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Improving Public Organisations through Self-Assessment
Part 1: Content of the model

2013

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Education

caf® Resource Centre
European Institute of
Public Administration
COMMON ASSESSMENT
FRAMEWORK

EIPA

EUPAN
european public administration network

The Common Assessment Framework (CAF)
Improving Public Organisations through Self-Assessment

CAF Education 2013

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Foreword

At the end of the 1990s, the EU Ministers responsible for public administration invited the European Public Administration Network (EUPAN) to promote exchange and cooperation between the EU Member States and to develop common instruments in the field of quality management. In May 2000, a first product of the cooperation among EU national experts was presented: the Common Assessment Framework (CAF), a real common European quality management instrument for the public sector, developed by the public sector.

CAF became a great success. Over 12 years, nearly 3000 public sector organisations all over Europe have used the model and the number of CAF Users continues to grow. In the early years, the model was mostly used to introduce the principles of Total Quality Management in public sector organisations by making a diagnosis of the organisation in the light of this blueprint of an excellent organisation. As CAF had to be a generic tool, applicable to all types of public sector organisations at all institutional levels (European, federal or national, regional and local), the content of the model had to be formulated at a highly theoretical and sometimes even abstract level. Despite this context, from the outset CAF aimed to be a tool that was simple, accessible and easy to implement: in comparison with other quality models, this is certainly true of CAF.

Numerous people from different countries developed a CAF version, specifically for the education sector: the Belgian French-Speaking Community (Gérard Alard, Christine Defoin, Gérard Reynders, Pascale Schellens and Annette Verbeke, supported by the Belgian national CAF correspondent, Jean-Marc Dochot), Norway (Even Fossum Svendsen), Portugal (Hugo Caldeira, Rodrigo Queiroz e Melo and Sofia Reis), and Italy (Rino Bertorelli and Clara Alemani, supported by the Italian national CAF correspondent, Sabina Bellotti). It was decided to bring together all their expertise into a European CAF and education expert group with a clear objective: to develop an overall European CAF version for the Education and Training sector, intended for all teaching and training institutions in Europe, regardless of their level – from pre-school to higher education and lifelong learning. All the Member States were invited to join the group, which, in addition to the countries already mentioned, included the following countries: Luxembourg – Jutta Wirtz and Fréderic Joly from the CRP Henri Tudor; Greece – Poppy Oikonomou from the Inter-Balkan Institute of Public Administration in Thessaloniki; Poland – Andrzej Kurkiewicz from the Ministry of Science and Higher Education; and Slovakia – Miroslav Hrrnciar from the Slovak Society for Quality. The meetings were prepared and chaired by the CAF Resource Centre: Lena Heidler, Ann Stoffels and Patrick Staes. They were held on the premises of the Belgian Federal Public Service P&O and the Ministry of the French-Speaking Community in Brussels. We would like to thank them for their hospitality.

On behalf of all Member States, the CAF Resource Centre wishes to thank the participants of this working group for all their efforts. Intensive discussions took place to create this new European tool, but we finally have something we can be proud of. The CAF National Correspondents discussed this document during their meeting in Maastricht on 18 February and it was approved by the IPSG – the EUPAN working group responsible for all CAF activities – at their meeting in Madrid on 19 and 20 April 2010. It was furthermore approved by the Directors-General at the 54th DG meeting during the Spanish Presidency, in Madrid in June 2010.

As the result of an in-depth study on the use of the CAF 2006 model, a revision took place and the CAF 2013 was launched. Supported by EIPA, Belgium, Italy, Portugal and Norway worked together to adapt the CAF and Education version to this new model. The document we present to you is the result of this work.

The European Network of National CAF Correspondents and the European CAF Resource Centre at EIPA

May 2013

General Introduction

Definition

The Common Assessment Framework **(CAF)** is a **total quality management tool** developed by the public sector for the public sector, inspired by the Excellence Model of the European Foundation for Quality Management (EFQM)®. It is based on the premise that excellent results in organisational performance, citizens/customers, people and society are achieved through leadership driving strategy and planning, people, partnerships, resources and processes. It looks at the organisation from different angles at the same time: the **holistic approach** to organisation performance analysis.

Main purpose

The CAF is available in the public domain, is free of charge and is offered as an **easy-to-use tool** to assist public sector organisations across Europe in using **quality management techniques to improve performance**. The CAF has been designed for use in **all parts of the public sector**, and is applicable to public organisations at the European, national/federal, regional and local levels.

The CAF aims to be a catalyst for a full improvement process within the organisation and has five main purposes:

1. To **introduce** public administrations into the culture of excellence and the principles of TQM.
2. To guide them progressively through a **fully-fledged PCDA (PLAN, DO, CHECK, ACT)** cycle.
3. To facilitate the self-assessment of a public organisation in order to obtain a diagnosis and a definition of improvement actions.
4. To act as a **bridge** across the various models used in quality management, both in public and private sectors;
5. To facilitate **bench learning** between public sector organisations.

Organisations that are starting to implement the CAF have the ambition to grow towards excellence in their performance and want to introduce a culture of excellence in the organisation. Effective use of the CAF should, in time, lead to the further development of this type of culture and thinking within the organisation.

The CAF Model
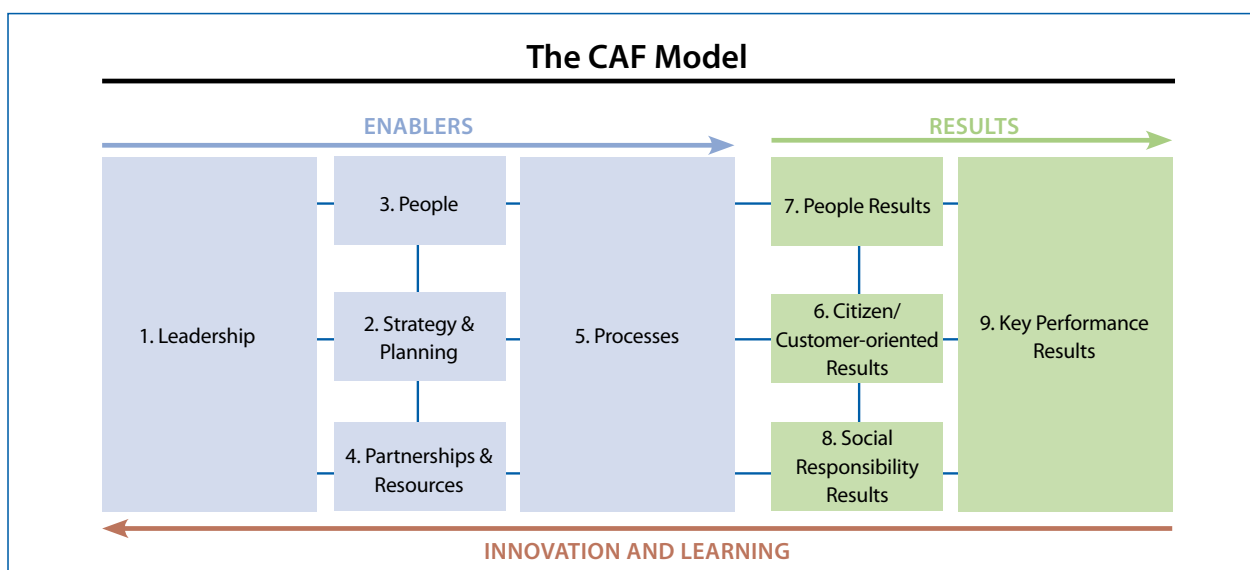
The nine-box structure identifies the main aspects requiring consideration in any organisational analysis. Criteria 1-5 deal with the managerial practices of an organisation: the so-called **Enablers**. These determine what the organisation does and how it approaches its tasks to achieve the desired results. In criteria 6-9, **Results** achieved in the fields of citizens/customers, people, society and key performance are measured by perception and performance measurements. Each criterion is further broken down into a list of sub-criteria. The **28 sub-criteria** identify the main issues that need to be considered when assessing an organisation. They are illustrated by examples that explain the content of the sub-criteria in more detail and suggest possible areas to address, in order to explore how the administration meets the requirements expressed in the sub-criterion. These examples represent many good practices from all over Europe. Not all of them are relevant for every organisation, but many can be considered as points of attention during a self-assessment. Integrating the conclusions from the assessment of the enablers and results criteria into the managerial practices constitutes the continuous **innovation and learning** cycle that accompanies organisations on their path towards excellence.

Cross-functions within the model
The holistic approach of TQM and CAF does not simply mean that all aspects of the functioning of an organisation are carefully assessed, but also that all the composing elements have a reciprocal impact on each other. A distinction should be made between
• cause-effect relationship between the left part of the model (the enablers - causes) and the right part (the results - effects); and
• the holistic relationship between the causes (enablers).

Cross-connection between the left and right parts of the model: consists of the cause-effect relationship between the enablers (causes) and the results (effects), as well as the feedback from the latter to the former. Verification of cause-effect links is of fundamental importance in self-assessment, where the organisation should always check for consistency between a given result (or set of homogeneous results) and the 'evidence' collected on the relevant criteria and sub-criteria on the enabler side. Such consistency is sometimes difficult to verify, since due to the holistic character of the organisation, the different causes (enablers) interact with each other when producing results. In any case, the existence of appropriate feedback, from results appearing on the right-hand side to the appropriate criteria on the left-hand side, should be checked in the assessment.

Cross-connection between criteria and sub-criteria on the enabler side: since the quality of results is to a large extent determined by the type and intensity of relationships between enablers, this type of relationship must be explored in the self-assessment. In fact their intensity varies between different organisations and their nature largely determines the quality of the organisation.

Relationships are obviously not limited to the criteria level; quite often substantial interaction/relationships materialise at sub-criterion level.

The underlying 8 Principles of Excellence
As a tool of Total Quality Management, CAF subscribes to the fundamental concepts of excellence as initially defined by EFQM, translates them into the public sector/CAF context and aims to improve the performance of public organisations on the basis of these concepts. These principles make the difference between the traditional bureaucratic public organisation and one oriented towards Total Quality.

Principle 1: Results orientation
The organisation focuses on results. Results are achieved which please all of the organisation's stakeholders (authorities, citizens / customers, partners and people working in the organisation) with respect to the targets that have been set.

Principle 2: Citizen/Customer focus
The organisation focuses on the needs of both, present as well as potential citizens/customers. It involves them in the development of products and services and the improvement of its performance.

Principle 3: Leadership and constancy of purpose
This principle couples visionary and inspirational leadership with constancy of purpose in a changing environment. Leaders establish a clear mission statement, as well as a vision and values; they also create and maintain the internal environment in which people can become fully involved in realising the organisation's objectives.

Principle 4: Management by processes and facts
This principle guides the organisation from the perspective that a desired result is achieved more efficiently when related resources and activities are managed as a process and effective decisions are based on the analysis of data and information.

Principle 5:
People development and involvement
People at all levels are the essence of an organisation and their full involvement enables their abilities to be used for the organisation's benefit. The contribution of employees should be maximised through their development and involvement and the creation of a working environment of shared values and a culture of trust, openness, empowerment and recognition.

Principle 6: Continuous learning, innovation and improvement
Excellence is challenging the status quo and effecting change by continuous learning to create innovation and improvement opportunities. Continuous improvement should therefore be a permanent objective of the organisation.

Principle 7: Partnership development
Public sector organisations need others to achieve their targets and should therefore develop and maintain value-adding partnerships. An organisation and its suppliers are interdependent, and a mutually beneficial relationship enhances the ability of both to create value.

Principle 8: Social responsibility
Public sector organisations have to assume their social responsibility, respect ecological sustainability and try to meet the major expectations and requirements of the local and global community.

These principles of Excellence are integrated into the structure of the CAF Model and the continuous improvement of the nine criteria will in time bring the organisation to a high level of maturity. For each principle, four levels of maturity have been worked out so that an organisation can have an idea of its way forward towards excellence. For more information on these levels we refer to the description of the Procedure on CAF External Feedback (PEF) on page 14.

Common European public sector values
Besides the specific interpretation of the principles of excellence for the public sector, public management and quality in the public sector have a number of unique conditions in comparison with the private sector. They presume basic preconditions common to our European socio-political and administrative culture: legitimacy (democratic and parliamentary), the rule of law and ethical behaviour based on common values, and principles such as openness, accountability, participation, diversity, equity, social justice, solidarity, collaboration and partnerships – all aspects which are to be taken into consideration during the assessment.

Although CAF primarily focuses on the evaluation of performance management and the identification of its organisational causes to make improvement possible, the ultimate goal is to contribute to good governance.

Importance of evidence and measurements
Self-assessment and improvement of public organisations is very difficult without reliable information concerning the different functions of the organisation. CAF stimulates public sector organisations to gather and use information, but very often this information is not available during a first self-assessment. This is why CAF is often considered to be a zero-base measurement. It indicates the areas where it is essential to start measuring. The more an administration progresses towards continuous improvement, the more it will systematically and progressively collect and manage information, both internally and externally.

A common language with the support of a glossary
When confronted with a managerial language, many public sector organisations find it difficult to understand the vocabulary used. CAF creates a common language that allows staff and managers in an organisation to discuss organisational issues together in a constructive way. It promotes dialogue and bench learning among public administrations at European level through this common language, which is simple and understandable to all civil servants. To support this and to avoid misunderstanding, the glossary at the end of the brochure is there to assist them by providing a more precise definition of the main terms and concepts.

What's new in the CAF 2013?
Users of previous CAF versions will not find it too difficult to find their way around the 2013 version. The model is still composed of 9 criteria and 28 sub-criteria, but some have been reformulated. A table in attachment compares the structure of the CAF 2006 and CAF 2013 models. The major changes are to be found in criterion 5, where two sub-criteria have been merged and a new one has been created. All the examples have been reviewed and adapted to the changes in the structure. The glossary has been updated accordingly. The 8 Principles of Excellence for the public sector are now clearly defined and the maturity levels worked out in the context of the Procedure on External Feedback.
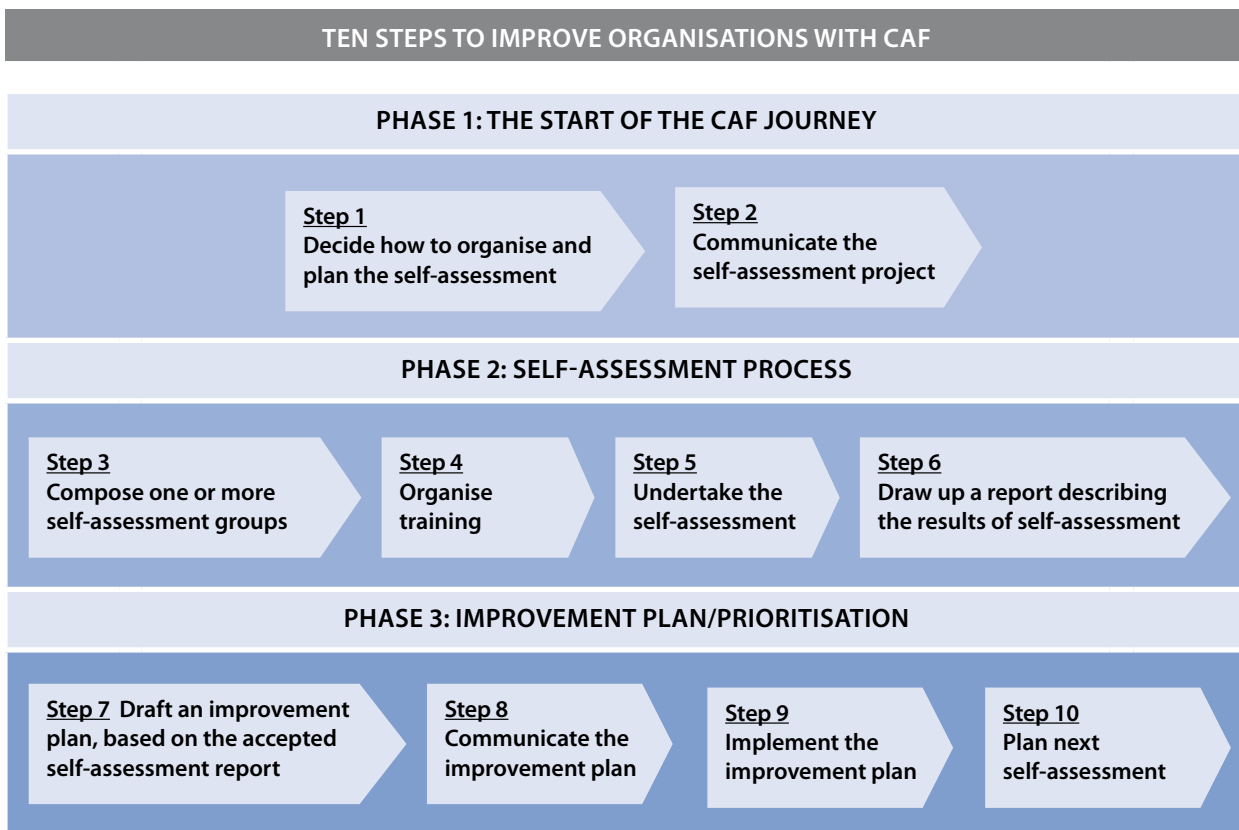
How to use the CAF 2013 Model

Organisations are free to adapt the implementation of the model to their specific needs and contextual circumstances; however, the structure of the model, with the 9 criteria and the 28 sub-criteria, as well as the use of one of the assessment panels is strongly recommended, as it allows the process to be implemented following the given guidelines.

The guidelines for implementation
Using the CAF Model is a learning process for each organisation. However, the lessons learned over several years of implementation can profit every new user. A 10-step implementation plan was therefore developed to help organisations use it in the most efficient and effective way, reflecting the advice of the CAF national experts. What follows are the main points. A more detailed explanation can be found in the brochure.

Role of the scoring system
Whilst the discovery of strengths and areas for improvement and the linked improvement actions are the most important outputs of the self-assessment, the scoring system developed for the CAF has a specific function but should not be the main focus.

TEN STEPS TO IMPROVE ORGANISATIONS WITH CAF

PHASE 1: THE START OF THE CAF JOURNEY

Step 1
Decide how to organise and plan the self-assessment

Step 2
Communicate the self-assessment project

PHASE 2: SELF-ASSESSMENT PROCESS

Step 3
Compose one or more self-assessment groups

Step 4
Organise training

Step 5
Undertake the self-assessment

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

PHASE 3: IMPROVEMENT PLAN/PRIORITISATION

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

Step 8
Communicate the improvement plan

Step 9
Implement the improvement plan

Step 10
Plan next self-assessment

Allocating a score to each sub-criterion and criterion of the CAF model has four main aims:

1. to give an indication of the direction to follow for improvement activities;
2. to measure your own progress;
3. to identify good practices as indicated by high scoring for Enablers and Results;
4. to help to find to find valid partners to learn from.

Two ways of scoring are proposed. The 'classical CAF scoring' and the 'fine-tuned CAF scoring'. More information is given in the chapter on scoring.

How to get support in using CAF 2013

Information and technical assistance
In 2001, a network of national CAF correspondents, as well as a CAF Resource Centre (CAF RC) were created following the decision of the Directors-General in charge of public service. In fact, this network is responsible for the development and follow up of the model at the European level. It periodically discusses new tools and strategies for the dissemination of the CAF. It organises a European CAF Users Event almost every two years, during which users discuss good practices and exchange ideas.

In the Member States, the national correspondents develop appropriate initiatives to stimulate and support the use of the model in their countries. Activities vary from the creation of national resource centres to dedicated websites – from national or regional projects or programmes, to national awards or quality conferences based on the model.
The CAF Resource Centre (CAF RC), at the European Institute of Public Administration (EIPA) in Maastricht (NL) is in charge of the coordination of the network and also manages the CAF website www.eipa.eu/caf.

The CAF website is the starting and access point for finding all relevant information about the CAF, for registering as a CAF user and finding information on other CAF users, or for using the CAF e-Tool – an electronic instrument that supports the self-assessment process. For example, you can also

find: the 22 language versions of the CAF Model, information on the national CAF correspondents, all relevant publications on the model, events that are organised at national and European level, announcements of training delivered by EIPA on CAF, and the related TQM issues.

The CAF External Feedback Procedure
To enable public sector organisations applying CAF to see the results of their efforts and to obtain feedback, the CAF offers an External Feedback Procedure which provides external feedback on the introduction of total quality management with CAF. This feedback procedure – to be applied on a voluntary basis – aims to further support CAF users on their journey towards quality, making their efforts visible, both internally and externally. It relates not only to the self-assessment process, but also to the way forward chosen by organisations in order to attain excellence in the long run, and is based upon the principles of excellence.

The CAF External Feedback aims to achieve the following objectives:
1. Support the quality of the CAF implementation and its impact on the organisation.
2. Find out if the organisation is installing TQM values as the result of the CAF application.
3. Support and renew enthusiasm in the organisation for continuous improvement.
4. Promote peer review and bench learning.
5. Reward organisations that have started the journey towards continuous improvement to achieve excellence in an effective way, without judging their obtained level of excellence.
6. Facilitate the participation of CAF users in the EFQM Levels of Excellence.

It is built upon the following three pillars
Pillar 1: The process of self-assessment
Pillar 2: The process of improvement actions
Pillar 3: The TQM maturity of the organisation

Organisations that have used CAF in an effective way can be awarded the European 'Effective CAF User' label, which is valid for two years. The CAF External Feedback Procedure and the CAF Effective User Label are under the responsibility of the Member States. They create the practical modalities based on a commonly agreed framework, but at their own pace. Organisations who wish to apply for the CAF label should inform themselves beforehand about the existing possibilities in their country.

Adapting CAF to education and training institutions: why?
CAF was initially conceived to be used in all fields of the public sector in the EU. Therefore, it seemed only logical that it would be an interesting tool for the Education sector in general.

The year 2010 was the deadline imposed by the European Education Ministers to finalise the Bologna Process based on the eponymous Declaration that triggered the harmonisation of European education in 1999; the Bologna Declaration committed to 'promoting European cooperation in quality assurance with a view to developing comparable criteria and methodologies'. The Bergen Declaration (2005) contributed by pushing forward European education by wishing 'to establish a European Higher Education Area (EHEA) based on the principles of quality and transparency'. The London (2007) and Leuven (2009) Declarations (see Annex II) confirm these principles.

In 2008, in different countries, a number of CAF national correspondents and/or Education experts – based on the broad (extended) use of the model in the educational sector in a number of Member States and on the subsequent adaptation at the national level by Belgium, Italy and Norway – decided to join forces with a double objective. On the one hand, CAF experts wished to increase the number of CAF users, and on the other hand, Education institutions wanted to implement European flavoured quality management that would be learner oriented (see the London Declaration 2007, Annex II). They favour a common European public sector approach that is easily accessible and free of cost.

At the European level, the IPSG – EUPAN gave the mandate to a working group to elaborate a tailor-made CAF for the Education sector based on the experiences in Member States. The CAF and Education is intended for all teaching and training institutions, no matter what their level. It ranges from the pre-school level to higher education and lifelong learning in Europe.

In 2013, the working group reviewed the CAF and Education version in the light of the revised generic CAF 2013 version.

CAF can be used in a wide range of circumstances (to initiate a quality approach, to improve existing processes, etc.). The fact that it is 'citizen customer' oriented corresponds with the wishes of the Education and Training sector.

What remains unchanged compared with the original CAF model?

As CAF is a generic tool, the customisation of its use is recommended, but respecting its basic elements is compulsory: the 9 criteria, 28 sub-criteria and the scoring system. Only the examples and the process of self-assessment as described in the guidelines are flexible and it is recommended to take into account the key elements of the guidelines.

This is to maintain the important role of the model in promoting a common culture among public organisations in the EU, acting as a bridge among different TQM models and tools and enabling bench learning.

What are the differences from the original CAF model?

- Adaptation of the language: i.e. we use 'learners' or 'learners and/or their legal representatives' instead of 'citizen customer' and 'education and training institutions' instead of public organisations.
- Adaptation of the examples: all the examples are borrowed from the world of education.
- Adaptation of terminology: the glossary has been reviewed.
- Integration of two additional documents: an introduction on the use of TQM models and CAF, as well as on the European policy on Education.

The initiative to start a quality approach using CAF must be based on a clear decision from the leadership consulting all people in the institution. Indeed, both leadership and people may find it unfamiliar and difficult to see the management and the working of their institution undergoing analysis. Although it will result in increased awareness, which may be upsetting, in the end the risk will turn out to be a positive one.

In short, self-assessment according to the CAF model provides education and training institutions with a great opportunity to get to know themselves better in terms of building up quality management.

Almost 3000 public organisations have already used the CAF: we know that 'CAF works'!

More information is available on the CAF website:

www.eipa.eu/CAF

Enablers Criteria

Criteria 1-5 deal with the managerial practices of an institution – the so-called 'Enablers'. These determine what the institution does and how it approaches its tasks to achieve the desired results. The assessment of actions relating to the Enablers should be based on the Enablers Panel (see CAF scoring and Assessment panels).
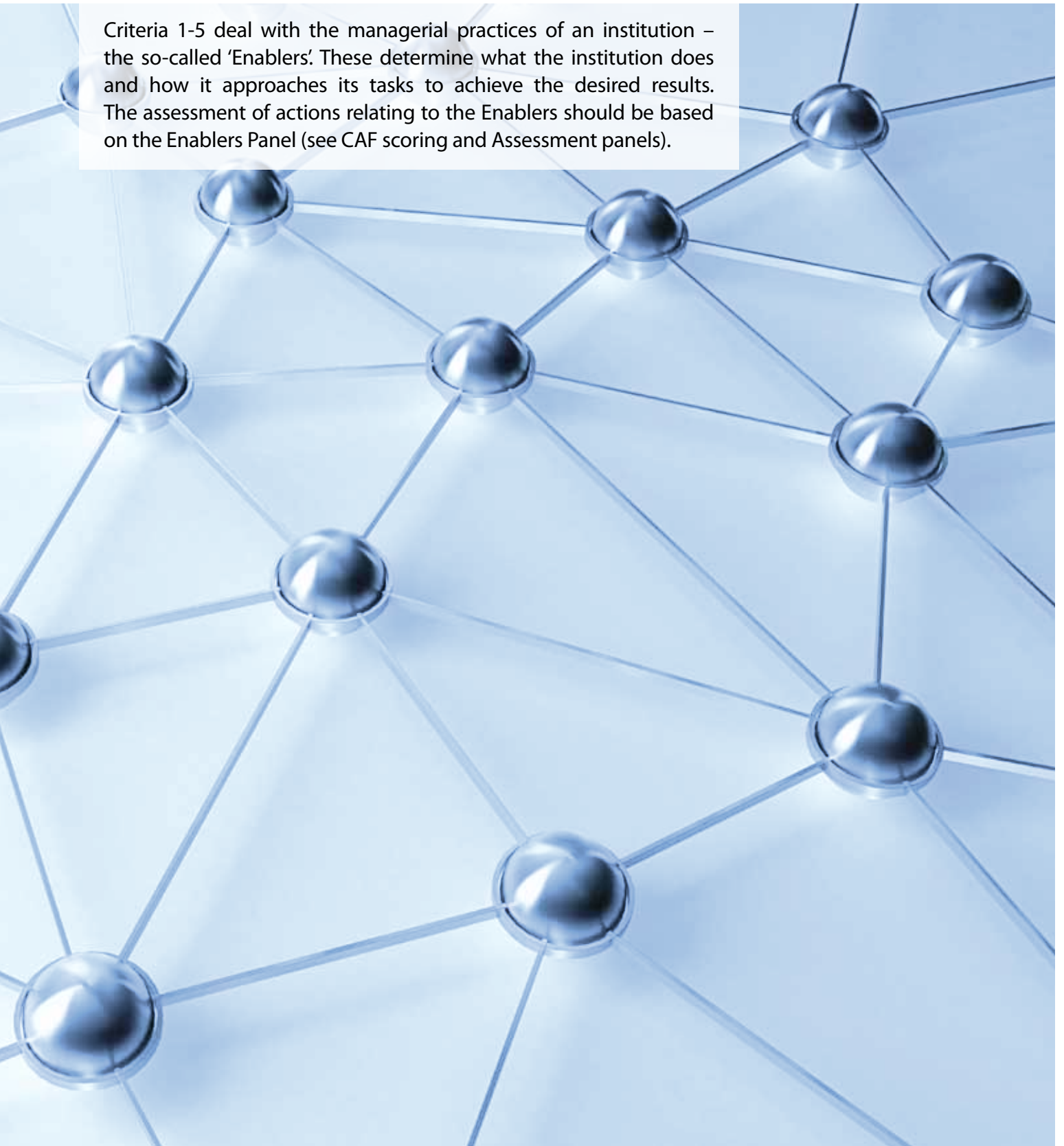
Criterion 1: Leadership

Sub-criterion 1.1
Provide direction for the institution by developing its mission, vision and values

Sub-criterion 1.2
Manage the education and teaching institution, its performance and its continuous improvement

Sub-criterion 1.3
Motivate and support people within the institution and act as a role model

Sub-criterion 1.4
Manage effective relations with political authorities and other stakeholders
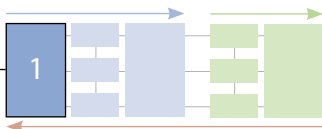
In a representative democratic system, elected politicians make the strategic choices and define the goals they want to achieve in different policy areas. The leaders of education and training institutions or their representative organisations assist political authorities in formulating public policies by giving advice based on their expertise in the field. They are responsible for the implementation and realisation of the public policy on education. CAF makes a clear distinction between the role of the political leadership and that of the leaders/managers of the education and training institutions, whilst emphasising the importance of good collaboration between both actors in order to achieve the policy results.

