SA Team was appointed by the Mayor for the Directorate of Youth and Sports	Step 3.3
02/02/2010	A sub – SA Team was appointed by the Mayor for the Directorate of Municipal Status	Step 3.3
21/01/2010 until 16/09/2010	Meetings among the project leader, her assistant, the senior managers of the Directorate of Municipal Status and the SA Team(s) took place. The Self – Assessment took place	Step 1.6 Step 3.5 Step 5.1 Step 5.2 Step 5.3 Step 5.4 Step 5.5 H I
21/10/2009 until 23/03/2010	Meetings among the project leader, her assistant, the senior managers of the Directorate of Youth and Sport and the SA Team(s) took place. The Self – Assessment took place	Step 1.6 Step 3.5 Step 5.1 Step 5.2 Step 5.3 Step 5.4 Step 5.5 H I
21/09/2010 until 22/12/2011	Meetings among the project leader, her assistant the senior managers of the Directorate of Road Constructions and the SA Team(s) took place. The Self – Assessment took place	Step 1.6 Step 3.5 Step 5.1 Step 5.2 Step 5.3 Step 5.4 Step 5.5 H I
Mar/2010	The Self-Assessment report and the Improvement plan was prepared for the Directorate of Youth and Sports	C F Step 6.1 Step 7.1 Step 7.2 Step 7.3

May/2010	The Self-Assessment report and the Improvement plan was accepted by the City Council for the Directorate of Youth and Sports	Step 7.5 Step 7.6
May/2010	The Ministry of Interior was informed by the General Secretary about the results of the implementation of CAF at the Directorate of Youth and Sports	E Step 8.3
Mar/2010 until Dec/2010	The improvement plan for the Directorate of Youth and Sports was implemented except the improvement actions that had to do with the new administrative structure (due to Kallikratis plan) and the new political Leadership of the Municipality (after the elections of Nov/2011)	C F Step 9.1 Step 9.2 Step 9.3 Step 9.4 Step 9.5 G H I
05/11/2010	A sub – SA Team was appointed by the Mayor for the Directorate of Road Constructions	Step 3.3
Nov/2010	The Self-Assessment report and the Improvement plan was prepared for the Directorate of Municipal Status	C Step 6.1 Step 7.1 Step 7.2 Step 7.3
25/11/2010	The Self-Assessment report and the Improvement plan was sent to the City Council for the Directorate of Municipal Status	Step 7.5 Step 7.6
20/12/2010	The Self-Assessment report and the Improvement plan was accepted by the City Council for the Directorate of Municipal Status	Step 7.5 Step 7.6
23/12/2010	The Ministry of Interior was informed by the General Secretary about the results of the implementation of CAF at the Directorate of Municipal Status.	E Step 8.3
Dec/2010 until Jun/2011	The improvement plan for the Directorate of Municipal Status was implemented except the improvement actions that had to do with the new administrative structure (due to Kallikratis plan)	C F Step 9.1 Step 9.2 Step 9.3 Step 9.4 Step 9.5 G H I

18/04/2011	The employees of the Directorate of Municipal Status were informed about the improvement action plan and its implementation	E F Step 8.3 Step 9.4
15/12/2011	An information letter was sent by the new General Secretary to the Ministry of Interior informing about: <ul style="list-style-type: none"> - The completion of the implementation of CAF at the Directorate of Municipal Status - The completion of the implementation of CAF at the Directorate of Youth and Sports - The results of CAF so far - The progress of the implementation for the Directorate of Road Constructions - The need for a new planning about the future implementations of CAF due to the administrative change that Kallikratis caused 	C E F Step 8.3 Step 10
Dec/2011	The Self-Assessment report and the Improvement plan was prepared for the Directorate of Road Constructions	C Step 6.1 Step 7.1 Step 7.2 Step 7.3
22/12/2011	The Self-Assessment report and the Improvement plan was sent to the City Council for the Directorate of Road Constructions	Step 7.5 Step 7.6
Dec/2011 until Dec/2012	The improvement plan for the Directorate of Road Constructions was implemented except the improvement actions that had to do with the new administrative structure (due to Kallikratis plan) and the budget restrictions (due to the Greek Debt Crisis which led to budget cuts to the Local Governments)	C F Step 9.1 Step 9.2 Step 9.3 Step 9.4 Step 9.5 G H I
18/12/2012	The Department of Planning and Development organized a second training for the participants in the first Implementation of CAF in case the Municipality wanted to impalement CAF again	Step 10
30/01/2012	The Self-Assessment report and the Improvement plan was accepted by the City Council for the Directorate of Road Constructions	Step 7.5 Step 7.6
06/02/2012	The Ministry of Interior was informed by the General Secretary about the results of the implementation of CAF at the Directorate of Road Constructions.	E Step 8.3

06/02/2012 until 10/02/2012	Training and education took place for implementing CAF Again	Step 10
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4.9 Case Study “J” Program Logic – Comparison with Theoretical Framework

Having analyzed the data of the interviews and the documents from the case studies along with the events that took place during CAF’s implementation process, the next step is to combine the pattern – matched data and the chronological data and compare them with the theoretical framework presented in chapter 2, using the program logic approach. The analysis of which is presented below:

STEPS IN CAF’S IMPLEMENTATION PROCESS:

➤ **STEP 0: START OF THE PROCESS – INITIAL DECISION**

- **STEP 0.1: ASSESS THE CURRENT QUALITY - CULTURE OF THE ORGANIZATION**

In order for the CAF implementation to take place the organization did not assess its current quality culture in a methodical way. Nevertheless, the perception of the people that were about to participate in CAF’s implementation process believed that the organization’s culture was mature in implementing TQM programmes.

- **STEP 0.2: DEVELOP A PLAN FOR MATURING ORGANIZATION’ S CULTURE TOWARDS QUALITY**

There was no need for this step during the implementation process because the organization was mature for TQM techniques.

- **STEP 0.3: CARRY OUT A PRE-IMPLEMENTATION ASSESSMENT**

There was no pre-implementation assessment carried out. The perception of the people of the organization that were about to decide about CAF’s implementation process was that the organization was mature for TQM techniques.

- **STEP 0.4: CHOOSE WHICH BEM WILL BE USED. CONSIDER CAF ALTERNATIVES**

There were no CAF alternatives considered. The original idea for implementing CAF came from the department of Planning and

Development. The assistant project leader, which was a senior manager in the Department, thought that CAF will be useful, since it was promoted by the Ministry of Interior.

- STEP 0.5: IDENTIFY THE REASONS (MOTIVES) FOR USING THE MODEL
- STEP 0.6: IDENTIFY THE EXPECTED BENEFITS (THE ADDED VALUE) FOR USING THE MODEL
- STEP 0.7: DEFINE THE SCOPE AND THE APPROACH OF THE SELF-ASSESSMENT

The senior manager of the department of Planning and Development sent an epistle to the General Secretary and then to the Mayor (via the Deputy Mayor) in order to explain both the reasons and the benefits for implementing CAF. In those epistles the scope and the approach of Self - Assessment were defined. The Mayor (via the Deputy Mayor) sent his epistle to the City Council to have the councillors' decision to implement CAF. Additionally, all interviewees shared the view that the motives for implementing CAF were somehow obvious from the beginning and throughout the entire process (through the seminar, through the regular briefings they had, or through the epistles sent by the General Secretary and the senior manager of the Department of Planning and development to the other departments during the entire process).

- STEP 0.8: DECIDE IN WHICH DEPARTMENT
- STEP 0.8.1: DECIDE THE "PILOT UNIT"

The General Secretary with the project leader decided first to implement CAF to the Directorate of Social Care as a pilot implementation and then to implement it to the other Directorates (Directorate of Youth and Sports, Directorate of Municipal Status and Directorate of Road Constructions).

- STEP 0.9: ASSURE A CLEAR MANAGEMENT DECISION IN CONSULTING WITH THE ORGANIZATION

There was a clear management decision to implement CAF from the City Council. Moreover, this decision was supported by the Mayor and the General Secretary.

- STEP 0.10: ASSURE POLITICAL COMMITMENT

The political commitment to implement CAF was assured by the City Council's decision.

➤ **STEP 1: DECIDE HOW TO ORGANIZE AND PLAN THE SA**

- STEP 1.1: APPOINT A STEERING COMMITTEE

A Steering committee was not appointed. The entire process, as decided by the City Council, was under the supervision of the Department of Planning and Development.

- STEP 1.2: APPOINT A PROJECT LEADER

A project leader and an assistant project leader were appointed by the City Council in consulting with the Mayor. These people were selected because they had the relevant knowledge and their jurisdictions had to do with TQM issues.

- STEP 1.3: ASSURE THE COMMITMENT AND OWNERSHIP OF THE MANAGEMENT FOR LAUNCHING THE PROCESS

The commitment and the ownership for launching the process were assured since there was a Regulation in place for the implementation of the CAF from the City Council. Additionally, all interviewees shared the view that the commitment and ownership of the Management for launching the process were also assured by the regular meetings held by the project leader with the senior managers and the members of the SA team(s).

- STEP 1.4: PLAN THE ENTIRE PROJECT

The entire project was planned by the project leader, her assistant, the senior managers of each Directorate and the Members of the SA Team(s). This planning took into account the plan that was suggested by the Ministry of Interior when implementing CAF. The planning involved all necessary steps, the meaning of CAF and its goals. The pace of the implementation was also taken into account in the planning process.

- STEP 1.5: ALLOCATE RESOURCES FOR THE SELF - ASSESSMENT

Resources were not allocated specifically for the project, except the man-hours paid through the SA team.

- STEP 1.6: CHOOSE THE SCORING PANEL

The Self - Assessment team decided to score using the classic scoring system, following the guide of the Ministry of the Interior, and the seminar guidelines.

➤ **STEP 2: COMMUNICATE THE SELF-ASSESSMENT PROJECT**

- STEP 2.1: DEFINE THE COMMUNICATION PLAN
- STEP 2.2: IMPLEMENT THE COMMUNICATION PLAN
- STEP 2.3: COMMUNICATE DURING THE DIFFERENT PHASES TO ALL THE STAKEHOLDERS
- STEP 2.4: STIMULATE INVOLVEMENT IN THE SA OF THE TOP AND MIDDLE MANAGERS, STAFF AND EMPLOYEES

There was no communication plan defined at the beginning of CAF implementation process. Nevertheless, there was constant communication among the GS, the Mayor and the project leader, the senior managers and the members of the SA team and sub-teams. Additionally, there was regular communication with the Ministry of the Interior about the progress of the implementation in all Directorates.

➤ **STEP 3: COMPOSE THE SELF-ASSESSMENT-TEAM(S)**

- STEP 3.1: DECIDE ON THE NUMBER OF SELF-ASSESSMENT-TEAMS

One SA team was created, and three sub-teams (one for each Directorate) because it was suitable for the size of the Municipality. The decision for the sub-teams was made by the Mayor and the decision for the SA Team was made by the City's Council having the Mayor's suggestions.

- STEP 3.2: DECIDE IF THE MANAGER(S) SHOULD BE PART OF THE SA TEAM(S)

A decision for the managers to participate in the Self – Assessment Teams was made by the City Council after the suggestions of the Mayor.

- STEP 3.3: CREATE A SELF ASSESSMENT TEAM THAT IS RELEVANT FOR THE WHOLE ORGANIZATION RESPECTING ITS ASPECTS

The self-Assessment team was created by the City Council, after the suggestions of the Mayor, based on the suggestions that each manager made for their department. The selection of the participants was made on the basis of representing each organization's department and having in mind the capabilities of the participants. The sub self-assessment teams were created by the Mayor.

- **STEP 3.4: CHOOSE THE CHAIR OF THE TEAM**

The chair for the Self-Assessment Team was appointed by the City Council after the Mayor's suggestion. Either the project leader or her assistant³ was also the chair of the Self-Assessment Team. For the sub self-assessment teams, the senior manager was the president.

- **STEP 3.5: ASSIGN RESPONSIBILITIES TO EACH MEMBER AS NEEDED**

The SA team members did not have certain responsibilities allocated to them in a formal way. Their responsibilities were outlined during the meetings by the senior manager of each department and the project leader.

➤ **STEP 4: PREPARE THE SA TEAM(S) – ORGANIZE TRAINING**

- **STEP 4.1: PREPARE THE SELF-ASSESSMENT TEAM(S)**

The Self – Assessment team was prepared for its task by participating in the seminar and by having discussions with the project leader as a team and with the senior managers who all participated in the seminar.

- **STEP 4.2: DEFINE THE KEY STAKEHOLDERS, THE PRODUCTS AND SERVICES AND THE KEY PROCESSES**

During the meeting of the SA Team(s) there was a discussion to define the key stakeholders, the products and services and the key processes, so as to get a common picture for those issues. Additionally these issues were clarified in the seminar.

- **STEP 4.3: PLAN TRAINING FOR THE SA TEAM (S)**

³ The SA team that was created had a project leader and an assistant project leader. At the time of the research the author interviewed only the assistant project leader since the project leader had pensioned off

Training for the Self – Assessment Team was planned by the project leader in collaboration with the Ministry of Interior and the National School of Governance

- **STEP 4.4: TRAIN THE SELF-ASSESSMENT TEAM(S)**

The training of the Self – Assessment Team took place as scheduled

- **STEP 4.5: INFORM AND TRAIN THE MANAGEMENT TEAM**

In the seminar that took place the senior managers participated.

➤ **STEP 5: UNDERTAKE THE SELF-ASSESSMENT**

- **STEP 5.1: GATHER EVIDENCE REGARDING THE CRITERIA AND SUB – CRITERIA OF CAF**

The members of the Self-Assessment Team(s) gathered evidence for each criterion and sub-criterion.

- **STEP 5.2: UNDERTAKE INDIVIDUAL ASSESSMENT**

- **STEP 5.3: COLLECT THE INDIVIDUAL ASSESSMENTS**

- **STEP 5.4: UNDERTAKE CONSENSUS IN THE SELF - ASSESSMENT TEAM(S)**

- **STEP 5.5: DECIDE ON THE FINAL SCORES**

The members of the SA Team(s) discussed each criterion and came up with a common score using the statistical average and by using the forms suggested by the guide of the Ministry of the Interior in order to decide on the final score and on the strengths and weaknesses.

➤ **STEP 6: DRAW UP A REPORT DESCRIBING THE RESULTS OF SA**

- **STEP 6.1: PREPARE THE SELF – ASSESSMENT REPORT**

The self – assessment report(s) for each Directorate were created by the SA team(s), discussing each criterion, in cooperation with the senior management and the project leader.

- **STEP 6.2: PRESENT AND OFFICIALLY ACCEPT THE SELF – ASSESSMENT REPORT**

The Self – Assessment(s) were officially presented at the City’s Council and were officially accepted by it.

- **STEP 6.3: COMMUNICATE THE SELF – ASSESSMENT REPORT**

The Self – Assessment report(s) were officially communicated to the Ministry of the Interior Additionally in the case of the Directorate of Municipal Status was also communicated it to all employees.

➤ **STEP 7: DESIGN AN IMPROVEMENT PLAN, BASED ON THE ACCEPTED SA**

- **STEP 7.1: COLLECT ALL PROPOSALS FOR ACTIONS FOR IMPROVEMENT, INCLUDING THE IDEAS FORMULATED DURING THE SA**

The members of the SA team(s) collected all the proposals of improvement having in mind their SA report(s). They discussed each criterion and they used the forms suggested by the guide of the Ministry of Interior

- **STEP 7.2: PRIORITISE AND DIFFERENTIATE THE IMPROVEMENT ACTIONS WITHIN REALISTIC TIME SCALES**

The improvement actions were prioritized by the project leader, in collaboration with the senior manager of each directorate. For each one there was a certain time scale.

- **STEP 7.3: DEFINE A STRUCTURED ACTION PLAN FOR THE SELECTED IMPROVEMENT ACTIONS BASED ON THE PDCA CYCLE**

For each Directorate there was a certain structured action plan defined for the selected improvement actions by the project leader in collaboration with each senior manager. There were certain people appointed for the improvement actions.

- **STEP 7.4: ESTABLISH WAYS TO MEASURE THE PERFORMANCE OF THE ACTIONS AND THE RESULTS**

There was no methodical way established to measure the performance of the actions and the results

- **STEP 7.5: PRESENT AND OFFICIALLY ACCEPT THE IMPROVEMENT PLAN**

The improvement plan reports for each Directorate were officially presented at the City Council and were accepted by it. The reports were also sent to the Ministry of the Interior.

- **STEP 7.6: INTEGRATE THE ACTION PLAN IN THE NORMAL STRATEGIC PLANNING PROCESS**

For the implementations at the Directorate of Municipal Status and the Directorate of Road Constructions the improvement action plan was

clearly integrated into the normal strategic plan. As far as the Directorate of Youth and Sport is concerned there were mixed opinions about who had the jurisdiction for the strategic planning, but also in that case there were actions to integrate the implementation of CAF in the normal strategic process of the Directorate.

The improvement action plans were also aligned with the day-to-day operation of the organization and the other TQM systems (Management by Objectives and ISO)

➤ **STEP 8: COMMUNICATE THE IMPROVEMENT PLAN**

- STEP 8.1: DEFINE THE COMMUNICATION PLAN
- STEP 8.2: IMPLEMENT THE COMMUNICATION PLAN
- STEP 8.3: INFORM THE RELEVANT STAKEHOLDERS

A plan for communication for the improvement action plans was not defined, but there was communication among the GS, the Mayor and the project leader, the senior managers and the members of the SA team and sub-teams. Additionally, there was regular communication with the Ministry of the Interior. Moreover, in the case of the Directorate of Municipal Status the improvement plan was also communicated to all employees.

➤ **STEP 9: IMPLEMENT THE IMPROVEMENT PLAN**

- STEP 9.1: APPOINT A RESPONSIBLE PERSON FOR EACH ACTION
- STEP 9.2: DEFINE CLEAR OWNERSHIP OF THE IMPROVEMENT PROGRAM AND THE PROJECTS

There were certain people appointed for the improvement actions.

For the implementation at the Directorate of Youth and Sports the interviewees shared the view that the ownership of the improvement programme was not defined. This is also the view of the project leader. On the other hand, in the other two implementations the interviewees believed that clear ownership of the improvement programme and the projects had been defined. Nevertheless, it is clear that all three implementations resulted in a very structured improvement plan which was somehow implemented.

- STEP 9.3: IMPLEMENT THE IMPROVEMENT PLAN AS SCHEDULED

In the case of the directorate of Youth and Sports in which the implementation of CAF was at the beginning of the appearance of the Greek Debt crisis, and prior to the implementation of Kallikratis Plan the improvement plan implemented partly for the actions that had to do with the Directorate and did not need cooperation with other Departments. This was due to the changes with the new administrative structure that were coming (due to Kallikratis plan) and the new political Leadership of the Municipality (after the elections of Nov/2011)

For the implementation at the Directorate of Municipal Status which was at the beginning of the Greek Debt Crisis and at the beginning of the implementation of Kallikratis Plan the improvement plan was implemented but not as scheduled due to the administrative change of Kallikratis which also changed the jurisdictions of the Directorate.

On the other hand, in the case of the Directorate of Road Constructions which was during the Greek Debt crisis and along with implementation of Kallikratis Plan it is stated that the improvement plan was implemented except the improvement actions that had to do with the new administrative structure (due to Kallikratis plan) and the budget restrictions (due to the Greek Debt Crisis which led to budget cuts to the Local Governments)

- STEP 9.4: INVOLVE EMPLOYEES IN THE DIFFERENT IMPROVEMENT ACTIONS

Although the improvement plan was not implemented as scheduled as explained earlier, employees were involved in the implementation of the improvement actions. The employees' commitment was demonstrated by their keen participation during the entire process.

- STEP 9.5: DEFINE A CONSISTENT APPROACH FOR MONITORING AND ASSESSING THE IMPROVEMENT ACTIONS

The implementation of the improvement plan was monitored by the project leader and the senior managers of each department.

- STEP 9.6: MONITOR ON A REGULAR BASIS THE IMPLEMENTATION OF THE IMPROVEMENT ACTIONS

The implementation of the improvement plan was monitored by the project leader and the senior managers of each department up to the

point that was in operation. After the implementation of Kallikratis the momentum was lost.

- STEP 9.7: IMPLEMENT THE APPROPRIATE MANAGEMENT TOOLS ON A PERMANENT BASIS

The implementation of CAF has not led to the adoption of a TQM system/technique. Some TQM systems were operating along with CAF. None of them continued after Kallikratis plan.

➤ **STEP 10: EVALUATE AND PLAN NEXT IMPLEMENTATION**

- STEP 10.1: REVIEW AND EVALUATE THE ENTIRE PROCESS

The process of implementing CAF was neither reviewed nor evaluated in a methodical way

- STEP 10.2: GO TO STEP 0 AND START ALL OVER AGAIN

The organization decided that there is a need for a new planning about the future implementations of CAF due to the administrative change that Kallikratis caused

- STEP 10.3: CONSIDER THE CHOICES MADE DURING THE ENTIRE PROCESS AND CHOOSE AGAIN

There was not a methodological consideration of the choices made during the implementation of CAF yet.

- STEP 10.4: PLAN NEXT SELF – ASSESMENT. USE CAF AGAIN

The next Self – Assessment has not planned yet.

- STEP 10.5: GO TO STEP 1 AND START ALL OVER AGAIN

There is no decision to implement CAF again. The organization decided that there is a need for a new planning about the future implementations of CAF due to the administrative changes that Kallikratis caused

4.10 Case study “F” background

The Municipality of Case study F was not affected by the implementation of Kallikratis Plan since it was one of the few Municipalities that maintained their structure and Municipal Status. The only impact due to Kallikratis had to do with the jurisdictions. It is governed by a Mayor who is being assisted by five deputy mayors, who are assigned responsibilities by him, and by a General Secretary who is also assigned by him.

The City Council is the supreme governing body of the Municipality; it is composed by 41 elected members, the municipal councilors of the governing party and the opposition.

In 2007, the Municipality implemented CAF for the second time. The implementation process started in April 2007 and ended in June 2007. At the end of that year the Municipality was awarded for CAF's implementation process. The implementation of the improvement actions ended at the end of 2009. Since the improvement actions were implemented as scheduled and since CAF has been integrated in the organization the implementation of CAF was successful for the Municipality.

The analysis of the CAF implementation process and the comparisons between the implementation and the theoretical framework follow in the next sections of this chapter.

4.11 Case study “F” Interview and Document Analysis

In this section the document and Interview analysis will be made having in mind the data of the Case study organization presented in Appendix 24 and Appendix 25, respectively:

1. Taking into account the organization's culture

1.1 When was CAF considered for the first time?

CAF was first considered in 2003 after a letter received by the Ministry of Interior about CAF (07/2003). The Ministry of the Interior in cooperation with the Municipality decided to implement CAF for the first time in the Greek Public Sector as a pilot implementation, using the Municipality (Information letter 73/18-06-2003).

1.2 In order to decide whether to implement CAF or not, was the Municipality's quality culture assessed?

The overall view of the interviewees was that there was a certain quality culture in the Municipality, since they were using ISO and since they had already implemented CAF in the past. In the Municipality there was operating a quality department. Hence there was no need for an assessment. The quality culture was mature.

1.3 Were any CAF alternatives considered?

The interviewees shared the opinion that CAF alternatives were not considered. They just decided to implement it since it was promoted by the Ministry of Interior.

1.4 When the decision for implementing CAF was made?

1.4.1 Who took this decision?

The overall view of the interviewees was that the decision for implementing CAF was taken in 2003 for the first implementation and in 2007 for the second. In 2003 the decision was taken by the City Council having the suggestion of the Mayor who was the head of the quality department. In 2007 the decision was made by the City Council having the suggestion of the GS who was the head of the quality department in 2007

1.5 Was there a decision on the SA approach that would be used?

All interviewees shared the view that there was no decision on the Self – Assessment approach that would be used. The Municipality followed the method proposed in the Guide of the Ministry of Interior This approach was defined at the Information letter (22379/24-04-2007) sent by the General Secretary to the Mayor and the President of the City Council in order to start implementing CAF for the 2nd time.

1.6 Was CAF implemented in the entire organization or in a department?

CAF was implemented in the entire organization

1.7 Did a pilot implementation take place?

A pilot study did not take place. The culture quality of the organization was mature to handle TQM implementation processes

1.8 Has the organization's culture been affected by the macro-environment?

The culture quality of the organization was mature to handle TQM implementation processes and did not affect at all from the external macro-environment.

2. Establish Motivation

2.1 Were the motive(s) for using CAF identified?

All interviewees shared the view that the motives for implementing CAF were identified in a formal way. First of all, the motives are presented at the Information letter (22379/24-04-2007) sent by the General Secretary to the Mayor and to the President of the City Council in order to start implementing CAF for the 2nd time Secondly, there was an open meeting

with all employees in which CAF was presented along with the reasons for using it. The main motive was self-awareness.

2.2 Were the added value and the benefits of CAF highlighted?

2.2.1 What was the expected timescale for these benefits to occur?

The added value and the benefits of CAF were highlighted in the CS's epistle sent to the Mayor and to the President of the City Council in order to start implementing CAF for the 2nd time. Moreover, they were highlighted at the open meeting held prior to the implementation. The benefits were expected to appear in 4 months' time in certain cases and in 2 years' time for others.

2.3 Has the motivation for using CAF affected by the macro-environment?

All interviewees shared the view at the time of the implementation the motivation was not affected by the external macro-environment. Moreover, two of the interviewees pointed out that after Kallikratis plan the motives for implementing CAF would have been the same and that if they were to implement CAF again they will be even more motivated because the senior managers would seize the opportunity to highlight the lack of employees and the lack of resources that the crisis imposed.

3. Gaining senior management and political commitment

3.1 Was there a management decision to implement CAF?

All interviewees shared the view that there was a clear management decision to implement CAF. The Mayor and the General Secretary agreed to implement it and they had suggested it to the City Council which decided for the implementation. All the paper work needed had their signature and approval

3.2 Was there a political decision to implement CAF?

All interviewees agreed that there was a political decision to implement CAF by the City Council.

3.3 Was the commitment and ownership of the Management for initiating the process assured?

All interviewees shared the view that the commitment and ownership of the Management for initiating the process were assured (either in paper or in words). All the paper work needed had the signature and approval of the GS who has the highest management position in the Municipality. The

commitment was assured, since there was a Regulation in place for the implementation of the CAF (City Council's decision 187/2007). The GS's presence in all stages of implementation and the SA team helped to ensure the Administration's commitment.

3.4 Did the managers participate in the SA teams?

The senior managers did not participate in the SA team. This decision was made by the GS because all senior managers were very busy at the time of the implementation.

3.5 Was training and education organized for political leaders in order to promote ownership and commitment?

The overall view of the interviewees was that there was training and education organized by the Quality Department for political leaders in order to promote ownership and commitment. The training involved the Mayor, the GS and the deputy Mayors. CAF was presented and explained using the guide published by the Ministry of the Interior

3.6 Was training and education organized for senior managers in order to promote ownership and commitment?

The overall view of the interviewees was that there was training and education organized by the Quality Department for the senior managers in order to promote ownership and commitment. The training involved the Mayor, the GS, the deputy Mayors the senior managers and the members of the SA Team. In that training, CAF was presented and explained using the guide published by the Ministry of the Interior.

3.7 Was the SA report officially presented?

The SA report was officially presented to the two conferences in which the Municipality participated and to the EU network of the q-cities. For the implementation of CAF, the Municipality after presenting the report was awarded. Additionally, it was officially sent to the Ministry of the Interior. In the conference held by the Ministry of the Interior the Municipality was awarded.

3.8 Was the SA report officially accepted?

The SA report was officially accepted by the Mayor and the General Secretary. Additionally, it was officially sent to the Ministry of the Interior

3.9 Was the improvement plan officially presented?

The Improvement Plan was officially presented to the two conferences in which the Municipality participated and to the EU network of the q-cities. For the implementation of CAF, the Municipality after presenting the report was awarded. Additionally, it was officially sent to the Ministry of the Interior

3.10 Was the improvement plan officially accepted?

The Improvement Plan was officially accepted by the Mayor and the General Secretary. Additionally, it was officially sent to the Ministry of the Interior

3.11 Has senior management commitment been affected by the macro-environment?

All interviewees shared the view that the senior management commitment for implementing CAF was not affected at all by the external macro-environment which at the time of the implementation was very fond of the implementation of TQM tools in the Municipality

3.12 Has political commitment been affected by the macro-environment?

All interviewees shared the view that the political commitment for implementing CAF was not affected at all by the external macro-environment which at the time of the implementation was very fond of the implementation of TQM tools in the Municipality

4 Planning and organising the entire project

4.1 Was a project leader appointed?

A project leader was appointed The GS as the leader in the quality team had the role of the project leader (SA and Improvement Plan Report p. 15)

4.2 Was a steering committee appointed?

The quality department and the SA team in which the GS participated played the role of the steering committee.

4.3 Was the entire project planned?

The entire project was planned by the project leader (the GS). The planning involved all necessary steps, the meaning of CAF, its goals, the SA method that will be used and the resources needed. The pace of the implementation was also taken into account in the planning process (SA and Improvement Plan Report p. 17-18)

4.4 What resources were allocated?

Resources were allocated from the beginning of the project (budget for training and education, budget for the improvement actions and man-hours paid in the sense of participating in the project). The budget of the project was 10000 € (Information letter 22379/24-04-2007)

4.5 Was a decision whether to score or not made?

4.5.1 Was the scoring panel to be used defined?

4.5.2 What were the motives for scoring?

All interviewees shared the opinion that scoring was agreed by the SA team. The SA team followed the seminar's guidelines and the guidelines of the implementation guide published by the Ministry of Interior.

4.6 How many SA Teams were created?

There was one SA team. This SA team had 31 members and the GS as president. Each team member had the responsibility for a Municipality's department. For each department there was a choice so that he 25% of the employees will participate in the Self-Assessment process (SA and Improvement Plan Report p. 15).

4.7 How was the selection of the participants in the SA teams made?

The criterion was the creation of teams that were representative of all the main units of the Municipality. The choice was made by the GS. The employees participated in the Self-Assessment process on a volunteer basis.

4.8 Did the SA team(s) have a chair?

The SA team had the project leader (the GS) as a president.

4.9 Did the SA team members have certain responsibilities?

The SA team members had certain responsibilities. Their responsibilities were appointed by the GS

4.10 How were the SA team(s) prepared for the Self-Assessment?

The preparation was done through the training and education organized by the quality department at the beginning of the project. For each department there was a certain member of the quality team who helped the procedure (the antenna) of the Self-Assessment

4.11 Was a plan for training and education prepared?

A plan for training and education was prepared by the project leader (the GS). There were two seminars the first for the SA team (the 23rd of May 2007) and the second for the employees who participated in the SA process (May – June 2007) (SA and Improvement Plan Report p. 18).

4.12 Were the improvement actions prioritised?

The improvement actions were prioritized by the project leader, in collaboration with the SA Team based on the areas of improvement as was suggested at the SA report (SA and Improvement Plan Report p. 94-102)

4.13 Was a person responsible for the implementation of each improvement action appointed?

There were certain people appointed for the improvement actions. This was the choice of the project leader in cooperation with the SA team members (SA and Improvement Plan Report p. 104-105)

4.14 Was a structured action plan defined for the selected improvement actions?

There was a structured plan defined for the improvement actions along with the budget and the time needed. This was done by the project leader in cooperation with the SA team members (SA and Improvement Plan Report p. 101-102)

4.15 Has planning and organising the entire project been affected by the macro-environment?

The process of planning and organizing the project was not affected by the external macro-environment. Some improvement actions were not entirely implemented due to later budget restrains caused by the financial crisis.

5 Communicate during the different phases to all stakeholders

5.1 Was a communication plan defined?

A plan for communication was defined, by the project manager (the GS) in cooperation with the quality department and the SA team. It included communication with the political leadership with the senior managers, among the SA team, among the employees who participated in the SA process, with the strategic partners and with the

citizens/customers. Additionally, the results of CAF's implementation were sent to the Ministry of the Interior and presented in conferences.

5.2 Was this communication plan implemented?

The communication plan was implemented as scheduled

5.3 Has this communication plan succeeded?

All interviewees shared the view that the communication during the implementation was effective.

5.4 Has communication been affected by the macro-environment?

All interviewees shared the view that communication was not affected by the external macro-environment

6 **Assuring employees' commitment and involvement during the entire process**

6.1 Which actions were taken to gain employees' commitment?

There was an open meeting with all employees in which CAF was presented along with the reasons for using it and its benefits. Then the SA team members in each department allocated the employees that participated in the SA process. The employees participated on a voluntary basis. The seminars also helped to maintain their commitment. Additionally, there was an epistle sent by the GS to the 231 employees in order to stimulate their interest and inform them about their participation in the upcoming seminar and the SA process

6.2 Which actions were taken to empower employees?

All interviewees shared the view that the employees participated on a voluntary basis.

6.3 Which actions were taken to ensure employees' involvement?

All interviewees shared the view that employees' involvement was mainly ensured by their cooperation with the SA team members.

6.4 Were there any rewards or recognition for those participating in the implementation process?

There were no rewards for the participants in the SA process

6.5 Has employees' commitment been affected by the macro-environment?

All interviewees shared the view that employees' commitment was not affected by the external macro-environment

6.6 Has employees' involvement been affected by the macro-environment?

All interviewees shared the view that employees' involvement was not affected by the external macro-environment

7 Integration of the use of CAF into the organization and its process

7.1 Was clear ownership of the improvement programme and the projects defined?

The improvement plan was implemented as scheduled and was integrated in their day to day action. A lot of the improvement actions resulted in certain management procedures that were included in ISO, which is still in operation. Hence, the improvement actions of CAF are still working (for example in the department of urban planning, or the use of the code of conduct for employees)

7.2 Was the improvement action plan integrated into the normal strategic plan?

The improvement plan at the time of the implementation was integrated in the normal strategic process. All interviewees shared the view that CAF was associated with the strategic planning for the years 2010-2015. But it was not associated with their next strategic planning for the years 2015-2020. This is basically due to the fact that the improvement actions proposed by CAF had a 2-year horizon. Additionally, the quality department stopped operating in 2012. At that time there was a lot of employees' movement due to lack of personnel. It seems that the crisis left TQM issues, along with CAF, aside after 2012 (due to different priorities for political administrative and economic reasons). Nowadays, and after the year 2016 the new GS decided to regenerate the quality department by allocating personnel to it and reinforcing the use of TQM tools (and CAF)

7.3 How was CAF aligned with other organizational systems (if any)?

It was clear among all interviewees that CAF was aligned with ISO.

7.4 Has integration been affected by the macro-environment?

The improvement actions that were integrated in their day-to-day work were not affected at all. The only impact by the external macro-environment was the employees' movement that affected the quality department, and the integration of CAF was affected as a strategic tool, as explained earlier.

8 Maintaining momentum in the entire process

8.1 How was the progress of the project monitored and by whom?

The progress of the project was monitored by the project leader and the SA team on a regular basis. They had regular meetings every Tuesday (Project Plan for the implementation of CAF, compiled by the General Secretary's office)

8.2 Was the improvement plan implemented as scheduled?

The improvement actions were implemented as scheduled. The ones that were associated with ISO are still operating.

8.3 Was the effectiveness of the improvement plan monitored?

The implementation of the improvement plan was monitored by the project leader (the GS) and the SA team.

8.4 How was senior management commitment demonstrated throughout the implementation process?

Senior management commitment was demonstrated through their participation during the implementation phase of the improvement actions and through the integration of the improvement plan (associated with ISO) in their day to day action.

8.5 How was senior management involvement demonstrated throughout the implementation process?

Same as above.

8.6 How was employees' commitment demonstrated throughout the implementation process?

The employees' commitment was demonstrated by their keen participation during the Self – Assessment process, and through the integration of the improvement plan (associated with ISO) in their day to day action.

8.7 How was employees' involvement demonstrated throughout the implementation process?

Same as above.

8.8 Were the allocated resources maintained during the implementation process?

All interviewees shared the view that the allocated resources were maintained throughout the entire process.

8.9 Was the plan for training and education implemented?

All interviewees shared the view that training and education were implemented, exactly as it was planned.

8.10 Was the entire process reviewed and evaluated?

The process was neither reviewed nor evaluated in a methodical way.

8.11 Was the choice of the scoring panel evaluated?

The choice of the scoring panel was not evaluated in a methodical way

8.12 Was a decision made whether to continue with CAF or not?

8.12.1 If you intend to use CAF again, what, if anything, would you change?

8.12.2 If you don't intend to use CAF again why is that?

A decision to implement CAF again was made. CAF was implemented again in 2009, following the same procedure. The interviewees shared the view that they would be positive to the idea to implement it again. In that case they would have followed the same procedure for the 4th time. They might need to narrow down the participants in the SA team due to lack of personnel.

8.13 Was the momentum affected by the macro-environment?

All interviewees shared the view that the macro-environment had not affected the momentum of the project.

9 Controlling the pace of the implementation

9.1 How was the pace of implementation?

9.1.1 Who determined that pace?

9.1.2 How long did it take to implement CAF?

All interviewees shared the view that the pace (4 months) of the implementation was fine. The project leader (the GS) controlled that pace.

9.2 Was the pace affected by the macro-environment?

All interviewees shared the view that the pace was not affected by the external macro- environment.

10 General issues

10.1 How did the members of the SA team undertake the Self - Assessment?

All interviewees agreed that the employees participated in the SA process used an IT program for scoring. The members of the SA Team

discussed each criterion and came up with a common score (SA and Improvement Plan Report p. 104-105)

10.2 How did the SA group reach consensus on strengths and areas for improvement?

The employees participated in the SA process used an IT program for scoring. After that the SA team members selected the sub criteria that were below average as the topics for improvement. Then these topics were grouped to 13 areas for improvement, which resulted 13 improvement actions (SA and Improvement Plan Report p. 94-101)

10.3 How did the SA group reach consensus on scoring?

All interviewees agreed that the SA Team discussed each criterion and came up with a common score using the statistical average.

10.4 What obstacles did you encounter in the course of the Self – Assessment

10.4.1 What did you do to overcome these obstacles?

All interviewees agreed that they did not have any problems.

10.5 What were the main benefits of the Self - Assessment?

The interviewees shared the view that the main benefit of the self-assessment was self-awareness and the identification of strengths and weaknesses.

10.6 How was the report regarding the results of the SA prepared?

10.6.1 Was that report communicated?

It was prepared by the SA team, discussing each criterion, in cooperation with the project leader (the GS), as explained earlier. The SA report was officially presented to the two conferences in which the Municipality participated and the EU network of the q-cities. Additionally, it was sent to the Ministry of the Interior.

10.7 How was the improvement plan developed?

10.7.1 What were the main obstacles encountered in developing the CAF improvement plan?

10.7.2 What did you do to overcome these obstacles?

The SA team members selected the sub criteria that were below average as the topics for improvement. Then these topics were grouped to 13 areas for improvement, which resulted in 13 improvement actions (SA and

Improvement Plan Report p. 94-101). All interviewees agreed that they did not have any problems. They acted as a team.

10.8 What were the main obstacles encountered in implementing the improvement actions of the improvement plan?

10.8.1 What did you do to overcome these obstacles?

The improvement actions were implemented as scheduled and they were associated with ISO. The only improvement action that was not implemented was some construction works at the City (pedestrian works) because they were costly due to budget constraints

10.9 Did the implementation of CAF lead to the adoption of a TQM system/technique?

The implementation of CAF has not led to the adoption of a TQM system/technique. CAF was associated with ISO.

10.10 Did the implementation of CAF result in benchmarking with other organizations?

It did at the conferences held by the Ministry of the Interior and at the q-cities.

10.11 To what extent was the improvement plan aligned with the strategic plan of your organization?

The overall view of the interviewees was that the improvement plan was aligned to a large extent with the strategic plan of the organization.

Mean = 4

Range = 4 to 4

(1=Not at all, 4=Totally)

10.12 To what extent was the improvement plan aligned with the day-to-day operation of your organization?

The overall view of the interviewees was that that the improvement plan was aligned to a large extent with the day-to-day operation of the organization.

Mean = 4

Range = 4 to 4

(1=Not at all, 4=Totally)

10.13 How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the self-assessment report?

The improvement actions were implemented in a percentage more than 75%

10.14 Did the implementation of CAF achieve the expected results?

The overall view of the interviewees was that the improvement plan achieved the expected results totally.

Mean = 3.75

Range = 3 to 4

(1=Not at all, 4=Totally)

10.15 To what extent was CAF connected with the other TQM systems of your organization?

All interviewees agreed that CAF was connected with the other TQM systems totally.

Mean = 3.75

Range = 3 to 4

(1=Not at all, 4=Totally)

10.16 How would you evaluate your organization regarding the maturity of CAF's implementation?

All interviewees agreed that the organization is at high level regarding the maturity about CAF.

Mean = 4

Range = 4 to 4

(1=Entry level, 3=High level)

10.17 Would you evaluate the implementation of CAF to your organization as effective?

The overall view of the interviewees was that the implementation of CAF was totally effective.

Mean = 3.75

Range = 3 to 4

(1=Not at all, 4=Totally)

4.12 Case study “F” Time-Series Analysis

The following table presents the time-series analysis of the Case Study, i.e. placing in chronological order of the events that took place during CAF’s implementation process:

Table 4.4: Case Study “F” – Time Series Analysis

DATE	ACTION	Step/Element of the Theoretical Framework
18/06/2003	The Municipality was chosen by the Ministry of the Interior to implement CAF as a pilot organization	A
01/07/2003	CAF was considered for the first time	A
06/2003	The SA team for the 1 st implementation was created	A
01/06/2003 – 15/07/2003	Training and education for the 1 st implementation took place	A
07/2003 - 12/2003	The 1 st Implementation of CAF took place	A
01/2004	The Self - Assessment Report and the Improvement Plan Report for the 1 st Implementation of CAF was conducted	A
20/02/2004	The Mayor informed the Ministry of Interior about the completion of CAF’s implementation and sent the SA and Improvement Plan report	A
2004-2006	The improvement plan was implemented as scheduled. During this time the Municipality participated in conferences about TQM issues for the Public Sector	A
24/04/2007 – 26/04/2007	CAF was considered to be implemented for the 2 nd time	STEP 0.4
	The reasons for implementing CAF were identified	STEP 0.5 B C F
	The expected benefits of CAF were highlighted along with the time needed for these benefits to appear	STEP 0.6 B C F
	The resources needed were allocated	STEP 1.5

26/04/2007	The City's Council decided to implement CAF for the 2 nd time and appoint the General Secretary as the project leader	B C F STEP 0.9 STEP 0.10 STEP 1.2
30/04/2007	The City Council's decision was sent to the quality department to the Mayor, the General Secretary and was announced in public	STEP 2.3
04/2007	Project Plan for the implementation of CAF, was compiled by the General Secretary's office	STEP 0.7 STEP 0.8 STEP 1.1 STEP 1.3 STEP 1.4 STEP 1.6 STEP 2.1 STEP 8.1 D I
04/2007	The SA team was appointed (31 members and 1 project leader)	STEP 3.1 STEP 3.2 STEP 3.3 STEP 3.4 STEP 3.5
23/05/2007	Training and education for the SA team took place	STEP 4.1 STEP 4.2 STEP 4.3 STEP 4.4 STEP 4.5
30/05/2007	The employees from each department were selected to participate in the SA process (231 members)	STEP 3.1 STEP 3.2 STEP 3.3 F
01/06/2007	The employees (231) were informed by the General Secretary to participate in the upcoming seminar and participate in the SA process	STEP 2.2 STEP 2.3 STEP 2.4 F
04/06/2007 – 05/06/2007	Training and education for the employees took place (231 employees)	STEP 4.4 F
06- 07/06/2007	The questionnaires from the employees were selected	STEP 5.1
08- 12/06/2007	The questionnaires were statistically analyzed	STEP 5.5

15/06/2007	The results of the questionnaires were presented	STEP 2.1 STEP 2.2 STEP 2.3 STEP 2.4 E
22/06/2007	Evidence regarding the Criteria and Sub-criteria of CAF were gathered	STEP 5.1
15-25/06/2007	The members of the SA team decided on the scores	STEP 5.2 STEP 5.3 STEP 5.4 STEP 5.5
25/06/2007	The areas of improvement were identified	STEP 7.1
03/07/2007	The improvement actions were selected	STEP 7.2
05/07/2007	The SA report and the Improvement Plan report were compiled	STEP 6.1 STEP 7.3 STEP 7.4 STEP 9.1 STEP 9.2
31/07/2007	The SA report and the Improvement Plan report was sent to the Ministry of the Interior	STEP 6.2 STEP 6.3 STEP 7.5 STEP 8.2 STEP 8.3 E
11-12/10/2007	The municipality presented CAF's implementation at the EU quality conference in Lisbon	STEP 8.3
Dec/2007	The Municipality was awarded for CAF's implementation process	STEP 8.3
07/2007 – 12/2009	CAF was associated with ISO and the improvement plan was implemented as scheduled	G STEP 7.6 STEP 9.3 STEP 9.4 STEP 9.5 STEP 9.6 STEP 9.7
2009	CAF was implemented for the 3 rd time	STEP 10

4.13 Case Study “F” Program Logic – Comparison with Theoretical Framework

Having analyzed the data of the interviews and the documents from the case study along with the events that took place during CAF’s implementation process, the next step is to combine the pattern – matched data and the chronological data and compare them with the theoretical framework presented in chapter 2, using the program logic approach. The analysis of which is presented below:

STEPS IN CAF’S IMPLEMENTATION PROCESS:

➤ **STEP 0: START OF THE PROCESS – INITIAL DECISION**

- **STEP 0.1: ASSESS THE CURRENT QUALITY - CULTURE OF THE ORGANIZATION**

In order for the CAF implementation to take place the organization did not assess its current quality culture in a methodical way. The quality culture of the organization was mature since they had already implemented CAF in the past, they were using ISO and they were operating a quality department.

- **STEP 0.2: DEVELOP A PLAN FOR MATURING ORGANIZATION’ S CULTURE TOWARDS QUALITY**

There was no need for this step during the implementation process because the organization was mature enough to implement TQM techniques.

- **STEP 0.3: CARRY OUT A PRE-IMPLEMENTATION ASSESSMENT**

There was no pre-implementation assessment carried out, because there was no need for this step. The perception of the people of the organization that were about to decide about CAF’s implementation process was that the organization was mature to handle TQM implementation processes.

- **STEP 0.4: CHOOSE WHICH BEM WILL BE USED. CONSIDER CAF ALTERNATIVES**

There were no CAF alternatives considered. They decided to implement it since it was promoted by the Ministry of Interior.

- **STEP 0.5: IDENTIFY THE REASONS (MOTIVES) FOR USING THE MODEL**

- STEP 0.6: IDENTIFY THE EXPECTED BENEFITS (THE ADDED VALUE) FOR USING THE MODEL

The motives, the added value and the benefits for implementing CAF were identified in a formal way. First of all, they were presented at the Information letter (22379/24-04-2007) sent by the General Secretary to the Mayor and the President of the City Council in order to start implementing CAF for the 2nd time, and secondly, they were presented in an open meeting with all employees.

- STEP 0.7: DEFINE THE SCOPE AND THE APPROACH OF THE SELF-ASSESSMENT

The Municipality followed the method proposed at the Guide of the Ministry of Interior. This approach was defined at the Information letter (22379/24-04-2007) sent by the General Secretary to the Mayor and to the President of the City Council in order to start implementing CAF for the 2nd time.

- STEP 0.8: DECIDE IN WHICH DEPARTMENT

- STEP 0.8.1: DECIDE THE “PILOT UNIT”

CAF was implemented to the entire organization. A pilot study did not take place since the culture quality of the organization was mature to handle TQM implementation processes

- STEP 0.9: ASSURE A CLEAR MANAGEMENT DECISION IN CONSULTING WITH THE ORGANIZATION

There was a clear management decision to implement CAF from the City Council. Moreover, this decision was supported by the Mayor and the General Secretary.

- STEP 0.10: ASSURE POLITICAL COMMITMENT

The political commitment to implement CAF was assured by the City Council's decision.

➤ **STEP 1: DECIDE HOW TO ORGANIZE AND PLAN THE SA**

- STEP 1.1: APPOINT A STEERING COMMITTEE

A Steering committee was not appointed. The quality department and the SA team in which the GS participated played the role of the steering committee (quality team).

- STEP 1.2: APPOINT A PROJECT LEADER

A project leader was appointed by the City Council (the GS). This person was selected because he had the relevant knowledge and the jurisdiction to implement CAF since he was the leader of the quality department.

- **STEP 1.3: ASSURE THE COMMITMENT AND OWNERSHIP OF THE MANAGEMENT FOR LAUNCHING THE PROCESS**

The commitment and the ownership for launching the process were assured since there was a Regulation in place for the implementation of CAF from the City Council. The GS's presence in all stages of implementation and the SA team helped to ensure the Administration's commitment. Additionally, all the paper work needed, had the signature and approval of the GS who has the highest management position in the Municipality

- **STEP 1.4: PLAN THE ENTIRE PROJECT**

The entire project was planned by the project leader (the GS). The planning involved all necessary steps, the meaning of CAF, its goals, the SA method that will be used and the resources needed. The pace of the implementation was also taken into account in the planning process.

- **STEP 1.5: ALLOCATE RESOURCES FOR THE SELF - ASSESSMENT**

Resources were allocated from the beginning of the project (budget for training and education, budget for the improvement actions and man-hours paid in the sense of participating in the project).

- **STEP 1.6: CHOOSE THE SCORING PANEL**

The Self - Assessment team decided to score using the classic scoring system, following the guide of the Ministry of the Interior.

➤ **STEP 2: COMMUNICATE THE SELF-ASSESSMENT PROJECT**

- **STEP 2.1: DEFINE THE COMMUNICATION PLAN**

A plan for communication was defined, by the project leader (the GS) in cooperation with the quality department and the SA team. It included communication with the political leadership, with the senior managers, among the SA team, among the employees who participated in the SA process, with the strategic partners and with the citizens/customers.

Additionally, the results of CAF's implementation were sent to the Ministry of the Interior and presented in conferences.

- **STEP 2.2: IMPLEMENT THE COMMUNICATION PLAN**

The communication plan was implemented as scheduled.

- **STEP 2.3: COMMUNICATE DURING THE DIFFERENT PHASES TO ALL THE STAKEHOLDERS**

- **STEP 2.4: STIMULATE INVOLVEMENT IN THE SA OF THE TOP AND MIDDLE MANAGERS, STAFF AND EMPLOYEES**

The communication plan included communication with the political leadership, with the senior managers, among the SA team, among the employees who participated in the SA process, with the strategic partners and with the citizens/customers. Additionally, the results of CAF's implementation were sent to the Ministry of the Interior and presented in conferences.

➤ **STEP 3: COMPOSE THE SELF-ASSESSMENT-TEAM(S)**

- **STEP 3.1: DECIDE ON THE NUMBER OF SELF-ASSESSMENT-TEAMS**

One SA team was created which had 31 members and the GS as president. Each team member had the responsibility for a Municipality's department. For each department there was a choice so that the 25% of the employees will participate in the Self-Assessment process

- **STEP 3.2: DECIDE IF THE MANAGER(S) SHOULD BE PART OF THE SA TEAM(S)**

A decision for the managers not to be part of the SA team was made by the project leader (the GS), because all senior managers were very busy at the time of the implementation

- **STEP 3.3: CREATE A SELF ASSESSMENT TEAM THAT IS RELEVANT FOR THE WHOLE ORGANIZATION RESPECTING ITS ASPECTS**

The self-Assessment team was created by the GS. The selection of the participants was made on the basis of representing each organization's unit and having in mind the capabilities of the participants. The employees participated in the Self-Assessment process on a volunteer basis.

