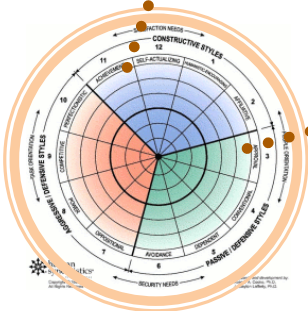


Overview of 14 Excellence Frameworks and Tools

Background Research for the ACELG
'Review of Excellence Frameworks
in Local Government' Project.



November 2010



An Australian Government Initiative

Disclaimer

This report is not a comprehensive list of all the frameworks that are available and no endorsement of any of the frameworks is implied. As only summary material is provided in this report, councils will need to make their own assessment of the frameworks that are appropriate to their situation.

Acknowledgements

This report was researched and written by Stefanie Pillora and Sarah Artist from the UTS Centre for Local Government, with input and advice from the following people:

Peter Gesling, General Manager, Port Stephens Council
The Local Government Business Excellence Network (LGBEN)
The Australian Chief Officer's Group

Custodians of several of the frameworks covered in this report provided additional information for inclusion in the review.

Information was also drawn from the report, *Sustainability Tools Selector, A Guide for Local Government* prepared for the Urban Sustainability Support Alliance by the Institute for Sustainable Futures, University of Technology, Sydney.

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Section A: Introduction

I. Purpose

This working paper describes the features of a range of frameworks designed to promote excellence and continuous improvement in Australian local government.

The purpose of this research, as a component of the ACELG *Review of Excellence Frameworks in Local Government project*, is to provide an overview of improvement frameworks that are currently available to councils and to assist councils better understand their purpose, features and potential usefulness.

This research will also assist ACELG in informing the future development of a local government excellence framework.

II. Basis for inclusion of frameworks and tools

The frameworks included in this paper were identified through consultation with the Local Government Business Excellence Network (LGBEN), with local government representative bodies and with individual councils that have considerable experience with one or more of the frameworks.

Frameworks included in this report either aim to cover all aspects of an organisation from planning through to reporting, or to assist with a particular aspect of organisational improvement, - for example strategic planning, staff development or corporate reporting. An important consideration in whether to include a framework was whether it is supported by an organisation that can provide additional resources, support, training and assessment services and ensure the framework is kept up to date.

This report does not include an exhaustive list of all the frameworks available, and no endorsement is intended to be implied. However it is true to say that all of the frameworks included in this report are currently being used in the local government context.

III. Local government context

In deciding which frameworks to adopt (or how to adapt an existing framework) it is acknowledged that councils need to take into account relevant state government legislative requirements and guidelines, for example Best Value principles outlined in the Victorian Local Government Act and the Integrated Planning and Reporting framework requirements in the NSW Local Government Act.

It is also acknowledged that due to variations in their size and operating budgets, some councils are constrained in their ability to pay for commercial products and external consultants. This does not mean however that they are not committed to putting into practice the principles of organisation excellence and continuous improvement in their organisations. A number of councils advise that they draw on material from a range of sources, including the frameworks and methods cited in this report, in the ongoing development of their own management systems.

Many councils are also interested in ensuring that the frameworks they adopt are suited to public sector agencies and fit with the notion of public value. References which explore some of the questions relating to public value are outlined in the last section, *Further Reading*.

IV. Frameworks reviewed in this report

International Quality Frameworks

- US Baldrige Excellence Framework
- European Framework for Quality Management
- Business Excellence Framework

Other Improvement Frameworks and Methodologies

- Balanced Scorecard
- Six Sigma / Lean Six Sigma
- Investors in People
- Human Synergistics
- Results-based Accountability Framework
- Global Reporting Initiative

Improvement programs developed for local government

- Better Practice Review Program (NSW)
- Best Value Frameworks (UK and Victoria)
- LG Improvement and Development Peer Review program (UK)
- Executives-on-loan program (US)
- 50:50 Vision - Councils for Gender Equity (Australia)

V. Features of frameworks reviewed

This report has been compiled from a desktop review of information gained from each of the framework websites. In order to be useful and usable by local government organisations, they tend to combine a number if not all of the following features which have been described for each of the frameworks in this report:

1. Brief description - an overview of the framework, including its purpose
2. Framework, principles or criteria which describe the approach - diagrams to illustrate the framework
3. Theory and research underpinning the framework explained - information on any needs analysis or research which informed the initial or ongoing development of the framework

4. Supporting materials - such as manuals, guidelines, checklists or training programs
5. Organisational support - support offered by the owner of the framework, including advice, facilitation or dissemination of good practice
6. An assessment process - whether assessment criteria are used by internal and/or external agents resulting in an improvement program
7. An awards process - awards recognising industry leaders and significant improvements
8. Evaluation, and sharing results with other organisations - whether there is a process of continual improvement of the tool itself, and also whether the sharing of results and good practice are facilitated between framework users
9. Tailored to the local government context – some of the frameworks have either been designed or tailored specifically for use in the local government context, and councils known to have used the framework are also referenced

Future iterations of this report will aim to add any additional information which has not been available at the time of writing.

VI. ISO 9001 standards and relationship to excellence frameworks.

ISO 9001 is a series of five international standards published in 1987 by the International Organization for Standardization (ISO), Geneva, Switzerland. Companies can use the standards to help determine what is needed to maintain an efficient quality conformance system. For example, the standards describe the need for an effective quality system, for ensuring that measuring and testing equipment is calibrated regularly and for maintaining an adequate record-keeping system. ISO 9001 registration determines whether a company complies with its own quality system.

Over the last two decades there has been a steady increase in the number of countries that have adopted ISO 9001 as their national quality standard, as well as a continual increase in the number of companies who certify to the standard.

ISO standards and associated guidance documents have several Australian distributors including SAI Global (www.saiglobal.com), NCS International (www.ncsi.com.au) and BSI Australia (www.bsigroup.com.au) all who offer training and accreditation. The organisation JAS-ANZ (www.jas-anz.com.au) gives accreditation to certifying bodies and maintains a register of accredited assessment bodies.

In a report on a study undertaken by Monash University in Victoria and supported by JAS-ANZ (Monash University, 2006), it is noted that due to a range of factors, including the strong influence of externally oriented motivations in the pursuit of ISO 9001 certification and the 'stand alone' rather than integrated approach taken to quality management, many companies have not gone beyond a minimalist approach to ISO 9001 implementation.

The frameworks and programs covered in this report, with their emphasis on the continuous improvement of all aspects of the organisation, complement the compliance focus of the ISO standards.

vii. Software tools that support excellence frameworks

A range of software packages and other technical tools are available to assist councils with the implementation of excellence frameworks. Some of the software packages are tailored to specific frameworks while others are more generic. While detailed coverage of these products is beyond the scope of this report, several of the generic products used by Australian councils are listed below.