Criterion 1 focuses on the behaviour of the people in charge of the institution: the leadership. Their job is complex. As good leaders, they should create clarity and unity of purpose for the organisation. As managers, they establish an environment in which the institution and its people can excel, and they ensure the functioning of an appropriate steering mechanism. As facilitators they support the people in their institution and assure effective relationships with all stakeholders, in particular with the political hierarchy.

Assessment

Consider what the institution's leadership is doing to:

Sub-criterion 1.1
Provide direction for the institution by developing its mission, vision and values

The leadership ensures that the institution is driven by a clear mission, vision and clear values. This means that they develop the mission (why do we exist/what is our mandate?), the vision (where do we want to go/what is our ambition?) and the values (what steers our behaviour?) required for the institution's long-term success. They communicate them and ensure their realisation. Every institution needs values that build the framework for all its activities, values that are in line with its mission and vision. In addition, particular attention has to be paid to the values which are also important in the education sector, where more and more market laws are being introduced and regulate the institution's management system. Therefore, it is obvious that institutions have to uphold values such as democracy, rule of law, citizen focus, diversity and gender equity, fair working environment, embedded corruption prevention, social responsibility and anti-discrimination – values that at the same time provide a role model for the whole of society. Leadership has to create conditions to embody and guarantee these values.

Examples

1. Formulating and developing the institution's mission(s) (what are we aiming to contribute to society?) and the vision (who are the learners we are aiming to educate and train?), with the involvement of the stakeholders and people concerned.

2. Establishing, together with stakeholders, a value framework aligned with the institution's mission, vision and values, incorporating transparency, ethics and the sense of service to society, and translating it into a code of conduct.

3. Ensuring a broad and effective communication system inside and outside of the institution, including the institution's mission, vision, values, and strategic (global mid and long term) and operational (implementing tasks and activities) objectives to all people and stakeholders.

4. Periodically reviewing the institution's mission, vision and values, reflecting changes in the external environment (e.g. (geo) political, economical, socio-cultural, technological (PEST analysis), demographic and sustainable development).

5. Developing a management system that prevents unethical behaviour, but also supports staff in dealing with ethical dilemmas that appear when different institutional values are in conflict.

6. Managing risks by identifying their potential sources and providing people with guidelines on how to deal with them.

7. Strengthening mutual trust, loyalty and respect between leaders and people (e.g. by monitoring the continuity of mission(s), visions and values).

2 Sub-criterion 1.2
Manage the education and teaching institution, its performance and its continuous improvement

Leaders develop, implement and monitor the institution's management system based on defined measurable targets. An appropriate organisational structure with clear responsibilities for all levels of people, as well as defined management, support and core processes, should guarantee the efficient realisation of the institution's strategy for outputs and outcomes. The management system undertakes regular reviews of performance and results.

Leaders are responsible for improving performance. They prepare for the future by organising the changes necessary to deliver its mission. The initiation of a continuous improvement process is a core target of quality management. Leaders set the ground for continuous improvement by ensuring an open culture for innovation and learning.

Examples
1. Defining leadership/managerial responsibilities tasks and areas of expertise.
2. Ensuring an approach for the management of the processes, the partnerships and the institutional structures, tailored to the institution's strategy and planning as well as to the needs and expectations of stakeholders, providing regular and accurate management information through an effective management information system.
3. Defining measurable output (e.g. the number of learners achieving qualifications or graduation) and outcome targets (e.g. their socio-professional integration) for all levels and areas of the institution, balancing the needs and expectations of the various stakeholders in accordance with learners' differentiated needs (e.g. gender mainstreaming, diversity).
4. Adopting and adhering to a base reference standard for total quality management, such as the CAF or EFQM Excellence Model® or a system specific to the institution aiming to be accredited by SeQuALs, Proza, Equis, or other certification labels.
5. Formalising inter-departmental commitments and cooperation, e.g. service level agreements between administrative and financial services.
6. Defining the electronic administration (e-Gov) strategy and aligning it with the institution's strategic and operational objectives.
7. Creating appropriate conditions for process and project management and teamwork.
8. Creating conditions for effective internal and external communication.
9. Demonstrating leaders' commitment to continuous institutional improvement and innovation through the promotion of a culture of innovation. Developing continuous improvement and thereby encouraging feedback from people.
10. Communicating reasons for change initiatives and their expected effects to people and stakeholders.

3 Sub-criterion 1.3
Motivate and support people within the institution and act as a role model

Through their personal behaviour and their human resource management, leaders motivate and support the people. Acting as role models, leaders reflect the established objectives and values, encouraging people to act in the same way. People are supported by the leaders to reach their targets by carrying out their duties. A transparent style of leadership based on mutual feedback, trust and open communication motivates people to contribute to the institution's success. Besides these issues of personal behaviour, central factors for motivation and support of people can also be found in the institution's leadership and management system. Delegation of competences and responsibilities, including accountability, is the main managerial basis for motivated people. Opportunities for personal development and learning as well as recognition and rewarding systems are also motivating factors.

3 Sub-criterion 1.3
Motivate and support people within the institution and act as a role model [continued]

Examples

1. Setting an example and thus providing leadership that reflects established objectives and values.
2. Promoting a culture of mutual trust and respect between leaders and people with proactive measures to avoid any kind of discrimination.
3. Informing the institution's people on a regular basis of all matters of interest or concerning the institution.
4. Supporting people by helping them to carry out their duties and plans in support of the achievement of overall institutional objectives.
5. Providing feedback to all people to improve the performance of teams and individuals.

6. Stimulating, encouraging and empowering the people through the delegation of authority, responsibilities and expertise, including accountability.
7. Promoting a learning culture and stimulating people working within the institution to come forward with suggestions and be proactive in their daily tasks.
8. Demonstrating personal willingness (by leaders/managers) to welcome recommendations/proposals from people by reacting to constructive feedback from others.
9. Recognising and rewarding the efforts of teams and individuals.
10. Respecting and duly addressing the individual needs and personal circumstances of the institution's people.

4 Sub-criterion 1.4
Manage effective relations with political authorities and other stakeholders

Leaders are responsible for managing relationships with all relevant stakeholders who have an interest in the institution or its activities. Therefore, leaders lead a focused dialogue with political authorities/stakeholders. In the education sector, leadership is the interface between the organisation and the political authorities/stakeholders. This sub-criterion describes one of the main differences between the education sector and private organisations. Education sector institutions have to focus on relations with political authorities/stakeholders from different perspectives. On the one hand, individual politicians can have a leadership function as they – together with the leaders of education and training institutions or their representative organisations – formulate targets. On the other hand, political authorities can exist as a specific group of stakeholders to be dealt with.

Examples

1. Developing a stakeholders' analysis, defining their major current and future needs, and sharing these findings within the institution.
2. Assisting the political authorities in defining the public policies related to education.
3. Identifying and incorporating political decisions impacting on the institution.

4. Ensuring that the institution's objectives and goals are coherent with the political project and decisions and organising regular contacts with the political authorities to discuss the related resources required.
5. Involving political authorities and other stakeholders in defining outputs and the outcomes to be achieved.
6. Maintaining proactive and regular contacts with political authorities; reporting to appropriate legislative and executive hierarchies.
7. Developing and maintaining partnerships and networking with other institutions and 'first line' stakeholders (learners, citizens, associations of parents/former students/ employees, contacts in the socio-economic, medical and cultural fields, NGOs, interest groups, as well as other corporate, public and official bodies).
8. Taking part in the activities of professional associations, representative organisations and interest groups.
9. Building and increasing a good reputation, positive image and public recognition and awareness of the institution and the services it provides.
10. Developing a promotional and communication strategy for products/services geared towards stakeholders.

Criterion 2: Strategy and Planning

Sub-criterion 2.1
Gather information on the present and future needs of stakeholders as well as relevant management information
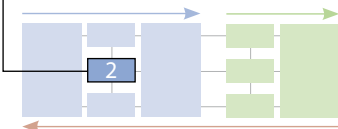
Sub-criterion 2.2
Develop strategy and planning, taking into account the information gathered

Sub-criterion 2.3
Communicate and implement strategy and planning in the whole institution and review it on a regular basis

Sub-criterion 2.4
Plan, implement and review innovation and change

An education and training institution implements its mission and vision by defining the 'way forward' it wants to follow, by setting both the goals it needs to achieve and the way it wants to measure progress. It demands a clear strategy. Setting strategic objectives includes making choices, setting priorities based on the public education and training policies and objectives and the other stakeholders' needs, taking into account the available resources. The strategy defines the outputs (products and services delivered) and outcomes (impact achieved) which the institution wants to obtain, whilst taking into account the relevant critical success factors.

The strategy needs to be translated into plans, programmes, operational objectives and measurable targets so that it can be successfully executed. Monitoring and steering should be part of the planning, as well as being attentive to the need for modernisation and innovation, which supports the education institution in improving its functioning. Critically monitoring the implementation of the strategy and planning should lead to updating and adapting them whenever necessary.

Assessment

Consider what the institution is doing to …

1   **Sub-criterion 2.1 Gather information on the present and future needs of stakeholders as well as relevant management information**

The PDCA (PLAN-DO-CHECK-ACT) cycle plays an important role in developing and implementing the strategy and planning of education and training institutions. It starts by gathering reliable information on the present and future needs of all relevant stakeholders, on outputs and outcomes and developments in the external environment. This information is indispensable to support the strategic and operational planning process. It is also fundamental to steering planned improvements in organisational performance.

According to the PDCA approach, regular reviews should be conducted jointly with the stakeholders to monitor their changing needs and their satisfaction. The quality of this information and systematic analysis of feedback from stakeholders is a prerequisite for the quality of the intended results.

Examples

1. Identifying all stakeholders and communicating the results to the whole institution.
2. Systematically gathering, analysing and reviewing information related to stakeholders, their needs, expectations and satisfaction.
3. Regularly gathering, analysing and reviewing relevant information about important variables such as political-legal, socio-cultural, environmental, economic, technological and demographic developments (information concerning the labour market, employment opportunities for graduates relating to type of training, as well as unemployment and under-employment rates where possible).
4. Systematically gathering relevant management information such as data on the performance of the institution.
5. Systematically analysing risks and opportunities (e.g. SWOT Analysis) and identifying critical success factors through regular assessment of the institution's environment (including political changes).

2   **Sub-criterion 2.2**
Develop strategy and planning, taking into account the information gathered

Developing the strategy means defining strategic objectives for the education and training institution in line with national education policies and European recommendations, the needs of the relevant stakeholders and the vision of the leaders, including the available information on school organisation, as well as information on developments in the external environment. Strategic priorities and decisions taken by the school leaders should ensure clear objectives on outputs and outcomes and the means to achieve them. The social responsibility of education institutions should be reflected in their strategy. Planning involves a conscious and methodical approach that will guide the institution at all levels to achieve the strategic goals. The setting of goals and identifying of conditions that must be fulfilled to achieve strategic goals – based on a sound risk analysis and management – plays a crucial part in ensuring an effective implementation and follow up. Indicators and result-monitoring systems used in the subsequent execution phase should be defined during the planning.

It is the work-through on strategies and action plans that creates a framework for the measurement of the results to be assessed in the criteria on citizen/customers (criterion 6), people (criterion 7), social responsibility (criterion 8) and key performance (criterion 9).

Examples
1. Translating the mission, the vision and values of the institution into strategic goals (long- and medium-term) and operational (concrete and short-term) objectives and actions based on a sound risk analysis.
2. Involving stakeholders in developing strategy and planning, balancing and prioritising their expectations and needs.

3. Evaluating existing tasks in terms of outputs (the products and services provided) and outcomes (the effects achieved in society) and the quality of the strategic and operational plans.
4. Ensuring the availability of resources to develop and update the strategy of the institution.
5. Balancing tasks and resources, long- and short-term pressures and needs of the stakeholders.
6. Develop a policy on social responsibility and integrate it into the strategy and planning of the institution.
7. Defining a policy with regard to the relation between education and employment, teaching and research aspects, and their impact on society.

3 Sub-criterion 2.3 Communicate and implement strategy and planning in the whole institution and review it on a regular basis.

The capacity of an education and training institution to deploy its strategy depends on the quality of the plans and programmes detailing the targets and results expected from each staff member of the school community. Relevant stakeholders and all members of the school community should thus be well informed of the goals and targets related to them to guarantee an effective and uniform implementation of the strategy.

The institution has to deploy the strategy at each level of the school community. The leadership should ensure that the right processes, project and programme management, and organisational structures are put into place to ensure an effective and timely implementation.

Education institutions should consistently and critically monitor the implementation of their strategy and planning, adjust practices and processes when necessary, or update and customise them if required.

Examples
1. Implementing the institution's strategy and planning by setting priorities, establishing timeframes, appropriate processes and projects and the organisational structure.

2. Translating the institution's strategic and operational objectives into action plans and tasks for the institution, its units and individuals.
3. Developing plans and programmes with targets and results for each institutional unit with indicators establishing the level of change to be achieved (expected results).
4. Communicating effectively in order to spread objectives, plans and tasks throughout the institution (school projects, educational, teaching, social and cultural plans, Quality Charter, etc.).
5. Developing and applying methods to monitor, measure and/or evaluate at regulars intervals the performance of the institutions at all levels of the school community, ensuring the strategy implementation.
6. Developing and applying methods to measure the institution's performance at all levels in terms of the relationship between inputs and outputs (efficiency) and between outputs and outcomes (effectiveness).
7. Assessing the need to reorganise and improve strategies and methods of planning involving stakeholders.

4

Sub-criterion 2.4
Plan, implement and review innovation and change

An effective school needs to innovate and change practices to deal with new expectations from citizens/customers, to enhance the quality of the service and to reduce costs.

Innovation can occur in several ways:
- by implementing innovative educational approaches and methods for providing students with core academic skills, together with 21st century competences.
- with new methods of managing school staff work programmes;
- by introducing innovative services that have a higher added value for citizens and key stakeholders (school staff, students, students' families).

The design phase is crucial: for later decisions, for the operational 'delivery' of services and for the evaluation of the innovations themselves. A prime responsibility of the leadership is therefore to create and communicate an open, supportive attitude towards suggestions for improvement wherever they come from.

Examples
1. Creating and developing a new culture/readiness for innovation by training, bench learning and establishment of learning labs.

2. Ensuring systematic monitoring of significant internal drivers for change and external calls for innovation and change. Internal drivers can, for example, include the rate of absenteeism of learners and/or teaching or administrative staff, drop-out rates, actions of complaint from parents and learners. An external driver can be complaints from partners.

3. Discussing the planned modernisation and innovation and their implementation with the relevant stakeholders.

4. Ensuring the deployment of an efficient change management system (e.g. benchmarking projects and performance comparisons, steering groups, follow-up reports, implementing PDCA, etc.).

5. Ensuring and optimising the resources needed to implement programmed changes.

6. Balancing top-down and bottom-up approaches when addressing changes within the institution.

7. Updating the training curricula by keeping up with professional, societal, scientific, academic and other innovations.

8. Promoting the use of e-Government tools in order to increase effectiveness of delivered services and to raise transparency and interaction between the educational institution and its stakeholders.
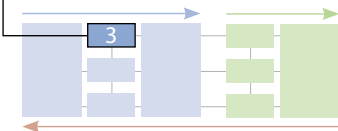
Criterion 3: People

Sub-criterion 3.1
Plan, manage and improve human resources transparently with regard to strategy and planning

Sub-criterion 3.2
Identify, develop and use competencies of staff, aligning individual and institutional goals

Sub-criterion 3.3
Involve staff by developing open dialogue and empowerment, supporting their well-being

People are the education and training institution's most important asset. The latter manages, develops and releases the competences and full potential of its people at individual and organisation-wide levels, in order to support its strategy and planning and the effective operation of its processes. Respect and fairness, open dialogue, empowerment, reward and recognition, care and also providing a safe and healthy environment are fundamental to building the commitment and participation of people on the organisational journey to excellence. Managing the institution and managing people is increasingly important in times of change. Improving leadership development, talent management and strategic workforce planning are critical since people are the biggest investment for education and training institutions. Effective human resource management and leadership of people allow the educational institution to accomplish its strategic objectives, and to take advantage of the strengths of people and their ability to contribute to the accomplishment of strategic objectives. Successful human resource management and leadership promote people's engagement, motivation, development, and retention. In the context of total quality management, it is important to realise that only satisfied people can bring the education and training institution closer towards satisfied learners.

Assessment

Consider what the institution is doing to …

Sub-criterion 3.1
Plan, manage and improve human resources transparently with regard to strategy and planning

A strategic and comprehensive approach to managing people and the workplace culture and environment is a key part of strategic planning in an education and training institution. Effective human resource management enables people to contribute effectively and productively to the institution's overall mission, vision and to the accomplishment of the institution's objectives. This sub-criterion assesses whether the organisation aligns its strategic objectives with its human resources so that they are identified, developed, deployed and improved transparently, as well as being taken into account to achieve optimum success. It questions how the education and training institution succeeds in attracting and retaining people capable of producing and delivering services in accordance with the objectives established in strategies and action plans, taking into account learners and other stakeholders' needs and expectations. It involves regular analyses of current and future human resource needs and the development and implementation of a human resources management policy with objective criteria regarding recruitment (when applicable), career development, promotion, remuneration, rewards and the assignment of managerial functions.

Examples

1. Regularly analysing current and future human resource needs, taking into account the needs and expectations of stakeholders and the strategy of the institution.
2. Developing and implementing a human resources management policy based on the strategy and planning of the institution, taking into account the necessary competencies for the future, as well as social considerations (e.g. flexible work time, paternity and maternity leave, sabbaticals, equal opportunities, gender and cultural diversity, employment of disabled people).
3. Ensuring that, taking into account the national regulations in this field, human resources' capability (recruitment, allocation, development – within the applicable legal frameworks) is available to achieve the mission, as well as balancing tasks and responsibilities.
4. Developing and implementing a clear policy containing objective criteria with regard to recruitment, promotion, remuneration, rewards and the assignment of managerial functions.
5. Supporting a performance culture (e.g. by implementing transparent remuneration/recognition schemes on the basis of the individual and team results achieved).
6. Using competence profiles as well as job and function descriptions for (a) recruiting and (b) personal development plans, for both employees and managers.
7. Supporting people involved in developing and/or using new technology applications and implementing e-Government (for example, providing those employees with the necessary training opportunities, dialogue, support, etc.).
8. Managing recruitment and career development with regard to fairness of employment, equal opportunities and diversity aspects (e.g. gender, sexual orientation, disability, age, race and religion), while respecting the educational plan and education and training safety requirements.

2 Sub-criterion 3.2
Identify, develop and use competencies of staff, aligning individual and institutional goals

An important component of criterion 3 is assessing how the education and training institution identifies, develops and maintains people's competencies. When it creates frameworks to allow people to continually develop their own competencies, to assume greater responsibility and to take more initiative, people contribute to the development of the workplace. This can be achieved by ensuring they associate their own performance goals with the strategic objectives of the institution, and also by involving them in the establishment of policies related to the training, motivation and rewarding of people. In practice this enabler can be condensed into a competency strategy describing the need to develop people's competencies and the methods to be applied (e.g. learning from colleagues, working collaboratively, further training, etc.).

Examples

1. Identifying current competencies of people at the individual and institutional levels and systematically comparing them with the needs of the institution.
2. Discussing, establishing and communicating a strategy for developing competencies. This includes a training plan based on current and future institutional and individual competency needs (for example with distinctions between mandatory and optional training programmes).
3. In line with the strategy, developing, agreeing on and reviewing personal training and development plans for all employees and/or teams in consultation (concerted way), taking into account accessibility for people on maternity and paternity leave.

The individual competency development plans may form part of an employee development interview, which can provide a forum for mutual feedback and matching expectations.
4. Providing learners with career and lifelong learning guidance and discussing options with them.
5. Developing managerial and leadership skills as well as relational competences of management regarding the people of the institution, the learners and the partners.
6. Leading (guiding) and supporting new people (e.g. by means of mentoring, coaching, individual counselling).
7. Promoting internal and external mobility of people.
8. Developing and promoting modern training methods (e.g. multimedia approach, on-the-job training, e-Learning, blended learning, action research, using social media, etc.).
9. Planning of training activities and developing communication techniques in the areas of risk, conflict of interest, diversity management, gender mainstreaming, integrity or ethics and codes of conduct.
10. Assessing the impacts of training and development programmes on the workplace and transfer of content to colleagues in relation to the costs of the activities through monitoring, the provision of cost/benefit analyses, the effective communication of training contents to all the institution's people, and measuring the impact on educational practices.

3

Sub-criterion 3.3
Involve staff by developing open dialogue and empowerment, supporting their well-being

People involvement means creating an environment in which people have an impact on decisions and actions that affect their jobs. It involves the creation of a culture that supports the mission, vision and values of the organisation in practice, e.g. by acknowledging and rewarding creativity, good ideas and special efforts.

This sub-criterion focuses on the ability of top and intermediate leaders and staff to actively cooperate in developing the education and training institution, breaking down organisational silos by creating dialogue, making room for creativity, innovation and suggestions for improving performance. People should be assisted in order to achieve their full potential. The proper execution of people policies depends upon all leaders and managers throughout the institution demonstrating that they care about people issues and well-being, and that they actively promote a culture of open communication and transparency. People commitment can be attained through formal forums such as consultative committees and through daily dialogue (e.g. about ideas for improvements). It is also a good practice to implement satisfaction surveys and leader assessments to obtain more specific assessments of the climate at work and to use the results to make improvements.

Examples
1. Promoting a culture of open communication and dialogue and the encouragement of team working.
2. Proactively creating an environment for collecting ideas and suggestions from staff and developing appropriate mechanisms (e.g. suggestion schemes, work groups, brainstorming, etc.).

3 Involving staff and their representatives (e.g. Trade Unions) in the development of plans, strategies, goals, the design of processes and in the identification and implementation of improvement activities.
4. Seeking agreement/consensus between staff and managers on goals and on ways of measuring goal achievement.
5. Regularly conducting staff surveys, publishing and giving feedback on results/ summaries / interpretations / improvement actions.
6. Ensuring staff have an opportunity to give feedback on the quality of the management of the leadership.
7. Ensuring good environmental working conditions throughout the organisation, including taking care of health and safety requirements.
8. Ensuring that conditions are conducive to achieving a reasonable work-life balance for staff (e.g. the possibility to adapt working hours) as well as paying attention to the need for people on maternity or paternity leave to have access to relevant information and be involved in appropriate organisational matters and education.
9. Paying particular attention to the needs of socially disadvantaged employees and people with disabilities.
10. Providing adapted schemes and methods for rewarding people in a non-financial way, (e.g. by giving public recognition or special support for projects).

Criterion 4: Partnerships and Resources

Sub-criterion 4.1
Develop and manage partnerships with others institutions

Sub-criterion 4.2
Develop and implement partnerships with learners

Sub-criterion 4.3
Manage finances

Sub-criterion 4.4
Manage information and knowledge

Sub-criterion 4.5
Manage technology

Sub-criterion 4.6
Manage facilities
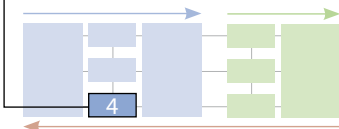
Education and training institutions need different types of resources to achieve their strategic and operational goals in line with their mission and vision, in addition to the people that are working in the institution. Whether they are of a material or immaterial nature, they all have to be managed carefully.

Partners stimulate the external focus of the institution and bring in necessary expertise. In this way, key partnerships, e.g. private providers of services or other public organisations, but also citizen/customers, are important resources for the good functioning of the institution and need to be built up carefully. In the world of education and training, citizens/customers are the learners, or their legal representatives; parents, guardians, etc. They are the ones who support the implementation of strategy and planning and the effective operation of the institution's processes. The education and training institutions are seen as part of a chain of public organisations that all together are working towards a specific outcome on citizens in the area of education. The quality of each of these partnerships has a direct impact on the outcome of the chain.

Besides partnerships, education and training institutions need to efficiently manage the more traditional resources – such as finances, technology, facilities – to assure their effective functioning and the knowledge they need to achieve their strategic goals. Knowledge resources cover the knowledge and experience of institution employees, its strategic partners, customers and citizens.

Well developed resource management, presented in a transparent way, is essential for education and training institutions to ensure accountability towards the different stakeholders on the legitimate use of the available resources.

Assessment

Consider what the institution is doing to …

Sub-criterion 4.1
Develop and manage partnerships with other organisations

In our constantly changing society of growing complexity, education and training institutions are required to manage relations with other organisations in order to realise their strategic objectives. These can be private, non-governmental and public partners. Institutions should thus define who their relevant partners are. These partnerships can be of different natures: suppliers of services and products, outsourced services, close partnerships on common goals, etc.

For the success of public policies in the sector of education, the collaboration between education and training institutions of the same institutional level (e.g. federal level), but also between education and training institutions of different institutional levels (federal, regional and local) could be crucial. Institutions should define the role they play to assure the success of the whole network.

