

2024

CAF EDUCATION

IMPROVING EDUCATION
ORGANISATIONS THROUGH
SELF-ASSESSMENT



**Resource
Centre**
European Institute of
Public Administration



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EUPAN

european public administration network

Executive Summary

CAF in Education 2024

In response to the evolving landscape of global education, the European CAF Resource Centre proudly introduces CAF in Education 2024, an innovative and tailored quality management self-assessment framework designed to fortify educational institutions across Europe and beyond.

This revision builds upon the robust foundation laid by CAF Education 2013, aligning with the transformative changes introduced in the CAF 2020 Model.

CAF in Education incorporates a holistic perspective, embracing the Whole Child Development approach, European Qualifications Framework, and European Quality Assurance in Vocational Education and Training. Furthermore, it emphasizes the crucial socio-professional integration of children within school environments while catering to the diverse and unique needs of every learner. This comprehensive approach ensures that our educational institutions not only excel academically but also foster the overall well-being and development of every student.

CAF in Education 2024 stands out for its comprehensive coverage of the new examples in the nine CAF criteria and 28 sub-criteria, facilitating the self-assessment process. The CAF criteria explore performance measurement and perception evaluation, providing an extensive set of in-depth examples. The numerous, new exemplars not only illustrate successful measurement methodologies but also offer nuanced explanations of the results criteria and sub-criteria. By focusing on these pivotal aspects, the framework equips education organizations with valuable tools to measure their impact, adapt strategies, and enhance the overall learning experience. Through tangible outcomes and data-driven insights, CAF in Education 2024

empowers institutions to chart a course toward continuous excellence, ensuring educational success for both learners and educators.

We would like in particular to focus on the following aspects being carefully covered in the CAF in Education 2024:

Adaptive language and terminology: CAF in Education 2024 employs learner-centric language and refines terminologies to better suit the educational sector, fostering a clear and comprehensive understanding.

Incorporating innovation: Special emphasis is placed on managing change and fostering innovation within educational institutions. Strategic examples spotlight curriculum updates and innovative teaching methodologies, reinforcing the commitment to excellence.

Holistic partnerships: Recognizing the vital role of partnerships, including parents, the framework underscores the necessity of closer ties between educational institutions and the labor market. This alignment ensures that educational programs are finely tuned to meet the evolving needs of future employers.

Comprehensive self-assessment: CAF in Education 2024 equips education organizations with a powerful tool for self-reflection and quality management. Its citizen-customer orientation aligns seamlessly with the aspirations of the education and training sector, enabling institutions to initiate quality approaches and enhance existing processes effectively.

Acknowledgments

The realization of CAF in Education 2024 is indebted to the incredible dedication of the core working group, led by Cristina Evaristo and Margarida Quintela Martins (Portugal),

comprising Isabelle Verschueren (Belgium), Ioannis Dimitriou (Greece), Sabina Bellotti (Italy), Gréta Hrehová (Slovakia), and Begona Lázaro (Spain). Their commitment to excellence, coupled with contributions from experts such as Sabine Janssens and Julie Gysen (Belgium), Italo Benedini and Claudia Migliore (Italy), Inês Nolasco, Rodrigo Queiroz e Melo and Sílvia Vicente (Portugal), Javier Barace and Francisco Escudero (Spain), along with Katarzyna Dudzik (Poland), has made this groundbreaking revision possible.

CAF in Education 2024 stands as a testament to the resilience and adaptability of European education. By embracing this refined framework, educational institutions embark on a transformative journey, gaining profound insights and strategies that foster excellence. We

extend our gratitude to the entire CAF community and the CAF Correspondents Network for their enduring support, underscoring the collaborative spirit that defines our educational landscape. Our ultimate goal is to facilitate a mutually enriching benchmarking experience for all users within the CAF in Education community. To achieve this, we extend a warm invitation to every user to register in our dedicated CAF users database at the European CAF Resource Centre. Your registration will enable connections and foster a collaborative environment where valuable insights are shared, empowering all participants to learn and grow together. Join us in this collective journey of knowledge exchange and professional development.

European CAF Resource Centre, EIPA

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Table of Contents

CAF in Education 2024	3
Foreword	6
General Introduction	7
Enablers Criteria	15
Criterion 1: Leadership	16
Criterion 2: Strategy and Planning	21
Criterion 3: People	26
Criterion 4: Partnerships and Resources	30
Criterion 5: Processes	37
Results Criteria	42
Criterion 6: Learner-oriented and other Key Stakeholder-oriented Results	43
Criterion 7: People Results	46
Criterion 8: Social Responsibility Results	50
Criterion 9: Key Performance Results	53
CAF Scoring and Assessment Panels	56
Guidelines for improving an organisation using the CAF	64
Phase 1: The start of the CAF journey	65
Phase 2: Self-assessment process	67
Phase 3: Improvement plan/prioritisation	70
CAF Education Glossary	74
ANNEX I: Struture CAF Education 2013 VS CAF Education 2024	92

Foreword

The European Public Administration Network (EUPAN) is an informal network of the Directors-General responsible for public administration in the Member States of the European Union, the European Commission (EC) and observer countries. The network works together for high-quality public services and public administrations in Europe.

The Common Assessment Framework (CAF) is the most visible product of the network, with a clear impact on how we assess and improve the quality of public administrations in Europe. The CAF model has been revised over the last 20 years and fine-tuned in order to better respond to the development and evolution of public management and society. The last version, CAF 2020, is the fifth version. The updates to this CAF 2020 version mainly deal with digitalisation, agility, sustainability, and diversity.