Performance Planning software - *a purpose built solution to document, manage and report on all aspects of strategic and operational planning, including risk and sustainability issues.* See TechnologyOne homepage, www.TechnologyOne.com.au

Interplan software - *'a single system for driving your organisation's strategic, corporate, business and service level planning with budgets and performance measures linked to your management framework'*. See CAM Management Solutions homepage, www.cammanagementsolutions.com.au

HR Management, Business Plans and Governance Software – aimed at *'aligning individual employee effort to higher level Council outcomes with particular emphasis on Business Planning and Good Governance.'* See CAMBRON homepage, www.camron.com.au

Section B: International Excellence Frameworks

A brief overview is provided below of the three main excellence (or quality) models that are used internationally:

1. US Baldrige Excellence Framework
2. European Framework for Quality Management
3. Business Excellence Framework

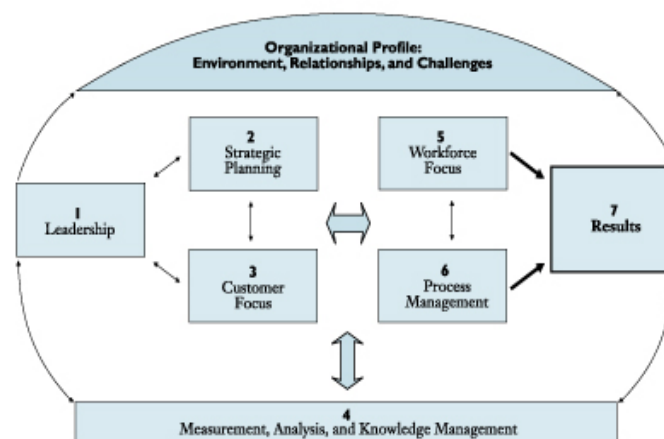
The custodians of these frameworks are members of the Global Excellence Model (GEM) Council along with Confederation of Indian Industry, Japanese Productivity Centre for Socio-Economic Development, Fundibeq (Latin America) and Spring Singapore – all who host excellence/quality awards. The GEM Council serves as *'a global fraternity in the field of Excellence and explores opportunities for new services and award programmes'*.¹

¹ www.efqm.org/en/Home/theEFQMnetwork/Partnerships/GEM

1. BALDRIGE NATIONAL QUALITY PROGRAM

Features	
<p>Brief description including purpose</p>	<p>The Baldrige National Quality Program, managed by The United States Commerce Department’s National Institute of Standards and Technology (NIST) has the mission of <i>‘enhancing the competitiveness, quality, and productivity of U.S. organizations for the benefit of all U.S. residents.’</i> The program:</p> <ul style="list-style-type: none"> • Develops and disseminates evaluation criteria • Manages the Malcolm Baldrige National Quality Award • Promotes performance excellence • Provides global leadership in the learning and sharing of successful strategies and performance practices, principles, and methodologies
<p>Framework, principles or criteria and whether expressed in diagrammatic form</p>	<p>The Baldrige performance excellence criteria are a framework that any organisation can use to improve overall performance. Seven categories make up the award criteria:</p> <ul style="list-style-type: none"> • Leadership • Strategic planning • Customer focus • Measurement, analysis, and knowledge management • Workforce focus • Process management • Results <p>The results category covers the organisation’s performance and improvement in its key business areas and includes governance and social responsibility and how the organisation performs relative to competitors. See diagram below.</p>

Framework for performance excellence criteria



Theory and research underpinning the framework explained	Material not provided on the Baldrige homepage.
Supporting materials such as manuals, guidelines, checklists, and training provision	Three versions of the Criteria for Performance Excellence – Business/Non profit, Education and Health Care, and a range of self assessment resources and case studies are available on the Baldrige home page free of charge.
Organisational support, eg staff/consultant advice and facilitation	Examiner ambassadors complement the efforts of Baldrige staff in conducting the award process. More than 550 industry experts serve as Examiners every year.
An assessment process involving internal and/or external agents, resulting in improvement program	The program provides assessment tools to evaluate improvement efforts and feedback reports from a team of trained experts, highlighting organizational strengths and opportunities for improvement. Assessments are subsidised. Self assessment tools are also provided.
An awards process which recognises industry leaders and significant improvements	The Baldrige Award is given by the President of the United States to businesses—manufacturing and service, small and large—and to education, health care and non profit organisations that apply and are judged to be outstanding in the seven categories listed above.
Evaluation and/or process for continual improvement of the framework itself, and sharing results with other organisations	The Baldrige website contains data on evaluation and information on new initiatives in response to evaluation and feedback. Improvement suggestions are also invited.
Tailored to the local government context	No information provided.

Contact details

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Website: www.nist.gov/baldrige

2. EFQM - EUROPEAN FOUNDATION FOR QUALITY MANAGEMENT

Features	
<p>Brief description including purpose</p>	<p>EFQM is a not for profit membership foundation with the stated mission of <i>'bringing together organisations striving for Sustainable Excellence.'</i></p> <p>EFQM is the custodian of the EFQM Excellence model, described by EFQM as a <i>'a non-prescriptive framework that can be used to gain a holistic view of any organisation regardless of size, sector or maturity and provides a framework for comparison with other organisations.'</i></p> <p>Founded in 1988, EFQM has 600 members comprising private and public organisations from different sectors. EFQM claim that their framework is the most widely used organisational framework in Europe and it is the basis for the majority of national and regional quality awards.</p>
<p>Framework, principles or criteria and whether expressed in diagrammatic form</p>	<p>It is based on nine criteria. Five of these are 'Enablers' and four are 'Results'. The 'Enabler' criteria cover what an organisation does. The 'Results' criteria cover what an organisation achieves and how. See diagram below.</p>
<div style="border: 2px solid orange; padding: 10px;"> <p>The diagram illustrates the EFQM Excellence Model. It is divided into two main sections: 'Enablers' on the left and 'Results' on the right. An orange arrow points from the Enablers section to the Results section. Below the Results section, an orange arrow points back to the Enablers section, labeled 'Learning, Creativity and Innovation'. The Enablers section consists of three vertical boxes: 'Leadership', 'People', and 'Partnerships & Resources'. The 'People' box is further divided into 'Strategy' and 'Partnerships & Resources'. The 'Results' section consists of three vertical boxes: 'People Results', 'Customer Results', and 'Society Results'. The 'People Results' box is further divided into 'People Results' and 'Key Results'.</p> </div>	
<p>Theory and research underpinning the tool explained</p>	<p>No material provided on EFQM website</p>