- **STEP 3.4: CHOOSE THE CHAIR OF THE TEAM**

The chair for the Self-Assessment Team was appointed by the City Council. The project leader (the GS) was also the chair of the Self-Assessment Team.

- **STEP 3.5: ASSIGN RESPONSIBILITIES TO EACH MEMBER AS NEEDED**

The SA team members had certain responsibilities. Their responsibilities were appointed by the GS

➤ **STEP 4: PREPARE THE SA TEAM(S) – ORGANIZE TRAINING**

- **STEP 4.1: PREPARE THE SELF-ASSESSMENT TEAM(S)**

The Self – Assessment team got prepared for its task by participating in the seminar organized by the quality department at the beginning of the project. For each department there was a certain member of the quality team who helped the procedure (as an antenna) of the Self-Assessment

- **STEP 4.2: DEFINE THE KEY STAKEHOLDERS, THE PRODUCTS AND SERVICES AND THE KEY PROCESSES**

These issues were clarified in the seminars held by the quality department for the Mayor, the GS, the deputy Mayor's the senior managers, the SA team and the employees participated in the SA process

- **STEP 4.3: PLAN TRAINING FOR THE SA TEAM (S)**

A plan for training and education was prepared by the project leader (the GS).

- **STEP 4.4: TRAIN THE SELF-ASSESSMENT TEAM(S)**

The training took place as scheduled

- **STEP 4.5: INFORM AND TRAIN THE MANAGEMENT TEAM**

Senior managers participated in the seminars that took place.

➤ **STEP 5: UNDERTAKE THE SELF-ASSESSMENT**

- **STEP 5.1: GATHER EVIDENCE REGARDING THE CRITERIA AND SUB – CRITERIA OF CAF**

The members of the Self-Assessment Team gathered evidence for each criterion and sub-criterion.

- **STEP 5.2: UNDERTAKE INDIVIDUAL ASSESSMENT**

- STEP 5.3: COLLECT THE INDIVIDUAL ASSESSMENTS
- STEP 5.4: UNDERTAKE CONSENSUS IN THE SELF - ASSESSMENT TEAM(S)
- STEP 5.5: DECIDE ON THE FINAL SCORES

The employees participated in the SA process used an IT program for scoring. Then the members of the SA Team discussed each criterion and came up with a common score. For both procedures the statistical average was used. The final score was the SA team's decision

➤ **STEP 6: DRAW UP A REPORT DESCRIBING THE RESULTS OF SA**

- STEP 6.1: PREPARE THE SELF – ASSESSMENT REPORT

The self – assessment report was created by the SA team, discussing each criterion, in cooperation with the project leader. The employees participated in the SA process used an IT program for scoring. After that the SA team members selected the sub criteria that were below average as the topics for improvement. Then these topics were grouped to 13 areas for improvement

- STEP 6.2: PRESENT AND OFFICIALLY ACCEPT THE SELF – ASSESSMENT REPORT

The SA report was officially accepted by the Mayor and the General Secretary. The report was presented to the two conferences in which the Municipality participated and the EU network of the q-cities. Additionally, it was officially sent to the Ministry of the Interior.

- STEP 6.3: COMMUNICATE THE SELF – ASSESSMENT REPORT

The Self – Assessment report was officially presented to the two conferences in which the Municipality participated and the EU network of the q-cities. Additionally, it was sent to the Ministry of the Interior.

➤ **STEP 7: DESIGN AN IMPROVEMENT PLAN, BASED ON THE ACCEPTED SA**

- STEP 7.1: COLLECT ALL PROPOSALS FOR ACTIONS FOR IMPROVEMENT, INCLUDING THE IDEAS FORMULATED DURING THE SA

The members of the SA team selected the sub criteria that were below average as the topics for improvement. Then these topics were

grouped to 13 areas for improvement, which resulted in 13 improvement actions

- STEP 7.2: PRIORITISE AND DIFFERENTIATE THE IMPROVEMENT ACTIONS WITHIN REALISTIC TIME SCALES

The improvement actions were prioritized by the project leader, in collaboration with the SA Team based on the areas of improvement as was suggested at the SA report

- STEP 7.3: DEFINE A STRUCTURED ACTION PLAN FOR THE SELECTED IMPROVEMENT ACTIONS BASED ON THE PDCA CYCLE

There was a structured plan defined for the improvement actions along with the budget and the time needed. This was done by the project leader in cooperation with the SA team members. Additionally, there were certain people appointed for the improvement actions

- STEP 7.4: ESTABLISH WAYS TO MEASURE THE PERFORMANCE OF THE ACTIONS AND THE RESULTS

The implementation of the improvement plan was monitored by the project leader (the GS) and the SA team.

- STEP 7.5: PRESENT AND OFFICIALLY ACCEPT THE IMPROVEMENT PLAN

The Improvement Plan was officially presented to the two conferences in which the Municipality participated and the EU network of the q-cities. For the implementation of CAF, the Municipality after presenting the report was awarded.

The Improvement Plan was officially accepted by the Mayor and the General Secretary. Additionally, it was officially sent to the Ministry of the Interior

- STEP 7.6: INTEGRATE THE ACTION PLAN IN THE NORMAL STRATEGIC PLANNING PROCESS

The improvement plan at the time of the implementation was integrated in the normal strategic process. All interviewees shared the view that CAF was associated with the strategic planning for the years 2010-2015. But it was not associated with their next strategic planning for the years 2015-2020. This is basically due to the fact that the improvement

actions proposed by CAF had 2-year horizon. Additionally, the quality department stopped operating in 2012. At that time there was a lot of personnel movement due to lack of employees. It seems that the crisis left TQM issues, along with CAF, aside after 2012 (due to different priorities for political administrative and economic reasons).

➤ **STEP 8: COMMUNICATE THE IMPROVEMENT PLAN**

- STEP 8.1: DEFINE THE COMMUNICATION PLAN
- STEP 8.2: IMPLEMENT THE COMMUNICATION PLAN
- STEP 8.3: INFORM THE RELEVANT STAKEHOLDERS

A plan for communication was defined, by the project manager (the GS) in cooperation with the quality department and the SA team. It included communication with the political leadership, with the senior managers, among the SA team, among the employees who participated at the SA process, with the strategic partners and with the citizens/customers. Additionally, the results of CAF's implementation were sent to the Ministry of the Interior and presented in conferences. The communication plan was implemented as scheduled.

➤ **STEP 9: IMPLEMENT THE IMPROVEMENT PLAN**

- STEP 9.1: APPOINT A RESPONSIBLE PERSON FOR EACH ACTION
There were certain people appointed for the improvement actions, by the project leader in cooperation with the SA team members.
- STEP 9.2: DEFINE CLEAR OWNERSHIP OF THE IMPROVEMENT PROGRAM AND THE PROJECTS
The improvement plan was implemented as scheduled and was integrated into their day to day action. A lot of the improvement actions resulted in certain management procedures that were included in ISO, which is still in operation. Hence the improvement actions of CAF are still working.
- STEP 9.3: IMPLEMENT THE IMPROVEMENT PLAN AS SCHEDULED
The improvement actions were implemented as scheduled. The ones that were associated with ISO are still operating. The only improvement action that was not implemented was some construction works at the City Centre (pedestrian works) because they were costly due to budget constraints

- STEP 9.4: INVOLVE EMPLOYEES IN THE DIFFERENT IMPROVEMENT ACTIONS

The employees were involved in the improvement actions since there were associated with ISO and with their day-to-day work.

- STEP 9.5: DEFINE A CONSISTENT APPROACH FOR MONITORING AND ASSESSING THE IMPROVEMENT ACTIONS

- STEP 9.6: MONITOR ON A REGULAR BASIS THE IMPLEMENTATION OF THE IMPROVEMENT ACTIONS

The implementation of the improvement plan was monitored by the project leader and the SA team.

- STEP 9.7: IMPLEMENT THE APPROPRIATE MANAGEMENT TOOLS ON A PERMANENT BASIS

CAF was associated with ISO, which is still working and with their day-to-day actions.

➤ **STEP 10: EVALUATE AND PLAN NEXT IMPLEMENTATION**

- STEP 10.1: REVIEW AND EVALUATE THE ENTIRE PROCESS

The process of implementing CAF was neither reviewed nor evaluated in a methodical way.

- STEP 10.2: GO TO STEP 0 AND START ALL OVER AGAIN

The Municipality implemented CAF again in 2009.

- STEP 10.3: CONSIDER THE CHOICES MADE DURING THE ENTIRE PROCESS AND CHOOSE AGAIN

There was not a methodological consideration of the choices made during the implementation of CAF.

- STEP 10.4: PLAN NEXT SELF – ASSESMENT. USE CAF AGAIN

The next Self – Assessment was planned for 2009. The Municipality implemented CAF again in 2009.

- STEP 10.5: GO TO STEP 1 AND START ALL OVER AGAIN

4.14 Chapter Summary

In this chapter the findings of the research were presented. Analytically in this chapter for each case, the case study background information was first presented, followed by the interview and document analysis in which patterns were identified. Then a time-series analysis was presented in which the

events that took place during CAF's implementation process were placed in chronological order. Finally, the combination of the pattern – matched data and the chronological data were compared with the theoretical framework presented in chapter 2, using the program logic approach.

5. Discussion

5.1. Chapter Introduction

In this chapter, the findings of the previous chapter will be discussed in reflection with the literature and the theoretical framework presented in chapter two. In the first section, each case will be discussed separately while in the second part there will be a cross- case discussion of the findings. Following on, the macro-environmental factors that influence TQM implementation process will be discussed for each case, and the Theoretical Framework for successfully implementing CAF will be presented. Finally, in the last sections of this chapter the discussion on the conduct of the research and the research methodology will be made.

5.2. Discussion of Case Studies

In this sub-section the findings of the case studies will be discussed separately.

5.2.1. Case Study “P”

The Municipality used for Case study P was founded on the 1st of January 2011, as a result of the combination of three existing Municipalities, due to Kallikratis plan. It implemented CAF in 2012. The duration of CAF implementation was 6 months and after that period the necessary report of self-assessment was prepared and delivered. Up until the point of the completion of the self-assessment report, the implementation of CAF by the Municipal Administration was deemed to be relatively successful. Nevertheless, the delays in the improvement plan reporting –that took place a year later- as well as the delay in the implementation of the improvement actions, that has not started yet, indicate that CAF implementation has been partly unsuccessful. This was basically due to the up-coming elections during that period and the general feeling of insecurity and uncertainty that followed them.

To be more specific, at the beginning of the process there was a clear decision to implement CAF in the entire organization, in which the motives and the benefits were included, without considering any alternatives.

Moreover, there was neither need for assessing the organization's quality because it was mature to implement TQM issues, nor for a pilot implementation to take place. At the beginning of the process both management and political commitment were assured. Additionally, all the steps, except for appointing a steering committee (which was not needed), were paced by the Municipality; i.e., appointing a project leader, assuring the commitment and ownership of the management for launching the process, planning the entire project, allocating the successfully resources needed for the self – assessment, deciding on the number of the SA team(s), deciding on the managers' participation in the SA team, creating a representative SA team, appointing the president of the SA team, assigning responsibilities to each member of the SA team, preparing the SA team, defining the key stakeholders, the products, the services and the key processes to the SA team members, training the SA and the management team, undertaking the self – assessment and preparing the SA report.

Up to that point the implementation of CAF was effective; but after that the implementation of CAF became ineffective. To be more specific, the improvement plan was created having collected the proposals for improvement from the SA report and having defined a structured plan for the selected improvement actions which was theoretically aligned with the normal strategic planning process, but neither was it implemented, nor had they ways to measure the performance of the improvement actions and their results. Additionally, both the SA report and the Improvement Plan report were not officially accepted by the political leadership of the Municipality (the Mayor of the City's Council), neither rejected. It seems that at the point that the implementation of CAF had to do with the implementation of the improvement actions, CAF was just left aside.

Additionally, the communication part of the implementation of CAF both at the time of the Self-Assessment and at the time of the Improvement plan was partly effective. Although there was regular communication among the participants with the Self- Assessment process there was no communication to the rest of the stakeholders, furthermore there was no communication at the phase of the improvement plan. This lack of communication resulted in an

ineffective implementation at the phase of the implementation of the improvement plan.

5.2.1.1. Key Success Factors in CAF's Implementation Process of Case Study "P"

A. TAKING INTO ACCOUNT THE ORGANIZATION'S CULTURE

The organization's culture was taken into account during the entire process of implementing CAF. First of all the perception of the people involved was that the organization had maturity in implementing TQM techniques. Moreover, the choices made during the implementation process; for the creation and synthesis of the self – assessment team, for the participation of senior managers in it, for gaining the commitment and involvement both for the senior managers and the employees, for communicating with the managers and employees using the epistles of the Mayor and the General Secretary, the organization's culture was taken into account. Additionally, the decision for implementing CAF into the entire organization without having a pilot implementation relies on the status and culture of the organization since its size and its administrative structure was suitable for that choice.

The culture of the organization about TQM initiatives (such as CAF) at the beginning of the project was positively affected by the external macro-environment because the organization wanted to get prepared for the upcoming Presidential Decree (about administrative reforms, and about introducing evaluation methods to the Public Sector). But in the end since the improvement plan was not implemented the quality culture of the organization was affected in a negative way.

B. ESTABLISH MOTIVATION

Motivation for implementing CAF was established at the beginning of the process. The reasons for implementing CAF were somehow obvious from the beginning of the process (either through the seminars or through the epistles sent by the General Secretary to all the departments at the beginning of the process). These motives were described at the General Secretary's epistle to the senior Managers and the employees (the No. 2915/22-01-2013 epistle of the GS). Initially, there were highlighted from the General Secretary (the No. 2915/22-01-2013 epistle of the GS) and the Mayor. Except for that, there was

a meeting with the employees and relevant memos were sent. Moreover, there were also highlighted by the project leader in the Self-Assessment Team.

In the beginning, motivation was affected in a positive way by the external macro-environment because the Municipality wanted to get prepared for the upcoming Presidential decree. But in the end since the improvement plan was not implemented motivation was affected in a negative way.

C. GAINING SENIOR MANAGEMENT AND POLITICAL COMMITMENT

To begin with the senior management commitment; from the beginning of the process there were certain actions taken to gain the commitment of the senior management. First of all, the decision to implement CAF was a Mayoral decision. Hence, it was compulsory for all senior managers, who were obligated to deliver the task and work in line with the Self-Assessment team. Secondly, Managers and Head of the Departments were briefed for the CAF implementation. There were epistles sent by the General Secretary, who throughout the process checked the Management's dedication to the project. The General Secretary's presence in all the stages of implementation and the SA team helped ensure the Administration's commitment. Finally some members of the senior administration participated in the Self – Assessment team and that helped to the senior managements' commitment.

Secondly, regarding the political commitment it was in a way assured since the decision to implement CAF was a Mayoral decision. Hence since the Mayor is the political leader of the Municipality the political commitment was gained. Nevertheless, the implementation of CAF was never discussed in the City's Council.

Coming to a conclusion about senior management and political commitment it must be stated that since the Self – Assessment report and the improvement plan report have not been officially accepted and implemented yet, there is some uncertainty whether eventually the commitment was not lost. It seems that in the beginning it was affected in a positive way by the external macro-environment because the Municipality wanted to get prepared for the upcoming Presidential decree, but in the end it was affected in a negative way and was eventually lost

D. PLANNING AND ORGANIZING THE ENTIRE PROJECT

The entire project was planned and organized. First of all a project leader was appointed in order to plan and organize CAF's implementation process. This plan included the time needed for the process, the resources, the creation of the Self – Assessment team, the planning for the SA team meetings, the plan for training and education, the plan for implementing the self-assessment and the plan for the creation of the self-assessment and improvement plan report.

The unstable macro-environment had no effect on planning and organizing the project until the completion of the SA report.

E. COMMUNICATE DURING THE DIFFERENT PHASES TO ALL STAKEHOLDERS

A methodical plan for communication was not defined. Nevertheless, there was communication between the GS, the Mayor and the project leader with the employees and heads of the Municipality's departments via, epistles and e-mails. Additionally, there was constant communication among the people that participated in the SA team, mainly via e-mails. Moreover, according to the project leader the Municipality is about to disseminate the results, when the improvement plan is completed. During the process of implementation, they issued a press release which was published in the Municipality's newspaper.

Communication was not affected by the external macro-environment at the time of the SA report, but since the improvement plan was not implemented, neither communicated indicates that it was affected in a negative way at the end.

F. ASSURING EMPLOYEES' COMMITMENT AND INVOLVEMENT DURING THE ENTIRE PROCESS

From the beginning of the project there were actions taken to assure employees' commitment and involvement. These actions were the epistles sent by the GS, in order to stimulate the employees' participation to the research. There were also briefings to keep employees informed about the Municipality and CAF. The SA team also pressured the employees to participate in the CAF's implementation process. Moreover, the president of the SA team arranged a meeting, which the GS and the heads of the

Municipality's departments attended, in order to ensure the employees' involvement. Finally, the members of the SA team spoke to with the Heads of the Municipality's Departments and asked for their help in order to motivate employees to participate in the self-assessment process through the completion of the questionnaires and the collection of the supporting documents.

Nevertheless, it must be stated that since the improvement plan has not been implemented yet there is some uncertainty whether eventually the commitment and involvement of the employees was not lost. It seems that in the beginning it was affected in a positive way by the external macro-environment because the Municipality wanted to get prepared for the upcoming Presidential decree, but in the end it was affected in a negative way and was eventually lost.

G. INTEGRATION OF THE USE OF CAF INTO THE ORGANIZATION AND ITS PROCESS

Since the improvement plan has not been implemented yet there is no clarity that integration of the use of CAF into the organization and its processes has occurred; hence the unstable macro-environment at that time affected CAF's integration. Nevertheless, the implementation of CAF is aligned with the normal strategic plan of the Municipality. Additionally, the suggested improvement actions are also aligned with the day-to-day operation of the Municipality.

H. MAINTAINING MOMENTUM IN THE ENTIRE PROCESS

Momentum was somehow maintained during CAF's implementation process up to the point of the implementation of the improvement plan, where the momentum was lost. Up to the point of the completion of the self-assessment stage of CAF the momentum was maintained basically due to the General Secretary's, the project leader's and the SA team's commitment to deliver the project. The constancy of those people helped the commitment and involvement of the senior managers and the employee's and this was reflected to the momentum of the project.

After the completion of the self-assessment report and the completion of the improvement plan report momentum was lost. Although both reports were given by the project leader and the SA team to the Mayor and the General

Secretary the implementation of the improvement action plan has not started yet. According to the project leader this is due, to the up-coming elections and the general feeling of insecurity and uncertainty that followed during that period of time.

I. CONTROLLING THE PACE OF THE IMPLEMENTATION

The pace of implementation was very slow, even though it took the Municipality six months to implement the self-assessment. After that, the pace was lost, especially during the drafting of the improvement plan. The implementation of the improvement plan has yet to be concluded. That happened because the 13 members of the SA team, and the Municipality in general, had other issues to attend. According to the project leader, this is due to the fact that the time the improvement plan was delivered it was election period. After that, as explained earlier the time that followed, is full of insecurity and uncertainty for the Greek public sector and Greece generally.

5.2.2. Case Study “J”

The Municipality used for Case study J was founded on the 1st of January 2011, as a result of the combination of two existing Municipalities, due to Kallikratis plan.

The Municipality started implementing CAF in 2005. The first implementation was a pilot one and was done at the Directorate of Social Care. It ended in December 2006. Then in the year 2009 the Municipality started implementing CAF again in two directorates; the Directorate of Youth and Sports and the Directorate of Municipal Status. For both Directorates the implementation phase for the SA report ended in 2010, the first in May 2010 and the second in December 2010, both prior to the local political change. Additionally, the implementation of the improvement actions for the Directorate of Youth and Sports ended in December 2010 (with the previous Municipal authority), while the implementation of the improvement actions for the Directorate of Municipal Status ended in July 2011 (with the new Municipal Authority). Moreover, in September 2010 (with the previous Municipal authority) the Municipality started implementing CAF at the Directorate of Road Constructions which ended in December 2012.

The unstable macro-environment affected all three implementations, but not in the same way, because the implementations had taken place in different periods of the macro-environmental changes –disturbances. For all three implementations the unstable macro-environment had a negative affect during the implementation of the improvement plan. And this indicates that CAF implementation has been partly unsuccessful.

To be more specific, at the beginning of the process there was a clear decision to implement CAF in certain directorates of the organization, in which the motives and the benefits were included, without considering any alternatives. Moreover, there was no need for assessing the organization's quality culture because it was mature enough to implement TQM issues. Additionally, a pilot implementation took place. At the beginning of the process both management and political commitment were assured. Furthermore, all the steps, up to the communication of the SA report, except for appointing a steering committee (which was not needed), were paced by the Municipality; i.e., appointing a project leader, assuring the commitment and ownership of the management for launching the process, planning the entire project, allocating the resources needed for the self – assessment (in terms of man-hours paid through the SA teams), deciding on the number of the SA teams, deciding on the managers' participation in the SA teams, creating representative SA teams, appointing the president of the SA teams, assigning responsibilities to each member of the SA teams, preparing the SA teams, defining the key stakeholders, the products, the services and the key processes to the SA teams members, training the SA and the management teams, undertaking the self – assessment, preparing, communicating and officially presenting and accepting the SA report. Moreover, at the phase of designing the improvement plan based on the SA report, all the steps, apart from the step of establishing ways to measure the performance of the improvement actions and their results, were paced by the Municipality; i.e., collecting the proposals for actions for improvement from the SA report, prioritising the improvement actions within realistic time scales, defining a structured action plan for the selected improvement actions, appointing a responsible person for each action, communicating and officially presenting

and accepting the improvement plan report, and integrating the improvement action plan in the normal strategic planning process.

Up to that point the implementation of CAF was effective; but after that the implementation of CAF became partly ineffective, for all three directorates. To be more specific, the improvement plan was not implemented as scheduled in all three cases either for Political, Legal or Economic reasons. Additionally, for the directorate of Youth and Sports clear ownership of the improvement program was not totally defined. Moreover, the implementation of CAF in all cases did not lead to the adoption of any TQM system/technique. Some TQM systems were operating along with CAF. None of them continued after Kallikratis plan. Nevertheless, in the part of the improvement plan that was implemented in all three directorates there was involvement of the employees in the different improvement actions, there was a defined and consistent approach for monitoring and assessing the improvement actions and the improvement plan was monitored on a regular basis. But unfortunately, in the end the Municipality decided that there was a need for a new planning about the future implementations of CAF due to the administrative change that Kallikratis caused, hence they did not continue with CAF.

Additionally, the communication part of the implementation of CAF both at the time of the Self-Assessment and at the time of the Improvement plan was partly effective. Although there was regular communication among participants, within the organization (Mayor, City's Council and General Secretary) and with the Ministry of the Interior there was no communication with the rest of the stakeholders. This lack of communication negatively affected the effectiveness of the project

5.2.2.1. Key Success Factors in CAF's Implementation Process of Case Study "J"

A. TAKING INTO ACCOUNT THE ORGANIZATION'S CULTURE

The organization's culture was not assessed in a metrological way, prior to the implementation of CAF but it was taken into account during the entire process of implementing CAF. First of all, the perception of the people that were involved was that the organization was mature enough to implement TQM techniques, due to the fact that the organization in the recent past had

some involvement in TQM programmes (ISO and Management by Objectives). Moreover, the choices made during the implementation process; for the creation and synthesis of the self – assessment teams, for the participation of senior managers in those teams, for gaining the commitment and involvement for both the senior managers and the employees, for communicating regularly through briefings, indicate the fact that the organization’s culture was taken into account and was mature enough to implement CAF.

However, although the organization’s culture was mature and was taken into account during the implementation of CAF, the fact that the organization did not implement all the improvement actions as scheduled and since 2012 and onwards has not implemented CAF again shows that the unstable macro-environment affected its TQM culture.

B. ESTABLISH MOTIVATION

The documentation research indicated that the motives (the reasons) for using CAF were identified at the beginning of the implementation process. These motives were described at the suggestion letter sent by the department of Planning and Development to the Mayor (via the deputy Mayor). This document was part of the City Council’s Decision. The main motives were that CAF would result in better self-awareness, identification of strengths and weakness and ability to improve. Moreover, the reasons for using CAF and the benefits of self-assessment were also highlighted in the seminar and in the regular meetings among the SA team members.

The motivation for using CAF was affected by the external macro-environment mainly in a positive way because they were more focused on implementing TQM tools that would improve them and more focused on implementing cost – effective improvement actions. But the massive administrative changes caused by the implementation of Kallikratis plan made TQM issues to come in second place, hence the organization lost its motivation to implement CAF again.

C. GAINING SENIOR MANAGEMENT AND POLITICAL COMMITMENT

From the beginning of the process there were certain actions taken to gain the commitment of the senior managements. The Mayor (via the deputy Mayor) agreed to implement CAF and suggested it to the City’s Council,

having the suggestion letter given to him by the Department of Planning and Development. The General Secretary also participated in that decision and sent an epistle to all departments to appoint members for the SA team. This decision had the full support of the Administration since senior managers participated in the SA Team. The commitment and ownership of the Management for initiating the process were assured. The senior managers and the SA team(s) had regular meetings. Additionally, the senior managers participated in the SA team(s). The commitment was assured, since there was a Regulation in place for the implementation of CAF from the City's Council (City Council's Decision with File Number 2014/2005).

Regarding the political commitment it was also assured since the decision to implement CAF was a City Council's Decision which is the highest political board of the Municipality. The Mayor (via the deputy Mayor) agreed to implement CAF and they suggested it to the City's Council, having the suggestion letter given to them by the Department of Planning and Development.

Finally, the outcomes of CAF, i.e. the SA report and the improvement plan for all three Directorates, were also, at the end of the process, officially presented and accepted by the City Council.

Nevertheless, after the implementation of Kallikratis Plan the memory of the improvement plan was lost due to the administrative changes, hence the senior management and political commitment for CAF was lost.

D. PLANNING AND ORGANIZING THE ENTIRE PROJECT

The entire project was planned and organized. First of all a project leader with an assistant project leader were appointed by the City's Council in order to plan and organize CAF's implementation process. For all three directorates the planning was done by the project leader, her assistant, the senior managers of each Directorate and the Members of the SA Team(s). The planning involved all the necessary steps along with the plan for training and education. The pace of the implementation was also taken into account in the planning process.

The process of planning and organizing the project was not affected by the external macro-environment even in the implementations that were during the Greek Debt Crisis and along with implementation of Kallikratis Plan.

E. COMMUNICATE DURING THE DIFFERENT PHASES TO ALL STAKEHOLDERS

A plan for communication was not defined, but there was communication among the GS, the Mayor and the project leader, the senior managers and the members of the SA team and sub-teams. Additionally, there was regular communication with the Ministry of the Interior about the progress of the implementation in all Directorates.

The last phase of the implementation was to inform the citizens about the improvement action and the results of CAF which never took place due to the implementation of Kallikratis Plan.

F. ASSURING EMPLOYEES' COMMITMENT AND INVOLVEMENT DURING THE ENTIRE PROCESS

From the beginning of the project there were actions taken to assure employees' commitment and involvement. These actions were the epistles sent by the department of Planning and development to all parties involved and the regular briefings held among the participants. The employees' involvement was mainly ensured through the Mayor's and the City Council's Decision to implement CAF. Additionally, the regular meetings held among the participants helped to ensure employees' involvement.

Nevertheless, it must be stated that since the improvement plan has not been implemented exactly as scheduled there is some uncertainty whether the commitment and involvement of the employees was eventually not lost. After a certain point when the crisis affected the Municipality, TQM issues were left aside, for economic, political and administrative reasons (Kallikratis Plan).

G. INTEGRATION OF THE USE OF CAF INTO THE ORGANIZATION AND ITS PROCESS

For the Directorate of Municipal Status and the Directorate of Road Constructions the improvement action plan was clearly integrated into the normal strategic plan. In the Directorate of Youth and Sport there were mixed opinions about who had the jurisdiction for the strategic planning, but also in that case there were actions to integrate the implementation of CAF in the normal strategic process of the Directorate. Additionally, CAF was aligned with ISO and Management by Objectives. This was done basically through the

information letter that the General Secretary had sent to all departments in order to ally CAF with the other TQM systems.

Nevertheless, after a certain point, when the unstable macro-environment affected the Municipality the improvement plan, was not implemented as scheduled, as explained earlier (STEP 9.3 of the process). Some TQM systems were operating along with CAF. None of them, including CAF, continued after Kallikratis plan.

H. MAINTAINING MOMENTUM IN THE ENTIRE PROCESS

Momentum was somehow maintained during CAF's implementation process up to the point of the implementation of the improvement plan, when the momentum was lost, due to the unstable macro-environment.

The unstable macro-environment had affected the momentum of the project in the phase of the implementation of the improvement action plan, due to the political and administrative changes, and due to the Greek Debt Crisis, which led to budget cuts to the Local Governments.

I. CONTROLLING THE PACE OF THE IMPLEMENTATION

The pace of the implementation was fine. The project leader and the senior managers controlled that pace, which was not affected by the external macro- environment. The only influence was during the phase of the implementation of the improvement action plan, which stopped at the Directorate of Municipal Status due to the political and administrative changes.

5.2.3. Case Study “F”

The Municipality of Case study F has not affected by the implementation of Kallikratis Plan since it was one of the few Municipalities that maintained their structure and Municipal Status. The only impact due to Kallikratis had to do with the jurisdictions. The Municipality was one of the first Greek Municipalities that implemented CAF (in 2003), after its selection from the Ministry of the Interior. After that it implemented CAF two more times; in 2007 and in 2009. The case study explored 2007 implementation which was an effective implementation and was awarded.

The external macro-environment at the time of the implementation was ideal for the implementation of TQM tools for the Municipality. The political

situation was stable, the administrative changes were had not started yet and the financial crisis had not appeared yet. Hence, all critical success factors for an effective implementation (culture, motivation, commitment, planning, communication, integration, momentum and pace of the implementation) were not affected at all or affected in a positive way (for example the Ministry's stimulation for participating in the awards).

To be more specific, at the beginning of the process there was a clear decision to implement CAF in the entire organization, in which the motives and the benefits were included, without considering any alternatives. Moreover, there was no need for assessing the organization's quality because it was mature enough to implement TQM issues, neither for a pilot implementation to take place, since CAF was implemented again in 2003. At the beginning of the process both management and political commitment were assured. Additionally all the steps, except for appointing a steering committee (the SA team played that role), were paced by the Municipality; i.e., appointing a project leader, assuring the commitment and ownership of the management for launching the process, planning the entire project, allocating the resources needed for the self – assessment, deciding on the number of the SA team(s), deciding on the managers' participation in the SA team, creating a representative SA team, appointing the president of the SA team, assigning responsibilities to each member of the SA team, preparing the SA team, defining the key stakeholders, the products, the services and the key processes to the SA team members, training the SA and the management teams, undertaking the self – assessment, preparing, communicating and officially presenting and accepting the SA report. Moreover, at the phase of designing the improvement plan based on the SA report, all the steps, were paced by the Municipality; i.e., collecting the proposals for actions for improvement from the SA report, prioritising the improvement actions within realistic time scales, defining a structured action plan for the selected improvement actions, establishing ways to measure the performance of the actions and the results, communicating and officially presenting and accepting the improvement plan report, and integrating the improvement action plan in the normal strategic planning process and in the day-to-day operation of the organization. Furthermore, at the phase of implementing the improvement

plan report, the steps were paced by the Municipality; i.e.; appointing a responsible person for each action, defining clear ownership of the improvement program and the projects, implementing the improvement plan, involving employees in the differed improvement actions, defining a consistent approach for monitoring and assessing the improvement actions, and monitoring the implementation of the improvement actions on a regular basis. Additionally, the improvement plan was aligned with ISO which up until now is implemented by the Municipality on a regular basis. Finally, the Municipality reached the final stage of the CAF's implementation process, as suggested by the literature, and decided to implement CAF again, which was done in 2009.

Additionally, the communication part of the implementation of CAF both at the time of the Self-Assessment and at the time of the Improvement plan was totally effective. A plan for communication was defined, since the beginning of the project. It included communication with the political leadership, with the senior managers, among the SA team members, among the employees who participated at the SA process, with the strategic partners and with the citizens/customers. Additionally, the results of CAF's implementation were sent to the Ministry of the Interior and presented in conferences.

5.2.3.1. Key Success Factors in CAF's Implementation Process of Case Study "F"

A. TAKING INTO ACCOUNT THE ORGANIZATION'S CULTURE

The organization's culture was taken into account during the entire process of implementing CAF, but it was not assessed in a metrological way, prior to the implementation of CAF. There was no need because CAF was implemented some years ago and the organization was mature to implement TQM models. The organization had a quality department which was operating. Additionally, the organization had and still has TQM management techniques such as ISO. Moreover, the choices made during the implementation process; for the creation and synthesis of the self – assessment team, for the participation of employees in the self-assessment, for gaining the commitment and involvement for both the senior managers and the employees, for communicating regularly during the entire process, indicate the fact that

organization's culture was taken into account and was mature to implement CAF.

Additionally, the organization's culture was affected positively from the external macro-environment.

B. ESTABLISH MOTIVATION

The motives (the reasons) for using CAF were identified at the beginning of the implementation process. These motives were described at the suggestion letter sent by the General Secretary to the Mayor and the President of the City Council in order for the Council to decide for the implementation of CAF. This document was part of the City Council's Decision. The main motives were that CAF would result in better self-awareness, identification of strengths and weakness and ability to improve. Additionally, a strong motive for the Municipality was the participation in the awards at the end of the year.

The motivation for using CAF was affected positively by the external macro-environment. Moreover, it was interesting the point that two interviewees made the point that after Kallikratis plan the motives for implementing CAF would have been the same and that if they were to implement CAF again they will be even more motivated because the senior managers would seize the opportunity to highlight the lack of employees and the lack of resources that the crisis imposed.

C. GAINING SENIOR MANAGEMENT AND POLITICAL COMMITMENT

From the beginning of the process there were certain actions taken to gain the commitment of the senior managements. First of all, the commitment was assured, since there was a Regulation in place for the implementation of CAF from the City Council (City Council's decision 187/2007). Additionally, all the paper work needed had the signature and approval of the GS who has the highest management position in the Municipality. The GS's presence at all the stages of implementation and the SA team helped to ensure the administration's commitment.

Regarding the political commitment it was also assured since the decision to implement CAF was a City Council's Decision which is the highest political board of the Municipality. The Mayor and the President of the City Council

agreed to implement CAF and they suggested it to the City Council, having the suggestion letter given to them by the General Secretary.

Finally, the outcomes of CAF, i.e. the SA report and the improvement plan report were also, at the end of the process, officially accepted by the Mayor and the General Secretary.

The political and the senior management commitment for implementing CAF was affected positively from the external macro-environment which at the time of the implementation was ideal for the implementation of TQM tools in the Municipality.

D. PLANNING AND ORGANIZING THE ENTIRE PROJECT

The entire project was planned and organized. First of all a project leader was appointed by the City Council in order to plan and organize CAF's implementation process. The planning involved all the necessary steps, the meaning of CAF, its goals, the SA method that will be used and the resources needed. The pace of the implementation was also taken into account in the planning process

The process of planning and organizing the project was not affected by the external macro-environment.

E. COMMUNICATE DURING THE DIFFERENT PHASES TO ALL STAKEHOLDERS

A plan for communication was defined, by the project manager in cooperation with the quality department and the SA team. It included communication with the political leadership, with the senior managers, among the SA team, among the employees who participated at the SA process, with the strategic partners and with the citizens/customers. This communication plan was implemented as scheduled and was affected positively from the external macro-environment.

F. ASSURING EMPLOYEES' COMMITMENT AND INVOLVEMENT DURING THE ENTIRE PROCESS

From the beginning of the project there were actions taken to assure employees' commitment and involvement. These actions were the open meeting at the beginning of the project and the regular communication among the SA team members and the employees of each unit. Additionally, there was an epistle sent by the GS to the 231 employees that participated in the

SA process in order to stimulate their interest and inform them for their participation. The seminars also helped to maintain their commitment and involvement. Their involvement was also proved by their keen participation at the implementation of the improvement actions.

Employees' commitment and involvement was affected positively by the external macro-environment.

G. INTEGRATION OF THE USE OF CAF INTO THE ORGANIZATION AND ITS PROCESS

CAF has been integrated into the organization and its process. First of all the improvement plan was implemented as scheduled and was integrated in their day to day action. A lot of the improvement actions resulted in certain management procedures that were included in ISO, which is still in operation. Secondly the improvement plan at the time of the implementation was integrated in the normal strategic process since it was associated with the strategic planning for the years 2010-2015.

Additionally, the improvement actions that were integrated in their day-to-day work were affected positively from the external macro-environment. The only negative influence by the external macro-environment was the personnel movement that affected the quality department, and the integration of CAF as a strategic tool in the year 2012 when the quality department stopped operating.

H. MAINTAINING MOMENTUM IN THE ENTIRE PROCESS

Momentum was maintained during CAF's implementation process and during the implementation of the improvement plan. The progress of the project was monitored by the project leader and the SA team on a regular basis.

The momentum was not affected by the external macro-environment.

I. CONTROLLING THE PACE OF THE IMPLEMENTATION

The pace of the implementation was fine. The project leader and the senior managers controlled that pace.

The pace was affected positively by the external macro- environment.

5.3. Cross-Case Discussion

In this part of the chapter the cross-case discussion will be presented; first step by step as suggested in the theoretical framework, and then by discussing the critical success factors.

5.3.1. Discussion for the steps in implementing CAF

➤ **STEP 0: START OF THE PROCESS – INITIAL DECISION**

In all cases the sub-steps for identifying the reasons (motives) for using the model and for identifying the expected benefits of CAF were addressed. These issues are also highlighted by the literature (Hides *et al.* 2004; Staes 2005; Assiri *et al.* 2006; Seetharaman *et al.* 2006; Dearing *et al.* 2006; Dong Young *et al.* 2010). Moreover, in all cases the sub-step of defining the scope and the approach of the self-assessment, as suggested by the literature was paced (Wright *et al.* 1998; Zink and Schmidt 1998; Ritchie and Dale 2000; Benavent *et al.* 2005; Davies 2008; Tari 2010). Actually, in all cases the method proposed by the Ministry of the Interior was used. Additionally, in all cases the sub-steps for assuring a clear management and political commitment either by the Mayor or the City's Council, were addressed. These issues are also emphasized on the literature as being critical for TQM implementation processes (Baidoun 2004; Dearing *et al.* 2006). All the above actions aided the implementation process in all five cases.

Additionally, in no case there was a need for assessing the quality culture of the organization because in all cases the perception of the participants was that the quality culture of the organization was mature. This confirms the literature about the quality maturity of an organization when implementing TQM tools (Rad 2006; Davies *et al.* 2007).

On the other hand, in all cases a pre-implementation assessment was not carried out. In case "F", there was no need since CAF was implemented again in the past, but in the other t cases perhaps it was needed so as to understand the perceptions of those individuals who will take part in the quality program implementation. This is in contrast with the literature in which the need for a pre-implementation assessment is highlighted (Wright *et al.* 1998; Baidoun and Zairi 2003; Baidoun 2004; Davies *et al.* 2007). This lack

might have negatively affected the effectiveness in Municipalities “P” and “J”. Moreover, in all cases there was no consideration of which BEM will be used and there were no CAF alternatives considered. The perception of the participants was that since CAF was promoted by the Ministry of the Interior, there was no need for consideration for any alternatives. In case “F”, there was no need since CAF was implemented again in the past, hence it was suitable for the origination, but in the other cases perhaps it was needed. This is in contrast with the literature in which the need for considering the appropriate BEM is pointed out (Lomas 2004, Vakalopoulou 2011). This lack might have negatively affected the effectiveness in Municipalities “P” and “J”.

➤ **STEP 1: DECIDE HOW TO ORGANIZE AND PLAN THE SA**

In all cases the sub-steps for appointing a project leader, for assuring the commitment and ownership of the management for launching the process, for planning the entire project and for choosing the scoring panel were paced. These issues are also addressed by the literature as being important aspects of TQM implementation process (Kasul and Motwani 1995; Michael *et al.* 1997; Martins and Carlos de Toledo 2000; Yusof and Aspinwall 2000; Jacson 2001; EFQM 2003; Jonas *et al.* 2003; Seetharaman *et al.* 2006; EIPA 2006; 2013; Michalopoulos *et al.* 2007; Tari *et al.* 2007; Salaheldin 2009; Fitsilis *et al.* 2011)

On the other hand, in no case a steering committee was appointed. In case study “F”, the role of the steering committee was played by the SA team and the management department. The lack of appointing a steering committee has not affected the effectiveness in any case. Hence, this sub-step can be omitted in the framework for implementing CAF.

Additionally, the sub-step of allocating resources as suggested by the literature (Kasul and Motwani 1995; Michael *et al.* 1997; Jacson 2001; Chin and Pun 2002; Benavent *et al.* 2005; Seetharaman *et al.* 2006; Davies 2008), was addressed in cases “P” and “F”, in which the allocation was clear, and was not addressed in case study “J”, in which the resources were limited only in terms of man-hours paid through the SA team. This lack of resources (probably due to the unstable economic macro-environment) harmed the effectiveness of the project in the end (especially in the phase of the implementation of the improvement plan).

➤ **STEP 2: COMMUNICATE THE SELF-ASSESSMENT PROJECT**

Only in the case of Municipality “F” the sub-steps of communicated the Self-assessment process, were paced as suggested in the literature (Porter and Parker 1993; Michael *et al.* 1997; Zairi and Thiagaragan 1997; Jonas *et al.* 2003; Staes 2005; EIPA 2006; 2013; Staes *et al.* 2011).

In the case of Municipality “P” the communication was limited among the GS, the Mayor and the project leader with the senior managers and the members of the SA team, which somehow stimulated involvement to the entire process for both managers and employees. This lack of communication affected the effectiveness of the project

In the cases of Municipality “J” the communication was also limited among the GS, the Mayor and the project leader with the senior managers and the members of the SA team and sub-teams. Additionally, there was regular communication with the Ministry of the Interior about the progress of the implementation in all Directorates. The last phase of all implementations was to inform the citizens about the improvement action and the results of CAF which never took place due to the implementation of Kallikratis Plan This lack of communication affected the effectiveness of the project

➤ **STEP 3: COMPOSE THE SELF-ASSESSMENT-TEAM(S)**

In all the cases the sub-steps for, deciding on the number of the SA teams, deciding whether the managers should participate in the SA teams (in cases “P” and ”J” they participated, while in case “F” they did not), creating SA team(s) that is relevant for the whole organization respecting its aspects, appointing a chair leader for the SA team(s) and assigning responsibilities to each team’s member as needed, were addressed as suggested in the literature and presented in the theoretical framework (Zink and Schmidt 1998; Staes 2005; Assiri *et al.* 2006; EIPA 2006; 2013; Mixalopoulos *et al.* 2007; Katsani 2010; Anastasopoulou 2011; Alexopoloulou 2011; Karipidou 2011; Vakalopoulou *et al.* 2013). All the above actions assisted the implementation process in all cases.

The creation of the SA team in all the cases was at the right size and had the right structure according to the culture and the needs of the organisations. This assisted the process for implementing CAF in all cases, confirming the literature part of this study that both the size and the structure of the SA team

matters (Staes 2005; EIPA 2006; 2013; Mixalopoulos *et al.* 2007; Katsani 2010; Anastasopoulou 2011; Alexopoloulou 2011; Karipidou 2011; Vakalopoulou *et al.* 2013)

➤ **STEP 4: PREPARE THE SA TEAM(S) – ORGANIZE TRAINING**

In all cases the sub-steps for, preparing the SA team(s), defining the key stakeholders, the products, the services and the key processes to the SA team members, planning the training for the SA team and training the SA and the management teams, were addressed as suggested in the literature and presented in the theoretical framework (EIPA 2006; 2013; Michalopoulos *et al.* 2007; Anastasopoulou 2010, Karipidou 2011; Staes *et al.* 2011) All the above actions aided the implementation process in all five cases.

Additionally, in all cases, special attention was given to the training aspect of the implementation. In case “P”, in the two seminars that took place some senior managers participated, along with the SA team Members. This was also the case for the Municipality “J”. The training of the Self – Assessment Team took place as scheduled, and in the two seminars that took place the senior managers participated. Moreover, in case “F”, which was the most effective implementation, the training apart from the SA team members included the political leadership. The importance of training is also confirmed by the literature (Michael *et al.* 1997; Chin and Pun 2000; Jacson 2001; Ernest *et al.* 2002; Baidoun 2003; Warwood and Antony 2003; Baidoun and Zairi 2003; Assiri *et al.* 2006; Karuppusami and Gandhinathan 2006; Michalopoulos *et al.* 2007; Fryer *et al.* 2007; Davies 2008; Jamali *et al.* 2010; EIPA 2006; 2013).

➤ **STEP 5: UNDERTAKE THE SELF-ASSESSMENT**

In all cases the sub-steps for, gathering evidence regarding the criteria and sub-criteria of CAF, undertaking individual assessments by the SA team members, collecting the individual assessments, undertaking consensus in the SA team(s) and deciding on the final scores, were paced as suggested in the literature and presented in the theoretical framework (Zink and Schmidt 1998; Carol *et al.* 2003; Staes 2005; Michalopoulos *et al.* 2007; Anastasopoulou 2010; Katsani 2010; Vakalopoulou 2011; Karipidou 2011;

Lagoudas 2011; EIPA 2006; 2013). All the above actions assisted the implementation process in all the cases.

➤ **STEP 6: DRAW UP A REPORT DESCRIBING THE RESULTS OF SA**

In all cases the sub-step of preparing the SA report, as suggested in the literature (EIPA 2006; 2013) was paced by the Municipalities. Additionally, in the cases of Municipality “J” and Municipality “F” the sub steps of presenting and officially accepting the SA report, along with communicating it were also addressed, as suggested in the literature and presented in the theoretical framework (Staes 2005; Michalopoulos *et al.* 2007; Anastasopoulou 2010; EIPA 2006; 2013).

On the other hand, in the case of the Municipality “P” at this point there was a failure in CAF implementation process because the SA report was just given to the Mayor and to the General Secretary without having any feedback, and it was not communicated. This was basically due to the upcoming elections during that period and the general feeling of insecurity and uncertainty that followed them. At this point the unstable macro-environment influenced CAF’s implementation process in case study “P”. This confirms the literature part of this study and the impact from the macro-environment as presented in section 2.4 of this study, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013)

➤ **STEP 7: DESIGN AN IMPROVEMENT PLAN, BASED ON THE ACCEPTED SA**

In all cases the sub-step of, collecting the proposals for actions for improvement from the SA report, prioritizing the improvement actions within realistic time scales, defining a structured action plan for the selected improvement actions, were addressed by the Municipality, as suggested in the literature and presented at the theoretical framework (Zink and Schmidt 1988; Staes 2005; Benavent *et al.* 2005; EIPA 2006; 2013; Michalopoulos *et al.* 2007; Anastasopoulou 2010; Katsani 2010; Karipidou 2011; Staes *et al.* 2011; Lagoudas 2011; Dutt *et al.* 2012; EIPA 2006; 2013). After that point only in the case “F”, the sub-steps of implementing CAF, as suggested in the literature were addressed; i.e.; establishing ways to measure the performance of the actions and the results, communicating and officially presenting and accepting the improvement plan report, and integrating the

improvement action plan in the normal strategic planning process and in the day-to-day operation of the organization (Tari *et al.* 2007; Lagoudas 2011; EIPA 2006; 2013; Davies 2007; Staes *et al.* 2011).

On the other hand, in the cases of the case study “J”, there is no indication that the Municipality had established ways to measure the performance of the actions and the results, although the improvement plan report was officially presented and accepted by the City’s Council and was integrated in the normal strategic process. This lack affected the implementation of the improvement plan in the end turned the implementation of CAF to be relatively ineffective. Additionally, in the case “P”, there was no indication that none of the above was addressed. The Municipality, from this point and onwards, stopped implementing CAF basically due to the upcoming elections and the general feeling of insecurity and uncertainty that followed in the Greek public sector and in Greece generally, confirming PESTEL theory about the unstable macro-environment and the impact from it as presented in section 2.4 of this study, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013).

➤ **STEP 8: COMMUNICATE THE IMPROVEMENT PLAN**

As in the case of step 2, the only case that the improvement plan was communicated was at the “F” case. This restriction affected the effectiveness of the project for the other cases.

➤ **STEP 9: IMPLEMENT THE IMPROVEMENT PLAN**

In the case “P”, there was no indication that the improvement plan was implemented. The Municipality, from this point and onwards, stopped implementing CAF confirming PESTEL theory about the unstable macro-environment and the impact from it as presented in section 2.4 of this study and explained earlier, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013).

In the case “F”, which was the most effective implementation, all the sub-steps as suggested in the literature and presented in the theoretical framework were paced, i.e.; appointing a responsible person for each action, defining clear ownership of the improvement program and the projects, implementing the improvement plan, involving employees in the deferred improvement actions, defining a consistent approach for monitoring and

assessing the improvement actions, and monitoring the implementation of the improvement actions on a regular basis (EIPA 2006; 2013; EIPA 2010; Vakalopoulou 2011; Karipidou 2011; Lagoudas 2011; Staes 2011; Staes *et al.* 2011).

In the Municipality “J” the implementation of CAF in the step of implementing the improvement plan, became partly ineffective, for all three directorates. To be more specific, the improvement plan was not implemented as scheduled in all three directorates either for Political, Legal or Economic reasons, confirming PESTEL theory and the impact from the macro-environment as presented in section 2.4 of this study, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013). Additionally, for the directorate of Youth and Sports clear ownership of the improvement program was not totally defined. Moreover, the implementation of CAF in all directorates did not lead to the adoption of any TQM system/technique. Some TQM systems were operating along with CAF. None of them continued after Kallikratis plan. Nevertheless, in the part of the improvement plan that was implemented in all three directorates there was involvement of the employees in the different improvement actions, there was a defined and consistent approach for monitoring and assessing the improvement actions and the improvement plan was monitored on a regular basis. But unfortunately, in the end the Municipality decided that there was a need for a new planning about the future implementations of CAF due to the administrative change that Kallikratis caused.

➤ **STEP 10: EVALUATE AND PLAN NEXT IMPLEMENTATION**

Only at the case of Municipality “F”, which was the most effective implementation there was a decision to implement CAF again, But even in that case there was no indication that the process was evaluated or the choices made were reconsidered. Hence, in this point the literature regarding the evaluation of CAF (Eriksson and Garvare 2005; Kastani 2010; Vakalopoulou 2011; Karipidou 2011; Lagoudas 2011) was not confirmed. But since it was the second implementation the Municipality was very mature concerning CAF’s implementation process.

On the other hand, for the other cases there was no decision to implement CAF again, basically due to the unstable macro-environment at the time of

implementation that the Municipalities were facing, confirming PESTEL theory and the impacts from the macro-environment as presented in section 2.4 of this study, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013).

5.3.2. Discussion for the Critical Success Factors for implementing CAF

A. TAKING INTO ACCOUNT THE ORGANIZATION'S CULTURE

In all cases the organization's culture was taken into account during the entire process of implementing CAF. This confirms the importance of culture when implementing TQM tools as it was suggested at the literature part of this study and presented in the theoretical framework (Anjard 1995; Werner 1997; Shih and Gurnani 1997; Samuelsson and Nilsson 2002; Baidoun and Zairi 2003; Lomas 2004; Baidoun 2004; Seetharaman and Sreenivasan 2006; Rad 2006; Davies *et al.* 2007).

