Turning the Administration Upside Down!
IMPRINT

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Comments and suggestions welcome at: iii7@bka.gov.at
Administrative Reform in Austria

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1 Reforming the State and Constitution

In Austria, work has been underway to implement several stages of a comprehensive reform of the state and its tasks. In September 2000, for instance, a task reform committee was formed of business, science and
administration experts. Its mandate was to work out proposals concerning tasks of the state in order to eliminate services that had become obsolete and to reduce duplication. The ultimate purpose was to provide a basis for decisions at the political level. The task committee’s report was presented in March 2001 and contained 60 specific recommendations for deregulation, reorganisation and the introduction of new regulations. The proposals were examined in numerous discussion rounds at political level and, in some instances, implemented (as in the case of the Administrative Reform Act of 2001).

The Austrian Convention convened from May 2003 to July 2006 with the purpose of drafting the text of a new constitution that would set forth all the constitutional provisions concisely yet comprehensively and ensure forward-looking, cost-effective, transparent and citizen-oriented fulfilment of the state’s responsibilities. The 1,200-page final report points out that a consensus was reached only in some areas and that many issues remained unresolved, among them the division of powers between the federal government and the federal provinces, an issue on which no agreement was reached due to the significant disparity in the positions of the federal government, the federal provinces and the municipalities/cities.

In the Government Programme of 2007, a group of experts was established at the Federal Chancellery to write up proposals for a comprehensive constitutional reform based on the work done by the Austrian Convention. To date, the group has put forward three drafts. One of these has been implemented while the other two continue to be
under discussion. To find out more on the state of progress achieved in these deliberations, see the Austrian Convention website at:

http://www.konvent.gv.at/K/EN/Welcome_Portal.shtml
2 E-Government Initiative

E-government constitutes a powerful lever for administrative change. Among other things, it facilitates the streamlining and acceleration of processes, improves access to information and its distribution, ensures transparency and allows for large-scale involvement of all stakeholders. E-government is therefore a crucial factor in efforts to make administrative services more citizen-oriented, while improving their overall quality.

As against the EU average of 75%, some 95% of all public services are already available online in Austria, ranking it first on the list of EU countries for the second time running in 2007. The Austrian federal government sees this distinction as a mandate to continue its successful strategy hand in hand with the federal provinces, the municipalities and the business world. In 2007, to help foster a "learning administration", a survey was undertaken to determine the full range of e-services available at all levels of the public administration. This gave rise to an “e-government map” which pinpoints not only the main focuses of the administration but also its shortcomings. In future, this map will serve to monitor the state of progress achieved in the line-up of services provided.

The following brochure describes initiatives of the Austrian federal government that have received international awards and emphasise the different aspects of e-government, from HELP, the government agency help website, and FinanzOnline to the electronic law-making process.
2.1 HELP.gv.at

“HELP” is an across-the-board online platform or service centre that provides information on the official channels people need to negotiate when living and working in Austria. Since 2001, the website has been offering a growing number of possibilities to perform such procedures online.

In providing its services, HELP sees itself as a “24/7” interface between the authorities and private citizens or businesses. The platform offers information on nearly 200 different topics relating to official procedures, including the required documents, fees and deadlines as well as online forms and guidelines for completing them. The contents are organised into four sections corresponding to the target groups of the public
administration (citizens, businesses, young people and senior citizens). This layout was chosen to provide greater clarity on the line-up of services available and to accelerate the virtual administrative procedures. By early 2008, HELP was already receiving over 440,000 visits per month.

www.help.gv.at

2.2 Citizen Card

The Austrian Citizen Card combines an official ID card and a means of verifying a person’s electronic signature for online administrative procedures.

Rather than a specific type of card, it stands for a concept that allows citizens to perform administrative procedures and official paperwork online in a secure manner and thus serves as basic prerequisite for any electronic procedure. Whereas applicants used to have to sign hardcopy documents when performing administrative procedures, such verification can now be performed online by using the Citizen Card to apply an electronic signature at the end of a document. What is more, the Citizen Card serves as a key to numerous e-government solutions in public administration and to web services in the business world. In Austria, the following services can currently be accessed using the Citizen Card: the e-services of the Austrian Social Security Scheme (e.g., insurance account statements, basic health insurance details, pension account), the prescription drug approval procedure, online banking, the services of FinanzOnline, Company Register inquiries, childcare allowance
applications, criminal record certificate, and the confirmation of resident registration.