Supporting materials such as manuals, guidelines, checklists, and training provision.	<p>The EFQM Knowledge Base contains a range of tools, resources, reports, presentations, logos and cases studies for members. Some EFQM publications are also for sale to non-members.</p> <p>EFQM Training Services include:</p> <ul style="list-style-type: none"> • Assessor Development Path • Line Manager Development Path • EFQM Ambassador Training • Leadership Development Program.
An assessment process involving internal and/or external agents, resulting in improvement program	<p>EFQM provides frameworks for different types of assessment and assists organisations with internal and external assessments to identify areas for improvement.</p> <p>The EFQM Assessor Training course is provided for Assessors.</p>
An awards process which recognises industry leaders and significant improvements	<p>The EFQM annual excellence award is a key feature of the program. Award winners since 1992 are listed on the EFQM website.</p>
Organisational support, eg staff/consultant advice and facilitation	<p>Services to support implementation include peer to peer exchange and benchmarking, Learning Visits and Communities of Practice.</p> <p>Services are provided by EFQM core staff in Brussels and an international network of trainers and consultants.</p>
Process for continual improvement of the framework itself, and sharing results with other organisations	<p>The EFQM Excellence Model is regularly revised with the 2010 version now being promoted. In a poll carried out by EFQM, 97% of the users found the upgraded model useful and of value.</p>
Tailored to the local government context	<p>The EFQM is widely adapted for use in different sectors in different countries, including public interest organisations. A well documented example is the Singapore School Excellence Model (Ng Pak Tee, 2003). No information available on the use of EFQM by local government at the time of writing.</p>

Contact Details

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3. BUSINESS EXCELLENCE FRAMEWORK (BEF)

Features	
<p>Brief Description and overview</p>	<p>SAI Global who hosts the Business Excellence Framework (BEF) describe the framework as:</p> <p><i>'An integrated leadership and management system that describes the elements essential to sustainable organisational excellence'</i></p> <p>There are close to 80 national Business Excellence models - all based on the set of principles outlined below.</p>
<p>Aspirations, framework, principles or criteria</p>	<p>The BEF provides a set of business excellence principles covering the areas of Leadership, Strategy and Planning, Data, Information and Knowledge, People, Customer and Market Focus, Innovation, Quality and Improvement and Success and Sustainability. See diagram below.</p>
<p>Business Excellence Framework</p> 	
<p>Theory and research underpinning the tool explained</p>	<p>No material provided on the website</p>
<p>Supporting materials such as manuals, guidelines, checklists, and training provision</p>	<p>As advised by SAI Global, supporting materials include:</p> <ul style="list-style-type: none"> • Diagnostic tools to identify gaps in performance • Practical organizational improvement programs • Publications to grow organizational understanding to achieve organizational excellence • Training and workshops in all aspects of Operational Excellence <p>A Graduate Certificate in Business Excellence is also offered.</p>

An assessment process involving internal and/or external agents, resulting in improvement program	In addition to SAI Global assessors, the option of self assessment is provided through diagnostic tools to identify gaps in performance or external assessment.
An awards process which recognises industry leaders and significant improvements	The Australian Business Excellence Awards include Bronze, Silver and Gold categories and the Excellence Medal. Study tours are provided to showcase the award winning businesses.
Staff/consultant advice, facilitation and dissemination of good practice	Consultants from SAI Global can offer structured training workshops, information session and individual coaching to key staff.
Process for continual improvement of the framework itself, and sharing results with other organisations	BEF personnel advise that they are reviewing their tools and programs in response to feedback from councils.
Tailored to the local government context	The Excellence in Local Government program (EiLG) is tailored to support councils in integrating BEF. Core costs vary between \$30,000 and \$40,000 in the first year, depending on the size of the council and the components selected. Around 70 councils in Australia are using the ABEF framework in a strategic capacity.

Contact details:

BEF Excellence in Local Government Program

SAI Global

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Website: www.saiglobal.com

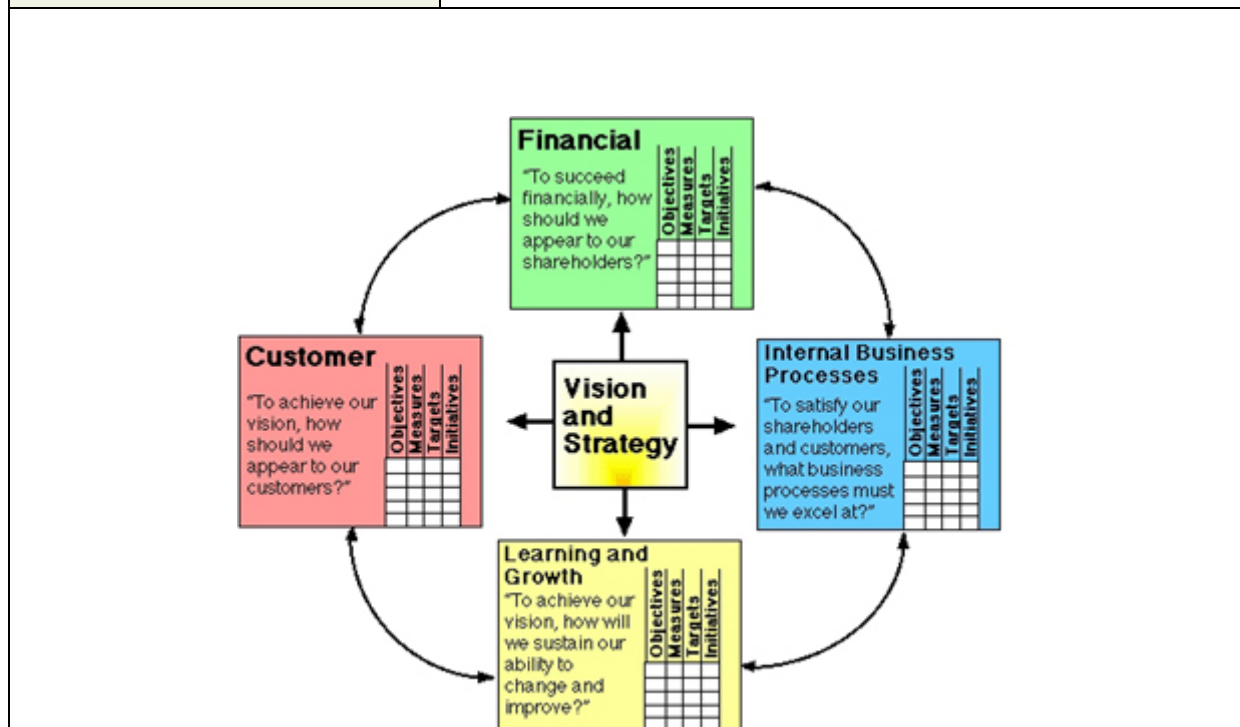
Section C: Other Improvement Frameworks & Methods

This section provides an overview of frameworks and methods that address some (but not all) elements of organisational improvement and can be used in conjunction with the overarching frameworks outlined in Section B.