The CAF model is a general, simple, accessible, and easy-to-use model for all public sector organisations, that deals with all aspects of organisational excellence and drives for continuous improvement. In the first decade different countries developed a CAF version, specifically for the education sector, and 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. Thus, a first version emerged in 2011 and later the improved version, CAF Education 2013.

The new CAF 2020 dictated the need for a revision of CAF Education, which was proposed by the Portuguese EU Presidency 2021, and welcomed by the CAF National Correspondents Working Group. The result of these efforts is the present manual with the new version of CAF Education 2024.

A core group undertook the main task of revising CAF Education, not only adapting to CAF 2020 but also updating the examples and the CAF Education glossary. We take this opportunity to thank especially Belgium, Greece, Italy, Slovakia, Spain, and Portugal (who coordinate the group) and the support of the European CAF Resource Centre at the European Institute of Public Administration (EIPA).

Thousands of organisations have already adopted the model and proved that it works; hundreds of people gather together in the European events. With this revised version of CAF Education 2024, we warmly invite all the education organisations to join this CAF community!

The CAF revision Working Group
Belgium, Greece, Italy, Portugal, Slovakia, and Spain.

General Introduction

The content of the CAF model

Definition

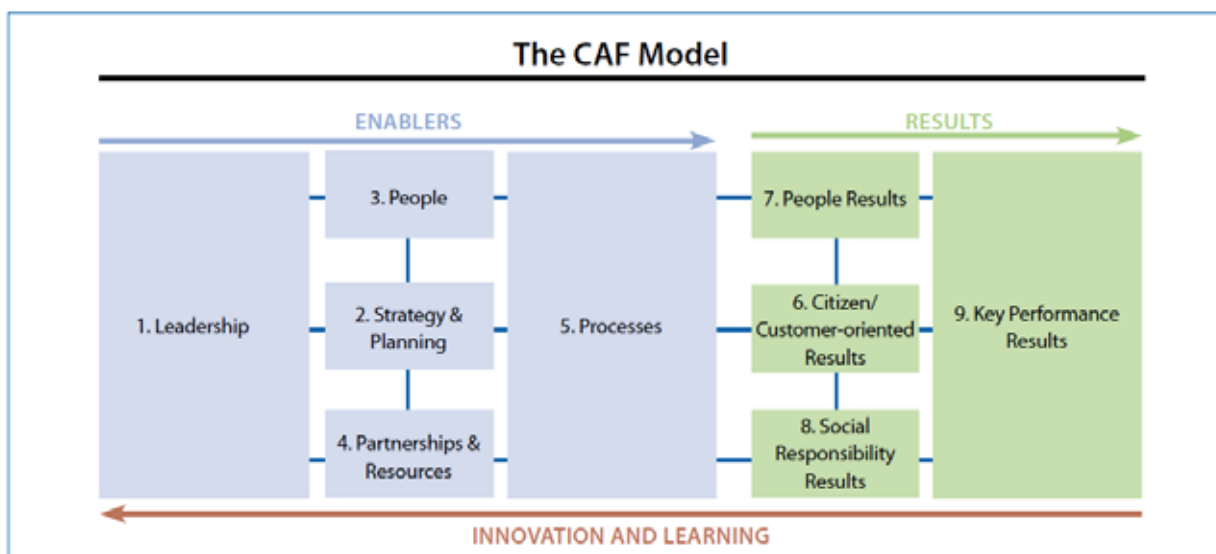
The Common Assessment Framework (CAF) is a total quality management model for self-assessment developed by the public sector for the public sector. The CAF is free of charge and available in the public domain to assist public sector organisations to improve their performance. It has been designed for use in all parts of the public sector, and it is applicable to national/federal, regional and local levels. Although the CAF has been developed in a European context, it can be used in any public organisation all around the world.

The CAF belongs to the family of total quality management (TQM) models and was originally inspired by the Excellence Model of the European Foundation for Quality Management (EFQM®). It is a model for performance management acting as a 'compass' to help managers find the paths to excellence. With its graphical representations it explains the cause-and-effect relationship between organisational factors and performance results.

The CAF is based on the premise that excellent results in organisational performance, citizens/customers, people, and society are achieved through leadership-driven strategy and planning, people, partnerships, resources, and processes. It looks at the organisation from different angles at the same time: the holistic approach to performance analysis.

The nine-box structure identifies the main aspects requiring consideration in any organisational analysis. Criteria 1–5 (the enablers) deal with the managerial practices of an organisation. These determine what the organisation does and how it approaches its tasks to achieve the desired results. In Criteria 6–9, the results achieved in the fields of citizens/customers, people, social responsibility and key performance are measured by perception and performance measurements.

Each criterion is broken down into a list of subcriteria. 28 subcriteria identify the main issues that need to be considered when assessing an organisation. They are illustrated by examples



that explain the content of the subcriteria in more detail and suggest possible areas to address, in order to explore how the administration meets the requirements expressed in the subcriterion.

These examples represent good practices from all over Europe. Not all of them are relevant for every organisation, but many can be considered points of attention during 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 way towards excellence.

Without modifying the structure of the model but simply adapting the examples and the language, sectorial versions of the model have been defined to make the CAF implementation easier and more effective for every organisation. A European version of “CAF education” has existed since 2011, and many other sectors have been developed at national levels (e.g., for justice organisations, universities, and municipalities).

PRINCIPLES OF EXCELLENCE

As a tool of TQM, the CAF subscribes to the fundamental concepts of excellence as initially defined by the European Foundation for

Quality Management. The CAF translates them to the public sector and aims to improve the performance of public organisations on that basis. The implementation of these concepts makes the difference between the traditional bureaucratic public organisation and the one oriented towards the culture of the quality of performance.