Examples

1. Identifying private, civil society and public key partners, and the nature of their relationship with the institution, e.g. purchaser-provider, supplier, co-production, complementary/substitution product provider, partnerships between institutions and companies, between institutions and public administrations, between institutions, twinning between European or other institutions, mobility programmes, regional, national and European exchanges, networks, etc.

2. Developing and managing appropriate partnership agreements or letters of intent, taking into account the nature of the cooperation as well as different aspects of social responsibility, such as the socio-economic and environmental impact of the delivered products and services.

3. Encouraging and organising partnerships to undertake specific tasks, as well as developing projects and training together

with other public sector institutions and organisations belonging to the education sector and to different institutional levels.
4. Regularly monitoring and assessing processes, output, outcome and general partnership involvement therein.
5. Identifying the need for long-term public-private partnerships (PPP) and develop them where appropriate.
6. Defining the management tasks and responsibilities of partnerships, including control and assessment functions as well as evaluation and review.
7. Increasing institutional capacity by exploiting the possibilities of work placement.

8. Organising personnel exchanges of 'good practices' with partners and using bench learning and benchmarking.
9. Stimulating activities in the area of corporate social responsibility.
10. Developing multi-faceted partnerships by using current corporate and societal resources contributing to educational processes of learners and trainers in an overall learning perspective. This may include social, psychological and medical assistance services, general public welfare, associations fighting drop-outs, police services, prevention and safety departments, citizens' advice bureaus, cultural and sports associations, etc.

Sub-criterion 4.2
Develop and implement partnerships with learners

The learners or their legal representatives play an increasingly active – yet varying – role as key partners in the education sector. The involvement of learners or their legal representatives is increasingly seen as a necessary lever for improving the efficiency and effectiveness of education and training institutions. Their feedback by means of complaints, ideas and suggestions is regarded as important input towards improving services and products.

The role of the learners or their legal representatives in general can be approached from four angles: as co-designers, co-decision makers, co-producers and co-evaluators. As **co-designers** they have an impact on what and how the institution wants to deliver as a service in response to a specific need. As **co-decision makers** the learner or their legal representatives will acquire greater involvement in and ownership of the decisions that affect them. As **co-producers**, learners or their legal representatives themselves will be involved in the production and/or delivery cycle of services and their quality. And last but not least, as **co-evaluators** learners or their legal representatives will express themselves on the quality of public policies and the services they received.

In this criterion, CAF focuses on the involvement of learners or their legal representatives in

public matters and in the development of public policies, as well as the openness to their needs and expectations. Education and training institutions should support learners or their legal representatives in these roles if they want them to be undertaken effectively.

Examples
1. Ensuring a proactive information policy (concerning the range of services offered, how the institution is run, the powers and jurisdiction of the various internal and external authorities, general organisation of the institution, the processes – proceedings and deliberations, appeals procedures, meetings of class representatives, etc.).
2. Actively encouraging learners or their legal representatives to organise themselves, express their needs and requirements, and to support their association representatives.
3. Encouraging the involvement of learners or their legal representatives in the consultation and active participation in plans of action relating to the quality work of the institution, institution's management and in the decision-making processes (co-design and co-decision).
4. Defining the framework to actively seek ideas, suggestions and complaints of learners or their legal representatives, collecting them by appropriate means (e.g. by means of

Sub-criterion 4.2
Develop and implement partnerships with learners (continued)

survey, consultation groups, questionnaires, complaint boxes, opinion polls, etc). Analysing and exploiting this information, and disseminating the results.

5. Ensuring transparency concerning the institution's functioning as well as its decision-making processes and results (e.g. by publishing annual reports, holding press conferences and posting information on the internet).

6. Defining and agreeing on ways to develop the role of learners or their legal representatives as co-producers of services (e.g. information

sessions for learners by parents/experts) and co-evaluators (e.g. through systematic satisfaction measurements).

7. Developing effective expectations of management by explaining to learners what services they can expect, including a number of quality indicators e.g. through Learners Charters and service declarations

8. Assuring updated information on how learner's individual and social behaviour evolves, to avoid installing outdated processes of consultation or producing outdated services.

Sub-criterion 4.3
Manage finances

The ability of education and training institutions to generate additional financial resources may be limited as may be its freedom to allocate, or reallocate its funds to the services it wishes to deliver. Although education and training institutions often have little say in resource allocation, carefully preparing the budgets, preferably together with the financial authorities, is the first step towards cost-effective, sustainable and accountable financial management. Detailed accountancy systems and internal control are necessary to continuously monitor expenses. It is the basis for sound cost accounting, demonstrating the institution's ability to deliver 'more and improved services for less cost' if needed, and creating the opportunity for more innovative services or products to be introduced more quickly.

Examples

1. Ensure that the financial resources are used in the best possible way (efficiently and effectively) according to strategy and planning.

2. Analysing the risks and opportunities of financial decisions, both in a short- and long-term perspective.

3. Ensuring budgetary and financial transparency both within the institution and for public purpose.

4. Ensuring the cost-efficient and effective management of financial resources by using effective financial cost accounting and controlling systems.

5. Introducing systems of budgetary planning and monitoring (e.g. multi-annual budgets, budget cycles, programme or project budgets, energy budgets, budgets incorporating gender and men/women equality dimension).

6. Delegating and decentralising financial responsibilities and balancing them with the central controlling.

7. Basing investment decisions and financial control on cost/benefit-analysis, sustainability, ethics and anti-fraud policies.

8. Including performance data (efficiency and effectiveness) and benchmarks in budget documents, such as information on output and outcome objectives.

Sub-criterion 4.4
Manage information and knowledge

It is important to identify the institution's information and knowledge requirements for reaching the strategic goals and preparing for the future. This necessary knowledge and information should enter the education and training institution in a systematic way, be shared with all the staff who need it and remain in the institution when people leave. Teachers should have prompt access to the appropriate information and knowledge they need to do their job effectively. The institution should also ensure that it shares critical information and knowledge with key partners and other stakeholders according to their needs.

Examples
1. Developing a system of processes for the management, storage and assessment of information and knowledge within the institution in accordance with strategic and operational objectives.
2. Ensuring that externally available relevant information is collected, processed, used effectively and stored.
3. At all times monitoring the institution's information and knowledge by ensuring the relevance, accuracy and reliability thereof, while cross-referencing with strategic planning requirements and the current and future needs of stakeholders.
4. Giving all the people in the institution access to necessary information and knowledge (educational materials, ongoing training-related aids and data, etc.), including those concerning internal changes and process improvements, according to their tasks/work assignment by developing internal channels such as intranet, newsletters, bulletins, digital campus, virtual school, learning management systems etc., to all people in the institution.
5. Ensuring a permanent transfer of knowledge between staff in the institution (e.g. mentorship, coaching, written manuals).
6. Ensuring access to and exchange of reliable and relevant information and data with all stakeholders in a systematic and user-friendly way, taking into account the specific needs of all members of society such as elderly people, disabled people, etc.
7. Capitalising on the key information and knowledge of personnel leaving the institution.

Sub-criterion 4.5
Manage technology

ICT and other technological policies of the education and training institution need to be managed so that they support the strategic and operational goals of the institution in a sustainable way. When managed strategically they can be important levers for the improvement of the performance of public sector institutions and develop e-Government. Key processes can be remarkably improved by introducing the appropriate technologies in an appropriate manner. In service provision, eServices can render services more accessible for the customers and considerably lessen their administrative burden. Within the administration smart ICT solutions may allow for more efficient use of resources.

Examples
1. Designing a technology management in accordance with the strategic and operational objectives.
2. Implementing, monitoring and evaluating the cost-effectiveness of the used technology. Time for return on investment should be short enough and there should be reliable metrics for it.
3. Ensuring a safe, effective and efficient use of the technology, with special attention on the skills of people.
4. Use technology efficiently for:
   • task and project management;
   • knowledge management;
   • learning and improvement activities;
   • interaction with stakeholders and partners;

Sub-criterion 4.5
Manage technology

- development and maintenance of internal and external networks;
- financial management
- interaction and communication within the institution
- interactions with customers/learners

5. Defining how ICT can be used to improve service delivery, e.g. using the enterprise architecture method for information management in public administration.

6. Adopting the ICT framework and resources needed to deliver intelligent and effective services online, so as to improve service delivery to the learners.

7. Being permanently attentive to technological innovations and review the policy if needed.

8. Taking into account the social-economic and environmental impact of ICT, e.g. waste management of cartridges, reduced accessibility of non-electronic users.

9. Develop, implement and evaluate solutions for digital learning materials/literacy and for learning arenas (such as web-based lectures/classes, accessible for enrolled learners and the public) to support the main learning processes of the institution.

Sub-criterion 4.6
Manage facilities

Education and training institutions have to evaluate at regular intervals the state of the infrastructure they have at their disposal. The available infrastructure needs to be managed in an efficient, cost-effective and sustainable way so that it serves the needs of the learners and supports the working conditions of the staff. The sustainability of the materials used in the institution and the impact on the environment are also critical success factors for this sub-criterion, as well as for its social responsibility.

Examples

1. Balancing the efficiency and appropriateness of the infrastructure with the needs and expectations of staff and learners (e.g. centralisation versus decentralisation of offices/ service point, allocation of rooms, reorganisation of courses, accessibility by public transport, etc.). Furthermore, taking into account the needs of learners after class/regular school hours.

2. Ensuring a safe, effective and efficient use of premises (e.g. open-plan or individual offices, mobile offices, laboratories, workshops, etc.) based on strategic and operational objectives, taking into account individual needs of personnel, local culture, physical constraints and the measures of health and security policies.

3. Guaranteeing the efficient and effective utilisation of the building, equipment, in particular technological equipment and supplies, taking into account the strategic and operational objectives, the individual needs of learners, parents, personnel and other users as well as local culture and prevailing physical restrictions consideration.

4. Ensuring effective, efficient and sustainable use of transport and energy resources and their optimisation.

5. Guaranteeing accessibility of premises to meet the (specific) needs and expectations of personnel, learners and other users (e.g. toilet facilities, car parking or public transport amenities for disabled persons).

6. Guaranteeing and monitoring the effective maintenance of buildings, equipment and facilities with respect for environmental norms and greater cost efficiency and effectiveness.

7. Developing an integrated policy for managing physical assets, including their safe recycling/disposal, e.g. by direct management or subcontracting.

8. Putting facilities at the disposal of the local community.

Criterion 5: Processes

Sub-criterion 5.1
Identify, design, manage and innovate processes on an ongoing basis

Sub-criterion 5.2
Develop and deliver learner/ stakeholder-oriented services and products

Sub-criterion 5.3
Coordinate processes across the education and training institution and with other institutions

5
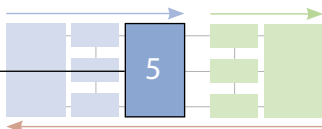
Each institution that performs well is run by many processes, each one being a set of interrelated activities that transform resources or inputs into outputs and outcomes on society.

These processes can be of different natures. A distinction can be made between three types of processes that make an institution function effectively depending on their quality and the quality of their interactivity:

- **The core processes** are those relating to the mission and vision of the institution and are critical to the delivery of products and services.
- **Management processes** steer the institution
- **Support processes** deliver the necessary resources.

Only the most important of these processes, the key processes, are the object of the assessment in the CAF. A key to the identification, evaluation and improvement of key processes is how effectively they contribute to achieving the mission of the education and training institution.

The main result for an education and training institution is an individual who has acquired competences and skills – possibly certified ones – and who is able to find employment and integrate into society, as well as to go on training through lifelong learning and self-development. In order to fulfil this mission (strategic plan), education and training institutions need to implement a number of key processes, including:

A. **'Core' processes:**
  • The education and training process (structures, programmes, methods, contents, on-the-job training and apprenticeships, assessments, individual projects, etc.);
  • The civic process (attitudes, values, citizenship, participation, etc.);
  • The research and development and applied research processes (extension of study work, use of the institution's quality assessments, basic research, etc.).

B. **'Support' processes:**
  • The external communication process (advertising, shows and exhibitions, open day events, websites, information media, etc.);
  • The staff recruitment process (selection, retention and skills development, etc.);
  • The administrative management process (registration, enrolment, file and records management, organisation of courses, etc.);
  • The career guidance and support process;
  • The budgeting process.

C. **'Management' processes:**
  • The institution steering processes;
  • The measurement or assessment processes for the various stages of the core and support processes;
  • The decision-making processes.

Criterion 5 deals in particular with the core processes of the institution, while criteria 1 and 2 handle the management processes, and criteria 3 and 4 the support processes. An effective and efficient institution identifies its core processes, which it performs in order to deliver its services (outputs) and impact (outcomes), considering the expectations of the learners and other stakeholders, in line with its mission and strategy. The need to generate increasing value for its learners and other stakeholders and to raise efficiency are two of the main drivers in the process of development and innovation. The increasing involvement of the key stakeholders stimulates the institution to continuously improve their processes, taking advantage of the changing environment in many areas such as technology, economy and population.

Assessment

Consider what the institution is doing to …

Sub-criterion 5.1
Identify, design, manage and innovate processes on an ongoing basis

This sub-criterion examines how the processes support the strategic and operational goals of the education institutions and how they are identified, designed, managed and innovated. How leadership, all members of the school community (staff, teachers, learners, families) as well as the different external stakeholders are involved in the processes of design, management and innovation is very relevant for the quality of the processes and needs to be analysed carefully. In fact, involving learners and other stakeholders in the different stages of process management and taking into account their expectations contributes to the overall quality and reliability of its processes.

Moreover, in the light of ever-changing learner profiles, teaching and training methods, innovation and new technologies, it is essential that processes are reviewed on a regular basis.

Examples
1. Identifying, mapping and documenting key processes of the institution on an ongoing basis, ensuring key processes support strategic objectives/aims.
2. Identifying process owners and assigning responsibilities to them.
3. Analysing and evaluating processes, risks and critical success factors taking into consideration the objectives of the institution and its changing environment.
4. Ensuring that the processes support the strategic goals, are planned and managed to achieve the targets established.
5. Involving all school staff and other external stakeholders in the design and improvement of processes on the basis of their measured efficiency, effectiveness and results (outputs and outcomes).
6. Allocating resources to processes based on the relative importance of their relevance to the strategic goals of the institution.
7. Simplify the institution's processes on a regular basis, proposing changes in the legal requirements if necessary.
8. Setting learner-oriented performance goals and implementing performance indicators to monitor the effectiveness of the processes (e.g. 'learning contracts' to help the teacher, student and families share the responsibility for achieving desired outputs and outcomes. It also helps increase accountability and provides feedback to the student/families regarding progress towards meeting the goals agreed upon).
9. Monitoring and evaluating the impact of ICT and eServices on the institution's processes (e.g. in terms of efficiency, quality, effectiveness).
10. Innovating processes based on regular local, national and international bench learning, paying careful attention to the obstacles to innovation and the necessary resources.

Sub-criterion 5.2
Develop and deliver learner/stakeholder-oriented services and products

Sub-criterion 5.2 assesses how education and training institutions develop and deliver their services/products in order to satisfy the needs of their key stakeholders (learners and/or their legal representatives) by involving them. Drawing on the expertise and creativity of all members of the school community and other stakeholders will foster an efficient, effective and innovative school.

The role of the learners or their legal representatives could operate at three levels:
- The involvement of learners or their legal representatives, associations or ad hoc panels of learners or their legal representatives (e.g. students'/ students' families' councils, associations of former students/families, etc.), in the design of the institution's products and services (co-design, co-evaluation);
- Collaboration (co-production) with the learners or their legal representatives concerning the implementation of services and products (sponsorship, tutoring, mentoring, etc.);
- Empowerment (co-decision) of the learners or their legal representatives in order to realise or access services and products themselves, once they have achieved the necessary degree of autonomy (e.g. outsourcing of certain services to other institutions and organisations, private or public corporations, presentations, seminars led by experts, etc.).

Co-producing services increases the sustainability of quality because the production becomes co-owned and because the way of producing becomes more visible, more understandable and therefore more legitimate and satisfying.

Examples
1. Identifying the outputs (services and products) of the core processes.
2. Involving learners or their legal representatives and other stakeholders in the design and improvement of services and products (e.g. by means of surveys, feedback, focus groups, inquiries concerning the suitability of services or products and whether they are effective in taking into account gender and diversity aspects).
3. Involving learners or their legal representatives and other stakeholders in the development of quality standards for services and products (the process output), which respond to their expectations and are manageable by the organisation.
4. Involve learners or their legal representatives, the other key stakeholders and school staff in the delivery of services, and preparing them as well as the teachers for the new relation and changing roles.
5. Involving learners or their legal representatives and other relevant stakeholders in the design and development of new kinds of interactive services and information delivery and effective communication channels.
6. Ensuring the availability of appropriate and reliable information with an aim to assist and support learners and other relevant stakeholders, as well as to inform them about implemented changes.
7. Promoting accessibility of the institution (e.g. flexible opening hours, documents available in a variety of formats e.g. on paper as well as an electronic version, appropriate languages, posters, brochures, Braille and audio notice boards).
8. Introducing functional systems for complaint management and enquiry processing.

3 **Sub-criterion 5.3**
Coordinate processes across the education and training institution and with other institutions

This sub-criterion assesses how well the processes are coordinated within the education and training institution and with the processes of other organisations functioning within the same service chain. The effectiveness of education and training institutions often largely depends on the way in which they collaborate with the other institutions, with whom they form a kind of a service delivery chain, oriented to a common outcome.

Taking learners' personal needs into account, calls for the implementation of complex cross-functional training processes at local, national, European and international level (crossovers, equivalence, ECTS, Erasmus, etc.). It is vital to successfully integrate the management of such processes, since integration, the effectiveness and efficiency of processes greatly depend on that. To that aim, well experimented forms of institutional integration should be pursued, such as the creation of cross-functional process management teams with the appointment of team leaders.

Examples
1. Define the service delivery chain to which the institution belongs with its partners.
2. Coordinating and linking processes to key partners in the private, NGO and public sector.
3. Develop a common system with partners in the service delivery chain to facilitate data exchange.
4. Undertake learner's journeys across different institutions to learn about better coordination of processes and overcome institutional boundaries.
5. Creating task forces across institutions/service providers to tackle problems.
6. Build in incentives (and conditions) for management and employees to create cross-organisational processes (e.g. shared services and common process development between different units).
7. Create a culture for working across borders in the process management, getting out of the silos thinking, coordinating processes across the institution or developing cross-organisational processes (e.g. undertake self-assessment for the whole institution rather than different units).

Results Criteria

From Criterion 6 onwards, the focus of the assessment shifts from Enablers to Results. In the first three Results criteria we measure perceptions: what our people, citizens/customers and society think of us. We also have internal performance indicators which show how well we are doing against the targets we may have set for ourselves – the outcomes. The assessment of results requires a different set of responses, so the responses from this point onwards are based on the Results Assessment Panel (see CAF scoring and Assessment panels).

Criterion 6:
Learner-oriented and other
key stakeholder-oriented results
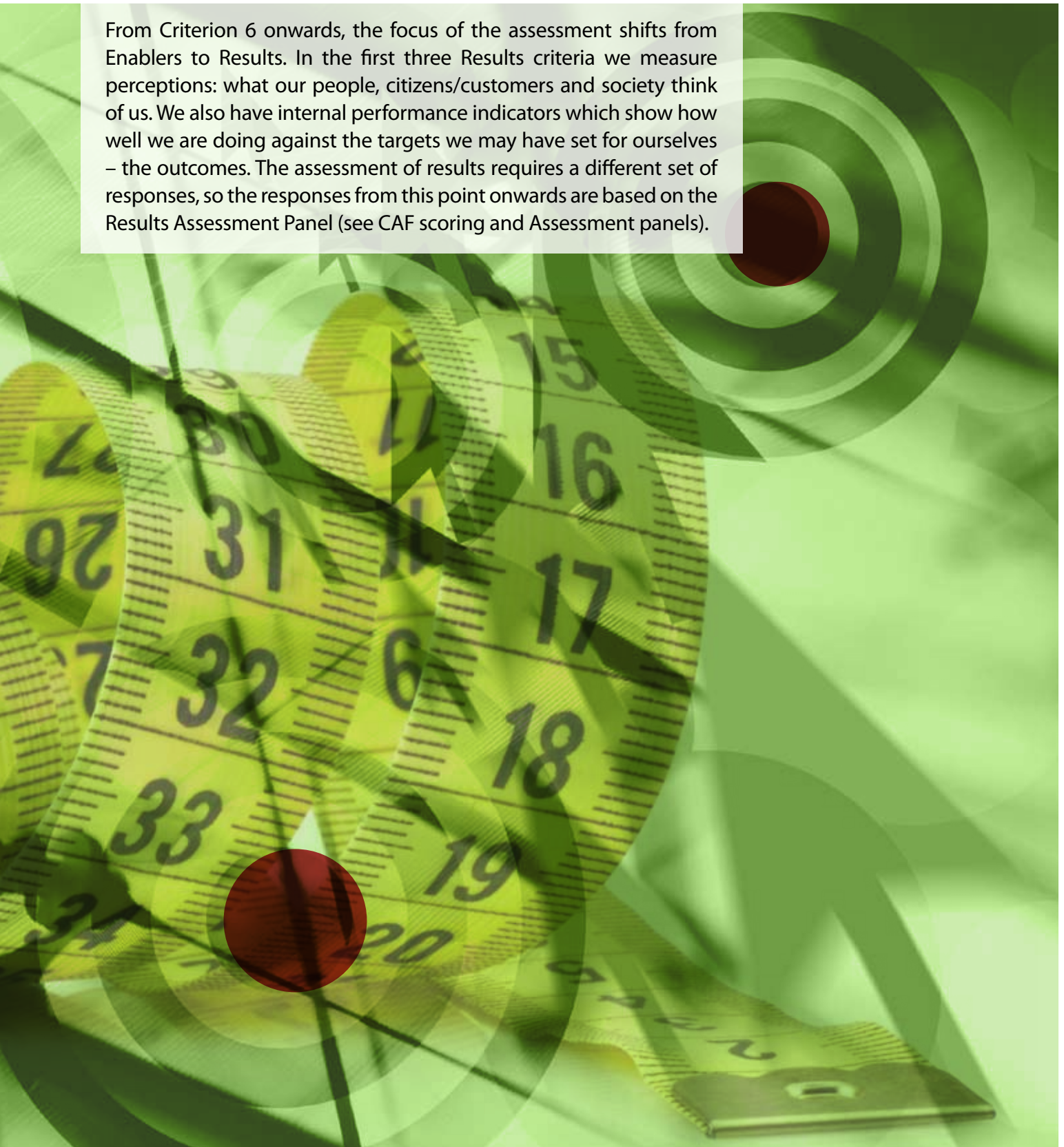
Sub-criterion 6.1
Perception measurements

Sub-criterion 6.2
Performance measurements
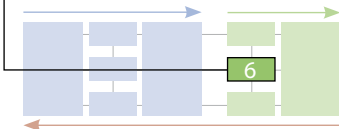
The results the education and training institution is achieving in relation to the satisfaction of its learners or their legal representatives and other key stakeholders with the institution and the products/services it provides.

Education and training institutions can have a complex relationship with the public. In some cases, it can be characterised as a customer relationship whereby learners are the beneficiaries of education and training services, which must satisfy them. In other cases, it is characterised by a citizen relationship, since the education and training institution defines a framework within which learning is transmitted to members of society (with compulsory schooling up to the age of 18, ideally and ultimately leading to socio-professional integration, transmission of values, etc.). Since the two cases are not always clearly separable, this complex relationship will be described as a citizen/customer relationship. In the field of education and training, we use the term ,learner' bearing in mind the duality of this relationship. In the case of education and training institutions, the concept of ,citizen/customer' embraces learners as well as the other stakeholders (parents, employers, different cycles, higher levels).

Education and training institutions deliver services according to local and/or central government policy (sometimes inside different networks and under different organising authorities), and are accountable for their performance to political stakeholders. Performance against statutory requirements is key performance results (criterion 9).

Assessment

Consider what the institution has achieved to meet the needs and expectations of learners and other key stakeholders through the results of …

Sub-criterion 6.1
Perception measurements

Learners' and other stakeholders' satisfaction measurements are normally based on areas that have been identified as important by learner groups and are based on what the institution is able to improve within its specific area of service.
It is important for all education and training institutions to directly measure the satisfaction of their learners and other stakeholders, for example with regard to:
- the overall image of the institution;
- the level of academic qualifications and attainments;
- the matching of qualification profiles to the requirements of educational and socio-economic environments;
- the quality of education and training processes,
- the institution's transparency;
- the involvement of learners and other stakeholders; etc.

The institutions typically use questionnaires or surveys to record levels of satisfaction, but they may also use other complementary tools such as focus groups or user panels.

Examples
1. The overall image of the education and training institution (e.g. its results and outcomes, ability to innovate and improve itself, reputation, levels of requirements, clarity of provided information, conviviality, attitude of teaching staff, openness, willingness to listen and offer guidance, etc.).
2. Involvement and participation of learners and other stakeholders in the learning processes, working and decision-making of the institution.
3. Accessibility (e.g. accessibility with public transport, ease of access to various departments, opening and waiting times for administrative services, accessibility and amenities for disabled persons, access to information, and cost of services).
4. Transparency (e.g. of functioning of the institution, of deliberations and decision-making processes, of formal educational partnership between teachers and learners, of internal communication, etc.).
5. Levels of qualifications and attainments (acquired competences), matching of profiles to current requirements and quality of

teaching/training processes (e.g. educational innovations, teaching approach, differentiating instruction, coherence of information, transparency of didactic objectives and assessment criteria, professional guidance towards learners (reorientation); quality of preparation for the future career, preventing drop-out, extra lessons for weak students, personalised teaching for students with special needs and for socially disadvantaged learners.

6. Results regarding the quality of supporting services such as libraries or restaurants,

facilities, buildings and equipment, ICT equipment, etc.

7. The organisation's differentiation of services related to different needs of learners (e.g. gender, age, capacities etc.).

8. The available information and its proper receipt by the learners: quantity, quality, reliability, transparency, readability, appropriateness for the target group, etc.

9. The frequency of learners' opinion surveys on the institution.

10. Level of public trust towards the institution and its products/services.

Sub-criterion 6.2
Performance measurements

Besides the direct measurement of learners or their legal representatives, the quality of services delivered to learners can be measured by internal indicators. Here, measurable results of internal management indicators (e.g. processing time, waiting time, number of complaints) are used. Based on these measurements lessons about the quality of the service delivery can be learnt. CAF gives an overview of examples for internal indicators which measure the performance in order to fulfil the needs and expectations of learners or their legal representatives.

Examples
Results regarding the involvement

1. Extent of involvement of learners and other stakeholders in the design and content of training courses and/or design of decision-making processes.

2. Number of suggestions received and adopted.

3. Extent of use of new and innovative ways in dealing with learners and other stakeholders.

4. Indicators of complying with diversity and gender aspect (e.g. certain male/female-oriented courses, diversity in international mobility, organisation of timetables, involvement in panels and councils, etc.) and with cultural and social diversity of both teaching/training staff and learners.

5. Extent of regular reviews jointly with the stakeholders to monitor their changing needs and the degree to which they are satisfied.

Results of accessibility of the institution

1. Opening and waiting times, cost of services, quantity and quality of accessible information, website, and importance given to access and amenities, etc.