1. Balanced Scorecard
2. Six Sigma
3. Investors in People
4. Human Synergistics
5. Results based accountability framework
6. Global Reporting Initiative

4. BALANCED SCORECARD

Features	
<p>Brief description including purpose</p>	<p><i>The Balanced Scorecard Institute (BSI) in the United States describes the balanced scorecard as a 'strategic planning and management system used to align business activities to the vision and strategy of the organization, improve internal and external communications, and monitor organisational performance against strategic goals.'</i></p> <p>It was originated by Drs. Robert Kaplan (Harvard Business School) and David Norton as a performance measurement framework that added strategic non-financial performance measures to traditional financial metrics to give managers and executives a more 'balanced' view of organisational performance. Visit, www.balancedscorecard.org for further information.</p> <p><i>Balanced Scorecard Australia (BSA) is the Australian affiliate of the USA-based Balanced Scorecard Institute.</i></p>
<p>Framework, principles or criteria and whether expressed in diagrammatic form</p>	<p>The balanced scorecard suggests that the organisation is viewed from four perspectives, and develops metrics, collects data and analyses it relative to each of these perspectives:</p> <ul style="list-style-type: none"> • The Learning & Growth Perspective • The Business Process Perspective • The Customer Perspective • The Financial Perspective



Theory and research underpinning the tool explained	BSI website refers to the established management principles that underpin their approach but does not provide details.
Supporting materials such as manuals, guidelines, checklists, and training provision.	BSI provides a range of articles, case studies on their website. The section on government performance management also includes the 'municipal balanced scorecard'. BSA provides 2, 3, and 5-day training courses about developing, implementing and maintaining balanced scorecards systems (BSCs) in organisations. The courses are held alternately each month in Melbourne and Sydney. Customised workshops are also offered.
An assessment process involving internal and/or external agents, resulting in an improvement program	The focus of BSI is on assisting organisations to develop a strategic management system rather than on external benchmarking. The Nine-Steps to Success Framework for developing a strategy based scorecard system: <ol style="list-style-type: none"> 1. Assessment of the organisation 2. Confirmation or development of the organisation's principal strategies 3. Developing Strategic Objectives for the organisation 4. Developing Strategy Maps for the organisation 5. Developing the organisation's Performance Measures and Targets 6. Developing the organisation's Strategic Initiatives 7. Automation 8. Cascading the BSC throughout the organisation 9. Ongoing monitoring - the system in use
An awards process which recognises industry leaders and significant improvements	No awards process in Australia.
Organisational support, eg staff/consultant advice and facilitation	<i>Balanced Scorecard Australia</i> provides introductory workshops and expert advice as part of consulting services.
Evaluation and/or process for continual improvement of the tool itself, and sharing results with other organisations	No information provided on the website.
Tailored to the local government context	The BSI website contains articles and case studies of how the scorecard can be applied to different sectors. A number of Australian councils use this approach.


Contact details

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5. INVESTORS IN PEOPLE

Features	
<p>Brief description including purpose</p>	<p>The Investors in People (IIP) Standard is used as a quality framework and measurement tool to benchmark best practice of an organisations people strategy.</p> <p>It was developed in the United Kingdom in the early 90's to give organisations a framework to use to help them improve the performance of their organisation through its people. Since then it has been adopted by over 80,000 organisations worldwide and is available in 19 different languages.</p> <p><i>Investors in People Australia</i> (IIP Australia) operates as part of the network run by <i>Investors in People UK</i> (IIP UK) and their strategic partner, the <i>International Quality Centre</i>.</p>
<p>Framework, principles or criteria and whether expressed in diagrammatic form</p>	<p>The IIP Standard contains 10 Indicators and supported by 39 Evidence requirements. See diagram below.</p>
<p>Investors in People Standard</p>  <p>The diagram illustrates the Investors in People Standard as a circular process. At the center is a white circle with the text "Improving performance" and "Taking action to improve the performance of the organisation". Surrounding this is an orange ring with the word "DO" at the bottom. The next ring out is divided into 10 segments, numbered 1 to 10, each with a specific strategy or indicator name. The outermost ring is divided into three sections: "REVIEW" (top-left), "PLAN" (top-right), and "DO" (bottom). Arrows indicate a clockwise cycle between these sections.</p>	
<p>Theory and research underpinning the tool explained</p>	<p>Although information is not provided on the website, IIP personnel advise that the framework is based on established performance management and leadership theory. Further details can be provided on request.</p>
<p>Supporting materials such as manuals, guidelines, checklists, and training provision</p>	<p>The IIP UK website contains IIP <i>Interactive</i>, a free business improvement tool including a diagnostic and free guides, examples and templates.</p> <p>IIP Australia offers a half day introductory course, <i>Investors in</i></p>

	<i>People Awareness</i> , aimed at senior management and a three day course designed for operational managers, <i>Creating Internal Champions</i> .
Organisational support, eg staff/consultant advice and facilitation	IIP consultants conducting the assessments review essential documents, undertake one- to -one interviews with selected staff and provide verbal feedback to managers and a written report. The price for an assessment is determined by size of the sample selected for interviews.
An assessment process involving internal and/or external agents, resulting in improvement program	IIP Australia offers a diagnostic assessment to provide feedback against the 10 Indicators of the Standard as reference points and a report highlighting areas for improvement.
An awards process which recognises industry leaders and significant improvements	Higher level accreditation (Bronze, Silver and Gold awards) can be applied for through IIP, which can be held for three years.
Evaluation and/or process for continual improvement of the tool itself, and sharing results with other organisations	IIP Australia can provide summary research into the impact of the IIP standard on business performance (Cranfield University, 1998).
Tailored to the local government context	<p>IIP UK works in collaboration with the LG Improvement and Development agency to actively support local authorities in their workforce strategies and business performance. IIP UK advise that a significant majority of local authorities work with IIP with 71% of authorities having Investors in People status for the whole of the authority. Eight local government case studies are included on their website.</p> <p>IIP Australia is promoting the tool for use by Australian councils. Councils who had used IIP at the time of writing include Manningham and Cardinia Shire in Victoria and Manly in NSW.</p>

Contact details

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 Investors in People Australia Pty Ltd
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Website: www.investorsinpeopleaustralia.com.au