The core of the CAF model is the self-assessment of the organisation and thus the starting point for a comprehensive improvement process. Although the CAF primarily focuses on performance evaluation and management to make improvement possible, the ultimate goal is to contribute to good governance. Good governance begins with shared principles and values, which are to be taken into consideration during the assessment. Definitions and terminology of the values vary in different administrations, even if there are recurring themes, but the common European context is an important reference for CAF users, taking into account the common public sector values and principles.



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 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 achieving the organisation's objectives.

Principle 4 MANAGEMENT OF 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 and in time, the continuous improvement of the nine criteria will 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.

Purpose and benefits of the model

The CAF aims to be a catalyst for a full improvement process within the organisation.

The aim is better services for the citizens, because implementing the CAF helps to increase the quality of services for the customers and thus citizens' satisfaction.

It supports public administrations to:

1. introduce the culture of excellence;
2. progressively implement the PDCA (PLAN, DO, CHECK, ACT) logic;
3. carry out the self-assessment process in order to obtain a comprehensive organisation check;
4. come up with a diagnosis that shows the strengths and improvement areas helping the definition of improvement actions.

In addition, the following benefits of the CAF are recognised by many users:

Tailor-made for the public sector: It is the European quality management model developed by public administrations for public administrations.

Common language: It allows staff and managers to discuss organisational issues together in a constructive way. It promotes dialogue and benchlearning among public administrations.

People involvement: The self-assessment process is the basis for the systematic involvement of people in the improvement of the organisation.

Evidence-based improvement: It stimulates public sector organisations to gather and effectively use information and data.

No external costs: The CAF is available free of charge, promoted by the European CAF Resource Centre and the network of National CAF Correspondents.

External feedback available: A common procedure was defined by the CAF network in

2009 to provide recommendations delivered by External Feedback Actors for the further development of the organisation and to be recognised as an effective CAF user.

The initiative to start a quality approach using CAF must be based on a clear decision from the leadership, which must consult all people in the institution. Indeed, both leadership and people may find it unfamiliar and difficult to see the management and the workings 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.

Almost 2000 public organisations (114 from education sector) have already used CAF, according to registrations in the EIPA database, but this number does not reflect the reality of the users of the model. Before the General Data Protection Regulation (GDPR) compliance there were 4100 CAF users registered in the EIPA database (in 2019), not counting users who had not registered their case in the database, but have applied CAF. The CAF users are from European and non-European countries and from almost all public sectors.

The registration of CAF users in the EIPA/CAF Database is an ongoing process. It is important to have a realistic picture of the number of users of the model, thus enabling informed decisions to be made, studies to be carried out and users to be kept up with information on the developments in the CAF model.

Adapting CAF to education organisations: 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 and Training sector in general.

At the European level, the IPSG – EUPAN gave the mandate to a working group in 2009 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 light of the revised generic CAF 2013 version. The new revision, CAF Education 2024, has taken place to incorporate the changes introduced with the latest update of the CAF 2020 generic model.

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.

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

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 benchlearning.

What Are The Differences Between The Original Caf Model And Caf Education?

Adaptation of the language: i.e. we use “learners”

or “learners and/or their legal representatives” instead of “citizen customer” and “education organisations” instead of “public organisations”. For “education organisations”, we mean education, training and higher education organisations.

Adaptation of the examples: all the examples are borrowed from the world of education.

Adaptation of terminology: the glossary includes important concepts for a well successful CAF Education self-assessment process.

What is new in CAF 2020

Due to its proven effectiveness, the framework for the self-assessment has not been changed from the reference to the eight Principles of Excellence on which it is based. The CAF is still composed of 9 criteria and 28 subcriteria, but some of the subcriteria have been reformulated for better understanding.

Users of previous CAF versions will not find it too difficult to find their way around the new version, as it is a moderate update. CAF 2020 strengthens the focus on **digitalisation** and pays attention to **agility**, **sustainability** and **diversity** regarding the connection of the operational with the strategic levels to support **reforms implementation**.

Major changes have been introduced at the level of the examples that have all been reviewed, shortening the descriptions and reducing their number. The glossary has been updated accordingly. In the Annex of CAF 2020 Model there is a table that compares CAF 2013 with the CAF 2020 version.

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 subcriteria, as well as the use of one of the assessment panels, is strongly recommended, as it is to implement the process following the given guidelines.

Moreover, the European model CAF2020 incorporates the lessons learned and results of the following:

- Toolbox – Quality of Public Administration, European Commission, 2018
- Embracing Innovation in Governments Global Trends, OECD 2018
- OECD Declaration on Public Sector Innovation, 2019
- The Principles of Public Administration, SIGMA OECD, 2019
- EPSA – European Public Sector Award, EIPA
- Observatory of Public Sector Innovation (OPSI), OECD

The revision of CAF education 2013 in the new post-crisis context

The revision of CAF Education 2013 is implemented in a turning point of the history of Education system worldwide. Countries need strong education systems that promote learning, life skills, and social cohesion. More and more Education can help mitigate the risks of such adversity and help youth to succeed despite severe challenges through a resilient institutional policy. Information on European educational policy issues are available in the link [Policy on educational issues \(europa.eu\)](https://european-council.europa.eu/media/1000000/1/7/0/0/1/Policy%20on%20educational%20issues.pdf)

The CAF 2020 generic was updated in order to better respond to the development and evolutions in public management and society, dealing with agility, sustainability, diversity, digitalisation, resilience, and concepts with high value in the development of Education system: therefore, this new version of the CAF generic model forms the basis and provides the guidelines for an effective and valuable revision of the CAF Education 2013.