On the other hand, the organization's culture was not assessed, prior to the implementation, in a methodical way, in no case, in contrast with the literature suggestions (Anjard 1995; Poirier and Tokarz; 1996; Werner 1997; Vermeulen 1997; Bardoel and Sohal 1999; Chin and Pun 2002, Davies *et al.* 2007). But this has not affected the effectiveness of the implementation in any way, because in all cases the perception of the people that were involved was that the organization had maturity in implementing TQM techniques.

But in the end, as it will be explained later on, the organization's quality culture was affected in a negative way in the cases of Municipality "P" and "J", confirming PESTEL theory about the influences of the external macro-environment as presented in section 2.4 of this study, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013).

B. ESTABLISH MOTIVATION

In all cases the motivation for implementing CAF was established at the beginning of the process, either in paper (in the decisions taken and the epistles sent), or through words in the seminars that in the cases had taken place. This confirms the importance of establishing the motivation of implementing TQM tools, at an early stage, as it was suggested by the literature and presented in the theoretical framework (Vraldcing 1995;

Sullivan-Taylor & Wilson 1996; Tan 1997; Eugene 1998; Ritchie & Dale 2000; Van der Wiele *et al.* 2001; Thiagaragan *et al.* 2001; Wells 2001; Chin & Pun 2002; Boys *et al.* 2004; Davies 2004; Dearing *et al.* 2006; Staes and Thijs 2010; Staes *et al.* 2011).

But in the end, as it will be explained later on, the established motivation was affected in a negative way in the cases of Municipality “P” and “J”, confirming PESTEL theory about the influences of the external macro-environment as presented in section 2.4 of this study, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013).

C. GAINING SENIOR MANAGEMENT AND POLITICAL COMMITMENT

In all cases there were certain actions taken to gain senior management and political commitment as explained earlier in sub - chapter 5.2. This confirms the importance of gaining senior management and political commitment when implementing TQM tools as it was suggested by the literature and presented in the theoretical framework (Crosby 1992; Conti 1997b; Eriksson and Garvare 2005; Seetharaman *et al.* 2006; Najeh and Kara-Zaitri 2007; Michalopoulos *et al.* 2006; Karipidou 2011; Tsolaki 2011; Vakalopoulou 2011).

But in the end, as it will be explained later on, the senior management and political commitment were affected in a negative way in the cases of Municipality “P” and “J”, and were eventually lost, confirming PESTEL theory about the influences of the external macro-environment as presented in section 2.4 of this study, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013).

D. PLANNING AND ORGANIZING THE ENTIRE PROJECT

In all cases the entire process of implementing CAF was planned and organized in a very thorough way. The planning involved all the necessary steps, the meaning of CAF, its goals, the SA method that will be used and the resources needed. The pace of the implementation was also taken into account in the planning process. This confirms the importance of planning and organising the entire project when implementing TQM tools as it was suggested by the literature and presented in the theoretical framework (Vracking 1995; Michael *et al.* 1997; Yusof Mohd and Aspinwall 2000; Seetharaman *et al.* 2006).

The process of planning and organizing the project was not affected by the external macro-environment even in the implementations that were during the Greek Debt Crisis and along with the implementation of Kallikratis Plan (case “J”).

E. COMMUNICATE DURING THE DIFFERENT PHASES TO ALL STAKEHOLDERS

Only in case study “F”, which was the most effective one, there was a thorough communication as suggested in the literature during the different phases to all stakeholders (Porter and Parker 1993; Michael *et al.* 1997; Zairi and Thiagaragan 1997; Baidoun 2003; Jonas *et al.* 2003). This confirms the literature when stating that communication could make the difference between success and failure.

On the other hand, in the other cases there was no indication that a methodic plan for communication was defined and implemented. Although there was constant communication among the participants and in the Municipality “J” to the Ministry of the Interior, the overall view is that the lack of communication affected the effectiveness for all the cases. Additionally, in all cases the fact that the last part was to inform the citizens about the improvement action and the results of CAF which never took place, indicates that the communication was negatively affected by the external macro-environment as suggested by PESTEL theory and presented in section 2.4 of this study, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013).

F. ASSURING EMPLOYEES’ COMMITMENT AND INVOLVEMENT DURING THE ENTIRE PROCESS

In all cases from the beginning of the project there were actions taken to assure employees’ commitment and involvement during the entire process. This confirms the importance of assuring employees’ commitment and involvement when implementing TQM tools as it was suggested at the literature part of this study and presented in the theoretical framework (Crosby 1979; Bank 1992; Kano 1993; Thiagarajan and Zairi 2003; Thiagarajan *et al.* 2001; Jonas *et al.* 2003; Davies 2008).

In case “F” the employees’ commitment and involvement was maintained during the entire process and was demonstrated even in the phase of the

implementation of the improvement actions. In the other cases the employees' commitment and involvement were eventually lost at the stage of the implementation of the improvement plan, which was not implemented at all (in Municipality "P"), or was partly implemented in Municipality "J". This was due to the unstable macro-environmental factors that affected the implementation process in all cases, confirming PESTEL theory about the influences of the external macro-environment as presented in section 2.4 of this study, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013).

G. INTEGRATION OF THE USE OF CAF INTO THE ORGANIZATION AND ITS PROCESS

Only in the case "F", which was the most effective implementation, integration of the use of CAF into the organization and its process had occurred. This confirms the importance of integration when implementing TQM tools as it was suggested by the literature and presented in the theoretical framework (Van der Wiele *et al.* 1996; Wells 2001; Jackson 2001; Bauer 2002; Chin and Pun 2002; Assiri *et al.* 2006; Davies 2008; Vakalopoulou *et al.* 2013)

In the case of Municipality "P", since the improvement plan has not been implemented there is no clarity that integration of the use of CAF into the organization and its process has occurred. In the cases of Municipality "J" after a certain point, when the unstable macro-environment affected the Municipality the improvement plan, it was not implemented as scheduled, as explained earlier; hence in all cases integration of CAF was eventually interrupted, confirming PESTEL theory about the influences of the external macro-environment as presented in section 2.4 of this study, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013).

H. MAINTAINING MOMENTUM IN THE ENTIRE PROCESS

Only in the case "F", which was the most effective implementation, momentum was maintained during the entire process. This confirms the importance of momentum when implementing TQM tools as it was suggested by the literature part and presented in the theoretical framework (Van der Wiele *et al.* 1996; Zink & Schmidt 1998; Pitt 1999; Samuelsson & Nilsson 2002; Davies 2004; Michalopoulos *et al.* 2007)

In the case of Municipality “P” after the completion of the self-assessment report and the completion of the improvement plan report momentum was lost. This was due, to the up-coming elections during that period and the general feeling of insecurity and uncertainty that followed them. In the cases of Municipality “J” the unstable macro-environment had affected the momentum of the project in the phase of the implementation of the improvement action plan, due to the political and administrative changes, and due to the Greek Debt Crisis, which led to budget cuts to the Local Governments. Hence, these cases confirm PESTEL theory about the influences of the external macro-environment as presented in section 2.4 of this study, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013).

I. CONTROLLING THE PACE OF THE IMPLEMENTATION

The pace of the implementation was controlled, and it was suitable for the organizations in cases “F” and “J”. The only influence in the cases “J” was during the phase of the implementation of the improvement action plan, which stopped at the Directorate of Municipal Status due to the political and administrative changes. Having controlled the pace of the implementation process in case “F” and “J”, positively affected the effectiveness in case “F”, and the relative the effectiveness in cases “J”, confirming the importance of pace when implementing TQM tools as it was suggested by the literature and presented in the theoretical framework (Alexander 1985; *Vracking* 1995; Taylor and Wright 2003; Davies 2004; EIPA 2006; 2010; Staes and Thijs 2010)

On the other hand, in case “P”, the pace of implementation was very slow, even though it took the Municipality six months to implement the self-assessment. After that, the pace was lost, especially during the drafting of the improvement plan. The implementation of the improvement plan has yet to be concluded. This was due to the fact that at the time the improvement plan was delivered it was election period. After that, as explained earlier the time that followed, was full of insecurity and uncertainty for the Greek public sector and Greece generally. Hence, this case confirms PESTEL theory about the influences of the external macro-environment as presented in section 2.4 of

this study, and especially in the studies of Prasad and Tata (2003) and Mohammad (2013).

5.4. Discussion of the macro-environmental factors that influence TQM implementation process

At this sub-section of the discussion chapter the role of the macro – environmental factors in CAF implementation process (as a demonstrative TQM tool) will be addressed for each case.

5.4.1.1. The role of the Macro-environment in Case Study “P”

The role of the Macro-environment in case study “P” can be presented in the following tables. In those tables each step and sub – step for implementing CAF is given, along with the critical success factors and how these were affected by the external Macro-environment, using PESTEL analysis.

Table 5.1: Case Study “P” – The role of the macro-environmental factors in the process of implementing CAF

STEPS FOR IMPLEMENTING CAF	Has the step been addressed?	PESTEL ANALYSIS
	YES/NO/PARTLY	
STEP 0: START OF THE PROCESS – INITIAL DECISION		
STEP 0.1: ASSESS THE CURRENT QUALITY – CULTURE OF THE ORGANIZATION	No	-
STEP 0.2: DEVELOP A PLAN FOR MATURING ORGANIZATION' S CULTURE TOWARDS QUALITY	No	-
STEP 0.3: CARRY OUT A PRE-IMPLEMENTATION ASSESSMENT	No	-
STEP 0.4: CHOOSE WHICH BEM WILL BE USED. CONSIDER CAF ALTERNATIVES	No	-
STEP 0.5: IDENTIFY THE REASONS (MOTIVES) FOR USING THE MODEL	Yes	-

STEP 0.6: IDENTIFY THE EXPECTED BENEFITS (THE ADDED VALUE) FOR USING THE MODEL	Yes	-
STEP 0.7: DEFINE THE SCOPE AND THE APPROACH OF THE SELF-ASSESSMENT	Yes	-
STEP 0.8: DECIDE IN WHICH DEPARTMENT	Yes	-
STEP 0.8.1: DECIDE THE "PILOT UNIT"	No	-
STEP 0.9: ASSURE A CLEAR MANAGEMENT DECISION IN CONSULTING WITH THE ORGANIZATION	Yes	-
STEP 0.10: ASSURE POLITICAL COMMITMENT	Yes	-
STEP 1: DECIDE HOW TO ORGANIZE AND PLAN THE SA		
STEP 1.1: APPOINT A STEERING COMMITTEE	No	-
STEP 1.2: APPOINT A PROJECT LEADER	Yes	-
STEP 1.3: ASSURE THE COMMITMENT AND OWNERSHIP OF THE MANAGEMENT FOR LAUNCHING THE PROCESS	Yes	-
STEP 1.4: PLAN THE ENTIRE PROJECT	Yes	-
STEP 1.5: ALLOCATE RESOURCES FOR THE SELF - ASSESSMENT	Yes	-
STEP 1.6: CHOOSE THE SCORING PANEL	Yes	-
STEP 2: COMMUNICATE THE SELF-ASSESSMENT PROJECT		
STEP 2.1: DEFINE THE COMMUNICATION PLAN	No	-
STEP 2.2: IMPLEMENT THE COMMUNICATION PLAN	No	-
STEP 2.3: COMMUNICATE DURING THE DIFFERENT PHASES TO ALL THE STAKEHOLDERS	No	-

STEP 2.4: STIMULATE INVOLVEMENT IN THE SA OF THE TOP AND MIDDLE MANAGERS, STAFF AND EMPLOYEES	Yes	-
STEP 3: COMPOSE THE SELF-ASSESSMENT-TEAM(S)		
STEP 3.1: DECIDE ON THE NUMBER OF SELF-ASSESSMENT-TEAMS	Yes	-
STEP 3.2: DECIDE IF THE MANAGER(S) SHOULD BE PART OF THE SA TEAM(S)	Yes	-
STEP 3.3: CREATE A SELF ASSESSMENT TEAM THAT IS RELEVANT FOR THE WHOLE ORGANIZATION RESPECTING ITS ASPECTS	Yes	-
STEP 3.4: CHOOSE THE CHAIR OF THE TEAM	Yes	-
STEP 3.5: ASSIGN RESPONSIBILITIES TO EACH MEMBER AS NEEDED	Yes	-
STEP 4: PREPARE THE SA TEAM(S) – ORGANIZE TRAINING		
STEP 4.1: PREPARE THE SELF-ASSESSMENT TEAM(S)	Yes	-
STEP 4.2: DEFINE THE KEY STAKEHOLDERS, THE PRODUCTS AND SERVICES AND THE KEY PROCESSES	Yes	-
STEP 4.3: PLAN TRAINING FOR THE SA TEAM (S)	Yes	-
STEP 4.4: TRAIN THE SELF-ASSESSMENT TEAM(S)	Yes	-
STEP 4.5: INFORM AND TRAIN THE MANAGEMENT TEAM	Yes	-
STEP 5: UNDERTAKE THE SELF-ASSESSMENT		
STEP 5.1: GATHER EVIDENCE REGARDING THE CRITERIA AND SUB – CRITERIA OF CAF	Yes	-
STEP 5.2: UNDERTAKE INDIVIDUAL ASSESSMENT	Yes	-

STEP 5.3: COLLECT THE INDIVIDUAL ASSESSMENTS	Yes	-
STEP 5.4: UNDERTAKE CONSENSUS IN THE SELF - ASSESSMENT TEAM(S)	Yes	-
STEP 5.5: DECIDE ON THE FINAL SCORES	Yes	-
STEP 6: DRAW UP A REPORT DESCRIBING THE RESULTS OF SA		
STEP 6.1: PREPARE THE SELF – ASSESSMENT REPORT	Yes	-
STEP 6.2: PRESENT AND OFFICIALLY ACCEPT THE SELF – ASSESSMENT REPORT	No	Political (in a negative way) Economic (in a negative way)
STEP 6.3: COMMUNICATE THE SELF – ASSESSMENT REPORT	No	Political (in a negative way) Economic (in a negative way)
STEP 7: DESIGN AN IMPROVEMENT PLAN, BASED ON THE ACCEPTED SA		
STEP 7.1: COLLECT ALL PROPOSALS FOR ACTIONS FOR IMPROVEMENT, INCLUDING THE IDEAS FORMULATED DURING THE SA	Yes	-
STEP 7.2: PRIORITISE AND DIFFERENTIATE THE IMPROVEMENT ACTIONS WITHIN REALISTIC TIME SCALES	Yes	-
STEP 7.3: DEFINE A STRUCTURED ACTION PLAN FOR THE SELECTED IMPROVEMENT ACTIONS BASED ON THE PDCA CYCLE	Yes	-
STEP 7.4: ESTABLISH WAYS TO MEASURE THE PERFORMANCE OF THE ACTIONS AND THE RESULTS	No	-
STEP 7.5: PRESENT AND OFFICIALLY ACCEPT THE IMPROVEMENT PLAN	No	Political (in a negative way) Economic (in a negative way)

STEP 7.6: INTEGRATE THE ACTION PLAN IN THE NORMAL STRATEGIC PLANNING PROCESS	No	Political (in a negative way) Economic (in a negative way)
STEP 8: COMMUNICATE THE IMPROVEMENT PLAN		
STEP 8.1: DEFINE THE COMMUNICATION PLAN	No	Political (in a negative way) Economic (in a negative way)
STEP 8.2: IMPLEMENT THE COMMUNICATION PLAN	No	Political (in a negative way) Economic (in a negative way)
STEP 8.3: INFORM THE RELEVANT STAKEHOLDERS	No	Political (in a negative way) Economic (in a negative way)
STEP 9: IMPLEMENT THE IMPROVEMENT PLAN		
STEP 9.1: APPOINT A RESPONSIBLE PERSON FOR EACH ACTION	No	Political (in a negative way) Economic (in a negative way)
STEP 9.2: DEFINE CLEAR OWNERSHIP OF THE IMPROVEMENT PROGRAM AND THE PROJECTS	No	Political (in a negative way) Economic (in a negative way)
STEP 9.3: IMPLEMENT THE IMPROVEMENT PLAN AS SCHEDULED	No	Political (in a negative way) Economic (in a negative way)
STEP 9.4: INVOLVE EMPLOYEES IN THE DIFFERENT IMPROVEMENT ACTIONS	No	Political (in a negative way) Economic (in a negative way)
STEP 9.5: DEFINE A CONSISTENT APPROACH FOR MONITORING AND ASSESSING THE IMPROVEMENT ACTIONS	No	Political (in a negative way) Economic (in a negative way)
STEP 9.6: MONITOR ON A REGULAR BASIS THE IMPLEMENTATION OF THE IMPROVEMENT ACTIONS	No	Political (in a negative way) Economic (in a negative way)
STEP 9.7: IMPLEMENT THE APPROPRIATE MANAGEMENT TOOLS ON A PERMANENT BASIS	No	Political (in a negative way) Economic (in a negative way)
STEP 10: EVALUATE AND PLAN NEXT IMPLEMENTATION		

STEP 10.1: REVIEW AND EVALUATE THE ENTIRE PROCESS	No	Political (in a negative way) Economic (in a negative way)
STEP 10.2: GO TO STEP 0 AND START ALL OVER AGAIN	No	-
STEP 10.3: CONSIDER THE CHOICES MADE DURING THE ENTIRE PROCESS AND CHOOSE AGAIN	No	-
STEP 10.4: PLAN NEXT SELF – ASSESMENT. USE CAF AGAIN	No	-
STEP 10.5: GO TO STEP 1 AND START ALL OVER AGAIN	No	-

Table 5.2: Case Study “P” – The role of the macro-environmental factors at the Critical Success Factors of implementing CAF

CRITICAL SUCCESS FACTORS	Has the CSF occurred?	PESTEL ANALYSIS
	YES/NO/PARTLY	
TAKING INTO ACCOUNT THE ORGANIZATION’S CULTURE	Yes	Political - Legal (at the beginning in a positive way, but then negatively) Economic (in a negative way)
ESTABLISH MOTIVATION	Yes	Political - Legal (at the beginning in a positive way, but then negatively) Economic (in a negative way)
GAINING SENIOR MANAGEMENT AND POLITICAL COMMITMENT	Partly	Political - Legal (at the beginning in a positive way, but then negatively) Economic (in a negative way)
PLANNING AND ORGANIZING THE ENTIRE PROJECT	Yes	-
COMMUNICATE DURING THE DIFFERENT PHASES TO ALL STAKEHOLDERS	Partly	Political - Legal (at the beginning in a positive way, but then negatively) Economic (in a negative way)
ASSURING EMPLOYEES’ COMMITMENT AND INVOLVEMENT DURING THE ENTIRE PROCESS	Partly	Political - Legal (at the beginning in a positive way, but then negatively) Economic (in a negative way)

INTEGRATION OF THE USE OF CAF INTO THE ORGANIZATION AND ITS PROCESS	No	Political (in a negative way) Economic (in a negative way)
MAINTAINING MOMENTUM IN THE ENTIRE PROCESS	Partly	Political - Legal (at the beginning in a positive way, but then negatively) Economic (in a negative way)
CONTROLLING THE PACE OF THE IMPLEMENTATION	Partly	Political - Legal (at the beginning in a positive way, but then negatively) Economic (in a negative way)

As can be seen from the above tables the macro – environmental factors and especially the political and legal ones due to the upcoming Presidential Decree (about administrative reforms, and about introducing evaluation methods to the Public Sector) at the beginning of the process of implementing CAF had a positive effect. The quality culture of the organization, the motivation to implement CAF, the senior management, the political and employees’ commitment to the project along with the pace and the momentum of the implementation process were positively affected because the Municipality wanted to get prepared. But especially at the beginning of the implementation of the improvement plan phase, due to the upcoming local elections and the unstable macro-environment (political, legal and economic) that followed the year ahead, the Municipality lost its momentum and never finished the implementation of CAF, which of course was not integrated into the organization.

5.4.1.2. The role of the Macro-environment in Case Studies “J”

The role of the Macro-environment in case studies “J” can be presented in the following tables. In those tables each step and sub - step for implementing CAF is given, along with the critical success factors and how these were affected by the external Macro-environment, using PESTEL analysis.

Table 5.3: Case Study “J” – The role of the macro-environmental factors in the process of implementing CAF

STEPS FOR IMPLEMENTING CAF	Has the step been addressed?	PESTEL ANALYSIS
	YES/NO/PARTLY	
STEP 0: START OF THE PROCESS – INITIAL DECISION		
STEP 0.1: ASSESS THE CURRENT QUALITY - CULTURE OF THE ORGANIZATION	No	-
STEP 0.2: DEVELOP A PLAN FOR MATURING ORGANIZATION’ S CULTURE TOWARDS QUALITY	No	-
STEP 0.3: CARRY OUT A PRE-IMPLEMENTATION ASSESSMENT	No	-
STEP 0.4: CHOOSE WHICH BEM WILL BE USED. CONSIDER CAF ALTERNATIVES	No	-
STEP 0.5: IDENTIFY THE REASONS (MOTIVES) FOR USING THE MODEL	Yes	-
STEP 0.6: IDENTIFY THE EXPECTED BENEFITS (THE ADDED VALUE) FOR USING THE MODEL	Yes	-
STEP 0.7: DEFINE THE SCOPE AND THE APPROACH OF THE SELF-ASSESSMENT	Yes	-
STEP 0.8: DECIDE IN WHICH DEPARTMENT	Yes	-
STEP 0.8.1: DECIDE THE “PILOT UNIT” CONSULTING WITH THE ORGANIZATION	Yes	-
STEP 0.9: ASSURE A CLEAR MANAGEMENT DECISION IN CONSULTING WITH THE ORGANIZATION	Yes	-
STEP 0.10: ASSURE POLITICAL COMMITMENT	Yes	-
STEP 1: DECIDE HOW TO ORGANIZE AND PLAN THE SA		
STEP 1.1: APPOINT A STEERING COMMITTEE	No	-

STEP 1.2: APPOINT A PROJECT LEADER	Yes	-
STEP 1.3: ASSURE THE COMMITMENT AND OWNERSHIP OF THE MANAGEMENT FOR LAUNCHING THE PROCESS	Yes	-
STEP 1.4: PLAN THE ENTIRE PROJECT	Yes	-
STEP 1.5: ALLOCATE RESOURCES FOR THE SELF - ASSESSMENT	Partly	-
STEP 1.6: CHOOSE THE SCORING PANEL	Yes	-
STEP 2: COMMUNICATE THE SELF-ASSESSMENT PROJECT		
STEP 2.1: DEFINE THE COMMUNICATION PLAN	No	-
STEP 2.2: IMPLEMENT THE COMMUNICATION PLAN	No	-
STEP 2.3: COMMUNICATE DURING THE DIFFERENT PHASES TO ALL THE STAKEHOLDERS	Partly	-
STEP 2.4: STIMULATE INVOLVEMENT IN THE SA OF THE TOP AND MIDDLE MANAGERS, STAFF AND EMPLOYEES	Yes	-
STEP 3: COMPOSE THE SELF-ASSESSMENT-TEAM(S)		
STEP 3.1: DECIDE ON THE NUMBER OF SELF-ASSESSMENT-TEAMS	Yes	-
STEP 3.2: DECIDE IF THE MANAGER(S) SHOULD BE PART OF THE SA TEAM(S)	Yes	-
STEP 3.3: CREATE A SELF ASSESSMENT TEAM THAT IS RELEVANT FOR THE WHOLE ORGANIZATION RESPECTING ITS ASPECTS	Yes	-
STEP 3.4: CHOOSE THE CHAIR OF THE TEAM	Yes	-

STEP 3.5: ASSIGN RESPONSIBILITIES TO EACH MEMBER AS NEEDED	Yes	-
STEP 4: PREPARE THE SA TEAM(S) – ORGANIZE TRAINING		
STEP 4.1: PREPARE THE SELF-ASSESSMENT TEAM(S)	Yes	-
STEP 4.2: DEFINE THE KEY STAKEHOLDERS, THE PRODUCTS AND SERVICES AND THE KEY PROCESSES	Yes	-
STEP 4.3: PLAN TRAINING FOR THE SA TEAM (S)	Yes	-
STEP 4.4: TRAIN THE SELF-ASSESSMENT TEAM(S)	Yes	-
STEP 4.5: INFORM AND TRAIN THE MANAGEMENT TEAM	Yes	-
STEP 5: UNDERTAKE THE SELF-ASSESSMENT		
STEP 5.1: GATHER EVIDENCE REGARDING THE CRITERIA AND SUB – CRITERIA OF CAF	Yes	-
STEP 5.2: UNDERTAKE INDIVIDUAL ASSESSMENT	Yes	-
STEP 5.3: COLLECT THE INDIVIDUAL ASSESSMENTS	Yes	-
STEP 5.4: UNDERTAKE CONSENSUS IN THE SELF - ASSESSMENT TEAM(S)	Yes	-
STEP 5.5: DECIDE ON THE FINAL SCORES	Yes	-
STEP 6: DRAW UP A REPORT DESCRIBING THE RESULTS OF SA		
STEP 6.1: PREPARE THE SELF – ASSESSMENT REPORT	Yes	-
STEP 6.2: PRESENT AND OFFICIALLY ACCEPT THE SELF – ASSESSMENT REPORT	Yes	-
STEP 6.3: COMMUNICATE THE SELF – ASSESSMENT REPORT	Yes	-

STEP 7: DESIGN AN IMPROVEMENT PLAN, BASED ON THE ACCEPTED SA		
STEP 7.1: COLLECT ALL PROPOSALS FOR ACTIONS FOR IMPROVEMENT, INCLUDING THE IDEAS FORMULATED DURING THE SA	Yes	-
STEP 7.2: PRIORITISE AND DIFFERENTIATE THE IMPROVEMENT ACTIONS WITHIN REALISTIC TIME SCALES	Yes	-
STEP 7.3: DEFINE A STRUCTURED ACTION PLAN FOR THE SELECTED IMPROVEMENT ACTIONS BASED ON THE PDCA CYCLE	Yes	-
STEP 7.4: ESTABLISH WAYS TO MEASURE THE PERFORMANCE OF THE ACTIONS AND THE RESULTS	No	-
STEP 7.5: PRESENT AND OFFICIALLY ACCEPT THE IMPROVEMENT PLAN	Yes	-
STEP 7.6: INTEGRATE THE ACTION PLAN IN THE NORMAL STRATEGIC PLANNING PROCESS	Yes	-
STEP 8: COMMUNICATE THE IMPROVEMENT PLAN		
STEP 8.1: DEFINE THE COMMUNICATION PLAN	No	-
STEP 8.2: IMPLEMENT THE COMMUNICATION PLAN	No	-
STEP 8.3: INFORM THE RELEVANT STAKEHOLDERS	Partly	Political (in a negative way) Legal (in a negative way)
STEP 9: IMPLEMENT THE IMPROVEMENT PLAN		
STEP 9.1: APPOINT A RESPONSIBLE PERSON FOR EACH ACTION		
STEP 9.2: DEFINE CLEAR	Partly (J1)	-

OWNERSHIP OF THE IMPROVEMENT PROGRAM AND THE PROJECTS	Yes (J2)	-
	Yes (J3)	-
STEP 9.3: IMPLEMENT THE IMPROVEMENT PLAN AS SCHEDULED	Partly (J1)	Political (in a negative way at the end) Legal (in a negative way at the end)
	Partly (J2)	Legal (in a negative way at the end)
	Partly (J3)	Economic (in a negative way at the end) Legal (in a negative way at the end)
STEP 9.4: INVOLVE EMPLOYEES IN THE DIFFERENT IMPROVEMENT ACTIONS	Yes	
STEP 9.5: DEFINE A CONSISTENT APPROACH FOR MONITORING AND ASSESSING THE IMPROVEMENT ACTIONS	Yes	
STEP 9.6: MONITOR ON A REGULAR BASIS THE IMPLEMENTATION OF THE IMPROVEMENT ACTIONS	Yes	
STEP 9.7: IMPLEMENT THE APPROPRIATE MANAGEMENT TOOLS ON A PERMANENT BASIS	No	Legal (in a negative way)
STEP 10: EVALUATE AND PLAN NEXT IMPLEMENTATION		
STEP 10.1: REVIEW AND EVALUATE THE ENTIRE PROCESS	No	Legal (in a negative way)
STEP 10.2: GO TO STEP 0 AND START ALL OVER AGAIN	No	Legal (in a negative way)
STEP 10.3: CONSIDER THE CHOICES MADE DURING THE ENTIRE PROCESS AND CHOOSE AGAIN	No	Legal (in a negative way)
STEP 10.4: PLAN NEXT SELF – ASSESSMENT. USE CAF AGAIN	No	Legal (in a negative way)
STEP 10.5: GO TO STEP 1 AND START ALL OVER AGAIN	No	Legal (in a negative way)

Table 5.4: Case Study “J” – The role of the macro-environmental factors at the Critical Success Factors of implementing CAF

CRITICAL SUCCESS FACTORS	Has the CSF occurred?	PESTEL ANALYSIS
	YES/NO/PARTLY	
TAKING INTO ACCOUNT THE ORGANIZATION’S CULTURE	Yes (J1)	Political (in a negative way at the end) Economic (in a negative way at the end) Legal (in a negative way at the end)
	Yes (J2)	Political (in a negative way at the end) Economic (in a negative way at the end) Legal (in a negative way at the end)
	Yes (J3)	Political (in a negative way at the end) Economic (in a negative way at the end) Legal (in a negative way at the end)
ESTABLISH MOTIVATION	Yes (J1)	-
	Yes (J2)	Political – Legal (in a negative way at the end)
	Yes (J3)	Political - Economic - Legal (at the beginning in a positive way) Legal (in a negative way at the end)
GAINING SENIOR MANAGEMENT AND POLITICAL COMMITMENT	Yes (J1)	-
	Yes (J2)	Political (in a negative way at the end)
	Yes (J3)	Legal (in a negative way at the end)
PLANNING AND ORGANIZING THE ENTIRE PROJECT	Yes	-
COMMUNICATE DURING THE DIFFERENT PHASES TO ALL STAKEHOLDERS	Partly (J1)	Legal (in a negative way at the end)
	Partly (J2)	Legal (in a negative way at the end)
	Partly (J3)	Legal (in a negative way at the end)
ASSURING EMPLOYEES’ COMMITMENT AND	Partly (J1)	Political - Economic - Legal (in a negative way at

INVOLVEMENT DURING THE ENTIRE PROCESS		the end)
	Partly (J2)	Political - Economic - Legal (in a negative way at the end)
	Partly (J3)	Political - Economic - Legal (in a negative way at the end)
INTEGRATION OF THE USE OF CAF INTO THE ORGANIZATION AND ITS PROCESS	Partly (J1)	Political - Legal (in a negative way at the end)
	Partly (J2)	Legal (in a negative way at the end)
	Partly (J3)	Legal (at the beginning in a positive way) Legal (in a negative way at the end)
MAINTAINING MOMENTUM IN THE ENTIRE PROCESS	Partly (J1)	Political - Economic - Legal (in a negative way at the end)
	Partly (J2)	Political - Economic - Legal (in a negative way at the end)
	Partly (J3)	Political - Economic - Legal (in a negative way at the end)
CONTROLLING THE PACE OF THE IMPLEMENTATION	Partly (J1)	-
	Partly (J2)	-
	Partly (J3)	Political - Legal (in a negative way at the end)

The unstable macro-environment affected all three implementations, but not in the same way, because as explained earlier the implementations had taken place in different periods of the macro-environmental changes – disturbances.

For the implementation at the Directorate of Youth and Sports which was at the beginning of the appearance of the Greek Debt crisis, and prior to the implementation of Kallikratis Plan, there was no effect to the motivation, the senior management and political commitment and for integrating CAF in the organization. The integration was affected in the end in the implementation of the improvement plan, which was not implemented as scheduled for the

actions that had to do with cooperating with other Directorates, due to Kallikratis Plan that was coming at the time of the implementation of the improvement plan, and the new political leadership after the local elections.

For the implementation at the Directorate of Municipal Status which was at the beginning of the Greek Debt Crisis and at the beginning of the implementation of Kallikratis Plan the motivation for using CAF was affected in a negative way due to some administrative changes made by the new Mayor during the implementation. Additionally, although the senior management commitment was maintained, the political commitment was lost due to the political change in 2011. Moreover, during the phase of implementing the improvement plan's integration was affected in a negative way due to the new administrative structure.

For the implementation at the Directorate of Road Constructions which was during the Greek Debt crisis and along with the implementation of Kallikratis Plan the organization started to cope with changes and the participants in CAF managed to fulfil the project. In this case at the beginning of the process the motivation for implementing CAF was affected in a positive way by the unstable macro-environment because they were more focused on implementing cost – effective improvement actions. Additionally, the administrative changes had positively affected the integration of the improvement actions in the beginning because the Directorate managed to be adjusted to the changes, but then in a negative way since the Municipality did not continue with CAF. Eventually, in this case as in the previous case the commitment to the project was eventually lost.

For all three implementations the unstable macro-environment had a negative effect during the implementation of the improvement plan in the phase of which the employee's commitment and involvement and the momentum of the implementation were lost. Additionally, the last phase of all implementations which was to inform the citizens about the improvement actions, never took place due to the implementation of Kallikratis Plan.

Moreover, the fact that the organization did not continue with CAF, although at the General's Secretary information letter to the Ministry of the Interior it was mentioned that the organization needs to reschedule about future implementations of CAF and the fact that none TQM system that was

operating along with CAF continued after Kallikratis plan shows that the unstable macro-environment affected the organization's culture about TQM issues

5.4.1.3. The role of the Macro-environment in Case Study “F”

The role of the Macro-environment in case study “J” can be presented in the following tables. In those tables each step and sub - step for implementing CAF is given, along with the critical success factors and how these were affected by the external Macro-environment, using PESTEL analysis.

Table 5.5: Case Study “F” – The role of the macro-environmental factors in the process of implementing CAF

STEPS FOR IMPLEMENTING CAF	Has the step been addressed?	PESTEL ANALYSIS
	YES/NO/PARTLY	
STEP 0: START OF THE PROCESS – INITIAL DECISION		
STEP 0.1: ASSESS THE CURRENT QUALITY - CULTURE OF THE ORGANIZATION	No	-
STEP 0.2: DEVELOP A PLAN FOR MATURING ORGANIZATION' S CULTURE TOWARDS QUALITY	No	-
STEP 0.3: CARRY OUT A PRE-IMPLEMENTATION ASSESSMENT	No	-
STEP 0.4: CHOOSE WHICH BEM WILL BE USED. CONSIDER CAF ALTERNATIVES	No	-
STEP 0.5: IDENTIFY THE REASONS (MOTIVES) FOR USING THE MODEL	Yes	-
STEP 0.6: IDENTIFY THE EXPECTED BENEFITS (THE ADDED VALUE) FOR USING THE MODEL	Yes	-
STEP 0.7: DEFINE THE SCOPE AND THE APPROACH OF THE SELF-ASSESSMENT	Yes	-
STEP 0.8: DECIDE IN WHICH DEPARTMENT	Yes	-

STEP 0.8.1: DECIDE THE "PILOT UNIT" CONSULTING WITH THE ORGANIZATION	No	-
STEP 0.9: ASSURE A CLEAR MANAGEMENT DECISION IN CONSULTING WITH THE ORGANIZATION	Yes	-
STEP 0.10: ASSURE POLITICAL COMMITMENT	Yes	-
STEP 1: DECIDE HOW TO ORGANIZE AND PLAN THE SA		
STEP 1.1: APPOINT A STEERING COMMITTEE	No	-
STEP 1.2: APPOINT A PROJECT LEADER	Yes	-
STEP 1.3: ASSURE THE COMMITMENT AND OWNERSHIP OF THE MANAGEMENT FOR LAUNCHING THE PROCESS	Yes	-
STEP 1.4: PLAN THE ENTIRE PROJECT	Yes	-
STEP 1.5: ALLOCATE RESOURCES FOR THE SELF - ASSESSMENT	Yes	-
STEP 1.6: CHOOSE THE SCORING PANEL	Yes	-
STEP 2: COMMUNICATE THE SELF-ASSESSMENT PROJECT		
STEP 2.1: DEFINE THE COMMUNICATION PLAN	Yes	-
STEP 2.2: IMPLEMENT THE COMMUNICATION PLAN	Yes	-
STEP 2.3: COMMUNICATE DURING THE DIFFERENT PHASES TO ALL THE STAKEHOLDERS	Yes	-
STEP 2.4: STIMULATE INVOLVEMENT IN THE SA OF THE TOP AND MIDDLE MANAGERS, STAFF AND EMPLOYEES	Yes	-
STEP 3: COMPOSE THE SELF-ASSESSMENT-TEAM(S)		

STEP 3.1: DECIDE ON THE NUMBER OF SELF-ASSESSMENT-TEAMS	Yes	-
STEP 3.2: DECIDE IF THE MANAGER(S) SHOULD BE PART OF THE SA TEAM(S)	Yes	-
STEP 3.3: CREATE A SELF ASSESSMENT TEAM THAT IS RELEVANT FOR THE WHOLE ORGANIZATION RESPECTING ITS ASPECTS	Yes	-
STEP 3.4: CHOOSE THE CHAIR OF THE TEAM	Yes	-
STEP 3.5: ASSIGN RESPONSIBILITIES TO EACH MEMBER AS NEEDED	Yes	-
STEP 4: PREPARE THE SA TEAM(S) – ORGANIZE TRAINING		
STEP 4.1: PREPARE THE SELF-ASSESSMENT TEAM(S)	Yes	-
STEP 4.2: DEFINE THE KEY STAKEHOLDERS, THE PRODUCTS AND SERVICES AND THE KEY PROCESSES	Yes	-
STEP 4.3: PLAN TRAINING FOR THE SA TEAM (S)	Yes	-
STEP 4.4: TRAIN THE SELF-ASSESSMENT TEAM(S)	Yes	-
STEP 4.5: INFORM AND TRAIN THE MANAGEMENT TEAM	Yes	-
STEP 5: UNDERTAKE THE SELF-ASSESSMENT		
STEP 5.1: GATHER EVIDENCE REGARDING THE CRITERIA AND SUB – CRITERIA OF CAF	Yes	-
STEP 5.2: UNDERTAKE INDIVIDUAL ASSESSMENT	Yes	-
STEP 5.3: COLLECT THE INDIVIDUAL ASSESSMENTS	Yes	-
STEP 5.4: UNDERTAKE CONSENSUS IN THE SELF - ASSESSMENT TEAM(S)	Yes	-

STEP 5.5: DECIDE ON THE FINAL SCORES	Yes	Technological (in a positive way)
STEP 6: DRAW UP A REPORT DESCRIBING THE RESULTS OF SA		
STEP 6.1: PREPARE THE SELF – ASSESSMENT REPORT	Yes	-
STEP 6.2: PRESENT AND OFFICIALLY ACCEPT THE SELF – ASSESSMENT REPORT	No	-
STEP 6.3: COMMUNICATE THE SELF – ASSESSMENT REPORT	No	-
STEP 7: DESIGN AN IMPROVEMENT PLAN, BASED ON THE ACCEPTED SA		
STEP 7.1: COLLECT ALL PROPOSALS FOR ACTIONS FOR IMPROVEMENT, INCLUDING THE IDEAS FORMULATED DURING THE SA	Yes	-
STEP 7.2: PRIORITISE AND DIFFERENTIATE THE IMPROVEMENT ACTIONS WITHIN REALISTIC TIME SCALES	Yes	-
STEP 7.3: DEFINE A STRUCTURED ACTION PLAN FOR THE SELECTED IMPROVEMENT ACTIONS BASED ON THE PDCA CYCLE	Yes	-
STEP 7.4: ESTABLISH WAYS TO MEASURE THE PERFORMANCE OF THE ACTIONS AND THE RESULTS	Yes	-
STEP 7.5: PRESENT AND OFFICIALLY ACCEPT THE IMPROVEMENT PLAN	Yes	-
STEP 7.6: INTEGRATE THE ACTION PLAN IN THE NORMAL STRATEGIC PLANNING PROCESS	Yes	-
STEP 8: COMMUNICATE THE IMPROVEMENT PLAN		
STEP 8.1: DEFINE THE COMMUNICATION PLAN	Yes	-

STEP 8.2: IMPLEMENT THE COMMUNICATION PLAN	Yes	-
STEP 8.3: INFORM THE RELEVANT STAKEHOLDERS	Yes	-
STEP 9: IMPLEMENT THE IMPROVEMENT PLAN		
STEP 9.1: APPOINT A RESPONSIBLE PERSON FOR EACH ACTION	Yes	-
STEP 9.2: DEFINE CLEAR OWNERSHIP OF THE IMPROVEMENT PROGRAM AND THE PROJECTS	Yes	-
STEP 9.3: IMPLEMENT THE IMPROVEMENT PLAN AS SCHEDULED	Yes	Economic (in a negative way at a certain improvement action)
STEP 9.4: INVOLVE EMPLOYEES IN THE DIFFERENT IMPROVEMENT ACTIONS	Yes	-
STEP 9.5: DEFINE A CONSISTENT APPROACH FOR MONITORING AND ASSESSING THE IMPROVEMENT ACTIONS	Yes	-
STEP 9.6: MONITOR ON A REGULAR BASIS THE IMPLEMENTATION OF THE IMPROVEMENT ACTIONS	Yes	-
STEP 9.7: IMPLEMENT THE APPROPRIATE MANAGEMENT TOOLS ON A PERMANENT BASIS	Yes	-
STEP 10: EVALUATE AND PLAN NEXT IMPLEMENTATION		
STEP 10.1: REVIEW AND EVALUATE THE ENTIRE PROCESS	No	-
STEP 10.2: GO TO STEP 0 AND START ALL OVER AGAIN	-	-
STEP 10.3: CONSIDER THE CHOICES MADE DURING THE ENTIRE PROCESS AND CHOOSE AGAIN	No	-

STEP 10.4: PLAN NEXT SELF – ASSESMENT. USE CAF AGAIN	Yes	-
STEP 10.5: GO TO STEP 1 AND START ALL OVER AGAIN	Yes	-

Table 5.6: Case Study “F” – The role of the macro-environmental factors at the Critical Success Factors of implementing CAF

CRITICAL SUCCESS FACTORS	Has the CSF occurred?	PESTEL ANALYSIS
	YES/NO/PARTLY	
TAKING INTO ACCOUNT THE ORGANIZATION’S CULTURE	Yes	Political - Legal (in a positive way)
ESTABLISH MOTIVATION	Yes	Political - Legal (in a positive way)
GAINING SENIOR MANAGEMENT AND POLITICAL COMMITMENT	Yes	Political - Legal (in a positive way)
PLANNING AND ORGANIZING THE ENTIRE PROJECT	Yes	-
COMMUNICATE DURING THE DIFFERENT PHASES TO ALL STAKEHOLDERS	Yes	Political - Legal (in a positive way)
ASSURING EMPLOYEES’ COMMITMENT AND INVOLVEMENT DURING THE ENTIRE PROCESS	Yes	Political - Legal (in a positive way)
INTEGRATION OF THE USE OF CAF INTO THE ORGANIZATION AND ITS PROCESS	Yes	Political - Legal (in a positive way)
MAINTAINING MOMENTUM IN THE ENTIRE PROCESS	Yes	Political - Legal (in a positive way)
CONTROLLING THE PACE OF THE IMPLEMENTATION	Yes	Political - Legal (in a positive way)

As can be seen from the above tables the external macro-environment at the time of the implementation was ideal for the implementation of TQM tools for the Municipality. The political situation was stable, the administrative changes had not started yet and the financial crisis had not appeared yet.

Additionally, the Ministry of the Interior stimulated the implementation of CAF to the Greek Public Sector at that time and used the Municipality as a pilot implementation in 2003 and as a good example in 2007. Hence, all the critical success factors for an effective implementation (culture, motivation, commitment, planning, communication, integration, momentum and pace of the implementation) were not affected at all or affected in a positive way (for example the Ministry's stimulation). A very interesting finding is that even after Kallikratis plan the motives for implementing CAF would have been the same and that if they were to implement CAF again they would be even more motivated because the senior managers would seize the opportunity to highlight the lack of employees and the lack of resources that the crisis imposed.

The only slight impact of the external macro-environment, which in 2010 became unstable, was that in 2012 there was a lot of personnel movement that affected the quality department, and this resulted in CAF's abandonment as a strategic tool.

5.5. Discussion of the Theoretical Framework

Having discussed the findings for each case separately about the steps followed for the implementation of CAF, the critical success factors in CAF's implementation process; having addressed a cross – case discussion for all cases for the steps and the critical success factors in CAF's implementation process and having identified the role of the external macro-environment, the framework for implementing CAF especially in times of an unstable macro-environment can be conducted. The only sub-step that can be omitted is:

- STEP 1.1: APPOINT A STEERING COMMITTEE

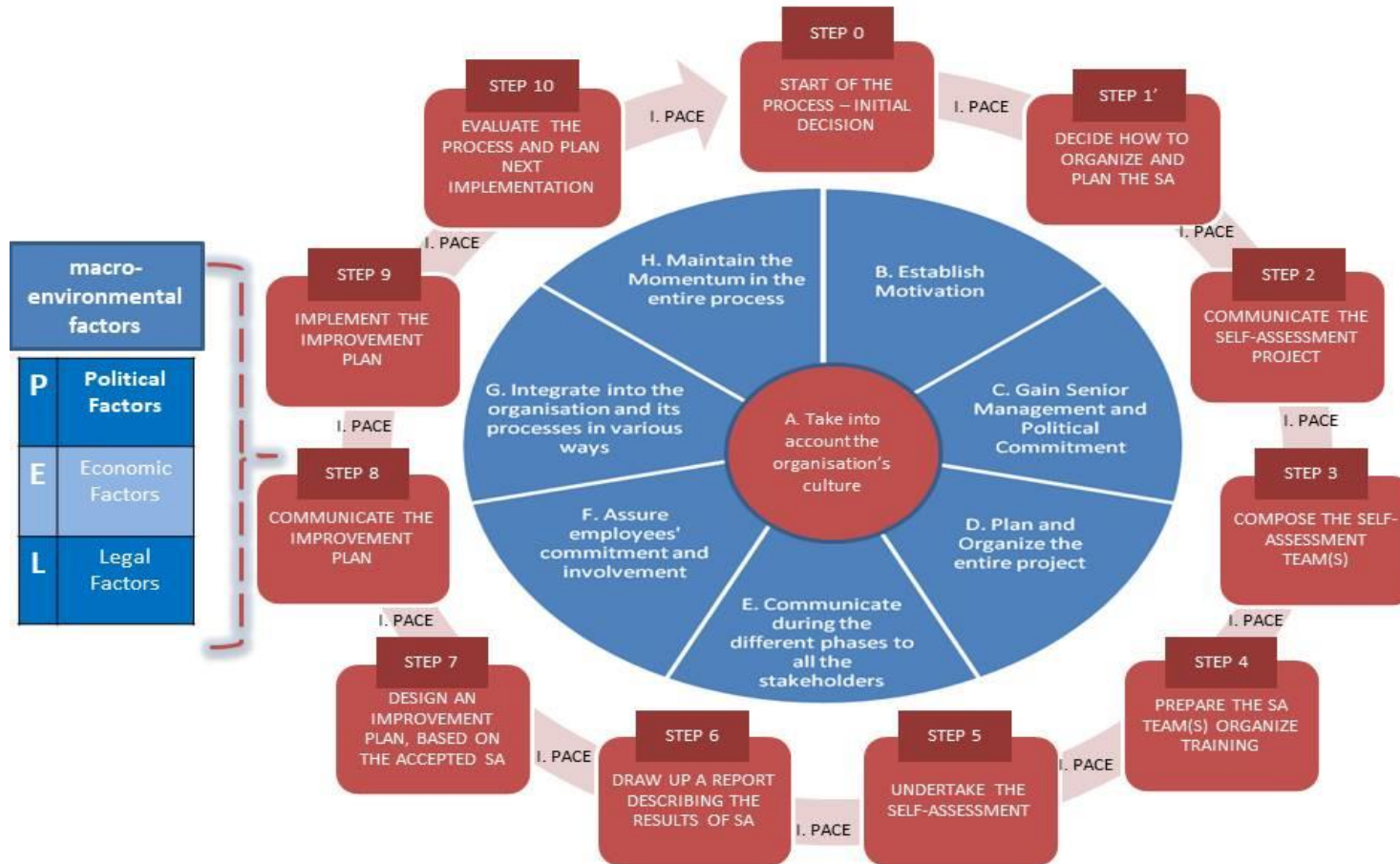
Even in case "F" which was the most effective implementation a steering committee was not appointed as it was not needed. The Self-Assessment team can play that role as it did in case "F"

Hence in the proposed framework for implementing CAF the STEP 1 is presented as STEP 1' by omitting the STEP 1.1 from Appendix 10.

The proposed framework is presented below:

Figure 5.1: Framework for implementing CAF in an unstable macro environment

Framework for implementing C.A.F.



5.6. Discussion on the conduct of the Research and the Research Methodology

As explained in section 3.4 of this study the case study research strategy was chosen as the most suitable strategy to give answers to “how?” and “why?” questions (Yin 1994; 2003; Saunders *et al.* 2003; Davies 2004). This proved to be right since by using this research strategy the author was able to answer the Key research question (how question) the two secondary questions (one how and one why question) and fulfil the aim and the objectives of this study.

After selecting the appropriate research strategy, the author selected the multiple case holistic design as the appropriate case study design as explained in section 3.7.1.2 of this study. This proved to be helpful in achieving the aim of this study since the author had five cases to analyse having evidence from multiple cases, hence being more compelling, and creating a more robust study as suggested by Herriott and Firestone (1983) cited by Yin (2003, p. 46).

Following on, as explained in section 3.7.1.3 of this study the author, in order to select the cases, had to balance between literal and theoretical replications and choose the appropriate number of cases so as to balance between the number and the difficulty of studying each case in depth. Additionally, having in mind that literal replications will address the issue of generalizing a theory and theoretical replications will address the issue of extending or modifying any theory (Yin 1994; Hussey and Hussey 1997), and having in mind that when external conditions could lead to different case study results then a larger number of theoretical replication should be included (Yin 2003), the author decided to have one literal and four theoretical replications; the literal replication as an effective implementation before crisis, and the theoretical replications as ineffective or relatively effective implementations during crisis, due to the external macro-environment, so as to achieve both generalisation and extension- modification of the theory (include the external macro-environmental factors in the TQM implementation theory). This proved to be right, since after the research had been carried out, the before crisis case proved to be effective (literal replication) and the during crisis cases, the

one proved to be ineffective (since more than one year after the implementation had started the improvement plan had not been implemented) while the others proved to be relatively effective (because the improvement plan has not been implemented as scheduled). Hence the author felt confident that by using these five cases, he would be able to research in sufficient depth and generalise and extend-modify the TQM implementation theory.

After selecting the case studies, the author selected the appropriate data collection methods. For this purpose, the author used documentation research for each case, archival record research for each case and interview research for each case as explained in section 3.6 of this study. By doing that (using the appropriate and multiple resources of evidence) the author was able to triangulate the data, thus conducting a more robust research. At the beginning of the field research it was in the author's mind that it might be possible to conduct more interviews in each case, but that proved that it was not needed, because the answers of the interviews had a significant agreement on the actual facts of the implementation process.

Following on the author for each case created a case study data base, in which the archival records, the documents retrieved from each case, the typed records of the forms used to contact the case study organizations, the typed records of the forms used to contact the interviewees in each case study, the typed records of the semi-structured interviews and the digital recorder's electronic files that were recorded during the interviews, are being kept. Having done so it is possible for other investigators to review the evidence directly and not be limited to the written case study reports. This helped the reliability and validity of the case study evidences. Another issue that was addressed by the author in order to increase the reliability and the validity of the research was the chain of evidence developed, as explained in section 3.6.4.3, in order for any external observer to trace the derivation of any evidence towards the research questions and the research aim and objectives and vice-versa.