Furthermore, the electronic public service ID card, which is known by its German acronym “eDA”, includes the functions of a Citizen Card and is currently being introduced ubiquitously across all branches of the Austrian federal administration. The eDA is a multipurpose smart card that, apart from serving as an official ID card, also provides electronic identification required for the use of PCs and IT processes, adds electronic signature to e-mails and documents and can be used as an access control system to unlock doors. Moreover, since the eDA also serves as a Citizen Card, any federal government employee can use it to identify him- or herself as an authorised user of e-government services not only in his or her official capacity but also as a private individual. For more information on the concept of the Citizen Card, go to:  

2.3 FinanzOnline

In 2003, “FinanzOnline”, the electronic data exchange system of the Austrian tax administration, was launched. Using internet technology, it provides Austrian citizens, companies, professional client representatives, municipalities and many other participants cost-free round-the-clock access to the virtual tax office. It has now become possible to perform many official procedures conveniently from home at the click of the mouse without requiring any special software. A FinanzOnline hotline, as well as an extensive online help system, has been specially set up to assist users with any support issues. Over
recent years, the internet platform has been subject to ongoing evaluations by way of usability studies and has been further refined, adding many new features in the process. In 2007, the service portal had already attracted 1,300,000 registered users, accounting for nearly one fourth of all taxpayers and reflecting a high rate of acceptance for virtual tax administration.

### 2.4 Electronic Record System (ELAK)

The electronic record system (ELAK by its German acronym) is the back-office application in Austrian e-government. Its main purpose is to improve the services of the federal administration. Thanks to the ubiquitous introduction of the ELAK in 2004, paper documents have now been replaced by electronic documents in all branches of public administration. Internal procedures have been significantly accelerated ever since through the fully automated processing of business and anytime, anywhere access to case files and documents. Alongside the clerks of public authorities, the clients of the public administration are among the first to feel the benefits of the electronic record system: citizen requests can be handled both faster and with better quality thanks to seamless administrative cooperation between the public authorities, but also thanks to the use of various e-government solutions, such as the option of servicing replies to official applications electronically.

### 2.5 Electronic Law-Making

The Austrian federal government launched the online publication project “E-Recht” in 2001 enabling an end-to-end electronic legislative process from the
initial formulation of draft bills and their debate in parliament on to the official promulgation of the legal instruments online.

The essential advantage of the system is that those involved in the process work on one and the same electronic document throughout the legislative process, thereby reducing the risk of errors that used to result from entering the same texts through different interfaces. This has brought about a significant improvement in the quality of the laws and ordinances. In this electronic procedure, which allows the individuals involved in the legislative process to share the subjective states of the document thus ensuring the complete traceability of the origin of the texts, the legal instruments are communicated online by the ministries of the federal government. Governmental decisions are sent to Parliament online and, in return, the adopted laws are sent back electronically by Parliament. Finally, the laws are promulgated online on the federal government’s legal information system at http://www.ris.bka.gv.at/, which provides free access to the laws from anywhere at any time. The system simplifies and standardises the procedure, ensures a certain uniformity of legislation and, most notably, speeds up the process of law-making and promulgation. In implementing the “E-Recht” project, Austria has taken on a pioneering role across Europe in legislation and legal publication.
3 Administrative Innovation in Austria

3.1 Administrative Quality Initiative

A lean, dynamic and strong administration has been a special interest of the Austrian federal government over recent years. As a consequence, every legislative period since 1997 has seen the adoption, coordination and ongoing evaluation of an administrative innovation programme comprising a wealth of reform measures with various subject matters and scopes. Over the years, a certain continuity has been established in the procedure, which is of crucial importance for the continuation, perfection and enduring success of medium-term reform projects, since they often require several years to become fully effective. By continuing to pursue its administrative innovation programme, the Austrian federal government finally launched the “Administrative Quality Initiative” in 2007 in order to improve the quality of public administration through the provision of first-rate services. The quality initiative now comprises some 40 projects in all the federal ministries. The project’s main focus is on e-government, various reorganisation measures and a broader use of the “flexibility clause” – a budgetary instrument that enables selected government agencies to act more flexible and autonomous within the existing budget and civil service framework.