Results regarding the transparency of the delivery of services and products

1. Number and efficiency of information channels.

2. Availability and accuracy of the information.

3. Availability of performance goals and results of the institution.

4. Number of ombudsman interventions – in case this service exists.

5. Extent of efforts to improve availability, accuracy and transparency of information.

Results regarding levels of qualifications and attainments

1. Number of learners reaching higher education levels.

2. Number of learners that continue their lifelong learning process.

Results regarding the quality of the teaching/ training activities and other services

1. Opportunities to pass to higher levels and to obtain social advancement.

2. Compliance with published service standards (e.g. social and cultural projects, educational projects, quality charter, ICT use charter, etc.).

3. Number and processing time of complaints.

4. Document management and processing times (certificates, files and records, student cards, etc.).

Criterion 7: People Results

Sub-criterion 7.1
Perception measurements

Sub-criterion 7.2
Performance measurements
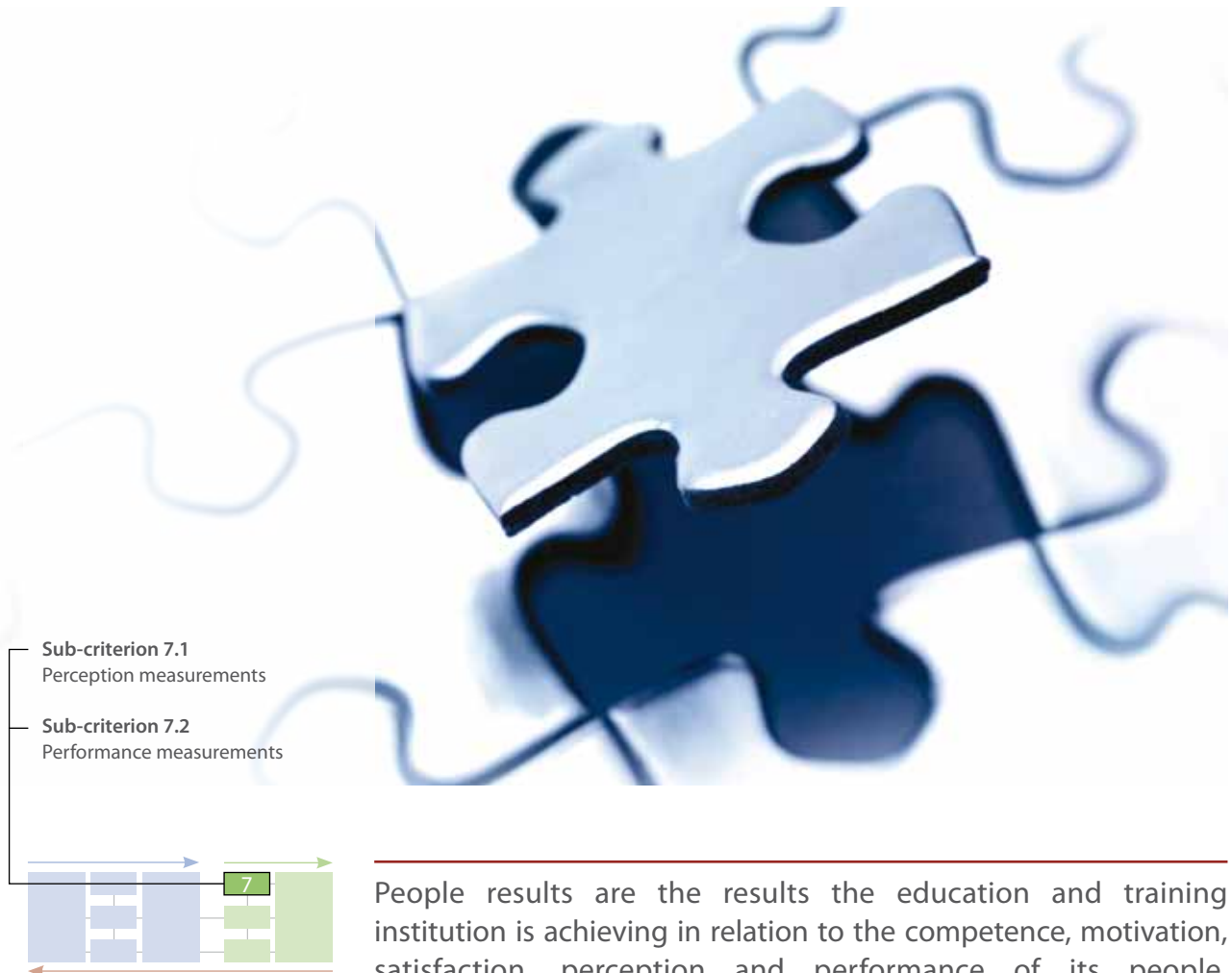
People results are the results the education and training institution is achieving in relation to the competence, motivation, satisfaction, perception and performance of its people. The criterion distinguishes between two kinds of people results: on the one hand perception measurements where the people are asked directly (e.g. via questionnaires, surveys, focus group, appraisals, interviews, consultation of staff representatives), and on the other hand performance measurements used by the organisation itself to monitor and improve people satisfaction and performance results.

Assessment

Consider the results the institution has achieved to meet the needs and expectations of its people, through the results of…

1 Sub-criterion 7.1
Perception measurements

This sub-criterion assesses whether people perceive the education and training institution as an attractive workplace and whether they are motivated in their everyday work to do their best for the institution. It is important for all education and training institutions to systematically measure people's perception of the institution and the products and services the institution provides.

Examples
Results regarding people's overall perception of:
1. The image (self-perception) and the overall performance of the institution (for society, learners and other stakeholders).
2. People's involvement in the institution, the decision-making process and their awareness of its mission, vision and values.
3. Extent of staff involvement in the institution's extra-curricular activities.
4. Personnel's awareness of possible conflicts of interest (e.g. attitude of a staff member teaching a member of his/her own family) and importance of ethical behaviour (regard for intellectual property).
5. Mechanisms of consultation and dialogue.
6. The institution's social responsibility.

Results regarding the perception of the leadership and management systems:
1. The leadership's ability to steer the institution (e.g. setting goals, allocating resources, evaluating the global performance of the institution, HRM strategy, etc.) and to communicate about it.

2. The design and management of the different processes of the institution.
3. The division of tasks and the evaluation system regarding people.
4. The extent and the quality to which individual and team efforts are recognised.
5. The institution's approach to changes and innovations.

Results regarding satisfaction with working conditions:
1. The working atmosphere (e.g. how to deal with conflicts, grievances or personal problems, mobbing in the institution) and general culture of the institution (e.g. how to deal with and encourage exchange between various departments, categories, faculties, etc.).
2. The approach to social issues (e.g. work-time flexibility, work/life balance, health protection, working place comfort).
3. The handling of equal opportunities and fairness of treatment and behaviour in the institution.
4. The layout of the workplace and environmental working conditions.

Results regarding motivation and satisfaction with career and skills development:
1. Systematic career and competency development.
2. Encouragement and empowerment.
3. Access to and quality of training in relation to the strategic objectives of the institution.

Sub-criterion 7.2
Performance measurements

Performance measurements are comprised of internal people-related performance indicators that enable the education and training institution to measure the results achieved regarding people's overall performance, the development of skills, their motivation and their level of involvement in the institution. Such results typically include internal measurements of the behaviour people display in practice (e.g. sick leave, staff turnover, number of staff complaints, number of proposals for innovation, etc.)

Examples

1. Indicators regarding people's behaviour (e.g. levels of absenteeism or sickness, rates of staff turnover, number of complaints, number of days on strike, time to deal with the complaints).
2. Indicators regarding motivation and involvement (e.g. response rates to staff surveys, number of proposals for innovation, participation in internal discussion groups).
3. Indicators regarding (personal) performance (e.g. results of the evaluation of people, assessment of training activities, etc).
4. The level of involvement in improvement activities.
5. Level of use of information and communication technologies.
6. Skills development-related indicators (e.g. training activities participation and success rates, efficient use of training budgets).
7. Indicators regarding people's ability to deal with learners and other stakeholders and to respond to their needs (e.g. number of meetings and polls or surveys each year, number of complaints of learners concerning the behaviour of staff/teachers/trainers, measurement of people's attitude towards learners, etc.).
8. Frequency of recognition of individual and teamwork efforts.
9. Number of ethical dilemmas (e.g. possible conflicts of interest) reported.
10. The frequency of voluntary participation in the context of activities related to social responsibility, promoted by the institution.

Criterion 8: Social Responsibility Results

Sub-criterion 8.1
Perception measurements

Sub-criterion 8.2
Performance measurements
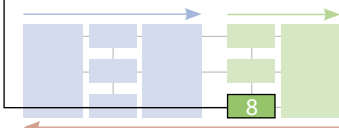
The main mission of an institution is always dedicated to satisfying a category of needs and expectations of the society. Beyond its main mission, an education and training institution should adopt responsible behaviour in order to contribute to sustainable development in its economic, social and environmental components, related to the local, national and international community. This may include the organisation's approach and contribution to quality of life, protection of the environment, preservation of global resources, equal employment opportunities, ethical behaviour, involvement with communities and the contribution to local development.

The main feature of social responsibility translates the will of the institution, on the one hand, to integrate social and environmental aspects in its decision-making considerations (criterion 2), and on the other hand, to be able to respond to the impact of its decisions and activities on society and the environment. Social responsibility should be an integral part of the strategy of the institution. Strategic objectives should be checked in terms of social responsibility in order to avoid unintended consequences.

The performance of an institution towards the community in which it operates (local, national or international) and its impact on the environment have become a critical component of the measurement of its overall performance. An organisation working on its social responsibility will:

1. improve its reputation and image to the citizens as a whole;
2. improve its ability to attract and retain staff members and maintain motivation and commitment of its staff;
3. improve its relations with companies, other public organisations, the media, suppliers, learners or their legal representatives and the community in which it exists.

The measures cover both qualitative/quantitative measures of perception (8.1) and quantitative indicators (8.2). They can be related to:

• ethical, democratic and participative behaviour of the institution;
• environmental sustainability;
• quality of life;
• economic impact as effects of organisational behaviours.

Assessment

Consider what the institution is achieving regarding its social responsibility, through the results of …

Sub-criterion 8.1
Perception measurements

This criterion focuses on the community's perception of the institution's results on a local, national or international level. This perception can be obtained through different sources, including surveys, reports, public press meetings, NGOs, CSOs (civic service organisations), direct feedback from stakeholders (authorities, learners and people) and the neighbourhood, etc.

The perception gives an indication of the effectiveness of the social and environmental strategies. It includes the view on transparency, the impact on the quality of life and quality of democracy, the view about ethical behaviour to support the citizens, the approach and results on environmental issues, etc.

Examples
1. Public awareness of how the education and training institution's achievements impact on the quality of life of citizens/customers: e.g. health education, support of sports and cultural events, participation in humanitarian aid actions, providing meals in the restaurant for the needy, supply of products and services to vulnerable social categories such as senior citizens, cultural events open to the public). Other examples of impact on the quality of life include mobility, road traffic, public transport, cyclist and pedestrian accessibility.
2. Perception of institution's reputation (e.g. as an employer or contributor to society locally or more generally).
3. Perception of economic impact on society at the local, regional, national or international level (e.g. the creation/attraction of small business activities in the neighbourhood such as snack bars, photocopy shops, book shops, newsagents and stationers, the

creation of public roads or public transport that also serve existing economic actors).

4. Perception of the approach to environmental issues (e.g. perception of the ecological footprint, energy management, reduced electricity and water consumption, protection against noise and air pollution, stimulating mobility by public transport, waste management of potentially toxic waste, etc.).

5. Perception of the social impact in terms of sustainable development at local, regional, national and international level (purchasing of fair trade goods, recycled or recyclable products, use and/or production of renewable energy, etc.).

6. Perception of the social impact on the quality of citizens' participation in local, regional, national and international democratic life (e.g. organisation of open conferences on complex political issues, visits to former concentration camps, etc.)

7. Public's perception about the institution's openness and transparency and its ethical behaviour (e.g. guaranteeing access to training for all with due regard for social, economic, ethnical or cultural differences and individual circumstances).

8. Perception of the involvement in the institution's local community, through financial or other support, by organising cultural or social events and activities, etc.

9. Perception of the institution's image in the media coverage regarding its social responsibility.

10. Perception of the institution's capacity to adapt itself to changes in the social / techno-logical / economical / political / environment (e.g. changes in technological tools, increasing number of migrants, geopolitical changes, etc.).

Sub-criterion 8.2
Performance measurements

Performance measurements focus on the measures used by the institution to monitor, understand, predict and improve its performance regarding its social responsibility. It should give a clear indication of the effectiveness of the institution's approaches on societal issues. They can consider the ethical behaviour, the initiatives and results of prevention risks, the initiatives to exchange knowledge, to preserve the resources and to reduce the environmental impact, etc.

Examples
1. Institution's activities to preserve and sustain the resources (e.g. the presence of providers with socially responsible profile, degree of compliance with environmental standards, ratio of use of recycled materials, ratio of use of environmentally-friendly modes of trans-port, importance of nuisance reduction (harms and noise), importance of reduction in use of utilities (water, electricity, gas), etc.).

2. Number and quality of relations with local authorities, community groups and representatives.

3. Amount and importance of positive and negative media coverage (number of articles, frequency, scope and content).

4. Dedicated support to socially disadvantaged citizens (estimated cost price of this help, number of beneficiaries, percentage of disadvantaged people employed, importance of the infrastructure dedicated to disadvantaged citizens, etc.).

5. Number/types of actions/campaigns to promote a policy of diversity and of integration and acceptance of ethnic minorities (e.g. number and quality of specific programmes/projects for ethnic minorities, percentage of ethnic people employed, etc.).

6. Importance and quality of the support for international development projects and participation of people and learners in philanthropic activities (e.g. number of voluntary charitable or commemorative projects, number of volunteers, etc.).

7. Importance and quality of knowledge and information exchanges with others (e.g. number of open conferences organised, number of interventions in national or international seminars, appraisal or consultancy services to businesses and companies, participation in selection boards or panels within administrations, etc.).

8. Programmes to prevent learners, citizens/customers and people from suffering health risks and accidents (e.g. number/types of screening and nutritional education programmes, number of beneficiaries, quality/cost ratio of the programmes, etc.).

9. Result of social responsibility measurements: to get feedback on results of social responsibility performance by extra-financial rating agencies in order to clarify where further progress can be made in the sustainability strategy.
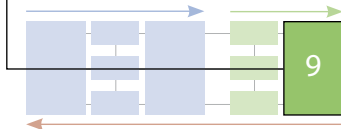
Criterion 9: Key Performance Results

Sub-criterion 9.1
External results: outputs and outcomes to goals

Sub-criterion 9.2
Internal results: level of efficiency

9

Key performance results relate to whatever the institution has determined as essential, measurable achievements for the success of the institution in the short and long term. They represent the capacity of policies and processes to reach goals and objectives as defined in the institution's mission, vision and strategic plan.
Criterion 9 focuses on the institution's abilities to achieve these key performance results.

Key performance results can be divided into:
1. **External results: outputs and outcomes to goals**, focusing on the link with/between the mission and vision (Criterion 1) strategy and planning (Criterion 2), processes (Criterion 5) and the achieved results for the external stakeholders.

2. **Internal results: level of efficiency**, focusing on the link with people (Criterion 3), partnerships and resources (Criterion 4) and processes (Criterion 5), and the achieved results in building up the institution towards excellence.

Assessment

Consider the results being achieved by education and teaching institutions, in relation to…

1 **Sub-criterion 9.1**
External results: outputs and outcomes to goals

The external results are the measures of the effectiveness of the institution's strategy in terms of the capacity to satisfy the expectations of the external stakeholders, in line with the organisation's mission and vision. Education and training institutions are being asked to assess to what extent their key activity goals are achieved, as defined in the strategic plan in terms of outputs – services and products – and outcomes – impact of the institution's core activities on external stakeholders and on society – in order to be able to improve its performance in an effective way.

Examples
1. The level of quality of service or product delivery in relation to standards and regulations. Examples refer to: results of assessments of learners' levels of competence (from European Credit Transfer System to European Credit Transfer in Vocational Education and Training, PISA2).
2. Results in terms of output (quantity and quality in the delivery of services and products (e.g. the number of students initially enrolled and the number of students finally graduating, rate of students who are allowed to sit the final exam; rate of admission/failure in the following class; number of personalised teaching activities; inclusion of disadvantaged students; activities to give full value to excellence, etc.).
3. Results in terms of outcome (the effects of the delivered output of services and products in society, and on the direct beneficiaries, e.g. the rate of learners integrated into the next educational level or the socioeconomic world, etc).
4. Degree of achievement of contracts/agreements between authorities and the institution.
5. Results of inspections and audits on outputs and outcomes.
6. Results of benchmarking (comparative analysis) in terms of outputs (positioning of the institution compared with others) and outcomes (degree of impact of the integration of good practices on the external results).
7. Results of the innovation of services/goods on the improvement of the outcome.

Sub-criterion 9.2
Internal results: level of efficiency

The internal results are related to efficiency, the effectiveness of internal processes and the economy measures of the functioning of the institution. They consider its process management (e.g. productivity, cost effectiveness or ineffectiveness), financial performance (effective use of financial resources, conformity with the budget), the effective use of resources (partnerships, information, technology, etc.), the capacity to involve the stakeholders in the organisation, and the results of the internal inspections and audits.

Examples

1. The response of leaders to results and findings of measurements, including risk management.
2. Efficiency of the institution in managing the available resources (e.g. the cost per student), including the HRM, knowledge management and facilities in an optimal way (input versus output).
3. Results of performance improvements and innovations of products and services.
4. Results of benchmarking (comparative analysis) – bench learning or internal bench-marking, i.e. degree of impact of the integration of good practices on the internal results.
5. Effectiveness of partnerships and joint activities (number of partnerships with external organisations, number of innovative solutions derived from partnerships; number of improvement activities performed with partners; improvement regarding supplier performances; savings derived).
6. Added value of using information and communication technology to increase efficiency, diminish administrative burden, improve quality of service delivery (e.g. reduced costs, less paperwork, working together with other providers, interoperability, time saving).
7. Results of measurements by inspections and audits on the functioning of the institution (intermediate checks per training year, internal quality commission, external expert appraisals, etc.).
8. The results of participation in competitions, quality awards and quality management system certification (excellence awards, ISO, SeQuALs, Proza, Equis, etc).
9. Results of inspections and audits on the financial management and the budgets and financial target fulfilment.
10. Cost effectiveness: the external results (outcomes) achieved at the lowest possible cost (e.g. overall cost for the number of graduates employed in the socio-professional world in their chosen field, as compared with the number of graduates seeking employment or employed in a professional sector other than the chosen field, etc.).

CAF Scoring and Assessment Panels

Why score?

Allocating a score to each sub-criterion and criterion of the CAF model has 4 main aims:

1. to provide information and give an indication on the direction to follow for improvement activities.
2. to measure your own progress, if you carry out CAF assessments regularly, each year or every two years, considered to be good practice according to most Quality approaches.
3. to identify Good Practices as indicated by high scoring for Enablers and Results. High scoring of Results are usually an indication of the existence of Good Practices in the Enablers field.
4. to help to find valid partners to learn from (Benchmarking: How we compare; and Bench learning: What we learn from each other).

With regard to bench learning however, it should be noted that comparing CAF scores has limited value and carries a risk, particularly if it is done without experienced external assessors trained to validate the scores in a homogeneous way in different public organisations. The main aim of bench learning is to compare the different ways of managing the enablers and achieving results. The scores, if validated, can be a starting point in this regard. That is how bench learning can contribute to improvement.

How to score?

CAF provides two ways of scoring. The PDCA-cycle is the fundament of both of them. The 'classical' CAF scoring gives a global appreciation of each sub-criterion by indicating the PCDA phase the sub criterion finds itself in. The 'fine-tuned' CAF scoring is suitable for organisations that wish to reflect in more detail on the analysis of the sub-criteria. It allows you to score – for each sub-criterion – all phases of the PLAN DO CHECK ACT (PDCA) cycle simultaneously.

1. CAF classical scoring

This cumulative way of scoring helps the organisation to become more acquainted with the PCDA-cycle and directs it more positively towards a quality approach.

In the enablers assessment panel the PDCA phase is in place only when bench learning activities are part of the continuous improvement cycle.

In the results assessment panel a distinction is made between the trend of the results and the achievement of the targets.

2. CAF fine-tuned scoring

The fine- tuned scoring is a simultaneous way of scoring closer to the reality where e.g. many public organisations are doing things (Do) but sometimes without enough planning (Plan).

- In the enablers panel, the emphasis lays more on the PDCA as a cycle and progress can be represented as a spiral where in each turn of the circle improvement may take place in each phase: PLAN, DO, CHECK and ACT.
- Bench learning activities are normally taken into account at the highest level of all the phases.
- This way of scoring gives more information on the areas were improvement is mostly needed.
- The results panel shows you if you have to accelerate the trend or focus on the targets achievement.

Assessment Panels:

Classical scoring

PHASE	ENABLERS PANEL - CLASSICAL SCORING	SCORE
	We are not active in this field, we have no information or very anecdotal.	0-10
PLAN	We have a plan to do this.	11-30
DO	We are implementing / doing this.	31-50
CHECK	We check / review if we do the right things in the right way.	51-70
ACT	On the basis of checking / reviews we adjust if necessary.	71-90
PDCA	Everything we do, we plan, implement, check and adjust regularly and we learn from others. We are in a continuous improvement cycle on this issue.	91-100

Instructions
- Choose the level that you have reached: PLAN, DO, CHECK or ACT. This way of scoring is cumulative: you need to have accomplished a phase (e.g.: CHECK) before reaching the next phase (e.g.: ACT).
- Give a score between 0 and 100 according to the level that you have reached inside the phase. The scale on 100 allows you to specify the degree of deployment and implementation of the approach.

RESULTS PANEL - CLASSICAL SCORING	SCORE
No results are measured and/or no information is available.	0-10
Results are measured and show negative trends and/or results do not meet relevant targets.	11-30
Results show flat trends and/or some relevant targets are met.	31-50
Results show improving trends and/or most of the relevant targets are met.	51-70
Results show substantial progress and/or all the relevant targets are met.	71-90
Excellent and sustained results are achieved. All the relevant targets are met. Positive comparisons with relevant organisations for all the key results are made.	91-100

Instructions
- Give a score between 0 and 100 for each sub-criterion on a scale divided in 6 levels.
- For each level, you can take into account either the trend, the achievement of the target, or both.

Assessment Panels:

Fine-tuned scoring

ENABLERS PANEL - FINE-TUNED SCORING								
	SCALE	0-10	11-30	31-50	51-70	71-90	91-100	Tot.
PHASE	EVIDENCE	No evidence or just some ideas	Some weak evidence, related to some areas	Some good evidence related to relevant areas	Strong evidence related to most areas	Very strong evidence related to all areas	Excellent evidence, compared with other organisations, related to all areas	
PLAN	Planning is based on stakeholders' needs and expectations. Planning is deployed throughout the relevant parts of the organisation on a regular basis.							
	Score							
DO	Execution is managed through defined processes and responsibilities and diffused throughout the relevant parts of the organisation on a regular basis.							
	Score							
CHECK	Defined processes are monitored with relevant indicators and reviewed throughout the relevant parts of the organisation on a regular basis.							
	Score							
ACT	Correction and improvement actions are taken following the check results throughout the relevant parts of the organisation on a regular basis.							
	Score							

Areas of improvement

Instructions for each sub-criterion
- Read the definition of each phase (PLAN, DO, CHECK and ACT);
- Find evidence of strengths and weaknesses and give a global judgement for each phase in the appropriate box. This judgement can be illustrated by some examples or evidence in order not to overcomplicate the scoring exercise. However, those who want to go further can put all the examples or evidence in the different boxes of the four phases and calculate the average for each phase.

RESULTS PANEL - FINE-TUNED SCORING						
SCALE	0-10	11-30	31-50	51-70	71-90	91-100
TRENDS	No measurement	Negative trend	Flat trend or modest progress	Sustained progress	Substantial progress	Positive comparison with relevant organisations for all results
SCORE						
TARGETS	No or anecdotal information	Results do not meet targets	Few targets are met	Some relevant targets are met	Most of the relevant targets are met	All the targets are met
SCORE						

Instructions

- Consider separately the trend of your results for 3 years and the targets achieved in the last year.
- Give a score for the trend between 0 and 100 on a scale divided in 6 levels.
- Give a score for the targets achievement of the last year between 0 and 100 on a scale divided in 6 levels.

Examples:

Fine-tuned scoring

Sub-criterion 1.1
Provide direction to the organisation by developing its mission, vision and values

	SCALE	0-10	11-30	31-50	51-70	71-90	91-100	Tot.
PHASE	EVIDENCE	No evidence or just some ideas	Some weak evidence, related to some areas	Some good evidence related to relevant areas	Strong evidence related to most areas	Very strong evidence related to all areas	Excellent evidence, compared with other organisa-tions, related to all areas	
PLAN	Planning is based on stakeholders' needs and expectations. Planning is deployed throughout the relevant parts of the organisation on a regular basis.			1b				
	Score			50				50
DO	Execution is managed through defined processes and respon-sibilities and diffused throughout the relevant parts of the organisation on a regular basis.			1a				
	Score			40				40
CHECK	Defined processes are moni-tored with relevant indicators and reviewed throughout the relevant parts of the organisation on a regular basis.					1c		
	Score					85		85
ACT	Correction and improvement actions are taken following the check results throughout the relevant parts of the organisation on a regular basis.	1d						
	Score	5						5

Synthesis of the evidence emerged in self-assessments (starting points for improvement planning and basis for scoring).

1a A vision and a mission for the administration was elaborated three years ago. It was requested by the director general and the discussion involved all the first line managers. An elegant, coloured card with the vision and mission statement was distributed to all employees.

1b Nothing has been done yet in the area of values statement and code of conduct. The Human Resources Manager has developed a project to this end. Middle management will be invited to a seminar to reflect together on the values of the organisation. The values will be crystallised into teaching what positions have to be taken in difficult situations.

1c Employees, customers/citizens and other stakeholders have not been involved up to now in the vision and mission definition process. However, awareness of the importance of such involvements arose two years ago, when some managers of our administration participated in TQM Seminars, particularly one dedicated to the CAF model. The decision was then taken to make internal and external surveys to collect employees' and citizens perceptions. Results indicated that middle managers and employees considered the vision and mission as 'image' statements, totally detached from reality and that the objectives quite often did not seem in tune with such statements. As far as customers are concerned, surveys indicated that alignment of management perceptions with customer perceptions is needed. Meetings with managers and employees and with representatives of citizens have been planned and will take place soon. The decision

was also taken to conduct employees and customer surveys every year. An administration wide self-assessment is also being planned.

1d The above mentioned surveys should guarantee that in the future the vision and mission statements will be periodically reviewed and updated taking into accounts customer/stakeholder needs and expectations; that employee's involvement will increase as well as communication within the organisation.

The above findings have been placed in the Enabler Matrix, to help elaborate a global scoring for the sub-criterion: Notice: that does not necessarily mean giving scores to the individual examples; the blank boxes of the matrix are used as a memo pad, to pass from the evidences collected during the sub-criterion assessment to a global sub-criterion scoring, and to guide the discussion in the consensus meeting.