Prior to the conduct of the research a pilot study was carried out In order to test the semi – structured interview questionnaire. After adjusting the minor changes suggested by the pilot study the author was confident that the

substance of the data gathering instruments and the overall process of the data gathering were well structured and designed. This proved to be right since there were no problems faced during the field research. On reflection it might have been better to pilot all the documents sent to the Municipalities, which were only discussed with the supervisors and not only the semi – structured questionnaire and the Municipality’s profile, in order to have gained a wider variety of views.

Following on, prior to each site visit the author sent the document named “Information Sheet for Mayor or General Secretary” to the case study organization in order to get permission of the LAs’ participation. Then, the documents named “Information Sheet for Interviewees” and “interview questionnaire” were sent to each interviewee of each case study respectively in order to get their agreement for participating in the study and inform them about the issues to be discussed and the documents needed. Then the site – visits took place along with the semi- structured interviews. The preparation that was made prior to the site visit helped the interviews get ready and the author gain valuable time in explaining the procedures of the study and the interviews’ questionnaire. Unfortunately, as a reflection it can be said that, in most of the cases the interviewees did not have their personal diaries hence they could not give much details about dates and meetings. But this did not affect research because the author was able to trace these evidences from archival records and from documentary research.

Overall the research methodology that was followed and the conduct of the research that was implemented gave confidence to the author that the research is robust.

5.7. Chapter Summary

In this chapter, the findings of the previous chapter were discussed in comparison with the literature and the theoretical framework presented in chapter two. In the first section each case was discussed separately while in the second part there was a cross- case discussion of the findings. Following on, the macro-environmental factors that influenced TQM implementation process were discussed for each case, and the Theoretical Framework for implementing CAF successfully was presented. Finally, in the last sections of

this chapter the discussion on the conduct of the research and the research methodology was made.

6. Conclusion

6.1. Chapter Introduction

In the closing chapter of this research, the conclusions will be drawn. In the first section the reflection on the aim, the objectives and the questions of the thesis will be given, while in the second section the recommendations for further related research will be presented. Finally, the limitations and the contributions of this research will be presented.

6.2. Fulfilling the aim, the objectives of this study and answering the Key research and the secondary research questions

Coming to a conclusion to this research it is useful to reflect on the aim, the objectives and answer the key research question as well as the secondary questions.

To begin, from the bottom up, with the secondary questions:

1. What are the critical success factors that affect the implementation of CAF in times of an unstable macro - environment?

The critical success factors for implementing CAF in an unstable macro-environment are internal and external. The internal ones are: taking into account the organization's culture, establishing motivation for implementing the model, gaining senior management and political commitment, planning and organising the entire project, communicating during the different phases with all stakeholders, assuring employees' commitment and involvement, integrating the model into the organization and its processes, maintaining the momentum and the pace of the entire process and following the step by step implementation process as it is presented in the framework. The external ones are: political, legal and economic factors from the external macro-environment that should be taken into account in order to have an effective implementation.

2. What is the theoretical framework for the implementation of CAF, in times of an unstable macro - environment?

The theoretical framework for the implementation of CAF, in times of an unstable macro – environment is presented in section 5.5 and consists of 11 steps (from 0 to 10), the critical success factors and the macro – environmental factors that should be taken into account during the implementation process.

3. How has CAF been implemented in a number of cases, in times of an unstable macro - environment?

In the cases that the implementation took place during the turbulences because of the external macro – environmental factors the implementation of CAF was either ineffective or partly ineffective. In all cases the implementation was carried out by following the step by step procedure that is suggested in the literature and presented at the theoretical framework but under no circumstances can the implementation be characterized as effective especially during the implementation of the improvement actions, due to political, legal and economic external reasons that affected the implementation process and its critical success factors (see section 5.4).

4. Why has the implementation of CAF been successful or unsuccessful in a number of cases in times of an unstable macro - environment?

In the case “P” CAF has been unsuccessfully implemented because there was lack of communication during the step by step procedure and because after a point when the macro-environment became more unstable all critical success factors (except the planning) were negatively affected, especially during the phase of the implementation of the improvement plan, due to political, economic and legal reasons (see section 5.4).

In cases “J”, the implementation of CAF was partly effective because the unstable macro-environment affected all three implementations, but not in the same way, because as explained earlier the implementations had taken place in different periods of the macro-environmental changes –disturbances (see section 5.4). But the fact that the organization did not continue with CAF, and the fact that no TQM system that was operating along with CAF continued after Kallikratis plan shows that the unstable macro-environment affected the

organization's culture about TQM issues in a negative way due to political, economic and legal reasons.

Following on, the answer to the Key research question is:

How external macro-environmental factors affect CAF's successful implementation?

Having conducted research in cases before and during crisis, it can be stated that the external macro-environmental factors affect CAF's implementation process by influencing the following critical success factors: taking into account the organization's culture, establishing motivation for implementing the model, gaining senior management and political commitment, communicating during the different phases with all stakeholders, assuring employees' commitment and involvement, integrating the model into the organization and its processes, maintaining the momentum and the pace of the entire process. In terms of the step by step procedure that is being followed the macro-environmental factors mainly influences the steps that have to do with the acceptance and the implementation of the improvement plan report (see section 5.4).

After having answered the key research question and the secondary questions, the reflection on the objectives is being given.

The first objective which was to explore how CAF has been implemented in a number of cases, in order to identify the critical factors for successful implementation in times of an unstable macro-environment, is being fulfilled in sections 5.2 and 5.3 of this study and is presented in section 5.5. The overall view is that CAF is being implemented by following the step by step procedure that is suggested in the literature and presented at the theoretical framework and by taking into account the critical success factors i.e.: taking into account the organization's culture, establishing motivation for implementing the model, gaining senior management and political commitment, planning and organising the entire project, communicating during the different phases with all stakeholders, assuring employees' commitment and involvement, integrating the model into the organization and its processes and maintaining the momentum and the pace of the entire process. Nevertheless, under no

circumstances (during crisis) can the implementation be characterized as effective especially during the implementation of the improvement actions, due to political, legal and economic external reasons that affected the implementation process and its critical success factors in certain ways as presented in sections 5.2 and 5.3.

The second objective which was to investigate why CAF has been implemented successfully or unsuccessfully in times of an unstable macro-environment is being fulfilled in section 5.4. The overall view is that in case “P” CAF has been unsuccessfully implemented because there was lack of communication during the step by step procedure and because after a point when the macro-environment became more unstable all critical success factors (except the planning) were negatively affected, especially during the phase of the implementation of the improvement plan, due to political, economic and legal reasons (see section 5.4). While in cases “J”, the implementation of CAF was partly effective because the unstable macro-environment affected all three implementations, but not in the same way, because as explained earlier the implementations had taken place in different periods of the macro-environmental changes –disturbances (see section 5.4). But the fact that the organization did not continue with CAF, and the fact that no TQM system that was operating along with CAF continued after Kallikratis plan shows that the unstable macro-environment affected the organization’s culture about TQM issues in a negative way due to political, economic and legal reasons.

Finally, the aim of this study which was to find out how CAF has been implemented, in times of an unstable macro-environment with a view to creating a framework for successful implementation is being achieved by fulfilling the two objectives and by answering the key research and the secondary research questions as explained earlier on. The framework was presented in section 5.5.

As a closing statement it can be said that in times of an unstable macro-environment the organizations should be aware and take into account the factors suggested by PESTEL analysis in order to implement TQM tools effectively.

6.3. Limitations of the Research

It is in the author's mind that any research has its limitations. So, this is the case of this research as well, regardless of the care taken during the conduct of the research and when employing the research methodology as explained earlier on.

The first limitation was the limited number of potential cases that the author could choose from in order to implement the case study research strategy. This was due to the fact that there were few organizations that had implemented CAF prior to the implementation of Kallikratis plan and had not abolished their structure (only four) and even fewer that had implemented CAF during the Greek debt crisis and after the implementation of Kallikratis plan (only two- which were selected). This of course limited the extent to which the aim of this study could be achieved. There is no doubt that more cases could benefit the research.

A second limitation was the limited number of potential interviewees in each case that had good memory of the events. This was due to the fact that there were only a few people in the organizations (especially in the cases that the implementation took place ten and six years ago) that could provide rich and in-depth information about the phenomenon of interest. The author tried to treat this limitation by using other sources of evidence and triangulate the data. Another approach to that "time" limitation would have been to have carried out a longitudinal study in a Municipality that had recently implemented CAF (six years (Municipality J) ago or three years (Municipality P) ago), if they were to implement CAF again after the Greek debt crisis and make comparisons between during crisis and after crisis implementations. But of course this is not possible yet.

Last but not least another limitation was the limited number of documents that were available. Fortunately, for each case the author managed to find the Self- Assessment Report and the Improvement Plan Report, which were printed in paper and had an overview and in some cases details of the implementation process.

6.4. Contributions of the Research

This research has both theoretical and practical contributions.

Theoretical contributions

To begin with the theoretical contribution; first of all, this research contributes to the body of knowledge of TQM theory by enriching it with the impact of the external environmental factors that influence TQM implementation processes in unstable macro-environments using PESTEL analysis. As explained in the introductory chapter of this research there is lack of academic research done, combining the critical success factors as suggested by many authors for successfully implementing TQM tools, with the critical factors that affect the organizations concerning the external environment as suggested by PESTEL analysis. Hence this study aimed at fulfilling this identified gap.

Secondly, this research contributes to the literature about CAF, by enriching the theory of the model with the critical success factors in order to be successfully implemented, with the external factors that influence its success and last but not least with an additional step (step 0), which deals with the pre-implementation processes and the clarity of the initial decisions in order to be successfully implemented. This contribution is the framework for successfully implementing CAF, especially in times of unstable macro-environment presented in section 5.5 of this study.

Practical contributions – Policy implications

Following on, in addition to the previously described theoretical contributions this research has practical application as well.

First of all, this research is increasing the degree of effectiveness in the implementation of CAF in the Greek LAs. The outcome of this research is the Framework for the successful implementation of CAF in times of an unstable macro-environment. Hence, each Greek LA could be assisted in its effort to successfully implement CAF.

Secondly, the Greek Ministry of the Interior could benefit by this study in its effort for reforming the Greek Public Sector with the implementation of TQM techniques, such as CAF. The Ministry, by using the outcome of this study,

could promote the implementation of CAF as an effective TQM tool providing the Framework for successful implementation.

Finally, the European Institute of Public Administration (EIPA) could benefit by this study in its effort for promoting CAF as an effective TQM tool, by using the outcome of this study providing the Framework for successful implementation. Additionally, EIPA could use the outcomes of this study in order to update CAF by enriching the model with the factors of the external macro-environment that influence CAF's implementation processes. For this, the author is planning to present this study at the workshop of CAF that is held by EIPA in Vienna at October 2018. This event is held in order for CAF experts to discuss on how to improve the Common Assessment Framework for the years to come, in order to release the CAF 2020 version.

6.5. Recommendations for Further Related Research

A number of interesting areas for further related research can arise from this study:

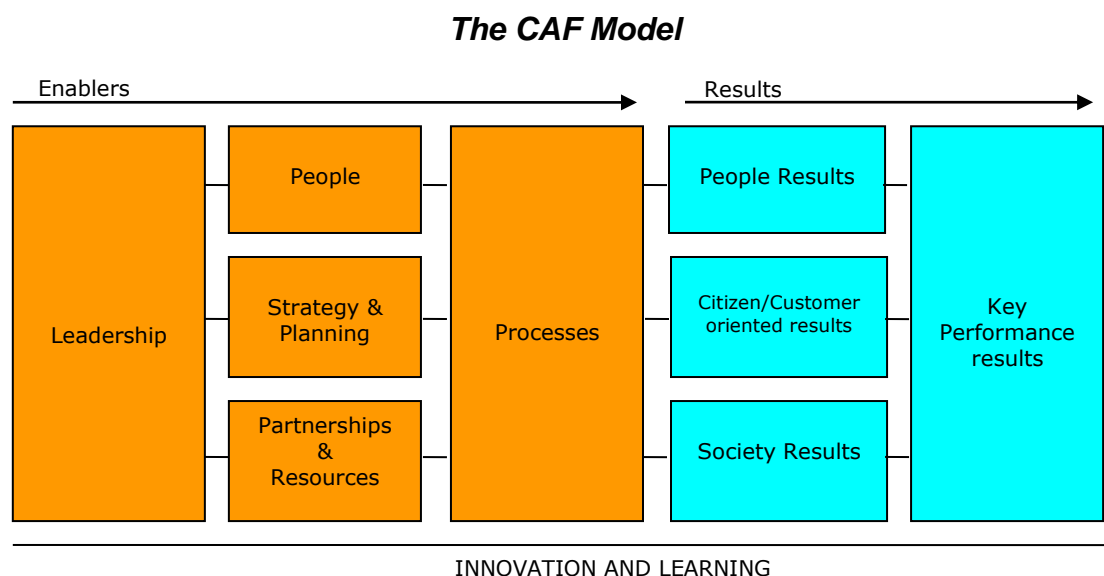
- Research into other cases of implementing CAF in the Greek Public Sector during the Greek Debt Crisis, to see whether the internal and external factors that affect the implementation process will be the same
- Research into other cases of implementing TQM models in time of unstable macro-environment in order to identify the internal and external factors that affect the implementation process
- Research into the implementation of CAF in other European countries, in order to enrich the literature about the implementation of the model as in the case of Wisniewska and Szczepanska. (2014) and Tomasevic et al. (2016), which look at quality management frameworks in Polish local governments and in the Slovenian police service respectively
- A more detailed investigation in the Municipality "J", in order to exploit the legal factor in TQM implementation processes, as a case that had TQM techniques operating before Kallikratis plan, implemented TQM techniques during Kallikratis plan, which all stopped after Kallikratis plan
- A longitudinal study in the Municipality "F", concerning the 2007 and 2009 implementations in order to compare them, having in mind the

2009 implementation might not be as effective as the previous one because it might have been affected by the beginning of the crisis.

APPENDICES

Appendix 1 – The CAF Model

CAF is a result of the co-operation among the EU Ministers responsible for Public Administration. “It is an easy-to-use, free tool to assist public-sector organizations across Europe in using quality management techniques to improve their performance. The CAF is a **Total Quality Management (TQM)** tool which is inspired by the major Total Quality models in general, and by the Excellence Model of the European Foundation for Quality Management (EFQM) in particular. It is especially designed for public-sector organizations, taking into account their characteristics” (EIPA 2006, p. 2). “The model is based on the premise that excellent results in organizational performance, citizens/customers, people and society are achieved through leadership driving strategy and planning, people, partnerships, resources and processes. It looks at the organization from different angles at the same time; a **holistic approach** to organization performance analysis” (EIPA 2006, p. 2).



Source: EIPA 2006, p. 3

To begin with the enablers, they determine “what the organization does and how it approaches its tasks to achieve the desired results” (EIPA 2006, p. 7).

Analytically:

1. Leadership

The leader's behavior in a public organization can help to create simplicity and harmony in order to achieve its goals. Leaders indicate the means of the public service; develop its mission, its vision and the principles for successful long-term operation. Leaders provide incentives and support the people of the public organization to act as a unit. Hence the performance of each public organization depends a lot from the performance of its leadership.

The **sub-criteria** of the **criterion** Leadership are:

- 1.1. Development and communication of vision, mission and values
- 1.2. Development and implementation of a management system performance and change
- 1.3. Motivation and support of people: in the organization and act as a role model
- 1.4. Management of the relations with politicians and other stakeholders in order to ensure shared responsibility (EIPA 2006).

2. Strategy and Planning

The quality and overall performance of a public organization depends a great deal on its planning and its strategy. The public organization implements its mission and vision through a clear strategy so as:

- a) to outfit the needs of the shareholders
- b) to get in line with the public policies carried out by other public organizations.

The **sub-criteria** of the **criterion** Strategy and Planning are:

- 2.1. Information gathering relating to the present and future needs of stakeholders
- 2.2. Development, review and update of strategy and planning taking into account the needs of stakeholders and available resources
- 2.3. Implementation of strategy and planning in the whole organization

- 2.4. Plan implement and review modernisation and innovation (EIPA 2006)

3. People - Human resources

Human resources are the organization itself; they are the most important asset. The way that employees interact with each other and manage the organizations' other resources, determines a great deal the overall quality of the public service.

The **sub-criteria** of the **criterion** People – Human Resources are:

- 3.1. Planning, management and improvement of human resources transparently with regard to strategy and planning
- 3.2. Identification, development and use of employees' competencies aligning individual and organizational goals
- 3.3. Involvement of employees by developing open dialogue and empowerment (EIPA 2006)

4. Partnerships and resources

The way that the public organization plans and manages its key partnerships (citizens-customers, other organizations), in order to support its strategy and planning, affects its quality and efficiency. In addition to this, in order to operate, organizations need other resources as well, such as assets, budget, information technology systems and so on. These resources are used in order for the organization to achieve its goals.

The **sub-criteria** of the **criterion** Partnerships and Recourses are:

- 4.1. Development and implementation of key partnership relations
- 4.2. Development and implementation of partnerships with the citizens/customers
- 4.3. Finances management
- 4.4. Information & knowledge management
- 4.5. Technology management
- 4.6. Facilities management (EIPA 2006)

5. Processes

Each organization identifies, manages, improves and develops its key processes in order to support its strategy and its planning. Those processes

are a set of consecutive activities that indicate the way that the organization transforms resources or inputs into results or outputs.

The **sub-criteria** of the **criterion** Processes are:

- 5.1. Identification, designation, management, and improvement of processes on an ongoing basis
- 5.2. Development and delivering citizen/customer oriented services and products
- 5.3. Innovation processes involving citizens/customers (EIPA 2006)

To continue with the results the CAF model measures what the citizens/customers, the people within the organization and the society thinks for each authority. Moreover, it also uses internal and external indicators performance (EIPA 2006)

Analytically:

6. Citizen/customer-oriented results

Citizen/customer-oriented results are the results that the organization achieves in relation to the satisfaction of its citizens/customers and in relation to the provided services. The measurement of those results is a key issue when counting the overall performance of the organization (EIPA 2006)

The **sub-criteria** of the **criterion** Citizen/customer-oriented results are:

- 6.1. Results of citizen/customer satisfaction measurements
- 6.2. Indicators of citizen/customer-oriented measurements (EIPA 2006).

7. People - Human recourses results

The results that the organization achieves in relation to the capability, motivation, satisfaction and performance of its employees, affects a great deal its efficiency.

As in EIPA (2006, p. 21) is indicated "It is important for all kinds of public sector organizations to directly record people results concerning the employees' image of the organization and its mission, the working environment, the organization's leadership and management systems, career

development, the development of personal skills and the products and services the organization provides”.

The **sub-criteria** of the **criterion** People - Human resources results are:

- 7.1. Results of people satisfaction and motivation measurements
- 7.2. Indicators of people results (EIPA 2006)

8. Society results

The results that the organization achieves, in satisfying the needs and the expectations of the local, national and international community, affects its overall performance. Those results include contribution to quality of life, environmental issues, economic impacts, quality of democracy and other social sensitive dimensions (EIPA 2006)

The **sub-criteria** of the **criterion** Society results are:

- 8.1. Results of societal measurements perceived by the stakeholders
- 8.2. Indicators of societal performance established by the organization (EIPA 2006)

9. Key performance results

This aspect refers to external and internal results. The external results refer to the organization’s achievements regarding its planning and strategy according with the fulfilment of the stakeholders needs. The internal results refer to the organization’s achievements regarding its own management and constant improving (EIPA 2006)

As in EIPA (2006, p. 23) is indicated «Key performance results relate to whatever the organization has determined measurable achievements for the success of the organization in the short and longer term. They represent the capacity of policies and processes to reach goals and objectives including specific targets, which are politically driven».

The **sub-criteria** of the **criterion** Key Performance results are:

- 9.1. External results: outputs and outcomes to goals
- 9.2. Internal results (EIPA 2006)

Appendix 2- Differences between CAF 2006 and CAF 2013

Figure: Structure CAF 2006 versus structure CAF 2013

ENABLERS	
CAF 2006	CAF 2013
Criterion 1: Leadership Consider evidence of what the organisation's leadership is doing to...	Criterion 1: Leadership Consider <i>what the organisation's leadership is doing to...</i>
Sub-criterion 1.1 Provide direction for the organisation by developing its mission, vision and values	Sub-criterion 1.1 Provide direction for the organisation by developing its mission, vision and values
Sub-criterion 1.2 Develop and implement a system for the management of organisation, performance and change	Sub-criterion 1.2 <i>Manage the organisation, its performance and its continuous improvement</i>
Sub-criterion 1.3 Motivate and support the people in the organisation and act as a role model	Sub-criterion 1.3 Motivate and support the people in the organisation and act as a role model
Sub-criterion 1.4 Manage the relations with politicians and other stakeholders in order to ensure shared responsibility	Sub-criterion 1.4 <i>Manage effective relations with political authorities and other stakeholders</i>
Criterion 2: Strategy and Planning Consider evidence of what the organisation is doing to...	Criterion 2: Strategy and Planning Consider <i>what the organisation is doing to...</i>
Sub-criterion 2.1 Gather information relating to present and future needs of stakeholders	Sub-criterion 2.1 Gather information <i>on present and future needs of stakeholders as well as relevant management information</i>
Sub-criterion 2.2 Develop, review and update strategy and planning taking into account the needs of the stakeholders and the available resources	Sub-criterion 2.2 Develop strategy and planning taking into account <i>the gathered information</i>
Sub-criterion 2.3 Implement strategy and planning in the whole organisation	Sub-criterion 2.3 <i>Communicate and implement strategy and planning in the whole organisation and review it on a regular basis</i>
Sub-criterion 2.4 Plan, implement and review modernisation and innovation	Sub-criterion 2.4 Plan, implement and review <i>innovation and change</i>
Criterion 3: People Consider evidence of what the organisation is doing to...	Criterion 3: People Consider <i>what the organisation is doing to...</i>
Sub-criterion 3.1 Plan, manage and improve human resources transparently with regard to strategy and planning	Sub-criterion 3.1 Plan, manage and improve human resources transparently with regard to strategy and planning
Sub-criterion 3.2 Identify, develop and use competencies of the employees aligning individual and organisational goals	Sub-criterion 3.2 Identify, develop and use competencies of the employees aligning individual and organisational goals
Sub-criterion 3.3 Involve employees by developing open dialogue and empowerment	Sub-criterion 3.3 Involve employees by developing open dialogue and empowerment, <i>supporting their well-being</i>
Criterion 4: Partnerships and Resources Consider evidence of what the organisation is doing to...	Criterion 4: Partnerships and Resources Consider <i>what the organisation is doing to...</i>
Sub-criterion 4.1 Develop and implement key partnership relations	Sub-criterion 4.1 Develop and <i>manage partnerships with relevant organisations</i>
Sub-criterion 4.2 Develop and implement partnerships with the citizens/customers	Sub-criterion 4.2 Develop and implement partnerships with the citizens/customers
Sub-criterion 4.3 Manage finances	Sub-criterion 4.3 Manage finances
Sub-criterion 4.4 Manage information and knowledge	Sub-criterion 4.4 Manage information and knowledge

Source: EIPA 2013, p. 9

Appendix 3 – CAF Users

Table: CAF Users

Situation 23 October 2017: 3,969 registered users in 55 countries and EU institutions + 187 Effective CAF User Labels

Country - users	ECU	Country - users	ECU	Country - users	ECU
Italy - 913	73	Czech Republic - 75	1	Malta - 16	4
Poland - 419	77	Greece - 71		Former Yugoslav Republic of Macedonia - 15	1
Germany - 362	3	Slovakia - 63	3	Luxembourg - 14	
Belgium - 344	7	Spain - 56		EU Institutions and EC - 14	1
Hungary - 316		Romania - 50		Iceland - 13 Turkey - 11	
Denmark - 248		Lithuania - 34	2	Latvia, UK - 8	
Portugal - 204	4	Switzerland - 30		Netherlands, Croatia - 7	
Finland - 139		France - 30		Ireland - 6 Sweden - 5	
Austria - 102	11	Bulgaria - 29		Brazil, Cape Verde, Russia - 4	
Norway - 93		Bosnia-Herzegovina - 21		Ecuador, Egypt, Indonesia - 3	
Dominican Republic - 87		Cyprus - 19		China, Namibia, Tunisia, Serbia, Montenegro, Georgia - 2	
Slovenia - 80		Estonia - 19		Azerbaijan, Fiji, Ivory Coast, Kosovo*, Morocco, Peru, South Africa, Ukraine - 1	



European Institutions and EC: GS Council of the EU DGA2, European Court of Auditors, Europol, EC DG Admin, EC DG Trans, EC DG Trade, ERA, ECDC, Committee of the regions, ESSC, EU Foundation Improvement Living and Working Conditions, European Environment Agency, EDPS, EACEA
[Find out more at caf.eipa.eu](http://caf.eipa.eu) 2

Source: <https://archive.eipa.eu/files/File/CAF/CAF%20Users%20Overview%2023%20Oct%202017.pdf> (03-03-2018)

Appendix 4 – The evolution of CAF

Table: 13 years CAF timetable

Year	Action/Event
1998	Agreement on the construction of the Common Assessment Framework within the EUPAN network
2000	Launch of the CAF at the 1st European Quality Conference in Portugal
2001	Creation of the European CAF Resource Centre at EIPA –Maastricht
2002	Launch of the reviewed CAF 2002 model at the 2nd European Quality Conference in Denmark
2003	1st European CAF Users Event in Italy - Rome
	1st European study on the use of CAF
2004	CAF Master Class at the 3rd European Quality Conference in The Netherlands
2005	2nd European CAF Users Event in Luxembourg
	2nd European study on the use of CAF
2006	"CAF Works" publication
	Launch of the reviewed CAF 2006 model at the 4th European Quality Conference in Finland
2007	3rd European CAF Users Event in Portugal- Lisbon
	CAF movie
2008	CAF Centre at the 5 th European Quality Conference in France
2009	Presentation of the Procedure on External Feedback
2010	Celebration of 2000 CAF users
	Launch of the CAF and Education version
	4th European CAF Users Event in Romania - Bucharest
2011	3rd European study on the use of CAF
2012	5th European CAF Users Event in Oslo
	Launch of CAF 2013

Source:<http://www.eipa.eu/CAF>

Appendix 5 –Structure of the Greek Public Sector in terms of Human Resources

Table: Structure of the Greek Public Sector in terms of Human Resources

Type of Authority	No. of Employees
INDEPENDENT AUTHORITIES	1744
DECENTRALISED ADMINISTRATIONS	6776
LOCAL AUTHORITIES (Self- Government)	81732
MINISTRIES AND PUBLIC ORGANIZATIONS	488280
TOTAL	578532

Source:<http://apografi.yap.gov.gr/apografi/ypalliloianaypoyrgeio.asp>

(04/01/2015)

Appendix 6 – The structure and competences of the Greek LAs

The new Greek constitution (1975/86/01) consolidated the “decentralization system” (art. 101), while the local governmental bodies became solely responsible for local affairs (art. 102) and the central government was to maintain only the competence for national affairs, such as defence, monetary policy and industrial development. Under this concept and after the implementation of the Kallikratis plan (was one of the architectures that built Parthenon), Greek public sector consists of 325 Municipalities (there were 1033 before the merge of Kallikratis took place), and of 13 peripheries (there were 51 – called Prefecture Authorities – before the merge of Kallikratis took place).

Municipalities are governed by a municipal council, led by a mayor. Council members are elected via public election every five years. Municipalities have responsibility for the administration of their local jurisdiction in terms of the social, financial, cultural and spiritual interests of their citizens. More specifically, municipalities have responsibility in the areas of:

- Development
- Environment
- Quality of life and proper functioning of Cities and Settlements
- Employment
- Social Protection and Solidarity
- Education, Culture and Sport (theatres, museums, libraries, parks, sports and leisure facilities)
- Civil Protection
- Security and police
- Fire fighting
- Nurseries and kindergartens
- Repair and maintenance of all schools
- Family and youth services
- Water and waste cure

(Law 3852/2010- Kallikratis plan)

Peripheries are governed by a regional council and a regional governor, elected via public election every five years. Each Periphery is divided into regional units, which in most of the cases coterminous with the former prefectures. Each regional unit is governed by a vice-regional governor. Peripheries have responsibility for

- Planning and Development.
- Agriculture and Livestock.
- Natural Resources - Energy – Industry
- Employment - Trade - Tourism.
- Transport - Communications.
- Works - Planning - Environment.
- Health – Welfare
- Education - Culture – Sports
- Civil Protection

(Law 3852/2010- Kallikratis plan)

Appendix 7 - Greek CAF Users

Table: Greek CAF Users

No	NAME OF AUTHORITY	TYPE OF AUTHORITY
1	MUNICIPALITY OF ILION	LOCAL AUTHORITY (Self-Government, 1st Degree)
2	PREFECTURAL ADMINISTRATION OF CHANIA	LOCAL AUTHORITY (Self-Government, 2nd Degree)
3	2ND DEPARTMENT OF CARDIAC SURGERY EVANGELISMOS GENERAL HOSPITAL	HEALTH CARE - PUBLIC ORGANIZATION
4	KAALD (ALEXANDROUPOLIS AIRPORT)	PUBLIC ORGANIZATION
5	BYZANTINE & CHRISTIAN MUSEUM (BYZANTINE & CHRISTIAN MUSEUM)	PUBLIC ORGANIZATION
6	DEPARTMENT OF PUBLIC RECORDS- MUNICIPALITY OF THESSALONIKI	LOCAL AUTHORITY (Self-Government, 1st Degree)
7	MUNICIPALITY OF HERAKLION CRETE GREECE DEPARTMENT: MUNICIPALITY OF HERAKLION	LOCAL AUTHORITY (Self-Government, 1st Degree)
8	MUNICIPALITY OF IERAPETRA DEPARTMENT: QUALITY AND PROGRAMMING OFFICE	LOCAL AUTHORITY (Self-Government, 1st Degree)
9	MUNICIPALITY OF NEA IONIA DEPARTMENT: PLANNING, DEVELOPMENT AND IT	LOCAL AUTHORITY (Self-Government, 1st Degree)
10	EKDDA-PINEP DYTIKIS ELLADOS	PUBLIC ORGANIZATION
11	NATIONAL AND KAPODISTRIAN UNIVERSITY OF ATHENS DEPARTMENT: DEPARTMENT OF ECONOMICS- LABORATORY OF INFORMATICS	UNIVERSITY - PUBLIC ORGANIZATION
12	GENERAL HOSPITAL OF TRIKALA	HEALTH CARE - PUBLIC ORGANIZATION
13	MENTORING SA (MENTORING SA) DEPARTMENT: QUALITY MANAGEMENT	OTHER
14	PUBLIC EMPLOYEES PENSION FUND (P.E.P.F) DEPARTMENT: PRODUCTIVITY	PUBLIC ORGANIZATION
15	MINISTER OF THE INTERIOR / GENERAL SECRETARIAT OF PUBLIC ADMINISTRATION & E-GOVERNANCE / DIRECTORATE OF ORGANIZATION AND OPERATION OF THE CIVIL SERVICE	MINISTRY

16	MINISTRY OF EDUCATION & RELIGIOUS AFFAIRS, CULTURE & SPORT. DEPARTMENT OF QUALITY AND EFFICIENCY	MINISTRY
17	MINISTRY OF FINANCE DEPARTMENT: DIRECTORY OF QUALITY AND PERFORMANCE MEASUREMENT	MINISTRY
18	MINISTRY OF NATIONAL DEFENCE DEPARTMENT: DEPARTMENT OF DEFENCE AND TECHNOLOGICAL RESEARCH	MINISTRY
19	MUNICIPAL DEVELOPMENT COMPANY OF ARGYROUPOLIS	LOCAL AUTHORITY (Self- Government, , 1st Degree)
20	MUNICIPALITY OF AMAROUSSION	LOCAL AUTHORITY (Self- Government, , 1st Degree)
21	MUNIICIPALITY OF KALAMARIA	LOCAL AUTHORITY (Self- Government, 1st Degree)
22	MUNICIPALITY OF KARPENISSI	LOCAL AUTHORITY (Self- Government, , 1st Degree)
23	MUNICIPALITY OF KAVALA	LOCAL AUTHORITY (Self- Government, , 1st Degree)
24	MUNICIPALITY OF THESSALONIKI-DEPARTMENT OF ROAD CONSTRUCTION DEPARTMENT: ROAD CONSTRUCTION	LOCAL AUTHORITY (Self- Government, , 1st Degree)
25	MUNICIPALITY OF THESSALONIKI-DEPARTMENT OF YOUTH & SPORTS DEPARTMENT: YOUTH AND SPORTS	LOCAL AUTHORITY (Self- Government, , 1st Degree)
26	MUNICIPALITY OF VOULA	LOCAL AUTHORITY (Self- Government, , 1st Degree)
27	MUNICIPALITY OF XANTHI	LOCAL AUTHORITY (Self- Government, , 1st Degree)
28	MUNICIPALITY OF HERSONISSOS DEPARTMENT: SPECIAL ADVISOR TO THE MAYOR	LOCAL AUTHORITY (Self- Government, 1st Degree)
29	NATIONAL ORGANIZATION FOR MEDICINES DEPARTMENT: VALIDATION OF APPLICATIONS & MARKETING AUTHORIZATION DIVISION (DDYEP)	PUBLIC ORGANIZATION
30	ORGANIZATION FOR VOCATIONAL EDUCATION AND TRAINING	PUBLIC ORGANIZATION
31	REGION OF EPIRUS DEPARTMENT: SECTION OF QUALITY AND EFFICIENCY	DECENTRALISED ADMINISTRATIONS

32	PREFECTURE OF EVIA	LOCAL AUTHORITY (Self-Government, 2nd Degree)
33	PREFECTURE OF KAVALA	LOCAL AUTHORITY (Self-Government, 2nd Degree)
34	PREFECTURE OF KOZANI	LOCAL AUTHORITY (Self-Government, 2nd Degree)
35	REGION OF CENTRAL MACEDONIA	DECENTRALISED ADMINISTRATIONS
36	REGION OF CRETE - DIRECTORATE OF PLANNING AND DEVELOPMENT	DECENTRALISED ADMINISTRATIONS
37	REGION OF EAST MACEDONIA & TRACE	DECENTRALISED ADMINISTRATIONS
38	REGION OF EPIRUS	DECENTRALISED ADMINISTRATIONS
39	REGION OF STEREA ELLADA	DECENTRALISED ADMINISTRATIONS
40	REGION OF WESTERN MACEDONIA	DECENTRALISED ADMINISTRATIONS
41	SOUTH AEGEAN REGION	DECENTRALISED ADMINISTRATIONS
42	MINISTRY OF INTERIOR/ GENERAL SECRETARIAT OF GENDER EQUALITY	MINISTRY
43	ALEXADNDER TEI OF THESSALONIKI UNIVERSITY LIBRARY	UNIVERSITY - PUBLIC ORGANIZATION
44	GENERAL HOSPITAL OF TRIKALA – ANAETHESIOLOGY DEPARTMENT	HEALTH CARE - PUBLIC ORGANIZATION
45	GENERAL HOSPITAL OF TRIKALA	HEALTH CARE - PUBLIC ORGANIZATION
46	MINISTRY OF CULTURE AND SPORTS – CENTRAL ARCHAEOLOGICAL DEPARTMENT	MINISTRY
47	MUNICIPALITY OF KERKYRA	LOCAL AUTHORITY (Self-Government, 1st Degree)
48	MUNICIPALITY OF PERAMA, DIRECTION FO CITIZEN SERVICES	LOCAL AUTHORITY (Self-Government, 1st Degree)
49	MUNICIPALITY OF PYLAIA - CHORTIATY	LOCAL AUTHORITY (Self-Government, 1st Degree)
50	MUNICIPALITY OF HALANDRI DIRECTION OF PLANNING AND DEVELOPMENT	LOCAL AUTHORITY (Self-Government, 1st Degree)

51	MUNICIPALITY OF HALANDRI DEPARTMENT: PLANNING AND DEVELOPMENT	LOCAL AUTHORITY (Self-Government, 1st Degree)
52	UNIVERSITY GENERAL HOSPITAL OF THESSALONIKI – AHEPA	HEALTH CARE - PUBLIC ORGANIZATION
53	MINISTRY OF JUSTICE, TRANSPARENCY & HUMAN RIGHTS	MINISTRY
54	GENERAL HOSPITAL OF TRIKALA INTENSIVE CARE UNIT	HEALTH CARE - PUBLIC ORGANIZATION
55	PREFECTURAL AUTHORITY OF THESSALONIKI DEPARTMENT: INFORMATION TECHNOLOGY	LOCAL AUTHORITY (Self-Government, 2nd Degree)
56	PREFECTURE OF LARISSA	LOCAL AUTHORITY (Self-Government, 2nd Degree)
57	PREFECTURE OF CHANIA	LOCAL AUTHORITY (Self-Government, 2nd Degree)
58	REGION OF EASTERN MACEDONIA-THRACE DEPARTMENT: AGRICULTURAL DEVELOPMENT	DECENTRALISED ADMINISTRATIONS
59	SISMANOGLEIO GENERAL HOSPITAL OF ATTICA	HEALTH CARE - PUBLIC ORGANIZATION
60	MINISTRY OF CULTURE AND TOURISM - EPHORATE OF UNDERWATER ANTIQUITIES DEPARTMENT: GENERAL DIRECTORATE OF ANTIQUITIES AND CULTURAL HERITAGE	MINISTRY
61	MINISTRY OF TOURISM DIRECTORATE OF TOURISM PORTS	MINISTRY
62	MINISTRY OF TOURISM DIRECTORATE OF TOURISM POLICY	MINISTRY
63	UNIVERSITY CLINIC – UNIVERSITY GENERAL HOSPITAL OF LARISSA DEPARTMENT OF OTOLARYNGOLOGY	HEALTH CARE - PUBLIC ORGANIZATION
64	ATHENS CHAMBER OF COMMERCE AND INDUSTRY (A.C.C.I.) DEPARTMENT: ADMINISTRATIVE & FINANCE MANAGEMENT DIVISION	OTHER

Source: <http://caf.eipa.eu/3/108/&for=searchpost> (28-05-2015)

Appendix 8 - Greek CAF Users from the LAs sector according to the Greek Ministry of Interior

Table: Greek LAs CAF Users (Greek Ministry of Interior)

No	NAME OF AUTHORITY
1	Municipality of Amarousion
2	Municipality of Amfikleia
3	Municipality of Argiroulopoli
4	Municipality of Vamou
5	Municipality of Gaziou
6	Municipality of Geropotamou
7	Municipality of Voula
8	Municipality of Zografou
9	Municipality of Heraklion
10	Municipality of Thessalonikis
11	Municipality of Ierapetras
12	Municipality of Iliou
13	Municipality of Itanou
14	Municipality of Kalamaria
15	Municipality of Kallicratia – Chalkidiki
16	Municipality of Katerinis
17	Municipality of Kerkyras
18	Municipality of Kouloukona
19	Municipality of Malion
20	Municipality of Mygdonias – Thessaloniki
21	Municipality of N. Kazantzaki
22	Municipality of Neapolis
23	Municipality of N. Ionias Magnisias – Dokpy
24	Municipality of N. Ionias Magnisias
25	Municipality of N. Pentelis
26	Municipality of Xantis
27	Municipality of Patra
28	Municipality of Perama

29	Municipality of Petroupoli
30	Municipality of Pylaia – Chortiati
31	Municipality of Soudas
32	Municipality of Chalandri
33	Municipality of Chersonisou

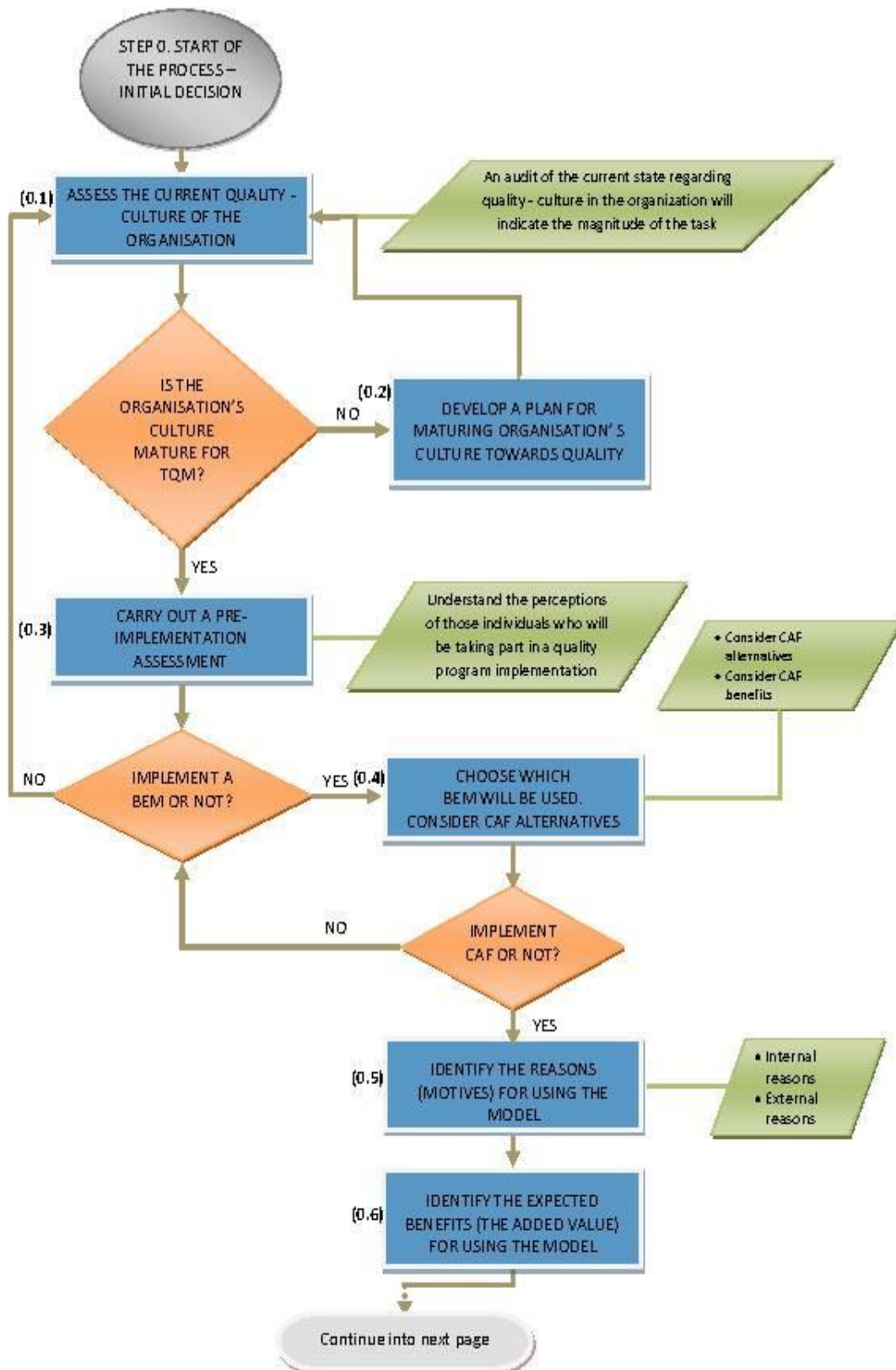
Appendix 9 – Actual Greek LAs CAF Users

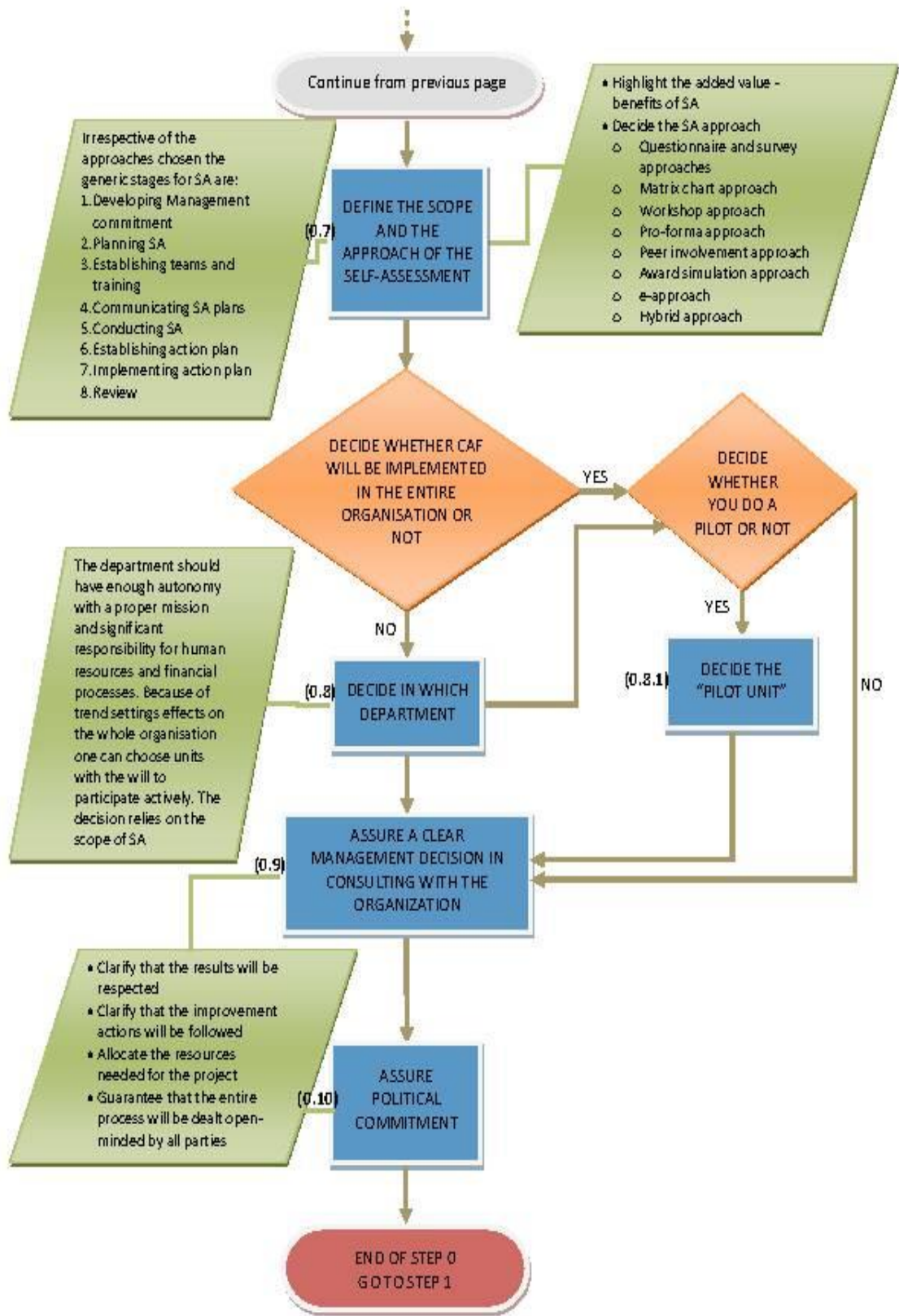
Table: Greek LAs CAF Users

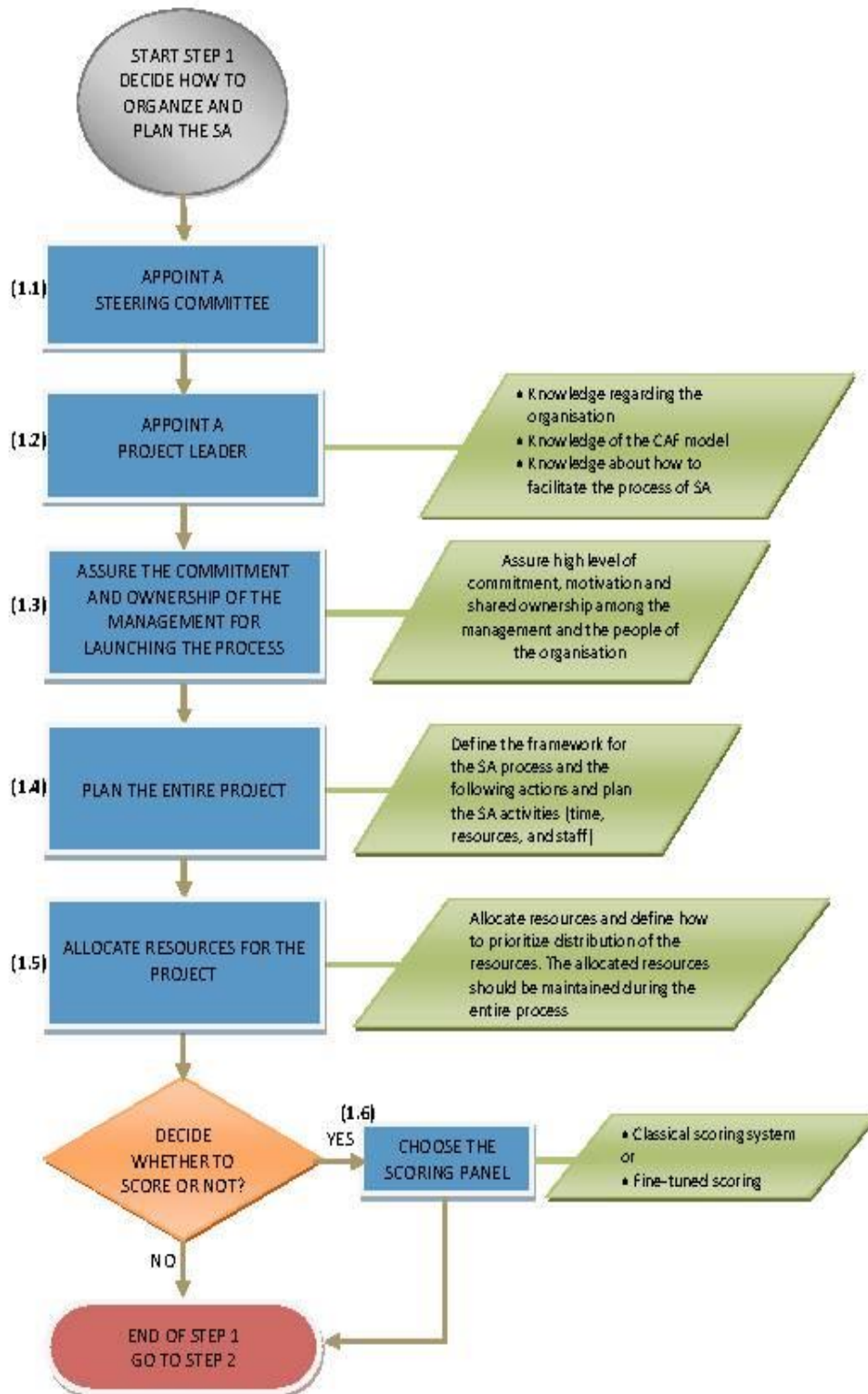
No	Name of Municipality
1	Municipality of Ilion
2	Municipality of Heraklion
3	Municipality of Ierapetra
4	Municipality of Nea Ionia
5	Municipality of Argyroupoli
6	Municipality of Amarousion
7	Municipality of Kalamaria
8	Municipality of Karpenissi
9	Municipality of Kavala
10	Municipality of Thessaloniki
11	Municipality of Voula
12	Municipality of Xanthi
13	Municipality of Hersonissos
14	Municipality of Kerkyra
15	Municipality of Perama
16	Municipality of Pylaia – Chortiati
17	Municipality of Halandri
18	Municipality of Amfikleia
19	Municipality of Vamou
20	Municipality of Gaziou
21	Municipality of Geropotamou
22	Municipality of Zografou
23	Municipality of Itanou
24	Municipality of Kallikratias – Chalkidiki
25	Municipality of Katerini
26	Municipality of Kouloukona
27	Municipality of Malion
28	Municipality of Mygdonias – Thessaloniki
29	Municipality of N. Kazantzaki
30	Municipality of Neapoli