3.2 Quality Management

The continuous improvement of quality is a major prerequisite for any modern, up-to-date administration. This is also expressly stated in the Government Declaration of 2008, which calls for the continuation and
expansion of the reform measures to ensure further improvements in the quality of services for the benefit of Austrian citizens and businesses.

3.2.1 Quality Standards

The formulation of uniform quality standards and quality commitments for the benefit of those using the services represents an important step towards guaranteeing the transparency of public administration services, giving individual citizens and businesses greater certainty in their planning and ensuring that the quality of public administration services are subjected to periodic evaluation and improvements. Nationwide, there are currently two noteworthy initiatives related to the development of quality standards.

In the judiciary, efforts are underway to set up citizen service centres at further locations fashioned after the Regional Court of Linz, where a wealth of extrajudicial services are now provided centrally from a service centre (e.g., land register extracts, notarisation of deeds). This concept is currently being implemented at several pilot locations, including the “Justizzentrum” at Wien-Mitte which houses Vienna’s Inner City District Court, the District Commercial Court of Vienna and the Commercial Court of Vienna with a total of some 350 employees. A survey among clients and employees to identify the demand and frequency of use of both service centres is being conducted along with the implementation of the pilot project. The quality of the service will be improved by developing of quality standards for service to citizens on the basis of the new findings and continually learning from this process for further implementations at other locations.
Among the district administrative authorities (Bezirkshauptmannschaften), which primarily enforce federal laws while providing a wide range of services, the sometimes enormous discrepancies in enforcement practices from one Austrian federal province to the next also pointed up the need for nationwide uniform quality standards. To respond to this exigency, the Austrian Federal Chancellery and the Federal Province of Styria called a conference on the topic of “quality standards for citizens and businesses” in the autumn of 2007. Various testimonials from the conference participants illustrated how quality standards are already being applied by certain public authorities, among them the Municipal District Office for Vienna’s 15th district and the District Administrative Authority for Innsbruck. Examples of such standards are a maximum waiting time for clients in the citizens’ offices (Bürgerbüros) or a target percentage of satisfied clients on their first contact with the administrative authority. A brochure “Qualitätsstandards für Bürgerinnen, Bürger und die Wirtschaft” which translates as “Quality standards for citizens and business” was published on the occasion of the conference. This brochure offers an introduction to “quality standards”, discusses and highlights international trends and the Austrian “state of the art” while pointing out ways in which uniform quality standards can be achieved throughout Austria in future.

At the same time, five district administrative authorities carried out a project with the aim of developing quality standards for selected areas. Quality standards were developed for construction site management, for instance, and for the training and outfitting of relief workers in case of major natural disasters. Based on shared values, ethical standards were developed for the subject area of “management”.
Future initiatives relating to this topic are being contemplated based on the findings of the 2007 conference, which brought together the heads of the district administrative authorities, and based on the experiences gained by the five district administrative authorities in the course of their joint project for the development of quality standards.

### 3.2.2 Common Assessment Framework (CAF)

The CAF is a self-assessment tool that quickly generates a profile of the strengths and weaknesses of an administrative organisation and points out any development potential there may be. It was developed at EU level and also provides a general framework for instructive comparisons with other administrative bodies. There are now over 1,000 CAF users across the EU.

In Austria, the Federal Chancellery serves as coordination and information centre for CAF users and other persons interested in the CAF. The KDZ - Centre for Public Administration Research supports the Federal Chancellery in its CAF agendas by providing training and consulting as well as expert feedback on the submitted CAF assessments. In the autumn of 2007, the Federal Chancellery and the KDZ jointly held their second national CAF event: “CAF Day 2007”. Aside from expert input, workshops were organised to give CAF users a forum in which to exchange experiences and discuss problem issues.

There are now around 60 CAF users in Austria, including all the district administrative authorities in Tyrol. Positive experiences in the pilot phase have also led the Austrian fiscal authority to opt for the gradual
implementation of CAF as part of its quality management scheme being implemented in all 57 subordinate agencies (tax offices, customs offices, corporate audits). For detailed information about the CAF and its utilisation in Austria, visit the website of the European Institute of Public Administration (EIPA) at:

http://www.eipa.eu/en/topics/show/&tid=191

3.2.3 Reducing Administrative Burdens for Businesses and Citizens

A basic characteristic of any modern, citizen-oriented administration is that its organisation and procedures are fine-tuned to the needs of its customers.

