LAGOS STATE GOVERNMENT

PERFORMANCE AGAINST SERVICE STANDARDS: ASSESSMENT TOOLS AND METHODOLOGY WORKSHOP FOR STAFF OF LAGOS STATE OFFICE OF TRANSFORMATION (OOT)

MARCH 2014

Content List

Abbreviations and Acronyms

BOS	Branding, OSPES and Standards
CE	Critical Element
CP	Corporate Planning
CSC	Civil Service Commission
FGD	Focus Group Discussion
LASG	Lagos State Government
LAWMA	Lagos State Waste Management Agency
M&E	Monitoring and Evaluation
MDAs	Ministries, Departments and Agencies
MEPB	Ministry of Economic Planning and Budget
METP	Ministry of Establishment and Pension
MIS	Management Information System
MoE	Ministry of Education
MoH	Ministry of Health
MPPUD	Ministry of Physical Planning and Urban Development
MTSS	Medium Term Sector Strategy
MVAA	Motor Vehicle Administration Agency
OHOS	Office of Head of Service
OoT	Office of Transformation
OSAuG	Office of the State Auditor General
OSPES	One Stop Public Enquiry Services
PSM	Public Service Management
PSO	Public Service Office
PSSDC	Public Service Staff Development Centre
SCCE	Service Charter Compliance Evaluation
SDU	Service Delivery Unit
SERVICOM	Service Compact with All Nigerians (Federal Government of Nigeria)
SHOA	State House of Assembly
SIP	Service Improvement Plan

SPARC	State Partnership for Accountability, Responsiveness and Capability
TA	Technical Assistance
TOR	Terms of Reference
TSL	Technical Stream Lead

Executive Summary

Short summary

The main thrust of this assignment was to work with the Lagos State Office of Transformation (OoT) to agree on best practice methodology for evaluating performance against service standards in Ministries, Departments and Agencies (MDAs) in Lagos State.

A participatory, hands-on and task oriented approach was used to empower OoT staff with capacity and confidence to facilitate Monitoring and Evaluation (M&E) of service delivery processes that conforms with the provisions of the Lagos State Charter Policy and Guidelines. Through learning-by-doing participants were able to use the tools presented at the workshop to practice, discuss and agree on the best approach for conducting service delivery evaluations in Lagos State. A 'Service Charter Compliance Evaluation – how to guide' was produced following the workshop and is an annex to this report.

Full summary

State Partnership for Accountability, Responsiveness and Capability (SPARC) through concerted deployment of capacity building solutions including Technical Assistance (TA) to Lagos State Government (LASG) is working to strengthen Public Service Management (PSM) in Lagos State. Through direct support from SPARC 14 MDAs developed and published Service Charters in 2012 and are implementing Service Improvement Plans (SIPs). The Lagos State Service Charter Guidelines stipulates the need for periodic evaluations, at least twice a year[1] to gauge the level of compliance to the provisions of the Service Charters. The Guidelines further stated that "the SERVICOM Index Compliance Evaluation provides a useful tool to evaluate performance against Service Charter standards. OoT staff as well as Service Delivery Unit (SDU) officials will need to be trained on the use of the Index"; the training incorporated other forms of evaluation, such as exit polls for user groups and surveys and feedback forms which also give a good indication of the quality of services.

OoT conducted an impact assessment from 7th to 18th January, 2013 aimed at measuring the level of compliance to the provisions of the Service Charters in the 14 pilot MDAs. This initiative by OoT though highly commendable exposed the need for further capacity building on M&E with emphasis on the SERVICOM index and methodologies for effective service quality evaluation. In keeping with the provisions of the Service Charter Guidelines, a potent participatory approach was adopted to work with OoT to develop a methodology for conducting effective service evaluations   guide that emphasise minimum standards for conducting evaluation in MDAs. It is critically important that the Charter evaluation system is congruent with each MDA's broader performance management system.

25 officers at senior and middle management in OoT were selected for training on M&E with emphasis on assessing performance against Service Standards in MDAs with support from SPARC. The goal of the workshop was to work with OoT to agree on a best practice methodology for measuring performance against service standards in MDAs. Specifically, the workshop introduced participants to: the concept of M&E, the SERVICOM index and other service evaluation methodologies. Energised by the learning from the workshop the participants worked with the consultant to agree on methodologies for conducting service delivery evaluations in Lagos state and are now enthused to champion service-wide assessment against service standards. The output was a draft "How-to-Guide" which streamlines methodologies and prescribes best practice tools for effective service delivery evaluations in Lagos State.

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[1] Lagos State Service Charter Guidelines

'Service Charter Compliance Evaluation – a How to Guide, May 2014' is expected to be used by OoT and MDAs in the evaluation of their service delivery standards and processes. It is relevant to MDA's Corporate Planning (CP) improvement plans. The guide contains sections outlining the role of compliance evaluation officers, how the evaluation tool should be used, and some of the specific steps compliance evaluation officers will need to plan, conduct and report on evaluations. The appendix contains a scoring template and indicators of evidence that can be adapted and used for different elements of conducting service standards evaluations.

Section One   Introduction and Background

The Office of Transformation (OoT) in the Office of the Governor works with the Office of the Head of Service (OHOS) to coordinate reforms within the public service. OoT with SPARC support worked with 14 pilot MDAs to develop Service Charters in 2011-12. Integrated Charters were developed by the Office of the Head of Service/Public Service Office (OHOS/PSO); Ministry of Economic Planning and Budget (MEPB); Office of the State Auditor General (OSAuG); Civil Service Commission (CSC); Ministry of Establishment and Pensions (METP – 2 charters); State House of Assembly (SHOA); Ministry of Physical Planning and Urban Development (MPPUD); Ministry of Education (MoE); Ministry of Health (MoH); Motor Vehicle Administration Agency (MVAA); Lagos Waste Management Authority (LAWMA); Lands Bureau; and Lagos State Public Service Staff Development Centre (PSSDC).

The objective of the Service Charter initiative was to institutionalise the concept of setting service standards to guide service delivery and to create equitable access to public services. It is expected that through the initiative, accountability of public servants will be increased and that citizens will be provided with an avenue for making effective service demands, communicating service needs and for complaining when service delivery fails.

In order to ensure that participating MDAs are complying with these provisions, the Lagos State Charter Policy states clearly that OoT will undertake comprehensive Monitoring and Evaluation (M&E) of the services of MDAs at regular and specified intervals to determine their compliance with the service delivery standards promised in the MDAs' Service Charters. OOT shall ensure that every MDA is assessed at least once a year and the report presented to each MDA after evaluation. "The results shall then be published so that performing MDAs are raised and praised while non-performing MDAs are named and shamed"[2].

M&E ideas are not new – effective organizations apply M&E practices to their work. However, we are currently witnessing an increase in the amount of systematic attention being applied to the field of M&E both internationally and within Nigeria. This is a very interesting and exciting development as the practice of M&E can contribute to sound governance in a number of ways: improved evidence-based policy making (including budget decision making), policy development, management, and accountability.

There is therefore a need to optimise the capacity of OoT to institutionalise the concept of M&E so as to promote Service Charter Compliance Evaluation (SCCE) in Lagos state. It is expected that by implementing periodic SCCEs, accountability of public servants will be increased and citizens will have more confidence in the avenues provided for making effective service demands, communicating service needs and for complaining when service delivery fails.

Objectives of the Assignment

Overall Objective

The overall objective of this assignment was to extend and deepen PSM reforms in Lagos State by enhancing OoT and LASG capability in conducting effective assessment against service standards/SCCE in Lagos State.

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[2] LASG Service Charter Policy 2010

Specifically, the objectives of this assignment were to:
- Train OoT staff on conducting effective service delivery evaluations;
- Train OoT staff on the use of the SERVICOM Index;
- Work with OoT to agree methodologies for measuring performance against service standards;
- To capture the methodology in a 'how to' guide (this objective was added during the SPARC briefing).

Scope of Work

Milestones and Specific Activities

The scope of the assignment is set out in the Terms of Reference (TOR) attached as appendix 1.

Approach and Methodology Adopted

Work Planning to Guide Implementation

In order to execute the assignment the consultant developed and submitted a work plan to SPARC to guide implementation. The work plan clearly indicated the consultant's interpretation of the assignment and what was achievable within the timeframe provided. The work plan also outlined activities to be performed in Lagos and those to be performed off-site. (A copy of the work plan is attached as appendix 2). Activities explained below are as contained in the work plan.

Development of Training Slides

Participatory training sessions were designed based on the content of the State Charter Policy and Guidelines for Implementation. Consultation with SPARC and OoT served as informal assessment to ensure that the workshop was tailored to the needs of participants. The background documents provided by OoT: Report of the Impact Assessment of Service Charter in the Fourteen (14) Pilot MDAs and briefing document provided by the SPARC PSM Technical Stream Lead (TSL) also informed the content the training material. (Training PowerPoint slides are attached as annex 1).

Delivery Methodology

Prior to the participatory workshop the consultant met with the OoT Deputy Director Branding, One Stop Public Enquiry Services (OSPES) and Service Charters (BOS) to review the presentation slides and agenda. The interaction provided information to enrich the workshop. Modules such as Reporting Evaluation Findings, Customer Consultation and Understanding Indicators were introduced to the workshop as a result of this interaction.

Interaction with SPARC helped to provide some background information to enrich the workshop content. Previous work on service charters and service improvement planning informed the design of some of the workshop modules to meet the needs of participants. Documents including: Service Charter policy and Service Charter guidelines; and what to include in a methodology that recommends how to review performance against service standards also informed some key modules in the workshop. The workshop agenda is attached as appendix 3.

Participatory Workshop with Staff of OoT

The participatory capacity building workshop was designed to enable participants to acquire the skills to facilitate M&E and to agree on methodologies for conducting SCCEs.

The workshop was structured to last for three days as follows:

- Day One dwelled on M&E and the Nigerian Public Service; The Concept of M&E and Service Quality and the SERVICOM Index;
- Day Two introduced participants to Guidelines for Evaluation (Five Phases), Methodology and Minimum Standards for Compliance Evaluation;
- Day Three focused on agreeing methodologies for conducting an evaluation.

The workshop content is outlined in section 2 below.

Section Two   Overview of the Assignment

Desk Review of Supporting Documents

The review of the report of Service Charter Impact Assessment provided the first glimpse of the service delivery evaluation competence in OoT and gave the consultant a clear direction of how best to empower OoT to facilitate service standard evaluation in MDAs and ensure that the Service Charter initiative achieves the purpose for which it is designed. Service quality is judged by customers, and not by organisations; only customers can determine if the Lagos State Civil Service is living up to the provisions of their Service Charters. This distinction is critical because it forces service providers to examine their quality from the customers' viewpoint. To do this effectively, strong skills in facilitating M&E is needed. The Lagos State Charter Guidelines recognises The *SERVICOM Index Compliance Evaluation* as a useful tool to evaluate performance against Service Charter standards; the Index tracks quality from the customer's perspective hence the need to build skills in understanding and using the Index. The Index is attached as appendix 4.