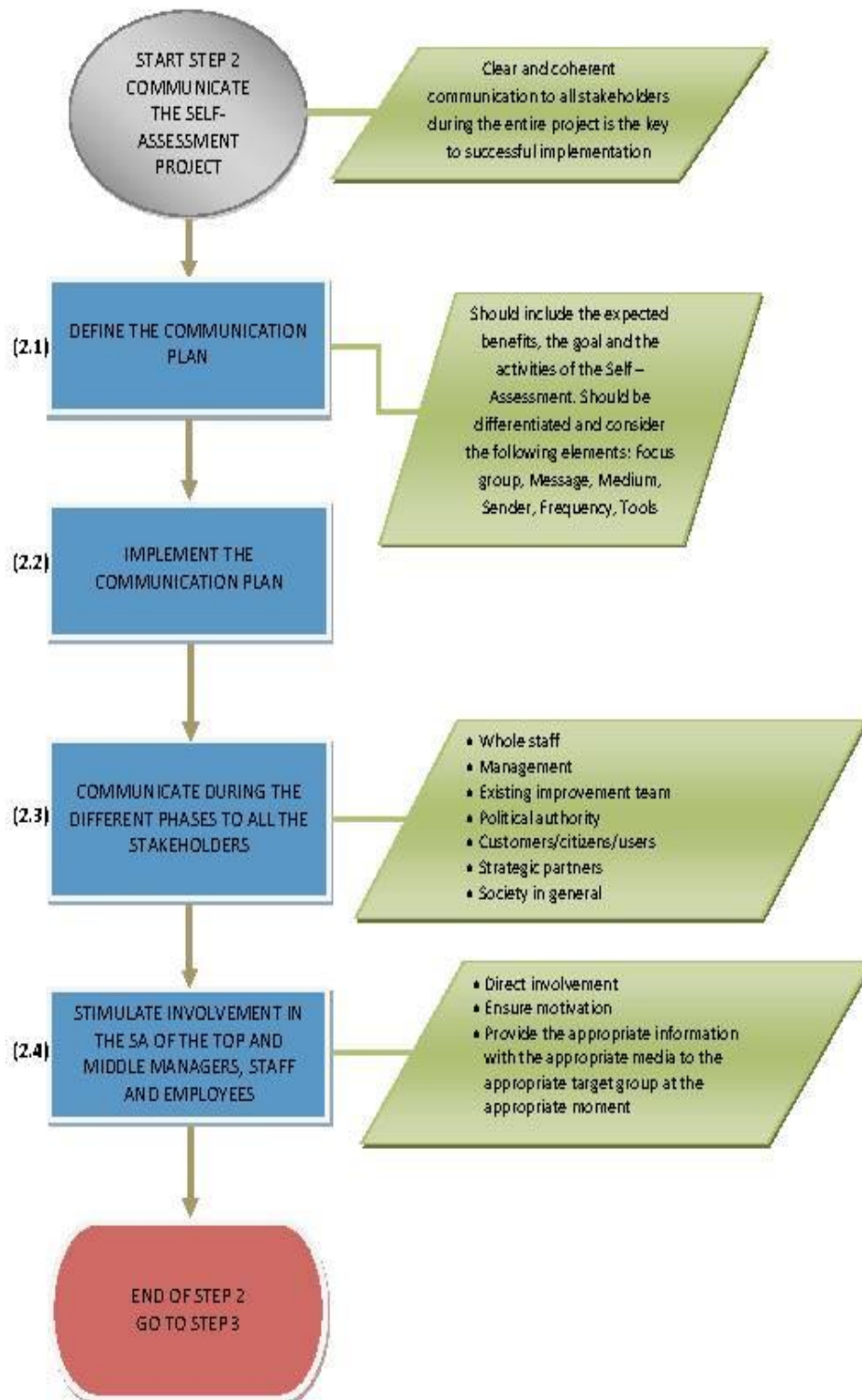
31	Municipality of Nea Penteli
32	Municipality of Nea Ionia – Magnisia
33	Municipality of Patra
34	Municipality of Petroupoli
35	Municipality of Souda

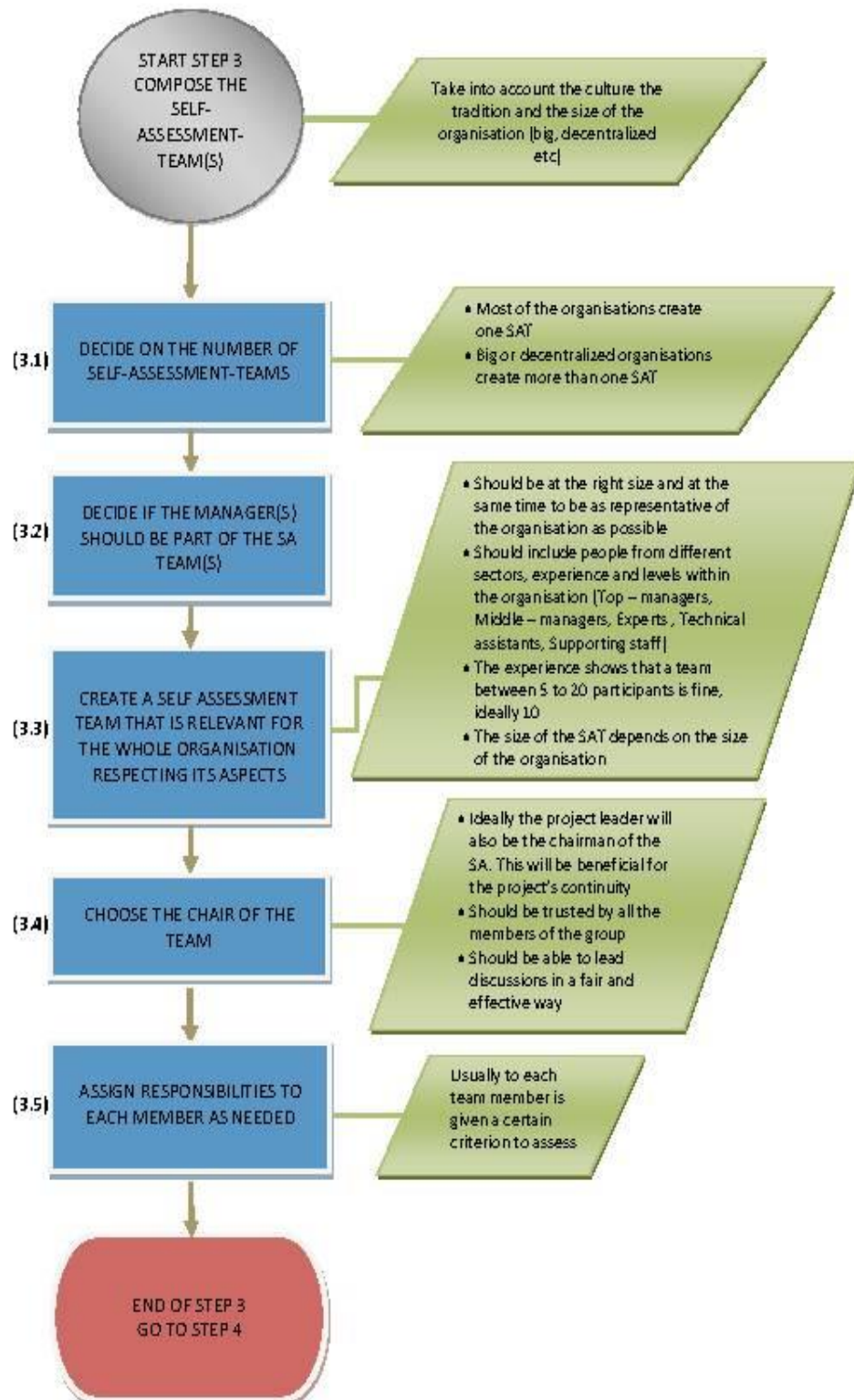
Appendix 10- Steps to be followed in order to implement CAF

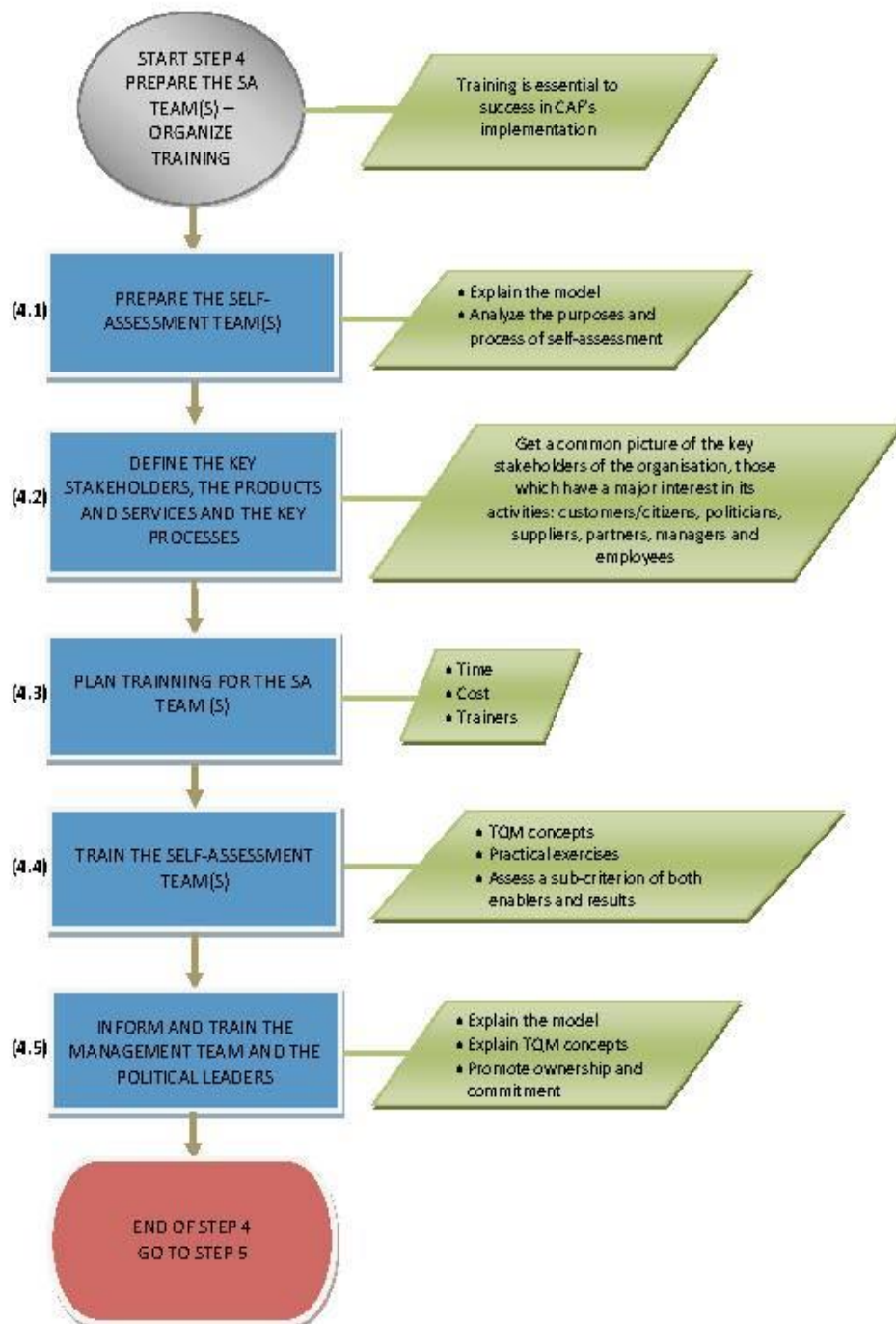


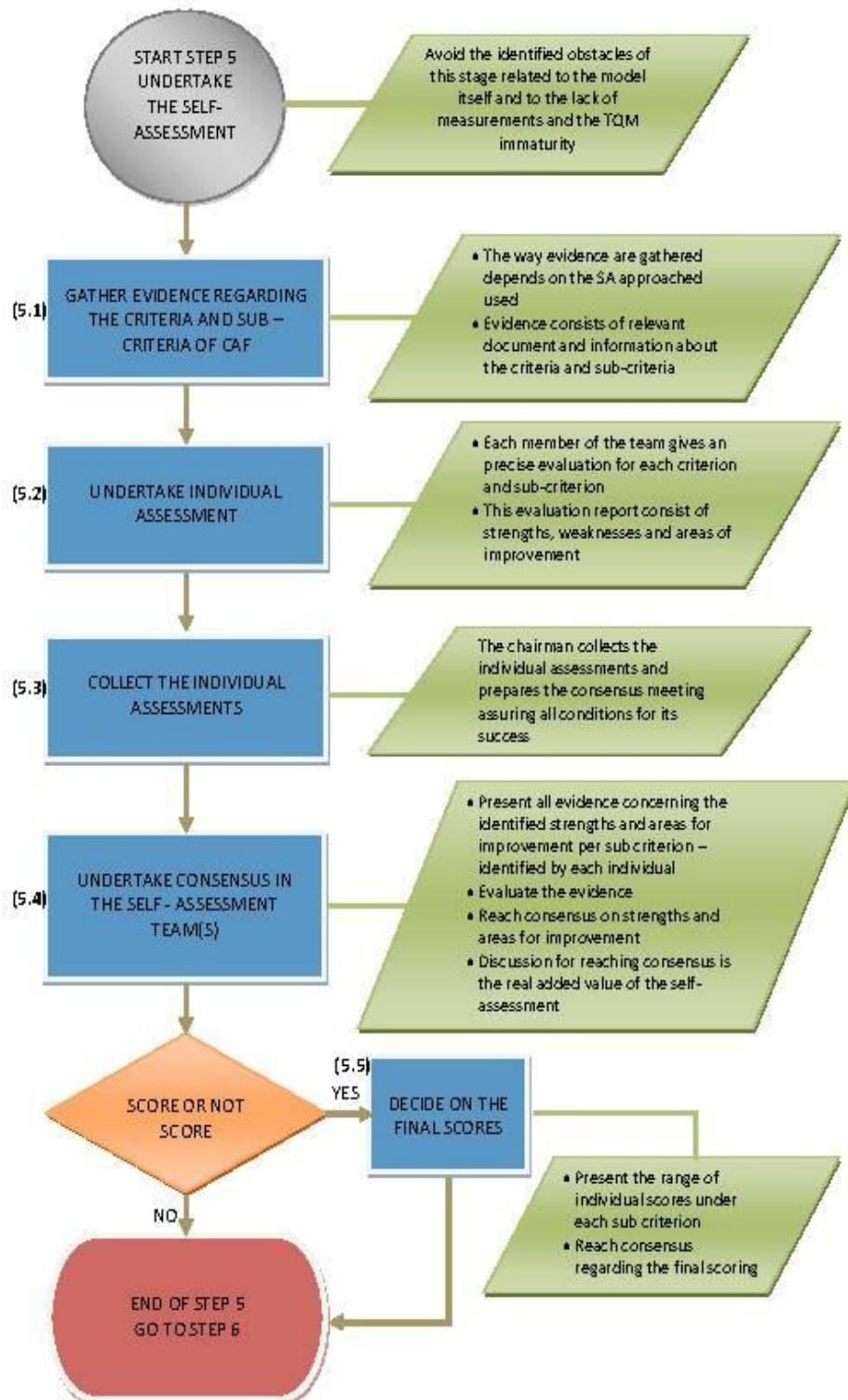


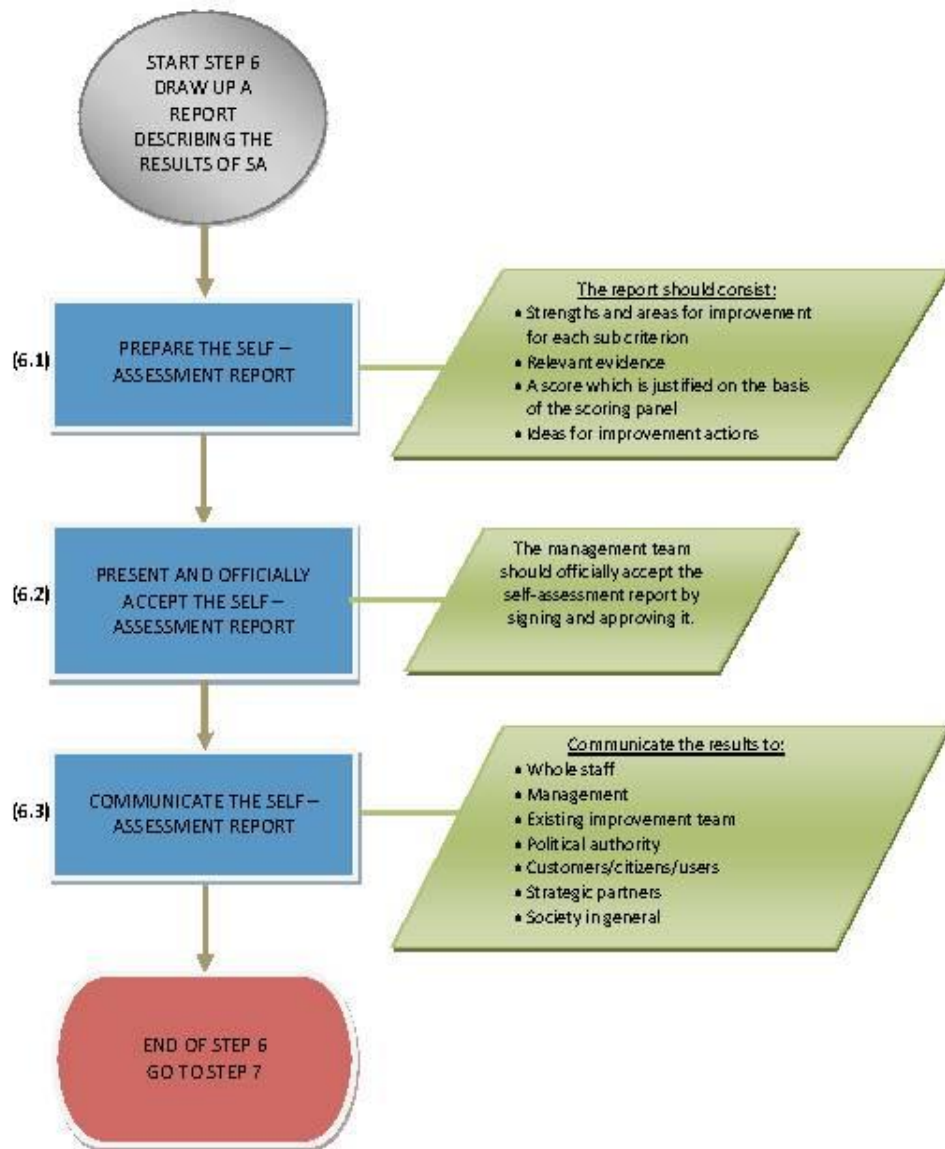


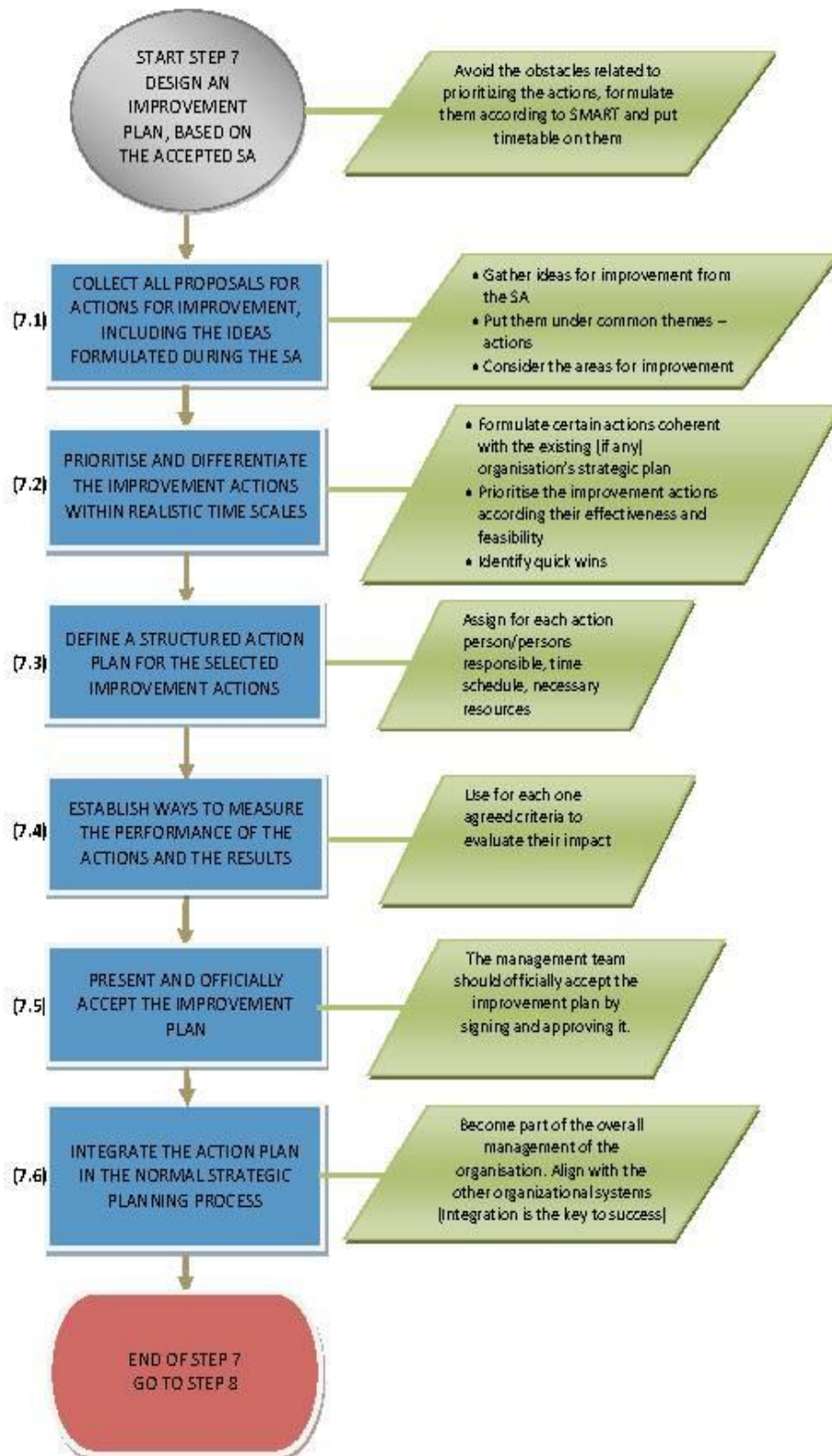


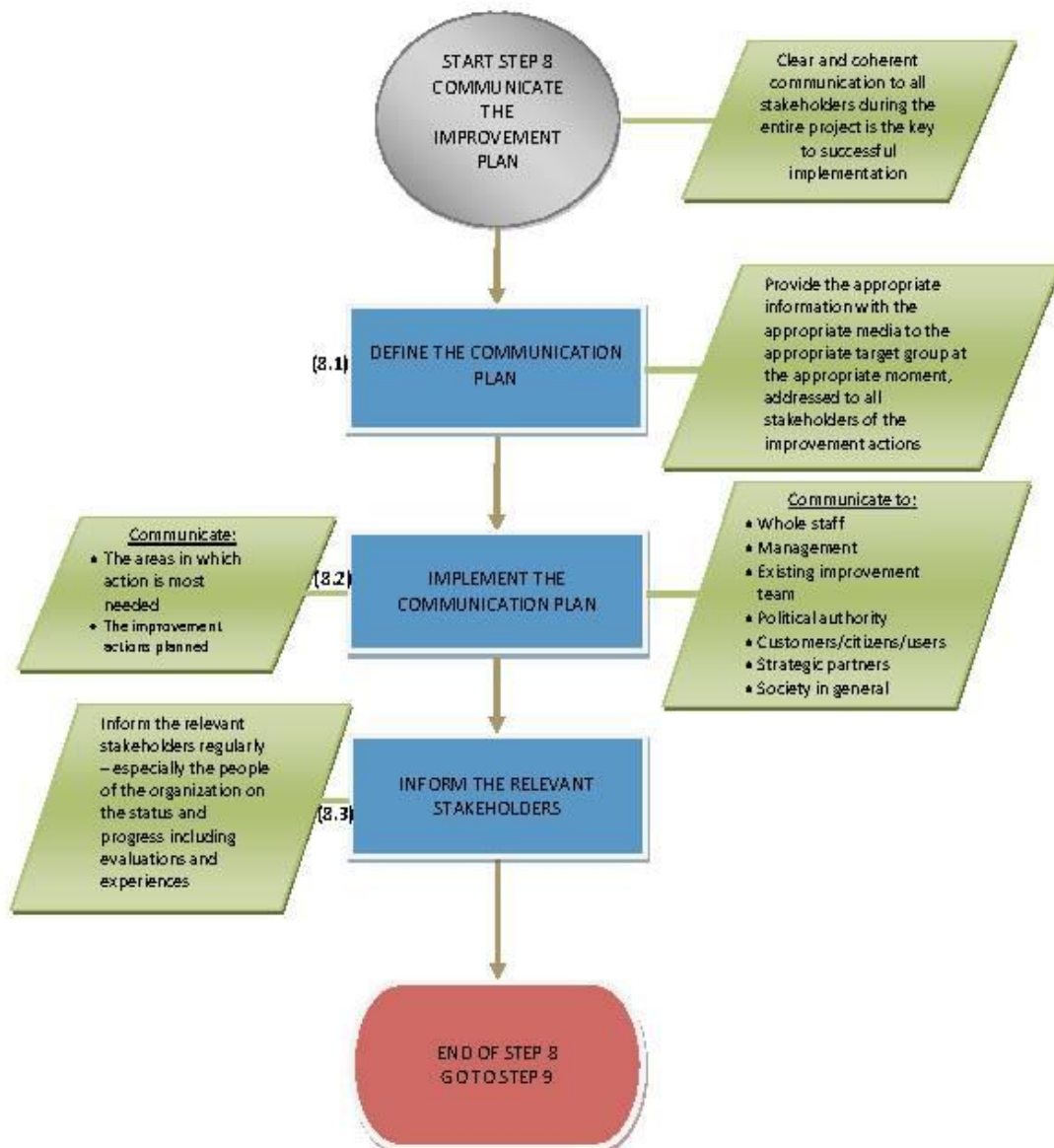


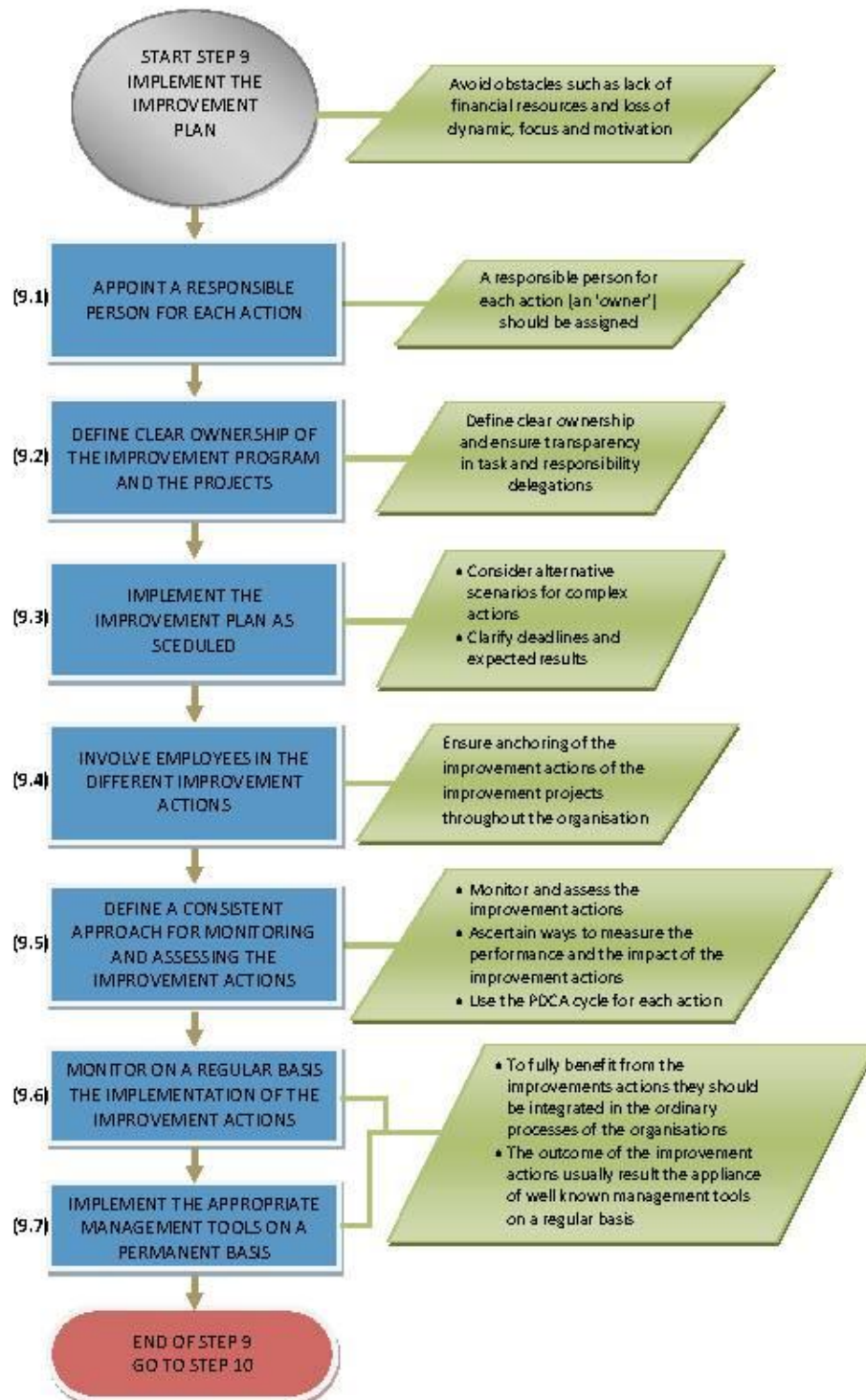


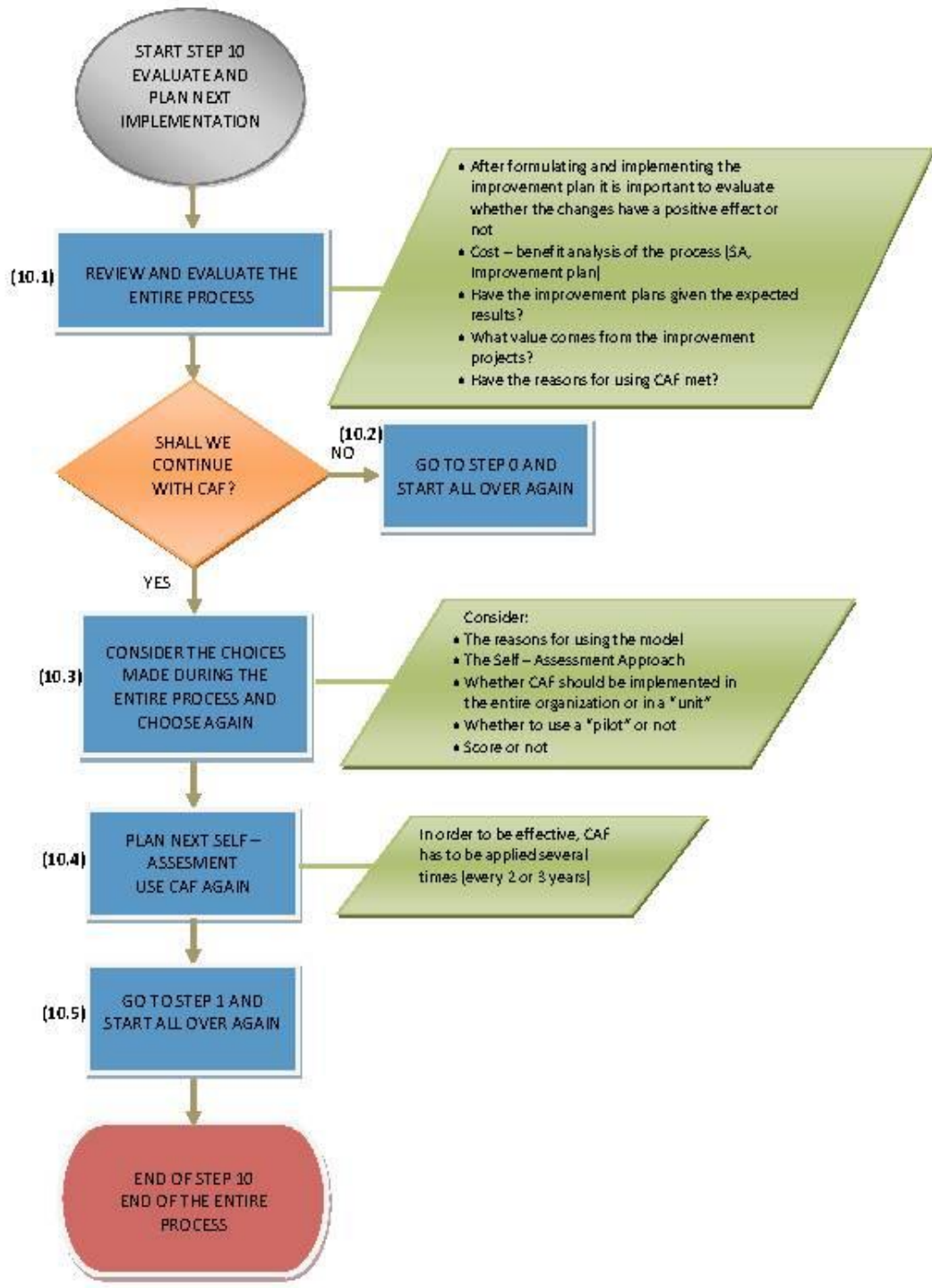












Flowcharting symbols



Appendix 11 – Choice of Research Strategies

Table: Relevant Situations for Different Research Strategies

<i>Strategy</i>	<i>Form of Research Question</i>	<i>Requires control over behavioural events</i>	<i>Focuses on contemporary events</i>
<i>Experiment</i>	How, Why	Yes	Yes
<i>Survey</i>	Who, What, Where, How many, How much	No	Yes
<i>Archival Analysis</i>	Who, What, Where, How many, How much	No	Yes/No
<i>History</i>	How, Why	No	No
<i>Case Study</i>	How, Why	No	Yes

Source: Yin (1994, p.6) quoted at Davies (2004, p. 102)

Appendix 12 – Information Sheet for the Mayor or the General Secretary

The implementation of Common Assessment Framework in Greek Local Authorities

Data Collection process in Case Study Organizations

Information Sheet for the Mayor or the General Secretary

1. General Issues

First of all, I would like to thank you for your initial interest to participate in this PhD study.

The aim of this study is to find out how CAF has been implemented, in times of an unstable macro-environment, by examining a number of cases.

The Objectives of this study are:

- To explore how CAF has been implemented in a number of cases, in order to identify the critical factors for successful implementation, in times of an unstable macro-environment.
- To investigate why CAF has been implemented successfully in certain cases and why it had been unsuccessfully implemented in others in times of an unstable macro-environment

Hence the Key research question in order for the above aim and objectives to be met is:

How external macro-environmental factors affect CAF's successful implementation?

While the secondary research questions are:

1. What are the critical success factors that affect the implementation of CAF in times of an unstable macro - environment?
2. What is the theoretical framework for the implementation of CAF, in times of an unstable macro - environment?
3. How has CAF been implemented in a number cases, in times of an unstable macro - environment?

4. Why has the implementation of CAF been successful or unsuccessful in a number of cases in times of an unstable macro - environment?

As part of a PhD research study, it is likely that there might be some publications of the results in academic and managerial journals.

Each of the cases will be made anonymous and no individuals will be identified. This anonymity is assuring that the participants will feel safe in providing information for the period of the implementation of CAF in your Municipality, without hesitating. This will help to increase the validity and reliability of the data collected.

2. Data Collection elements

Data will be collected via the following source of evidence:

1. Profile of the Case study Organization and of the department that had implemented CAF (using archival records)
2. Interviews with the people (no more than 5) that were involved in the process of implementing CAF
3. Documents that will be examined that were relevant with the process of CAF's implementation

2.1 Profile of the Municipality and of the department that implemented CAF with a sort profile of this implementation

In this letter you will find attached a consent form and a pro-forma questionnaire entitled "Municipality's Profile regarding CAF".

The consent form is for you to sign in order to agree on the terms and conditions of the participation of your Municipality in the study.

The questionnaire is for providing the profile of the organization that implemented CAF either as a whole or as a department. Please fill this form in order for me to decide whether your Municipality will be included as a case study in the research. This decision will be made on the basis of the CAF implementation process that you followed and whether you were finished the implementation process or not. Regardless if you will be selected as a case

study or not the outcomes of the research will be send to you and the researcher will be at your disposal for any queries you might have regarding CAF. With your participation you are gaining a free study for the process of implementing CAF

Please send the completed form at the email: A.Tasios@edu.salford.ac.uk. If you face any trouble or have any queries when filling the questionnaire, please do not hesitate to contact me either on my email address or over phone (+30 6974031784).

2.2 Interviews with the people that were involved in the process of implementing CAF.

If your Municipality will be selected I will interview no more than 5 persons that participated in CAF's implementation process. It is estimated that each interview will take no more than two hours. For the interview it is required a room to contact each interviewee in person, which would be free of interruptions from other colleagues or telephone calls.

The interview will be structured with both open and close questions. Its structure is derived from the theoretical framework that has been constructed for implementing CAF based on the literature.

It will be very helpful for the interviewees, for their convenience, to have with them during the interview their personal diaries from the implementation period in order to be able to confirm important dates and actions in the implementation process.

The interview will be recorded twofold. First of all I will take notes during the interview of the interviewees' responses. Secondly the interview will be digitally recorded (with your agreement and with the agreement of each interviewee individually). Each electronic file of the digital recorder will be kept in a secure place and will be used only for checking the interviewees' responses. This process will assure that each interviewee will be able to verify his/her responses and also that the interviewer will be able to confirm his notes. I will not write up a word - for - word transcript of the interview since my intention is to capture and confirm the mentioned key points.

At the end of each visit a draft of the interviews will be send to each interviewee in order to verify the notes taken, thus ensure the accuracy of the entire research.

2.3 Examination of documents associated with CAF's implementation process

The researcher in order to reduce any disadvantages of the data collection methods used, is using the triangulation tactic as it is suggested by several researcher experts. This tactic is expected to advance the validity of the research. Hence it will be needed to access any documents that could provide useful information about the implementation process. The following list gives an example of the sort of documents that might be relevant:

- Letters, memoranda.
- Agendas and minutes of meetings.
- Reports.
- Project plans, progress reports.
- Strategic or business plans.
- Newsletters.
- Presentations.
- Self-assessment reports.
- Improvement planning, action and review documents.

3. Anonymity and confidentiality of the research

In the entire process anonymity and confidentiality will be kept. First of all the LAs will not be mention in the study with their names, but they will given a certain letter (Case A, Case B, Case C). Secondly the individuals that will be interviewed will not be mention using their names, but only their job title. The data retrieved during the entire study (documents, archival records, transcript interviews, digital files of the interviews, so on) will be kept in a secure place that only the researcher has the permission to access.

CONSENT FORM

Title of the Study:

The implementation of Common Assessment Framework in Greek Local Authorities

Name of the Researcher:

Aristidis Tasios, PhD student, Salford Business School, University of Salford, United Kingdom

Please Tick the Box

- 1 I, the undersigned confirm that I have read and understood the information sheet and have had the opportunity to ask questions about the project
- 2 I understand that the Municipality's participation in this study is voluntary and can be withdrawn any time during the study without giving any specific reasons
- 3 I agree for the Municipality to take part in the study
- 4 I agree for the interviews to be digitally recorded if the interviewees are agreeing on that
- 5 I agree for the interviews to be written down, to be sent back to the interviewees, in order for them to agree on the context
- 6 I agree that the Municipality will be quoted anonymously in the study and in any other publications may occur

Name: _____

Date: _____

Signature:

Appendix 13 – Information Sheet for the Interviewees

The implementation of Common Assessment Framework in Greek Local Authorities

Data Collection process in Case Study Organizations

Information Sheet for interviewees

1. General Issues

First of all I would like to thank you for contributing with your participation in this PhD study.

The aim of this study is to find out how CAF has been implemented, in times of an unstable macro-environment, by examining a number of cases.

The Objectives of this study are:

- To explore how CAF has been implemented in a number of cases, in order to identify the critical factors for successful implementation, in times of an unstable macro-environment.
- To investigate why CAF has been implemented successfully in certain cases and why it had been unsuccessfully implemented in others in times of an unstable macro-environment

Hence the Key research question in order for the above aim and objectives to be met is:

How external macro-environmental factors affect CAF's successful implementation?

While the secondary research questions are:

1. What are the critical success factors that affect the implementation of CAF in times of an unstable macro - environment?
2. What is the theoretical framework for the implementation of CAF, in times of an unstable macro - environment?
3. How has CAF been implemented in a number cases, in times of an unstable macro - environment?

4. Why has the implementation of CAF been successful or unsuccessful in a number of cases in times of an unstable macro - environment?

As part of a PhD research study, it is likely that there might be some publications of the results in academic and managerial journals.

As it was agreed with the Mayor and/or General Secretary each of the cases will be made anonymous and no individuals will be identified. This anonymity is assuring that the participants will feel safe in providing information for the period of the implementation of CAF in your Municipality. This will help to increase the validity and reliability of the data collected.

2. Data Collection elements

Data will be collected via the following source of evidence:

1. Profile of the Case study Organization and of the department that had implemented CAF (using archival records)
2. Interviews with the people (yourself and no more than 4 others) that were involved in the process of implementing CAF.
3. Documents that will be examined that were relevant with the process of CAF's implementation

For you it is only required to read the following information regarding the interview and to sign the consent form. Additionally, in this form you will find attached the "interview questions", in order for you to prepare.

3. Interviews with the people that were involved in the process of implementing CAF.

In your Municipality I will interview no more than 5 persons that participated in CAF's implementation process. It is estimated that each interview will take no more than two hours. For the interview it is required a room to contact each interviewee in person, which would be free of interruptions from other colleagues or telephone calls.

The interview will be structured with both open and close questions. Its structure is derived from the theoretical framework that has been constructed for implementing CAF based on the literature.

It will be very helpful for the interviewees, for their convenience, to have with them during the interview their personal diaries from the implementation period in order to be able to confirm important dates and actions in the implementation process and any other document of section 4 of this sheet, will help them answer the interview questions.

The interview will be recorded twofold. First of all I will take notes during the interview of the interviewees' responses. Secondly the interview will be digitally recorded (with your agreement). Each electronic file of the digital recorder will be kept in a secure place and will be used only for checking the interviewees' responses. This process will assure that each interviewee will be able to verify his/her responses and also that the interviewer will be able to confirm his notes. I will not write up a word - for - word transcript of the interview since my intention is to capture and confirm the mentioned key points.

At the end of each visit a draft of the interviews will be send to each interviewee in order to verify the notes taken, thus ensure the accuracy of the entire research.

4. Examination of documents associated with CAF's implementation process

The researcher in order to reduce any disadvantages of the data collection methods used, is using the triangulation tactic as it is suggested by several researcher experts. This tactic is expected to advance the validity of the research. Hence it will be needed to access any documents that could provide useful information about the implementation process. The following list gives an example of the sort of documents that might be relevant:

- Letters, memoranda.
- Agendas and minutes of meetings.
- Reports.
- Project plans, progress reports.
- Strategic or business plans.
- Newsletters.
- Presentations.

- Self-assessment reports.
- Improvement planning, action and review documents.

5. Anonymity and confidentiality of the research

In the entire process anonymity and confidentiality will be kept. First of all the LAs will not be mentioned in the study with their names, but they will be given a certain letter (Case A, Case B, Case C). Secondly the individuals that will be interviewed will not be mentioned using their names, but only their job title. The data retrieved during the entire study (documents, archival records, transcript interviews, digital files of the interviews, so on) will be kept in a secure place that only the researcher has the permission to access.

CONSENT FORM

Title of the Study:

The implementation of Common Assessment Framework in Greek Local Authorities

Name of the Researcher:

Aristidis Tasios, PhD student, Salford Business School, University of Salford, United Kingdom

Please Tick the Box

- 1 I, the undersigned confirm that I have read and understood the information sheet and have had the opportunity to ask questions about the project
- 2 I understand that my participation in this study is voluntary and can be withdrawn any time during the study without giving any specific reasons
- 3 I agree to take part in the study
- 4 I agree for the interview to be digitally recorded
- 5 I agree for the interviews to be written down, to be sent back to me, in order to agree on the context
- 6 I agree that I will be quoted anonymously in the study and in any other publications may occur

Name: _____

Date: _____

Signature:

Appendix 14 – Questionnaire about Municipality’s profile regarding CAF

Municipality’s Profile regarding CAF

1. Municipality (name): _____
2. When was CAF implemented for the first time? _____
3. How many times CAF has been implemented so far? _____
4. Give the exact periods of these implementations: _____
5. How long took to implement CAF? _____
6. Was CAF implemented in the entire organization or in a department?

 If yes, in which department: _____
7. Did the implementation of CAF result a self-assessment report?
 (yes/no): _____
8. Did the implementation of CAF lead to the adaption of a TQM system/technique? (yes/no): _____
9. Did the implementation of CAF result to benchmarking with other organizations?
 (yes/no): _____
10. Have you implemented an improvement plan as a result of CAF
 (yes/no): _____
 If yes,
 - i. To what extent did this improvement plan align with the strategic plan of your organization

Not at all	To a small extent	To a large extent	Totally

- ii. To what extent did this improvement plan align with the day-to-day operation of your organization

Not at all	To a small extent	To a large extent	Totally

- iii. How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the self-assessment report

< 25%	25% - 50%	50% - 75%	75%>

11. Did the implementation of CAF achieve the expected results?

Not at all	To a small extent	To a large extent	Totally

12. To what extent CAF connected with the other TQM systems of your organization?

Not at all	To a small extent	To a large extent	Totally

13. How would you evaluate your organization regarding the maturity of CAF's implementation?

Entry Level	Media Level	High Level

14. Would you evaluate the implementation of CAF to your organization as effective?

Not at all	To a small extent	To a large extent	Totally

15. Would you implement CAF again? (yes/no):_____

Appendix 15 – Questionnaire about Municipality’s profile regarding CAF – The answers of the organizations

1	Municipality (name)	D	H	I	AG
2	When was CAF implemented for the first time	It only started	It only started	It only started	It only started
3	How many times CAF has been implemented so far?	None	None	None	None
4	Give the exact periods of these implementations	-	-	-	-
5	How long has it taken to implement CAF	-	-	-	-
6	Was CAF been implemented in the entire organization or in a department	-	-	-	-
	If yes, in which department	-	-	-	-
7	Did the implementation of CAF resulted a self-assessment report	-	-	-	-
8	Did the implementation of CAF led to the adaption of a TQM system/technique	-	-	-	-
9	Did the implementation of CAF resulted benchmarking with other organizations	-	-	-	-
10	Have you implemented an improvement plan as a result of CAF	-	-	-	-
i	To what extent does this improvement plan is aligned with the strategic plan of your organization	-	-	-	-
ii	To what extent does this improvement plan is aligned with the day-to-day operation of your organization	-	-	-	-
iii	How many of the improvement actions proposed in your improvement plan have been implemented in a years’ time after the SA report	-	-	-	-
11	Has the implementation of CAF achieved the expected results	-	-	-	-
12	To what extent has CAF connected with the other TQM systems of your organization?	-	-	-	-
13	How would you evaluate your organization regarding the maturity of CAF’s implementation?	-	-	-	-
14	Would you evaluate the implementation of CAF to your organization as effective?	-	-	-	-
15	Would you implement CAF again?	-	-	-	-

(continuing from previous page)

1	Municipality (name)	N	Q	AH
2	When was CAF implemented for the first time	2012 It only started	2010	2007
3	How many times CAF has been implemented so far?	1	1	1
4	Give the exact periods of these implementations	-	-	-
5	How long has it taken to implement CAF	-	4 months	3 months
6	Was CAF been implemented in the entire organization or in a department	-	In the entire organization	In two departments
	If yes, in which department	-	-	Economic Dep And Dep of Public Works
7	Did the implementation of CAF resulted a self-assessment report	-	YES	YES
8	Did the implementation of CAF led to the adaption of a TQM system/technique	-	NO	NO
9	Did the implementation of CAF resulted benchmarking with other organizations	-	NO	NO
10	Have you implemented an improvement plan as a result of CAF	-	NO	NO
i	To what extent does this improvement plan is aligned with the strategic plan of your organization	-	-	-
ii	To what extent does this improvement plan is aligned with the day-to-day operation of your organization	-	-	-
iii	How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the SA report	-	-	-
11	Has the implementation of CAF achieved the expected results	-	To a small extent	To a small extent
12	To what extent has CAF connected with the other TQM systems of your organization?	-	To a small extent	Not at all
13	How would you evaluate your organization regarding the maturity of CAF's implementation?	-	Entry Level	Entry Level
14	Would you evaluate the implementation of CAF to your organization as effective?	-	To a small extent	To a small extent
15	Would you implement CAF again?	YES	NO	YES

(continuing from previous page)

1	Municipality (name)	A	V
2	When was CAF implemented for the first time	2007	2008
3	How many times CAF has been implemented so far?	1	1
4	Give the exact periods of these implementations	-	-
5	How long has it taken to implement CAF	3 months	ON GOING
6	Was CAF been implemented in the entire organization or in a department	In a department	In a department
	If yes, in which department	Administrative Department	Administrative Dep Economic Dep And Dep of Public Works
7	Did the implementation of CAF resulted a self-assessment report	YES	YES
8	Did the implementation of CAF led to the adaption of a TQM system/technique	YES	YES
9	Did the implementation of CAF resulted benchmarking with other organizations	NO	YES
10	Have you implemented an improvement plan as a result of CAF	YES	YES
i	To what extent does this improvement plan is aligned with the strategic plan of your organization	To a great extent	Totally
ii	To what extent does this improvement plan is aligned with the day-to-day operation of your organization	To a great extent	To a great extent
iii	How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the SA report	50% - 75%	>75%
11	Has the implementation of CAF achieved the expected results	To a great extent	To a great extent
12	To what extent has CAF connected with the other TQM systems of your organization?	To a small extent	Totally
13	How would you evaluate your organization regarding the maturity of CAF's implementation?	Maturing Level	Advanced Level
14	Would you evaluate the implementation of CAF to your organization as effective?	To a great extent	To a great extent
15	Would you implement CAF again?	YES	YES

(continuing from previous page)

1	Municipality (name)	G	F
2	When was CAF implemented for the first time	2008	2003, 2007, 2009
3	How many times CAF has been implemented so far?	1	3
4	Give the exact periods of these implementations	-	2007, 2009
5	How long has it taken to implement CAF	4 months	3-6 months
6	Was CAF been implemented in the entire organization or in a department	In the entire organization	In the entire organization
	If yes, in which department	-	-
7	Did the implementation of CAF resulted a self-assessment report	YES	YES
8	Did the implementation of CAF led to the adaption of a TQM system/technique	YES	YES
9	Did the implementation of CAF resulted benchmarking with other organizations	NO	NO
10	Have you implemented an improvement plan as a result of CAF	YES	YES
i	To what extent does this improvement plan is aligned with the strategic plan of your organization	To a small extent	To a great extent
ii	To what extent does this improvement plan is aligned with the day-to-day operation of your organization	To a small extent	To a great extent
iii	How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the SA report	25% - 50%	25% - 50%
11	Has the implementation of CAF achieved the expected results	To a small extent	To a great extent
12	To what extent has CAF connected with the other TQM systems of your organization?	Not at all	To a great extent
13	How would you evaluate your organization regarding the maturity of CAF's implementation?	Maturing Level	Advanced Level
14	Would you evaluate the implementation of CAF to your organization as effective?	To a great extent	To a great extent
15	Would you implement CAF again?	YES	YES

(continuing from previous page)

1	Municipality (name)	J
2	When was CAF implemented for the first time	2007
3	How many times CAF has been implemented so far?	3
4	Give the exact periods of these implementations	2007, 2010, 2011
5	How long has it taken to implement CAF	4 months, 10 months, 12 months
6	Was CAF been implemented in the entire organization or in a department	In a department (different each time)
	If yes, in which department	Dep. Of Youth and Sports, Dep. Of Municipal Status, Dep. Of Road Constructions
7	Did the implementation of CAF resulted a self-assessment report	Yes
8	Did the implementation of CAF led to the adaption of a TQM system/technique	Yes
9	Did the implementation of CAF resulted benchmarking with other organizations	No
10	Have you implemented an improvement plan as a result of CAF	Yes
i	To what extent does this improvement plan is aligned with the strategic plan of your organization	To a great extent
ii	To what extent does this improvement plan is aligned with the day-to-day operation of your organization	Totally
iii	How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the SA report	>75%
11	Has the implementation of CAF achieved the expected results	To a great extent
12	To what extent has CAF connected with the other TQM systems of your organization?	To a great extent
13	How would you evaluate your organization regarding the maturity of CAF's implementation?	Maturing Level
14	Would you evaluate the implementation of CAF to your organization as effective?	To a great extent
15	Would you implement CAF again?	Yes

(continuing from previous page)

1	Municipality (name)	O	P
2	When was CAF implemented for the first time	2009	2013
3	How many times CAF has been implemented so far?	1	1
4	Give the exact periods of these implementations	-	-
5	How long has it taken to implement CAF	3 months	6-7 months
6	Was CAF been implemented in the entire organization or in a department	In a department	In the entire organization
	If yes, in which department	Citizens' Service Dep.	-
7	Did the implementation of CAF resulted a self-assessment report	YES	YES
8	Did the implementation of CAF led to the adaption of a TQM system/technique	NO	NO
9	Did the implementation of CAF resulted benchmarking with other organizations	YES	NO
10	Have you implemented an improvement plan as a result of CAF	YES	YES (on going)
i	To what extent does this improvement plan is aligned with the strategic plan of your organization	To a small extent	To a great extent
ii	To what extent does this improvement plan is aligned with the day-to-day operation of your organization	To a small extent	Totally
iii	How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the SA report	50% - 75%	25% - 50%
11	Has the implementation of CAF achieved the expected results	To a great extent	Totally
12	To what extent has CAF connected with the other TQM systems of your organization?	Not at all	Not at all
13	How would you evaluate your organization regarding the maturity of CAF's implementation?	Maturing Level	Entry Level
14	Would you evaluate the implementation of CAF to your organization as effective?	To a great extent	To a great extent
15	Would you implement CAF again?	NO	YES

Appendix 16 – The Interview questionnaire

CAF IMPLEMENTATION INTERVIEW QUESTIONS

Person Interviewed: _____

Municipality: _____

Position: _____

Role in CAF's implementation process: _____

Date: _____

1. Taking into account the organization's culture

1.1 When was CAF considered for the first time?

1.2 In order to decide whether to implement CAF or not, was the Municipality's quality culture assessed?

(If yes, how? When? By whom?)