> **Sub-criterion 9.1**
> **External results: outputs and outcomes to goals**

EXAMPLE RESULTS PANEL - FINE-TUNED SCORING - SUB-CRITERION 9.1						
SCALE	**0-10**	**11-30**	**31-50**	**51-70**	**71-90**	**91-100**
TRENDS	No measurement	Negative trend	Flat trend or modest progress	Sustained progress	Substantial progress	Positive comparison with relevant organisations for all results
SCORE			45			
TARGETS	No or anecdotal information	Results do not meet targets	Few targets are met	Some relevant targets are met	Most of the relevant targets are met	All the targets are met
SCORE				65		

Synthesis of the evidence emerged in self-assessments (starting points for improvement planning and basis for scoring).

In preparation on the strategic meeting in the beginning of the new working year, a report was prepared for the board of directors on the key performance results of last year in order to

optimise the strategic planning for the next year. The conclusions of the report were clear: the performance's goals were met for more than 50 % and in comparison with the year before, a progress of 10% was established. The appreciation of these conclusions was far from anonymous and gave way to intensive discussions among the members of the board.

2

Improving Public Organisations through Self-Assessment
Part 2: Guidelines for use and Glossary

2013

CAf

Education

The Common Assessment Framework (CAF)
Improving Public Organisations through Self-Assessment

CAF Education 2013

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for Improving Organisations using CAF

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The process of continuous improvement can be designed and carried out in a number of ways. The size of the organisation, the culture and prior experience with Total Quality Management tools are some of the parameters that help to determine what the most appropriate way of launching the TQM approach will be.

In this chapter we have identified a 10-step process of continuous improvement with CAF that may be considered relevant to most organisations.

It is important to emphasise that the advice given here is based on the experience of the many organisations that have used CAF. However, each improvement process is unique and therefore this description should be seen as an inspiration for the people responsible for the process of self-assessment rather than as a precise manual for the process.

After this process of applying the CAF and launching improvement actions, CAF users can apply for the CAF External Feedback Procedure. The process of applying CAF plays a crucial role in this feedback procedure. For CAF users who want to have a more detailed view of the different steps in the CAF process and to be fully aware of the elements which CAF users are assessed upon during the Feedback Procedure, we recommend consulting the Feedback Manual on the CAF website.

Phase 1: The start of the CAF journey

1

<u>Step 1</u>
**Decide how to organise and plan
the self-assessment**

A high level of commitment and shared ownership between the senior management and the people of the organisation are the most crucial elements in securing the success of the self-assessment process.

In order to gain commitment and ownership, the experience of many organisations shows that a clear management decision through a sound consultative process with the stakeholders of the organisation is necessary. This decision should clearly illustrate the willingness of the management to be actively involved in the process by recognising the added value of the self-assessment and guaranteeing the openness of mind, respect for the results and readiness to start improvement actions afterwards. It also includes the commitment to set aside the resources needed to carry out the self-assessment in a professional way.

Knowledge about the potential benefits of a CAF-self-assessment and information about the structure of the model and the process of self-assessment are necessary elements in providing management with a basis for decision-making. It is very important for all managers to be convinced of these benefits from the outset.
In this phase it is vital that one or more persons in the

> **Survey 2011 – Reasons for using CAF**
> The most important reasons are all internal drivers. Identifying strengths and areas for improvement were the most significant causes; suffering financial stress is the least important driver. These are exactly the same findings as in 2005. Organisations want to use CAF in the first instance for themselves, and to improve their organisations – which is exactly the purpose of a self-assessment tool.

organisation take responsibility for securing these basic principles. A good idea is to contact the organisation responsible for dissemination of CAF in your country (for information on this see www.eipa.eu/caf) and either ask them to make a presentation of the CAF model or get information on/from other organisations that have already used the model and who are willing to share their experiences.

In order for the people from the organisation to support the process of self-assessment, it is important that consultation takes place before the final decision about carrying out self-assessment has been made. Apart form the general benefits of carrying out self-assessment, experience shows that many people find CAF to be an excellent opportunity to gain more insight into their organisation, and that they want to be actively involved in its development.

For some organisations it may also be relevant to seek the acceptance or approval of external stakeholders before deciding to carry out self-assessment. This may be the case with politicians or senior management of higher level organisations who are traditionally closely involved in management decision-making. Key external stakeholders may have a role to play, particularly in data collection and processing information, and they can also potentially benefit from changes regarding some of the areas of improvement that may be identified.

Initial planning of the self-assessment
Once a decision has been made to carry out self-assessment the planning process can start. One of the first elements – which may have been included in the management decision – is the definition of the scope and the approach of self-assessment.

A frequently asked question is whether the self-assessment has to cover the whole organisation or if separate parts, such as units or departments, can undertake self-assessment. The answer is that separate parts can perform self-assessment, but in order to assess all criteria and sub-criteria in a meaningful way, they should have enough autonomy to be considered as a mainly autonomous organisation with a proper mission and significant responsibility for human resources and financial processes. In such cases the relevant supplier/customer relations as well as stakeholder relations between the selected unit and the remaining part of the organisation should be assessed.

It is recommended to include in the management decision the choice of the scoring panel to be used.
Two ways of scoring are offered. An organisation should choose depending on the time available to invest in scoring and on its level of experience and maturity.

A very important action by top management to undertake in this phase is the appointment of a **project leader** for the self-assessment process. Tasks that are normally performed by the project leader include:

- detailed planning of the project, including the communication process;
- communication and consultation with all stakeholders regarding the project;
- organising training of the self-assessment group;
- gathering of supporting documents and evidence;
- active participation in the self-assessment group;
- facilitation of the consensus process;
- editing of the self-assessment report;
- supporting the management in prioritising actions and outlining of the action plan.

The demands regarding the competences of the project leader are high. The person has to have both a high level of knowledge regarding his or her own organisation, knowledge of the CAF model, as well as knowledge about how to facilitate the process of self-assessment. Appointing the right project leader who has this knowledge, as well as the confidence of senior management and people within the organisation is one of the key management decisions that can affect the quality and outcome of the self-assessment. Appropriate project management training is available at national and European level.

For some organisations, the language and the examples used in the CAF model are unfamiliar and too far away from their daily practise to be used directly. If this is not resolved at an early stage in the familiarisation of the model, it can later become an obstacle in the self-assessment process. What can be done in such cases – in addition to the training efforts that are later described – is to 'adapt' the model to the language of the organisation. Prior to embarking on this action it is a good idea to check if this has already been done by an organisation similar to your own. This can be done through the organisation responsible for disseminating CAF in your country or by the CAF Resource Centre at EIPA.

2 Step 2
Communicate the self-assessment project

A very important planning activity once the project approach has been defined is the out-lining of a communication plan. This plan includes communication efforts targeted at all stakeholders in the project, with a special emphasis on middle managers and people from the organisation.

Communication is a core field in all change management projects, but especially when an organisation is performing self-assessment. If communication regarding the purpose and the activities of the self-assessment is not clear or appropriate, it is likely that the self-assessment effort will be seen as 'just another project' or 'some management exercise'. The risk here is that these assumptions become self-fulfilling prophecies as there may be reluctance from middle managers and other people to be fully committed or involved.

Feedback CAF users - The importance of communication to create ownership by the employees is generally underestimated
An important conclusion from the CAF users' surveys is that the users of CAF find that they generally have not sufficiently prioritised the communication efforts regarding employees during the process. The lessons learned show that one of the major potential benefits of CAF is to increase the level of awareness and communication across the organisation. But this can only be realised if management and the people responsible for the CAF self-assessment are active at a very early stage in communicating and involving people and middle managers in the organisation about the purpose and the potential benefits of self-assessment.

An important result of early communication is to stimulate the interest of some of the employees and managers to be directly involved in a self-assessment group. Involvement should ideally be pursued through personal motivation. Motivation should be the basic element that links people to the whole process of self-assessment. People should have a completely clear view of the purpose of the CAF self-assessment process: **the improvement in the overall performance of the organisation.** The communication policy on the CAF self-assessment process should focus on win-win outcomes for all stakeholders, people and citizens/clients.

Thus, clear and coherent communication to all stakeholders during the relevant phases of the project is key to securing a successful process and follow-up action. The project leader, along with the top management of the organisation, should reinforce that policy by focusing on:

1. how self-assessment can make a difference;
2. why it has been given priority;
3. how it is connected to the strategic planning of the organisation;

4. how it is connected (for example as the first step to) to a general effort for improvement in the organisation's performance, for instance through the implementation of an innovative operational reform programme.

The communication plan should be differentiated and consider the following elements: focus group, message, medium, sender, frequency and tools.

Phase 2: Self-assessment process

3 Step 3
Compose one or more self-assessment groups

The self-assessment group should be as representative of the organisation as possible. Usually people from different sectors, functions, experience and levels within the organisation are included. The objective is to establish as effective a group as possible, while at the same time a group which is able to provide the most accurate and detailed internal perspective of the organisation.

The experience of CAF users shows that groups are composed of between 5 to 20 participants. However, in order to secure an effective and relatively informal working style, groups of around 10 participants are generally preferable.

If the organisation is very large and complex it could be relevant to compose more than one self-assessment group. In this case it is critical that the project design takes into consideration how and when the appropriate coordination of the groups will be taking place.

Participants should be selected on the basis of their knowledge of the organisation and their personal skills (e.g. analytical and communicative skills) rather

than professional skills alone. They can be selected on a voluntary basis, but the project leader and the management remain responsible for the quality, the diversity and credibility of the self-assessment group.

The project leader of the group may also be the chair; this can help with project continuity but care should be taken in order to avoid conflicting interests. What is important is that the chair of the group is trusted by all the members of the group to be able to lead discussions in a fair and effective way that will enable everybody to contribute to the process. The chair can be appointed by the group itself. An effective secretariat to help the chair and organise meetings is essential, as well as good meeting facilities and ICT support.

A frequently asked question is whether senior managers should be included in the self-assessment group. The answer to this will depend on the culture and tradition of the organisation. If management is involved, they can provide additional information and it will increase the likelihood that management has ownership of the later implementation of the improvement actions identified. It also increases diversity/representation. However, if the culture is not likely to support this, then the quality of the self-assessment can be jeopardised if one or more of the group members feels inhibited and unable to contribute or speak freely.

4 | **Step 4**
Organise training

Information and training of management

It could be of value to involve top or middle management and other stakeholders in self-assessment training, on a voluntary basis, in order to widen knowledge and understanding of the concepts of TQM in general and self-assessment with CAF in particular.

Information and training of the self-assessment group

The CAF model should be introduced and the purposes and nature of the self-assessment process explained to the group. If the project leader has been trained prior to this phase, it is a very good idea that this person plays a major role in the training. In addition to theoretical explanations, training should also include practical exercises to open the minds of participants to the principles of total quality, and also to experience consensus building as these concepts and behaviour may be unfamiliar to most members.

The CAF Resource Centre at EIPA arranges 'train the trainer' sessions every year, and similar activities take place in a number of European countries.

A list provided by the project leader with all relevant documents and information needed to assess the organisation in an effective way should be available for the group. One sub-criterion from the enablers criteria and one from the results criteria could be assessed in common. This will give the group a better understanding of how the CAF self-assessment is operating. A consensus has to be reached on how to evaluate evidence of strengths and areas for improvement and how to assign scores.

Another relevant session that will later – during the consensus phase – save time is to get a common picture of the key stakeholders of the organisation, those which have a major interest in its activities: customers/citizens, politicians, suppliers, partners, managers and employees. The most important services and products delivered to, or received from, these stakeholders and the key processes to assure this should also be clearly identified.

5 | **Step 5**
Undertake the self-assessment

Undertake individual assessment

Each member of the self-assessment group, using the relevant documents and information provided by the project leader, is asked to give an accurate assessment, under each sub-criterion, of the organisation. This is based on their own knowledge and experience of working in the organisation. They write down key words of evidence about strengths and areas for improvement. It is recommended to formulate the areas for improvement as precisely as possible in order to make it easier to identify proposals for action at a later stage. They should then make an overview of their findings and score each sub-criterion, according to the scoring panel that has been chosen.

The chair must be available to handle questions from the members of the self–assessment group during the individual assessment. He/she can also coordinate the findings of the members in preparation for the consensus meeting.

Undertake consensus in group

As soon as possible after the individual assessments, the group should meet and agree on the strengths, areas for improvement and the scores on each sub-criterion. A process of dialogue and discussion is necessary – indeed essential as part of the learning experience – in order to reach consensus, as it is very important to understand why differences regarding the strengths and areas of improvement and scoring exist.

The sequence for assessment of the nine criteria can be established by the self-assessment group. It is not necessary for this to be in strict numerical order.

The consensus finding

How can the consensus be achieved?

In the process of arriving at consensus, a four-step method may be used:

1. presenting all evidence concerning the identified strengths and areas for improvement per sub-c riterion - identified by each individual;
2. reaching consensus on strengths and areas for improvement. This is usually reached after the consideration of any additional evidence or information;
3. presenting the range of individual scores under each sub-criterion;
4. reach consensus regarding the final scoring.

A good preparation of the meeting by the chairperson (e.g. collection of important information, coordination of the individual assessments) can lead to a smooth running of meetings and important time saving.

> **Feedback CAF users – The added value of discussions**
> The majority of users reached consensus after discussions. The discussion itself is very often seen as the real added value of a self-assessment: when a consensus is reached, the end result is more then the pure sum of the individual opinions. It reflects the common vision of a representative group and in this way it corrects and goes beyond the subjective individual opinions. Clarifying evidence and expressing the background to different views on strengths and weaknesses are often considered to be more important than the scores.

The chair is responsible and has a key role in conducting this process and arriving at a group consensus. In all cases, the discussion should be based on clear evidence of actions undertaken and results achieved. In the CAF, a list of relevant examples is included, to help provide assistance in identifying appropriate evidence. This list is not exhaustive nor is it necessary to meet all the possible examples – only those relevant to the organisation. However, the group is encouraged to find any additional examples which they feel are relevant to the organisation.

The role of the examples is to explain the content of the sub-criteria in more detail in order to:
• explore how the administration meets the requirements expressed in the sub-criterion;
• provide assistance in identifying evidence; and
• be an indication of good practices in that particular area.

How to score
The CAF provides two ways of scoring: the classical approach and the fine-tuned approach. Both scoring systems are explained in detail in this brochure. It is recommended to use the classical scoring system if an organisation is not familiar with self-assessment and/or inexperienced in Total Quality Management techniques.

Duration of the self-assessment exercise
Comparing the reality and the preference, and based on the different surveys, two to three days seems to be rather short to carry out a reliable self-assessment, whilst ten days or more is considered too long. It is

difficult to suggest an ideal time schedule for a CAF self-assessment as there are too many variables, including the objectives of management, the time, resources and expertise available for investment, the availability of data, stakeholder time and information and political pressures. However, for the majority of organisations a duration of up to five days is the norm. This includes individual assessment and consensus meeting(s).

The large majority of organisations completed the whole CAF application process in three months, including the preparation, the self-assessment, the drawing of conclusions and the formulation of an action plan.

Three months seems to be an ideal lapse of time to remain focused. Taking more time raises the risk of reduced motivation and interest of all parties involved. Furthermore, the situation might have changed between the start and the end of the self-assessment process. In such a case, the assessment and scoring may no longer be accurate. This is highly likely as improving an organisation using CAF is a dynamic, continuous improvement process, and updating data and information is therefore part of that process.

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

A typical self-assessment report should follow the structure of CAF (as showed in scheme A) and consist at least of the following elements:
• the strengths and areas for improvement for each sub-criterion supported by relevant evidence;
• a score which is justified on the basis of the scoring panel;
• ideas for improvement actions.

In order to use the report as a basis for improvement actions, it is crucial that senior management officially accepts the self-assessment report, and ideally endorses and approves it. If the communication process has worked well this should not be a problem. Senior management should reconfirm its commitment to implementing the improvement actions. It is also essential at this stage to communicate the main results to people in the organisation and other participating stakeholders.

Phase 3: Improvement plan/prioritisation

7 | Step 7
Draft an improvement plan

> **Feedback CAF users: Lack of measurements**
> Many organisations encountered obstacles during their first CAF application. The lack of measurement has obviously been the major problem in many public organisations carrying out self-assessment for the first time, very often resulting in the installation of measurement systems as the first improvement action.

The self-assessment procedure should go beyond the self-assessment report in order to fulfil the purpose of CAF implementation. It should lead directly to a report of actions to improve the performance of the organisation.

This action plan is one of the main goals of the CAF self-assessment effort and also the means to feed vital information to the strategic programming system of the organisation. It must realise an integrated plan for the organisation to upgrade its functioning as a whole. Specifically the core logic of the report is that:

1. It is an integrated systematic action planning for the whole span of the organisation's functionality and operability.
2. It comes as a result of the self-assessment report, so it is based upon evidence and data provided by the organisation itself and – absolutely vitally – from the aspect of the people from the organisation.
3. It builds on the strengths, addresses the weaknesses of the organisation and responds to each of them with appropriate improvement actions.

Prioritise areas of improvement
In preparing an improvement plan, the management might wish to consider the use of a structured approach, including the questions:
- where do we want to be in two years in line with the overall vision and strategy of the organisation?
- what actions need to be taken to reach these goals (strategy/task definition)?

The process for building an improvement plan could be structured as follows: the management – in consultation with relevant stakeholders –
1. collects ideas for improvement from the self-assessment report and collates these ideas for improvement under common themes;
2. analyses the areas for improvement and suggested ideas then formulates improvement actions taking into account the strategic objectives of the organisation;
3. prioritises the improvement actions using agreed criteria to calculate their impact (low, medium, high) in the improvement areas, such as:
   - strategic weight of the action (a combination of impact on the stakeholders, impact on the results of the organisations, internal/external visibility);
   - ease of implementation of the actions (looking into the level of difficulty, the resources needed and the speed of realisation);
4. assigns ownership to each action as well as a time schedule and milestones, and identifies the necessary resources (cf. scheme B, page 16).

It can be useful to link the ongoing improvement actions to the CAF structure in order to keep a clear overview.

One way to prioritise is to combine:
1. the level of scoring per criterion or sub-criterion, which gives an idea of the organisation's performance in all fields;
2. the key strategic objectives.

Recommendations
While a CAF self-assessment is recognised to be the start of a longer-term improvement strategy, the assessment will inevitably highlight a few areas that can be addressed relatively quickly and easily. Acting on them will help with the credibility of the improvement programme and represent an immediate return on time and training investment; it also provides an incentive to continue – success breeds success.

It is a good idea to involve the people who carried out the self-assessment in the improvement activities. This is usually personally rewarding for them and boosts their confidence and morale. They may also become ambassadors for further improvement initiatives.

The members of the self-assessment groups (SAG)

The members of the SAG have invested a lot of their energy in the exercise, very often in addition to their usual daily work. Very often they start their work in the SAG with some suspicion about the usefulness of the task, the involvement of the management, the dangers of being open and honest, etc. After a while, when they see that things are taken seriously, motivation and even some enthusiasm are raised and at the end they take the full ownership of the results. They have the potential to become the most motivated candidates for improvement teams and should be treated in accordance with this role.

At best, the action plan resulting from the self-assessment should be integrated into the strategic planning process of the organisation and become part of the overall management of the organisation.

8 Step 8
Communicate the improvement plan

As mentioned previously, communication is one of the critical success factors of a self-assessment and the improvements actions that follow. Communication actions must provide the appropriate information with the appropriate media to the appropriate target group at the appropriate moment – not only before or during but also after the self-assessment.

An organisation should decide individually whether or not it will make the self-assessment report available, but it is good practice to inform the whole staff about the results of the self-assessment, i.e. the main findings of the self-assessment, the areas in which action is most needed, and the improvement actions planned. If not, the possibility to create an appropriate platform for change and improvement runs the risk of being lost.

In any communication about results it is always good practice to highlight the things that the organisation does well and how it intends to further improve. There are many examples of organisations taking for granted their strengths and sometimes forgetting, or even not realising, how important it is to celebrate success.

9 Step 9
Implement the improvement plan

As described in step 7, the formulation of the prioritised improvement action plan is very important. Many of the examples in the CAF model can be considered as a first move towards improvement actions. Existing good practices and management tools can be linked to the different criteria of the model. Examples of them are shown opposite.

The implementation of these improvement actions should be based on a suitable and consistent approach, a process of monitoring and assessment; deadlines and results expected should be clarified; a responsible person for each action (an 'owner') should be assigned, and alternative scenarios for complex actions should be considered.

Any quality management process should be based on regular monitoring of implementation and evaluation of the outputs and outcomes. With monitoring it is possible to adjust what was planned in the course of implementation and post evaluation (results and outcomes), to check what was achieved and its overall impact. To improve this it is necessary to establish ways to measure the performance of the actions (performance indicators, success criterion, etc). Organisations could use the PDCA (PLAN-DO-CHECK-ACT) cycle to manage improvements actions. To fully benefit from the improvements actions they should be integrated in the ordinary processes of the organisations.

On the basis of the CAF self-assessment, more and more countries are organising recognition schemes. The CAF self-assessment could also lead to recognition from **EFQM® Levels of Excellence** (www.efqm.org).

Implementation of CAF action plans facilitates the permanent use of management tools such as Balanced Scorecard, customer and employee satisfaction surveys, performance management systems, etc.

The CAF Model – Improvement Actions

• Performance Management
• BSC
• Citizen or Service Charters
• Benchmarking

• Performance Management
• Investors in People
• PD
• Quality Circles

• People Surveys

• Citizen/Customer Surveys

ENABLERS

RESULTS

3. People

7. People Results

1. Leadership

2. Strategy & Planning

5. Processes

6. Citizen/ Customer-oriented Results

9. Key Performance Results

4. Partnerships & Resources

8. Social Responsibility Results

INNOVATION AND LEARNING

• Mission
• Development

• Budgeting, Accounting
• Benchmarking

• Info Acts
• CRM
• Benchmarking
• User Manuals
• ISO 9000
• Quality Circles
• BSC

• ISO 14000

• Benchmarking
• Audits
• BSC

10 Step 10
Plan next self-assessment

Using the PDCA cycle to manage the Action Plan implies a new assessment with CAF.

Monitor progress and repeat the assessment
Once the improvement action plan is formulated and the implementation of changes has begun, it is important to make sure that the changes have a positive effect and are not having an adverse effect on aspects in which the organisation was previously doing well. Some organisations have built regular self-assessment into their business planning process – their assessments are timed to inform the annual setting of objectives and bids for financial resources.

The evaluation panels of the CAF are simple but powerful tools to use when assessing the ongoing progress of the improvement action plan.

Scheme A : Pro forma self-assessment sheet for classical scoring

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

Scheme B : Action sheet

ACTION PROGRAMME 1 (E.G. LEADERSHIP)	
Action 1.1	Description of the action.
Sponsor	The highest authority that is responsible for the item and wants and supports a specific action; could be considered as the end user.
Action leader	The person or service who is in charge of the action.
Action team	The individuals identified to work in implementing the action; can be people from inside and/or outside the organisation.
Contact	
Scope	
Stakeholders	
Strengths as defined in self-assessment	
Context and areas for improvement	
Alternatives to explore	
Constraints	
Human resources needed (in man/days)	
Budget	
Deliverable	
Starting date	
Estimated Deadline	

Glossary

A

Accountability

Accountability is the obligation to answer for responsibilities that have been conferred and accepted, and to report on the utilisation and management of resources entrusted. The people who accept accountability are responsible for answering questions and reporting on resources and operations that are under their

Action Plan

A document containing a plan of tasks, allocation of responsibilities, goals for the implementation of the project (e.g. targets/deadlines) and resources needed (e.g. hours, money).

Appraisal/ Performance appraisal

'Performance appraisal' needs to be understood in the management context. Usually, the management system of an organisation will include the assessment of individual employees' job performance. This practice helps to monitor the departmental and overall organisational performance by aggregating the individual performance at different management levels within the organisation. The personal appraisal interview between the individual employee and his/her line manager is the most common way for an appraisal to be carried out. During the interview, in addition to an appraisal of performance, other aspects of the individual's employment can be assessed, including level of job knowledge and competences from which training needs can be identified. In a TQM approach, the PDCA – based on continuous improvement – is used at the individual level: PLAN the job for the coming year, realise the job (DO), CHECK your realisation during the performance appraisal interview and adapt (ACT) if necessary for the next year: the objectives, the means and the competences. There are several ways to increase the objectivity of performance appraisal:

- the upward appraisal where managers are evaluated by employees directly reporting to them;
- the 360 degrees appraisal, where managers are evaluated from different points of views: general managers, peers, collaborators and customers.
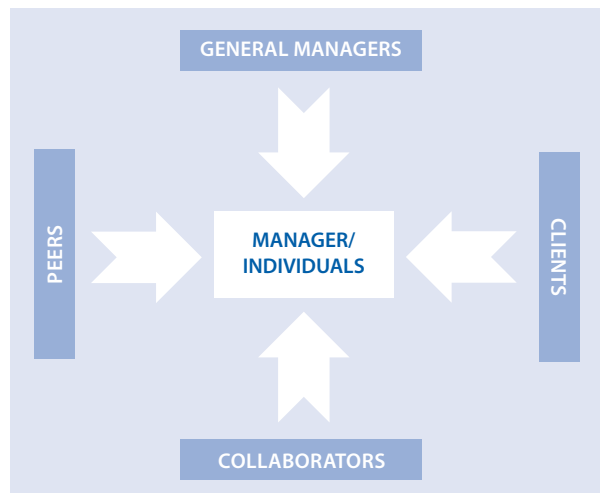
Audit

Auditing is an independent appraisal function to examine and evaluate the activities of an organisation and its results. The most common audits are: financial audit, operational audit, ICT audit, compliance audit and management audit. Three levels of auditing control activity can be distinguished:

1. internal control carried out by management;
2. internal auditing by an independent unit of the organisation. In addition to compliance/regulation activities, it may also have a role in controlling the effectiveness of the organisation's internal management;
3. External auditing carried out by an independent body from outside the organisation.

B Balanced Scorecard

The Balanced Scorecard (**BSC**) is a whole set of quantitative measurements eva-luating to what extent the organisation is succeeding in realising its mission and strategic objectives. These measurements are built up around four viewpoints: innovation and learning (people management); internal processes; customers; and financial management. The indicators of each approach are linked to each other through a cause-effect relationship. These relationships are based on hypothesises that have to be monitored permanently. The BSC is also very useful as a communication tool for management to inform the people in the organisation and the stakeholders of the extent to which the strategic plan has been realised. The Balanced Scorecard is increasingly being used in the public sector in Europe. It should be noted that the Balanced Scorecard can be used within the CAF assessment.

Benchmark

A measured achievement at a high level (sometimes referred to as 'best-in-class': see Benchmarking below); a reference or measurement standard for comparison; or a performance level which is recognised as the standard of excellence for a specific process.

Benchmarking

There are numerous definitions of benchmarking, but the key words associated with this term are 'to make comparison with others'. 'Benchmarking is simply about making comparisons with other organisations and then learning the lessons that those comparisons reveal' (Source: European Benchmarking Code of Conduct). In practice, benchmarking usually encompasses:

- regularly comparing aspects of performance (functions or processes) with those organisations that are considered to be good practitioners; sometimes reference is made to best in class, but as no one can ever be certain as to who is best, the term 'good' is preferred;
- identifying gaps in performance;
- seeking fresh approaches to bring about improvements in performance;
- following through with implementing improvements;
- following up by monitoring progress and reviewing the benefits.