The Lagos State Charter Policy and Guidelines also served as supporting document for the workshop. The policy mandates OoT to conduct periodic evaluations and the guideline prescribes the SERVICOM Index as a best practice tool. The workshop prompted OoT to adopt existing policy and guidelines and to treat those sections of the workshop with the seriousness they deserved.

Capacity Building Workshop to Strengthen Performance Against Service Standards Evaluation Skills of OoT Staff

A comprehensive training package was developed to optimise the capacity of OoT to lead the implementation of Service Charters Compliance Evaluation (SCCE) in Lagos State. Senior and middle management staff drawn from different directorates in OoT including BOS (who have designated responsibility for Service Charters) were nominated to be trained in conducting SCCE in MDAs. The participation of staff from different directorates in BOS brought a new perspective to the training; it made participants see M&E as a core skill for OoT. The key learning from this as shared by the participants was that they too must uphold in their own departments the standards they expect from other MDAs. Credible service standards performance measurement can only be carried out if evaluators understand what makes good service delivery. For OoT, the insight provided by this is that if you are providing service you should evaluate it and measure its impact whether Service Charter is in place or not.

Details of the Capacity Building Workshop

Day one: The first day of the workshop introduced participants to M&E and the Nigerian Public Service; The Concept of M&E and Service Quality. A highlight of the session was getting participants to understand why we should measure the performance of public services. The realisation that public services delivered by government to citizens are crucial for poverty reduction and meeting development goals pointed participants to one direction: measurement is needed to determine whether poverty is being reduced or if we are meeting development goals. Without measuring performance, there is no way of knowing if you are meeting standards or improving services at all.

Figure 1 illustrates the importance of measurement in the service delivery process.
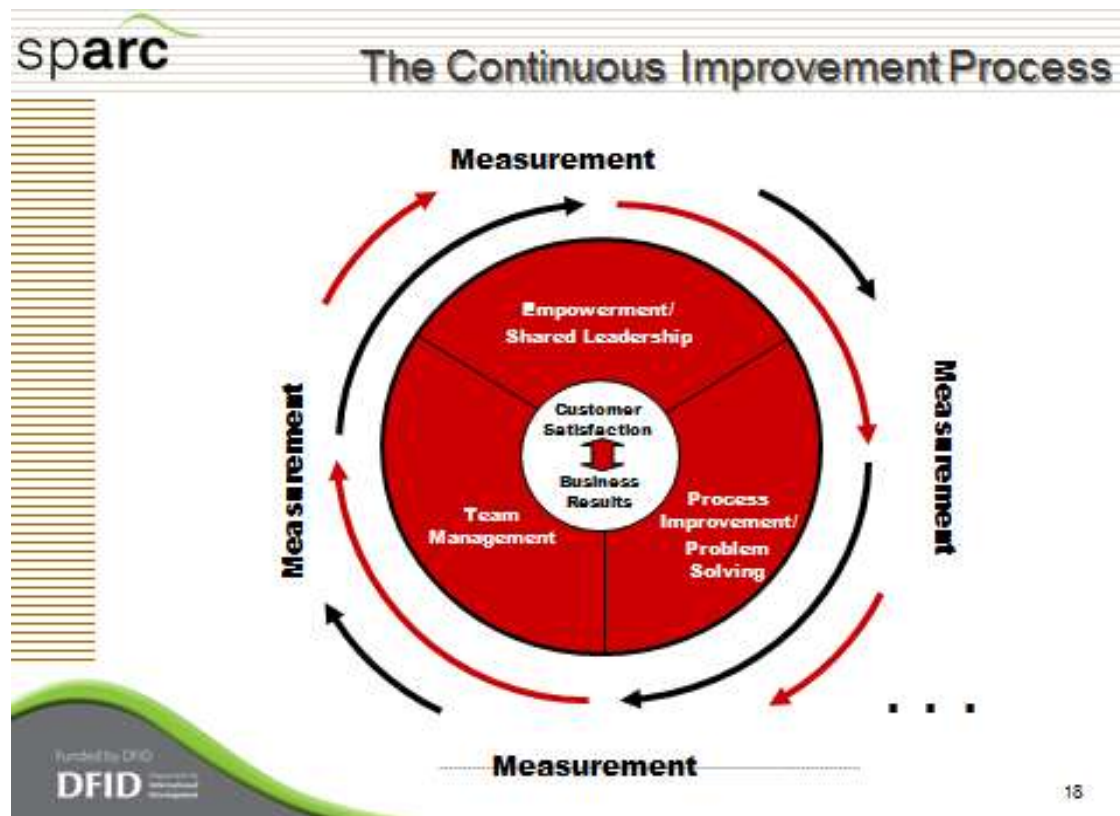
An important learning expressed by participants was the all-important role of measurement in determining the quality of service delivery. The diagram illustrated the fact that our internal processes play significant roles in determining the quality of service delivered to the customer. Figure 1 was the foundation of the workshop. As one participant remarked "service delivery management is all about measurement!"

The SERVICOM Index was presented as a veritable tool that will help organisations measure the whole gamut of their service delivery processes and understand to what extent they are satisfying customers.

The structure of the Compliance Evaluation Tool (the Index) shows that customer satisfaction is the overriding consideration of service delivery and is broadly driven by five "drivers" which are given different weightings in the evaluation:

- Service Delivery 30%;
- Timeliness 24%;
- Information 18%;
- Professionalism 16%;
- Staff Attitude 12%.

Day two: Participants were introduced to the Guidelines for Evaluation (Five phases A-E**)**, Methodology and Minimum Standards for Compliance Evaluation. (See figure 2 below.) This model formed the foundation for developing the "How-to-Guide" for conducting evaluations of service standards in Lagos State. Each of the 5 phases is described briefly below.

Figure 2: Guidelines for Evaluation (FIVE Phases)

A: Planning the Evaluation

B: Selecting Appropriate Evaluation Methods

C: Collecting and Analysing Information

D: Reporting Findings

E: Implementing Evaluation recommendations

Phase A – Planning the Evaluation

This is a very important phase of the evaluation process. The success of evaluations is predicated on the level of planning. In developing the "How-to-Guide" emphasis was duly placed on planning. The definition of planning that resonated with the participants was "planning is bringing the future to the present so we can do something about it!"

Discussion on planning an evaluation programme centred on:

- Determining the purpose of the evaluation;
- Deciding on the type of evaluation;
- Deciding on who conducts the evaluation (evaluation team);
- Reviewing existing information in programme documents including monitoring information;
- Listing the relevant information sources;
- Describing the programme;
- Assessing your own strengths and limitations.

A planning template was presented and discussed and participants worked in groups to complete it. The template proved to be user friendly and OoT participants were quick to adopt it as a document for effective planning of evaluations.

Phase B – Selecting Appropriate Evaluation Methods;

This involves the following key actions:

- Identifying evaluation goals and objectives (SMART);
- Formulating evaluation questions and sub-questions;
- Deciding on the appropriate evaluation design;
- Identifying measurement standards;
- Identifying measurement indicators ;
- Developing an evaluation schedule;
- Developing a budget for the evaluation.

Phase C – Collecting and Analysing Information;

This involves the following key actions:

- Developing data collection instruments;
- Pre-testing data collection instruments;
- Undertake data collection activities;
- Analysing data;
- Interpreting the data

Phase D – Reporting Findings

Participants were made to understand that the immediate product (output) of an evaluation exercise is the report. The quality of the report determines whether the recommendations of an evaluation exercise will be implemented or not. A reporting template was shared with participants and they worked in groups to populate and present it. The template was compared with the impact assessment report written by OoT; modifications were made to the template to make it more user friendly for OoT. The template was then adopted and included in the "How-to-Guide". The report should be followed up to ensure that the recommendations have been implemented.

Day three: Day three focused on agreeing methodologies for conducting the evaluation; figure 2 above, provided the framework for the group work that led to the agreement on methodologies. Phase B and C received deserved attention in helping participants reach a consensus on the methodologies for measure performance against service standards in Lagos State. The agreed Compliance Evaluation Methodologies as captured and recorded as a take away from the training for OSPES are listed below and also attached as appendix 5.

On the evaluation process, participants adopted the following steps which are compliant to the Index[3]:

- Pre – Evaluation:

  - Desk research;
  - Identification of relevant service windows to be included in the evaluate (Scoping);
  - Authorization letter;
  - Document review;
  - Preparation of questionnaire;
  - Mystery shopping.

- During Evaluation:

  - Meeting with management;
  - Administration of questionnaire to staff, customers and partners;
  - Observation;
  - Exit meeting.

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[3] See appendix 4.

- Post-Evaluation
    - Analysis of data;
    - Scoring;
    - Write report;
    - Meeting with Service Delivery Officer;
    - Forwarding of report to management;
    - Official presentation of report to MDA;
    - Request for Service Improvement Plan (SIP).
    - Quick re-evaluation survey
    - Sending report to MDA

On Basic methodology for Evaluating Service Delivery participants adopted the following steps from the SERVICOM Index[4]:

- Document review.
- Many of the Aspects and Criteria in the Index ask whether a service window has:
  - I. i. procedures or systems in place;
  - II. ii. records for complaints;
  - III. iii. waiting times.

If general services are being kept up to date

These kinds of questions can only be evaluated by seeing documentary evidence.

- Interviews with Customer, Staff and Partners.
- Objective.
- Comprehensive.
- Probing and precise.

Participants were admonished not to be tempted to simply hand out questionnaires for people to fill out themselves*.*

- Observation.
- Items to be observed and assessed at the service window by:
  - The whole team and its general impressions of the visit (e.g. cleanliness of the reception area);
  - A dedicated officer to minimise the risk of the team forgetting to assess certain items and having to rely on guesswork or patchy memories after the visit.
- Scoring Evidence.
- No element can be scored above 0 without supporting evidence. Supporting evidence may be obtained from:

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[4] See appendix 4

- Documents – e.g. survey reports, records of meetings, business plans;
- Discussions with Customers;
- Discussions with Staff;
- Discussions with Partners;
- Observation – What the evaluator sees;
- Research e.g. Websites.

Participants were unanimous in adopting the Charter Compliance Evaluation Tool as a yardstick for measuring the quality of public services; a veritable tool for ensuring and sustaining high quality service delivery, devoid of inefficiency and corruption and which will ensure effective implementation of government policies in Lagos State.