Calculations by the Federal Ministry of Finance attest that the bureaucracy imposes an annual burden of approximately EUR 4.3 billion on Austrian enterprises, which amounts to 1.6% of the country's gross domestic product. To enhance Austria’s appeal as a business location, alleviate the burden on businesses in a sustainable way, upgrade cooperation between businesses and the administration, and to leverage greater transparency and efficiency in the legislative process, the Austrian federal government embarked on an initiative entitled “Reducing Administrative Burdens for Businesses”. In March 2008, the federal government adopted an initial list of measures comprising 133 projects with the purpose of reducing bureaucratic expenditure for business. The administrative expenses are calculated according to the Bertelsmann Foundation criteria and the internationally
recognized standard cost model. Current attempts to reduce the burden on businesses include time-saving communication of information through the use of e-government solutions and the avoidance of duplication through improved data exchanges within the administration. For further information about the project “Reducing Administrative Burdens for Businesses”, see the initiative’s website at:

http://www.verwaltungskostensenken.at/English/_start.htm

Not only businesses, but also Austrian citizens spend a total of several million hours of their lives on bureaucratic procedures every year. Only rarely does the public administration ask whether it might be possible to simplify such bureaucratic procedures for citizens. In the transition toward a citizen-oriented administration, it is therefore crucial to change perspectives by looking at the things from the citizens’ viewpoint and reflecting critically on the traditional procedures and regulations.

Starting out from such considerations, the Federal Chancellery together with the KDZ - Centre for Public Administration Research undertook a study in 2008 to determine how much time and effort is expended by citizens in seven typical life situations (birth of a child, enrolment in primary school, marriage, single parents, people with disabilities and requiring care, pension and death) and to identify ways of easing the burden citizens face. An initial overview revealed that Austrian citizens spend a total of 10 million hours per year on bureaucratic procedures in these seven life situations. By inquiring into procedures and requirements, reducing document submission requirements, automatically initiating procedures (e.g., by the hospital upon the birth of a
child), combining various bureaucratic procedures and increasing the level of integration between administrative procedures and public enterprises, an administrative relief in the range of 3.8 million hours or 38 percent was achieved for citizens. Along with the study, a brochure entitled “More convenience – less hassle for citizens” was published. This brochure is available on the website of the Federal Chancellery under "Topics" in the “Administrative Innovations/Documents” section.

www.bka.gv.at/Verwaltungsinnovation
3.3 Competitions

The Federal Chancellery sponsors various initiatives and events to promote learning from the best within the Austrian public administration but also from the best administrations in other countries. The aim of competitions and best practice initiatives is to establish a process of learning from the best. Both events, such as the biannual EU quality conferences, and participation in national and international competitions show that Austrian authorities perform first-rate forward-looking services.

3.3.1 Austrian Public Sector Award

In 2008, the Austrian Public Sector Award was presented for the third time running to pay tribute to outstanding achievements, innovative developments and successful modernisation processes in public administration. In the spirit of best practices and benchmarking, the Austrian Public Sector Award is intended to promote an exchange and networking between administrative institutions and set learning processes in motion. The strong participation in the 2008 request for proposals (86 projects submitted in the three categories of “Citizen-Oriented Administration”, “Administration as a Business Partner” and “Enhancing Administrative Efficiency”) demonstrates that Austria’s public administration has many innovative developments and pioneering areas of modernisation to show for itself. A panel of expert judges finally selected 9 winners and 18 honourable-mention projects. The 2008 winners included the mobile tax office for Vienna's 2nd/20th/21st/22nd districts, which is blazing new trails by pro-actively approaching Austrian citizens, e.g., in residential homes for the elderly, schools and mosques. Moreover, the Office of the Government of Tyrol was awarded a prize for its “intelligent” online form for the authorisation of industrial plants. The
internet-based application makes it possible to apply for complex authorisations conveniently, efficiently and cost-effectively. The online form guides the users through the application process, explains terms, and ensures that all the necessary information has actually been supplied. It was these features that persuaded the expert panel to select the application as a showcase project of great utility for business and the public authorities. Follow the link below to view a list of the winning projects in 2008:

http://www.bka.gv.at/site/5731/default.aspx

3.3.2 European Public Sector Award (EPSA)

The European Public Sector Award was instituted as follow-up competition to the Speyer Quality Award with the aim of motivating public sector institutions throughout Europe to exchange best practices and to work together in driving forward the modernisation process. The EPSA brings together the best and most innovative performers from the public sector and thus creates a novel type of learning platform. In submitting 35 projects, Austria put forward a gratifying number of applications in 2007, representing 10.7% of the total number of EPSA applications and placing Austria second among the participating countries. At the same time, five Austrian applications were awarded a certificate of merit.