1.2.1 What aspects were taken into consideration?

(How? When? By whom?)

1.3 Were any CAF alternatives considered?

1.3.1 What were the main reasons that CAF was selected instead of its alternatives?

1.4 When the decision for implementing CAF was made?

1.4.1 Who took this decision?

1.5 Was there a decision on the SA approach that would be used?

(If yes, who made that decision? When? How? Which approach of self-assessment was chosen? Why this self-assessment approach was chosen?)

1.6 Was CAF implemented in the entire organization or in a department?

(Who made that decision? How this decision was made? When? Why?)

1.7 Did a pilot implementation take place?

(Who made that decision? How this decision was made? When? Why?)

1.8 Has the organization's culture been affected by the unstable macro-environment?

(If yes Why? How?)

2. Establish Motivation

2.1 Were the motive(s) for using CAF identified?

(If yes, why? How? If no, why not? When? By whom? What were the motive(s)?)

2.2 Were the added value and the benefits of CAF highlighted?

(If yes, why? How? If no, why not? When? By whom?)

2.2.1 What were these benefits?

2.2.2 What was the expected timescale for these benefits to occur?

2.3 Has the motivation for using CAF affected by the unstable macro-environment?

(If yes Why? How?)

3. Gaining senior management and political commitment

3.1 Was there a management decision to implement CAF?

(When? Why? How? By whom? What factors included in the making of this decision? Was this decision fully supported? How?)

3.2 Was there a political decision to implement CAF?

(When? Why? How? By whom? What factors included in the making of this decision? Was this decision fully supported? How?)

3.3 Was the commitment and ownership of the Management for initiating the process assured?

(Why?)

3.3.1 Which actions were taken to gain senior management commitment?

(How? (When were these actions taken? By Whom?)

3.3.2 Which actions were taken to ensure senior management involvement?

(How? When were these actions taken? By Whom?)

3.4 Did the managers participate in the SA teams?

(Why? What were the criteria of that choice?)

3.5 Was training and education organized for political leaders in order to promote ownership and commitment?

(Why? How? When? By whom?)

3.5.1 What did that training include?

3.6 Was training and education organized for senior managers in order to promote ownership and commitment?

(Why? How? When? By whom?)

3.6.1 What did that training include?

3.7 Was the SA report officially presented?

(Why? How? When? By whom? To whom?)

3.8 Was the SA report officially accepted?

(Why? How? When? By whom?)

3.9 Was the improvement plan officially presented?

(Why? How? When? By whom? To whom?)

3.10 Was the improvement plan officially accepted?

(Why? How? When? By whom?)

3.11 Has senior management been affected by the unstable macro-environment?

(If yes Why? How?)

3.12 Has political commitment been affected by the unstable macro-environment?

(If yes Why? How?)

4 Planning and organising the entire project

4.1 Was a project leader appointed?

(Why? How? When? By whom?)

4.1.1 Why was this leader chosen?

4.1.2 What training had that project leader received (if any) and when?

4.2 Was a steering committee appointed?

(Why? How? When? By whom?)

4.3 Was the entire project planned?

(How? When? Who was involved in that planning process? What factors were included in that planning?)

4.3.1 Was the pace of implementation considered in that planning process?

(If so how?)

4.4 What resources were allocated?

(When? By whom?)

4.5 Was a decision whether to score or not made?

(If yes why? If no, why not? How? When? By whom?)

4.5.1 Was the scoring panel to be used defined?

(If yes why? If no, why not? When? How? By whom?)

4.5.2 What were the motives for scoring?

4.6 How many SA Teams were created?

(Why? When? Who made that choice? What were the criteria of that choice?)

4.7 How was the selection of the participants in the SA teams made?

(By whom? What were the criteria used for that choice?)

4.8 Did the SA team(s) have a chair?

(Why? Who selected the chair? How was that selection made?)

4.9 Did the SA team members have certain responsibilities?

(Why? Who assigned these responsibilities? How was that choice made?)

4.10 How the SA team(s) prepared for the Self-Assessment?

(When? By whom?)

4.11 Was a plan for training and education prepared?

(Why? How? When? By whom? For whom? What was included in that plan?)

4.12 Were the improvement actions prioritised?

(Why? How? When? By whom?)

4.13 Was a person responsible for the implementation of each improvement action appointed?

(Why? How? When? By Whom?)

4.14 Was a structured action plan defined for the selected improvement actions?

(Why? How? When? By whom? What did that action plan include?)

4.15 Has planning and organising the entire project been affected by the unstable macro-environment?

(If yes Why? How?)

5 Communicate during the different phases to all stakeholders

5.1 Was a communication plan defined?

(How? When? Why? By Whom? To Whom? What did it include?)

5.2 Was this communication plan implemented?

(When? How? By Whom? To Whom?)

5.3 Has this communication plan succeeded?

5.4 Has communication been affected by the unstable macro-environment?

(If yes Why? How?)

6 Assuring employees' commitment and involvement during the entire process

6.1 Which actions were taken to gain employees' commitment?

(Why? When were these actions taken? How? By Whom?)

6.2 Which actions were taken to empower employees?

(Why? When were these actions taken? How? By Whom?)

6.3 Which actions were taken to ensure employees' involvement?

(Why? When were these actions taken? How? By Whom?)

6.4 Were there any rewards or recognition for those participating in the implementation process?

6.5 Has employees' commitment been affected by the unstable macro-environment?

(If yes Why? How?)

6.6 Has employees' involvement been affected by the unstable macro-environment?

(If yes Why? How?)

7 Integration of the use of CAF into the organization and its process

7.1 Was clear ownership of the improvement programme and the projects defined?

(Why? When? How? By Whom?)

7.2 Was the improvement action plan integrated into the normal strategic plan?

(If yes. How? Why? By Whom?)

7.3 How was CAF aligned with other organizational systems (if any)?

7.4 Has integration been affected by the unstable macro-environment?

(If yes Why? How?)

8 Maintaining momentum in the entire process

8.1 How was the progress of the project was monitored and by whom?

(Why?)

8.2 Was the improvement plan implemented as scheduled?

(When? How? By Whom?)

8.2.1 Were employee's involved?

(If yes How?)

8.3 Was the effectiveness of the improvement plan monitored?

(Why? How? By Whom? How often?)

8.4 How was senior management commitment demonstrated throughout the implementation process?

8.4.1 What helped to maintain senior management commitment?

8.4.2 If senior management commitment were lost what affected it?

8.5 How was senior management involvement demonstrated throughout the implementation process?

8.5.1 What helped to maintain senior management involvement?

8.5.2 If senior management involvement were lost what affected it?

8.6 How was employees' commitment demonstrated throughout the implementation process?

8.6.1 What helped to maintain employees' commitment?

8.6.2 If employees' commitment was lost what affected it?

8.7 How was employees' involvement demonstrated throughout the implementation process?

8.7.1 What helped to maintain employees' involvement?

8.7.2 If employees' involvement was lost what affected it?

8.8 Were the allocated resources maintained during the implementation process?

8.8.1 How did that affect the project?

8.9 Was the plan for training and education implemented?

(How? When? By whom? For whom?)

8.10 Was the entire process reviewed and evaluated?

(When? How? By Whom? What did that evaluation include?)

8.11 Was the choice of the scoring panel evaluated?

(When? How? By whom?)

8.12 Was a decision made whether to continue with CAF or not?

(When? How? By Whom?)

8.12.1 If you intend to use CAF again, what, if anything, would you change?

8.12.2 If you don't intend to use CAF again why is that?

8.13 Was the momentum affected by the unstable macro-environment?

(If yes Why? How?)

9 Controlling the pace of the implementation

9.1 Was the pace of implementation?

9.1.1 Too slow?

9.1.2 Too quick?

9.1.3 About right?

9.1.4 Why do you think that?

9.1.5 Who determined the pace of the implementation?

9.1.6 How long did it take to implement CAF?

9.2 Was the pace affected by the unstable macro-environment?
(If yes Why? How?)

10 General issues

10.1 How did the members of the SA team undertake the Self - Assessment?

10.1.1 Did they make up a list of strengths and areas for improvement for each sub criterion?

10.1.2 Did they score?

10.2 How did the SA group reach consensus on strengths and areas for improvement?

10.3 How did the SA group reach consensus on scoring?

10.4 What obstacles did you encounter in the course of the Self - Assessment

10.4.1 What did you do to overcome these obstacles?

10.5 What were the main benefits of the Self - Assessment?

10.6 How was the report regarding the results of the SA prepared?

(When? By Whom?)

10.6.1 What did that include?

10.6.2 Was that report communicated?

(Why? When? How? By whom? To whom?)

10.7 How was the improvement plan developed?

10.7.1 What were the main obstacles encountered in developing the CAF improvement plan?

10.7.2 What did you do to overcome these obstacles?

10.8 What were the main obstacles encountered in implementing the improvement actions of the improvement plan?

10.8.1 What did you do to overcome these obstacles?

10.9 Did the implementation of CAF lead to the adaption of a TQM system/technique

10.10 Did the implementation of CAF result to benchmarking with other organizations?

10.11 To what extent did the improvement plan align with the strategic plan of your organization

Not at all	To a small extent	To a large extent	Totally

10.12 To what extent did the improvement plan align with the day-to-day operation of your organization

Not at all	To a small extent	To a large extent	Totally

10.13 How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the self-assessment report

< 25%	25% - 50%	50% - 75%	75%>

10.14 Did the implementation of CAF achieve the expected results?

Not at all	To a small extent	To a large extent	Totally

10.15 To what extent CAF connected with the other TQM systems of your organization?

Not at all	To a small extent	To a large extent	Totally

10.16 How would you evaluate your organization regarding the maturity of CAF's implementation?

Entry Level	Media Level	High Level

10.17 Would you evaluate the implementation of CAF to your organization as effective?

Not at all	To a small extent	To a large extent	Totally

10.17.1 Why?

10.18 Has anything else that we haven't discussed obstructed CAF's implementation?

10.18.1 How were these obstacles overcome?

10.19 Has anything else that we haven't discussed helped in the CAF implementation?

Appendix 17 – Links between the interview questions and the elements of the theoretical framework

Interview Section / Question		Step/element of the Theoretical Framework	Further Explanation (when needed)
1	Taking into account the organization's culture	A	
1.1	When was CAF considered for the first time?	Step 0	Start of the Process
1.2	In order to decide whether to implement CAF or not, was the Municipality's quality culture assessed?	Step 0.1 Step 0.3	
1.3	Were any CAF alternatives considered?	Step 0.4	
1.4	When the decision for implementing CAF was made?	Step 0.9	
1.5	Was there a decision on the SA approach that would be used?	Step 0.7	
1.6	Was CAF implemented in the entire organization or in a department?	Step 0.8	
1.7	Did a pilot implementation take place?	Step 0.8.1	
1.8	Has the organizations culture affected by the unstable macro-environment?	PESTEL	
2	Establish Motivation	B	
2.1	Were the motive(s), the reasons, for using CAF identified?	Step 0.5	
2.2	Were the added value and the benefits of CAF highlighted?	Step 0.6	
2.3	Has the motivation for using CAF affected by the unstable macro-environment?	PESTEL	

3	Gaining senior management and political commitment	C	
3.1	Was there a management decision to implement CAF?	Step 0.9	
3.2	Was there a political decision to implement CAF?	Step 0.10	
3.3	Was the commitment and ownership of the Management for initiating the process assured?	Step 1.3	
3.4	Did the managers participate in the SA teams?	Step 3.2	
3.5	Was training and education organized for political leaders in order to promote ownership and commitment?	Step 4.5	
3.5.5	What did that training include	Step 4.2	
3.6	Was training and education organized for senior managers in order to promote ownership and commitment?	Step 4.5	
3.6.5	What did that training include	Step 4.2	
3.7	Was the SA report officially presented?	Step 6.2 Step 8.3	
3.8	Was the SA report officially accepted?	Step 6.2	
3.9	Was the improvement plan officially presented?	Step 7.5 Step 8.3	
3.10	Was the improvement plan officially accepted?	Step 7.5	
3.11	Has senior management commitment affected by the unstable macro-environment?	PESTEL	
3.12	Has political commitment affected by the unstable macro-environment?	PESTEL	
4	Planning and organizing the entire project	D	

4.1	Was a project leader appointed?	Step 1.2	
4.2	Was a steering committee appointed?	Step 1.1	
4.3	Was the entire project planned?	Step 1.4	
4.4	What resources were allocated?	Step 1.5	
4.5	Was a decision whether to score or not made?	Step 1.6	
4.6	How many SA Teams were created?	Step 3.1	
4.7	How was the selection of the participants in the SA teams made?	Step 3.3	
4.8	Did the SA team(s) have a chair?	Step 3.4	
4.9	Did the SA team members have certain responsibilities?	Step 3.5	
4.10	How the SA team(s) prepared for the Self-Assessment?	Step 4.1	
4.11	Was a plan for training and education prepared?	Step 4.3	
4.12	Were the improvement actions prioritised?	Step 7.2	
4.13	Was a person responsible for the implementation of each improvement action appointed?	Step 7.3 Step 9.1	
4.14	Was a structured action plan defined for the selected improvement actions?	Step 7.3	
4.15	Has planning and organising the entire project affected by the unstable macro-environment?	PESTEL	

5	Communicate during the different phases to all stakeholders	E	
5.1	Was a communication plan defined?	Step 2.1 Step 2.3 Step 2.4 Step 8.1	
5.2	Was this communication plan implemented?	Step 2.2 Step 2.3 Step 2.4 Step 8.2	
5.3	Has this communication plan succeeded?	-	Identified in the pilot study
5.4	Has communication affected by the unstable macro-environment?	PESTEL	
6	Assuring employees' commitment and involvement during the entire process	F	
6.1	Which actions were taken to gain employees' commitment?	F	Identified through the TQM literature was not in the Steps suggested in CAF's handbooks. It has to do with the entire process and not with a certain step
6.2	Which actions were taken to empower employees?	F	
6.3	Which actions were taken to ensure employees' involvement?	F	
6.4	Were there any rewards or recognition for those participating in the implementation process?	F	
6.5	Has employees' commitment affected by the unstable macro-environment?	PESTEL	
6.6	Has employees' involvement affected by the unstable macro-environment?	PESTEL	
7	Integration of the use of CAF into the organization and its process	G	
7.1	Was clear ownership of the improvement programme and the projects defined?	Step 9.1 Step 9.2	
7.2	Was the improvement action plan integrated into the normal strategic plan?	Step 7.6	

7.3	How was CAF aligned with other organizational systems (if any)	Step 7.6	
7.4	Has integration affected by the unstable macro-environment?	PESTEL	
8	Maintaining momentum in the entire process	H	
8.1	How was the progress of the project was monitored and by whom?	H	Identified through the TQM literature was not in the Steps suggested in CAF's handbooks. It has to do with the entire process and maintaining the momentum and not with a certain step
8.2	Was the improvement plan implemented as scheduled?	Step 9.3	
8.3	Was the effectiveness of the improvement plan monitored?	Step 7.4 Step 9.5 Step 9.6	
8.4	How was senior management commitment demonstrated throughout the implementation process?	C. H	Has to do with the entire process and not with a certain step
8.5	How was senior management involvement demonstrated throughout the implementation process?	C. H	Has to do with the entire process and not with a certain step
8.6	How was employees' commitment demonstrated throughout the implementation process?	F. H Step 9.4	Has to do with the entire process and

8.7	How was employees' involvement demonstrated throughout the implementation process?	F. H Step 9.4	appears in the improvement actions as step 9.4
8.8	Were the allocated resources maintained during the implementation process?	Step 1.5	
8.9	Was the plan for training and education implemented?	Step 4.4 Step 4.5	
8.10	Was the entire process reviewed and evaluated?	Step 10.1 Step 10.3	
8.11	Was the choice of the scoring panel evaluated?	Step 10.3	
8.12	Was a decision made whether to continue with CAF or not?	Step 10.4	
8.13	Was the momentum affected by the unstable macro-environment?	PESTEL	
9	Controlling the pace of the implementation	I	
9.1	Was the pace of implementation?	I	Identified through the TQM literature was not in the Steps suggested in CAF's handbooks. It has to do with the entire process and not with a certain step
9.2	Was pace affected by the unstable macro-environment?	PESTEL	
10	General Issues		
10.1	How did the members of the SA team undertake the Self - Assessment?	Step 5.1 Step 5.2	
10.2	How did the SA group reach consensus on strengths and areas for improvement?	Step 5.3 Step 5.4	

10.3	How did the SA group reach consensus on scoring?	Step 5.5	
10.4	What obstacles did you encounter in the course of the Self – Assessment	Step 5	General question has to do with Step 5
10.5	What were the main benefits of the Self - Assessment?	Step 10.1	
10.6	How was the report regarding the results of the SA prepared?	Step 6.1	
10.6.4	Was that report communicated?	Step 6.3	
10.7	How was the improvement plan developed?	Step 7.1	
10.8	What were the main obstacles encountered in implementing the improvement actions of the improvement plan?	Step 9.3	
10.9	Did the implementation of CAF lead to the adaption of a TQM system/technique	Step 9.7	
10.10	Did the implementation of CAF result to benchmarking with other organizations?	-	General question has to do with issues regarding the time after the CAF's implementation process
10.11	To what extent did the improvement plan align with the strategic plan of your organization	Step 7.6	Identified in the pilot study
10.12	To what extent did the improvement plan align with the day-to-day operation of your organization		Identified in the pilot study
10.13	How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the self-assessment report		Identified in the pilot study
10.14	Did the implementation of CAF achieve the expected results?	Step 10.1	Identified in the pilot study

10.15	To what extent CAF connected with the other TQM systems of your organization?		Identified in the pilot study
10.16	How would you evaluate your organization regarding the maturity of CAF's implementation?		Identified in the pilot study
10.17	Would you evaluate the implementation of CAF to your organization as effective?		Identified in the pilot study
10.18	Has anything else that we haven't discussed obstructed CAF's implementation?		General question has to do with the entire process
10.19	Has anything else that we haven't discussed helped in the CAF implementation?		General question has to do with the entire process

Appendix 18- Ethical Approval



College of Arts & Social Sciences
Room 633 Maxwell Building
The Crescent
Salford, M5 4WT
Tel: 0161 295 5876

28 October 2014

Aristeidis Tasios
University of Salford

Dear Aristeidis

Re: Ethical Approval Application – 140003

I am pleased to inform you that based on the information provided, the Research Ethics Panel have no objections on ethical grounds to your project.

Yours sincerely

Deborah Woodman
On Behalf of CASS Research Ethics Panel

Appendix 19 – Details of the interviewees

Case study “P”

Interviewee	Position	Role in CAF
1	Employee in the Department of Planning and Development	Project leader
2	Employee in the Culture and Volunteering Department	Member of the SA Team
3	Employee in the Department of Planning and Development	Member of the SA Team
4	Employee in the Independent Supply and Warehouse Department	Member of the SA Team
5	Employee in the Independent Supply and Warehouse Department	Member of the SA Team
6	Employee in the Cleaning and Recycling Department	Resigned from the SA Team

Case study “J”

Interviewee	Position	Role in CAF
1	Employee at the General’s Secretary Office	Assistant Project leader
2	Senior Manager at the department of Municipal fees	Senior Manager at the Directorate of Municipal Status and leader at the sub-SA team for the Directorate
3	Employee at the tourism department	Member of the sub - SA Team at the Directorate of Youth and Sports
4	Senior Manager at the Department of Supporting the Municipality’s Political Bodies	Senior Manager at the Directorate of Youth and Sports Status and leader at the sub-SA team for the Directorate
5	Employee at the department of Managing Urban Areas	Member of the sub - SA Team at the Directorate of Road Constructions

Case study “F”

Interviewee	Position	Role in CAF
1	General Secretary	Project leader
2	Employee at the Quality Department Planning and Development	Member of the SA Team
3	Employee at the General Secretary’s office	Member of the quality Team
4	Employee in the Department of Planning and Development	Member of the SA Team

Appendix 20 – Document list of Case study “P”

Document Reference	Document Name and description	Date
P.1	The Planning and Development Department’s Proposal to the Mayor and General Secretary, concerning the goals and the main implementation stages of CAF, titled ‘Proposal for CAF implementation as a tool of constant improvement of the effectiveness of the Municipality’	18/04/2012
P.2	Mayoral Decision concerning the formation and appointment of the members of the Assessment Team (SA), titled: ‘Formation and appointment of the Assessment Team members for the implementation of the Common Assessment Framework- CAF in the Municipality’	6/11/2012
P.3	Assessment team member’s resignation	22/11/2012
P.4	Project Plan	12/2012
P.5	Mayoral Regulation titled: ‘Efficiency and Quality improvement of the municipal services’	04/01/2013
P.6	Mayoral Decision titled: ‘Renewal and appointment of the Assessment Team members concerned with the implementation of the Common Assessment Framework- CAF in the Municipality’	04/01/2013
P.7	General Secretary’s Letter concerning the citizens’ and employees’ research, titled: The Common Assessment Framework- CAF as a tool of constant improvement of the effectiveness of the Municipality’	22/01/2013
P.8	The General Secretary’s Information Letter Introduction of new processes	25/01/2013
P.9	The General Secretary’s Information Letter titled: ‘Documentation collection in relation to CAF framework’	26/02/2013
P.10	Final Report of the 1 st Implementation- PART A- ASSESSMENT	07/2013
P.11	Final Report of the 1 st Implementation- PART B- IMPROVEMENT ACTIONS	07/2014

Appendix 21 – Interview and document analysis of Case study “P”

Interview Section / Question		Step/element of the Theoretical Framework	Interviewee 1 Responses	Interviewee 2 Responses	Interviewee 3 Responses	Interviewee 4 Responses	Interviewee 5 Responses	Document Evidence
1	Taking into account the organization's culture	A						
1.1	When was CAF considered for the first time?	Step 0	In 2012. After a seminar In EAS. It was suggested by a colleague that worked in the District, where it was implemented and awarded	Two years ago, around 2012	In 2012, after a seminar that took place in EAS	In 2012, when the SA team was formed	In 2012 when the SA team was formed	Proposal File number 16227/18-04-2012 by the Programming and Development department to the General Secretary that includes the goals and the basic steps for the implementation of CAF
1.2	In order to decide whether to implement CAF or not, was the Municipality's quality culture assessed?	Step 0.1 Step 0.3	No. There was no prior preoccupation with matters of quality	There is a certain quality control culture in the Municipality, but there was no specific action to study	No, we did not look into it	No, we did not look into it. One of the boroughs that were unified during Kallikratis, had managerial	No, we did not look into it	

				this culture.		capacity and therefore, knowledge in matters that concern quality.		
1.3	Were any CAF alternatives considered?	Step 0.4	No. Never. We thought about ISO, but not as an alternative but as an obligation to be certified in the European Programs' framework. We had an idea of CAF through our colleague in the District	No,	No	No	No	
1.4	When the decision for implementing CAF was made?	Step 0.9	In 2012, by the Mayor in office, after a proposal was made by the General Secretary and after a proposal was made by myself	In 2012 it was decided by the Mayor in office	In 2012 by the Mayor in office after accepting the General Secretary's proposal	In 2012, it was decided by the Mayor in collaboration with the General Secretary, based on the proposal put forward by the Programming Department.	In 2012, it was decided by the Mayor in collaboration with the General Secretary, based on the proposal put forward by the Programming Department	Mayoral Decision with File Number 1775/52471/6-11-2012

1.5	Was there a decision on the SA team approach that would be used?	Step 0.7	No, we followed the method proposed in the Ministry of Interior Guide	No, we followed the Guide. The method selection was done based on the Guide	No, we followed the Guide, so we would feel safe, as far as the method is concerned.	No, we followed the Guide. The method selection was done based on the Guide.	No, we followed the Guide. The method selection was done based on the Guide. The general feeling, we got from the seminar was that for in order for us to have a good result, we should follow the Guide.	The N. 2915/22-01-2013 letter of the General Secretary addressed to the Municipality's Head and employees
1.6	Was CAF implemented in the entire organization or in a department?	Step 0.8	It was implemented in the entire organization, after a decision was made by the Mayor and the General secretary. The proposal was mine, since the size of the Municipality is ideal for it to be implemented entirely.	It was implemented in the entire organization, after it was decided by the Mayor in collaboration with the General Secretary. It was the best choice, in order for us to have a clear picture and avoid complaints from various	To the whole of the organization, minus the Legal Department. The decision was taken by the General Secretary and the project leader, bearing in mind that initially it would have been better to implement it entirely, except from	It was implemented in the entire organization. We wanted a full picture of its implementation and how the departments will interact, It was a decision taken by the Administration and it was a logical one, I believe, in terms of a first time	It was implemented in the entire organization. We wanted a full picture of its implementation, especially at this stage that the Municipality is unified with other boroughs. It was the Administration's decision and I feel it was a	Mayoral Decision N. 1775/52471/6-11-2012 and The General Secretary's letter N. 2915/22-01-2013

				departments.	the Legal Department, which only employs two people. At a later stage, we may only choose to implement it in the big departments. In the seminars we were advised to opt for an implementation to the entire organization.	implementation. Maybe, later on, we will implement it in certain Departments only.	just one	
1.7	Did a pilot implementation take place?	Step 0.8.1	No. We did not even think about a pilot implementation	"No, we implemented it entirely, so we would get it done and out of the way, so there would not be any complaints	No, the pilot was never an option.	"No, we implemented it entirely, after the Administration decided on it.	No, we implemented it entirely, after the Administration decided on it.	
1.8	Has the organization's culture been affected by the unstable macro-environment?	PESTEL	The implementation of CAF was influenced by policies for rationalization and optimization of	No	I do not know about that	I do not know about that	I do not know about that	Proposal File number 16227/18-04-2012 by the Programming and Development department

			<p>public organizations in the country as a result of the economic crisis, continuous publications on low productivity and the level of public services. Additionally at the time of the implementation of the SA report there were some initiatives taken by the Ministry of the Interior that were to make CAF mandatory (there was an upcoming Presidential degree for the evaluation of the public sector based upon the adaption of</p>					<p>to the General Secretary that includes the goals and the basic steps for the implementation of CAF</p>
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			TQM techniques in general, and particular in the adaption of the Balance Scorecard and the implementation of CAF)					
2	Establish Motivation	B						
2.1	Were the motive(s), the reasons, for using CAF identified?	Step 0.5	Yes, we wanted to know more about our organization, the main motive behind it was better self-awareness and ability to improve. It was decided by the G.S. It really helped that the employees were involved in the Self-Assessment group (SA), in the sense that	We did not have a methodic plan, but I believe that it was obvious that the motive was self-awareness as far as where CAF will lead us, as well as the improvement process that will have followed	There was no official motive set out, but our feeling after our participation in the seminars was that the main reason behind the implementation of CAF was the improvement – even slightly – of our Department.	Yes, we wanted to know more about our organization and the main motive was self-awareness and the ability to improve. The motives were set up by the G.S. and the project leader, who supported the whole process.	Yes, we wanted to know more about our organization and the main motive was self-awareness and the ability to improve. The motives were set up by the G.S. and the project leader, who supported the whole process	The No. 2915/22-01-2013 letter of the G.S. to the Head of the Municipality and the Employees

			they were actively involved with the department's improvement proposals. They all felt proud to be part of this team					
2.2	Were the added value and the benefits of CAF highlighted?	Step 0.6	Initially they were highlighted from the G.S. and the Mayor. There was a meeting with the employees and relevant memos were sent. The benefits were expected to be visible in one-year time but we did not reach that target.	Yes, through discussions at the S.A. but not fully. The benefits were expected to be better services for the Municipality and for its citizens. The benefits were expected to be visible after the improvement plan was implemented, but the process was never concluded.	No. From the start, the benefits will be highlighted after the process of the improvement plan has finished.	Yes. It was done by the G.S. and the project leader. The benefits will have been visible within the course of a year.	Yes. It was done by the G.S. and the project leader and the Municipal Councilor in charge, who had some knowledge on the subject of TQM. The results would have been visible during the course of the year.	The G.S.'s letter to the Head of the Municipality and the employees No. 2915/22-01-2013

2.3	Has the motivation for using CAF affected by the unstable macro-environment?	PESTEL	Yes, because we wanted to prepare for the upcoming Presidential decree At the time of the implementation there was initiatives taken by the Minister of the Interior about administrative reforms, and of introducing evaluation methods	No	I do not know about that	I do not know about that	I do not know about that	Proposal File number 16227/18-04-2012 by the Programming and Development department to the General Secretary that includes the goals and the basic steps for the implementation of CAF
3	Gaining senior management and political commitment	C						
3.1	Was there a management decision to implement CAF?	Step 0.9	Yes. It was the Mayor's and G.S.'s decision who hold the highest-ranking position in the Municipality. The Municipal Council was not involved in	Yes. It was the Mayor's and G.S.'s decision and I feel that this decision had the full support of the Administration and the G.S., who was actively	Yes. It was the Mayor's and G.S.'s decision and it included the SA team. The decision had full support through its implementation process.	Yes. It was the Mayor's and G.S.'s decision who hold the highest-ranking position in the Municipality. The decision formed the SA team and	Yes. It was the Mayor's and G.S.'s decision who hold the highest-ranking position in the Municipality. The decision formed the SA team and	The G.S.'s letter No. 2915/22-01-2013

			the decision. The SA team composition and the timeframe of the CAF implementation were included in the decision. The timeframe was not followed.	involved in many meetings. Also, by a Municipal Counselor that was assigned.		outlined the begging of the process. The decision was fully supported during its implementation by the G.S. and a relevant epistle.	outlined the begging of the process. The timeframe was eventually not followed.	
3.2	Was there a political decision to implement CAF?	Step 0.10	Yes, by the Mayor	"No. Just from the side of the Mayor, who is a member of the political leadership	Yes, by the Mayor	Yes by the Mayor. It was not discussed in the Municipal Council.	Yes, by the Mayor	Mayoral Decision, No. 1775/52471/6-11-2012
3.3	Was the commitment and ownership of the Management for initiating the process assured?	Step 1.3	Yes. The Managers and Head of the Departments were briefed for the CAF implementation, there was a memo sent by the G.S., who throughout the process checked the Management's dedication to	There was a commitment, since there was a Regulation in place for the implementation of the CAF. This was also proven during the implementation process, since the Heads of the	There was a commitment, since there was a Regulation in place for the implementation of the CAF. The G.S.'s presence in all the stages of implementation and the SA team helped to ensure the	Not in paper, but in words, as far as the senior managers are concerned. There was communication between the G.S. and the Managers. The relevant Regulation was also distributed	There was a commitment, since there was a Regulation in place for the implementation of the CAF	Mayoral letter, No 426/04-01-2013 and the G.S.'s letter, No 3752/22-01-2013

			<p>the project. Also, members of the Administration participated in the SA team</p>	<p>Departments had to agree on our participation in the CAF, since we had to dedicate our time to it. For the Administration's commitment to the process, the project leader's persistence helped a lot.</p>	<p>Administration's commitment.</p>			
3.4	<p>Did the managers participate in the SA team teams?</p>	Step 3.2	<p>Yes, the managers participated and that helped the Administration's commitment. The selection belongs to the G.S. on the basis of the representativeness of the departments and the will and ability of the participants.</p>	<p>Yes, the managers also participated, and I feel that this helped, because, for instance, my manager, that did not participate, was not happy with me wasting time daily on this. I think that the senior managers' participation helps, since they are</p>	<p>Some of them, yes. The selection was done by the G.S. and the project leader and the participation of managers in the SA team is important, so all the levels of management are represented</p>	<p>No, only 2 of the managers participated in the SA team. The selection was made by the G.S.</p>	<p>Some of them, yes. The selection was made by the G.S.</p>	<p>Mayoral decision, No.1775/524 71/6-11-2012</p>

				committed and get a better picture of the Municipality				
3.5	Was training and education organized for political leaders in order to promote ownership and commitment?	Step 4.5	"No, even though there was a will from the G.S.'s part to present the official results of CAF to the political leadership	No, but I find it important for the political leadership to be educated in matters of management	No, there was not	No, there was not	No, there was not	
3.5.5	What did that training include	Step 4.2						
3.6	Was training and education organized for senior managers in order to promote ownership and commitment?	Step 4.5	The training involved the SA team and the managers that participated in it. Also, some of the managers and Heads of Departments participated in the seminars.	No, there was not for senior administration members. Some of them participated in the SA team seminars only, so they can act as substitute members of the SA team, if there was need.	The training was for the S.A team and the managers that participated in it. There were two seminars, one general and the second more specialized for our Municipality.	The training was for the S.A team and the managers that participated in it.	The training was for the S.A team and the managers that participated in it.	Final Report of the 1 st Implementation – PART A-ASSESSMENT
3.6.5	What did that training include	Step 4.2	The training includes CAF analysis and adjustment of the Ministry of Interior Guide to the needs of our Municipality.					

3.7	Was the SA team report officially presented?	Step 6.2 Step 8.3	Yes, by myself through a memo to the Mayor and G.S. in November 2013, when the process was concluded. We did that to present the results. The Mayor asked for a meeting with the SA team, but up until today, the meeting has not taken place	No, but the report was given to the Mayor and the G.S.	Not yet.	Not yet. A copy has been given by the Administration and the project leader to the Mayor	Not yet. It was handed, however, to the administration.	
3.8	Was the SA team report officially accepted?	Step 6.2	Yes, by the GS and the Mayor but we had no feedback	No, we have no feedback	No, it was handed to the Mayor and we have no feedback	No, we have no feedback	No, we have no feedback	
3.9	Was the improvement plan officially presented?	Step 7.5 Step 8.3	To the GS, by myself, orally. The purpose was the selection of the measures of improvement that will go	No	No	No. It was prepared long after the self-assessment report and we still have a long way ahead of us	No	

			ahead. Then, it was elections time and we did not pursue it further. I believe the timing was all wrong for the presentation					
3.10	Was the improvement plan officially accepted?	Step 7.5	No. The GS was informed but has not yet been officially accepted by the Mayor, so that we can move forward with improvement plan, due to elections and the general feeling of insecurity and uncertainty that exists lately.	No	No	No	No	
3.11	Has senior management commitment been affected by the unstable macro-environment?	PESTEL	Yes, because we wanted to prepare for the upcoming Presidential decree At the time of the	No	I do not know about that	I do not know about that	I do not know about that	Proposal File number 16227/18-04-2012 by the Programming and Development department

			implementatio n there was initiatives taken by the Minister of the Interior about administrative reforms, and of introducing evaluation methods					to the General Secretary that includes the goals and the basic steps for the implementati on of CAF
3.12	Has political commitment been affected by the unstable macro- environment?	PESTEL	I do not know about that	No	I do not know about that	I do not know about that	I do not know about that	
4	Planning and organizing the entire project	D						
4.1	Was a project leader appointed?	Step 1.2	Yes. The Mayor has decided my appointment; I was selected because I had attended a seminar and had some specialized knowledge on the implementatio n of the CAF. Therefore, I nominated	Yes, it was the GS's decision with the Mayor's agreement, because the candidate had the relevant knowledge and education. It was proven that he was the suitable candidate.	Yes, it was the Mayor's and GS decision. He was selected because he had the relevant knowledge and education	Yes, it was the GS's decision with the Mayor's agreement, because the candidate had the relevant knowledge and education. It was proven that he was the suitable candidate	Yes, it was the Mayor's decision because the candidate had the relevant knowledge and education	Mayoral decision, No.1775/524 71/6-11-2012

			myself in a way, since it was my initiative.					
4.2	Was a steering committee appointed?	Step 1.1	Yes, but it was not a steering committee, but a surveillance committee. It consisted of the GS and the Municipal Counselor that had some knowledge in quality matters. The decision about the steering committee rested with the GS	No, it was not a steering committee.	No, it was not a steering committee	No, it was not a steering committee	No, it was not a steering committee	Mayoral decision No. 1775/52471/6-11-2012
4.3	Was the entire project planned?	Step 1.4	Yes, it was. It was planned by me based on the implementation guide. The planning involved all the necessary steps, the meaning of CAF and its goals.	Yes, it was by the project leader and it included all the necessary steps for the implementation of CAF	Yes, it was, by the project leader and it included all the necessary steps for the implementation of CAF. The pace of the implementation was also taken into account in the	Yes, it was by the G.S. and the SA team, bearing in mind the timeframe that was outlined in the Mayor's decision.	Yes, it was. During the period of the realization of the implementation process and through the SA team meetings, a basic timeframe was followed and	Project Plan page 17 of the Final Report of the 1 st Implementation – PART A – ASSESSMENT

			Furthermore, there was a connection with the Municipality's Department of Operations for a forecast of the pace of implementation.		planning process, since it was included in the Mayor's initial decision.		the next steps were outlined	
4.4	What resources were allocated?	Step 1.5	Man-hours paid through the SA team, the cost of the seminars, but also, a small administrative-secretarial cost for the completion of the reports (self-assessment report, improvement plan)	Yes, there were man-hours paid but also logistics and the cost of the seminars.	Yes, there were man-hours paid but also logistics and the cost of the seminars.	Yes, there were man-hours paid for the SA team	Yes, there were man-hours paid for the SA team	
4.5	Was a decision whether to score or not made?	Step 1.6	Yes, we've agreed in the SA team and we have followed the seminar's guidelines and the guidelines	Yes, we have agreed in the SA team, because we felt that the scoring will be meaningful. We used the	Yes, we have agreed in the SA team and it was also suggested in the seminar that we have followed to	Yes, we have agreed in the SA team, based also on the implementation guide. Skipping the	Yes, we have agreed in the SA team, based also on the implementation guide. We have followed	

			<p>of the implementation guide. We believed it to be necessary to give it a grade, in order for us to have comparative data from one implementation of CAF to the other. The scores helped us to understand on which part of the Deming circle we were on. We used a simple scoring system, since we deemed it to be more suitable for a first-time implementation of the CAF</p>	<p>simple scoring system, since the parameterized was a lot harder.</p>	<p>follow the procedure, so as to have a clear picture of our position as a Municipality. We wanted to have a measure of comparison for all the years and from one year to the other.</p>	<p>scoring process was never an option. We have followed the simple scoring system. I feel that scoring is an important part of the process, in order for us to have a quantitative picture of the result and to avoid having a very theoretical a self-assessment report</p>	<p>the simple scoring system. The motive was to have measurable results</p>	
4.6	How many SA Teams were created?	Step 3.1	<p>Only one SA team. Because it was suitable for the size of our Municipality. The decision for that was</p>	<p>Only one SA team. In order for us to have a far more objective picture of the self-assessment</p>	<p>Only one SA team. Because it was the first time we were implementing this and we deemed it appropriate to</p>	<p>Only one SA team so we can have an objective picture of the self-assessment.</p>		<p>Mayoral Decision, No 1775/52471/6-11-2012</p>

			both mine and the G.S.'s.		do that.			
4.7	How was the selection of the participants in the SA team teams made?	Step 3.3	Our criterion was the creation of a team that will be representative of all the main units of our Municipality and of all the educational levels. The selection was the Mayor's and the GS's job.	It was the Mayor's decision. I am not aware of how the selection process took place, but the group was representative.	It was the GS's decision, in collaboration with the project leader.	It was the Mayor's decision, based on the culture of the organization and taking into account the abilities of the people that could have contributed in the implementation of CAF. They also strived that the team will be representative of all the Departments.	It was the Mayor's decision. Με την απόφαση Δημάρχου. They also strived that the team will be representative of all the Departments	Mayoral Decision, No 1775/52471/6-11-2012
4.8	Did the SA team team(s) have a chair?	Step 3.4	They had me as a president. I was appointed with the Mayoral decision. The decision was made by the GS and the Mayor	Yes, we had a president.	Yes, we had a president.	Yes, we had a president. The person appointed was deemed to be the suitable candidate for the position.	Yes, we have a president appointed.	Mayoral decision No 1775/52471/6-11-2012

4.9	Did the SA team members have certain responsibilities?	Step 3.5	<p>Yes, absolutely. The responsibilities were outlined by me in order for the project to be well-organized, having in mind their Knowledge</p>	<p>Yes, the responsibilities were outlined by the project leader and it was done so everybody will know the responsibilities of their position.</p>	<p>Yes, the responsibilities were outlined by the SA team and the project leader</p>	<p>Yes, the responsibilities were outlined by the SA team and the project leader, and it was done so everybody will know the responsibilities of their position. The allocation of responsibilities was very successful.</p>	<p>Yes, the responsibilities were outlined by the SA team and the project leader, and it was done so everybody will know the responsibilities of their position. It was done taking into account the strengths and abilities of each member, so it will be effective.</p>	<p>Responsibilities of the Self – Assessment Team page 20 of Final Report of the 1st Implementation – PART A - ASSESSMENT</p>
4.10	How the SA team(s) prepared for the Self-Assessment?	Step 4.1	<p>The preparation was done by me. In the first three meetings with the SA team we collaborated in order to agree on the criteria and CAF's supporting documentation</p>	<p>Yes, we prepared in the SA team during every meeting we had and also through the seminars that took place.</p>	<p>We got prepared through the seminars, but also during the SA team's meetings.</p>	<p>We got prepared through the seminars. The first seminar took place at the end of December and the second – which was more specialized – took place in March-April.</p>	<p>We got prepared through the seminars.</p>	

4.11	Was a plan for training and education prepared?	Step 4.3	<p>Yes, they deemed it to be necessary and it was prepared by me, a colleague from the District and the collaboration of the Ministry of Interior. There were two seminars, the first of which was a general seminar and the second a more specialized one for the scoring of the improvement plan. The members of the SA team, as well as extra people, all participated in the seminars.</p>	<p>Yes, the plan included the instructors and the training process. The SA team participated in the seminars, as well as some employees, heads of department and managers of the Municipality</p>	<p>Yes, it included two seminars, as well as guidelines on how to prepare ourselves for the implementation of CAF</p>	<p>Yes, it included two seminars, as well as guidelines on how to prepare ourselves for the implementation of CAF. The training plan was outlined by the project leader</p>	<p>Yes, it included two seminars, as well as guidelines on how to prepare ourselves for the implementation of CAF. The training plan was outlined by the project leader</p>	<p>Plan for training page 21 of Final Report of the 1st Implementation – PART A - ASSESSMENT</p>
4.12	Were the improvement actions prioritised?	Step 7.2	<p>Yes, they were by me, in collaboration with the SA</p>	<p>I don't remember</p>	<p>Yes, they were by the SA team, based on the</p>	<p>Yes, they were by the SA team, based on the</p>	<p>Yes, they were by the SA team, based on the</p>	<p>Page 96-101 of the Final Report of 1st Implementation</p>

			team, based on the implementation costs' priorities, their effectiveness to the citizens and the applicability.		priorities	priorities. Because not all the improvement measures can be improved simultaneously	priorities	on- PART B-IMPROVEMENT MEASURES
4.13	Was a person responsible for the implementation of each improvement action appointed?	Step 7.3 Step 9.1	No, he is not yet, we are now at that stage	I am not sure, but I am under the impression that he was appointed	No, he is not yet appointed	No, he is not yet appointed	No, he is not yet appointed	
4.14	Was a structured action plan defined for the selected improvement actions?	Step 7.3	Yes, an action plan was defined by me in collaboration with the SA team. It was defined recently.	No, this was our next step	Yes, a plan has been drafted	No, we have not defined an action plan yet	No, we have not defined an action plan yet	Page 103 of the Final Report of 1 st Implementation- PART B-IMPROVEMENT MEASURES
4.15	Has planning and organising the entire project been affected by the unstable macro-environment?	PESTEL	No	No	I do not know about that	I do not know about that	I do not know about that	
5	Communicate during the different phases to all stakeholders	E						
5.1	Was a communication plan defined?	Step 2.1 Step 2.3 Step 2.4 Step 8.1	No, it was initially defined. Never the less, it is	No, a plan was not defined, but there was communicatio	No, there was no plan defined, but there was	No, a plan was not defined. Communicatio n was	No, a plan was not defined and communicatio	

			our intention to disseminate the results, when the improvement plan is completed. We are thinking of hosting an open event and present the results. During the process of implementation, we issued a press release and it was published in the Municipality's newspaper.	n between the GS, the Mayor and the project leader with the employees and heads of the Municipality's departments through e-mail. There was, also, constant communication between those that participated in the SA team	communication through e-mail and phone calls between all of us. Communication with people outside the team was scheduled for later, when the improvement plan will be implemented.	concerned only with the questionnaire. Nevertheless, we plan to have an open meeting to inform employees after the improvement plan has been accepted.	ns concerned the SA team's members, the process and the questionnaires	
5.2	Was this communication plan implemented?	Step 2.2 Step 2.3 Step 2.4 Step 8.2	No, it was not, we are now in the process of dissemination of the results	Yes, it was, through e-mail.	Yes, it was, through e-mail, but the dissemination of the results has not happened yet	Through the process of communication and collection of the questionnaires	Through the process of communication and collection of the questionnaires	
5.3	Has this communication plan succeeded?	-	-	-	-	-	-	

5.4	Has communication been affected by the unstable macro-environment?	PESTEL	No	No	I do not know about that	I do not know about that	I do not know about that	
6	Assuring employees' commitment and involvement during the entire process	F	.					
6.1	Which actions were taken to gain employees' commitment?	F	There were actions through the letter sent by the GS, in order to guarantee the employees' participation to the research. There were also briefings to keep them informed about the Municipality and CAF. The SA team also pressured them to participate in the research.	Yes, there were actions taken through the GS's letter in order for the employees' commitment to be guaranteed and any inclinations for protest and complains against the service and the project to be avoided.	Yes, there were actions taken, through the GS's letter, in order for the employees' commitment to be guaranteed, but, the good relations between the SA team and the rest of the employees helped a lot the whole process.	Yes, there were actions taken, through the GS's letter, in order for the employees' commitment to be guaranteed, but discussion in between the employees themselves also helped	Yes, there were actions taken, through the GS's letter, in order for the employees' commitment to be guaranteed, but discussion in between the employees themselves also helped	The General Secretary's letter No. 2915/22-01-2013 And The General Secretary's letter No 8742/26-02-2013
6.2	Which actions were taken to empower employees?	F	There were no actions taken	No	No	No	No	

6.3	Which actions were taken to ensure employees' involvement?	F	The General Secretary's letter. Also, as the president of the SA team, I have arranged a meeting, in which the GS and the heads of the Municipality's departments attended, in order to ensure the employees' participation.	As members of the SA team, we spoke with the Heads of the Municipality's Departments and we have asked for their help in order to motivate the employees to participate in the self-assessment process through the completion of the questionnaires and the collection of the supporting documents	The General Secretary's letter. There were no problems as far as the employees' participation is concerned.	The General Secretary's letter, that was sent to all the Departments in order for the Heads and the employees in them to be informed.	The General Secretary's letter	The General Secretary's letter No. 2915/22-01-2013 And The General Secretary's letter No. 8742/26-02-2013
6.4	Were there any rewards or recognition for those participating in the implementation process?	F	No, there was not, neither for the SA team, nor for the Municipality's employees	Yes, there was a moral satisfaction, that they participated in a process that will help improve our Municipality	As far as I know, there was not. I am not sure if there will be some rewards after the implementation of the improvement plan.	No	No	

6.5	Has employees' commitment been affected by the unstable macro-environment?	PESTEL	Yes, because we wanted to prepare for the upcoming Presidential decree At the time of the implementation there was initiatives taken by the Minister of the Interior about administrative reforms, and of introducing evaluation methods	No	I do not know about that	I do not know about that	I do not know about that	Proposal File number 16227/18-04-2012 by the Programming and Development department to the General Secretary that includes the goals and the basic steps for the implementation of CAF
6.6	Has employees' involvement been affected by the unstable macro-environment?	PESTEL	Yes, because we wanted to prepare for the upcoming Presidential decree At the time of the implementation there was initiatives taken by the Minister of the Interior about administrative reforms, and	No	I do not know about that	I do not know about that	I do not know about that	Proposal File number 16227/18-04-2012 by the Programming and Development department to the General Secretary that includes the goals and the basic steps for the implementation

			of introducing evaluation methods Additionally, the employees were motivated by the GS presence to all stages					on of CAF
7	Integration of the use of CAF into the organization and its process	G						
7.1	Was clear ownership of the improvement programme and the projects defined?	Step 9.1 Step 9.2	No, there was not, because the improvement plan has not yet been fully implemented. Nevertheless, the SA team participants have gained a lot of expertise and they are using it daily	No, there was not, because we have not implemented the improvement plan and that is the goal.	No, there was not, because we have not implemented the improvement plan	No	No	
7.2	Was the improvement action plan integrated into the normal strategic plan?	Step 7.6	The improvement plan has not been implemented, but CAF is part of the normal	No, since the improvement plan has not been yet implemented, but that is the goal, even	No, since the improvement plan has not been yet implemented, but some of the proposed	No, since the improvement plan has not been yet implemented	No, since the improvement plan has not been yet implemented	The Proposal of the Department of Planning and Development No.