Section Three   Observations and Findings

Findings from the Desk Review of Documents

Report of Service Charter Impact Assessment

OoT conducted an evaluation of service windows in Lagos State to determine the level of compliance to the service standards set by MDAs in their Service Charters. This is a clear indication that OoT is moving the initiative forward. However the review indicated that the impact assessment conducted by OoT did not lay enough emphasis on the views of the customers. Data collected during the exercise largely came from the MDAs. Again, despite the LASG Service Charter policy and guidance OoT did not have a standardised tool for conducting compliance evaluations; these flaws exposed the fact that OoT needed to be equipped with best practice tools for conducting service evaluations and workable methodologies for applying the tools and most importantly, OoT needed skills in building programme logic. OoT failed to make a logical connection between what they had planned to do and the difference they were trying to make in their impact assessment report.

Lagos State Service Charter Policy and Guidelines

The policy sets out government intentions and directives for the implementation of Service Charters in Lagos State. The policy mandates OoT to conduct periodic evaluations and the guideline prescribes the SERVICOM Index as a best practice tool for measuring charter compliance in MDAs. It was clear from the reaction of the participants that most of them were not aware of these provisions. The policy is government's commitment to improved customer-focused service delivery by MDAs to all citizens of Lagos State. The need to disseminate this policy to stakeholders in Lagos State cannot be over emphasised.

Findings from Interaction with Staff of OoT at the Workshop

Participants recognised that M&E will:

- Provide information on the state of play of programme/project vis-à-vis original plan and costs;
- Identify constraints to implementation and suggest solutions;
- Put providers on their toes and make them more accountable;
- Enhance efficient management of resources, transparency and assures value for money;
- Feed into impact assessment at project completion.

Improved capacity significantly heightened interest and enthusiasm amongst participants to conduct credible evaluation of service delivery in MDAs.

Section Four   Recommandations

Institutionalising the How-to Guide for Implementing Evaluations

The aim of the "How-to-Guide" is to provide guidance to OoT and MDAs on the principles of monitoring and evaluation and to provide a template for planning, conducting and reporting on evaluation. A copy of the draft guide incorporating methodologies and processes agreed by OoT is at annex 2.

The guide should be speedily concluded and LASG should be encouraged to adopt it as a guiding document for implementing service evaluations in the state. At a strategic level, OoT is required to regularly assess service delivery to ascertain if it comes with the standards set by MDAs in their Service Charters.

In Lagos State, this responsibility will be best addressed through the establishment and implementation of a potent M&E system. The "How-to-Guide"[5] is a step in right direction, it will amongst other things serve to:

- Clarify the aims and objectives of services;
- Set targets for each service (outputs or units of service to be delivered, timescales etc.);
- Identify expected outcomes; ensure that monitoring and evaluation systems are in place (including clear performance indicators);
- Review current provision and projected needs regularly.

Internal Evaluations

The LASG Service Charter Guidelines stipulate that evaluation must be conducted both internally and externally from a customer perspective so as to monitor the level of customer awareness of the Charter. Although staff in Service Delivery Units (SDUs) have access to the LASG Service Charter policy and guidelines and are developing SIPs they have not yet been trained in conducting internal evaluations. OoT should step down this training to the SDUs in MDAs.

Next Steps

S/N	Proposed Activity	Responsibility	Timeframe
	Review, finalise and adopt the "How-to-Guide"	OoT/SPARC	June 2014
	Step Down Training	OoT	June 2014
	Internal Evaluations	OoT	June 2014

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[5] See annex 2.

Section Five   Lessons Learned

Widespread knowledge and commitment to reforms within the civil service instituted by the current administration created an appropriate environment for introducing Service Charters as a tool for MDAs to re-orient services delivered toward meeting the needs of citizens and customers and increasing service access to the public. OoT staff were generally not familiar with the State Service Charter policy and guidance and required further capacity building on Evaluating Compliance to the provision of the Service Charters in MDAs to sustain the Service Charter Initiative in Lagos State. The idea behind this capacity building workshop was empowering OoT to monitor and evaluate Charter compliance in MDAs to encourage MDAs to implement the provisions of their Service Charter and sustain customer satisfaction. This workshop and the accompanying "How-to-Guide" are tools that SPARC will leave in Lagos State. OoT is already demonstrating commitment to evaluating Charter compliance by planning and conducting an impact assessment of Charter implementation in MDAs. There is every need for them to sustain the momentum.

Appendix One   Consultant's ToR

SPARC TOR: LAG- PSM-24D

1. Reference and Title:	LAG-PSM-24: Service Charters and Performance Agreements

2. Version	3. Work Planning Period	4. Date Approved/Revised:	5. Government Lead:
V4 26.9.13	2013-14	June 2013	DG OOT

. Activity Milestones to be Delivered	
Quarter	Milestone
1	Technical support to SC Implementation Committee
2	OOT staff trained to deliver Service Charter policy training and SDU setup
3	OOT staff trained to deliver Service Improvement Plan training
4	Performance against service standards methodology agreed

7. Contribution to Workstream Strategic Approach

For Lagos to achieve its vision, it is paramount that its public services are efficient, well-motivated, and proactive and fit for present and future purposes. PSM reforms are the mechanism through which LASG can improve the quality of its workforce and accomplish its strategic goals. Consequently, the strategic approach of PSM reforms will focus on enhancing institutional and organisational structure to drive efficiency, effectiveness and performance.

In 2013-15 the strategy is to extend and deepen PSM reforms to date. Enhancing OOT and LSG capability to roll out Service Charters is a key component. Service Charters are visibly endorsed by State Governor

8. TOR Description

To provide OOT with further training to deliver Service Charters and Service Improvement Planning to phase 2 and subsequent groups of MDAs

To advise on service standards performance measures

To provide advice and technical support to the HOS and State Service Charter Implementation Committee

9. Summary of Relationship With other SLPs or SPARC Work streams (including Activity ref.)

ESSPIN and PATHS 2 have been involved in the development of Service Charters for the Ministries of Education and Health. DG OOT and Director OSPES OOT have worked independently with these ministries to roll out Service Charters to sub nits including educational districts, schools and hospitals

10. Lead Consultant:	Days	11. Supporting Consultants:	Days	12. SPARC Staff:	Days
Sheena Matthews	6	Anayo Ernie Ozowuba (national)	17	SPM TCM STO	2 30 30

13. Specific Milestones (Including Milestones under [6])	14. Deadline	15. Int' Days	16. Nat' Days	17. Activities	18. Responsibility

13. Specific Milestones (Including Milestones under [6])	14. Deadline	15. Int' Days	16. Nat' Days	17. Activities	18. Responsibility
Technical support to SC Implementation Committee • Meet SCIC quarterly	30.9.13	1		Re-define SC strategy and agree OoT training and delivery plan.	SPM, TCM & STO
OOT staff trained to deliver Service Charter policy training and SDU setup	31.12.13	1	2	Develop training materials and presentations; re-define SC strategy and agree OoT training and delivery plan with OoT.	Anayo Ernie Ozowuba,
			4	Deliver Service Charter, SDU set up and Service Improvement Planning trainings using 2012-13 design, policy and guidance	Anayo Ernie Ozowuba, TCM & STO
			2	Produce report for PSM steering group	Anayo Ernie Ozowuba
OOT staff trained to deliver Service Improvement Plan training	31.3.14	1	4	Provide technical assistance to BOS staff to develop a Service Charter, and Service Improvement Plan.	Anayo Ernie Ozowuba, TCM & STO
			2	Produce report for PSM steering group	
Performance against service standards methodology agreed	30.4.14	1	3	With D OSPES agree final format for impact assessment and service standards performance improvement methodology	Anayo Ernie Ozowuba
			2	QA reports and process	TSL, SPM
			15		

13. Specific Milestones (Including Milestones under [6])	14. Deadline	15. Int' Days	16. Nat' Days	17. Activities	18. Responsibility
Totals:		6	17	⁄⁄	

19. Reporting
In addition to the outputs listed above, *each* consultant is required to submit the following reports (delete as appropriate): ▪ Visit report at the end of each visit (including for use in updating SPARC M&E MIS). ▪ SPARC Lagos requires additional monthly reports for MIS ▪ Final report at the end of assignment. Note: These reports should be prepared in accordance with associated SPARC reporting templates and guidance.

Appendix Two   Consultant's Work Plan

Activities	Time Line	Work Days	Location
Develop training materials and presentations slides;	3rd & 4th March 2014	2	Remote
Share training with SPARC and OoT and agree on delivery methodology	6th March 2014	1	Lagos
Finalise training materials and presentations	7th March 2014	1	Lagos
Deliver training on *assessing performance against service standards in MDAs*	11th – 14th March 2014	4	Lagos
Review standardised tool for assessing service standards in MDAs developed at the training	15th – 16th March 2014	2	Lagos
Develop and submit report to SPARC	17th – 19th March 2014	2	Remote
Total		**12**	

Appendix Three   Workshop Agenda

Performance against Service Standards Assessment Tools and Methodology

March 12th – 14th 2014

Program Outline

Time	Day 1	Day 2	Day 3
09.00 – 09.30	Registration and Kitting of Participants	Recap of Day 1	Recap of Day 2
09.30 – 10.00	Welcome Programme Outline Participants Expectation Workshop Objectives	Compliance Evaluation Data Collection and Analysis	Rating System Raising and Praising Naming and Shaming
10.00 – 10.30	**Tea Break**		
10.30 – 11.30	Monitoring and Evaluation and the Nigerian Public Service The Concept of M&E and Service Quality	Reporting Evaluations Compliance Evaluation Reporting Template	Group Work Populating the Planning Template Presentation of Populated Compliance Evaluation Plan
11.30 – 13.00	Service Charter Compliance Evaluation Tools and Methodology	Methodology and Minimum Standards for Compliance Evaluation	Presentation of Draft Methodology and Minimum Standards for Compliance Evaluation in Lagos State
13.00 – 14.00	**Lunch Break**		
14.00 – 15.30	The SERVICOM Index Compliance Evaluation Other Evaluation Tool	Group Work Agreeing on Methodology and Minimum Standards for Compliance Evaluation in Lagos State	Reflection/Discussion Workshop Evaluation Logistics Departure
15.30 – 16.00	Reflection/Discussion Departure	Reflection/Discussion Departure	

Appendix Four   SERVICOM Index

SERVICOM COMPLIANCE EVALUATION (THE INDEX)