Moreover, the new revision of CAF Education incorporates the concepts and the lessons learned from publications of Education Sector, such as the OECD Handbook for Innovative Learning Environments.

More resilient public administrations after covid-19 – lessons from caf

The COVID-19 pandemic¹ provided an opportunity for public sector organisations to test and reflect upon their resilience, that is, their abilities to absorb, adapt and learn from shocks to be better prepared for future crises. In what is increasingly being described as the era of polycrises and growing uncertainty, strengthening public sector resilience is a central priority for governments looking to achieve continued growth and wellbeing for citizens. CAF can help public organisations to strengthen their resilience with crisis, as demonstrated by the number of important lessons and policy implications that was drawn from the OECD study, financed by EU, “[More resilient public administrations after COVID-19 - Lessons from using the Common Assessment Framework \(CAF\) 2020](https://www.oecd.org/gov/more-resilient-public-administrations-after-covid-19-lessons-from-using-the-common-assessment-framework-caf-2020/)”² which also includes a case study of an education organisation.

How to implement the caf model

Self-assessment and improvement process

The CAF implementation follows a three-phase plan.

Phase 1: Start of the CAF Journey

The decision for implementing the CAF is the starting signal for a comprehensive improvement and change process of the organisation. This has to be considered from the beginning and requires clear responsibilities, commitment and decision of the management to adopt the CAF, and the involvement of the employees.

1 The World Health Organization (WHO) declared the outbreak a public health emergency of international concern referring to it as a pandemic on 11 March 2020 and declared it end in 15 May 2024.

2 The paper included case studies from several sectors, including education. Available at the link: <https://www.oecd.org/gov/more-resilient-public-administrations-after-covid-19-8d10bb06-en.htm>

Phase 2: CAF Self-Assessment

Here, a joint self-evaluation of the organisation by employees and management is carried out on the basis of the criteria in order to identify strengths and areas for improvement. The main result of this phase, in addition to the evaluation, is a catalogue with ideas for improvement for the further development of the organisation. The expected output is a self-assessment report.

Phase 3: CAF Improvement Plan

On the basis of the ideas for improvement developed in phase 2, a CAF improvement plan is drawn up, which specifies the implementation of the ideas for improvement. Here, the individual actions are prioritised, provided with schedules and responsibilities, and assigned the necessary resources.

Now the CAF improvement plan has been implemented within two years. After this, a new CAF self-assessment process can be started. This loop ensures the continuous improvement process in the organisation.

The whole process is supported by guidelines covering a ten-step implementation plan.

The external feedback procedure

To enable public sector organisations applying the CAF to see the results of their efforts, the model offers the **External Feedback Procedure** which provides feedback aiming to further support the CAF user in their journey towards quality.

Between 6 and 12 months after the approval of the self-assessment report, the organisation has the opportunity to apply this procedure to receive the European label of 'effective CAF user'. In case of a positive evaluation given by external CAF experts the label will confirm that the CAF has been implemented in an effective way and the organisation has started to install the Principles of Excellence in its organisational culture. For more information see the "[Procedure's Guidelines for External Feedback](#)".

The CAF 'National Organiser' is appointed at national level to be in charge of the implementation of the CAF External Feedback in the country. When referring to the CAF National Organiser, it can be the CAF National Centre, Regional Centre or, other officially appointed instances for CAF promotion/implementation.

The European CAF Resource Centre in EIPA Maastricht supports the Member States in the implementation of the CAF External Feedback Procedure through a number of initiatives and provides coordinating support for Member States that do not have a National Organiser and organising the CAF External Feedback Procedure for non-EU members and European institutions.

How to get support in using CAF model

In 2001, a network of National CAF Correspondents, as well as the European CAF Resource Centre (CAF RC) was created following the decision of the Directors-General in charge of public service. The CAF network is responsible at European level for the development and follow-ups of the CAF. It periodically discusses new tools and strategies for the promotion of CAF implementation. It organises a European CAF Users Event every two years, at which national experts and users discuss good practices and exchange ideas.

In the Member States, the National CAF 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 or quality conferences. Joint CAF projects are common, often in the context of the use of EU funding, that involve two or more European or candidate countries (especially twinning and TAIEX activities) and countries of other continents too.

The European CAF RC is based at the European Institute of Public Administration (EIPA) in Maastricht (NL) and is responsible for supporting CAF implementation in Europe. Main tasks are

generation of expert content, coordination of the CAF network meetings, training delivery, surveys on CAF implementation, management of the CAF website www.eipa.eu/caf with all relevant information about CAF users and National CAF Correspondents, and all related publications (survey reports and newsletters).

It also supports on demand from Member States the organisation of 'CAF Events' that are held every two years at European level and deliver the common European training scheme for CAF External Feedback Actors.

In the following chapters you will find information concerning:

- the CAF Education 2024 assessment framework (Enablers and Results Criteria)
- the scoring system
- the self-assessment process
- the CAF glossary

More information is available on the CAF website:

www.eipa.eu/CAF.

Enablers **Criteria**

Criteria 1-5 deal with the managerial practices of an education organisation – the so-called 'Enablers'. These determine what the organisation 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

Subcriterion 1.1: Provide direction for the organisation by developing its mission, vision and values

Subcriterion 1.2: Manage the education organisation, its performance and its continuous improvement

Subcriterion 1.3: Inspire, motivate and support people in the organisation and act as a role model

Subcriterion 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 organisation 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 realization 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 organisations, whilst emphasizing the importance of good collaboration between both actors in order to achieve the policy results.