6. SIX SIGMA AND LEAN SIX SIGMA

Features	
Brief description including purpose	<p>Six Sigma is a business management strategy originally developed by the company Motorola. Six Sigma seeks to improve the quality of process outputs by identifying and removing the causes of defects (errors) and minimising variability in manufacturing. It uses a variety of quality management methods in particular statistical methods and creates a special infrastructure of people within the organization, including Black Belts and Green Belts who are experts in these methods. Each Six Sigma project carried out within an organization follows a defined sequence of steps and has quantified targets. These targets can be financial (cost reduction or profit increase) or whatever is critical to the customer of that process (cycle time, safety, delivery, etc).</p>
Framework, principles or criteria and whether expressed in diagrammatic form	<p>Six Sigma projects follow two project methodologies. DMAIC (Define, Measure, Analyse, Improve, Control) is used for projects aimed at improving an existing business process. See diagram below.</p> <div data-bbox="911 1003 1110 1205" data-label="Diagram"> </div> <p>DMADV (Define, Measure, Analyse, Design, Verify) is used for projects aimed at creating new product or process designs.</p> <div data-bbox="911 1350 1110 1552" data-label="Diagram"> </div> <p>Within the individual phases of a DMAIC or DMADV project, Six Sigma uses many established quality-management tools that are also used outside of Six Sigma.</p>
Theory and research underpinning the tool explained	<p>The term Six Sigma comes from a field of statistics known as process capability studies. Originally, it referred to the ability of manufacturing processes to produce a very high proportion of output within specification. Six Sigma drew on preceding quality improvement methodologies such as quality control TQM and Zero Defects.</p> <p>Like its predecessors, Six Sigma theory asserts that:</p>

	<ul style="list-style-type: none"> • Continuous efforts to achieve stable and predictable process results (i.e., reduce process variation) are of vital importance to business success • Manufacturing and business processes have characteristics that can be measured, analysed, improved and controlled • Achieving sustained quality improvement requires commitment from the entire organization, particularly from top-level management.
Supporting materials such as manuals, guidelines, checklists, and training provision	<p>Motorola University provides articles and limited free training material on their website www.motorola.com/Business/US-EN/Motorola+University/Free+Six+Sigma+Lessons. A wide range of other organisations and consultancies in the US, Australia and elsewhere provide resource materials, software, training and certification in the six sigma method - and variations of the six sigma method such as Lean Six Sigma.</p> <p>Australian universities that provide Six Sigma training include Melbourne University, UTS and UniSA. Commercial providers include SAI Global.</p>
Organisational support, eg staff/consultant advice and facilitation	A range of commercial providers offer consultancy services and advice in the application of six sigma method.
An assessment process involving internal and/or external agents, resulting in improvement program	Six Sigma assessments is focused on specific processes within an organisation – using trained internal staff or external consultants.
An awards process which recognises industry leaders and significant improvements	No award process
Evaluation and/or process for continual improvement of the tool itself, and sharing results with other organisations	Evaluations of this tool vary greatly with many users claiming significant reductions in costs. Critics claim that the tool is narrowly designed to fit an existing process and cannot be applied universally.
Tailored to the local government context	Although not designed for government, public sector organisations have applied aspects of the six sigma method. Councils who are applying Six Sigma to reduce errors and to reduce costs include The Hills Shire in Sydney, NSW.

Contact

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7. HUMAN SYNERGISTICS

Features	
<p>Brief description including purpose</p>	<p>Human Synergistics in Australia is part of a group of a Human Synergistics group of companies that originated in the United States.</p> <p>The organisation describes their Integrated Development System as ‘ a multi-level system for human performance measurement and development. The system enables organisations to initiate change programmes at the individual, group and organisational levels either simultaneously or sequentially.’</p>
<p>Framework, principles or criteria and whether expressed in diagrammatic form</p>	<p>Human Synergistics have developed the Circumplex model which ‘forms the foundation of the integrated system and is a quantitative measurement instrument providing a common language and theme to link these multi-level development efforts.’</p> <p>The circumplex draws on twelve styles of thinking and behaving and clusters these into three general orientations – constructive, passive/defensive and aggressive/defensive. See diagram below.</p>
<p>The Circumplex model</p>	
<p>Theory and research underpinning the tool explained</p>	<p>The HSI website advises that HSI Circumplex was developed by psychologist Dr. J. Clayton Lafferty over 30 years ago and claims that ‘ Scientific principles of observation, testing, application and measuring changes ensure the reliability and validity of our approach.’ However details of underlying theory are not provided.</p>

Supporting materials such as manuals, guidelines, checklists, and training provision	Tools used by Human Synergistics include The Leadership Styles Inventory (LSI), the Organisational Effectiveness Inventory (OEI) and the Organisational Culture Inventory (OCI) - all briefly described on the website. Several articles and case studies are provided on the website.
Organisational support, eg staff/consultant advice and facilitation	Human Synergistics offers consulting and training services from offices in Sydney and Melbourne. Accreditation and member services are provided for consultants. Other providers of training include LGSA NSW who deliver the <i>Human Synergistics Culture Change Program</i> (www.lgsa.org.au).
An assessment process involving internal and/or external agents, resulting in improvement program	External consultants offer assistance to organisations in applying the above tools and developing ' <i>prescriptive improvement plans</i> '.
An awards process which recognises industry leaders and significant improvements	The Cultural Transformation Achievement Award, established in 2006, is open to companies in Australia and New Zealand.
Evaluation and/or process for continual improvement of the tool itself, and sharing results with other organisations	Human Synergistics personnel advise that there is an ongoing process for data collection and review of their tools.
Tailored to the local government context	While not tailored to the local government context, Human Synergistics advise that over 50 councils have used these methods, including Marion in SA, Mandurah in WA and Fairfield in NSW.

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8. RESULTS BASED ACCOUNTABILITY FRAMEWORK

Features	
Brief description including purpose	<p>The Results Based Accountability Framework was developed by the Fiscal Policy Studies Institute (FPSI) founded in 1996 by Mark Friedman.</p> <p>Results-Based Accountability is described as <i>'a disciplined way of thinking and taking action that can be used to improve the quality of life in communities, cities, states, territories and nations. Results-Based Accountability can also be used to improve the performance of programs, agencies and service systems.'</i></p> <p>The framework and associated materials have been applied mainly to social programs, such as programs for family and children but the principles can be more broadly applied.</p>
Framework, principles or criteria and whether expressed in diagrammatic form	<p>While the framework is not explained on the website, the process includes:</p> <ul style="list-style-type: none"> • starts with ends and works backwards to means through thinking and questioning, • emphasis on the importance of using a common and plain language; • clarifying population accountability and performance accountability and dealing with these separately; • establishing results and indicators of community well-being that will deliver the desired results; • visually plotting results; • using results to drive decision making and budgeting; • identifying performance measures for programs, agencies, and service systems; • annual review of outcomes and rethinking of strategies that are not delivering; • using performance measures to improve performance; • three simple performance measure categories: How much did we do? How well did we do it? Is anyone better off? and • linking program accountability to cross community efforts.
Theory and research underpinning the tool explained	<p>Friedman explains his approach in his book, <i>Trying Hard Is Not Good Enough, How to Produce Measurable Improvements for Customers and Communities</i>, which can be ordered on line www.resultsaccountability.com</p>
Supporting materials such as manuals, guidelines, checklists, and training provision	<p>A range of related publications are listed on the website. Materials that can be purchased include the <i>Results Accountability 101 DVD</i>.</p>