			strategic plan of our Municipality.	though it is not up to us.	actions are definitely connected to the normal strategic plan of the Municipality.			16227/18-04-2012 addressed to the GS, concerning the goals and the stages of implementation of CAF
7.3	How was CAF aligned with other organizational systems (if any)	Step 7.6	No, it was not aligned; we have no alternative quality system, apart from the managerial capacity within the ELOT framework, which is something standard.	No, but that is our goal (to align CAF) and it will be proven beneficial, if we achieve it	No, it was not aligned	No, it was not aligned	No, it was not aligned	
7.4	Has integration been affected by the unstable macro-environment?	PESTEL	The improvement plan has not yet been implemented	No	I do not know about that	I do not know about that	I do not know about that	
8	Maintaining momentum in the entire process	H						
8.1	How was the progress of the project monitored and by whom?	H	Yes, it was monitored by me, so I would have control of	Yes, it was monitored by the project leader, who	Yes, it was monitored by the project leader and the	Yes, it was monitored by the project leader and the	Yes, it was monitored by the project leader and the	The General Secretary's Letter No. 2915/22-01-

			the project during the realization.	informed the GS and he the Mayor. Because if there was no communication and no will, the implementation of the CAF would not have been possible.	General Secretary	General Secretary	General Secretary	2013 And The General Secretary's Letter No 8742/26-02-2013
8.2	Was the improvement plan implemented as scheduled?	Step 9.3	The plan has not yet been implemented	The plan has not yet been implemented	The plan has not yet been implemented	The plan has not yet been implemented	The plan has not yet been implemented	
8.3	Was the effectiveness of the improvement plan monitored?	Step 7.4 Step 9.5 Step 9.6	The plan has not yet been implemented	The plan has not yet been implemented	The plan has not yet been implemented	The plan has not yet been implemented	The plan has not yet been implemented	
8.4	How was senior management commitment demonstrated throughout the implementation process?	C. H	Senior managers' commitment was demonstrated partially during the realization of the project, mainly due to my perseverance and mainly through the collection of the supporting	Senior managers' commitment was demonstrated by their collaboration in the completion of the questionnaires and the collection of supporting documents,	Senior managers' commitment was demonstrated by their collaboration in the completion of the questionnaires and the collection of supporting documents.	I believe that their commitment was maintained throughout the CAF implementation process, since it was a Mayoral decision to be implemented. The CAF implementatio	I believe that their commitment was maintained throughout the CAF implementation process, since it was a Mayoral decision to be implemented. The CAF implementatio	

			documents. However, as the project progressed, the commitment was lost, due to the fact that the CAF implementation time schedule lasted longer than planned initially and we also had elections	but even when the commitment was lost, the SA team moved things forward and done all the necessary work.	Also, by allowing the employees time to participate in the self-assessment process. However, at different times, when the workload of the Departments was heavy, the commitment was lost, due to other priorities.	n was a common obligation for all the Departments of the Municipality.	n was a common obligation for all the Departments of the Municipality.	
8.5	How was senior management involvement demonstrated throughout the implementation process?	C. H	The senior management involvement was demonstrated –thanks to our perseverance–through the collection of the supporting documentation . However, as I mentioned before, in time this commitment was lost.	The senior management involvement was demonstrated through their collaboration in the completion of the questionnaires and the collection of the supporting documentation . However, over time this	The senior management involvement was demonstrated through their collaboration in the completion of the questionnaires and the collection of the supporting documentation . Also, by allowing the	I believe that their commitment was maintained throughout the CAF implementation process, since it was a Mayoral decision to be implemented. The CAF implementation was a common	I believe that their commitment was maintained throughout the CAF implementation process, since it was a Mayoral decision to be implemented. The CAF implementation was a common	

				commitment was lost. The SA team moved things forward and did all the work. In many instances, we had put pressure on them to collect the supporting documentation .	employees time to participate in the self-assessment process. However, at different times, when the workload of the Departments was heavy, the commitment was lost, due to other priorities.	obligation for all the Departments of the Municipality	obligation for all the Departments of the Municipality	
8.6	How was employees' commitment demonstrated throughout the implementation process?	F. H Step 9.4	The employees' commitment was demonstrated by their kin participation during the completion of the assessment questionnaires . Their commitment was reinforced further by our own perseverance on the	The employees' commitment was demonstrated by their participation in the self-assessment process. We had no problems with that process.	The employees' commitment was demonstrated by their kin participation during the completion of the assessment questionnaires and their help in collecting the supporting documentation , in collaboration with the SA	An extension was granted for the collection of the supporting documentation . Through the contact we had with the employees, they were given the opportunity to demonstrate their commitment throughout the CAF implementatio	An extension was granted for the collection of the supporting documentation . Through the contact we had with the employees, they were given the opportunity to demonstrate their commitment throughout the CAF implementatio	

			collection of the supporting documentation but also due to the letter sent by the G.S.		team. They would come to us if they had questions about the process. Of course, I was made aware of the fact that some of the SA team members had a harder time collecting the supporting documentation compared to me	n process.	n process	
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8.7	How was employees' involvement demonstrated throughout the implementation process?	F. H Step 9.4	The employees' involvement was proven to be satisfactory during the CAF implementation period. It was proven by the great percentage of response to the self-assessment questionnaire and through our perseverance, as members of the SA team, as well as the impact the letter sent to all of them by the GS had on them.	The employees' involvement was proven by the great percentage of response to the self-assessment questionnaire; we had no problems with that.	The employees' involvement was proven by the time they dedicated to answering the questionnaires and the time they spent on collecting the supporting documentation. SA and ourselves helped them out with any questions they may have had.	An extension was granted for the collection of the supporting documentation. Through the contact we had with the employees, they were given the opportunity to demonstrate their commitment throughout the CAF implementation process.	An extension was granted for the collection of the supporting documentation. Through the contact we had with the employees, they were given the opportunity to demonstrate their commitment throughout the CAF implementation process.	
8.8	Were the allocated resources maintained during the implementation process?	Step 1.5	The allocated resources maintained the SA team. The project was not particularly influenced by the allocated	Yes, the allocated resources were maintained throughout the duration of the implementation	Yes, the allocated resources were maintained throughout the duration of the implementation	Yes, the allocated resources were maintained throughout the duration of the implementation	Yes, the allocated resources were maintained throughout the duration of the implementation	

			resources.	n process.	n process with the help of the GS	n process	n process	
8.9	Was the plan for training and education implemented?	Step 4.4 Step 4.5	Yes, it was implemented, exactly as it was planned by the Ministry of Interior, the Balkan Center and the EAS	Yes, it was implemented, exactly as it was planned	Yes, it was implemented, exactly as it was planned. I think, however, that the two seminars were rescheduled after one week.	Yes, it was implemented, exactly as it was planned. The Balkan Center and the EAS organized the seminars	Yes, it was implemented, exactly as it was planned. Colleagues and members of the SA team took part in the seminars	
8.10	Was the entire process reviewed and evaluated?	Step 10.1 Step 10.3	No, the process was not reviewed and evaluated.	No, the process was not reviewed and evaluated	No, the process was not reviewed and evaluated in a methodic way	No	No	
8.11	Was the choice of the scoring panel evaluated?	Step 10.3	No, the choice of the scoring panel was not evaluated	No	No, the choice of the scoring panel was not evaluated in a methodic way, but it was evaluated at the end, during the analysis of the scoring and the collection of the supporting documentation . As members	No	No	

					of the SA team, we had discussions whether the analytic scoring system would have been a better choice.			
8.12	Was a decision made whether to continue with CAF or not?	Step 10.4	No, there was no decision made whether to continue with CAF or not. If I had the chance to do it all over again, I would pay more attention to the implementation pace, so as to make sure it would have been quicker, including the improvement plan. Also, I would have handled differently the communications plan both within the Municipality and with the	The goal is to implement it, but the official decision has not been made yet. In the case that we could repeat it, we would implement it quicker, and we would probably try to implement it in each department separately. We feel that each department knows better its strengths and its weaknesses.	There is no official decision taken. Nevertheless, it is our intention to implement it. If we had the chance to do it all over, we would probably implement it only in the Municipality's big department and not to its totality.	There is no official decision taken, but I feel that we are willing to implement it again, if it was decided by the administration. It all depends on the results that we will have after the first implementation. If we decided to do it all over again, we would have to improve the pace of implementation.	There is no official decision taken, but I feel that we are willing to implement it again. If we decided to do it all over again, we would have used the same methodology of implementation.	

			public. My wish is to have a chance to implement CAF all over again, with the help of a staffed Quality Control department, otherwise it is hard to implement it again					
8.13	Was the momentum affected by the unstable macro-environment?	PESTEL	No	No	I do not know about that	I do not know about that	I do not know about that	
9	Controlling the pace of the implementation	I						
9.1	Was the pace of implementation?	I	The pace of implementation was very slow, even though it took us six months to implement the self-assessment. After that, the pace was, also, lost during the drafting of the	The pace was slower than expected.	The pace was sometimes adequate and others rather slow. I would characterize it slow, since the implementation of the improvement plan has not been concluded.	Overall, I feel that it has taken too long, even though, at the beginning, up until the self-assessment report, the pace was adequate and then it was slower than expected. The	The pace was slower than expected	

			<p>improvement plan. The implementation of the improvement plan has not yet been concluded. That happened because the 13 members of the SA team, and the Municipality in general, had other issues to attend to. The pace was set by us. CAF should conclude within six months</p>			pace was set by us and the GS		
9.2	Was the pace affected by the unstable macro-environment?	PESTEL	Yes, because at the time of the implementation there was an extremely busy time for all the participants	No	I do not know about that	I do not know about that	I do not know about that	

10	General Issues							
10.1	How did the members of the SA team team undertake the Self - Assessment?	Step 5.1 Step 5.2	Each member scored individually on the criterion that was assigned to him/her and then, the SA team will meet to agree on that score and to produce an average from all the scores produced by the SA team members	Each member scored individually on the criterion that was assigned to him/her and then, the SA team will meet to agree on that score and to produce an average from all the scores produced by the SA team members	Each member scored individually on the criterion that was assigned to him/her and then, the SA team will meet to agree on that score and to produce an average from all the scores produced by the SA team members	Each member scored individually on the criterion that was assigned to him/her and then, the SA team will meet to agree on that score and to produce an average from all the scores produced by the SA team members	Each member scored individually on the criterion that was assigned to him/her and then, the SA team will meet to agree on that score and to produce an average from all the scores produced by the SA team members	Chapter 8 and Chapter 10 of the Self – Assessment Report
10.2	How did the SA team group reach consensus on strengths and areas for improvement?	Step 5.3 Step 5.4	Each SA member will put some proposals forward, concerning the criterion that was assigned to them, and then in a meeting of all the SA team members they will reach consensus on	Each SA member will put some proposals forward, concerning the criterion that was assigned to them, and then in a meeting of all the SA team members they will reach consensus on	Each SA member will put some proposals forward, concerning the criterion that was assigned to them, and then in a meeting of all the SA team members they will reach consensus on	Each SA member will put some proposals forward, concerning the criterion that was assigned to them, and then in a meeting of all the SA team members they will reach consensus on	Each SA member will put some proposals forward, concerning the criterion that was assigned to them, and then in a meeting of all the SA team members they will reach consensus on	Chapter 8 and Chapter 10 of the Self – Assessment Report and Chapter 2 of the Improvement Plan Report

			these proposals	these proposals	these proposals	these proposals	these proposals	
10.3	How did the SA team group reach consensus on scoring?	Step 5.5	They reached consensus on scoring by discussing among them each score and by producing an average score.	They reached consensus on scoring by discussing among them each score and by producing an average score.	They reached consensus on scoring by discussing among them each score and by producing an average score.	They reached consensus on scoring by discussing among them each score and by producing an average score.	They reached consensus on scoring by discussing among them each score and by producing an average score.	Chapter 8 and Chapter 10 of the Self – Assessment Report
10.4	What obstacles did you encounter in the course of the Self – Assessment	Step 5	There were no obstacles in the course of the self-assessment	In many cases, the proposed questionnaire for the implementation guide given to us by the Ministry of Interior did not fit the Municipality's characteristic and therefore there were many explanations given by the SA team and the project leader for many of the criteria and the	There were no obstacles in the course of the self-assessment. There were some disagreements concerning scoring, but they were resolved through discussions in the SA team.	There were no obstacles in the course of the self-assessment	There were no obstacles in the course of the self-assessment, If there were problems they were resolved through discussions in the SA team	

				sub-criteria				
10.5	What were the main benefits of the Self - Assessment?	Step 10.1	The SA team got to know more about our Municipality. Therefore, the main benefit of the self-assessment was self-awareness. It also gave us an opportunity to suggest solutions to our Municipality's problems, during the drafting of the improvement plan	The self-awareness it offered us on our strengths and our weaknesses, but also, the improvement we could pursue through it.	The self-awareness it offered us on our strengths and our weaknesses, but also, the improvement we could pursue through it. A big benefit is the creation of a team and the enthusiasm it brought through the preparation of certain improvement plans	The self-awareness it offered us on our strengths and our weaknesses, but also, the improvement we could pursue through it. It gave us an opportunity to get know about the type of work and the workload faced by other departments of the Municipality	The self-awareness it offered us on our strengths and our weaknesses, but also, the improvement we could pursue through it. It gave us the opportunity to get to know more about our Municipality, things that were unknown to us.	Page 18 of the Self – Assessment Report
10.6	How was the report regarding the results of the SA team prepared?	Step 6.1	It was prepared by the SA team, each member prepared the criterion	It was prepared by the project leader in collaboration with the SA team, after the reports was agreed and communicate	It was prepared by the SA team, each member prepared the criterion	It was prepared by the project leader in collaboration with the SA team	It was prepared by the project leader in collaboration with the SA team	
10.6.4	Was that report communicated?	Step 6.3	assigned to him/her, and the final drafting and		assigned to him/her, and the final drafting and			

			<p>editing was done by me. Each line and each criterion were, of course, agreed upon by all the SA team members. The report was delivered by me to the GS, the Mayor and the members of the SA team in November of 2013.</p>	<p>between all of us.</p>	<p>editing was done by the project leader and it was delivered to the GS</p>			
10.7	How was the improvement plan developed?	Step 7.1	<p>The improvement plan was developed by me and each line had the approval of the SA team, the SA team way the self-assessment report was approved and agreed upon.</p>	<p>The improvement plan was developed the SA team way, and it was done by the project leader and the SA team</p>	<p>I was not involved in the development of the plan, because I was on a paid leave during that time.</p>	<p>The improvement plan was developed the SA team way, and it was done by the project leader and the SA team</p>	<p>The improvement plan was developed the SA team way, and it was done by the project leader and the SA team</p>	
10.8	What were the main obstacles encountered in implementing the improvement actions of the	Step 9.3	<p>There were no obstacles in the implementatio</p>	<p>The improvement plan has not been</p>	<p>The improvement plan has not been</p>	<p>The improvement plan has not been</p>	<p>The improvement plan has not been</p>	

	improvement plan?		n process. The main obstacle was that all the SA team members had a great workload, apart from the improvement actions of the improvement plan.	implemented yet	implemented yet	implemented yet	implemented yet	
10.9	Did the implementation of CAF lead to the adaption of a TQM system/technique	Step 9.7	Not yet, but it is our wish that a Department of Quality Control is created to implement CAF and the rest of the TQM systems/techniques	Not yet	Not yet	Not yet	Not yet	
10.10	Did the implementation of CAF result to benchmarking with other organizations?	-	No, there was no benchmarking with other organizations	There was no benchmarking, we just have an idea about the rest of the Municipalities that CAF has been implemented	No, not yet	No, not yet	No, not yet	

10.11	To what extent did the improvement plan align with the strategic plan of your organization	Step 7.6	It aligned perfectly, since it is formed for our Municipality	It aligned perfectly	It aligned to a great extent	It aligned to a great extent	It aligned to a great extent, since it is formed for our Municipality	
10.12	To what extent did the improvement plan align with the day-to-day operation of your organization		It aligned perfectly. In the improvement plan we have included many proposals that directly link to the day-to-day operations of the Municipality. An example is the operation of the business center along with the Business Licensing	It aligned perfectly, since they share the SA team goals	It aligned to a great extent	It aligned to a great extent	It aligned to a great extent	
10.13	How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the self-assessment report		The improvement actions have not been implemented yet	The improvement actions have not been implemented yet	The improvement actions have not been implemented yet	The improvement actions have not been implemented yet	The improvement actions have not been implemented yet	
10.14	Did the implementation of CAF achieve the expected results?	Step 10.1	It achieved the expected results to a	I think that it achieved the expected	I think that it achieved the expected	It has not achieved the expected	It has not achieved the expected	

			great extent, but there is still the realization of the improvement measures left	results up to a certain point, in some areas more and in others less	results up to a certain point, in some areas more and in others less	results, since the improvement plan has not yet been implemented and therefore we have no actual results	results, since the improvement plan has not yet been implemented and therefore we have no actual results	
10.15	To what extent CAF connected with the other TQM systems of your organization?		CAF was not connected at all with the other TQM systems, because there are no permanently installed quality control systems.	CAF was not connected at all with the other TQM systems	CAF was not connected at all with the other TQM systems. It will, however, be connected to ISO and the new Management Competence System under the new NSRF	CAF was not connected at all with the other TQM systems	CAF was not connected at all with the other TQM systems	
10.16	How would you evaluate your organization regarding the maturity of CAF's implementation?		Preliminary, it went well, but we are still in a preliminary stage since this is the first time we are implementing CAF	Preliminary	Preliminary	Preliminary, because its implementation has not been completed yet	Intermediate, because the Municipality is ready for a full implementation of	
10.17	Would you evaluate the implementation of CAF to your organization as effective?		It was effective, up to a certain point, but since the	I feel it is effective to a small extent, because since	Partly effective, because not all the	It was effective to a great extent	It was effective to a great extent	

			improvement plan has not been implemented yet, in part it is a failure.	the improvement plan has not been implemented yet.	measures have been implemented yet			
10.18	Has anything else that we haven't discussed obstructed CAF's implementation?		No	No	No	No. Any obstacle was overcome due to our perseverance and that of the project leader (contact with the employees, visits to different city sections)	No. But we should mention the fact that the employees had trouble with the terminology and the length of the questionnaire	
10.19	Has anything else that we haven't discussed helped in the CAF implementation?		Yes, I found helpful the contribution of my colleague that worked for the District and had great experience in the implementation of CAF. She helped me by answering many of my questions on the	No	No. I simply want to say that I found the project leader's encouragement very important.	No	No. Only that it would have been a good idea to adopt the opinion expressed by some, concerning the electronic completion of the questionnaires	

			<p>implementatio n of CAF. Also, during the implementatio n period, two Management by objectives seminars were offered to the employees of the Municipality and that helped to change our culture on matters of quality, as well as contributed to the collection of the supporting documentation</p>					
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Appendix 22 – Document list of Case study “J”

Document Reference	Document Name and description	Date
J.1	Information Letter (03/08/2005) by the Planning and Development Department to the Mayor and the General Secretary, concerning the goals and the main implementation stages of CAF, along with the scope and the approach of Self - Assessment titled 'Implementation of CAF'	03/08/2005
J.2	Information – Suggestion Letter (72948/2544/08-08-2005) by the Planning and Development Department to the Mayor (via the deputy Mayor) concerning the goals and the main implementation stages of CAF, along with the scope and the approach of Self - Assessment titled 'Implementation of CAF'	08/08/2005
J.3	City's Council Decision (2014/2005) for: <ul style="list-style-type: none"> - Implementing CAF - Allocating the needed resources and the needed personnel for implementing CAF - Appointing a project leader and an assistant project leader 	25/08/2005
J.4	Information Letter (10443/3528/14-11-2005) by the Planning and Development Department to the Ministry of Interior about the beginning of the process for Implementing CAF	14/11/2005
J.5	Epistle (2927/109027/07-12-2005) by the General Secretary to all the departments that were selected to implement CAF titled “Beginning of the process of implementing CAF” in order for the senior managers to suggest members for the SA team	7/12/2005
J.6	Suggestion Letter (8617/24-01-2006) by the Planning and Development Department to the Mayor (via the Deputy – Mayor) for appointing the SA Team	24/01/2006
J.7	City's Council Decision (392/2006) for appointing the SA Team	22/02/2006
J.8	Information Letter (23685/712/08-03-2006) by the Planning and Development Department to the Ministry of Interior about the formation of the SA Team and the training planning for April (03-07/ Apr)	08/03/2006

J.9	Information Letter (21358/846/14-03-2006) by the Planning and Development Department to the Personnel Department about the training planning for April (03-07/ Apr)	14/03/2006
J.10	Suggestion Letter (28118/16-03-2006) by the Planning and Development Department to the Mayor (via the Deputy – Mayor) for appointing additional members to the SA Team	16/03/2006
J.11	City's Council Decision (1266/2006) for appointing additional members to the SA Team	27-04-2006
J.12	Information Letter (40078/08-05-2006) by the Planning and Development Department to the Mayor and General Secretary about the progress of the process of Implementing CAF and the next steps needed	08/05/2006
J.13	Invitation Letter (48602/01-06-2006) by the Planning and Development Department to the members of the SA team for a meeting on the 16 th of June 2006 in order to discuss the progress of the process of implementing CAF and plan the next steps	01/06/2006
J.14	Information Letter (97809/23-11-2006) by the Planning and Development Department to the Ministry of Interior about the progress of the process of Implementing CAF and the next steps needed	23/11/2006
J.15	Epistle (209/9789/30-01-2007) by the General Secretary to all the departments and the deputy Mayors for presenting the results of the pilot implementation of CAF on the 9th of February 2007	30/01/2007
J.16	Information Letter (34516/05-04-2007) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior about the progress of the process of Implementing CAF <ul style="list-style-type: none"> - Training and education took place (03-07/04/2006) - Pilot study in the Directorate of Social Care (04/2006-12/2006) - Presentation of the results from the Pilot Study (09/02/2007) 	05/04/2007

J.17	Meeting minutes among the project Manager, her assistant and the senior managers of the Directorate of Youth and Sports	05/12/2007
J.18	Project Plan for the Directorate of Youth and Sports	05/12/2007
J.19	Suggestion Letter (58081/26-06-2008) by the Planning and Development Department to the Mayor (via the Deputy – Mayor) for appointing additional new members to the SA Team	26/06/2008
J.20	Information Letter (58110/03-07-2008) by the General Secretary to all the departments that were in the process of Implementing CAF titled “Information about the progress of the process of implementing CAF in your Department” in order to stimulate the actions needed to complete CAF’s implementation, to ally it with the other TQM tools and integrate it in the normal strategic process	03/07/2008
J.21	Suggestion Letter (92405/22-10-2009) by the Planning and Development Department to the Mayor (via the Deputy – Mayor) for appointing additional new members to the SA Team	22/10/2009
J.22	City’s Council Decision (2509/2009) for reformatting the SA Team	23/11/2009
J.23	Project Plan for the Road Constructions	14/10/2009
J.24	Meeting minutes among the project Manager, her assistant and the senior managers of the Directorate of Road Constructions and the SA Team	21/09/2010 02/11/2010 03/03/2011 14/04/2011 04/05/2011 18/05/2001 26/05/2011 01/06/2011 08/06/2011 16/06/2011 29/06/2011 21/12/2011
J.25	Meeting minutes among the project Manager, her assistant and the senior managers of the Directorate of Youth and Sports and the SA Team	21/10/2009 04/11/2009 09/12/2009 15/01/2010 29/01/2010

		16/02/2010 23/03/2010
J.26	Meeting minutes among the project Manager, her assistant and the senior managers of the Directorate of Municipal Status and the SA Team	29/09/2009 21/01/2010 27/01/2010 03/03/2010 15/04/2010 26/04/2010 04/05/2010 14/05/2010 16/09/2010
J.27	Mayor Decision (10684/14-12-2009) for appointing a sub - SA Team for the Directorate of Youth and Sports	14/12/2009
J.28	Mayor Decision (1228/02-02-2010) for appointing a sub - SA Team for the Directorate of Municipal Status	02/02/2010
J.29	Self – Assessment Report for the Directorate of Youth and Sports	31/03/2010
J.30	Improvement plan Report for the Directorate of Youth and Sports	31/03/2010
J.31	City’s Council Decision (978/2010) for accepting the SA Report and the Improvement Actions Report of the Directorate of Youth and Sports	13/05/2010
J.32	Self – Assessment Report for the Directorate of Municipal Status	24/10/2010
J.33	Improvement plan Report for the Directorate of Municipal Status	24/10/2010
J.34	Mayor Decision (10203/05-11-2010) for appointing a sub- SA Team for the Directorate of Road Constructions	05/11/2010
J.35	Suggestion Letter (97516/5497/25-11-2010) by the Planning and Development Department to the Mayor (via the deputy Mayor) to suggest to the City’s Council to accept the SA report and the Improvement Plan repost by the Directorate of Municipal Status	25/11/2010
J.36	Suggestion Letter (95644/5494/25-11-2010) by the Planning and Development Department to the President of the City’s Council, to suggest to the	25/11/2010

	City's Council to accept the SA report and the Improvement Plan report of Directorate of Municipal Status	
J.37	City's Council Decision (2350/2010) for accepting the SA Report and the Improvement Actions Report of the Directorate of Municipal Status	20/12/2010
J.38	Information Letter (105420/23-12-2010) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior about the results of the implementation of CAF at the Directorate of Municipal Status	23/12/2010
J.39	Information Letter (17238/18-04-2011) by the senior manager of the Directorate of Municipal Status to all employees about the improvement action plan and its implementation and to the department of Planning and Development	18/04/2011
J.40	Information Letter (5981/1670/15-12-2011) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior informing about: <ul style="list-style-type: none"> - The completion of the implementation of CAF at the Directorate of Municipal Status (105420/23-12-2010) - The completion of the implementation of CAF at the Directorate of Youth and Sports (41880/13-05-2010) - The results of CAF so far - The progress of the implementation for the Directorate of Road Constructions - The need for a new planning about the future implementations of CAF due to the administrative change that Kallikratis caused 	15/12/2011
J.41	Self – Assessment Report of the Directorate of Road Constructions	12/2011
J.42	Improvement Actions Report of the Directorate of Road Constructions	12/2011
J.43	Suggestion Letter (3361/4109/22-12-2011) to the City Council for accepting the SA Report and the Improvement Actions Report of the Directorate of Road Constructions (by the department of Planning and Development via the Deputy Mayor)	22/12/2011

J.44	Suggestion Letter (281/18-01-2012) from the Planning and Development Department to the DIAVALCANICO training center for organizing a second training program for the SA team for implementing CAF again and taking the implementation process to a second level	18/01/2012
J.45	City's Council Decision (101/2012) for accepting the SA Report and the Improvement Actions Report of the Directorate of Road Constructions	30/01/2012
J.46	Information Letter (13317/06-02-2012) to the Ministry of Interior for the completion of the process of the implementation of CAF at the Directorate of Road Constructions	06/02/2012

Appendix 23 – Interview and document analysis of Case study “J”

Interview Section / Question		Step/element of the Theoretical Framework	Interviewee 1 Responses	Interviewee 2 Responses	Interviewee 3 Responses	Interviewee 4 Responses	Interviewee 5 Responses	Document Evidence
1	Taking into account the organization’s culture	A						
1.1	When was CAF considered for the first time?	Step 0	In 2005. After a letter received by Ministry of Interior about CAF (5/2015). And then we informed the Mayor and the General Secretary (8/2015).	In 2005 for the pilot implementation and in 2009 for my department	In 2005 for the pilot implementation and in 2009 for my department	In 2005 for the pilot implementation through a seminar from the Ministry of the Interior	In 2005 for the pilot implementation and in 2010 - 2011 for my department	Information Letter (03/08/2005) by the Planning and Development Department to the Mayor and the General Secretary, concerning the goals and the main implementation stages of CAF, along with the scope and the approach of Self - Assessment titled ‘Implementation of CAF’ and Information – Suggestion Letter (72948/2544/08-08-2005) by the Planning and Development Department to the Mayor (via the deputy

								Mayor) concerning the goals and the main implementation stages of CAF, along with the scope and the approach of Self - Assessment titled 'Implementation of CAF'
1.2	In order to decide whether to implement CAF or not, was the Municipality's quality culture assessed?	Step 0.1 Step 0.3	No. We just felt to go for it	No. We just felt to go for it	Yes not as an assessment but we knew that our Municipality had TQM culture in order to implement CAF	No. We just felt to go for it.	No. We just felt to go for it	-
1.3	Were any CAF alternatives considered?	Step 0.4	No. It was an additional TQM tool that we thought it will be useful, since it was promoted by the Ministry of Interior	No because we didn't know any alternative	I don't know	No but we had some TQM tools already implemented in my department	No but we had some TQM tools already implemented in my department	-
1.4	When the decision for implementing CAF was made?	Step 0.9	A decision was made by the City's Council to implement CAF having in mind the suggestion made by the department of Planning and Development	The decision was made by the City's Council. We implemented CAF in 2009.	The decision was made by the City's Council. We implemented CAF in 2009.	I do not remember	The decision was made by the City's Council. We implemented CAF in 2009 -2010	City's Council Decision (2014/2005) for: Implementing CAF Allocating the need resources and the needed personnel for implementing CAF Appointing a project leader and an assistant project leader

1.5	Was there a decision on the SA approach that would be used?	Step 0.7	No, we followed the method proposed by the Ministry of Interior Guide	No, we followed the method proposed by the Ministry of Interior	No, we followed the method proposed by the Ministry of Interior	No, we followed the method proposed by the Ministry of Interior	No, we followed the method proposed by the Ministry of Interior	-
1.6	Was CAF implemented in the entire organization or in a department?	Step 0.8	There was a pilot implementation made in the Directorate of Social Care, and then it was implemented in three departments	In the entire department	In the entire department	In the entire department	In the entire department	Information Letter (34516/05-04-2007) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior about the progress of the process of Implementing CAF
1.7	Did a pilot implementation take place?	Step 0.8.1	There was a pilot implementation at the Directorate of Social Care in 2006	No in my department	No in my department	No in my department	No in my department	Information Letter (34516/05-04-2007) by the Planning and Development Department
1.8	Has the organization's culture been affected by the unstable macro-environment?	PESTEL	It was something new, but it was positively taken by the early beginnings by everybody. The external environment affected the improvement plan and the improvement actions suggested (it had to be cost	In 2009 it was not yet clear the massive aspects of the Greek debt crisis, so there was no affection of the culture of the organization about the TQM issues	No at the time of the implementation, but the fact that we didn't continued with CAF has to do with the the organization's culture been affected by the unstable macro-environment,	No, the implementation was prior to the crisis	Yes, mainly by the political and economic external environment, but the SA team managed to go on with the project	Information Letter (5981/1670/15-12-2011) by the Planning and Development Department, signed by the General Secretary

			effective due to budget restrains)		Basically due to the Kallikratis plan. Additionally, nowadays there is a massive lack of human capital (probably due to the economic crisis). Hence the implementation of CAF would be difficult			
2	Establish Motivation	B						
2.1	Were the motive(s), the reasons, for using CAF identified?	Step 0.5	No there were not certain motives identified by a formal way, but it was a common belief by all the participants that the motive was to improve	The basic motive was to identify strengths and weakness of our work and to evaluate the leadership of our department	I do not remember	The basic motive was the self – awareness and to identify strengths and weakness of our work	The basic motive was the self – awareness and to identify strengths and weakness in order to improve	Information – Suggestion Letter (72948/2544/08-08-2005) by the Planning and Development Department to the Mayor (via the deputy Mayor)

2.2	Were the added value and the benefits of CAF highlighted?	Step 0.6	No there were not certain benefits identified by a formal way, the benefits were only highlighted in our suggestion letter to the city's Council	No there were not certain benefits identified by a formal way	Yes, the added value was highlighted by the SA team itself. The benefits had to do with self-awareness and chance to improve	Yes, the added value was highlighted by the SA team itself. We believed that there would have been certain benefits at a sort term	No there were not certain benefits identified by a formal way	Information - Suggestion Letter (72948/2544/08-08-2005) by the Planning and Development Department to the Mayor (via the deputy Mayor)
2.3	Has the motivation for using CAF affected by the unstable macro-environment?	PESTEL	At the beginning of the crisis (2009), the other way around, the unstable macro-environment made as wanted to implement CAF again because we wanted to have a benchmark with our own implementations But the implementation of Kallikratis plan (2011) and the unstable macro-environment (new administrative structure, new jurisdictions, moving to a new building) made	Yes, because at the time being I was new to the department and this administrative change affected the implementation of CAF	No	The motivation has been affected by the external macro – environment because we had to persuade the employees that CAF was not related to job-cuts	Yes basically due to the economic unstable environment but I think in a positive way, because the improvement actions proposed were cost - effective	Information Letter (5981/1670/15-12-2011) by the Planning and Development Department, signed by the General Secretary

			TQM issues to come in second place. This had to do mainly with administrative and legal reasons and not with political willpower					
3	Gaining senior management and political commitment	C						
3.1	Was there a management decision to implement CAF?	Step 0.9	Yes, the decision made by the city's Council. During the implementation phase there were regular reports to the management team about the implementation of CAF	Yes, the decision made by the City's Council and the SA teams were appointed by the political leadership (the suggestions were made by the senior Managers)	Yes, the decision made by the City's Council	Yes, the decision made by the City's Council	Yes, the decision made by the City's Council	City's Council Decision (2014/2005) And Epistle (2927/109027/07-12-2005) by the General Secretary and Suggestion Letter (8617/24-01-2006) by the Planning and Development Department
3.2	Was there a political decision to implement CAF?	Step 0.10	Yes, the decision made by the city's Council. In each phase there were formal decisions by the City's Council	Yes, the decision made by the City's Council and the SA teams were appointed by the Mayor	Yes, the decision made by the City's Council and the SA teams were appointed by the Mayor	Yes, the decision made by the City's Council	Yes, the decision made by the City's Council	City's Council Decision (2014/2005)

3.3	Was the commitment and ownership of the Management for initiating the process assured?	Step 1.3	Yes, due to the decision made by the City's Council. The decision about the SA team was made each time by the Mayor.	Yes, due to the decision made by the City's Council. The decision about the SA team was made each time by the Mayor.	Yes, there was regular communication with the project leader and the members of the SA team	Yes, due to the decision made by the City's Council. The decision about the SA team was made each time by the Mayor.	Yes, because the members of the SA team had regular communication and meetings and they participated in the seminars	City's Council Decision (2014/2005)
3.4	Did the managers participate in the SA teams?	Step 3.2	Yes, and I think this was a good decision because senior and middle managers had a very good view about each department.	Yes, I was participated as a manager for my department	Yes	Yes, I was participated as a manager for my department	Yes	Suggestion Letter (8617/24-01-2006) by the Planning and Development Department to the Mayor (via the Deputy – Mayor) for appointing the SA Team
3.5	Was training and education organized for political leaders in order to promote ownership and commitment?	Step 4.5	No there was no formal training in the political leaders about CAF	No there was no formal training in the political leaders about CAF	No	I do not know about that	No	-
3.5.1	What did that training include	Step 4.2						
3.6	Was training and education organized for senior managers in order to promote ownership and commitment?	Step 4.5	Yes. There was training and education organized by the Ministry of Interior. The training involved the SA team and the managers that	Yes. There was training and education organized by the Ministry of Interior. The training involved the SA team and	Yes there were regular briefings about the project	Yes. There was training and education organized by the Ministry of Interior. The training involved the SA team and	Yes. There was training and education organized by the Ministry of Interior. The training involved the SA team and the managers that	Information Letter (23685/712/08-03-2006) by the Planning and Development Department to the Ministry of Interior about the formation of the SA Team and the training planning for April (03-07/
3.6.1	What did that training include	Step 4.2						

			participated in it.	the managers that participated in it.		the managers that participated in it.	participated in it.	Apr)
3.7	Was the SA report officially presented?	Step 6.2 Step 8.3	Yes, at the City's Council	Yes, at the City's Council	Yes, at the City's Council	Yes, at the City's Council	Yes, at the City's Council	City's Council Decision (978/2010) for accepting the SA Report and the Improvement Actions Report of the Directorate of Youth and Sports City's And City's Council Decision (2350/2010) for accepting the SA Report and the Improvement Actions Report of the Directorate of Municipal Status and City's Council Decision (101/2012) for accepting the SA Report and the Improvement Actions Report of the Directorate of Road Constructions
3.8	Was the SA report officially accepted?	Step 6.2	Yes, there was a City's Council decision	Yes, there was a City's Council decision	Yes, there was a City's Council decision	Yes, there was a City's Council decision	Yes, there was a City's Council decision	City's Council Decision (978/2010) for accepting the SA Report and the Improvement Actions Report of the Directorate of Youth and Sports City's

								<p>And City's Council Decision (2350/2010) for accepting the SA Report and the Improvement Actions Report of the Directorate of Municipal Status and City's Council Decision (101/2012) for accepting the SA Report and the Improvement Actions Report of the Directorate of Road Constructions</p>
3.9	Was the improvement plan officially presented?	Step 7.5 Step 8.3	Yes, at the City's Council	Yes, at the City's Council	Yes, at the City's Council	Yes, at the City's Council	Yes, at the City's Council	<p>City's Council Decision (978/2010) for accepting the SA Report and the Improvement Actions Report of the Directorate of Youth and Sports City's And City's Council Decision (2350/2010) for accepting the SA Report and the Improvement Actions Report of the Directorate of Municipal Status and City's Council Decision (101/2012) for accepting the SA Report and the Improvement Actions</p>

								Report of the Directorate of Road Constructions
3.10	Was the improvement plan officially accepted?	Step 7.5	Yes, there was a City's Council decision	Yes, there was a City's Council decision	Yes, there was a City's Council decision	Yes, there was a City's Council decision	Yes, there was a City's Council decision	City's Council Decision (978/2010) for accepting the SA Report and the Improvement Actions Report of the Directorate of Youth and Sports City's And City's Council Decision (2350/2010) for accepting the SA Report and the Improvement Actions Report of the Directorate of Municipal Status and City's Council Decision (101/2012) for accepting the SA Report and the Improvement Actions Report of the Directorate of Road Constructions
3.11	Has senior management commitment been affected by the unstable macro-environment?	PESTEL	No there was no direct affection, but we only had low cost improvement actions. The implementation of the improvement plan was before	Due to the political change in the elections of 2010 there were changes in the managers, which affected	In the years 2009 and 2010 there were prosecutorial investigations. Hence due to the unstable macro-environment in	No, the implementation was prior to the crisis, and as a senior manager I believed that we had to improve in	Yes, I believe that the senior management commitment was affected due to the administrative change of Kallikratis	Information Letter (5981/1670/15-12-2011) by the Planning and Development Department, signed by the General Secretary

			<p>Kallikratis and there was a follow up by me as a project leader. But after the Kallikratis plan the memory of the improvement plan was lost due to the administrative changes</p>	<p>the implementation of TQM Techniques</p>	<p>the administrative and the political leadership of our Municipality the senior management commitment was lost. At the time that the CAF was implemented in our department quality issues were seen as a luxury. Nevertheless, we went on with the project because we didn't want to interrupt our effort</p>	<p>certain aspects so as to prevent the effect of any crisis</p>		
3.12	<p>Has political commitment been affected by the unstable macro-environment?</p>	PESTEL	<p>No before the Kallikratis plan. But after the Kallikratis plan the political commitment was lost because of the administrative changes</p>	<p>The new political leadership of the Municipality in the elections of 2010 did not pay much attention in</p>	<p>In the years 2009 and 2010 there were prosecutorial investigations. Hence due to the unstable macro-environment in</p>	<p>No, the implementation was prior to the crisis, and the political leadership believed that CAF was a useful TQM</p>	<p>Yes, I believe that the external economic crisis affected the political commitment to TQM</p>	<p>Information Letter (5981/1670/15-12-2011) by the Planning and Development Department, signed by the General Secretary</p>

				TQM Techniques, at the beginning of its Governance	the administrative and the political leadership of our Municipality the senior management commitment was lost. At the time that the CAF was implemented in our department quality issues were seen as a luxury. Nevertheless, we went on with the project because we didn't want to interrupt our effort	tool to improve the quality of our department		
4	Planning and organizing the entire project	D						
4.1	Was a project leader appointed?	Step 1.2	Yes. Me and the manager of my department	Yes, I was the leader of my department and for the entire project	Yes, from the department of planning and development	Yes, from the department of planning and development	Yes, from the department of planning and development	City's Council Decision (2014/2005)

				there was a project leader appointed				
4.2	Was a steering committee appointed?	Step 1.1	No	No	No	No	No	-
4.3	Was the entire project planned?	Step 1.4	Yes, by me there was a timetable for the project	Yes, by the project leader and for our department we had a certain timetable	Yes, there was certain timetable	There was certain timetable, but I don't remember if it was maintained as scheduled	Yes, there was certain timetable	Meeting Minutes
4.4	What resources were allocated?	Step 1.5	No	No	No	No	No	-
4.5	Was a decision whether to score or not made?	Step 1.6	Yes, we've agreed in the SA team and we have followed the seminar's guidelines and the guidelines of the implementation guide	No, we followed the guide by the Ministry of Interior	No, we followed the guide by the Ministry of Interior	No, we followed the guide by the Ministry of Interior We believed that scoring will help us to compare with others and with our department in a second implementation	No, we followed the guide by the Ministry of Interior	-

4.6	How many SA Teams were created?	Step 3.1	There was a SA team and a number of sub-teams (3 teams)	One for each department	I do not remember that	One SA Team	One SA Team	<p>City's Council Decision (392/2006) for appointing the SA Team</p> <p>City's Council Decision (1266/2006) for appointing additional members to the SA Team</p> <p>City's Council Decision (2509/2009) for reformatting the SA Team</p> <p>Mayor Decision (1228/02-02-2010) for appointing a sub - SA Team for the Directorate of Municipal Status</p> <p>Mayor Decision (10203/05-11-2010) for appointing a sub- SA Team for the Directorate of Road Constructions</p>
4.7	How was the selection of the participants in the SA teams made?	Step 3.3	The decision was made by each manager on the bases of the Knowledge of each department's jurisdictions	In my department we all participated in the SA team	The decision was made by each manager. I was asked if I wanted to participate by my manager, because I was open-minded in such projects	The decision was made by each manager	The decision was made by each manager and there were representing the department	<p>Epistle (2927/109027/07-12-2005) by the General Secretary to all the departments that were selected to implement CAF titled "Beginning of the process of implementing CAF" in order for the senior managers to suggest members for the SA</p>

								team
4.8	Did the SA team(s) have a chair?	Step 3.4	Yes, my- self and my department's manager	Yes, for each department there was one SA team and a certain SA leader	Yes, the project leader	I do not remember that	Yes, the choice was made on the basis of the knowledge of the department	-
4.9	Did the SA team members have certain responsibilities?	Step 3.5	No, we scored all the criteria and then by discussion we agreed on the scoring	No, we scored all the criteria and then by discussion we agreed on the scoring	No, we scored all the criteria and then by discussion we agreed on the scoring	No, we scored all the criteria and then by discussion we agreed on the scoring	No, we scored all the criteria and then by discussion we agreed on the scoring	Meeting Minutes
4.10	How the SA team(s) prepared for the Self-Assessment?	Step 4.1	Through the seminars and by me about any implementation issue that came along	Through the seminars and by the project leader about any implementation issue that came along	Through the seminars and by the project leader about any implementation issue that came along	Through the seminars and by me as a senior management	Through the seminars and by the project leader	Meeting Minutes
4.11	Was a plan for training and education prepared?	Step 4.3	Yes, all the participants followed the seminars and there was regular information for any other relevant training occurred during the implementation phase.	Yes, all the team leaders participated in the seminars and some members of the SA teams	Yes, there were some seminars, but I didn't participate	Yes, all the participants followed the seminars	Yes, all the participants followed the seminars	Information Letter (21358/846/14-03-2006) by the Planning and Development Department to the Personnel Department about the training planning for April (03-07/ Apr)

4.12	Were the improvement actions prioritised?	Step 7.2	Yes, the improvement actions were prioritized by the managers of each department in cooperation with me and the SA team	Yes, the improvement actions were prioritized by me and by the project leader	Yes, the improvement actions were prioritized by the SA team and the project leader in cooperation with each manager's department	Yes, by me as a senior manager	Yes, the improvement actions were prioritized in cooperation with each manager's department	Improvement plan Report for the Directorate of Youth and Sports and Improvement plan Report for the Directorate of Municipal Status and Improvement Actions Report of the Directorate of Road Constructions
4.13	Was a person responsible for the implementation of each improvement action appointed?	Step 7.3 Step 9.1	Yes, by the managers of each department	Yes, by me and by the project leader	Yes	Yes, by me as a senior manager	Yes, the improvement actions were prioritized in cooperation with each manager's department	Improvement plan Report for the Directorate of Youth and Sports and Improvement plan Report for the Directorate of Municipal Status and Improvement Actions Report of the Directorate of Road Constructions
4.14	Was a structured action plan defined for the selected improvement actions?	Step 7.3	Yes, by the managers of each department	Yes, by me and by the project leader	Yes	Yes, by me as a senior manager	Yes	Improvement plan Report for the Directorate of Youth and Sports and

								Improvement plan Report for the Directorate of Municipal Status and Improvement Actions Report of the Directorate of Road Constructions
4.15	Has planning and organising the entire project been affected by the unstable macro-environment?	PESTEL	No because the implementation was prior to Kallikratis plan	No, during the implementation phase there was no external distraction	No	No, because as a department we had implemented management by Objectives, so we were very keen on planning and implementing TQM tools	Yes, the external environment affected the entire project in a sense that the citizens always affect the actions that a Municipality does	-
5	Communicate during the different phases to all stakeholders	E						
5.1	Was a communication plan defined?	Step 2.1 Step 2.3 Step 2.4 Step 8.1	The communication was made by me through emails and information letters to all parties involved. There was not a certain plan	No there was not a certain plan but as a department we had regular communication with the citizens and we had already	No there was not a communication plan but just a constant communication among the participants	No there was not a communication plan but there were certain information letters send to all parties involved	No there was not a communication plan but there were certain information letters send to all parties involved and there were certain questionnaires to the citizens, to the	Information Letter (23685/712/08-03-2006) by the Planning and Development Department to the Ministry of Interior about the formation of the SA Team and the training planning for April (03-07/ Apr)

				implemented ISO which was in use and had communication aspects			suppliers, and to the employees that were used	<p>Information Letter (21358/846/14-03-2006) by the Planning and Development Department to the Personnel Department about the training planning for April (03-07/Apr)</p> <p>Invitation Letter (48602/01-06-2006) by the Planning and Development Department to the members of the SA team for a meeting on the 16th of June 2006 in order to discuss the progress of the process of implementing CAF and plan the next steps</p> <p>Information Letter (97809/23-11-2006) by the Planning and Development Department to the Ministry of Interior about the progress of the process of Implementing CAF and the next steps needed</p> <p>Epistle (209/9789/30-01-2007) by the General Secretary to all the departments and the deputy Mayors for</p>
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								<p>presenting the results of the pilot implementation of CAF on the 9th of February 2007</p> <p>Information Letter (34516/05-04-2007) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior about the progress of the process of Implementing CAF</p> <p>Presentation of the results from the Pilot Study (09/02/2007)</p> <p>Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Road Constructions and the SA Team (21/09/2010-21/12/2011)</p> <p>Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Youth and Sports and the SA Team (21/10/2009-23/03/2010)</p> <p>Meeting minutes among the project leader, her assistant and the senior</p>
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								<p>managers of the Directorate of Municipal Status and the SA Team (29/09/2009-16/09/2010)</p> <p>Information Letter (105420/23-12-2010) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior about the results of the implementation of CAF at the Directorate of Municipal Status Information Letter (17238/18-04-2011) by the senior manager of the Directorate of Municipal Status to all employees about the improvement action plan and its implementation and to the department of Planning and Development</p> <p>Information Letter (5981/1670/15-12-2011) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior</p> <p>Information Letter</p>
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								(13317/06-02-2012) to the Ministry of Interior for the completion of the process of the implementation of CAF at the Directorate of Road Constructions
5.2	Was this communication plan implemented?	Step 2.2 Step 2.3 Step 2.4 Step 8.2	There was not a certain plan, but the communication implemented was effective	There was not a certain plan	There was not a certain plan	There was not a certain plan	There was not a certain plan	-
5.3	Has this communication plan succeeded?	-	The communication during the implementation was effective.	The communication during the implementation was effective due to the use of ISO	There was not a certain plan	There was not a certain plan	The communication during the implementation was effective	-
5.4	Has communication been affected by the unstable macro-environment?	PESTEL	The last phase of our communication "plan" was to inform the citizens about our improvement action which never took place due the implementation of the Kallikratis Plan	Yes, at a certain point when the crisis affected us the TQM issues were left aside along with their communication aspects	There was not a certain plan	Probably, due the fact that our Municipality did not continue with CAF, the communication of the benefits of the project were left aside	Yes, all the answers to the questionnaires were affected by the external macro-environment due to the fiscal crisis	Information Letter (5981/1670/15-12-2011) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior

6	Assuring employees' commitment and involvement during the entire process	F						
6.1	Which actions were taken to gain employees' commitment?	F	There were briefings held by me and my departments' manager in each department about CAF	There were no certain actions	I believe there were certain actions from the project leader to gain employees' commitment	There were briefings held by me and by the project leader	There were briefings held by the manager and by the project leader	Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Road Constructions and the SA Team (21/09/2010-21/12/2011) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Youth and Sports and the SA Team (21/10/2009-23/03/2010) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Municipal Status and the SA Team (29/09/2009-16/09/2010)
6.2	Which actions were taken to empower employees?	F	Each team member was appointed by a Mayor's decision	There were no certain actions	I believe there were certain actions from the project leader to	There were briefings held by me and by the project leader	There were briefings held by the manager and by the project leader	Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Road

					empower employees'. Each team member was appointed by the Mayor			<p>Constructions and the SA Team (21/09/2010-21/12/2011) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Youth and Sports and the SA Team (21/10/2009-23/03/2010) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Municipal Status and the SA Team (29/09/2009-16/09/2010)</p>
6.3	Which actions were taken to ensure employees' involvement?	F	The Mayor's decision which appointed each member	The Mayor's decision which appointed each member, At that time the participants were fond of the project	The Mayor's decision which appointed each member	There were briefings held by me and by the project leader	There were briefings held by the manager and by the project leader	<p>Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Road Constructions and the SA Team (21/09/2010-21/12/2011) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Youth and Sports and the SA Team (21/10/2009-23/03/2010) Meeting minutes among</p>