DRIVER 1- SERVICE DELIVERY

		E	1	2	3	4
CE1	**STANDARDS AND PERFORMANCE**					
A	Sets standards for main areas of activity					
B	Sets standards for customer care					
C	Monitors performance					
D	Performs well					
E	Explains any poor performance					
F	Action to remedy poor performance					
G	Reviews/updates standards					
TOTAL						
CE2	**RECEPTION EXPERIENCE**					
A	Access to service is well published and signposted					
B	Access is easy					
C	Access is at convenient times					
D	Access is enabled for those with special needs					
E	Where possible choice is offered					

(GRIEVANCE REDRESS)

		E	1	2	3	4
CE3	**GRIEVANCE REDRESS**					
A	Complaints procedure					
B	Complaints officer/desk					
C	Staff training					
D	Complaints recorded & analysed					
E	Action taken					
F	Redress available					
G	Appeals procedure					
TOTAL						
OVERALL TOTAL						
EVALUATOR'S COMMENT						

DRIVER 2- TIMELINESS

		E	1	2	3	4
CE1	**STANDARDS & PERFORMANCE**					
A	Sets standards and performance for waiting times and appointments					
B	Monitors standards					
C	Performs well					
D	**TOTAL**					
CE2	**CUSTOMER FRIENDLINESS**					
A	Explain delays					
B	Provide prompt service					
C	Provide predictable/reliable service					
TOTAL						
OVERALL TOTAL						
EVALUATOR'S COMMENT						

DRIVERS 3- INFORMATION

		E	1	2	3	4
CE1	**INFORMATION**					
A	Publicise services & access					
B	Publicise standard through service charter					
C	Publicise cost					
D	Plain language					
E	Special needs					
F	Review and update					
TOTAL						
CE2	**CUSTOMER FEEDBACK**					
A	Consultation takes place					
B	Variety of methods are used					
C	Comment is encouraged					
D	Staff and partners are consulted					
E	Results are recorded and analysed					
F	Results are published					

F	Access is affordable									G	Consultation leads to improvement				
G	Facilities meet customers' needs									H	Consultation covers customer groups, user satisfaction is regularly tested				
TOTAL										TOTAL					
OVERALL TOTAL										OVERALL TOTAL					

DRIVER 4- PROFESSIONALISM		E	1	2	3	4	DRIVER 5- STAFF ATTITUDE		E	1	2	3	4
CE1	TRANSPARENCY						CE1	STAFF ATTITUDE					
A	Payment procedures						A	Customer care policy					
B	Appointment procedures						B	Customer care training					
C	Staff Identifiable						C	Customer relations office/desk					
D	Organisation clearly explained						D	Polite, friendly and attentive staff					
E	Complaints are published						E	Staff treat customers with sensitivity					
F	Poor performance is explained						F	All customers receive equal treatment					
E	Budget and expenditure are published						G	Service does not meet with customers' needs					
	TOTAL							TOTAL					
CE2	EFFICIENCY						OVERALL TOTAL						
A	Performance and management												
B	Business and improvement plans						EVALUATOR'S COMMENT						
C	Staff training												
D	Staff Motivation												
E	Cooperation with others												
F	Set goals and achieve goals												

FORM SCOM

SERVICOM Compliance Evaluation Form

ESTABLISHMENT

LINE MINISTRY

G	Service is improving Customer perception					
TOTAL						
OVERALL TOTAL						

EVALUATOR'S COMMENT

Appendix Five   Agreed Compliance Evaluation Methodology

Basic Methodology for Conducting Compliance Evaluating – workshop summary output

1. Document review

   - ✓ Many of the Aspects and Criteria in the Index ask whether a service window has:
     - o procedures or systems in place
     - o records for complaints
     - o waiting times
     - o if general services are being kept up to date
   - ✓ These kinds of questions can only be evaluated by seeing documentary evidence

2. Interviews with Customer, Staff & Partners

   - o Objective
   - o Comprehensive
   - o Probing and precise

Participants were admonished not to be tempted to simply hand out questionnaires for people to fill out themselves*.*

3. Observation

Items to be observed and assessed at the service window by:

   - o The whole team and its general impressions of the visit (e.g. cleanliness of the reception area)
   - o A dedicated officer to minimise the risk of the team forgetting to assess certain items and having to rely on guesswork or patchy memories after the visit

4. Scoring Evidence

No element can be scored above 0 without supporting evidence. Supporting evidence may be obtained from:

   - Documents – e.g. survey reports, records of meetings, business plans
   - Discussions with Customers
   - Discussions with Staff
   - Discussions with Partners
   - Observation – What the evaluator sees
   - Research e.g. Websites

The evaluation **process**

5. Pre – Evaluation:

   - Desk research
   - Identification of relevant service windows to be included in the evaluate (Scoping)
   - Authorization letter

- Document review
- Preparation of questionnaire
- Mystery shopping

6. During Evaluation:

    - Meeting with management
    - Administration of questionnaire to staff, customers and partners
    - Observation
    - Exit meeting

7. Post-Evaluation

    - Analysis of data
    - Scoring
    - Write report
    - Meeting with Service Delivery Officer
    - Forwarding of report to management
    - Official presentation of report to MDA
    - Request for Service Improvement Plan (SIP)
    - Quick re-evaluation survey
    - Sending report to MDA

Evaluation Report Outline

Not all of the following sections will be applicable to MDAs. This structure is therefore intended to be used as a menu from which the relevant sections can be chosen.

Common sense should dictate the amount of content expected in relation to each of the bullet points. This will vary from a sentence to a few paragraphs or a page at most where tables/graphs are used.

- Cover page
- Table of contents
- Acknowledgements
- Executive summary
- Background and approach
- Process evaluation methodology
- Process evaluation Findings
- Outcome evaluation methodology
- Outcome Evaluation Findings
- Conclusions
- Integration of Process & Outcome Evaluation Information
- Recommendations
- Appendices

Annex One   Presentation Slides

SPARC power point presentation to OoT on Service Charter and SIP
Development Training. March 2014

Annex Two   Service Charter Compliance Evaluation- a how to guide

Section 1: Introduction

In his inaugural address, Governor Babatunde Raji Fashola promised the people of Lagos State "... a government that cares; a government of clear vision of where we are and where we want to be; a government with a clear compelling purpose from which its priorities shall logically flow". Accordingly, his government envisioned that,

> "Lagos State will truly be a Centre of excellence and Africa's economic hub. Our Lagos State will have a strong cultural identity, will be a driver of social and political trends and the Lagos metropolitan area will become one of the top 10 megacities in the world in terms of urban living indices".

To operationalise this vision and underscore its desire for a truly citizen-centered public service, the State Government adopted the Service Charter initiative. The objective of the initiative is to institutionalise the concept of setting service standards to guide service delivery and to create equitable access to public services. It is expected that through the initiative, accountability of public servants will be increased and that citizens will be provided with an avenue for making effective service demands, communicating service needs and for complaining when service delivery fails. Once successfully implemented, Service Charters will engender improved service delivery, greater responsiveness of officials towards the public and greater public satisfaction with government services.

The Office of Transformation (OOT) in the Office of the Governor was established to work with the Office of the Head of Service (OHOS) to coordinate reforms in the public service. One of OOT's core functions is to work with the Service Delivery Units (SDUs) in Ministries Departments and Agencies (MDAs) to set standards and meet their service obligations and with citizens to increase the demand for improved services. OOT is in a unique position to sample, assess and demand improvements in services on behalf of citizens. This will be done through Compliance Evaluations by:

- evaluating MDA services against the standards set out in their Service Charters;
- challenging service providers to improve, by 'naming and shaming' poor service providers and 'raising and praising' quality service providers;
- providing assurance to the government and the public that the quality of services being provided at the frontline matches the commitments and promises made to the public;
- providing accountability by showing whether investments made in public services are really leading to improved services.

This guide provides guidance, tools and templates for OOT and Service Delivery Unit officers in MDAs on the procedures to follow for conducting such evaluations.

How the Guide was developed

The Guide was developed by staff from the Directorate of Branding, OSPES[6] and Services (BOS) and other staff in OOT at a Service Charter Compliance Evaluation (SCCE) capacity building workshop facilitated by technical assistance from SPARC[7].

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[6] One Stop Public Enquiry Services
[7] State Partnership for Accountability Responsiveness and Capability

The guide draws on Lagos State policy and guidance for Service Charters and SERVICOM[8] methodology.

How to use this manual

This "How-to-Guide" is expected to be used by OOT and MDAs in the evaluation of their service delivery standards and processes. It is relevant to MDA's Corporate Planning (CP) improvement plans. The guide contains sections outlining the role of compliance evaluation officers, how the evaluation tool should be used, and some of the specific steps compliance evaluation officers will need to plan, conduct and report on evaluations.

The appendix contains a scoring template and indicators of evidence that can be adapted and used for different elements of conducting service standards evaluations.

Section 2: The role of a Service Compliance Evaluation Officer

This section provides guidance on:
- The personal qualities an OOT/SDU officer needs when conducting evaluations;
- The multiple accountabilities an OOT/SDU officer faces when conducting evaluations and
- The boundaries between compliance evaluation and other types of public sector reform or improvement programmes

Compliance officer role and behavior

The compliance officer should think of himself/herself as a 'critical friend': someone who can remain objective and make helpful, constructive criticism with sympathy and knowledge about a person's (or institution's) situation, to get them to change or improve their behavior.

In addition, all OOT/SDU officers conducting compliance evaluations need to demonstrate the following skills and qualities:

- Objectivity

- Independence

- Integrity

- Confidence

- Understanding of service delivery, service standards and compliance evaluations

Compliance officer accountability

The compliance officer is accountable to multiple stakeholders at the same time. He or she has public and independent responsibilities to several types of people and institutions. These include:

- Society / citizens / the public

- OOT

- HOS

- Customers of the MDA being evaluated

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[8] Service Compact with All Nigerians (Federal Government of Nigeria)

- Policy makers at the MDA being evaluated
- The Governor
- The Government
- The management of the MDA being evaluated
- Frontline staff at the MDA being evaluated

Sometimes these accountabilities may conflict. This means the compliance officer may have responsibilities or obligations to different people with conflicting interests. This will give rise to situations when the personal qualities of a compliance officer are tested most.

The boundaries between service delivery compliance and performance improvement

The compliance officer has a very distinct role from those responsible for delivering and improving services or those responsible for inspecting services on behalf of the Head of Service (HOS). This is demonstrated in the questions posed below:

- Which aspects of service performance should OOT officers be interested in?
- Who is responsible for improving service performance?

It is the role of the HOS to assess the effectiveness and efficiency of government services (i.e. whether operations are successful). It is the responsibility of OOT and SDU officers to assess the level of customer satisfaction with government services. Often these two areas may overlap. For OOT the focus will always be to ask questions from the customer's point of view.