Organisational support, eg staff/consultant advice and facilitation	FPS runs workshops within the US and internationally and also makes materials available to government, non profit organisations and small consultancies. For example FPSI ran workshops in June 2010 in Victoria and Tasmania.
An assessment process involving internal and/or external agents, resulting in improvement program	No assessment process offered by external agents.
An awards process which recognises industry leaders and significant improvements	No awards process.
Evaluation and/or process for continual improvement of the tool itself, and sharing results with other organisations	No information provided on the website.
Tailored to the local government context	The framework has not been tailored to local government however the emphasis on outcomes for communities has resulted in strong interest in this framework by a range of government and non profit organisations.

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9. GLOBAL REPORTING INITIATIVE

Features	
Brief description including purpose	<p>The Global Reporting Initiative (GRI) framework assists organisations to move beyond financial reporting and to report on their economic, environmental and social dimensions of their activities, products and services. The main elements of the framework, the Sustainability Reporting Guidelines, include guidance on performance indicators and provide a common reporting language across private and public sectors.</p> <p>Supported by the Federal Government in Australia, the Global Reporting Initiative (GRI) is a network-based international organisation established in 1997 with the mission of developing globally applicable guidelines for sustainability reporting.</p> <p>Since its inception in 1997, nearly 1000 organisations have referenced the Guidelines in their sustainability reports. These include organisations from many sectors across the globe.</p>
Framework, principles or criteria and whether expressed in diagrammatic form	<p>The GRI framework sets out principles and indicators that organisations can use to measure and report their economic, environmental, governance and social performance. The cornerstone of the framework is the Sustainability Reporting Guidelines. The third version of the Guidelines, known as the G3 Guidelines, was published in 2006.</p> <p>GRI is a broad approach intended for use by all organisations, not just in the private sector.</p>
Theory and research underpinning the tool explained	<p>The Learning and Support section of the GRI website provides research and development publications</p>
Supporting materials such as manuals, guidelines, checklists, and training provision	<p>A range of materials can be downloaded for free from the GRI website. These include the Sustainability Reporting framework, information on Application Level Checks, Indicator Protocols and Sector Supplements:</p> <p>http://www.globalreporting.org/ReportingFramework/ReportingFrameworkDownloads .</p>
Organisational support, eg staff/consultant advice and facilitation	<p>The GRI Network Manager in Australia provides introductory workshops. As capacity is limited, the GRI Certified Training Program has been developed to help users to more effectively use the GRI Framework and GRI reports. See GRI website for organisations certified to deliver the training.</p>
An assessment process involving internal and/or external agents, resulting in improvement program	<p>Although the guidelines are designed for self assessment by organisations, GRI encourages the independent or external assurance of sustainability reports to improve the credibility of the reports.</p>
An awards process which recognises industry leaders and significant improvements	<p>No awards process.</p>

Evaluation and/or process for continual improvement of the tool itself, and sharing results with other organisations	A key objective of GRI is the exchange of sustainability information and the continuous improvement of the Sustainability Reporting Framework through the participation of network members. In response to calls by leading organisations, GRI is developing community indicators and human rights indicators.
Tailored to the local government context	<p>A Public Agency Sector Supplement has been produced for use by public sector organisations including local government.</p> <p>While a number of Australian councils use GRI materials which are available free of charge, some councils are GRI organisational members including Brisbane City Council, the City of Gosnells, the City of Melbourne, Penrith City Council and Hornsby City Council.</p>

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Section D: Improvement Programs Developed for Local Government

This section provides an overview of several programs developed specifically for the local government sector - in Australia and internationally.

- Better Practice Review program (NSW)
- Best Value frameworks (UK and Victoria)
- LG Improvement and Development peer review program (UK)
- Executives-on-loan program (US)
- 50:50 Vision - Councils for Gender Equity (Australia)

10.NSW PROMOTING BETTER PRACTICE PROGRAM

Features	
Brief description including purpose	<p><i>The NSW Local Government Reform - Promoting Better Practice</i> is a review process that is part of the local government reform program managed by the Division of Local Government, NSW Department of Premier and Cabinet. The program aims to improve the viability and sustainability of councils.</p> <p>The process has a number of objectives:</p> <ul style="list-style-type: none"> • to generate momentum for a culture of continuous improvement and greater compliance across local government • to provide an 'early intervention' option for councils experiencing operating problems • to promote good governance and ethical conduct principles • to identify and share innovation and good practice in local government • to enable the division to use review information to feed back into its work in identifying necessary legislative and policy work for the local government sector.
Framework, principles or criteria and whether expressed in diagrammatic form	<p>Program tools include:</p> <ul style="list-style-type: none"> • Promoting Better Practice Checklist • Annual Report Checklist • Management Plan Checklist • State of the Environment Report Checklist
Theory and research underpinning the tool explained	Information not provided on website.
Supporting materials such as manuals, guidelines, checklists, and training provision	<p>Supporting materials include Divisional Practice Notes and Guidelines, Publications issued by the Independent Commission Against Corruption, the NSW Ombudsman and the Audit Office of NSW, Resources produced by the Local Government and Shires Associations and Local Government Managers Australia, and examples of better practices from other councils.</p> <p>A series of 5 checklists that relate to council's assessment of its ability to meet minimum practice standards is provided. The checklist covers the areas of Governance; Regulatory Functions; Asset and Financial Management; Community and Consultation; and Workforce Relations.</p>
Organisational support, eg staff/consultant advice and facilitation	The divisional review team assesses council's overall strategic direction, checks compliance, examines practices and ensures that council has frameworks in place to monitor its performance, and provides feedback to councils.

	The division encourages all councils to use the program tools as a basis for self-assessment of their own operations and performance.
An assessment process involving internal and/or external agents, resulting in improvement program	The assessment process involves a combination of self assessment and external assessment provided by the division resulting in recommendations for improvement.
An awards process which recognises industry leaders and significant improvements	No awards process
Evaluation and/or process for continual improvement of the framework itself, and sharing results with other organisations	An evaluation in 2009 has resulted in changes to the program with reporting being 'by exception' rather than a detailed audit of all aspects of a councils performance. The Division of Local Government is also aiming to provide more useful information on what constitutes good practice.
Tailored to the local government context	This program is designed specifically for NSW Local Government. Review reports undertaken since 2004 are available on the DLG website, www.dlg.nsw.gov.au/dlg/dlghome .