An overview of the projects submitted to the EPSA in 2007 is provided in the EPSA project database at http://www.epsa-projects.eu/index.php/Mainpage which was created by the KDZ - Centre for Public Administration Research. This database offers an overview map and lots
of handy search functions, such as searches by country or subject area. The website is well worth a visit for anyone interested in administrative innovations in Austria and other European countries.

The EPSA 2009 will be organised by the European Institute of Public Administration (EIPA) and funded through the financial support of the EU Member States as well as the European Commission. The call for applications started in January. The award ceremony will take place in November 2009. To find out about the current developments related to the EPSA, visit the competition’s website at:

www.eps-award.eu
3.4 Monitoring the Performance and Impact of the Federal Government

As early as 1997, the Department for Administrative Reform and Personnel Controlling of the Federal Chancellery set out to intensify its efforts in managing performance and impact in the federal administration. Initiatives such as the performance report of the federal administration and the flexibility clause are but a few examples of such activities. The envisaged change in budgetary law will once again bring management tools and the development of indicators to the fore. The Department for Administrative Reform and Personnel Controlling has already taken a number of steps in preparation for the change. At present, there is still a need for a political decision on what principle to follow when it comes to introducing how performance- and impact-based monitoring into the federal administration. The projected introduction of the new budgetary law requires every branch of the administration to set performance and impact targets and develop key performance indicators that can be linked with human and material resources. Starting with 2009, four pilot ministries (the Federal Chancellery, the Federal Ministry of Finance, the Federal Ministry for Education, Arts and Culture, and the Federal Ministry of the Interior) will begin to develop indicators and introduce performance- and impact-based management under the auspices of the Federal Chancellery.

3.4.1 Budgetary Reform

The changeover from a predominantly input-oriented to a performance-based budget management system and the subsequent reform of the
budgetary law constitute important milestones in the modernisation process of the public budget system.

Budgeting in Austria is currently characterised by an input-oriented approach. Such an orientation is based almost exclusively on the quantity of resources used rather than on the planned outcome or output of the administration. A further limitation is that budgets are adopted for one-year periods only and there is no budget commitment over a period of several years. This drawback is all the more limiting as unused resources can be carried over from one year to the next only in certain cases. What is more, separating income and expenditure out of their context discourages administrations from acting in an innovative and entrepreneurial way, i.e. the fact that earning surplus income does not entitle an organisational unit to make additional expenditures.

The Austrian budgetary reform tackles these shortcomings of the traditional input-based budget management system. The aim is to implement the OECD and IMF recommendations by setting up a comprehensive system of budget management, drawing on own experience with the new management philosophy during the pilot phase and on the experience acquired by international pioneers from other countries (Great Britain, Australia, France, Switzerland and the Netherlands).

Accordingly, the principles of the new budget management, which should be standard procedure starting from 2013, are: impact orientation, efficiency and transparency of administrative procedures, and a true and fair view of the financial situation. In implementing these new principles,
the timetable for 2009 calls for the definition of national targets that help to establish overall economic equilibrium, sustainable finances and equality between men and women (“gender budgeting”). Moreover, plans are to introduce a medium term expenditure framework, which will cover five subject areas and impose ceilings on fixed as well as variable cost. A strategy report will define the medium- and long-term budget targets, providing clarifications on the setting of top priorities and on accompanying measures to help ensure compliance with the financial plan. Instead of using detailed “line-item budgets” as before, individual organisational units will be governed through the use of global budgets, with the possibility of achieving positive differential amounts and setting aside reserves for the organisation to use for certain designated purposes. This will encourage the subordinate agencies to work economically and efficiently.

This new management philosophy creates a win-win situation, promoting budget stability and providing benefits to the branches of administration. It will raise budgetary discipline and thus help to consolidate the budget while giving the respective subordinate agencies greater organisational autonomy and flexibility by merging accountability for the resources and results. Moreover, budgeting over a period of several years will give them greater planning certainty.