Criterion 1 focuses on the behavior 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.

Today, the position of school leader is changing dramatically as the education enterprise evolves to meet the needs of today's learners and to address new expectations for college and work place readiness. Additionally, it is increasingly realized today that the personal competencies and attitudes of the leaders are a significant factor in the success of implementing new learning models and as well as engaging the community in that shared vision.

Assessment

Consider what the organisation's leadership is doing to achieve the following.

Subcriterion 1.1

Provide direction for the organisation 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 behavior?) required for the institution's long-term success. They communicate them and ensure their realization.

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.

The Leadership should provide the knowledge, skills, values and attitudes required for students to lead productive lives, make informed decisions and assume active roles locally and globally in facing and resolving global challenges.

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

- a) Formulate and develop the institution's mission(s) (what are we aiming to contribute to society?) together with stakeholders.
- b) Promote a vision for the organisation (who are the learners we are aiming to educate and train?), with the involvement of the stakeholders and people concerned.
- c) Establish a value framework aligned with the institution's mission and vision, incorporating transparency, ethics and the sense of service to society, and translating it into a code of conduct.
- d) Ensure that mission, vision and values are in line with local, national, international and supranational strategies taking into account a Whole Child Development approach, digitalization, education sector reforms and common European agendas.
- e) Periodically review the mission, vision, values and strategies reflecting changes in the external environment (e.g. digitalisation, climate change, public sector reforms, demographic developments, impact of smart technologies and social media, data protection, political and economic changes, social divisions, customers' differentiated needs and views).
- f) Ensure good internal and external communication of the mission, vision, and values in the whole organisation and use new means of communication including social media.

[Award a score using the enablers panel]

Subcriterion 1.2

Manage the education organisation, 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 realization 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 give a greater focus and attention to acknowledging the full range of capacities that education can support (absorptive, adaptive, and transformative), as well as multiple levels of the education system at which resilience strengthening can operate (learners, schools, communities, and institutions), particularly, more specific guidance on how efforts to strengthen systems and support local institutions can mutually support the resilience of learners and schools. 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.

In this demanding context, the aim is to build the capacity of organisation leaders in steering change and in addressing new priorities on the institutional education, training, and higher education organisational transformation agenda.

Examples

- a) Define appropriate managerial structures, processes, functions, responsibilities, and competencies ensuring the organisation's agility 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.
- b) Develop the strategy by defining long- and short-term priorities and goals in line with the vision, national education policies, and European/international recommendations.
- c) Define 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).
- d) Define the Digital Government strategy.
- e) Adopt a standard for total quality management, such as the CAF, EFQM, SeQuALs, EQUIS, European Standard Guidelines, EQAVET, or other certification labels or a framework adopted by the national education inspectorate or accreditation agency.
- f) Promote a learning leadership sustained through collaborative work between middle management, teachers and relevant stakeholders. This kind of networks inside the institution brings together vision, collaborative learning and shared leadership.

[Award a score using the enablers panel]

Subcriterion 1.3

Inspire, motivate and support people in the organisation and act as a role model.

Through their personal behavior and their human resource management, leaders inspire, motivate, and support people. Acting as role models, leaders reflect the established objectives and values, inspiring, and 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 behavior, 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 motivating people. Equal opportunities for personal development and learning as well as recognition and rewarding systems are also motivating factors.

Examples

- a) Lead by example, thus personally acting in accordance with established objectives and values (e.g. integrity, sense-making, respectfulness, participation, innovation, empowerment, precision, accountability, agility).
- b) Promote a culture of mutual trust between leaders and employees with proactive measures to counter any kind of discrimination, encouraging equal opportunities, and addressing individual needs and personal circumstances of employees.
- c) Empower, delegate authority, and support employees providing them with timely feedbacks in order to improve their performance.
- d) Promote a learning culture, stimulate employees to develop their competences and to adjust to new requirements (by preparing for the unexpected and by learning quickly).
- e) Inspire through an innovation-driven leadership culture based on mutual trust and openness.

[Award a score using the enablers panel]

Subcriterion 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 encompasses one of the main differences between the public sector and private education sector institutions. 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 organisations 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

- a) Analyze and monitor the stakeholders' needs and expectations including relevant political authorities.
- b) Build and increase a good reputation, a positive image, and public recognition and awareness of the institution and the services it provides.
- c) Strengthen the linkages between schools/ higher education institutions and other critical public services (health, child protection, social protection, parental labor market support, housing, scholarship, host organisations for internships, research centres, local government, etc.).
- d) Maintain proactive relations with the political authorities from the appropriate executive and legislative areas and take part in the activities of professional associations, representative organisations and interest groups.-
- e) Develop and maintain partnerships and networking with families, learners, communities, and other institutions and 'first line' stakeholders.

[Award a score using the enablers panel]

Criterion 2: Strategy and Planning

Subcriterion 2.1: Identify the needs and expectations of the stakeholders, the external environment, and the relevant management information

Subcriterion 2.2: Develop strategy and plans based on gathered information

Subcriterion 2.3: Communicate, implement, and review strategy and plans

Subcriterion 2.4: Manage change and innovation to ensure the agility and resilience of the education organization



Define a policy that is well justified, and offers a logical and feasible solution to the policy problem will determine to a great extent whether it can be implemented and how. (e.g., if a new curriculum requires the use of high technology equipment which schools cannot afford, the policy may fail to be implemented unless some budget is available at the national or local level.)