Whether we focus on overall service delivery, or specific customer services – the responsibility to improve services is always with the managers. The role of OOT and compliance officers is to identify and recommend actions needed to improve customer satisfaction.

Section 3: The Service Charter Compliance Evaluation

This is the assessment of frontline quality of service, by measuring compliance with service standards enshrined in Service Charters. The SERVICOM Index is a tool adapted for conducting these evaluations.

This section introduces the basic concepts for how the compliance evaluation tool is composed and how it should be used.

The Compliance Evaluation Tool (The Index)
The Compliance Evaluation Tool is predicated on 4 key principles:
- the ultimate purpose of governance is to serve citizens;
- citizens have the right to be served right;
- service is well delivered only when citizens are satisfied; and
- the Government's commitment to the provisions of Service Charter Initiative as a programme to improve service delivery in the State.

The evaluation tool is a yardstick for measuring the quality of public services. It is

used to assess MDA service windows[9] for their compliance with service standards contained in their Service Charters.

Structure of the: Indicators

The Compliance Evaluation Tool assesses customer satisfaction through five "drivers" which are given different weightings in the evaluation:

- Service Delivery – 30%
- Timeliness – 24%
- Information – 18%
- Professionalism – 16%
- Staff Attitude – 12%

Each Driver is composed of Critical Elements (CE); each Critical Element has several Criteria; each Criterion has Aspects; each Aspect is individually assessed to determine a score for its Criterion. Figure 1 below presents an overview of each driver. For more details on the Critical Elements and Aspects see appendix 2.

Figure 1: Structure of the Index: Driver definitions

Service Delivery 30%	Timeliness 24%	Information 18%	Professionalism 16%	Staff Attitude 12%
Most important to customers	2nd in importance to customers	Indicates the importance of keeping customers informed	Emphasises the importance customers place on well-trained staff and the quality of service;	Indicates that customers place great importance on how they are received and treated by staff of the organisation;
Customers expect satisfaction	Indicates the dislike customers have for delayed service.	Needs to be a two-way process.	The consideration here is getting optimum value for money.	Basic considerations include:
Ultimately, customers are prepared to put up with failures in other areas provided that the eventual result is satisfactory.	Waiting can be grouped into three dimensions: The initial wait; the overall wait; the number of times the customer has to contact the organisation to achieve service.	Basic considerations include: Accuracy of information; comprehensive-ness; frequently updating the customer about progress.		Polite and friendly staff; how sympathetic / empathetic staff are to customer needs.

Scoring the Index

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[9] Service windows are the specific points where the public meets with the service provider as a customer. An MDA may have several service windows; these should be assessed to evaluate how the MDA is compliant with service standards.

Based on an assessment of the Aspects under each Criterion, it must be given a rating from 0 to 4 as follows: –

Assessment description	Rating
All Aspects of the Criterion are covered	4
Most Aspects are covered but more could be done	3
Some important Aspects are not covered and there is a lot more to be done to satisfy the requirement of the criterion	2
Very little has been done to satisfy the requirement	1
Nothing has been done	0

Each of the criteria must be given a rating from 0 to 4, based on:
4 – all aspects of these criteria are covered
3 – most aspects are covered but more could be done
2 – some important aspects are not covered and there is a lot more to be done to satisfy the requirement of these criteria
1 – very little has been done to satisfy the requirement
0 – nothing has been done

e.g. scoring complaints procedure

	Y	N
There is a written procedure	☑	☐
Easily accessible, easy to use	☐	☑
Procedure guarantees investigation & resolution	☐	☑
Procedure has time limits for response	☑	☐
Procedure identifies to whom complaints should be sent	☑	☐
	☐	☐

Figure 2: Example of scoring template.

Collecting Evidence

You cannot score a Criterion above '0' without providing supporting evidence. Supporting evidence must be documented for every Aspect that is covered. There are 6 specific sources of evidence that can be documented to show that an Aspect has been covered. These are listed below.

- Documents – e.g. survey reports, records of meetings, business plans, Medium Term Sector Strategy (MTSS), service charters, policies and standards
- Discussions & interviews with customers
- Discussions & interviews with staff
- Discussions & interviews with partners
- Observation – by the evaluator / compliance officer
- Research e.g. websites, media

The process of looking for evidence is best served by looking for one or two key pieces of evidence for each Aspect that needs to be assessed. (A list of Aspects by evidence type is provided at appendix 2.)

This list groups all the Aspects by the type of evidence it is most appropriate to look for. In some cases there will be some overlap – for example, there are some

Aspects that could be assessed either by looking for documents or conducting research; some Aspects might be proven by discussing with staff or by seeing official documents. The list in appendix 2 groups the Aspects by one primary type of evidence each; you may need to adapt it to suit your particular evaluation.

Plan and prepare in advance which Aspects you will assess through different methods. For example, certain Aspects can be assessed by one person reviewing documents, while other Aspect may be assessed by another person having discussions with staff.

Section 4: Scoping the evaluation

This section covers the process for identifying the institution that is to be evaluated, deciding on the scope of the evaluation and selecting the offices and organisations to inspect. Before you start, make sure you have all the necessary information about the MDA so that you can identify what services should be evaluated, or do the scoping exercise with the help of the SDU officer from the MDA. This stage is critical to ensuring the evaluation provides a fair and accurate representation of the MDA's services.

The first question to be clear on is: What are we trying to evaluate? Setting out to evaluate entire ministries should be carefully considered. A ministry may house many smaller agencies whose services could be very different and may need to be evaluated separately.

MDAs prioritised for evaluation of performance against service standards should be:

- Service providers – they should provide services to the public. If the MDA provides many different types of services, select a representative sample of uniform service windows to inspect or identify a smaller Department or Agency's specific service
- Customer facing – the MDA should house 'service windows' where providers directly meet with the public
- Service Charter – they should have an approved Service Charter and an established SDU.

Identify the services housed by the MDA

The next question to ask is: What are the relevant offices, organisations or service standards that should be inspected? Here you should list all the relevant types of services managed by the MDA.

Key considerations here are:

- Many MDAs will only provide internal or inter-ministerial services. It is important to focus on those services that are citizen / customer facing.
- Not all services are accessed directly from physical, government office locations (service windows). Some interfaces with the public may be mobile (e.g. sanitation officer), reach out to communities or people's homes (e.g. utilities like power and water), or non-physical (e.g. information or regulatory services). All services should have standards for delivery; all can be assessed.

Select a representative sample

It is unlikely you will be able to visit all of the offices or locations of the MDA from where services are offered to the public. You might have to select a number and variety of locations that represent the range of services and their standards likely to be found in the MDA.

The first question you should ask is: What important characteristics of service windows in the MDA will affect the quality of service delivery? When selecting a sample of service windows to evaluate, you will want to be sure that your sample includes at least one example of every important characteristic you have identified. For example:, if you were evaluating a Vehicle Inspection Officers (VIO), the quality of service delivery might be affected by:

- The type of services example processing Centre's or operations departments: license processing Centre's provide a different type of service to operations departments where offenders are booked.

- Type of customer or vehicle or location example affluent or poor; rural or urban; residential or commercial. Different Centre's are likely to deal with different types of customer, with different quality vehicles which may result in different sorts of offences.

- Minimum service standards set by the MDA

Any sample for evaluation must contain service delivery points that (at least) exhibit each of the characteristics above; contain processing centres and operations departments in both affluent and poor areas; and represent the various locations and the range of services offered, new and old.

Once you have identified the significant characteristics to be captured in the sample, you must decide the balance between how much each characteristic should be represented in the sample. Your actual sample will also depend on how much time and resources you have – the scope of your evaluation.

Limitations on methodology

To understand your limitations, consider:

- How many people do you have in the team?
- How much time do you have to do the whole evaluation?
- How long will it take to travel to locations?
- What is your budget for travel and other associated costs?
- The final design

Your final design should describe exactly:

- What institution (MDA) you are evaluating;
- What types of services and service windows are in the MDA;
- What significant characteristics of service windows should be considered when selecting a sample of service windows representative of the MDA;
- Any limitations that you have had to apply to your methodology because of practical concerns;
- The specific number, type and location of all the sites you will inspect. (*Be realistic*!).
- What customers, staff or documents you need to see and how you will get to them.

Do not proceed until you have completely clarified all of these matters. This will

avoid later confusion and help ensure you use your time wisely.

Planning and conducting the evaluation – Doing things in the right order will save a lot of time.

Many of the service standards and policies will be set at a management, administration or head office, or will be contained in published documents. You should complete all research and visit any management offices to evaluate evaluation Aspects that apply to the whole MDA. That way you can make the questionnaires and document checklists you use at service windows much shorter and so make those visits much quicker. During a visit to a service window, you should only need to ask about those Aspects that are specific to that service window.

At each stage, you should try to update the team for what remaining information is still needed – this will save you time and confusion trying to do too much at every stage. Make sure you plan against each task: *What needs to be done? Who is responsible? When must they do it by?*

Follow this order to be most efficient:

- Purpose and objectives of evaluation: specify what the outcome evaluation is intended to accomplish;

- Outcome evaluation questions: Identify the specific outcome evaluation questions which are being addressed or hypotheses that are being tested;

- Complete as much research as possible. Add to the document checklist any Aspects not found through research;
- Get authorisations or approvals needed for any site visits;
- Plan, get authorisations and inform service windows of visits. Plan and conduct any undercover / scouting visits;
- Visit management offices to evaluate documents and interview staff. Eliminate from the document checklist all Aspects covered in this way. Eliminate from staff questionnaires all questions covered at management offices;
- Organise logistics, meetings and delegate activities and responsibilities between team;
- Update a copy of Inspection Visit Summary form for all MDA-level Aspects;
- Conduct inspections of all service windows. Update a separate copy of the Inspection Visit summary for each window;
- Consult any (potential) customers not found at service windows. Consult selected partners; rum focus group is appropriate;
- Conduct observations and interviews;

- Collate answers from questionnaires for each service window, using questionnaire analysis forms;

- Get together as a group and collectively review and score the Index for each service window;

- Write up different sections of the report using the report template (see below);

- Finalise the report;
- Present your evidence based findings to the MDA / evaluation commissioner.