								<p>the project leader, her assistant and the senior managers of the Directorate of Municipal Status and the SA Team (29/09/2009-16/09/2010 City's Council Decision (392/2006) for appointing the SA Team City's Council Decision (1266/2006) for appointing additional members to the SA Team City's Council Decision (2509/2009) for reformatting the SA Team Mayor Decision (1228/02-02-2010) for appointing a sub - SA Team for the Directorate of Municipal Status Mayor Decision (10203/05-11-2010) for appointing a sub- SA Team for the Directorate of Road Constructions</p>
6.4	Were there any rewards or recognition for those participating in the implementation process?	F	No	No	No	No	Yes, all the employees involved got extra credit in their annually	-

							evaluation sheets	
6.5	Has employees' commitment been affected by the unstable macro-environment?	PESTEL	No	Yes, at a certain point when the crisis affected us the TQM issues were left aside, for economic, political and administrative reasons	Yes, at a certain point the commitment was lost due to the changes in the external environment (Kallikratis plan, and the certain circumstances of our Municipality) and there was a lot of employee's movement among departments at that time	The commitment has been affected by the external macro – environment because we had to persuade the employees that CAF was not related to job-cuts	Yes, at a certain point the commitment was lost due to the changes in the external environment (Kallikratis plan, and the economic crisis), but there were also positive attitudes that the implementation of CAF will help as overcome the obstacles of the crisis	Information Letter (5981/1670/15-12-2011) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior
6.6	Has employees' involvement been affected by the unstable macro-environment?	PESTEL	No	Yes, at a certain point when the crisis affected us the TQM issues were left aside, for economic, political and administrative reasons	Yes, at a certain point the involvement was lost due to the changes in the external environment (Kallikratis plan, and the certain	The involvement has been affected by the external macro – environment because we had to persuade the employees that CAF was	Yes, at a certain point the commitment was lost due to the changes in the external environment (Kallikratis plan, and the economic crisis), but there were also positive	Information Letter (5981/1670/15-12-2011) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior

					circumstances of our Municipality) and there was a lot of employee's movement among departments at that time	not related to job-cuts	attitudes that the implementation of CAF will help as overcome the obstacles of the crisis	
7	Integration of the use of CAF into the organization and its process	G						
7.1	Was clear ownership of the improvement programme and the projects defined?	Step 9.1 Step 9.2	No	Yes	No	No	Yes, in our department our manager believed in CAF and new about TQM initiatives, so we integrated a lot of improvement actions from CAF	-
7.2	Was the improvement action plan integrated into the normal strategic plan?	Step 7.6	No. Our main goals in the first implementation were to identify sort term improvement actions which were not related to the strategic plan	Yes, the results of the implementation of CAF in our department were integrated to the strategic planning process.	Not as far as I know but that is a jurisdiction of the department of Planning and Development	Yes, the results of the implementation of CAF in our department were integrated to the strategic planning process.	Yes, in our department our manager believed in CAF and new about TQM initiatives, so we integrated a lot of improvement actions from CAF	Information Letter (58110/03-07-2008) by the General Secretary to all the departments that were in the process of Implementing CAF titled "Information about the progress of the process of implementing CAF in your Department" in order to stimulate the actions needed to complete CAF's

								implementation, to ally it with the other TQM tools and integrate it in the normal strategic process
7.3	How was CAF aligned with other organizational systems (if any)	Step 7.6	Yes, with Management by objectives and ISO	Yes, with Management by objectives and ISO	Yes, with Management by objectives and ISO	Yes, with ISO from the department of planning and development	Yes, with ISO	Information Letter (58110/03-07-2008) by the General Secretary to all the departments that were in the process of Implementing CAF titled "Information about the progress of the process of implementing CAF in your Department" in order to stimulate the actions needed to complete CAF's implementation, to ally it with the other TQM tools and integrate it in the normal strategic process
7.4	Has integration been affected by the unstable macro-environment?	PESTEL	No until then	Yes, due to the political and the administrative change TQM issues were left aside	Yes, due to the administrative change TQM issues were left aside	No until then. The improvement plan has been implemented up to the point that the improvement actions could be done by us.	Yes, but in a positive way. CAF gave us the opportunity to overcome the economic crisis and to find new ways to fund our projects and to be more cost – effective. The administrative change has affected the	Information Letter (5981/1670/15-12-2011) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior

							improvement actions at the beginning negatively but then in a positive way because we adjusted in the changes	
8	Maintaining momentum in the entire process	H						
8.1	How was the progress of the project was monitored and by whom?	H	It was monitored by me	Until the phase of the improvement plan the project was monitored by the project leader and by me. The improvement plan was not implemented totally due to the political and the administrative changes	It was monitored by the project leader	It was monitored by the project leader and us as a SA TEAM	It was monitored by the project leader and us as a SA TEAM, up to a point. Then the monitoring interrupted due to the administrative change	-
8.2	Was the improvement plan implemented as scheduled?	Step 9.3	Yes it was implemented as scheduled	The improvement plan was not implemented totally due to the political and the	The improvement plan was not implemented totally due to the administrative	Partly for the actions that were in our jurisdiction to do	Yes, it was implemented as scheduled up to 95%	Improvement action Plan for the Directorate of Youth and Sports Improvement action Plan for the Directorate of Municipal Status Improvement action

				administrative changes. For example, due to the Kallikratis plan certain jurisdictions were not in our department any more so the improvement actions were not relevant any more	changes			Plan for the Directorate of Road Constructions
8.3	Was the effectiveness of the improvement plan monitored?	Step 7.4 Step 9.5 Step 9.6	Yes, by me	Yes, the improvement actions that were implemented were monitored by the project leader and by me and they were effective	No	Yes, buy as	Yes, by me as a senior management	-
8.4	How was senior management commitment demonstrated throughout the implementation process?	C. H	Yes, the participation was maintained through the entire process	The commitment was lost after a certain point, due to the different culture about TQM issues from the	The project leader tried to maintain senior management commitment throughout the implementation process. In	Yes, the participation was maintained through the entire process, basically due to the regular briefings we	Yes, the participation was maintained through the entire process, basically due to the regular briefings we had	Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Road Constructions and the SA Team (21/09/2010-21/12/2011) Meeting minutes among

				political leadership	my department the political leadership (deputy Mayor) was telling me, during the implementation phase, that it was a priority	had		the project leader, her assistant and the senior managers of the Directorate of Youth and Sports and the SA Team (21/10/2009-23/03/2010) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Municipal Status and the SA Team (29/09/2009-16/09/2010)
8.5	How was senior management involvement demonstrated throughout the implementation process?	C. H	Yes, the participation was maintained because all the participants wanted to achieve better results for their department	The involvement was lost after a certain point, due to the different culture about TQM issues from the political leadership	The project leader tried to maintain senior management involvement throughout the implementation process. In my department the political leadership (deputy Mayor) was telling me, during the implementation phase, that it was a priority	Yes, the participation was maintained through the entire process, basically due to the regular briefings we had	Yes, the participation was maintained through the entire process, basically due to the regular briefings we had	Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Road Constructions and the SA Team (21/09/2010-21/12/2011) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Youth and Sports and the SA Team (21/10/2009-23/03/2010) Meeting minutes among the project leader, her assistant and the senior

								managers of the Directorate of Municipal Status and the SA Team (29/09/2009-16/09/2010)
8.6	How was employees' commitment demonstrated throughout the implementation process?	F. H Step 9.4	Yes, the participation was maintained through the entire process	The commitment was lost after a certain point, due to the different culture about TQM issues from the political leadership	Yes, the participation was maintained through the entire process. The project leader made sure that the employees' commitment will not be lost	Through the regular briefings we had. Employees were convinced that they were given the opportunity to say their opinion about their job and that the actions they will propose for improvement will be implemented	Yes, the participation was maintained through the entire process	-
8.7	How was employees' involvement demonstrated throughout the implementation process?	F. H Step 9.4	Yes, the participation was maintained because all the participants wanted to achieve better results for their department	The involvement was lost after a certain point, due to the different culture about TQM issues	Yes the participation was maintained through the entire process, The project leader made	Through the regular briefings we had. Employees were convinced that they were	Through the regular briefings we had.	-

				from the political leadership	sure that the employees' involvement will not be lost	given the opportunity to say their opinion about their job and that the actions they will propose for improvement will be implemented		
8.8	Were the allocated resources maintained during the implementation process?	Step 1.5	No there were no resources allocated	I don't know about that	I don't know about that	I don't know about that	No there were no resources allocated	-
8.9	Was the plan for training and education implemented?	Step 4.4 Step 4.5	Yes, the training plan was monitored by us and we informed the participants so as to keep up with the training	Yes, the people that were appointed to participate were actually participated	I don't know about that	Yes, the people that were appointed to participate were actually participated	Yes, the people that were appointed to participate were actually participated	Information Letter (34516/05-04-2007) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior about the progress of the process of Implementing CAF Training and education took place (03-07/04/2006)
8.10	Was the entire process reviewed and evaluated?	Step 10.1 Step 10.3	No. I believe for the first time the process was suitable for us	No because after a certain point the TQM culture of our organization	No	No	No	-

				change, due to the political change in our Municipality and due to the political unstable environment as a country				
8.11	Was the choice of the scoring panel evaluated?	Step 10.3	No we followed the guide by the Ministry of the Interior	No we followed the guide by the Ministry of the Interior	No we followed the guide by the Ministry of the Interior	No we followed the guide by the Ministry of the Interior	No we followed the guide by the Ministry of the Interior	-
8.12	Was a decision made whether to continue with CAF or not?	Step 10.4	We wanted to continue but the implementation of the Kallikratis plan changed a lot. If there was a decision to implement CAF again I think the communication and the information in the political leadership had to been better, although we had their support and commitment.	We wanted to continue but the changes on the external macro-environment (political and administrative) affected us.	I don't know if there is a decision to implement CAF again, but in my opinion, there should be a regular implementation process of TQM techniques (especially for self – awareness)	There was a decision to be implemented in a different department	No. But I believe that it should be implemented again	Information Letter (5981/1670/15-12-2011) by the Planning and Development Department, signed by the General Secretary, to the Ministry of Interior
8.13	Was the momentum affected by the unstable macro-environment?	PESTEL	No	No at the time of the implementation	Yes, due to the administrative	Yes, by the day to day work. The day	Yes, if the macro – environment was more stable	Information Letter (5981/1670/15-12-2011) by the Planning and

				n, but during the improvement actions due to the changes on the external macro-environment (political and administrative)	change TQM issues were left aside	to day work was too heavy at the time of the implementation but we did not left CAF aside	the momentum will be more effective, and the CAF would have given better results. Nowadays the political leadership has not set CAF as a priority	Development Department, signed by the General Secretary, to the Ministry of Interior
9	Controlling the pace of the implementation	I						
9.1	Was the pace of implementation?	I	The 8 months were a good time	The 8 months were a good time	The 8 months were a good time	The pace of the implementation was fine	The pace (9 to ten months) of the implementation was fine	-
9.2	Was the pace affected by the unstable macro-environment?	PESTEL	No	No at the time of the implementation, but during the improvement actions due to the changes on the external macro-environment (political and administrative)	No	No	No	-
10	General Issues							

10.1	How did the members of the SA team undertake the Self - Assessment?	Step 5.1 Step 5.2	We discussed each criterion and we came up with a common score	It was done by the project management team	We discussed each criterion and we came up with a common score	We discussed each criterion and we came up with a common score	We discussed each criterion and we came up with a common score	Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Road Constructions and the SA Team (21/09/2010-21/12/2011) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Youth and Sports and the SA Team (21/10/2009-23/03/2010) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Municipal Status and the SA Team (29/09/2009-16/09/2010)
10.2	How did the SA group reach consensus on strengths and areas for improvement?	Step 5.3 Step 5.4	We discussed each criterion and we used the forms suggested by the guide of the Ministry of Interior	We It was done by the project management team	We discussed each criterion and we used the forms suggested by the guide of the Ministry of Interior	We discussed each criterion and we used the forms suggested by the guide of the Ministry of Interior	We discussed each criterion and we used the forms suggested by the guide of the Ministry of Interior	Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Road Constructions and the SA Team (21/09/2010-21/12/2011) Meeting minutes among the project leader, her

								assistant and the senior managers of the Directorate of Youth and Sports and the SA Team (21/10/2009-23/03/2010) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Municipal Status and the SA Team (29/09/2009-16/09/2010)
10.3	How did the SA group reach consensus on scoring?	Step 5.5	We discussed each criterion and we came up with a common score using the statistical mean	It was done by the project management team	We discussed each criterion and we came up with a common score using the statistical mean	We discussed each criterion and we came up with a common score using the statistical mean	We discussed each criterion and we came up with a common score using the statistical mean	Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Road Constructions and the SA Team (21/09/2010-21/12/2011) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Youth and Sports and the SA Team (21/10/2009-23/03/2010) Meeting minutes among the project leader, her assistant and the senior managers of the

								Directorate of Municipal Status and the SA Team (29/09/2009-16/09/2010)
10.4	What obstacles did you encounter in the course of the Self – Assessment	Step 5	We did not have any problem. We acted as a team	I do not know about that	We did not have any problem. We acted as a team	We did not have any problem. We acted as a team	We did not have any problem. We acted as a team	-
10.5	What were the main benefits of the Self - Assessment?	Step 10.1	The self - awareness and the better knowledge of all the participants of their department, for both employees and the managers	The self – awareness and the beginning of a TQM culture for our organization. Which interrupted by the political and administrative change	The self – awareness and the improvement actions that were to be implemented to improve things	The self – awareness and the improvement actions that were to be implemented to improve things	The self – awareness and the improvement actions that were to be implemented to improve things	-
10.6	How was the report regarding the results of the SA prepared?	Step 6.1	We discussed each criterion and we came up with a common score Yes, to the City's Council	We discussed each criterion and we came up with a common score, in cooperation with the project leader Yes, to the City's Council	I don't know about that	We discussed each criterion and we came up with a common score Yes, to the City's Council	We discussed each criterion and we came up with a common score Yes, to the City's Council	Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Road Constructions and the SA Team (21/09/2010-21/12/2011)
10.6.4	Was that report communicated?	Step 6.3						Meeting minutes among the project leader, her assistant and the senior

				and to the employees				managers of the Directorate of Youth and Sports and the SA Team (21/10/2009-23/03/2010) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Municipal Status and the SA Team (29/09/2009-16/09/2010)
10.7	How was the improvement plan developed?	Step 7.1	We discussed each criterion and we used the forms suggested by the guide of the Ministry of Interior	We discussed each criterion and we used the forms suggested by the guide of the Ministry of Interior and then it was given to the rest of the employees	I don't know about that	We discussed each criterion and we used the forms suggested by the guide of the Ministry of Interior	We discussed each criterion and we used the forms suggested by the guide of the Ministry of Interior	Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Road Constructions and the SA Team (21/09/2010-21/12/2011) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of Youth and Sports and the SA Team (21/10/2009-23/03/2010) Meeting minutes among the project leader, her assistant and the senior managers of the Directorate of

								Municipal Status and the SA Team (29/09/2009-16/09/2010)
10.8	What were the main obstacles encountered in implementing the improvement actions of the improvement plan?	Step 9.3	The main obstacle was the every-day work which was heavy enough, hence the people involved did not had enough time to deal with the improvement actions	The main problem was the economic restrictions and the changes in the political leadership which did not had quality culture	The main problem was the administrative change that left TQM issues aside	No	No	Improvement action Plan for the Directorate of Youth and Sports Improvement action Plan for the Directorate of Municipal Status Improvement action Plan for the Directorate of Road Constructions
10.9	Did the implementation of CAF lead to the adaption of a TQM system/technique	Step 9.7	No nothing new. Some TQM systems were operating along with CAF. None of them continued after the Kallikratis plan	No nothing new. Some TQM systems were operating along with CAF	I believe that due to CAF there were some quality culture issues that are still operating	No	No	-
10.10	Did the implementation of CAF result to benchmarking with other organizations?	-	Not as a benchmarking. We did a common seminar with two other Municipalities that had implemented CAF	We did a common seminar with two other Municipalities that had implemented CAF	We did a common seminar with two other Municipalities that had implemented CAF	No	No	-
10.11	To what extent did the improvement plan align with the strategic plan of	Step 7.6	It aligned to a large extent	It aligned to a large extent	It aligned to a small extent	It aligned to a large extent	It aligned to a large extent	-

	your organization								
10.12	To what extent did the improvement plan align with the day-to-day operation of your organization		It aligned to a large extent	It aligned to a large extent	It aligned to a large extent	It aligned to a large extent	It aligned to a large extent	It aligned to a large extent	-
10.13	How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the self-assessment report		More than 75%	More than 75%	Less than 25%	More than 75%, for the improvement actions that were up to us to implement	More than 75%	More than 75%	-
10.14	Did the implementation of CAF achieve the expected results?	Step 10.1	Yes, to a large extent and it will have been better if there weren't the changes due to the Kallikratis Plan	Not at all because there were interruptions from the external environment. TQM issues need constant effort which was lost	To a large extent, although there were massive changes due to the administrative change CAF was effective up to a point	Yes, to a large extent regarding the improvement actions that were up to us to implement	Yes, to a large extent	Yes, to a large extent	-
10.15	To what extent CAF connected with the other TQM systems of your organization?		To a large extent	To a large extent	To a large extent	To a large extent	To a large extent	To a large extent	-
10.16	How would you evaluate your organization regarding the maturity of CAF's implementation?		Intermediate Level	Intermediate Level at the time of the project but to an entry level	High level	Entry Level	High level	High level	-

				at present				
10.17	Would you evaluate the implementation of CAF to your organization as effective?		Yes, and it will have been better if there weren't the changes due to the Kallikratis Plan	Yes, at that time of the implementation	Yes, at that time of the implementation. Regardless the fact that the improvement plan was not implemented as scheduled the entire CAF avocation was a good TQM school	I think it was effective to a small extent because the improvement actions were not implemented (only the ones that were up to us to implement)	I think it was effective to a large extent	-
10.18	Has anything else that we haven't discussed obstructed CAF's implementation?		No	The changes in the macro-environment (political, legal, administrative and economic) obstructed the implementation of CAF at the time after 2010	No	No	No	-
10.19	Has anything else that we haven't discussed helped in the CAF implementation?		The most important thing about TQM issues is that they have to be constant. The macro-environmental	No	As a conclusion the implementation of CAF was a big step, regardless the fact that it has	I believe that nowadays due to the unstable macro-environment and the political and	No	-

			<p>issues that affected the implementation of CAF had to do with economic issues and the implementation of the Kallikratis plan which changed a lot regarding the Management by Objectives in the Municipalities (they are not obligated any more) and the administrative structure of our Municipality</p>		<p>not finished due to the political and administrative reasons Nowadays the political leadership will be in favor for the implementation of CAF</p>	<p>administrative changes it will be very difficult to implement CAF, because TQM is not a priority when there are massive changes that have to do with job – cuts.</p>		
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Appendix 24 – Document list of Case study “F”

Document Reference	Document Name and description	Date
F.1	Information Letter (73/18-06-2003) by the Ministry of Interior to the Municipality informing that the Municipality was chosen as an organization to implement CAF (pilot implementation for the Ministry)	18/06/2003
F.2	Epistle (01/07/2003) by the Ministry of Interior signed by the Minister addressed to all public-sector organization about the implementation of CAF explaining: <ul style="list-style-type: none"> - The reasons for implementing CAF - The benefits for implementing CAF - The structure of the model - The self-assessment process along with its benefits The epistle ended giving a due date to the organizations (30/07/2003) to start implementing CAF by appointing the SA team	01/07/2003
F.3	The SA team was created	06/2003
F.3	Training and education took place (the project team from the Ministry of Interior informed the project team from the Municipality)	01/06/2003 – 15/07/2003
F.3	The 1 st Implementation of CAF took place	07/2003- 12/2003
F.3	Self - Assessment Report	01/2004
F.3	Improvement Plan Report	01/2004
F.4	Information Letter (7552/20-02-2004) by the Mayor to the Ministry of Interior for the completion of the process of the implementation of CAF, by attaching the SA and Improvement Plan Report	20/02/2004
F.5	Information letter (6685/05-03-2005) by the Ministry of the Interior signed by the General Secretary sent to the Municipality to participate in a meeting among the Greek Public Organizations that had implemented CAF in order to have their feedback and prepare for the upcoming EU quality Conference.	05/03/2005

F.6	Information letter (4895/11-03-2005) by the Ministry of the Interior informing the Municipality that was chosen to present CAF's implementation, and a certain improvement action to the 2 nd EU quality conference about CAF	11/03/2005
F.7	Information letter (22379/24-04-2007) by the General Secretary to the Mayor and the President of the City's Council in order to start implementing CAF for 2nd time . This suggestion letter included: <ul style="list-style-type: none"> - A sort presentation of the model - The reasons for implementing CAF - The expected benefits - The time of these benefits to appear - The resources needed - The steps to be followed in order to implement CAF 	24/04/2007
F.8	City's Council decision (187/2007/26-04-2007) to implement CAF. This decision included: <ul style="list-style-type: none"> - A sort presentation of the model - The reasons for implementing CAF - The expected benefits - The time of these benefits to appear - The resources needed - The steps to be followed in order to implement CAF - The timeline for the implementation - The project leader 	26/04/2007
F.9	Project Plan for the implementation of CAF, compiled by the General Secretary's office	04/2007
F.10	The SA team was appointed (31 members and 1 project leader)	04/2007
F.10	Training and education for the SA team took place	23/05/2007
F.10	The employees from each department were selected to participate in the SA process (231 members)	30/05/2007
F.11	Information letter (31376/01-06-2007) by the General Secretary to the 231 employees in order to stimulate their interest and inform them to participate in the upcoming seminar and to participate at the SA process	01/06/2007
F.10	Training and education for the employees (231 employees)	04/06/2007 – 05/06/2007

F.10	The questionnaires from the employees were selected	06-07/06/2007
F.10	The questionnaires were statistically analyzed	08-12/06/2007
F.10	The results of the questionnaires were presented	15/06/2007
F.10	Evidence regarding the Criteria and Sub-criteria of CAF were gathered	22/06/2007
F.10	The members of the SA team decided on the scores	15-25/06/2007
F.10	The areas of improvement were identified	25/06/2007
F.10	The improvement actions were selected	03/07/2007
F.10	The SA report and the Improvement Plan report were compiled	05/07/2007
F.10	The SA report and the Improvement Plan report was sent to the Ministry of the Interior	31/07/2007

Appendix 25 – Interview and document analysis of Case study “F”

Interview Section / Question		Step/element of the Theoretical Framework	Interviewee 1 Responses	Interviewee 2 Responses	Interviewee 3 Responses	Interviewee 4 Responses	Document Evidence
1	Taking into account the organization's culture	A					
1.1	When was CAF considered for the first time?	Step 0	In 2003. And then we did it again in 2007 and 2009	In 2003. And then we did it again in 2007 and 2009	In 2003. And then we did it again in 2007 and 2009	In 2003. And then we did it again in 2007 and 2009	Epistle (01/07/2003) by the Ministry of Interior signed by the Minister addressed to all public-sector organization about the implementation of CAF
1.2	In order to decide whether to implement CAF or not, was the Municipality's quality culture assessed?	Step 0.1 Step 0.3	Our TQM was mature since we were already using TQM tools such as ISO. Additionally, we had a quality department operating	No, but the culture of the organization was mature since we were already using TQM tools such as ISO	No, but the culture of the organization was mature since we were already using TQM tools	No, but the culture of the organization was mature since we were already using ISO	

1.3	Were any CAF alternatives considered?	Step 0.4	No	No. It was an additional TQM tool that we thought it will be useful, since it was promoted by the Ministry of Interior At the same period, but not as an alternative we were considering implementing Management by objectives	No, we thought just to do for it since it was suggested form the Ministry of the Interior	No	Information letter (22379/24-04-2007) by the General Secretary to the Mayor and the President of the City's Council in order to start implementing CAG for 2nd time
1.4	When the decision for implementing CAF was made?	Step 0.9	It was a City's Council decision after my suggestion. I sent a suggestion letter to the Mayor and to the president of the City Council	In 2003 and in 2007. The decision was made by the Mayor in cooperation with the department of TQM. In 2003 the senior manager in our department was the Mayor him- self and in 2007 the General Secretary Both times we had a City's Council Decision after the suggestion made by the Mayor and the GS respectively.	In 2003 and in 2007. The decision was made by the Mayor in cooperation with the department of TQM.	Both times we had a City's Council Decision after the suggestion made by the Mayor and the GS.	City's Council decision (187/2007/26-04-2007) to implement CAF
1.5	Was there a decision on the SA approach that would be used?	Step 0.7	No, we followed the method proposed by the Ministry of Interior	No, we followed the method proposed by the Ministry of Interior Guide	No, we followed the method proposed by the Ministry of Interior Guide	No, we followed the method proposed by the Ministry of	City's Council decision (187/2007/26-04-2007) to implement

			Guide			Interior Guide	CAF
1.6	Was CAF implemented in the entire organization or in a department?	Step 0.8	In the entire organization	In the entire organization	In the entire organization	In the entire organization	City's Council decision (187/2007/26-04-2007) to implement CAF
1.7	Did a pilot implementation take place?	Step 0.8.1	No	No	No	No	
1.8	Has the organization's culture been affected by the unstable macro-environment?	PESTEL	No	It was something new, but it was positively taken by the early beginnings by everybody.	No	No the time of the implementation. But nowadays due to lack of employees the quality culture would have been different.	
2	Establish Motivation	B					
2.1	Were the motive(s), the reasons, for using CAF identified?	Step 0.5	Yes prior to the implementation there was an open meeting with all the employees in which CAF was presented along with the reasons for using it. The motives were	Yes prior to the implementation there was an open meeting with all the employees in which CAF was presented along with the reasons for using it. The main motive was self-awareness	The main motive was self-awareness, and it was clear at the quality team that it will be a useful tool since it was promoted by the Ministry of the Interior	The main motive was self-awareness	Information letter (22379/24-04-2007) by the General Secretary to the Mayor and the President of the City's Council in order to start implementing CAF for 2nd time

			described in my epistle sent to the Mayor and to the President of the City Council.				And City's Council decision (187/2007/26-04-2007) to implement CAF
2.2	Were the added value and the benefits of CAF highlighted?	Step 0.6	Yes prior to the implementation there was an open meeting with all the employees in which CAF was presented along with the benefits for using it The benefits were highlighted in my epistle sent to the Mayor and to the President of the City Council.	Yes prior to the implementation there was an open meeting with all the employees in which CAF was presented along with the benefits. But not in a formal way (In the City's Council decision) The benefits were expected to appear in 4 months' time	The main benefit was self-awareness	Yes prior to the implementation there was an open meeting with all the employees in which CAF was presented along with the benefits The benefits were expected to appear in 2 years' time for my department	Information letter (22379/24-04-2007) by the General Secretary to the Mayor and the President of the City's Council in order to start implementing CAF for 2nd time And City's Council decision (187/2007/26-04-2007) to implement CAF
2.3	Has the motivation for using CAF affected by the unstable macro-environment?	PESTEL	No. We were motivated to implement it because we also wanted to participate in the awards at December that year.	No	No at the time of the implementation. If we would have implemented CAF again after Kallikratis the motive would have been the same	No at the time of the implementation. But nowadays due to lack of resources the motivation would have been affected by the external macro – environment, but in a positive	

						way because the senior managers would be motivated to implement CAF in order to highlight the lack of employees and the lack of resources.	
3	Gaining senior management and political commitment	C					
3.1	Was there a management decision to implement CAF?	Step 0.9	Yes, the decision made by the City's Council	Yes, the decision made by the City's Council. In addition, all the paper work done for the implementation of CAF had the signature by the Mayor at the first time by the GS the second	Yes, the decision made by the City's Council	Yes, the decision made by the City's Council	Information letter (22379/24-04-2007) by the General Secretary to the Mayor and the President of the City's Council in order to start implementing CAF for 2nd time And City's Council decision (187/2007/26-04-2007) to implement CAF

3.2	Was there a political decision to implement CAF?	Step 0.10	Yes, the decision made by the City's Council	Yes, the decision made by the City's Council	Yes, the decision made by the City's Council	Yes, the decision made by the City's Council	Information letter (22379/24-04-2007) by the General Secretary to the Mayor and the President of the City's Council in order to start implementing CAF for 2nd time And City's Council decision (187/2007/26-04-2007) to implement CAF
3.3	Was the commitment and ownership of the Management for initiating the process assured?	Step 1.3	Yes, due to the decision made by the City's Council.	Yes, due to the decision made by the City's Council. In addition, all the paper work done for the implementation of CAF had the signature by the Mayor at the first time by the GS the second	Yes, due to the decision made by the City's Council.	Yes, due to the decision made by the City's Council. Especially the GS was very commitment to the project	City's Council decision (187/2007/26-04-2007) to implement CAF
3.4	Did the managers participate in the SA teams?	Step 3.2	No. This decision was made by me because all the senior managers were very busy at the time of the implementation.	No, but in the SA teams we had the participation of the GS	The GS participated at the SA Team	The GS participated at the SA Team	SA report and the Improvement Plan report

3.5	Was training and education organized for political leaders in order to promote ownership and commitment?	Step 4.5	Yes. There was training and education organized by the quality department The training involved the Mayor myself and the deputy Mayors	Yes. There was training and education organized by the quality department The training involved the Mayor the GS and the deputy Mayors. We presented CAF and explained the model using the guide published by the Ministry of the Interior	Yes. There was training and education organized by the quality department	Yes. There was training and education organized by the quality department	SA report and the Improvement Plan report
3.5.1	What did that training include	Step 4.2					
3.6	Was training and education organized for senior managers in order to promote ownership and commitment?	Step 4.5	Yes. There was training and education organized by the quality department The training involved the SA team and the senior managers. We presented CAF and explained the model using the guide published by the Ministry of the Interior	Yes. There was training and education organized by the quality department The training involved the SA team and the senior managers. We presented CAF and explained the model using the guide published by the Ministry of the Interior. Additionally we presented a special IT tool for analyzing the questionnaires and we also participated in seminars for project management	Yes. There was training and education organized by the quality department	Yes. There was training and education organized by the quality department The training involved the SA team and the senior managers. CAF was presented and explained using the guide published by the Ministry of the Interior	
3.6.1	What did that training include	Step 4.2					
3.7	Was the SA report officially presented?	Step 6.2 Step 8.3	The SA report was presented to two conferences. The first one was	The SA report was presented to two conferences. The first one was organized for	Yes, it was officially presented to the two conferences and to the City Council	Yes, it was officially presented to the two conferences	SA report and the Improvement Plan report

			organized for the Municipalities of the region and the second one for the EU network of Q-cities in which we were presidents at that time. At the conference held by the Ministry of the Interior we were awarded	the Municipalities of the region and the second one for the EU network of Q-cities in which we were presidents at that time.		and to the City Council. And we were also got an award	
3.8	Was the SA report officially accepted?	Step 6.2	It was accepted by the Mayor and by me.	The SA report was given to the quality department from the SA team and was sent to all the other departments by as having the signature of the Mayor the first time and of the GS the second. So in a sense it was officially accepted. It was also officially accepted by the Ministry of Interior, in which the report was sent.	It was accepted by the Mayor and the GS	It was accepted by the Mayor and the GS	SA report and the Improvement Plan report
3.9	Was the improvement plan officially presented?	Step 7.5 Step 8.3	Same as for the SA report	Same as for the SA report	Same as for the SA report	Same as for the SA report	SA report and the Improvement Plan report

3.10	Was the improvement plan officially accepted?	Step 7.5	Same as for the SA report	Same as for the SA report	Same as for the SA report	Same as for the SA report	SA report and the Improvement Plan report
3.11	Has senior management commitment been affected by the unstable macro-environment?	PESTEL	No, we were very focused to impellent CAF	No, we were very focused to impellent CAF	No	No, because I believe it was an ideal stable macro-environment	
3.12	Has political commitment been affected by the unstable macro-environment?	PESTEL	No, we were very focused to impellent CAF	No, we were very focused to impellent CAF	No	No, because I believe it was an ideal stable macro-environment	
4	Planning and organizing the entire project	D					
4.1	Was a project leader appointed?	Step 1.2	I was appointed as a project leader	The GS as the leader in the quality team had the role of the project leader	The GS as the leader in the quality team had the role of the project leader	The GS as the leader in the quality team had the role of the project leader	City's Council decision (187/2007/26-04-2007) to implement CAF
4.2	Was a steering committee appointed?	Step 1.1	The quality department played the role of the steering committee	Yes, there was a quality team in our Municipality in which the GS participated	Yes, there was a quality team in our Municipality in which the GS participated	I think the quality team played that role	SA report and the Improvement Plan report
4.3	Was the entire project planned?	Step 1.4	Yes, by the quality department, under my instructions	Yes, by the quality department, under the instructions of the GS	Yes, by the quality department, under the instructions of the GS	Yes, by the GS	Project Plan for the implementation of CAF, compiled by the General Secretary's office

4.4	What resources were allocated?	Step 1.5	Yes, budget for training and education, budget for the improvement actions and man-hours paid in the sense of participating in the project. The budget of the project was 10000 €	Yes, budget for training and education, budget for the improvement actions and man-hours paid in the sense of participating in the project	Yes, budget for training and education, budget for the improvement actions	Yes, budget for the improvement actions and man-hours paid in the sense of participating in the project	City's Council decision (187/2007/26-04-2007) to implement CAF
4.5	Was a decision whether to score or not made?	Step 1.6	No, we followed the guide by the Ministry of Interior	No, we followed the guide by the Ministry of Interior We used the 0-5 score system. The motivation for scoring was the participation in a new procedure.	No, we followed the guide by the Ministry of Interior	No, we followed the guide by the Ministry of Interior	
4.6	How many SA Teams were created?	Step 3.1	There was one SA team. This SA team had 31 members and me as president. Each team member had the responsibility for a Municipality's department. For each department there was a choice to participate the	There was one SA team in which participated 300 employees almost the 25% of our Municipality.	There was one SA team	There was one SA team	SA report and the Improvement Plan report

			25% of the employees at the Self-Assessment process. At the SA process there were 231 participants				
4.7	How was the selection of the participants in the SA teams made?	Step 3.3	The selection was made by me. We tried to have participants that were representative of all the main units of our Municipality. The employees that participated at the SA process were selected on a volunteer basis (based on their age, education and experience)	The selection was made by the GS on the basis of having representatives of each unit of the Municipality. The employees that participated at the SA process were selected on a volunteer basis.	The selection was made by the GS on the basis of having representatives of each unit of the Municipality. The employees that participated at the SA process were selected on a volunteer basis.	The selection was made by the GS on the basis of having representatives of each unit of the Municipality. The employees that participated at the SA process were selected on a volunteer basis.	Project Plan for the implementation of CAF, compiled by the General Secretary's office And SA report and the Improvement Plan report
4.8	Did the SA team(s) have a chair?	Step 3.4	I was the president of the SA team	The GS was the president of the SA team	The GS was the president of the SA team	The GS was the president of the SA team	
4.9	Did the SA team members have certain responsibilities?	Step 3.5	The SA team members had certain responsibilities. Their responsibilities were appointed by me. Each team member had the	No, we scored all the criteria and then we reached on a common scoring. In each department there was a certain member of the quality team who helped the procedure	No, we scored all the criteria	No, we scored all the criteria and then we reached on a common scoring	

			responsibility for a Municipality's Unit.				
4.10	How the SA team(s) prepared for the Self-Assessment?	Step 4.1	Through the training and education organized by the quality department at the begging of the project.	Through the training and education organized by the quality department at the begging of the project.	Through the training and education In each department there was a certain member of the quality team who helped the procedure (the antenna)	Through the training and education In each department there was a certain member of the quality team who helped the procedure	
4.11	Was a plan for training and education prepared?	Step 4.3	Yes, by me at the beginning of the project	No	No	No	Project Plan for the implementation of CAF, compiled by the General Secretary's office
4.12	Were the improvement actions prioritised?	Step 7.2	The improvement actions were prioritized by me, in collaboration with the SA Team based on the areas of improvement as was suggested at the SA report	Yes, the improvement actions were prioritized by the project leader in cooperation with the quality team member that was appointed for each department	Yes, the improvement actions were prioritized by the project leader in cooperation with the quality team member that was appointed for each department	Yes, the improvement actions were prioritized by the project leader in cooperation with the quality team member that was appointed for each department	SA report and the Improvement Plan report
4.13	Was a person responsible for the implementation of each improvement action appointed?	Step 7.3 Step 9.1	Yes, by me in cooperation with the SA team members. There	Yes, by the project leader in cooperation with the quality team member that was	Yes, by the project leader in cooperation with the quality team member that was	Yes, by the project leader in cooperation with the quality team	SA report and the Improvement Plan report

			were certain persons appointed for the improvement actions.	appointed for each department	appointed for each department	member that was appointed for each department	
4.14	Was a structured action plan defined for the selected improvement actions?	Step 7.3	Yes, by me in cooperation with the SA team	Yes, a structured plan was defined by the quality team in cooperation with the project leader	Yes, a structured plan was defined by the quality team in cooperation with the project leader	Yes, a structured plan was defined by the quality team in cooperation with the project leader	SA report and the Improvement Plan report
4.15	Has planning and organising the entire project been affected by the unstable macro-environment?	PESTEL	No	For the project management no. The external macro-environment affected some certain improvement actions that were to be implemented and needed lot of budget and did not implemented totally due to the crisis	No	No	
5	Communicate during the different phases to all stakeholders	E					
5.1	Was a communication plan defined?	Step 2.1 Step 2.3 Step 2.4 Step 8.1	A plan for communication was defined, by me in cooperation with the quality department and the SA team.	Yes, by the quality team It included communication with the political leadership with the senior managers with the SA team, the employees	Yes, by the quality team	Yes, by the quality team and the GS	SA report and the Improvement Plan report

				with the strategic partners, with the citizens/customers			
5.2	Was this communication plan implemented?	Step 2.2 Step 2.3 Step 2.4 Step 8.2	Yes, it was implemented as scheduled	Yes, it was implemented as scheduled	Yes, it was implemented as scheduled	Yes, it was implemented as scheduled	
5.3	Has this communication plan succeeded?	-	Yes	The communication during the implementation was effective.	Yes	Yes	
5.4	Has communication been affected by the unstable macro-environment?	PESTEL	No	No	No	No	
6	Assuring employees' commitment and involvement during the entire process	F					
6.1	Which actions were taken to gain employees' commitment?	F	There was an open meeting with all the employees in which CAF was presented along with the reasons for using and its benefits. Additionally, I had sent an epistle to the 231 employees in order to stimulate their interest and inform them for their participation	There was an open meeting with all the employees in which CAF was presented along with the reasons for using and its benefits.	There was an open meeting with all the employees in which CAF was presented The employees participated in a voluntary basis	There were no certain actions. At the begging of the project there was an open meeting with all the employees in which CAF was presented The employees participated in a voluntary basis	Information letter (31376/01-06-2007) by the General Secretary to the 231 employees in order to stimulate their interest and inform them to participate in the upcoming seminar and to participate at the SA process

			at the upcoming seminar and at the SA process				
6.2	Which actions were taken to empower employees?	F	The employees participated in a voluntary basis	The employees participated in a voluntary basis	The employees participated in a voluntary basis	The employees participated in a voluntary basis	Information letter (31376/01-06-2007) by the General Secretary to the 231 employees in order to stimulate their interest and inform them to participate in the upcoming seminar and to participate at the SA process
6.3	Which actions were taken to ensure employees' involvement?	F	The employees participated in a voluntary. Their involvement was maintained through their regular cooperation with the SA team. Additionally, there was an epistle sent by me to the 231 employees in order to stimulate their involvement	The employees participated in a voluntary. Their involvement was maintained through their regular cooperation with the SA team.	The employees participated in a voluntary. Their involvement was maintained through their regular cooperation with the SA team	The employees participated in a voluntary. Their involvement was maintained through their regular cooperation with the SA team	Information letter (31376/01-06-2007) by the General Secretary to the 231 employees in order to stimulate their interest and inform them to participate in the upcoming seminar and to participate at the SA process
6.4	Were there any rewards or recognition for those participating in the implementation process?	F	No	No, just the Municipality's participation at the awards	No, just the Municipality's participation at the awards	No	

6.5	Has employees' commitment been affected by the unstable macro-environment?	PESTEL	No	No	No	No	
6.6	Has employees' involvement been affected by the unstable macro-environment?	PESTEL	No	No	No	No	
7	Integration of the use of CAF into the organization and its process	G					
7.1	Was clear ownership of the improvement programme and the projects defined?	Step 9.1 Step 9.2	Yes, the improvement plan was implemented as scheduled and was integrated in our day to day action	Yes, the improvement plan was implemented as scheduled and was integrated in our day to day action. A lot of the improvement actions resulted certain management procedures that were included in ISO, which is still in operation, Hence the improvement actions of CAF are still working (for example in the department of urban planning, or the use of the code of conduct for employees	Yes, the improvement plan was implemented as scheduled and was integrated in our day to day action	Yes, the improvement plan was implemented as scheduled and was integrated in our day to day action, because it was associated with ISO	SA report and the Improvement Plan report

7.2	Was the improvement action plan integrated into the normal strategic plan?	Step 7.6	Yes, in our previous strategic planning	<p>Yes, in our previous strategic planning (for the years 2010-2015). But it was not included in our new strategic planning for the years 2015-2020. This is due that there were a lot of employees' movement that affected the quality department and CAF was left aside as a strategic tool, but the employees in their day-to-day work still use it.</p> <p>In 2016 there was a decision from the General Secretary to allocate employees at the quality department in order to reinforce the use of TQM tools (and CAF)</p>	Yes, in our previous strategic planning	<p>Yes, in our previous strategic planning, because the improvement actions suggested by CAF were in the past (implemented in the past) and did not re-reviewed. This was also due to the fact that the quality team stopped operating in 2012. Due to the crisis CAF was left aside (basically due to different priorities for political administrative and economic reasons; lack of employees; different priorities)</p>	
7.3	How was CAF aligned with other organizational systems (if any)	Step 7.6	Yes, with ISO	Yes, with ISO	Yes, with ISO	Yes, with ISO	

7.4	Has integration been affected by the unstable macro-environment?	PESTEL	No	The improvement actions that were integrated in our day-to-day work were not affected at all. The only affection by the external macro-environment was the employees' movement that affected the quality department, and the integration of CAF was affected as a strategic tool	No	No	
8	Maintaining momentum in the entire process	H					
8.1	How was the progress of the project was monitored and by whom?	H	The progress of the project was monitored by me and the SA team on a regular basis	It was monitored by the quality team and the teams operating in each department	It was monitored by the quality team and the teams operating in each department	It was monitored by the quality team	Project Plan for the implementation of CAF, compiled by the General Secretary's office
8.2	Was the improvement plan implemented as scheduled?	Step 9.3	Yes, it was implemented as scheduled	Yes, it was implemented as scheduled and is still operating	Yes, it was implemented as scheduled	Yes, it was implemented as scheduled for the improvement actions that were associated with ISO.	
8.3	Was the effectiveness of the improvement plan monitored?	Step 7.4 Step 9.5 Step 9.6	Yes, by me and the SA Team	Yes, by the quality team. The quality team in the quality department stop operating in 2012	Yes, by the quality team	Yes, by the quality team and the GS	

				and started again in 2016			
8.4	How was senior management commitment demonstrated throughout the implementation process?	C. H	Senior management commitment demonstrated through their participation during the implementation phase of the improvement actions and through the integration of the improvement plan (associated with ISO) in their day to day action	Yes, the participation was maintained through the entire process	Yes, it was demonstrated through their participation in the improvement actions	Yes, it was demonstrated through their participation in the improvement actions	
8.5	How was senior management involvement demonstrated throughout the implementation process?	C. H	Senior management involvement demonstrated through their involvement during the implementation phase of the improvement actions and through the integration of the improvement plan (associated with	Yes, the participation was maintained because all the participants wanted to achieve better results for their department	Yes, it was demonstrated through their participation in the improvement actions	Yes, it was demonstrated through their participation in the improvement actions	

			ISO) in their day to day action				
8.6	How was employees' commitment demonstrated throughout the implementation process?	F. H Step 9.4	The employees' commitment was demonstrated by their kin participation during the Self – Assessment process, and through the integration of the improvement plan (associated with ISO) in their day to day action.	Yes, the participation was maintained through the entire process	Yes, it was demonstrated through their participation	Yes, it was demonstrated through their participation	
8.7	How was employees' involvement demonstrated throughout the implementation process?	F. H Step 9.4	The employees' involvement was demonstrated by their kin participation during the Self – Assessment process, and through the integration of the improvement plan (associated with ISO) in their day to day action.	Yes, the participation was maintained because all the participants wanted to achieve better results for their department	Yes, it was demonstrated through their participation	Yes, it was demonstrated through their participation	
8.8	Were the allocated resources maintained during the implementation process?	Step 1.5	Yes	Yes, the allocated resources were maintained during the entire process	Yes, the allocated resources were maintained during the entire process. In	Yes, the allocated resources were maintained	

					our yearly budget there are certain amounts for quality	during the entire process	
8.9	Was the plan for training and education implemented?	Step 4.4 Step 4.5	Yes	Yes, the training and education plan was implemented as scheduled	Yes, the training and education plan was implemented as scheduled	Yes the training and education plan was implemented as scheduled	
8.10	Was the entire process reviewed and evaluated?	Step 10.1 Step 10.3	No.	No.	No.	No.	
8.11	Was the choice of the scoring panel evaluated?	Step 10.3	No, we followed the guide by the Ministry of the Interior	No, we followed the guide by the Ministry of the Interior	No, we followed the guide by the Ministry of the Interior	No, we followed the guide by the Ministry of the Interior	
8.12	Was a decision made whether to continue with CAF or not?	Step 10.4	CAF was implemented again in 2009	CAF was implemented again in 2009. If CAF was to be implemented for the 4 th time we would have followed the same procedure.	CAF was implemented again in 2009, and I believe we would be positive to implement it again	I do not remember. But if we decide to do it again we would have changed some things (for example the number of the employees participated in the SA team)	
8.13	Was the momentum affected by the unstable macro-environment?	PESTEL		No	No	No	

9	Controlling the pace of the implementation	I					
9.1	Was the pace of implementation?	I	The 4 months were an appropriate time	The 4 months were an appropriate time	The 4 months were an appropriate time	The 4 months were an appropriate time	
9.2	Was the pace affected by the unstable macro-environment?	PESTEL	No	No in general but in a few improvement actions such the ones mentioned before	No	No	
10	General Issues						
10.1	How did the members of the SA team undertake the Self - Assessment?	Step 5.1 Step 5.2	There was a presentation to the SA team members of all the criteria and sub-criteria and then each one scored individually. Then they came up with a common score using the statistical mean	There was a presentation to the SA team members of all the criteria and sub-criteria and then each one scored individually. Then we came up with a common score using the statistical mean	There was a presentation to the SA team members of all the criteria and sub-criteria and then each one scored individually. Then we came up with a common score using the statistical mean	There was a presentation to the SA team members of all the criteria and sub-criteria and then each one scored individually. Then we came up with a common score using the statistical mean	SA report and the Improvement Plan report
10.2	How did the SA group reach consensus on strengths and areas for improvement?	Step 5.3 Step 5.4	The employees participated in the SA process used an IT program for scoring. After that	We used an IT program which was based on the scoring. Additionally, we used the forms suggested	We used an IT program which was based on the scoring	We used an IT program which was based on the scoring	SA report and the Improvement Plan report

			the SA team members selected the sub criteria that were below average as the topics for improvement. Then these topics were grouped to 13 areas for improvement, which resulted 13 improvement actions	by the guide of the Ministry of Interior. For that reason, we also used SWOT Analysis			
10.3	How did the SA group reach consensus on scoring?	Step 5.5	The SA Team discussed each criterion and came up with a common score using the statistical average.	By using the statistical mean	By using the statistical mean	By using the statistical mean	
10.4	What obstacles did you encounter in the course of the Self – Assessment	Step 5	We did not have any problem.	We did not have any problem.	No	At the beginning there was kind of hesitation, but it was overcome through the seminars	
10.5	What were the main benefits of the Self - Assessment?	Step 10.1	The self-assessment was self-awareness and the identification of strengths and weaknesses.	The self -awareness and the identification of strengths and weaknesses	The self -awareness and the identification of strengths and weaknesses	The self -awareness and the identification of strengths and weaknesses	

<p>10.6</p> <p>10.6.4</p>	<p>How was the report regarding the results of the SA prepared?</p> <p>Was that report communicated?</p>	<p>Step 6.1</p> <p>Step 6.3</p>	<p>It was prepared by the SA team, discussing each criterion, in cooperation with me, as explained earlier. The SA report was officially presented to the two conferences that the Municipality participated and to the EU network of the q-cities. Additionally, it was sent to the Ministry of the Interior.</p>	<p>We used the forms suggested by the guide of the Ministry of Interior. The SA report included the scoring the results for each criterion, the SWOT analysis and the improvement actions Yes, to the Ministry of the Interior, to the network of q-cities, and to our web site</p>	<p>We used the forms suggested by the guide of the Ministry of Interior.</p>	<p>We used the forms suggested by the guide of the Ministry of Interior.</p>	<p>SA report and the Improvement Plan report</p>
<p>10.7</p>	<p>How was the improvement plan developed?</p>	<p>Step 7.1</p>	<p>The SA team members selected the sub criteria that were below average as the topics for improvement. Then these topics were grouped to 13 areas for improvement, which resulted 13 improvement actions</p>	<p>The improvement plan was prepared by the quality team. For each criterion the improvement actions were prioritized and were implemented according to our schedule.</p>	<p>The improvement plan was prepared by the quality team. For each criterion the improvement actions were prioritized</p>	<p>I do not remember that</p>	

10.8	What were the main obstacles encountered in implementing the improvement actions of the improvement plan?	Step 9.3	The improvement actions were implemented as scheduled and they were associated with ISO. The only improvement action that was not implemented was some construction works at the City (pedestrian works) because they were costly due to budget constraints	The improvement actions were implemented as scheduled except some actions that were costly, and not implemented due to budget constraints	The improvement actions were implemented as scheduled	Yes, it was implemented as scheduled for the improvement actions that were associated with ISO and with our strategic plan. The rest were not implemented as scheduled	
10.9	Did the implementation of CAF lead to the adaption of a TQM system/technique	Step 9.7	The implementation of CAF has not led to the adaption of a new TQM system/technique. CAS was associated with ISO.	Yes, to ISO 9001:2008 and EMAS	Yes, to ISO (which was already operating)	Yes, to ISO (which was already operating)	
10.10	Did the implementation of CAF result to benchmarking with other organizations?	-	Yes, when we presented our case in the q-cities and at the conference held by the Ministry of the Interior	Yes, when we presented our case in the q-cities and at the conference held by the Ministry of the Interior	Yes, when we presented our case in the q-cities and at the conference held by the Ministry of the Interior	Yes, when we presented our case in the q-cities and at the conference held by the Ministry of the Interior	

10.11	To what extent did the improvement plan align with the strategic plan of your organization	Step 7.6	It aligned to a large extent	It aligned to a large extent	It aligned to a large extent	It aligned to a large extent	
10.12	To what extent did the improvement plan align with the day-to-day operation of your organization		It aligned to a large extent	It aligned to a large extent	It aligned to a large extent	It aligned to a large extent	
10.13	How many of the improvement actions proposed in your improvement plan have been implemented in a years' time after the self-assessment report		More than 75%	More than 75%	More than 75%	More than 75%	
10.14	Did the implementation of CAF achieve the expected results?	Step 10.1	Yes, to a large extent	Yes, to a large extent	Yes, to a large extent	Yes, to a small extent	
10.15	To what extent CAF connected with the other TQM systems of your organization?		Totally	Totally	Totally	To a large extent	
10.16	How would you evaluate your organization regarding the maturity of CAF's implementation?		High Level	High Level	High Level	High Level	
10.17	Would you evaluate the implementation of CAF to your organization as effective?		Totally	Totally	Totally	To a large extent at that time	
10.18	Has anything else that we haven't discussed obstructed CAF's implementation?		No	No	No	No	

10.19	Has anything else that we haven't discussed helped in the CAF implementation?		No	No	No	No	
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