Implementing the mission and vision of an education and training institution requires a clear strategy. Setting strategic objectives includes identifying the needs and expectations of the stakeholders, making choices, setting priorities based on the public policies and objectives, and the other stakeholders' needs, taking into account the available resources.

The strategy defines the outputs (products and services) and outcomes (impact) it wants to obtain and the way it wants to measure progress, whilst taking into account the relevant critical success factors.

The strategy needs to be translated into plans, programs, 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 modernization and innovation. Critically monitoring the implementation of the strategy and planning should lead to updating and adapting them whenever necessary.

It is important to develop strong monitoring and evaluation systems to better measure the impacts of education programs and activities through a resilience approach across multiple time horizons.

Assessment

Consider what the organisation is doing to achieve the following.

Subcriterion 2.1

Identify the needs and expectations of the stakeholders, the external environment, and the relevant management information.

The PDCA (Plan-Do-Check-Act) cycle plays an important role in developing and implementing the strategy and planning in an educational and training institutions. The definition of the strategy starts by gathering reliable information on the present and future needs of all relevant stakeholders, and on the internal performance and capabilities of the institution in the external environment, including national educational reforms and international recommendations.

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. This information is indispensable to support the strategic and operational planning process. It is also fundamental to steering planned improvements in institutional 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

- a) Identify all relevant stakeholders and analyses information about their current and future needs, expectations, and satisfaction.
- b) Observe and analyze the external environment regularly including (i) cultural diversity and socio-economic environment, legal, political, demographic change and digitalization, global factors like climate change, and information concerning the labor market (required skills and employment opportunities for graduates related to type of training) as inputs for strategies and plans.
- c) Analyze national educational reforms and European (e.g. from the European Council) and international recommendations (e.g. from OCSE surveys), to define and review effective strategies.
- d) Analyze the performance and capability of the education and training institution focusing on internal strengths and weaknesses (e.g. drop-out rate, percentage of students on track, acquired competencies, student-teacher ratio), opportunities and risks (digital resources, availability of proper areas and laboratories, gap between labor market needs and labor force qualifications, teachers/researchers and other staff, families support, school-environment relationships).
- e) Prevent insufficient school capacity both in terms of resources and staff trained to work with students at risk, language barriers and psychosocial issues.

[Award a score using the enablers panel]

Subcriterion 2.2

Develop strategy and plans based on gathered information.

Developing the strategy means defining strategic objectives for the education and training institution in line with national education policies and European/international recommendations the needs of the students and the other stakeholders and the vision of the management team, including the available management information, as well as information on developments in the external environment.

Strategic priorities and decisions taken by the management team should ensure clear objectives on outputs and outcomes and the means to achieve them. The social responsibility of public education, training and higher education organisations 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. 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 learners and other key stakeholders (criterion 6), people (criterion 7), social responsibility (criterion 8), and key performance (criterion 9).

Examples

- a) Involve stakeholders in developing strategy and planning, aligned with the strategic vision, balancing, and prioritizing their expectations and differentiated views and needs.
- b) Develop plans by defining priorities, objectives, indicators, outputs (the services provided) and outcomes in line with the mission and education policies and recommendations (international, European and national).
- c) Ensure the availability of resources for an effective implementation of the plan.
- d) Integrate aspects on sustainability, social responsibility, inclusion, diversity and gender mainstreaming in the strategies and plans of the institution.
- e) Define a policy with regard to the relation between education and employment, focusing on their impact on society.

[Award a score using the enablers panel]

Subcriterion 2.3

Communicate, implement and review strategy and plans.

The capacity of an education and training institution to deploy its strategy depends on the quality of the plans and programs detailing the targets and results expected from each institutional level, as well as from the employees. Relevant stakeholders and employees of the institution 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 and the management 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 customize them if needed. The strategy and planning have to be communicated to all the relevant stakeholders.

Examples

- a) Translate the strategies of the Institution into relevant action plans, tasks and targets for the institution and its individuals.
- b) Assess the needs and results to review and improve strategies and plans.
- c) Develop plans and programmes with targets and results for each institutional unit with indicators for the expected results.
- d) Communicate strategies, performance plans (educational, teaching, social and cultural plans, etc.) and intended/achieved results of the institution internally and to all relevant stakeholders.
- e) Monitor and evaluate the performance of the institution at regular intervals at all levels (departments, functions, organisational chart) to control efficiency, effectiveness, and the strategies' implementation levels.

[Award a score using the enablers panel]

Subcriterion 2.4

Manage change and innovation to ensure the agility and resilience of the education organisation.

An effective educational organisation needs to ensure agility and resilience to be able to innovate and change practices to deal with new expectations from learners and other stakeholders, to enhance the quality of the service and to reduce costs.

Innovation can occur in several ways:

- by implementing innovative methods and processes for providing students with core academic skills, together with 21st century competences;
- with new methods of managing school employees work programs;
- by introducing innovative services that have a higher added value for citizens and key stakeholders.

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

- a) identify significant internal and external needs and drivers for change and innovation considering the opportunities and pressure of digital transformation.
- b) Define a strategy to implement innovation (e.g. based on the principles of Innovative Learning Environments), and communicate strategy and results to all relevant stakeholders.
- c) Build an innovation-driven culture and enhancing resilience by promoting generation and exchange of ideas, "horizontal connectiveness" across areas of knowledge, active relationships with institutions (networks of schools, universities, research institutes), and other stakeholders.
- d) Manage change effectively, by implementing the PDCA cycle and inform and involve employees and stakeholders at an early stage.
- e) Implement systems for generation of creative ideas, as well as, support for innovative proposals from teachers and stakeholders, promoting exploration and testing (collaborative work, research groups, debates with students, parents, scientific community, etc.).
- f) Update the education and training curricula (methods and processes) by keeping up with professional, societal, scientific, academic, and other innovations.