Key steps are described in more detail below

Document review

Many of the Aspects and Criteria in the evaluation tool ask whether there are service procedures or systems in place, or whether records for complaints, waiting times or general services are being kept up to date – these kinds of questions can only be evaluated by seeing documentary evidence. Many of the relevant documents may only be held at a management or administrative office (exaple those that relate to policies, procedures, organisation wide consultations, etc.) rather than at the service delivery point. The compliance team should direct its efforts towards evaluating documents both at the service windows and at management offices. By reviewing the bulk of documents that need to be seen for the whole MDA at a management office first, you will cut down the amount of time that needs to be spent at each service window reviewing documents. You should try to send a letter requesting to see specific documents in advance if possible. This should save time by helping the office or service window to pull together the relevant documents for your visit. You should compile 2 lists that can be sent in advance to make sure documents are made ready and available for your visit: one list to be sent to management / administrative offices, the other list to service windows

Don't fall into the trap of thinking you just need to see the documents on your request list and 'tick them off' during your visit. What you need to see is documentary evidence for each Aspect. Use the Aspects listed in appendix 2 as a checklist. Include any documents that may be particular to the type of service or MDA being evaluated.

 Work your way through the checklist, ideally with a staff member so they can pull out relevant documents and show them to you. By asking, 'Can you show me any documents relating to your complaints procedure?'; 'Can you show me any records of complaints that have been logged', etc., etc. You may also need to ask about any Aspects that you were not able to assess through your Desk Research.

Management of meetings, transport and other logistics

You will need authorisation from the relevant people. This will include senior management as well as direct managers of the offices or locations to be visited. Agree when and for how many days you will need access to the sites. Make sure you get approval from the MDA if you plan to conduct 'under-cover' or scouting visits. Inform them that OOT officers may be visiting and observing unspecified sites over a specific period without prior or open declaration. This will be important if officers are challenged when they are conducting 'mystery shopper' or 'undercover visits'.

Ensure you plan to meet with the management of the unit being inspected to brief and de-brief them at the beginning and end of each visit. Give enough notice of what access you will need to documents, staff and customers during the visit.

Logistics & time management

Good preparation is important to make sure you use time efficiently and staff at the site are prepared. Make arrangements for transport, refreshments, interview rooms or other facilities that will be needed. Agree a schedule for meetings and activities on the day(s) of the visit with management of the location in advance. This will help them to plan their time and availability, and to make sure you get everything done.

Make sure you schedule time to meet as an inspection team to review progress at least mid-way and before you finish the inspection visit. This will be an opportunity to ensure you are getting all the information you need, to share which areas you might be having difficulty with, for which other team members may be able to help.

'Undercover' and scouting visits

Unannounced visits to inspect service windows can take a variety of forms depending upon how important you think it is to evaluate the service unawares. At its simplest, you may simply drop in on a service window or take a walk around before

or after any preparatory meeting. The main purpose of such a visit will be to take in the general surroundings, familiarise yourself with the service and importantly, be in a position to notice any cosmetic differences that may be in place when you return to visit on an official inspection.

If you wish to conduct a more detailed visit, you could think about actually trying to use a particular service (although this will not be possible with all types of services), and thus interacting with staff and possibly other customers whom you may be able to talk to informally in customer waiting areas.

In all cases, it is important to make any notes of significant observations on your visit as soon as possible; otherwise you will only be left with a vague memory. It is also important to be careful you do not overstep the mark, and begin asking intrusive or demanding questions of staff and other customers. You may be challenged by staff at the service window, who may not take kindly to being 'spied' upon. If you do plan to ask detailed questions or even to conduct informal interviews, you should carry some written authorisations from the MDA's management, in case you do get challenged. Also make sure you carry some form of identification, so that you can prove who you are.

Interviews with customers, staff and partners

Interviews will be your main opportunity to find out accurate, up-to-date information about the quality of services provided by the MDA. It is important that interviews are:

- Objective – all respondents should be asked questions in a similar way to make sure the responses are not influenced by the style of the question or the interviewing officer.

- Comprehensive – this will be your one chance to get the information you need, so it is important to make sure you ask everything that needs to be asked.

- Probing and precise – Often respondents misunderstand questions or may be reluctant to talk openly. It is important to be probing to make sure that the information obtained is correct, even if it is not the first answer that was given to some questions. It is also important to use precise language, and be sure about what you are asking.

Questionnaire Design

Asking the right questions in the right order is critical to ensuring effective interviews. Don't be tempted to simply hand out questionnaires for people to fill out themselves. Questionnaires should be used only as a tool to structure your discussion and to make sure you cover all questions that need to be asked to complete the evaluation.

It is very important that interviewers are clear on what each question in their questionnaire is trying to ask. Often if respondents don't understand the question, or speak little English, it may be necessary to re-phrase or translate a question.

Some key issues to consider when designing questionnaires are:

- Ensure those you ask have the necessary knowledge. Select or tailor different questions for senior or junior staff, or different types of customers.

- Begin with simple, information-based questions. Build up to detailed, difficult or sensitive questions later in the interview.

- Avoid leading questions; the respondent may just tell you what they think you want to hear

- Avoid closed questions; ask for information

- Ask for only one piece of information at a time.

- Use short and simple sentences.
- Avoid negatives if possible.

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Figure 3: Sample Question

Here is a list of reasons why customers might find it difficult to reach this service. Which ones do customers face here?

      Yes   No

1. Are there physical obstacles to getting service?
     [ ]   [ ]
2. Are there bureaucratic obstacles to getting service?
     [ ]   [ ]
3. Are office hours convenient for customers?
     [ ]   [ ]

</div>

Interviewing

The interviews are the most important part of information gathering. The critical objective of the interview is to extract accurate, good quality information. Anything that makes the interviewee feel uncomfortable, defensive or confused will change their responses, ruin the quality of the data, and undermine the whole exercise. You are not there to judge, offer comment, suggest solutions, or tell them what they should or shouldn't do. In fact, the interviewee is your customer. Treat them in the same way as you would like to be treated to make you talk openly and truthfully.

Think about how you should structure the discussion and in what order you should ask questions. If you jump straight in with a leading or closed question – the interviewee won't know why you are asking it or what you mean by it and you will never know if they understood your question correctly, if they were being honest and truthful, or whether you understood their answer correctly.

Try to use the funneling technique: with each issue you want to discuss, introduce the subject area with the interviewee by asking an open question. That way you establish the subject area and minimise the risk of them misunderstanding what you are getting at. Then you should ask some probing questions to begin to focus in on the information you want. Probing questions work by picking up on some specific elements of their previous answer and asking for more information or detail on that specific area.

Closed questions can be used to get specific responses for pieces of information you need. It is always useful to use summarising questions before moving onto a different subject matter. That way you can be sure you have understood correctly what they are trying to tell you.

- Be sensitive and sympathetic – Get the interviewee to trust and like you, and that way they will give you full and truthful answers. In most cases, staff will be trying to do their best in difficult circumstances – be sympathetic to this in the way you ask your question.
- Be objective – Don't be so sympathetic that you distort your findings. Being nice to your interviewee shouldn't change the facts.
- Be patient - Respect silences and pauses while your interviewee collects and/or selects memories
- Probe generalisations - e.g. 'Could you describe a specific incident?'
- Give positive feedback - Assure your interviewee that the information they are

offering is useful, e.g. 'That's an interesting point', or 'Could you tell me more about that?'

- Don't ask people to fill out questionnaires alone – The quality of information you get out depends on the quality of effort you put in. Self-administered questionnaires will most likely have incomplete, illegible and often irrelevant answers. Such questionnaires can be very difficult to decipher later, possibly even useless.

- Don't be judgmental – If a staff member thinks you are judging them for the quality of service provided they will become defensive and close up. Aim to be sympathetic with what they are trying to do as much as possible.

- Don't make suggestions - The purpose of the discussion not to improve the one service window you are visiting, but to get an accurate picture of it, so that all service provided can be improved.

- Don't interrogate – Treat them like your customer, they are giving up their time to help you.

- Don't ask questions you already know the answer to – A smart interviewer will be able to tailor most interviews by skipping unnecessary questions in the script. You may already know the answers to some questions from other interviews, documents seen, or just looking around you.

Focus group discussions

Often people are not very open about their thoughts when approached by a stranger and asked unusual questions from a questionnaire or in an interview. Sometimes you may get better information from people if you get them involved in a discussion with like-minded people, in a safe, comfortable environment, away from managers or people who might disapprove of what they say. This is known as a Focus Group Discussion (FGD).

Focus group discussions can be a powerful tool for getting to the real truth about what people think, whether they are staff, customers or partners. But they need to be managed carefully to make sure the group members –

- Stick to the subject,
- Cover all the issues you want to hear about in the time available,
- Manage disagreements between themselves, and
- Express what they really feel without being influenced by you.

Focus group discussions are basically like multiple interviews, so many of the same questioning and listening techniques apply. However, you have to limit the number of questions you can ask, as you want to let the discussion run on its own as much as possible, without interrupting with questions. In a 1.5 hour session, you will not be able to cover more than 5-6 broad questions. Use the funnelling technique: Ask open broad questions to start a discussion, probe the group to get the information you want, and use summarising questions to make sure you have documented their views accurately. Getting the right people involved is also important. A Group of 6-10 people is the ideal size, any larger and the group becomes very difficult to manage.

The important thing is to know when to interrupt and when to let the discussion run. The only times you should intervene are –

- To steer the discussion back on course, if people start getting distracted onto other issues;
- To involve everyone in the discussion: Encourage shy or quiet people to

speak and discourage domineering people from speaking too much;

- To make sure disagreements don't get out of control;
- To move the discussion on to the next question or subject matter, once an issue has been covered or you have got the information you need.

At the end of the discussion make sure you thank the participants for their time, tell them how their information will be used, and write up your notes from the discussion as soon as possible, while your memory is still fresh.

Observation

An observation checklist should be developed to provide a list of items that should be observed and assessed at the evaluation. Some of the items may be evaluated based on the compliance team's general impression of the service (e.g. whether staff are polite to customers, or cleanliness of the reception area). But many should be very specific items that should be assessed specifically by a dedicated officer. In particular, this will minimise the risk of the team forgetting to assess certain items and having to rely on guesswork or patchy memories after the visit.

Figure 4: Sample Observation Checklist	
Reception area, facilities and premises	Y/N
	Services are accessible to everyone	
	Clear directions and signage are provided	
	Consideration has been given to meeting the access needs of those with physical and mental impairment.	
	There is an adequate waiting area	

Recording and Analysing findings

It is important to collate your findings and begin analysing evidence as soon as possible after it is obtained. That way it will stay fresh in your memory, you will minimise the risk of getting evidence from different sources mixed up and you will ensure the task of writing up the final report at the end doesn't become overwhelming.

Visit summary reports

The best way to do this is to develop a Visit Summary form. Complete one separate form for each service window being evaluated. As you gather evidence, find the specific Aspect to which it relates and enter a 'Yes' or 'No' to show whether the conditions for that Aspect are met. If the conditions for that Aspect are met, and you enter a 'Yes', make sure you enter a brief description of the evidence found.