Benchmarking in European public administrations usually focuses on the learning aspects and is now more commonly referred to as '**Bench learning**', since learning how to improve through sharing knowledge, information, and sometimes resources, is recognised to be an effective way of introducing organisational change. It reduces risks, is efficient and saves time.

• Strategic benchmarking

Strategic benchmarking is used where organisations seek to improve their overall performance by examining the long-term strategies and general approaches that have enabled high performers to succeed. It involves comparisons of high-level aspects, such as core competencies; the development of new products and services; a change in the balance of activities or an improvement in capabilities for dealing with changes in the background environment.

Best/Good practice

Superior performances, methods or approaches that lead to exceptional achievement. Best practice is a relative term and sometimes indicates innovative or interesting business practices, which have been identified outside the organisation through benchmarking and bench learning. Since it is difficult to determine what is best, it is preferable to talk about 'good practice'.

Bologna process

European reform process aiming to create a European Higher Education Area by 2010. It is managed by the 46 participating countries, in cooperation with a number of international organisations, including the Council of Europe. The Bologna process endeavours to build bridges to facilitate the mobility of persons wishing to pass from one educational system to another, or from one country to another. Consequently, for example, qualification systems are showing more and more structural similarities.

Bottom-up

Direction of the flow of, for example, information or decisions from lower levels of an organisation to higher levels. The opposite is top-down.

Brainstorming

Used as a team working tool to generate ideas without constraints in a short period of time. The most important rule is to avoid any kind of criticism during the ideas production phase.

C Change management

Change management involves both, generating the needed changes in an organisation, usually preceded by modernisation and reform agendas, and mastering the dynamics of change by organising, implementing and supporting the change.

Citizen/Customer

The term citizen/customer reflects the complex relationship between the administration and its public. The person to whom the services are addressed has to be considered as a **citizen**; a member of a democratic society with rights and duties (e.g. tax payer, political actor, etc.). The person should also be considered as a **customer**, not only in the context of service delivery where he adopts the position of a beneficiary of services, but also in a context where he has to fulfil duties (payment of taxes or fines) where he has the right to be treated with fairness and courtesy without neglecting the interest for his needs.

Coaching

Individual coaching is an action supporting change, which allows a person from the institution to develop according to his/her own needs and to make the most of his/her potential thanks to a 'coach' (for example, a peer), who helps him/her to clarify his/her objectives and provides him/her with the necessary tools to develop.

Co-design/Co-decision/Co-production/Co-evaluation

The role of the citizens/customers in general can be approached from four angles: as co-designers, co-decision makers, co-producers and co-evaluators. As **co-designers**, they have an impact on what and how the public organisations want to deliver as a service in response to a specific need. As **co-decision makers**, the citizens will acquire greater involvement in and ownership of the decisions that affect them. As **co-producers**, citizens themselves will be involved in the production and/or delivery cycle of services and their quality. And last but not least, as **co-evaluators**, citizens will express themselves on the quality of public policies and the services they received.

Code of conduct

May be expressed or implied, rules and guidelines, for standards of behaviour for individuals, professional groups, teams or organisations. Codes of conduct may also apply to specific activities, such as auditing or benchmarking and often refer to ethical standards.

Competence

Competences include the knowledge, skills and attitudes of an individual used in practice in a job situation. When an individual is able to carry out a task successfully, he/she is regarded as having attained a level of competence.

Conflict of interest

A 'conflict of interest' in the public sector refers to a conflict between the public duty and the private interest of a public official, in which a public official's private-capacity interest could improperly influence the performance of his/her official duties. Even if there is no evidence of improper actions, a conflict of interest can create an appearance of impropriety that can undermine confidence in the ability of that person to act properly.

Consensus

As the word implies, this is about reaching agreement and usually follows an initial self-assessment when individual assessors get together to compare and discuss their individual assessments and individual scores. The process usually ends with individual assessors reaching an agreement, resulting in a combined overall score and assessment for the organisation.

Consensus or self-assessment report

A report describing the results of self-assessment. This report must include strengths and areas of improvement for the organisation. It may also contain (optional) proposals for improvement in some key projects.

Continuous improvement process

The ongoing improvement of organisational processes in terms of quality, economy or cycle time. The involvement of all stakeholders of an organisation is normally a pre-requisite in this process.

Cost effectiveness

The relationship between the effects that are implied by the goals of the organisation and the costs – possibly including the full social cost – of achieving them. See also 'effectiveness'.

Critical success factor

The prior conditions that must be fulfilled in order that an intended strategic goal can be achieved. It highlights those key activities or results where satisfactory performance is essential in order for an organisation to succeed.

D Diversity

Diversity relates to differences. It may refer to values, attitudes, culture, philosophy or religious convictions, knowledge, skills, experience and lifestyle between groups, or individuals within a group. It may also be on the basis of gender, national or ethnic origin, disability or age. In public administration, a diverse organisation would be considered to be one which reflects the society it serves.

E ECTS (European Credit Transfer System)

A credit system is a method which allows credits to be allocated to all elements of a programme of study. The definition of credits at the higher education level can be based on parameters such as the student's workload, number of teaching hours and training objectives. The European system of transferring and accumulating credits is a system centred on the student, and based on the workload to be carried out by the student in order to reach the objectives of the programme, which are defined in terms of final knowledge, skills and competences to be acquired.

ECVET (European Credit for Vocational Education and Training)

European system of accumulating and transferring units, designed for vocational education and training in Europe. It consists of demonstrating and registering the acquired knowledge, skills and competences of the learners and persons involved in a course of learning, leading to a qualification, a diploma or a professional certification. This system supports the recognition of prior learning (RPL) in the framework of lifelong learning.

Economy

Economy and economising refer to prudent financial management, including reducing costs through more efficient purchasing processes and saving money without affecting the quality of outputs or objectives.

Effectiveness

Effectiveness is the relation between the set goal and the impact, effect or outcome achieved.

Efficiency

Outputs in relation to inputs or costs. Efficiency and productivity may be regarded as one and the same. Productivity may be measured in ways that capture either the input of all factors of production (total factor productivity) or a specific factor (labour productivity or capital productivity).

Efficiency/Effectiveness/Economy
The rule of the 3 E's – Economy, Effectiveness and Efficiency (see definitions above) – used in the public sector recently added Ethics and Environment, thereby creating the rule of the 5 E's, useful for quality management.
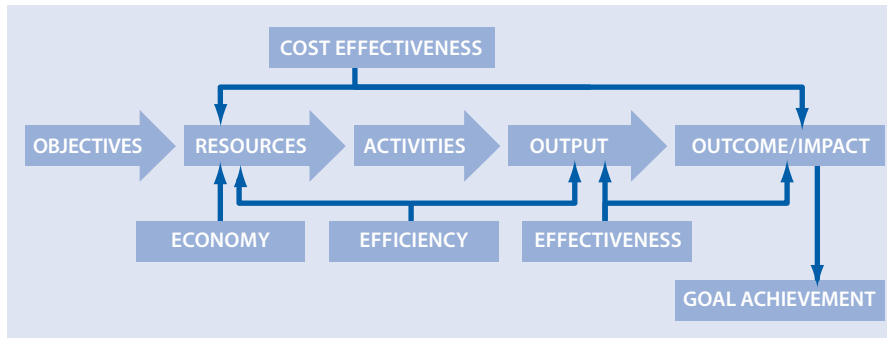
e-Government
The use of information and communication technology (ICT) in public administrations. Combined with organisational change and new skills, it helps to improve public services and democratic processes, as well as strengthen support to public policies. e-Government is regarded as an enabler to realise a better and more efficient administration. It can improve the development and implementation of public policies and help the public sector to cope with the potentially conflicting demands of delivering more and better services with fewer resources.

Empowerment
A process by which more authority is given to an individual or a group of people in the decision-making process. It may apply to citizens or employees by involving the person/group and by granting them a degree of autonomy in their actions/decisions.

Enterprise architecture
A framework that enables an organisation to plan how technology can be used to support its strategic and operational goals. It includes descriptions of how processes, information and information systems form a unity to reach the targets set for the organisation.

e-Learning
The use of new multimedia and internet technology to improve the quality of education and training, through remote access to resources and services, as well as collaborations and exchanges.

EQUIS (European Quality Improvement System)
System for improving and certifying the quality of higher education institutions of management in Europe. This international system for strategic audit and European accreditation is implemented by the EFMD (European Foundation for Management Development) according to international criteria.

ERASMUS
The ERASMUS programme of the European Commission aims to promote cooperation between higher education institutions, notably through the mobility of teachers and students throughout the EU Member States and the associated countries (Liechtenstein, Norway and Turkey).

e-Services
Public services provided by utilising information and communication technology.

Ethics
Ethics in public service may be defined as those common values and norms to which public servants subscribe in carrying out their duties. The moral nature of these values/norms, which may be stated or implicit, refer to what is considered to be right, wrong, good or bad behaviour. Whereas values serve as moral principles, norms may also state what is legally and morally correct in a given situation.

e-Twinning
Electronic twinning between two or more European education and training institutions. E-Twinning is also a cross-sectoral project within the integrated programme of the European Commission 'Lifelong education and training'.

Evaluation
Examining whether actions undertaken have produced the desired effects and whether other actions could have achieved a better result at a lower cost.

Evidence
Information that supports a statement or fact. Evidence is considered to be essential in forming a firm conclusion or a judgement.

Excellence
Outstanding practice in managing an organisation and achieving results which are based on a set of fundamental concepts from Total Quality Management, as formulated by EFQM. These include: results orientation, customer focus, leadership and constancy of purpose management by processes and facts, involvement of people, continuous improvement, innovation, mutually beneficial partnerships, and corporate social responsibility.

Extra-financial rating
Extra-financial ratings assess the levels of commitment by organisations in the fields of human rights, conditions of work and employment, social dialogue, protection of the environment, governance and the contribution of the organisation to the development of the community where it operates. These notions are addressed to investors who want to guide their investment decision towards activities whose impact strikes an ecological balance and which, as far as possible, contribute to social progress and the strengthening of transparency and business ethics. Public institutions with

the ability to borrow on the markets can help their request for a CSR rating assigned by an extra-financial rating agency to obtain loans from socially responsible funds (SRI: social responsible investment).

F Follow up

Subsequent to a self-assessment process and changes to an organisation, a follow up aims at measuring goal achievement against stated objectives. The analysis may result in the launching of new initiatives and adjusting strategy and planning in accordance with the new circumstances.

G Governance

The main elements of good public governance are determined by the appointed framework of authority and control. It sets out: the reporting obligation on the goal achievement, transparency to the stakeholders of actions and decision-making process, efficiency and effectiveness, responsiveness to the needs of society, anticipation of the problems and trends and respect of the law and rules.

H Human resources management

Managing, developing and utilising the knowledge, skills and full potential of the employees of an organisation, in order to support policy and business planning and the effective operation of its processes.

I Impact

The effects and consequences of possible and actual actions, interventions or policies in public, private and third sectors.

Indicators

Measures that are indicative, i.e. showing the outcome of an action.

- *Performance indicators*

  These are the numerous operational measures used in public administration to help us monitor; understand; predict; and improve how we function and perform. There are several terms used to measure organisational performance: outcomes, measures, indicators, parameters. However, measurement terminology is less important and we should use terms with which we are comfortable and familiar. If we follow Pareto's principle, we realise that around 20% of what we do will deliver 80% of our outcomes. It is therefore important that we at least measure the performance of those processes that are essential to the delivery of our desired results.

- *Key performance indicators*

  Those measures that are most critical, and measure the performance of those key processes, essentially contained in CAF criteria 4 and 5, which are most likely to influence the effectiveness and efficiency of our key performance outcomes. A good example of customer satisfaction may be measurements in customer/citizen results of the performance of the processes we have put in place to deliver customer/citizen products and services.

Information

Information is a collection of data organised to form a message; it is a data that has made sense. One of the common ways to define information is to describe it as the facts provided or learnt about something or someone.
Example: Law, rule, legislation, procedure, report, guideline, mail, email, article, instruction, presentation, message, graph, form, book or journal content, plan.

Innovation

Innovation is the process of translating good ideas into new services, processes, tools, systems and human interaction. An organisation may be described as innovative when an existing task is performed in a way new at the workplace, or when the organisation offers customers a new service in a different way.

Input

Any kind of information, knowledge, material and other resources used for production.

Institutional culture

The total range of behaviours, ethics, and values which are transmitted, practised and reinforced by members of an institution; it is influenced by national, socio-political and legal traditions and systems.

Institutional structure

The way an institution is structured, i.e. the division of work areas or functions, formal chains of communication between management and employees, and the way tasks and responsibilities are divided throughout the institution.

ISO

ISO (International Organization for Standardization) is a global network that identifies what international standards are required by business, government and society; develops them in partnership with the sectors that will put them to use; adopts them by transparent procedures based on national input; and delivers them to be implemented worldwide. ISO standards specify the requirements for state-of-the-art products, services, processes, materials and systems, and for good conformity assessment, managerial and organisational practice.

J Job description

A complete outline of the function (description of tasks, responsibilities, knowledge, competences and abilities). The 'job description' is a fundamental instrument for human resources management. It constitutes an element of knowledge, analysis, communication and dialogue. It represents a type of charter between the organisation and the holder of the position. Furthermore, it is a key factor for making employers as well as employees aware of their responsibilities (according to B. Dubois, and K. Rollot).

K Key performance results

The results the organisation is achieving with regard to its strategy and planning related to the needs and demands of the different

stakeholders (external results); and the results of the organisation in relation to its management and improvement (internal results).

Knowledge

Knowledge can be defined as 'information altered by experience, context, interpretation and reflection'. Knowledge is the result of transformation work that has been done on the individual piece of information. We consider knowledge to differ from data or information as it requires a human cognitive capacity of appropriation.
Example: practice, know-how, expertise, technical knowledge.

Knowledge management

Knowledge management is the explicit and systematic management of vital knowledge – and its associated processes of creation, organisation, diffusion, use and exploitation. It is important to note that knowledge encompasses both tacit knowledge (contained within people's minds) and explicit knowledge (codified and expressed as information in databases, documents, etc.). A good knowledge programme will address the processes of knowledge development and transfer for both these basic forms. The most vital knowledge in most organisations is often related to: customer knowledge, knowledge in processes, knowledge in products and services customised to users' needs, knowledge in people, organisational memory, drawing on lessons from the past or elsewhere in the organisation, knowledge in relationships, knowledge assets, and measuring and managing intellectual capital. A wide variety of practices and processes are used in knowledge management. Some of the more common ones are: creating and discovering, sharing and learning (communities of practices), organising and managing.

L Leaders

Traditionally we associate the term 'Leader' with those responsible for an organisation. The word may also refer to those people who, thanks to their competence in a particular area, are recognised as a role model by the others.

Leadership

The way in which leaders develop and facilitate the achievement of the mission and vision of the organisation. It reflects how they develop values required for long-term success and implement them via appropriate actions and behaviour. It indicates how leaders are personally involved in ensuring that the management system is developed, implemented and reviewed and that organisations permanently focus on change and innovation. The word 'leadership' as such can also refer to the group of leaders that steer the organisation.

Learner

Person who is learning in an organised and structured context and/or following a course of training.

Learning

The acquiring and understanding of knowledge and information that may lead to improvement or change.

Examples of organisational learning activities include benchmarking / bench learning, internally and externally led assessments and/or audits, and best practice studies. Examples of individual learning include training and developing skills.

- *Learning environment*
  An environment within a working community where learning takes place in the form of skill acquisition, knowledge sharing, the exchange of experience, and dialogue on best practice.
- *Learning school*
  An institution where people continually expand their capacity to achieve the results they desire, where new and expansive patterns of thinking are fostered, where collective aspiration is set free, and where people are continually learning within the context of the whole institution.

Learning labs

System where the computer assumes the role of stimulating the operational capacity of the learner; the catalyst to the learning process. The word may refer to any learning set in which the operational capacity of the learner is stimulated and called upon through digital technologies.

Lifelong Learning Programme

Lifelong education and training programme; main European financing programme in the area of education and training. For the first time, a unique programme (2007-2013) is covering training possibilities from childhood to advanced age.

M Management information system

Provides operational information to manage the organisation on the basis of permanent measurement of goal achievement, risks, quality measurements, internal audits, internal control systems and information from self-assessment.

Mentoring

Interpersonal contact for support, exchanges and learning, in which an experienced person invests his/her acquired wisdom and expertise in order to encourage the development of another person who has skills to acquire and professional objectives to reach. (according to C. Cuerrier)

Mission

A description of what an organisation should achieve for its stakeholders. The mission of a public sector organisation results from a public policy and/or statutory mandates. It is the organisation's *raison d'être*. The final goals an organisation sets out to achieve in the context of its mission are formulated in its vision, translated into strategic and operational goals.

N Network

An informal organisation connecting people or organisations that may or may not have a formal line of command. Members of the network often share values and interests.

O

Objectives (goals/aims/targets)

A formulation of a desired situation describing the desired results or effects as defined in the mission of the organisation.

- *Strategic objectives*

  Global objectives for the mid- and long-term indicate the overall direction in which the organisation wants to go. It describes the final results or effects (outcomes) it wants to pursue.

- *Operational objectives*

  They are a concrete formulation of the strategic objectives, e.g. at unit level. An operational objective can be immediately transformed into a set of activities and tasks.

Organisational culture

The total range of behaviour, ethics and values which are transmitted, practised and reinforced by members of organisations; influenced by national, socio-political and legal traditions and systems.

Organisational structure

The way an organisation is structured, i.e. the division of work areas or functions, formal chains of communication between management and employees, and the way tasks and responsibilities are divided throughout the organisation.

Output

The immediate result/results of a process. There is a distinction between intermediate outputs and final outputs: the former regarding intermediate phases of the process, whether or not related to the transition from a department to another or from a process to another; the latter related to the direct beneficiaries of the outputs. These beneficiaries can be internal or outside the administration

Outcome

The overall effect that outputs have on external stakeholders or on wider society and learners (socio-professional insertion or re-insertion, individual development,...).

Outcomes: Anticipated or achieved results of programmes or the accomplishment of institutional objectives, as demonstrated by a wide range of indicators (such as student knowledge, cognitive skills, and attitudes). Outcomes are direct results of the instructional programme, planned in terms of student/learner growth in all areas (The UNESCO definition)

Learning Outcomes: Statements of what a learner is expected to know, understand, and/or be able to demonstrate after completion of a process of learning as well as the specific intellectual and practical skills gained and demonstrated by the successful completion of a unit, course, or programme (the UNESCO definition).

P

Partnership

A durable working relationship with other parties on a commercial or a non-commercial basis to reach a common goal, thus creating added value for the organisation and its customers/stakeholders.

PDCA cycle

A cycle of four stages one has to go through to realise continuous improvement, as described by Deming:

- **P**LAN (project phase)
- **D**O (execution phase)
- **C**HECK (control phase)
- **A**CT (action, adaptation and correction phase)

It emphasises that improvement programmes must start with careful planning, must result in effective action, be checked and eventually adapted, and must move on again to careful planning in a continuing cycle.

People

All individuals employed by the organisation, including full-time, part-time, and temporary employees.

Perception measurement

Measurement of subjective impressions and opinions of an individual or a group of people, e.g. the customer's perception of the quality of a product or service.

Performance

A measure of attainment achieved by an individual, team, organisation or process.

Performance management

Performance management is an agreement-based interactive control model. Its operational core is in the ability of the agreement parties to find the appropriate balance between the available resources and the results to be attained with them. The basic idea of performance management in operations is, on the one hand, to balance resources and targets as well as possible, and on the other, efficiency and quality; ensuring that the desired effects are achieved in a cost-efficient manner.

PEST analysis

Stands for 'Political, Economic, Social, and Technological analysis' and describes a framework of macro-environmental factors used in the environmental scanning component of strategic management. Also used in this context are **STEER** (considering **S**ocio-cultural, **T**echnological, **E**conomic, **E**cological, and **R**egulatory factors) or **PESTLE** (**P**olitical, **E**conomic, **S**ociological, **T**echnological, **L**egal, **E**nvironmental). The assumption is that if the organisation is able to audit its current environment and assess potential changes, it will be better placed than its competitors to respond to changes.

Procedure

A detailed and well-defined description of how activities should be carried out.

Process

A set of intertwined activities which transforms a set of inputs into outputs, thereby adding value. The nature of processes in public service institutions may vary greatly, from relatively abstract activities such as support for policy development or regulation of economic activities, to very concrete activities of service provision. One can distinguish four types of processes:

- Core processes are critical for the delivery of products and services;
- Support processes deliver the necessary resources;
- Management processes steer the institution and support processes.

Key processes are those of the above processes that are of utmost importance for the institution.

Process diagram
A graphical representation of the series of actions taking place within a process.

Process map
A graphical representation of the series of actions taking place between processes.

Process owner
The person responsible for designing, improving and performing processes, their coordination and integration within the organisation. Her/his responsibilities include the following:
- Understand the process: how is it carried out in practice?
- Target the process: how does it fit into the broader vision? Who are the internal and external stakeholders and are their expectations met? How does the process relate to other processes?
- Communicate the process to the internal and external stakeholders.
- Monitor and measure the process: to what extent is the process efficient and effective?
- Benchmark the process: how do other organisations perform and what can we learn from them?
- Envisage the process: what is the long-term vision for the process and what do we have to do to reach it?
- Report the process: what exactly can be improved? Where are the weaknesses and how can they be targeted?

By employing these steps the process owner has the chance to improve the process continually.

Product
Output of the key activity in the school, which is the creation of the 'study programme'. After that, learners consume this product via the educational process.

Provider-client relationship
Each element of an educational or training structure provides a service that is used by others. For example:
- Basic teaching provides learners for secondary education; the same with secondary to higher education, i.e. each year provides learners for the following year;
- Each teacher/trainer provides the learning used by the learners. This learning is used by colleagues in other disciplines (e.g. mathematics - science - technology - English and vice versa);
- Schools provide educated citizens for society;
- Training leading to qualification provides qualified staff for the economy;
- Companies provide places for traineeships; Etc.

Public policy
A purposeful course of action followed by governmental bodies and officials to deal with a problem or a matter of public interest. This includes government action, inaction, decisions and non-decisions; it also implies choices between competitive alternatives.

Public service organisation/ public administration
A public service organisation is any institution, service organisation or system, which is under the policy direction of and controlled by an elected government (national, federal, regional or local). It includes organisations that deal with development of policy and enforcement of law, i.e. matters that could not be regarded strictly as services.

Q Quality (in the context of the public sector)
Delivering a public service with a set of characteristics/features that meet or satisfy, in a sustainable way:
- the specifications/requirements (law, legislation, regulation);
- the citizen/customer expectations;
- all other stakeholders' expectations (political, financial, institutions, staff).

The concept of quality has evolved over recent decades:

- *Quality control*
  Quality control is focused on the product/service, which is controlled on the basis of written specifications and stand-ardisations. The methods for statistical quality control (sampling methods) have been developed since the 1920-30s.

- *Quality assurance*
  Quality assurance is focused on the core processes in order to guarantee the quality of a product or service. The quality assurance includes quality control. This concept, born in the 1950s and largely used in the 1980s and 1990s through the ISO 9000 norms, is no longer used. It has been replaced by the concept of total quality management.

- *Total quality management or quality management*
  Total quality management (TQM) is a management philosophy that involves the whole organisation (core, management and support processes) in taking responsibility and ensuring the Quality of their products/ services and the processes by constantly seeking to improve the effectiveness of their processes at every stage. TQM should address most of the dimensions of the organisation using a holistic management approach to satisfy customer needs or requirements. The approach involves the stakeholders. The TQM concept emerged in the 1980s. Total quality management (TQM), quality management (QM) or TQ (Total Quality) are the same concept, although some authors make some differentiation.

Quality management system (QMS)
A set of coordinated activities to direct and control an organisation in order to continually improve the effectiveness and efficiency of its performance.

Quick Win
Action that can be realised easily and quickly (within a few weeks) and which encourages staff to implement actions that are strategically more important but also more difficult.

R Recognised Qualification
Process aiming to assimilate studies (or parts of studies) carried out abroad, with studies (or parts of studies) organised by the national education institutions.

Resources
Resources include the knowledge, labour, capital, buildings or technology used by an organisation to perform its tasks.

Role model
Persons or organisations who serve as a model, in a particular behavioural or social role for other persons to imitate or learn from.

S SEQuALS (Supporting the Evaluation of Quality and the Learning of Schools)
System for evaluating the quality in secondary education based on the synergy between self-assessment and external assessment (see www.sequals.org and www.syneva.net).

SMART objectives
Objectives state what an organisation has set out to achieve. It is recommended that objectives should be SMART:
- **S**pecific: precise about what you are going to achieve;
- **M**easurable; with quantified objectives;
- **A**chievable;
- **R**ealistic: are the necessary resources available?
- **T**imed: within manageable timing.

Social responsibility
Social responsibility is a commitment by private and public sector organisations to contribute to sustainable development by working with employees, their families, local communities and society to improve the quality of life. The aim is to bring benefits both for organisations and the wider society.

Staff
All individuals employed by the institution including full time, part time, and temporary employees.

Stakeholders
Stakeholders are all those who have an interest, whether financial or not, in the activities of the organisation. Internal and external stakeholders can be classified in four major categories: the political authority; the citizens/customers; the people working in the organisation; the partners.
Examples of stakeholders: political decision-makers, citizens/customers, employees, society, inspection agencies, media, partners, etc. Government organisations are also stakeholders.

Strategy
A long-term plan of prioritised actions designed to achieve a major or overall goal or to fulfil a mission.

Survey
To collect data on opinions, attitudes or knowledge from individuals and groups. Frequently only a cross-section of the whole population is asked to participate.

Sustainable development
Development suitable for meeting present needs without compromising the possibility of meeting the needs of future generations.

SWOT analysis
Analysis of the Strengths, Weaknesses, Opportunities (potential advantages) and Threats (potential difficulties) of and to an organisation.

T Term
Period of time in which results should be achieved.

Short term: refers usually to less than one year.
Medium term: refers usually to periods of one to five years ahead.
Long term: refers usually to periods of more than five years.

Top-down
Flow of information and decisions from upper levels to lower levels within an organisation. The opposite is bottom-up.

TQM (Total Quality Management)
A customer-focused management philosophy that seeks to continuously improve business processes using analytical tools and teamwork involving all employees. There are several TQM models: the EFQM, the CAF, the Malcolm Baldrige (USA), ISO 9004 are the most commonly used.

Transparency
Transparency implies openness, communication, and accountability. It is a metaphorical extension of the meaning used in the physical sciences: a 'transparent' object is one that can be seen through. Transparent procedures include open meetings, financial disclosure statements, the freedom of information legislation, budgetary review, audits, etc.

Tutoring
Methodology, in which a learner (or a small group of learners) receives individual and personalised education.

V Value
Value refers to monetary, welfare, cultural and moral values. Moral values are considered to be more or less universal, whereas cultural values may shift between organisations as well as between countries. Cultural values within an organisation should be transmitted and practised, as well as being related to the mission of the organisation. They may differ quite significantly between non-profit organisations and private businesses.

Vision
The achievable dream or aspiration of what an organisation wants to do and where it would like to be. The context of this dream and aspiration is determined by the mission of the organisation.

Annex 1:

What is useful to know about applying TQM and the CAF?*

1. Managing organisation quality

From product and service quality to organisation quality

Over the years, organisations (initially private-sector enterprises competing on the market, later public sector organisations) have come to the realisation that the quality of their results depends on the quality of the organisation; they have therefore focused their attention on this aspect, extending quality concepts from products and services to organisational structures. Where product and service quality signifies 'suitability for use', organisation quality substantially signifies 'suitability for achieving goals'.