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11.BEST VALUE REVIEWS

Features	
Brief description including purpose	<p>Organisational reviews based on Best Value Principles are designed to ensure that local services are a reflection of local community needs and expectations, both in terms of quality and cost.</p> <p>Best Value framework and principles originated in the UK (see details below). In 1999 the Victorian government introduced legislation for Best Value Principles to replace compulsory competitive tendering, -the Local Government (Best Value Principles) Act 1999, Act No. 59/1999.)</p>
Framework, principles or criteria and whether expressed in diagrammatic form	<p>Best Value Principles can be summarised as follows :</p> <ul style="list-style-type: none"> • All services must meet quality and cost standards • All services must be responsive to community needs • A service must be accessible to those for whom it is intended • A council must achieve continuous improvement in its provision of services. <p>The Victorian Government expands on explains these principles in the Local Government Act, www.austlii.edu.au/au/legis/vic/consol_act/lga1989182</p> <p>Planned review of services has been viewed as a requirement for achieving a high standard of continuous improvement. Building on the Victorian experience, the City of Ryde (NSW) who is progressively undertaking Best Value Reviews of each of the 21 service units, has established the following framework for the Reviews:</p> <p>Stage 1 - Review and Improve (Challenge) Stage 2 - Measure Satisfaction and Performance (Consult) Stage 3 - Benchmark and Learn (Competition and Compare) Stage 4 - Prioritise Services and Create Innovation (Implement)</p> <p>For further details visit: www.ryde.nsw.gov.au/council/organisationalreview</p>
Theory and research underpinning the tool explained	<p>Between 2000/01 and 2007/08, Best Value provided the statutory basis on which councils planned, reviewed and managed their performance. Under Best Value, councils had a duty to continuously improve their services. Comprehensive Area Assessment (CAA) is the new UK external assessment of how well local public services are performing. CAA seeks to assess how well communities are being served by their local public services, including councils, police, health, and fire and</p>

	rescue services. It emphasises the quality of life of residents, and how well these bodies, working together, are achieving improvement and progressing towards long-term goals.
Supporting materials such as manuals, guidelines, checklists, and training provision	<p>The Improvement and Development Agency for local government (LG Improvement and Development) website, www.LG Improvement and Development .gov.uk , contains several publications that explain Best Value as well as other improvement tools.</p> <p>Local Government Victoria in partnership with the LGPro Corporate Planners Network and the former Best Value Commission produced '<i>A Guide to achieving a whole for organisation approach to Best Value.</i>' Copies can be downloaded free of charge from www.localgovernment.vic.gov.au .</p>
Organisational support, eg staff/consultant advice and facilitation	<p>The former Victorian Best Value Commission provided services to councils in implementing the framework.</p> <p>Local Government Victoria provides programs that build on best value principles, in particular the <i>Council Reforming Business</i> program which has an emphasis on procurement. See www.localgovernment.vic.gov.au</p>
An assessment process involving internal and/or external agents, resulting in improvement program	In the UK Best Value compliance was demonstrated through an external audit process. In Victoria the sector was encouraged to develop its own solutions to achieve and demonstrate performance improvement.
An awards process which recognises industry leaders and significant improvements	No awards process.
Evaluation and/or process for continual improvement of the tool itself, and sharing results with other organisations	While still a key part of Victorian legislation, Best Value as a methodology does not appear to have any current organisational champions – apart from individual councils. Note the comments above about changes in approach in the UK.
Tailored to the local government context	Apart from Victoria, where the Best Value framework has been prescribed in legislation, several councils, including Ryde City Council (referenced above) use Best Value principles in conducting service reviews across the organisation.

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12.LG IMPROVEMENT AND DEVELOPMENT: PEER REVIEW PROGRAM

Features	
Brief description including purpose	<p>The UK Improvement And Development Agency for Local government runs the Peer Review program which involves working with local authorities and their partners to develop and share good practice. <i>'Helping authorities challenge and learn from each other is at the heart of our improvement support. Lessons learnt are shared throughout the sector and fed into national policy.'</i></p> <p>The Peer Clearing House recruits, accredits and place peers. Peers work on a variety of projects to help build capacity, confidence and sustainability in local government by sharing knowledge and experience.</p> <p>The LG Improvement and Development Agency also has a network of regional associates who are the first port of call for chief executives, leaders and other senior people to turn to for solutions and advice. The regional associate has a remit to make sure that the services delivered by the LG Improvement and Development Agency and other local government bodies take account of the challenges faced by councils in their area.</p>
Framework, principles or criteria and whether expressed in diagrammatic form	<p>There are a number of peer reviews in areas such as 'Ageing well peer review', 'Corporate peer reviews', 'Healthy communities peer review' etc.</p> <p>Many of these peer reviews are accompanied by a 'Benchmark' which outlines their assessment criteria.</p>
Theory and research underpinning the tool explained	Information not provided.
Supporting materials such as manuals, guidelines, checklists, and training provision	LG Improvement and Development Agency provides online resources and diagnostic tools for most of the peer reviews on the website
Organisational support, eg staff/consultant advice and facilitation	<ul style="list-style-type: none"> • The LG Improvement and Development Agency review manager confirms with the council the focus of the peer review • A team of peers visits the council for a short period of time – usually between three and five days • Peers use a specifically-designed diagnostic tool and, for most reviews, an established benchmark to help identify strengths and weaknesses within the council • Peers review documentation and interview senior officers, elected members, service users and representatives of your council's key partners and contractors • Peers make a presentation outlining the team's key findings and recommendations based on the benchmark. For most reviews, this is followed up with a

	report outlining their evidence and conclusions in more detail.
An assessment process involving internal and/or external agents, resulting in improvement program	The Peer Clearing House (PCH) recruits, accredits and places peers. It facilitates the brokerage of peers for both the LG Improvement and Development Agency and non-LG Improvement and Development Agency improvement projects in the public sector. Accredited peers are serving public sector members and officers who have shown they have the relevant competencies to operate as a peer.
An awards process which recognises industry leaders and significant improvements	No information provided on award processes.
Evaluation and/or process for continual improvement of the tool itself, and sharing results with other organisations	Some of the peer reviews are undertaken in collaboration with professional associations in the particular area of the peer review, for example the 'planning peer review' is conducted by the Planning Advisory Service. Sharing results is an inherent component of the process, as peers inevitably learn about approaches in other organisations while conducting the review. Case studies are also offered in some areas.
Tailored to the local government context	Program designed specifically for local government in the UK.