Enter an agreed shorthand code letter to indicate the type of evidence and a brief description of the evidence. For example: 'W' – Found on website; 'C' – Most customers confirm this; 'R' – Stated in annual report; 'N' – Hidden costs incurred by most customers'

Some of the evidence you find will relate to the whole MDA and so will be the same for every service e.g. evidence found through desk research or from policy documents. You can save time by entering all this information into one file first, and

then creating copies of the file for each service window being evaluated.

Once you have completed an inspection visit of a service, you should have all the information needed for that service or SDU. Enter all the remaining evidence found for that particular service window into the Visit Summary form as soon as possible. You are now ready to evaluate scores for that service window.

Evaluation scores

The process of evaluating and scoring a Criterion requires you to assess how many Aspects under that Criterion have been fulfilled. Each Criterion must be given a rating from 0 to 4, according to the following scale -

       4 – All Aspects of this Criterion are covered
       3 – Most Aspects are covered but more could be done
       2 – Some important Aspects are not covered and there is a lot more to be done to satisfy   the requirement of these criteria
       1 – Very little has been done to satisfy the requirement
       0 – Nothing has been done

Typically, it will be obvious when a service window scores a 4 or a 0. However, when some Aspects are covered and some are not covered, it may be difficult to decide between a 2 and a 3. You have to use your judgment to decide:

- How important are the Aspects that have not been covered?

- How much work needs to be done before all Aspects will be covered?

This is best done collectively. All team members will have different but important experiences of the service window – the only way to make a judgment on the relative importance of some Aspects over others is to discuss and agree the score together. Discuss and agree, not simply vote.

You should now have a summary of findings and scores for each service window you have inspected. These should be kept on file to enable you to trace back any findings to the original source of information in the future. You must now transfer the summary score information and distil the most important findings into a report for the MDA.

Section Five Writing the evaluation report

The challenge is to report findings that are relevant for the whole MDA. Identify observations and recommendations that were common to most or all service windows visited. Pointing out something you noticed at one service window is of little value for someone trying to make improvements for the whole MDA. The following is a guide.

Evaluation Report Outline

Not all of the following sections will be applicable to MDAs. This structure is therefore intended to be used as a menu from which the relevant sections can be chosen.

Common sense should dictate the amount of content expected in relation to each of the bullet points. This will vary from a sentence to a few paragraphs or a page at most where tables/graphs are used.

- Cover page
- Table of contents
- Acknowledgements
- Executive summary (
- Background and approach
- Process evaluation methodology
- Process evaluation findings
- Outcome evaluation methodology
- Outcome Evaluation Findings
- Conclusions
- Integration of Process & Outcome Evaluation Information
- Recommendations
- Appendices

Executive Summary

Two or three paragraphs formatted and written like a concise version of the full report. It should include the main points from each section. Record any appreciation for co-operation received from staff at the MDA.

Background and approach

This should give a detailed rationale, description and methodology for your evaluation (its terms of reference). If there are any reasons why this MDA was selected for evaluation, describe them here. Give a brief description of the MDA, its main services, their characteristics and intended impact. Note the criteria used to select the services evaluated and any limitations on the scope of the evaluation.

Process evaluation methodology

Give a brief summary of the methodology, units visited, customers, staff or documents you have consulted. Add, where appropriate, the review's commissioner's requirements for the evaluation design. Place detailed information in appendices.

Process and outcome evaluation findings

Table a summary of the scoring and the data collected. Present a commentary or interpretation so that the commissioner and MDA can understand the scoring. Summarise the results for each driver and its proportion:

- Service Delivery (30%)
- Timeliness   (24%)
- Information (18%)
- Professionalism (16%)
- Staff Attitude (12%)

Based on the scores for each service window, you may need to calculate a composite score for the MDA as a whole. This can be calculated as a simple average of the scores for the service windows in the MDA. Other points to bear in mind are:

- Only present findings and recommendations that have a direct relevance to service delivery and service standards.
- Reinforce the principles of the Index by presenting your findings and recommendations in relation to the Drivers and Critical Elements.
- Pick out the most important findings and recommendations and make sure these get greater attention. These may be in the areas where the MDA has scored the lowest, but sometimes the MDA may score low in a critical element because that area is not relevant to the type of services provided by the MDA. The priorities for the MDA should be those areas that are critical to improving service delivery and standards substantially.

Your observations and analysis of the findings might include some or all of the following

- How the service standards originated, what they replaced and how well new targets and standards are being achieved, or not.
- Rationale, goals and objectives of the service and standards and who they are intended for; service development process: who was involved and what problems were encounter and resolved. Key decisions about the service and standards.
- Factors that facilitate effective implementation; factors that impede effective implementation.
- Client access: processes that facilitate client access; waiting times.
- Linkages with community and other agencies: relationships with other agencies.
- Service organisational structure, SDU staffing and management: organisational structure; steering committee characteristics; staff characteristics and job descriptions; staff training and development efforts; staff recruitment and turnover; efforts to improve staff retention; staff morale.
- Information within and outside the organisation: SDU Management Information System (MIS); nature of information collected and how it is used; quality assurance procedures; reports to the public and to government
- Formulation and implementation of Service Improvement Plans (SIPS).

- Service activities against standards eg:

I. i. Number/ percentage and type of service targets met

II. ii. Number / percentage and type of targets not met

III. iii Relationship of SIP to activities

IV. iv.Target population characteristics and access targets

V. v.Comparison between target and actual client characteristics

Conclusions

- How well is the service meeting standards?

- Were the service design and the service standards appropriate for the population?

- Was the service design adequately implemented?

- Were there any shortcomings in the management arrangements or SDU staffing levels/patterns and resources such as budgets?

- Other aspects of the service: outreach, access, targeted populations, resources, SDU management support and facilities that may be impeding the successful delivery of services

- What are the potential medium and long term implication of your findings and conclusions?

Recommendations

- Recommendations should be specific, simple, and relate to the MDA as a whole. Mention specific services or standards, service windows, or specific observations, as examples to back up the assertions you make.

- Recommendations should be organised according to the conclusions, be concrete and actionable, and reflect the implications of services for the outcomes evaluation.

- It may be tempting to make suggestions for changing the way the MDA functions, or even to pass on suggestions that have been emphasised by staff you have interviewed. But it is important to only make recommendations that suggest what needs improving, not how you think it could be improved. It is your job to identify what needs to change; it is the MDA's role to think about how to implement that change; you are not qualified to make operational suggestions.

- Make sure you relate any recommendations to the impact you expect them to have on service delivery. For example: don't recommend: 'the applications processing office should get a back-up generator.' Do recommend: 'The applications processing office should ensure it can always process applications within the target time set for the service (3 hours), even in spite of interruptions to power supply. Same-day service would substantially improve this service as being made to return the next day (or sometimes several days) is the major cause of frustration for customers.'

Appendices

- Detailed supportive information including: documents noted, research sources, places visited, people seen, Index scores, interview analyses, observation and focus group summaries etc.

Presenting the report

Your presentation should bring out the key findings, conclusions and recommendations. Be confident and well prepared. Try not to be defensive if the commissioner and MDA find your evaluation difficult to take on. Be prepared to discuss the implications of the findings and the underpinning evidence. Note any points that might need further clarification. Finalise the report.

Appendix One   The Index
Service Compliance Evaluation (The Index)

ESTABLISHMENT NAME							LINE MINISTRY/MDA							EVALUATOR NAME							DATE COMPLETED					

DRIVER 1- SERVICE DELIVERY														DRIVER 2- TIMELINESS							DRIVERS 3- INFORMATION					
1		0	1	2	3	4			0	1	2	3	4			0	1	2	3	4			0	1	2	3	4
CE 1	STANDARDS AND PERFORMANCE						CE3	GRIEVANCE REDRESS						CE1	STANDARDS & PERFORMANCE						CE1	INFORMATION					
A	Sets standards for main areas of activity						A	Complaints procedure						A	Sets standards and performance for waiting times and appointments						A	Publicise services & access					
B	Sets standards for customer care						B	Complaints officer/desk						B	Monitors standards						B	Publicise standard through service charter					
C	Monitors performance						C	Staff training						C	Performs well						C	Publicise cost					
D	Performs well						D	Complaints recorded & analysed						D	TOTAL						D	Plain language					

E	Explains any poor performance						**E**	Action taken						**CE2**	**CUSTOMER FRIENDLINESS**					
F	Action to remedy poor performance						**F**	Redress available						**A**	Explain delays					
G	Reviews/updates standards						**G**	Appeals procedure						**B**	Provide prompt service					
TOTAL							**TOTAL**							**C**	Provide predictable/reliable service					
CE2	**RECEPTION EXPERIENCE**						**OVERALL TOTAL**							**TOTAL**						
A	Access to service is well published and signposted						**EVALUATOR'S COMMENT**							**OVERALL TOTAL**						
B	Access is easy													**EVALUATOR'S COMMENT**						
C	Access is at convenient times																			

Fourth panel:

E	Special needs					
F	Review and update					
TOTAL						
CE2	**CUSTOMER FEEDBACK**					
A	Consultation takes place					
B	Variety of methods are used					
C	Comment is encouraged					
D	Staff and partners are consulted					

D	Access is enabled for those with special needs										E	Results are recorded and analysed		D			
E	Where possible choice is offered										F	Results are published		E			
F	Access is affordable										G	Consultation leads to improvement		F			
G	Facilities meet customers' needs										H	Consultation covers customer groups, user satisfaction is regularly tested		G			
TOTAL											**TOTAL**						
OVERALL TOTAL											**OVERALL TOTAL**						

DRIVER 4- PROFESSIONALISM		0	1	2	3	4	DRIVER 5- STAFF ATTITUDE		0	1	2	3	4
CE1	TRANSPARENCY						CE1	STAFF ATTITUDE					
A	Payment procedures						A	Customer care policy					
B	Appointment procedures						B	Customer care training					
C	Staff Identifiable						C	Customer relations office/desk					
D	Organisation clearly explained						D	Polite, friendly and attentive staff					
E	Complaints are published						E	Staff treat customers with sensitivity					
F	Poor performance is explained						F	All customers receive equal treatment					
E	Budget and expenditure are published						G	Service does not meet with customers' needs					
	TOTAL							TOTAL					
CE2	EFFICIENCY						OVERALL TOTAL						
A	Performance and management												
B	Business and improvement plans						EVALUATOR'S COMMENT						
C	Staff training												
D	Staff Motivation												
E	Cooperation with others												
F	Set goals and achieve goals												

G	Service is improving Customer perception						
TOTAL							
OVERALL TOTAL							

EVALUATOR'S COMMENT

Appendix Two   Drivers and Aspects listed by type of evidence

This appendix lists Aspects in the Index according to the type of evidence for which they are best suited.