In a context of continuous change, this definition implies the ability both to identify the appropriate targets for the organisation's goals and to achieve those targets with minimal variance and minimal use of resources.

The concept of quality has gradually evolved, from 'quality control' (avoiding non-conformity/ defectiveness in execution) to 'quality assurance' (preventive action on the system and on processes to ensure that the development/execution/delivery of the product or service meets user expectations), and to 'continuous improvement' (which covers the general need to adapt to change by improving performance, as well as the approach of organisations aiming to be top performers).

An important milestone in this evolution came in 1987 with the introduction of two quality models that would have a decisive influence on future developments: the American Malcolm Baldrige model; and an international standards-based model – the ISO 9000 standards for quality management systems.

The Malcolm Baldrige model developed in a highly competitive business environment (automobiles, electronics) and so competition in customer satisfaction is its ultimate goal; the ISO 9000 standards

developed in the context of Business To Business and Business To Administration relations, and its main goal is therefore to ensure that the product/ service delivered to customers complies with the agreed specifications. 'Quality system certification', introduced with the ISO 9000 standards, tends to provide 'Business' and 'Administration' customers with an *a priori* guarantee that the organisation chosen as a supplier or partner has the system characteristics needed to generate satisfactory quality.

Thus, just as the industrialised world was mobilising on the quality theme in response to the Japanese offensive, two quality approaches arrived on the market simultaneously.

This brings us to the present day, in particular to the gradual extension of quality concepts and methods (quality management) to services and public administration.

Quality management models

'Models' are useful tools for managing an organisation and improving its suitability for achieving its goals. Models are simplified representations of complex realities, created to make those realities easier to understand and manage. Management models are numerous and serve different purposes. In public administration, for example, there are models for innovation management, for economic and financial management, for project and process management, for project assessment (*ex ante – in itinere – ex post*), for assessment of managers, for management of training processes, for learning assessment, etc. In each case, the model sets out to represent the specific dynamics, highlighting factors of critical importance for the organisation's goals and ignoring other factors of little or no importance.

In quality management too, models – representations of the organisational dynamics – are useful. Quality models simply represent those dynamics as the relationship between the critical organisational

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variables (frequently referred to as 'Enabling factors') and the performance targets/results the organisation intends to achieve. The two most important types of model today are: models based on standards (the ISO 9001 standard is a typical example) and continuous improvement models (such as the Total Quality Management – TQM – or Excellence models).
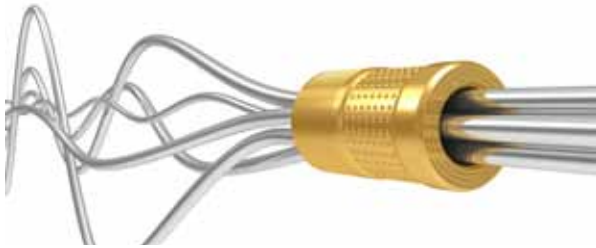
When the aim is to standardise management methods, assessment criteria, measurements, the language used among organisations (or among the functions of an organisation), the model becomes a standards model. Management system standards may apply to an organisation (internal standards), to an industry, at national and international levels. The ISO 9001 standard, for example, is an international standard, designed to demonstrate, through certification, organisations' ability to generate quality, and thus harmonise supplier relationships among companies and between companies and public agencies.

If the organisation were a mechanistic system, all it would need to achieve the desired levels of quality would be appropriate rules and procedures. The organisation, however, is a socio-technical system, whose main component is people. Rules and procedures are still necessary, but are not sufficient to ensure the quality of results, not to mention continuous improvement. Standards-based quality provides the organisation with a solid foundation; it helps to 'keep its house in order', establish a set of rules, procedures and processes to guarantee rigor, discipline, repeatable results. Further progress can be built on these solid foundations.

When the aim is to maintain and gradually improve suitability for achieving goals, in order to be above average, TQM or excellence models should be used. Whereas standards-based quality may be delegated to skilled experts, TQM requires the direct involvement of top management. And it is top management's job to identify the appropriate balances for the organisation (the term top management ideally means a management team, not an isolated chief officer).

The point to underline is that TQM models (like the EFQM and the CAF models) should be seen as tools

for managing the entire organisation from a quality standpoint. If necessary, they may include use of the ISO 9000 standards, with or without formal certification, to guarantee that the whole organisation or, more often, a part of it achieves certain results with a high level of reliability (for example, when people's lives, health and safety are involved, or when absolute compliance with deadlines or the security of important assets are essential).

There are a number of TQM models, at national or regional level (the Deming in Japan, the Malcolm Baldrige in the USA, the EFQM and the CAF in Europe). Depending on the purpose for which they were created – typically to foster the competitiveness of their respective socio-economic systems – they developed and spread initially as models for quality awards, and later evolved into models for improvement through self-assessment. But even this approach is incomplete, because the models are in fact management tools, which can be used at every phase in the organisation's activities

The usefulness of the TQM models lies in their function as 'compasses' to help management chart a path to excellence. Represented graphically, modern models assist an understanding of organisational mechanisms and the cause/effect relationships between organisational factors/actions and results.

Use of TQM models (or models based on them) is spreading to the public sector, in an attempt to make public systems more effective (improve people's quality of life and rationalise relations among organisations – profit and non-profit – set up by people) and more efficient (raise system cost-effectiveness). The CAF is a model for use in the public sector. Based on the EFQM model, which was originally intended for the corporate sector, the CAF has been developed at European level for use by any type of public agency.

A method to optimise management
If models are to deliver a strategic and organisational advantage, they should be deployed in conjunction with a PLAN-DO-CHECK-ACT cycle (PDCA). The model is the compass, the tool indicating 'where' the organisation should investigate, intervene and measure. To understand 'how' to investigate, intervene and measure, the organisation needs appropriate cultural tools for planning, doing, checking and acting; in other words, the organisational and technical know-

Annex 1: What is useful to know about applying TQM and the CAF?

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how and skills typical of TQM. If the model helps the organisation chart a path, the PDCA cycle provides the working methodology to help it reach its targets. The PDCA cycle is simply a way to rationalise management of the organisation by defining the optimal sequence of activities:

1. Clear definition of the targets the organisation intends to achieve, beginning with the requirements of the users addressed by those targets. This phase is identified with the letter P, 'PLAN'.
2. Execution of the planned activities through correct formulation and management of processes, monitored with specific indicators. This phase is identified with the letter D, 'DO'.
3. Checks on the result of planning and doing, with respect to the parameters assumed by the organisation (targets, benchmarks, trends). This phase is identified with the letter C, 'CHECK'.
4. Implementation of ensuing action: corrections, improvements, stabilisation at new performance levels. This phase is identified with the letter A, 'ACT'.

This type of management approach is rare, especially among public agencies. Normally, a PLAN phase and a DO phase are envisaged: an incomplete sequence that cannot guarantee sustainable quality in results. If the organisation wishes to grow, to learn from experience, to improve, it needs to add the CHECK and ACT phases.

The organisation can improve and learn only if, after planning and doing, it analyses the causes of gaps between actual and expected results, and identifies weaknesses.

The PDCA cycle is described as a 'heuristic' methodology, because its underlying pragmatic assumption is that progress is achieved not at a stroke, but through a series of best guesses. This is particularly important in a culture that tends to respond to the failure of a plan by cancelling everything and starting again from scratch, without sufficient analysis of the reasons for the failure, with the result that the same mistakes are liable to be repeated. With the plan, do and correct approach, we learn from our mistakes and gradually resolve them. The first step for a learning organisation, therefore, is to establish a PDCA culture, to help it learn from its mistakes (which can never be fully eliminated, however effective the prevention system).

The PDCA cycle may be applied to a specific project, process or experiment, but it reaches its full potential when applied to the entire organisation and its annual operations cycle. The starting point is not usually a newly formed entity, but an organisation whose plans

and operations are already in place. In this case, it is best to begin from the CHECK phase, with a self-assessment that analyses current conditions in the organisation. So the sequence will be: CAPD.

The figure represents the PDCA cycle.
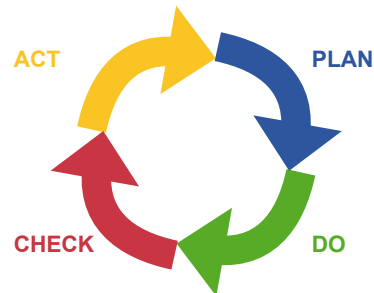
The CAF model is usually described as a self-assessment model (CHECK phase). This is because self-assessment and improvement are 'new' activities, whose importance has emerged only in recent decades. In practice, however, the organisation that truly embraces the CAF philosophy soon realises that the model can be used in each phase of the PDCA cycle, that is, throughout the organisation's annual round of operations.

Why self-assessment and continuous improvement are important

Self-assessment – in the EFQM definition – is an exhaustive, systematic and regular analysis of an organisation's operations and results, conducted by the organisation with reference to a TQM model.

Organisations conduct self-assessments to identify their strengths and weaknesses (potential areas for improvement). As the 'CHECK' phase in the PDCA cycle, self-assessment is complete if it is followed by planned improvements monitored over time. But this is not the only reason why self-assessment and improvement processes are worthwhile; there are other reasons too, which in some cases have a significant impact on the organisation's culture:

1. Self-assessment favours consensus, communi-cation, participation and delegation of responsi-bilities, motivating personnel;
2. Self-assessment provides a photograph of the true state of the organisation based not only on objective data but also on the voice of its people, thereby highlighting aspects and elements that mana-gement may not or cannot always perceive;
3. Self-assessment focuses attention on the customer/ user/citizen, making him the key driver of subsequent changes and improvements in services;

4. Self-assessment enables the organisation to strengthen and enhance its existing competences and know-how, through communication and training;

5. Self-assessment is particularly important for public administration, where there is no feedback from the market, i.e., the final verdict delivered when the customer makes a purchase decision.

2. The basic principles of TQM models: enabling factors

The aim of self-assessment with TQM models is to identify areas for potential improvement through systematic analysis. The models divide the analysis into a series of Criteria, corresponding to the elements to be analysed, which are subdivided in turn into sub-criteria and examples. The previous section introduced the concept of Enabling Factors and Results, and provided a figure illustrating the cause-effect relationship between them. Figure 2 shows the criteria for the Enabling Factors and for Results (expected or achieved) adopted by EFQM-based models like the CAF.

In the PLAN phase, the right side of the model is seen mainly as the place where the expected results (Targets) are defined. In the DO phase, it is seen mainly as the place where the results gradually obtained with respect to targets emerge. In the CHECK phase, it is the area showing the results obtained and the starting point for an analysis of the gaps between results and targets. The results it reflects should be regarded as the visible tips of so many icebergs. The nature of and explanations for the results can only be found in the submerged part of the iceberg, which in the model corresponds to the left side, the Enabling Factors. This is where the keys to improving the results on the right side can be found.

Given that the self-diagnosis process should identify the causes of dysfunctions, it is evident that, logically speaking, assessment should begin by considering results: measuring the outcome of operations in order to trace the root causes of any areas of weakness, among the Enabling Factors. The sequence proposed by the TQM models, however, for organisations wishing to conduct a self-assessment is to assess, first, suitability for achieving goals (adequacy of the enabling factors), then effectiveness (as reflected in performance results).

With experience, as the level of organisational maturity grows, the organisation will find that the diagnostic approach – from results to enabling factors – is the best

choice for self-assessment. But at first, especially if the self-assessment team has no diagnostic experience, the cause-effect sequence is advisable, provided that: 1) the self-assessment of the enabling factors is reviewed in light of the results; 2) the diagnosis of the weaknesses found correctly highlights the links between effects (results) and causes (management of enabling factors). As time passes, the organisation's diagnostic competences should grow, permitting an ever deeper understanding of the links between results and the processes that generate results, and between processes and the underlying enabling factors.

Before using the CAF model, the organisational significance of the Criteria that relate to the Enabling Factors should be examined.

Leadership
Leadership is commonly regarded as the locomotive of continuous improvement, the 'key driver' of all TQM models. These models make a conceptual distinction between the figure of the manager and the figure of the leader. In this discussion, the two figures are presented as extremes, to highlight the differences between their distinguishing characteristics; specifically, the manager is the classic figure of the Weberian hierarchical model, now largely in disuse. The manager – or the leader – in the pure state is very rarely found. Mixed profiles are more common, but certainly the traits of the manager still prevail, especially in the public sector. The reference here is to leaders when the characteristics of the leader predominate, to managers when the characteristics of the manager predominate.

The **manager** is skilled in managing complex organisations. He has expertise in operational planning, execution and control (predictability, minimisation of variability), in cost control, in measuring results. The manager favours a rigorous, disciplined approach. He regards people as resources whose role is defined by specific tasks. This is a 'mechanistic'

view where people are seen as parts of a machine, but although they have clear 'additional' talents with respect to the machine, they are handicapped by a potential tendency to not comply with rules and to evade control. Consequently, the structure of the organisation (preferably a hierarchical pyramid) is designed and run to prevent anomalous behaviour.

The manager is suited to managing the organisation in periods of relative stability, when external and internal conditions are predictable. This point alone suggests that these are difficult times for the manager: external scenarios are changing rapidly and continually; inside the organisation, rigour and discipline are no longer a given. When the manager is unable to manage because the traditional tools are beyond his control, the risk of a crisis and relinquishment of responsibility is high.

Systemically speaking, the manager is a figure suited to managing 'closed' or 'semi-closed' systems, where windows on the external environment are kept to the indispensable minimum. The inevitable external communication channels are closely monitored to ensure that nothing more than the essential is conveyed (materials, products, services, information): anything else could lead to cultural contamination, disorder, unpredictability, and must therefore be filtered.

The key characteristics of the **leader** are imagination, creativity, a real interest and belief in people, considered in terms of their positive potential (the knowledge, competences, creativity they offer) rather than their negative potential (which the leader believes can be contained through motivation and involvement). The leader is not content with the status quo and is always on the lookout for opportunities for improvement; he is inquisitive, attracted by unexplored territory. The leader is convinced that people have hidden potential and enjoys finding and cultivating that potential: putting people to the test, helping them grow and become leaders themselves. He appreciates and rewards results, especially through increased responsibility. The leader believes that the nature of organisations requires a cohesive system, with shared values, typically mutual respect and trust and a sense of belonging (being part of a team). He openly applies performance assessment criteria, particularly with regard to appreciated and unwanted organisational behaviour. He does not leave his staff to themselves in situations of risk; he supports them and fosters their growth.

The leader knows that excellent results can only be obtained through synergy, that is, through the performance enhancement obtained through true integration. So he places importance on formal and informal interpersonal relationships. He is particularly suited to leading the organisation when the scenario and the future, and therefore objectives, are uncertain. He knows how to augment capabilities and energy, in part by pursuing opportunities for synergy and alliances outside the organisation.

Systemically speaking, the leader is suited to running open systems, since he understands that since resources are normally scarce, external synergies provide an opportunity to enhance his ability to generate value. Consequently, he does not avoid external territories, nor view external contact as a source of dangerous contamination; on the contrary, the external environment offers partnerships, opportunities for cross-fertilisation that stimulate improvement and innovation.

As noted above, the figures of the manager and the leader are not mutually exclusive. In practice, they are both present, to a greater or lesser degree. The 'dosage' depends on the type of organisation and on the geo-economic-historical-political context in which it operates. Today's constantly changing scenarios generally mean that leadership gifts are more in demand today than in the past. At the same time, competition between economic systems requires great attention to efficient use of resources, in other words rigour. What is needed, therefore, is an appropriate combination of leadership and management – not so much in a specific individual as in the system of governance. In other words, organisations that put priority on dynamism and innovation should be headed by a leader.

Like all excellence models that promote a dynamic vision of quality, the CAF stresses the importance of the role of the leader; firstly because, as noted above, the role is particularly necessary today; secondly, because we come from a long historical period dominated absolutely by the classical figure of the manager proposed by the hierarchical/functional model. For this reason, CAF literature frequently uses the term 'leader' as a synonym for 'head'. It should be interpreted in general terms, as a figure combining the talents of leader and manager in the most appropriate mix for the specific role.

The CAF also underlines the importance for the management of an organisation, of compliance with a series of values assumed as necessarily being common to the entire public sector in the European Union: legality, transparency, equity, respect for diversity and rejection of conflicts of interest. In particular, respect

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for diversity signifies not only tolerance, but also active pursuit of policies for equal gender opportunities (with regard to access to and use of services, and to stakeholders involved in the service production chain, including the organisation's own human resources), and for disadvantaged categories, respect for religious and ethnic differences, sexual preferences and so on.

The question of conflicts of interest upholds the principle that players must place respect for laws and the public good, in particular, responsibility for the results of public action, before their own and others' private interests; in other words, they should maintain a position of independence in order to avoid making decisions or taking action in situations of apparent or actual conflict of interests. Leaders are responsible for divulging official codes of conduct within their organisations (e.g. the code of conduct for public sector employees). Even better, they should draft specific documents where the codes of conducts and values are personalised in line with the specific features of the organisation.

Leaders act to enable their organisations to adapt to society's continually changing needs and requirements, to strengthen their organisations' role and the effectiveness of their performance.

They also promote initiatives and create conditions to foster innovation (introduction of previously untested methods) and modernisation (transfer of good practices developed by others, consistently with national and European programmes). This is particularly important when the resources available decrease or fluctuate. This is precisely the sort of situation when a capacity for leadership can overcome the frequent lack of motivation ('we can't do anything, because we don't have the resources') and guide the organisation to achieve the changes needed to improve performance and workplace conditions, even with fewer resources.

Finally, leaders ensure that the introduction of technology is accompanied by a review of the organisation and its work, to turn this into an opportunity for continuous improvement of the performance results defined by the organisation's mission, vision and strategic planning.

Strategy and Planning
The PDCA cycle, a fundamental concept in continuous improvement, is applied at all levels, from the micro level of individual initiatives, projects, processes, to the macro level of the organisation as a whole. In the latter case, it is customary to have an annual cycle for operational planning and often a multi-year cycle for

strategic planning. In this regard, policy and strategy represent the P phase of the annual or long-term macro-cycle of the organisation's activities.

The first key concept introduced in planning by TQM is that targets, strategies and plans must be rooted in the organisation's vision and mission (therefore the vision and mission must be defined previously and reviewed continually to take account of changing conditions). A frequent objection is that objectives in public administration are hetero-directed and the possibility for differentiation is minimal. This objection is irrelevant in modern quality systems: even if the 'what' to be done is fully defined, quality, which addresses the 'how', would leave ample room for manoeuvre. In practice, the 'what' too often has upward freedom of movement, once the logic of value creation for customers and stakeholders and optimal use of resources has been taken on board. Analysis of the organisation's policy and strategy should also consider the willingness to introduce innovation in managing the organisation and dealing with the problems of the community, the mission of public sector organisations.

The second key concept introduced in planning by TQM, and the PDCA cycle in particular, is that the preliminary condition for satisfying the expectations of users of the value generated by the organisation is to know what value they expect. Planning input should therefore include full information about the current situation, and simulations/forecasts about the effects of what is being planned. The focus on stakeholders – citizens, first of all – and their needs is therefore fundamental. To collect complete information about

these needs, the first step is to draw up a map of all the organisation's stakeholders. In the PDCA approach, regular reviews should be conducted jointly with the stakeholders (or their representatives) to monitor their changing needs and the degree to which they are satisfied. The quality of this information and systematic analysis of feedback from stakeholders is a *sine qua non* for the quality of results; so too is the ability of the organisation to take a proactive working approach, in other words not only to respond to the demands of the public and business, but to foresee problems that could arise by developing an internal environment sensitive to changes in society and to the opportunities offered by advances in know-how and technology.

The third fundamental concept for quality planning is known as policy deployment and goal deployment. It originated among large corporations but is even more important in public administration. Policy deployment is the phase during which strategy is translated into macro-goals and involves both the political leaders and the senior administrators of the organisation. Its guaranteed outcome must be clear goals and general feasibility. Senior management is subsequently responsible for goal deployment, in other words, the definition and validation of operating goals consistent with policy. Methodologies using top-down and bottom-up interactive processes have been developed to verify goal feasibility, which is crucial when challenging goals are set. An added advantage is that all levels are involved in goal definition and validation; this is extremely important to achieve broad involvement and empowerment in the execution phase.

Effective policy formulation and deployment is strengthened by definition of strategies, in other words scenarios that focus the organisation's operations on medium/long-term results. These scenarios are developed after analysis of the external context in which the organisation operates and assessment of previous performance.

The formulation of strategies increases the capacity for effective service implementation if it is supported by plans and programmes detailing the targets and results expected from each organisational unit; technically speaking, a target may be defined as such if it is accompanied by an indicator establishing the level of change to be achieved (expected result), the minimum value below which the target is not valid and the time in which the change is to be accomplished.

Experience with TQM models, including the CAF, has found that the innovative aspects of planning are frequently not fully grasped. Once the revolutionary scope and breadth of application of the PDCA cycle is understood, then the concept that satisfaction of the users of an activity depends on the degree to which their expectations are known – and what is done to meet those expectations – will follow naturally.

Whatever the activity, the first step is to understand the expectations of the users of that activity and of the other stakeholders directly or indirectly involved. It will then be clear that self-reference is wholly incompatible with equitable satisfaction of citizens' expectations. It will also be clear that the indicators and result-monitoring systems used in the subsequent execution phase must be defined during planning.

People

TQM requires a change of perspective with regard to the role and importance of people: people are to be considered not as components of mechanistic/bureaucratic systems governed only by setting rules and checking results, but as the living, intelligent, creative part of the system. In any case, in a culture that tends to lack controls, the bureaucratic approach is a double loser. The organisation's leaders should help people to achieve their often latent potential, through example, training, empowerment and delegation, broader involvement. It is nonsense to talk about continuous improvement and excellence without wider contribution from people, without activation of people's intelligence and commitment, in other words without the lever of personal motivation.

In an organisation pursuing excellence, relationships and interaction between people and groups are fundamental – the means to create synergies and augment the capacity to generate value. Clearly, involvement of people and the request that they act as partners must be accompanied by appropriate rewards. Quality demands recognition of merit.

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Partnerships and resources

By definition, organisations seeking excellence mobilise all their resources in pursuit of their goal; above all they create synergies to enhance the value they intend to create. In addition to internal People-related synergies, they look for external synergies by identifying, involving and motivating strategic partners in the attainment of their objectives. This extends the range of stakeholders, parties who contribute to the creation of the value sought by the organisation and who in turn obviously expect to generate value with respect to their own objectives. It is in this area that dynamic, open organisations can be clearly distinguished from bureaucratic, closed organisations. Partnerships are entirely optional, and it is up to the leader to find and develop them. As noted with regard to internal relations, the leader is more concerned with interactions than with actions.

As with the model's other criteria, the organisation should be prepared to take a fresh approach, to move beyond its customary positions. If it simply reviews the usual partnerships, it will reap few benefits. If, on the other hand, it looks around with an open mind and gives rein to its creativity, it will certainly identify relationships that can be developed into partnerships to help it better achieve its mission.
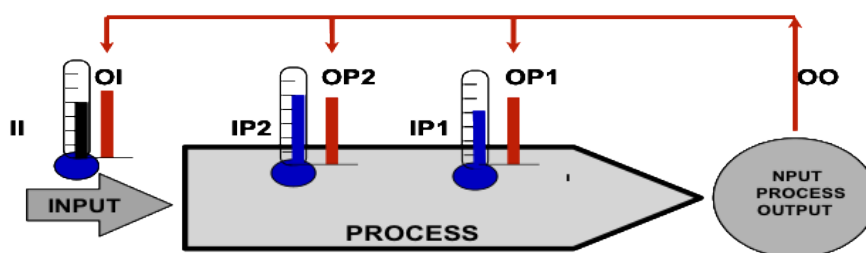
Processes

Process-based management is another fundamental pillar of TQM. It is always worth making the effort, however great, to accept and internalise the term 'processes', because the concept in question is a cornerstone of organisation culture and quality. Processes are 'the cells where quality is generated and the links in the value chain'. The most general definitions of process are (*cfr. Vocabolario della lingua Italiana, Treccani 1991*): '…any sequence of phenomena that presents a certain unity or is performed in an homogeneous and regular manner …' and '…method used to achieve a specific purpose'.

In the specific field of organisation and quality, a process is defined as an organised set of interrelated activities intended to achieve precise targets, which must satisfy the expectations of the process 'customers'. Organised signifies that the process is designed to achieve a goal and is managed in order to limit variability. In its simplest representation, the process is characterised by the expected output of the process and by inputs. The inputs normally represented are those on which the process acts in order to obtain the output. The transformation of input into output is usually repetitive. The process has other inputs, but these come into play only during planning, re-planning, improvement, checking, and so can be ignored in normal representations.

Figure 2 shows the process in context, which determines its significance. The purpose of a process is to meet the expectations of specific 'customers'. Consequently, the process targets will depend on the expectations (phase 1), even though the process does not necessarily have to meet those expectations 'blindly'. It is up to the organisation to decide on the degree of response by setting the process output targets (phase 2): in business relations, the response, i.e., the 'value proposition', is of critical importance in winning and retaining customers and so is a primary competitive factor. The competitive element may be absent in the public sector, but satisfaction of citizens expectations and those of internal and external stakeholders is nevertheless strategically important.

Once the process output targets have been established (the product/service), the process must be first planned and then managed to achieve those targets on a continuous basis (phase 3). The organisation will measure the 'quality provided' (phase 4), while the 'customer' will evaluate the 'quality perceived' (phase 5) and relate this to their expectations, to achieve a global level of satisfaction (phase 6).

Figure 2:

OQT = PROCESS OUTPUT QUALITY TARGETS ("PRODUCT" QUALITY TARGETS)
PQI/PQT = PROCESS INDICATORS AND RELATED TARGETS
IQI/IQT = INPUT INDICATORS AND RELATED TARGETS

It should be stressed that the process manager will be able to guarantee the defined output only if process performance can be monitored with suitable internal process indicators and input indicators.

1. Processes must therefore be seen as the area of measurement.
2. If something is not measured, it cannot be managed, let alone improved.
3. Any variable, including intangible variables, can be measured, provided the measurement concept is sufficiently broad.
4. With regard to intangibles, reference is made to 'intersubjective measurements', based on a clear verbal definition of the significant qualities of the variable to be measured; on a rigorous definition of the skills needed to express an opinion and the criteria to be adopted; on formal delegation of measurement procedures to a team of qualified experts.

In service processes, in addition to the process indicators used to monitor specific quality elements (for example, learning parameters for a training process), the time factor is usually very important (for example, for a judicial proceeding, the time taken by the proceeding). Without indicators for the various time periods, without a priori targets, without monitoring, without checking, it is by no means certain that the global target will be achieved.

When a process is organisationally well integrated, that is, when responsibility is clearly attributed to a single manager, process management is simply a technical problem, a question of defining indicators and using them to check output. In some cases, however, processes assume complex dimensions, covering various organisational areas and involving multiple responsibilities (and when many managers are responsible, then no one is). The organisational problems involved in management of these interfunctional processes may be far greater than technical concerns. Organisational integration and unitary responsibility for quality, costs and time acquire fundamental importance.