3.4.2 Flexibility Clause

The “flexibility clause” is the Austrian way of testing out the principles of output-based management in a trial project and learning from Austria’s own experience for the upcoming budgetary law reform. The flexibility clause provides certain organisational units with greater autonomy and
flexibility in managing their performance and budget. For programmes running over several years, the planned income and expenditure are determined along with work programmes setting out performance objectives and, tentatively, impact objectives.

Eighteen organisations of various sizes and with highly diverse mandates are currently taking part in the project (among them four penitentiaries, the Austrian Patent Office, the Federal Agency of Water Management and the Federal Security Academy). The pilot phase began in 2000 and the Federal Chancellery has been supporting the project ever since within the framework of a project platform that brings together the participating institutions. After more than 8 years of experience with the tool, and as a means to prepare for the federal budgetary law reform, the Institute for Public Management of the Vienna University of Economics and Business Administration conducted an external evaluation that tends to confirm the positive perception of the flexibility clause. The participants saw not only a budget tool in the flexibility clause, for instance, but also an essential lever for lasting administrative modernisation stimulating extensive learning and development processes. In general, more effective use of financial resources has been observed and an improvement or extension of the services provided. The study revealed a need for optimisation primarily with branches of administration that do not provide sufficient strategic guidance and in view of the fact that, in most cases, binding performance agreements and performance indicators have yet to be formulated.
3.4.3 Personnel Controlling of the Federal Government

Modern personnel controlling helps civil service to deploy human resources in such a way as to ensure maximum added value and to improve the work of the human resources departments. In compliance with the requirements of a forward-looking management tool, ongoing reporting provides policymakers and top administrators with up-to-date information on trends in staff size and indicators in the Federal Government. The “standard products” are the monthly, half-yearly, and annual management reports. Each year, the brochure “Federal Public Service: Facts & Figures” is published, containing the most important data on the profile of federal public employees. Periodic reports on noteworthy events and current affairs are published, too.

A special study on the age profile of federal public employees was recently published, for instance, most notably revealing that federal public employees exhibit an irregular demographic profile.
According to the study, the percentage of “employees 45 years of age and older” rose from 35.1% to 50.2% in the period from 1995 to 2007 due to reduced hiring, among other factors. It therefore follows that younger employees (under 35 years of age) are underrepresented in federal public service, whereas employees in the age bracket of 44 to 46 are most prevalent. In order to avoid personnel shortages in future, the study proposes hiring new employees and implementing personnel development activities to ensure that employees remain in the public service sector.

Another study has been looking into the days of sick leave taken by federal public employees since 1994, providing information to human resource departments and federal administrative managers for the management of federal public employees. The study on leave taken in 2007 reveals that there is only a slight difference between the days of sick leave taken by federal public employees (12.4 calendar days) and the sick leave taken by private sector employees (12.0 calendar days). Moreover, when directly comparing the days of sick leave, it is necessary to factor in the considerable age difference between federal public employees (average age: 44.1) and private sector employees (average age: 38.0), especially since age – as shown by the breakdown of number of days of sick leave per age group – is a major factor in determining the number of days of sick leave taken. To find out more, download the brochure “Federal Public Service: Facts & Figures” at:

http://www.bka.gv.at/DocView.axd?CobId=30740
3.5 Standards for Citizen Involvement

Based on the key political notion of “good governance”, citizen involvement has become established as an important element of modern policymaking and administration in recent years. Involvement helps build up the citizens’ trust in political institutions, takes into account their interests and needs and substantially improves the quality of policymaking through innovative solutions. Numerous successful examples show that citizen involvement has already become a reality in everyday life in Austria. To foster further citizen involvement and achieve high-quality public participation, standards have been developed for the preparation, implementation and monitoring of participation processes in the course of an extensive discussion process and based on international role models. These standards provide employees of the public administration with rules on how to get citizens involved in developing policies, programmes and laws. The public participation standards are lists of questions available in the “Administrative Innovations/Documents” section of the Federal Chancellery's website. As more experience is gained and more pilot processes are performed, these standards will be developed further on the basis of an assessment and in the spirit of a learning administration. The Ministerial Council recommended the use of the public participation standards in July of 2008.

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