Research Evidence

DRIVER 1 - Service Delivery

- Standards are set for all main services provided by the organisation [Service Provision];
- Standards take account of national or statutory standards;
- Standards reflect local priorities;
- Standards are challenging, precise, measurable and realistic;
- Sets standards for customer care - promptness, speed of response;
- Sets standards for customer care - reliability and punctuality;
- Sets standards for customer care - staff treatment of customers;
- Performs well - the organisation compares well with other similar organizations.

DRIVER 2 – Timeliness

- Standards are set for waiting times for initial service, which are challenging to achieve;
- Standards are set for waiting times for any subsequent visit to receive service or for service to be delivered;
- Performs well - The organisation compares well with other similar services.

DRIVER 3 – Information

- Publicise services and access - The organisation publishes information on the full range of services provided;
- Publicise services and access - The organisation gives full details of where and when services are provided;
- Publicise services and access - Ensures information is available to all customers and potential customers by using a variety of information means
- Standards for all major activities and for customer care are published in a Charter;
- Information on standards is widely available to customers and potential customers;
- Information is in plain language with a minimum of technical and legal jargon
- Information is reviewed and updated on a regular basis;
- Results are published (Customer feedback) - There is systematic publishing of the results of comment.

DRIVER 4 – Professionalism

- A summary of complaints received over a certain period is published
- Details of action taken as a result of complaints are published
- The organisation explains the reasons for any poor performance.
- Details of action taken to remedy poor performance are published
- Budget & expenditure are published - summary of budget and expenditure provided for the benefit of customers
- Budget & expenditure are published - the results of audit are placed in the

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public domain.

Document Evidence.

DRIVER 1 - Service Delivery

- Standards are set for all main services provided by the organisation [Service Provision];
- Standards take account of national or statutory standards;
- Standards reflect local priorities;
- Standards are challenging, precise, measurable and realistic;
- Sets standards for customer care - Promptness, speed of response;
- Sets standards for customer care - Reliability and punctuality;
- Sets standards for customer care - Staff treatment of customers;
- Monitor performance - Systems are in place to monitor performance against all standards;
- Monitor performance - Monitoring actually takes place;
- Monitor performance - The results of monitoring are recorded;
- Performs well - The organisation achieves the majority of its standards and / or targets most of the time;
- Complaints procedure - There is a written procedure;
- Complaints procedure - Easily accessible, easy to use;
- Complaints procedure - Procedure guarantees investigation and resolution;
- Complaints procedure - Procedure has time limits for response
- Complaints procedure - Procedure identifies to whom complaints should be sent;
- Complaints recorded & analysed - A record is kept of all complaints;
- Complaints recorded & analysed - The record includes details of timeliness and resolution;
- Complaints recorded & analysed - Management carries out regular analysis of complaints received.

DRIVER 2 – Timeliness

- Standards are set for waiting times for initial service, which are challenging to achieve;
- Standards are set for waiting times for any subsequent visit to receive service or for service to be delivered;
- Monitor standards – the results are recorded;
- The organisation meets its waiting time standards.

DRIVER 3 – Information

- Performance against standards is available on a regular basis at all service outlets;
- Results of consultation are recorded and analysed (Customer feedback) - The results are analysed and reported regularly to Management;
- Consultation covers all customer groups including those with special needs - The organisation has recognised its various customer groups;
- Consultation covers all customer groups including those with special needs -

Consultation is tailored to meet the needs of the various groups;

- Customer satisfaction is regularly tested - The organisation has planned and implemented customer satisfaction surveys;
- Surveys cover all customer groups.

DRIVER 4 - Professionalism

- Business and improvement plans exist;
- Business and improvement plans are revised and updated;
- Staff Training - a training record is maintained;
- There are overall targets set for the achievement of the business of the organization;
- These targets are largely met and variances are explained;
- The organisation is able to demonstrate that its services have improved over time;
- Continuous improvement is the aim.

DRIVER 5 - Staff Attitude

- The organisation has produced a customer care policy;
- The policy takes into account the needs of all customers;
- There is written guidance for staff on Aspects of customer care.

Observation Evidence

DRIVER 1 - Service Delivery

- Services are accessible to everyone;
- Clear directions and signage are provided;
- Consideration has been given to meeting the access needs of those with physical and mental impairment;
- Facilities meet customer needs (reception experience) - adequate waiting area;
- Facilities meet customer needs (reception experience) - conveniences and refreshments availability;
- Facilities meet customer needs (reception experience) - cleanliness and state of repair;
- Facilities meet customer needs (reception experience) - joined up services / one stop shop - everything connected with the provision of the service is located in one place.

DRIVER 2 - Timeliness

- Staff are attentive and are seen and perceived to provide a prompt service
- Off-duty staff remain out of sight of customers
- The full range of services is provided

DRIVER 3 - Information

- The cost to the customer of all services is clearly displayed at all service outlets;
- Facilities for comments are provided;
- The organisation has considered the information requirements of those with physical or mental disabilities and those who do not speak or read English;

- Special needs - the organisation has adapted its information provision accordingly.

DRIVER 4 - Professionalism

- Costs and payment procedures are clearly detailed at all service outlets
- Appointment procedures are clearly detailed at all service outlets
- All front-line staff wear name/appointment badges
- Staff use their names in telephone and written/electronic communications
- Offices and desks clearly indicate function and names of officials
- An organisation chart is displayed at all service outlets
- Display names: person in charge, customer service and complaints officer

DRIVER 5 - Staff Attitude

- Customer care policy - the policy is published and displayed;
- There is a nominated customer relations officer;
- The officer is clearly identifiable;
- Staff are observed to be polite, friendly and attentive to customers;
- Staff are observed to treat customers with sensitivity;
- Suitable facilities for privacy are available;
- Consideration is given to the actual needs of customers rather than staff convenience & routine services are adapted to meet these needs;
- Services are adapted to meet customer needs;
- Services are adapted to meet customer needs - special needs / special persons are catered for;

Discussions with Customers Evidence

DRIVER 1 - Service Delivery

- Performs well - there is independent confirmation of this;
- Customers can reach the service without difficulty;
- There are no physical, technological or bureaucratic obstacles to access
- Access is at convenient times - consideration has been given to customer needs;
- Access is enabled for all - consideration has been given to the needs of women, ethnic minority communities and those with special needs;
- Service is adapted to meet these needs;
- Where possible, choice is offered - consideration has been given to the needs of customers who find it difficult to access the service eg remote communities;
- Where possible choice is offered - some provision has been made to meet customer need;
- Costs / charges are set which are within the reach of all customers and potential customers;
- Access is affordable - consideration has been given to the needs of the very poor;
- Action taken (complaints & grievance redress) - action is effective.

DRIVER 2 - Timeliness

- There is independent confirmation of this;
- Staff explain any delays beyond standard waiting times;
- There is a reasonable explanation for delays, which are not a regular occurrence;
- Services are provided throughout the advertised times;
- Customers are told of any foreseen interruptions to service and unforeseen interruptions are explained.

DRIVER 3 - Information

- There should be no hidden costs to any customer;
- Plain language - customers should be asked to comment on this Aspect (all information is given in plain language);
- The organisation actively encourages comment on its services;
- Customers confirm that their comments are acted upon.

DRIVER 4 - Professionalism

- Staff adhere to procedures and there are no hidden costs to the customer;
- Staff adhere to these procedures and do not give unfair preference to certain customers;
- Customers perceive that the organisation is efficient;
- Customers confirm an improved service.

DRIVER 5 - Staff Attitude

- Polite, friendly and attentive staff - Customers confirm;
- Staff recognises the need to preserve the privacy and dignity of customers;
- All customers receive the same level of service;
- All customers receive equal treatment - Consideration is given to the requirements of those with special needs;

Discussions with Staff Evidence

DRIVER 1 - Service Delivery

- Explains poor performance - the organisation recognises poor performance.
- Explains poor performance - the organisation gives an honest explanation of the reasons for poor performance.
- Acts to remedy poor performance - the organisation analyses the reasons for poor performance and takes remedial action
- Acts to remedy poor performance - the organisation monitors the remedial action for its effectiveness
- Review and raise standards - all standards are reviewed regularly (at least annually).
- Review and raise standards - if appropriate, standards are raised
- Access is at convenient times - service has adapted to customer needs.
- Nominated complaints officer / complaints desk
- Officer has sufficient authority to investigate and deal with complaints
- Staff Training (complaints & grievance redress) - front-line staff have been

trained to receive and handle complaints

- Staff Training (complaints & grievance redress) - guidance is issued
- Staff Training (complaints & grievance redress) - staff are empowered to deal with complaints at point of contact
- Action taken (complaints & grievance redress) - action is taken to remedy the cause of justified complaints

DRIVER 2 – Timeliness

- A system exists to monitor waiting times;
- Monitoring actually takes place;
- Management has worked out the busiest times of day and provided extra staff at these times.

DRIVER 3 – Information

- There is a plan for systematic consultation with customers;
- Consultation takes place on a regular basis;
- Consideration has been given to the most suitable ways of obtaining feedback from customers;
- A variety of appropriate measures is used;
- A nominated officer is responsible for collecting and collating comments;
- Staff & partners are consulted (customer feedback) - there is a system for capturing the views of staff and partners / co-providers;
- Staff & partners are consulted (customer feedback) - there is evidence that the system is implemented;
- An officer is nominated to collect and collate the feedback from customers, staff and partners;
- There is evidence that the organisation has responded to the results of consultation and adapted services accordingly.

DRIVER 4 - Professionalism

- Performance management - performance targets are set for individuals and department;
- Performance management - performance is monitored;
- Performance management - action is taken to rectify poor performance;
- Business and improvement plans - plans are implemented;
- Staff receive adequate training to fit them for their role;
- Training includes customer care and complaints handling;
- Refresher / update training is given;
- Staff feel supported by Management;
- Staff are encouraged to comment and make suggestions for service improvement;
- There are incentives and rewards for good performance.

Staff Motivation - poor performance is penalised
A staff appraisal / career development system exists

DRIVER 5 - Staff Attitude

- All staff have received customer care training;
- The officer has sufficient authority to perform his/her function on behalf of the customer;
- Discussions with partners.

DRIVER 4 – Professionalism

- The organisation recognises which other services and agencies it is dependent upon to deliver a full range of services to its customers;
- The organisation recognises its effect on the delivery of services by others;
- The organisation actively seeks partnerships to enhance the service given to customers.

Cooperation with others - There are arrangements for the exchange of information and for consultation with partners

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