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13.EXECUTIVE- ON- LOAN PROGRAM

Features	
Brief description including purpose	<p>The Executive On-Loan program is delivered by the Public Technology Institute (PTI) , a US not-for-profit member-supported organisation based in Washington, D.C. that <i>'works with local government officials to identify opportunities for technology research, to share solutions and recognize member achievements, and develop best practices that address the technology management, governance and policy issues that impact local government.'</i> PTI provides strategic and technical guidance to local governments that are exploring technology-related projects.</p> <p>PTI's Executive-On-Loan Program (often referred to as SWOT teams) consists of experienced subject matter professionals from within local government, and consultants from PTI's pool of technology industry partners.</p>
Framework, principles or criteria and whether expressed in diagrammatic form	Three different levels of Executive-On-Loan engagements are available. Each can have added features on a case-by-case basis. See below for details.
Theory and research underpinning the tool explained	Information not provided on the website.
Supporting materials such as manuals, guidelines, checklists, and training provision	Supporting materials not provided on the website.
Organisational support, eg staff/consultant advice and facilitation	<p>PTI consulting services cover the following areas:</p> <ul style="list-style-type: none"> • Information Technology and Telecommunications • Community Broadband • Public Safety Technology and Homeland Security • Sustainability, Energy, and Environment • Transportation <p>Costs are reduced for PTI members.</p>
An assessment process involving internal and/or external agents, resulting in improvement program	<p>Level 1: Interactive Guidance: PTI identifies a subject matter expert/peer to spend a day in the council to speak with key stakeholder groups. PTI will work with this expert to develop a brief overview of the engagement, including any interviews conducted and preliminary findings.</p> <p>Level 2: In-Depth Guidance: PTI will bring a team of subject matter experts/peers who will spend one day in your jurisdiction, visiting the key stakeholders you identify, conducting interviews, examining your issue and composing an action plan.</p> <p>Level 3: Detailed, Comprehensive Guidance: Level 3 engagements allow for a two to three day visit by multiple subject matter experts/peers.</p>

An awards process which recognises industry leaders and significant improvements	Not applicable
Evaluation and/or process for continual improvement of the tool itself, and sharing results with other organisations	Information not provided
Tailored to the local government context	This program is designed specifically for local government in the US.

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14.50:50 Vision - Councils for Gender Equity Program

Features	
Brief description including purpose	<p>The 50:50 Vision – Councils for Gender Equity, a program jointly run by the Australian Local Government Women’s Association and the Australian Centre of Excellence for Local Government, is aimed at increasing the levels of participation of women in local government at both elected and senior management levels through long term cultural change.</p> <p>A key element of the 50:50 Vision Strategy is the national awards and accreditation program, which has been funded by the Federal Government.</p>
Framework, principles or criteria and whether expressed in diagrammatic form	<p>The national awards and accreditation program has three levels, Bronze, Silver and Gold.</p> <p>a. The Bronze Award - the entry level for the program requires an audit of staff/representative gender ratios, evidence of a council endorsed statement of commitment to address gender equity issues, outline of at least one project the organisation will undertake to address gender equity issues and a nominated 50:50 Vision champion.</p> <p>b. The Silver Award – to achieve the Silver Award (which will be open in September 2010) councils must have already completed the Bronze level and must achieve certification in 3 of the following: commitment and leadership, nomination and recruitment, remuneration, recognition and training, and work and family balance.</p> <p>c. The Gold Award – to be awarded, by peer review, to an organisation that has completed the Bronze and Silver levels and can demonstrate initiatives that display “<i>excellence and innovation in the pursuit of gender equity.</i>”</p>
Theory and research underpinning the tool explained	<p>The program was developed by a national steering committee auspiced by ALGWA, and was based on a range of local and national research. The documents detailing the program and underlying research are available on the www.5050vision.com.au website.</p>
Supporting materials such as manuals, guidelines, checklists, and training provision	<p>Initial training materials are being developed and will be distributed to ALGWA state and national representatives. As councils participation grows, the 50:50 website will be progressively populated with tools, draft resolutions, useful references and case studies.</p>
Organisational support, eg	<p>A Program Coordinator has been employed to provide support</p>

staff/consultant advice and facilitation	and advice to councils interested in participating in the program.
An assessment process involving internal and/or external agents, resulting in improvement program	The assessment process will involve benchmarking, and a self assessment feedback cycle. Assessment for the Gold Award is by peer review.
An awards process which recognises industry leaders and significant improvements	As outlined above, the awards process is the major tool for councils to review and improve their gender equity culture. The national accreditation process encourages the sharing of experiences in a wider forum.
Evaluation and/or process for continual improvement of the tool itself, and sharing results with other organisations	The Silver and Gold Awards are being piloted with four councils before being launched, and participating councils are encouraged to share their experiences – positive and negative, with others via forums on the 50:50 vision website.
Tailored to the local government context	This program has been designed specifically for Australian local government.

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Concluding comments

This working paper has researched a range of frameworks and tools identified through consultation with the Local Government Business Excellence Network (LGBEN) and other bodies. This overview is intended to provide Councils with an insight into what the improvement frameworks offer to assist in identifying suitable options prior to further detailed investigation.

As all organizations vary, frameworks and tools need to be adapted to suit the environment they will operate within. The process of adaptation can provide time to develop an agreed understanding of the framework or tool and to foster a shared sense of purpose in relation to organizational improvement.

These tools are not always used exclusively, and in fact some councils have achieved positive results by combining two or more approaches which offer different but complementary benefits.

From the research undertaken some comments can be offered for consideration of what makes a framework or tool useful in the local government context. Councils can derive benefit from a tool which has:

1. Aspirations, framework, principles or criteria which describe a desired approach;
2. Supporting materials such as manuals, guidelines, checklists, which may or may not be accompanied by training;
3. An assessment process involving internal and/or external agents, generating a report outlining strengths and weaknesses and an improvement program;
4. Involvement of peers in assessing strengths and weaknesses and identifying good practice and potential improvements;
5. A process for collating and sharing assessment results with other like organisations, enabling the identification of shared issues and good practice;
6. Organisational support which provides advice, facilitation and dissemination of good practice;
7. Industry networks which enable the sharing of experiences, resources and emerging solutions;
8. Tailored to the local government context vs a capacity to compare with other sectors and types of organisations; and
9. An awards process which recognises industry leaders and significant improvements.

The list of tools and frameworks reviewed here is not exhaustive. Feedback on this working paper is invited to develop the information provided, and this information will support the on-going investigation of a local government excellence framework.

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