The concept is illustrated in the figures 3 and 4. Traditional 'functions' are shown as vertical divisions of the organisation pyramid, while the 'processes' operate along largely horizontal lines. When a process is interfunctional, barriers to communication and cooperation will inevitably be created to a greater or lesser extent. The more bureaucratic the organisation – in the sense that it has a strongly hierarchical, pyramid structure with strictly defined roles and tasks – the higher the organisational barriers will be. But satisfaction of customer expectations, execution times and global costs will be adversely affected by organisational barriers. The aim of organisational integration is to eliminate these barriers.

Figure 3:

Interfunctional process flow
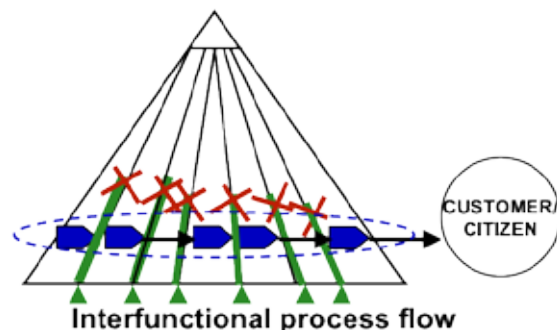
Figures 3 and 4 show an interfunctional process in a single public agency and a process flow crossing a series of agencies before reaching the 'customer'. Also in this case, integration is vital to satisfy the customer and optimise time and costs. Lack of integration among agencies is the most common

Figure 4:
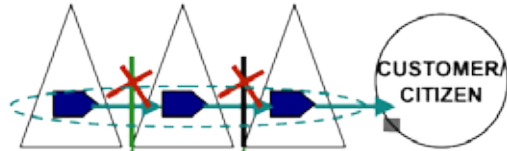
Functions and organisational barriers between functions

cause of dissatisfaction, for example of the 'corporate customer' waiting for an application approval when the time factor is critical. Bureaucracy even manages to neutralise the benefits of computerisation and telecommunication technologies, when multiple agencies are involved and no one is able to undo the bureaucratic Gordian knot. The problem can be resolved only by designating a single manager to coordinate the team of managers of the individual processes (with a team leader or process owner).

The need for integration stems from the realisation that processes not only form the 'value chains' that generate the value requested by citizens/customers and other stakeholders, they are also cost and time chains, which, in the absence of compelling competitive pressures, tend to grow, often out of all proportion. **Integration means creating the optimal conditions to maximise value and minimise cost and time.**

A final important point needs to be made about processes. The PDCA sequence also applies to the process, since the process has to be designed to meet 'customer' expectations, managed with appropriate techniques, measured, assessed, corrected when necessary and improved.

3. The basic principles of TQM models: how to analyse results.

Before the advent of TQM models, quality models did not include 'Results'; they stopped with 'Enabling Factors', known at the time as the 'Quality System'. This was because the models in question were used *a priori* before results had been obtained, to assess the ability of the system to generate results. Consequently, they were known as 'quality assurance' systems. They were also based on the somewhat deterministic assumption that validation of the quality of the means would also ensure the quality of the results.

The assessment, known as an 'audit', evaluated **compliance** with the model, which thus acquired the status of a standard, and was performed by an independent body. It consisted of a bureaucratic audit (based on a checklist) of the compliance of the organisation's internal standards and procedures (described in a 'Quality Manual') with the chosen reference model and the match between actual conditions with the descriptions in the manual.

The fallacy of the assumption that compliance with a model 'of good practice' was a sufficient assurance of quality, was revealed in 1970/80, when a number of major Western multinationals suffered severe market setbacks, despite their sophisticated quality systems, rigorous check procedures and detailed documentation. They were defeated by the dissatisfaction of their customers, who based their final opinion on results, not on the methods used to achieve results. And they were defeated by companies who took user expectations into account when planning products and services, and subsequently checked the degree to which those expectations were satisfied.

The revolutionary aspect of TQM was the extension of quality models to include **performance results**, subdivided into specific Criteria as described above in section 1.2, beginning with the results perceived by the users of those results. Together with the 'Enabling Factors', now no longer valued simply in terms of compliance, but also in terms of suitability, the organisation's actual performance (what it actually achieves) is measured: its 'Results', viewed as the yardstick of the **effectiveness** of its activities.

The logic behind this approach is represented in figure 2, which shows the fundamental distinction between '**quality provided**', which can be measured by the provider as process output, and '**perceived quality**', which can only be measured by questioning the user (customer or stakeholder). This distinction justifies the importance of perceived quality in the definition of the Criteria used by TQM models as guidelines for analysis of results. Perceived quality may diverge from quality provided for many reasons – and it is up to the provider to identify those reasons and take action to bring his measurements into line with user perceptions.

The results Criteria cover the various categories concerned with the organisation's results: citizens/ customers, who are the direct beneficiaries of the value generated by the organisation, and the stakeholders: the organisation's people, society, the organisation itself in its bid to improve effectiveness and efficiency.

Together with the results perceived by the users, indicated as 'external results' (perceived quality in the true sense), the Criteria also consider 'internal performance results'. These are measured with indicators (whose significance is directly proportionate to the match with user perceptions) designed to provide managers with real-time feedback on their effectiveness (perception indicators are important, but by definition not immediate).

In measuring results, a distinction should be made between:

1. output results (achievements): measured by the provider at the end of the process and intended to be perceived as such by users;
2. outcome results: users' perception with respect to the effects intended by the provider;
3. impact results: effects on direct and indirect users over and beyond intended results.

Analysis of results naturally comprises an assessment not just of the organisation's achievements, but also of the utility and ongoing sustainability of those achievements. Specifically, utility is the capacity to bring about a positive change with regard to the problems of the community (a reduction in pollution, for example) or those of specific categories of users with needs (for example, the need for rapid imposition of a penalty for a wrong suffered). Sustainability concerns the ability to maintain over time an action and its characteristics (intrinsic quantity and quality) in financial and organisational terms.

In short, the basic idea is to analyse results in terms of changes observed in the situation of users after an action, compared with the previous situation.

Citizen/customer results
Since the activities of public agencies are legitimised by the fact that their purpose is to respond to the needs and requests of society, the opinion of users is significant for adequate planning and delivery of public services. This should be carried out with the PDCA approach, in the awareness that although gaps between quality provided and expected quality are inevitable, weaknesses in planning and/or delivery can be corrected through timely feedback from users and gradual adjustments/improvements. Proximity to citizens/customers – through organised feedback networks – enables the agency to acquire the information needed for improvement, not only through formal customer satisfaction surveys, but on an ongoing basis. It should be stressed that continuous improvement of services is possible only if networks of this type provide information rapidly. The quality of information is more important than quantity, and speed is a component of quality.

In analysing the results of the services provided to respond to citizen/customer needs and questions, an activity obviously at the heart of the performance of any organisation since it relates to its institutional mission, priority must be given to this network and information quality approach, since this is the only way to trigger a dynamic pursuit of excellence. Even if the quantity of data is small at first (a fairly normal situation), the important point is to identify the information flows to be built between provider and user and vice versa, and to move in that direction, step by step.

Since public agencies operate through various channels, for various purposes, there are corresponding differences in the ways citizens and companies acquire experience of public agencies. Specifically:

1. there is a difference between the production of services and the production of rules: services address direct users, or beneficiaries, whereas the production of rules does not affect parties with needs, but parties (the 'users' of the rules) who are induced to change their operations to improve the condition of other categories (for example, the courts are the 'users' of rules governing management of legal proceedings, to the benefit of those whose rights must be protected); in this particular case, the opinions of the 'users' of the rules are important too, to ensure that they are not excessively penalised;
2. for some services, it is important to identify clearly who can provide a useful opinion; generally speaking, preference should be given to those who interact directly with the provider during service 'delivery'. In some cases, it is not the end beneficiary who interacts with the provider, but an intermediary (barristers, assessors, accountants, surveyors, etc.) or specific officers. So assessment of opinions should be diversified.

People results

People results reflect the outcome of action relating to the management and enhancement of the organisation's human resources, regarded as one of the organisation's key stakeholder groups.

Mutual satisfaction in relations between the organisation and its people is a key factor in performance quality, in all fields. Assessment of people results should therefore verify the relationship between the two and – even more important – whether and to what degree the two parties merge to form a 'system' designed to satisfy the needs of customers, of society, of the organisation itself. Clearly, personnel surveys should not only measure the satisfaction of people's needs, but also their engagement with and commitment to attainment of the organisation's goals. People are the best sensors for monitoring service users' expectations and perceptions and transmitting them to management in real time (provided that management listens), and of course for gathering information on the state of internal processes, where their role is sometimes that of provider, sometimes of manager, sometimes of user. Generally speaking, TQM underlines the importance of the opinion of the people involved in the various phases of work processes, particularly in identifying and introducing management improvements.

Listening to people therefore has a number of objectives and can be achieved in a number of ways. Climate/satisfaction surveys address people chiefly as parties with needs and expectations. The questionnaires must be well organised, the survey must ensure that people believe the organisation will listen to them. This trust must be confirmed by the transparency of results and evidence that results are given full consideration. Surveys that give the impression that there will no follow-up, analysis or action are counterproductive.

Another listening tool is surveys that see people as active contributors. These surveys relate to people's role in the organisation and aim to highlight areas for possible improvement. They can be 'gold mines' for organisations and leaders who use them on a regular, systematic basis. As with external customers – but even more importantly in the case of people, given their proximity – networks should be built to channel information on a continuous basis, and in any case on specific occasions when management requires everyone's attention. Self-assessment should be one of those occasions.

People working at the various levels of the organisation can provide useful information and opinions:

1. about the organisation's overall image, the level of awareness and engagement with respect to the organisation's values and missions and to conflicts of interest;
2. about the way management handles roles and functions, and about management systems and workplace conditions: climate, culture, sensitivity to social issues and equal opportunities.

The quality of activities directly relating to personnel treatment should also be analysed: recruitment, management and enhancement (assessment, training, careers, etc.). Taking these three categories as a basis, a number of indicators can be defined for systematic measurement of information and data in order to assess the consistency of the organisation's targets with its attitudes (age, gender, potential, career paths, rewards for merit, development of competences, etc.).

Society results

Given that the goals and consequences of public policies go beyond the requests and needs of direct beneficiaries, generally speaking the literature on assessment draws attention to the influence of public sector activities on society as a whole (including possible negative consequences on certain groups of citizens as a result of activities that in themselves are positive). This is the specific area of self-assessment known as 'impact analysis'. It is a vast subject, but attention should be drawn to a number of priorities that must not be neglected.

The first priority is the need to survey the satisfaction not only of beneficiaries, but of all stakeholders with respect to a particular policy or service: in short, all the players in the 'service chain'. Specifically, society results include the various parties – other than direct beneficiaries – with 'a vested interest' in the action taken by the organisation to achieve its missions, who are involved in the 'chain' from input to delivery of the

service and its effects. Examples include the suppliers of the goods and services needed to complete the activity; players who implement the activity on behalf of the institutions; users whose interests are directly or indirectly affected, possibly in a negative sense; experts, the mass media.

A second priority is to check for unexpected consequences arising from the organisation's activities:

a. analysis of unexpected negative effects on any category;
b. analysis of any other positive effects not considered by the initial objectives.

A third priority is analysis and assessment of how, in pursuing its missions and primary goals, the organisation takes account of other fundamental problems concerning the community or specific groups of citizens, whose importance is of interest to all citizens. In the corporate sector, this is known as 'corporate social responsibility'. Important issues in this area include:

1. attention to deprived or disadvantaged groups (the disabled, etc.);
2. focus on conduct and decisions consistent with the principles of environmental sustainability and the environmental impact of activities (e.g., support for employee carpools, energy and resource savings, differentiated waste collection, etc.);
3. attention to ethical conduct (e.g. support for fair trading, cooperation with developing nations, development of citizenship rights, integration of minorities, ethical organisations, support for civic and cooperative involvement in local communities, etc.).

Society results should therefore be an analysis of the impact of public sector activities not just on the direct beneficiaries of services, but on the social and economic fabric of the community as a whole. The analysis should bear in mind the following suggestions:

1. concentrate on the core missions of the organisation;
2. identify all stakeholders involved in implementation of activities, that is parties with an interest in the production process (suppliers, operators) and in the results of activities (excluding direct beneficiaries);
3. collect their opinions;
4. identify benefits and any costs arising from activities in qualitative and quantitative terms;
5. take account of the opinions of citizens and the media.
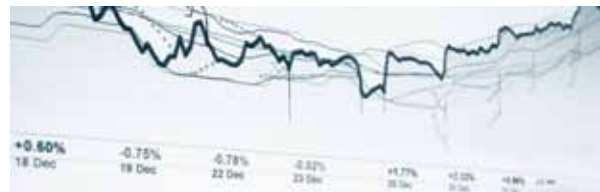
Key performance results
Key performances relate to 'everything the organisation indicates as essential'. This is a somewhat subjective criterion, but the assessment is the responsibility of management.

A parameter to identify the most strategically important results is the value of the organisation's activities in reducing the needs and improving the conditions of the community (cf. figure 5 on page 12). But attention should also be given to the internal workings of the organisation.

The following should be therefore be measured and assessed:

1. external results, especially in terms of the effectiveness of policies and services;
2. significant internal results, relating to management and, in particular, to improvement and innovation.

As far as external results are concerned, factors to be measured and assessed should include:

1. improvement of products and services;
2. improvement of costs and times with an impact on external parties;
3. recognition expressed by citizens/clients and stakeholders;
4. results of benchmarking/benchlearning activities.

As far as internal results are concerned, indicators relating to the use of available financial resources are significant, including:

1. expenditure capacity, when using operating funds, that is the ability to engage and pay service providers within the agreed terms, or to provide users with money in a timely manner, in compliance with reference standards;
2. the consistency of expenditure with agreed targets;
3. minimisation of costs per product unit (management efficiency); for example, the cost of one minute of wire-tapping;
4. efficient use of production factors (personnel, equipment); for example, reduction of absenteeism; use of car fleets; etc.
5. cost effectiveness, with regard both to compliance with income and expense ratio targets and to the maintenance or reduction of spending on supplies per product unit.

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Annex 1: What is useful to know about applying TQM and the CAF?

With reference to both external and internal results, the ability to build partnerships and to develop and manage innovation (two activities that are frequently linked) must be carefully assessed.

The ability to build partnerships with other external parties is related to the ability to recognise and take advantage of opportunities to boost available resources in order to resolve mission-critical problems. Cooperation with other parties can be a way to increase information and knowledge, or to gain access to greater financial resources, to lobby other parties more effectively, to share responsibility for results, or to increase the chances of success in complex decision-making processes.

The ability to develop organisational innovations through action on enabling factors (governance and management processes) is important for improving the effectiveness of the services provided. Particular importance is attached to this question by the management analysis tool known as the 'balanced scorecard'. Basically, the aim is to evaluate the ability to promote and implement change projects as a way to resolve mission-related collective problems more effectively and to enhance the organisation's legitimacy with respect to the other parties involved in the same areas of operation.

Annex 2:

European Declarations concerning quality assurance in education

In higher education, the term quality assurance refers to all the policies, ongoing review processes and actions designed to ensure that institutions, programmes and qualifications meet specified standards of education, scholarship and infrastructure.

Quality assurance relies on stakeholder engagement and aims to guarantee and further enhance the quality of higher education provision.

The Standards and Guidelines for Quality Assurance in the European Higher Education Area adopted by Ministers in 2005 and commonly referred to as European Standards and Guidelines (ESG) provide guidance on quality assurance to agencies and institutions.

The European Quality Assurance Register for Higher Education (EQAR) set up in 2008 is designed to list those agencies which operate in accordance with the European Standards and Guidelines and the appropriate national legal provisions. The Register aims to increase confidence and transparency regarding quality assurance – and ultimately qualifications – in higher education.

Bologna 1999

Promotion of European cooperation in quality assurance with a view to developing comparable criteria and methodologies. Promotion of the necessary European dimensions in higher education, particularly with regards to curricular development, interinstitutional cooperation, mobility schemes and integrated programmes of study, training and research.

Prague 2001

Promotion of European cooperation in quality assurance. Ministers recognised the vital role that quality assurance systems play in ensuring high quality standards and in facilitating the comparability of qualifications throughout Europe. They also encouraged closer cooperation between recognition and quality assurance networks. They emphasised the necessity of close European cooperation and mutual trust in and acceptance of national quality assurance systems. Furthermore, they encouraged universities and other higher education institutions to disseminate examples of best practice and to design scenarios for

mutual acceptance of evaluation and accreditation/ certification mechanisms. Ministers called upon the universities and other higher educations institutions, national agencies and the European Network of Quality Assurance in Higher Education (ENQA), in cooperation with corresponding bodies from countries which are not members of ENQA, to collaborate in establishing a common framework of reference and to disseminate best practices.

Berlin 2003

The quality of higher education has proven to be at the heart of the setting up of a European Higher Education Area. Ministers commit themselves to supporting further development of quality assurance at institutional, national and European level. They stress the need to develop mutually shared criteria and methodologies on quality assurance.

They also stress that consistent with the principle of institutional autonomy, the primary responsibility for quality assurance in higher education lies with each institution itself and this provides the basis for real accountability of the academic system within the national quality framework.

Therefore, they agree that by 2005, national quality assurance systems should include:

- A definition of the responsibilities of the bodies and institutions involved.
- Evaluation of programmes or institutions, including internal assessment, external review, participation of students and the publication of results.
- A system of accreditation, certification or comparable procedures.
- International participation, cooperation and networking.

At the European level, Ministers call upon ENQA through its members – in cooperation with the EUA, EURASHE and ESIB – to develop an agreed set of standards, procedures and guidelines on quality assurance, to explore ways of ensuring an adequate peer review system for quality assurance and/or accreditation agencies or bodies, and to report back through the Follow-up Group to Ministers in 2005. Due account will be taken of the expertise of other quality assurance associations and networks.

Bergen 2005

Almost all countries have made provisions for a quality assurance system based on the criteria set out in the Berlin Communiqué and with a high degree of cooperation and networking.

However, there is still progress to be made, in particular as regards student involvement and international cooperation. Furthermore, we urge higher education institutions to continue their efforts to enhance the quality of their activities through the systematic introduction of internal mechanisms and their direct correlation to external quality assurance.

We adopt the standards and guidelines for quality assurance in the European Higher Education Area as proposed by ENQA. We commit ourselves to introducing the proposed model for peer review of quality assurance agencies on a national basis, while respecting the commonly accepted guidelines and criteria. We welcome the principle of a European register of quality assurance agencies based on national review. We ask that the practicalities of implementation be further developed by ENQA in cooperation with EUA, EURASHE and ESIB with a report back to us through the Follow-up Group. We underline the importance of cooperation between nationally recognised agencies with a view to enhancing the mutual recognition of accreditation or quality assurance decisions.

London 2007
Quality Assurance and a European Register of Quality Assurance Agencies

2.12 The Standards and Guidelines for Quality Assurance in the EHEA adopted in Bergen (ESG) have been a powerful driver of change in relation to quality assurance. All countries have started to implement them and some have made substantial progress. External quality assurance in particular is much better developed than before. The extent of student involvement at all levels has increased since 2005, although improvement is still necessary. Since the main responsibility for quality lies with HEIs, they should continue to develop their systems of quality assurance. We acknowledge the progress made with regard to mutual recognition of accreditation and quality assurance decisions, and encourage continued international cooperation amongst quality assurance agencies.

2.13 The first European Quality Assurance Forum, jointly organised by EUA, ENQA, EURASHE and ESIB (the E4 Group) in 2006 provided an opportunity to discuss European developments in quality assurance.

We encourage the four organisations to continue to organise European Quality Assurance Fora on an annual basis, to facilitate the sharing of good practice and ensure that quality in the EHEA continues to improve.

2.14 We thank the E4 Group for responding to our request to further develop the practicalities of setting up a Register of European Higher Education Quality Assurance Agencies. The purpose of the register is to allow all stakeholders and the general public open access to objective information about trustworthy quality assurance agencies that are working in line with the ESG. It will therefore enhance confidence in higher education in the EHEA and beyond, and facilitate the mutual recognition of quality assurance and accreditation decisions. We welcome the establishment of a register by the E4 group, working in partnership, based on their proposed operational model. The register will be voluntary, self-financing, independent and transparent. Applications for inclusion on the register should be evaluated on the basis of substantial compliance with the ESG, evidenced through an independent review process endorsed by national authorities, where this endorsement is required by those authorities. We ask the E4 group to report progress to us regularly through BFUG, and to ensure that after two years of operation, the register is evaluated externally, taking account of the views of all stakeholders.

Leuven 2009
Student-centred learning and the teaching mission of higher education.

We reassert the importance of the teaching mission of higher education institutions and the necessity for ongoing curricular reform geared toward the development of learning outcomes. Student-centred learning requires empowering individual learners, new approaches to teaching and learning, effective support and guidance structures and a curriculum focused more clearly on the learner in all three cycles. Curricular reform will thus be an ongoing process leading to high quality, flexible and more individually tailored education paths. Academics, in close cooperation with student and employer representatives, will continue to develop learning outcomes and international reference points for a growing number of subject areas. We ask the higher education institutions to pay particular attention to improving the teaching quality of their study programmes at all levels. This should be a priority in the further implementation of the European Standards and Guidelines for quality assurance.

Annex 3:

Structure CAF 2006 versus structure CAF 2013

ENABLERS	
CAF 2006	**CAF 2013**
Criterion 1: Leadership Consider evidence of what the organisation's leadership is doing to...	**Criterion 1: Leadership** Consider what the institution's leadership is doing to...
Sub-criterion 1.1 Provide direction for the organisation by developing its mission, vision and values	**Sub-criterion 1.1** Provide direction for the organisation by developing its mission, vision and values
Sub-criterion 1.2 Develop and implement a system for the management of organisation, performance and change	**Sub-criterion 1.2** Manage the education and teaching institution, its performance and its continuous improvement
Sub-criterion 1.3 Motivate and support the people in the organisation and act as a role model	**Sub-criterion 1.3** Motivate and support the people in the institution and act as a role model
Sub-criterion 1.4 Manage the relations with politicians and other stakeholders in order to ensure shared responsibility	**Sub-criterion 1.4** Manage effective relations with political authorities and other stakeholders
Criterion 2: Strategy and Planning Consider evidence of what the organisation is doing to...	**Criterion 2: Strategy and Planning** Consider what the institution is doing to...
Sub-criterion 2.1 Gather information relating to present and future needs of stakeholders	**Sub-criterion 2.1** Gather information on present and future needs of stakeholders as well as relevant management information
Sub-criterion 2.2 Develop, review and update strategy and planning taking into account the needs of the stakeholders and the available resources	**Sub-criterion 2.2** Develop strategy and planning taking into account the gathered information
Sub-criterion 2.3 Implement strategy and planning in the whole organisation	**Sub-criterion 2.3** Communicate and implement strategy and planning in the whole organisation and review it on a regular basis
Sub-criterion 2.4 Plan, implement and review modernisation and innovation	**Sub-criterion 2.4** Plan, implement and review innovation and change
Criterion 3: People Consider evidence of what the organisation is doing to...	**Criterion 3: People** Consider what the institution is doing to...
Sub-criterion 3.1 Plan, manage and improve human resources transparently with regard to strategy and planning	**Sub-criterion 3.1** Plan, manage and improve human resources transparently with regard to strategy and planning
Sub-criterion 3.2 Identify, develop and use competencies of the employees aligning individual and organisational goals	**Sub-criterion 3.2** Identify, develop and use competencies of the employees aligning individual and organisational goals
Sub-criterion 3.3 Involve employees by developing open dialogue and empowerment	**Sub-criterion 3.3** Involve employees by developing open dialogue and empowerment, supporting their well-being
Criterion 4: Partnerships and Resources Consider evidence of what the organisation is doing to...	**Criterion 4: Partnerships and Resources** Consider what the institution is doing to...
Sub-criterion 4.1 Develop and implement key partnership relations	**Sub-criterion 4.1** Develop and manage partnerships with relevant institutions
Sub-criterion 4.2 Develop and implement partnerships with the citizens/customers	**Sub-criterion 4.2** Develop and implement partnerships with the citizens/customers
Sub-criterion 4.3 Manage finances	**Sub-criterion 4.3** Manage finances
Sub-criterion 4.4 Manage information and knowledge	**Sub-criterion 4.4** Manage information and knowledge

CAF 2006	CAF 2013
Sub-criterion 4.5 Manage technology	**Sub-criterion 4.5** Manage technology
Sub-criterion 4.6 Manage facilities	**Sub-criterion 4.6** Manage facilities
Criterion 5: Processes Consider evidence of what the organisation is doing to...	**Criterion 5: Processes** Consider what the institution is doing to...
Sub-criterion 5.1 Identify, design, manage and improve processes on an ongoing basis	**Sub-criterion 5.1** Identify, design, manage and innovate processes on an ongoing basis involving the stakeholders
Sub-criterion 5.2 Develop and deliver citizen/customer -oriented services and products	**Sub-criterion 5.2** Develop and deliver citizen/customer-oriented services and products
Sub-criterion 5.3 Innovate processes involving the citizens/customers	**Sub-criterion 5.3** Coordinate processes across the education and training institution and with other institutions

RESULTS

CAF 2006	CAF 2013
Criterion 6: Citizen/Customer-oriented Results Consider what results the organisation has achieved (in its efforts) to meet the needs and expectations of citizens and customers through...	**Criterion 6: Learner-oriented and other key stakeholder-oriented results** Consider what the institution has achieved to meet the needs and expectations of learners and other key stakeholders, through the results of...
Sub-criterion 6.1 Results of citizen/customer satisfaction measurements	**Sub-criterion 6.1** Perception measurements
Sub-criterion 6.2 Indicators of citizen/customer-oriented results	**Sub-criterion 6.2** Performance measurements
Criterion 7: People Results Consider what results the organisation has achieved to meet the needs and expectations of its people through...	**Criterion 7: People Results** Consider what the institution has achieved to meet the needs and expectations of its people through the results of...
Sub-criterion 7.1 Results of people satisfaction and motivation measurements	**Sub-criterion 7.1** Perception measurements
Sub-criterion 7.2 Indicators of people results	**Sub-criterion 7.2** Performance measurements
Criterion 8: Society results Consider what results the organisation has achieved in respect of impact on society, with reference to...	**Criterion 8: Social responsibility results** Consider what the institution is achieving regarding its social responsibility, through the results of...
Sub-criterion 8.1 Results of societal measurements perceived by the stakeholders	**Sub-criterion 8.1** Perception measurements
Sub-criterion 8.2 Indicators of societal performance established by the organisation	**Sub-criterion 8.2** Performance measurements
Criterion 9: Key performance results Consider the evidence of defined goals achieved by the organisation in relation to...	**Criterion 9: Key performance results** Consider the results being achieved by education and teaching institution, in relation to...
Sub-criterion 9.1 External results: outputs and outcomes to goals	**Sub-criterion 9.1** External results: outputs and outcomes to goals
Sub-criterion 9.2 Internal results	**Sub-criterion 9.2** Internal results: level of efficiency

The Common Assessment Framework (CAF) is a result of the cooperation between the EU Ministers responsible for public administration.

The CAF is offered as a common tool to assist public sector organisations to use quality management techniques in public administration. It provides a general, simple, easy-to-use framework, which is suitable for a self-assessment of public sector organisations and their development towards Excellence!

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