[Award a score using the enablers panel]

Criterion 3: People

Subcriterion 3.1: Manage and improve human resources to support the strategy of the education organization

Subcriterion 3.2: Develop and manage competencies of people

Subcriterion 3.3: Involve and empower the people and support their well-being



People are the education and training institution's most important asset.

Effective human resource management and leadership of people allow the education organisation to accomplish its strategic objectives, and to take advantage of the strengths and ability of people. Successful human resource management promotes people's engagement, motivation, development, and retention fostering the best use of the competences and potential of its people at individual levels and ensuring organisational agility.

Improving leadership development, talent management and strategic workforce planning are critical since people are the education organisation's biggest investment. Respect and fairness, open dialogue, empowerment, political neutrality, reward and recognition, care and providing a safe and healthy environment are fundamental to build the commitment and participation of people to the organisational journey towards excellence.

It is important to realize that only satisfied people can bring the education organisations towards satisfied learners and other stakeholders.

Assessment

Consider what the organisation is doing to achieve the following.

Subcriterion 3.1

Manage and improve human resources to support the strategy of the education organisation.

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 education organisation's overall mission, vision and to the accomplishment of the education organisation's objectives.

This sub-criterion assesses whether the education organisations align its strategic objectives with its human resources planning and managing so that they are identified, developed, deployed and improved transparently, as well as being taken into account to achieve excellent results.

It questions how the education and training institution succeeds in attracting and retaining people capable of delivering services reflecting 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

- a) Analyze current and future human resource needs, in line with the strategy of the institution.
- b) Develop and implement a transparent human resources management policy based on the strategy and planning of the institution, taking into account:
 - national educational regulations and guidelines;
 - objective criteria with regard to recruitment, promotion, remuneration, rewards and the assignment of managerial functions taking into account clear people expectation;
 - definition of performance system shared with the people and linked with strategy;
 - human resources' capability (recruitment, allocation, development – within the applicable legal frameworks) to achieve the mission, as well as balancing tasks and responsibilities;
 - social considerations (e.g. flexible work time, paternity and maternity leave, sabbaticals, equal opportunities, gender and cultural diversity, employment of persons with disabilities).
- c) Support a performance culture by defining performance goals shared with the people, monitor the performance systematically and conduct performance dialogue with the people.
- d) Implement the principles of fairness, political neutrality, merit-based, equal opportunities, diversity, social responsibility, and work-life balance in the HR policy and review the necessity for promoting women's careers and develop plans accordingly.
- e) Ensure the necessary competences and capabilities to achieve the mission, vision and values of the education organisation are in place, especially focusing on social skills, agile mindset, disciplinary and transversal skills and digital and innovation skills.
- h) Promote horizontal connectedness through activities and subjects, between teachers and researchers, in and out of school, with other schools, groups and organisations with which they are connected.

[Award a score using the enablers panel]

Subcriterion 3.2

Develop and manage competencies of people.

The identification, development and management of people's competencies is crucial for the success of an education organisation.

Individual competence development plans and regular performance dialogues prepare the ground for supporting people to assume greater responsibility and to take more initiative to continually develop the Institution's competencies. When this is in line with its strategic goals, it fosters peoples' performance and supports a dynamic working culture also by promoting innovative training methods (e.g. e-learning, multimedia approach, design thinking approach, collaborative work, exchange with other educational institutions). 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.

Examples

- a) Implement a human resource development strategy/plan based on identified current and future competence, skills and performance requirements of people (e.g. teacher training plan).
- b) Attract and develop the talents and promote the internal and external mobility of the employees to support the achievement of the mission, vision and objectives.
- c) Promote the internal and external mobility of the people to support the achievement of the mission, vision and objectives.
- d) Establish individual competence development plans including personal skills (e.g. openness for innovation) as part of the regular performance interview (employees development interview), which provides a forum for mutual feedback and matching expectations.
- e) Guide and support newcomers by means of mentoring, coaching, and individual counselling.
- f) Develop and promote modern training methods (e.g. multimedia approach, on-the-job training, e-Learning, blended learning, action research, using social media, etc.) and innovative forms of learning to develop competences (e.g. planning design, team work, labs).
- g) Assess the impacts of training and development programmes on the organisational goals taking into account the level of autonomy, the skills, and resources of the educational and training institution.

[Award a score using the enablers panel]

Subcriterion 3.3

Involve and empower the people and support their well-being.

People involvement in creating an environment in which each one has an impact on decisions and actions that affect their jobs. Management and people 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 education organisation demonstrating that they care about employees' 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). Staff surveys and leader assessments are relevant in order to obtain more information about the climate at work and to use the results to make improvements.

Examples

- a) Promote a culture of open communication and dialogue and encourage team working.
- b) Involve people 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 and innovation activities.
- c) Develop systems to gather ideas and suggestions from employees.
- d) Regularly conduct staff surveys, publish and give feedback on results, their analysis and on the derived improvement actions.
- e) Ensure good environmental working conditions throughout the education institution including taking care of health and safety requirements.
- f) Ensure that conditions are conducive to achieving a reasonable work-life balance for the employees (e.g. the possibility to adapt working hours, part-time working, people on maternity or paternity leave).
- g) Pay particular attention to the needs of socially disadvantaged employees and people with disabilities implementing specific organisational measures (mobility, life-work balance, ...).
- h) Provide adapted schemes and methods for rewarding people in a non-financial way, (e.g. by public recognitions, planning and reviewing employees' benefits and supporting social, cultural and sport activities focused on employees' health and well-being).

[Award a score using the enablers panel]

Criterion 4: Partnerships and Resources

Subcriterion 4.1: Develop and manage partnerships with relevant organisations

Subcriterion 4.2: Develop and implement partnerships with learners

Subcriterion 4.3: Manage finances

Subcriterion 4.4: Manage information and knowledge

Subcriterion 4.5: Manage technology

Subcriterion 4.6: Manage facilities



Education organisations 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 organisations 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 organisations need to efficiently manage a wide array of resources – such as finances, technology, knowledge management and learning and studying facilities – to assure their effective functioning to achieve the organisation's strategic goals. Knowledge resources cover the knowledge and experience of the institution's people, its strategic partners, customers and citizens.

Private and civil society relations include a wide array of situations: purchasing-providing, supplying, co-producing, signing of formal partnerships, etc.. Partnerships between public partners often adopt the form of twinning's between European institutions, as well as mobility and exchange programmes at a regional, national and/or European level.

In addition, a closer co-operation between mid-level schools, and higher education institutions and universities is a desirable outcome from these partnership policies.

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

Assessment

Consider what the organisation is doing to achieve the following.

Subcriterion 4.1

Develop and manage partnerships with relevant organisations.

In our constantly changing society of growing complexity, education organisations are required to manage relations with other institutions in order to realize 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: outsourced services, close partnerships on common goals, suppliers of services and products, etc.

For the success of public policies in the sector of education, the collaboration between education organisations of the same institutional level (e.g. federal level), but also between education organisations of different institutional levels (central, regional and local) can be crucial.

Furthermore, it is increasingly clear that secondary, vocational training, and higher education organisations should establish closer ties with the labor market, since they are bound to prepare tomorrow's workforce according to the needs of employers.

Institutions should therefore define the role they play to assure the success of the whole network.

Examples

- a) Identify private, civil society and public key partners, and define the nature of their relationship with the institution.
- b) Develop multi-faceted partnerships contributing to educational processes (including 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.).
- c) Develop and manage appropriate partnership agreements or letters of intent, taking into account the nature of the cooperation and a win-win relation taking into account the values of the institution including PPP partnership.
- d) Define each partner's roles management tasks and responsibilities, including controls, evaluations and reviews; monitor results and impacts of the partnerships systematically.
- e) Encourage and organize partnerships to undertake specific tasks, e.g. increasing institutional capacity by using the possibilities of work placement 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 (e.g. primary and secondary schools).
- f) Secure the organisation's principles and values by selecting providers with a socially responsible profile in the context of public procurement.

[Award a score using the enablers panel]

Subcriterion 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 organisations. 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.

Assessing the extent to which higher education ombudsmen deliver their core functions (tests of competence which measure outcomes in terms of numbers of cases examined, students assisted, cases resolved and the quality of feedback to higher education institutions, assessment of user opinion).

Examples

- a) Ensure a proactive information policy (concerning the range of services offered, quality indicators, Learners Charters, 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.).
- b) Actively encourage learners or their legal representatives to participate in the school structures, to organize themselves, express their needs and requirements, and to support their association representatives.
- c) Encourage the involvement of learners or their legal representatives as co-designers and co-decision makers (e.g. via consultation groups, surveys, opinion polls, and quality circles), co-producers taking over roles in service delivery and co-evaluators (e.g. through systematic satisfaction measurements).
- d) Actively seek ideas, suggestions and complaints of citizens/customers, collecting them by appropriate means (e.g. surveys, consultation groups, questionnaires, complaints boxes, and opinion polls).

[Award a score using the enablers panel]

Subcriterion 4.3

Manage finances.

The ability of education organisations 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 and spend in a transparent way. Although education organisations 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.

Examples

- a) Ensure financial resilience through short and long-term budget planning, risk analysis of financial decisions and a balanced budget.
- b) Analyze the risks and opportunities of financial decisions, both in a short - and long-term perspective (e.g. new and existing education program and study program).
- c) Ensure budgetary and financial transparency and publish the budget information in an easily understood way.
- d) Use effective financial cost accounting and controlling, and evaluation systems (e.g. spending reviews).
- e) Introduce systems of budgetary planning and monitoring (e.g. multi-annual budgets, budget cycles, program of project budgets, energy budgets, budgets incorporating gender and men/women equality dimension) and social dimension (disadvantage groups).
- f) Delegate and decentralize financial responsibilities and balance them with the central controlling.
- g) Include performance data (efficiency and effectiveness) and benchmarks in budget documents, such as information on output (number of students or learners by teachers) and outcome objectives (unemployment rate of the graduates).

[Award a score using the enablers panel]

Subcriterion 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 for the education and organisational process managing and for the pedagogical and evaluation need. The institution should also ensure that it shares critical information and knowledge with key partners and other stakeholders according to their needs.

Examples

- a) Create a learning organisation providing systems and processes for managing, storing, and assessing information and knowledge to safeguard the resilience and flexibility of the organisation.
- b) Establish learning and collaboration networks to acquire relevant external information and also to gain creative inputs.
- c) Monitor the educational information and knowledge ensuring its relevance, correctness, reliability and security.
- d) Give all the teachers and learners in the organisation 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.
- e) Use digital transformation to improve the educational processes, increase knowledge of the organisation, and promote digital skills.
- f) Ensure a permanent transfer of knowledge between staff in the institution (e.g. mentorship, coaching, internal workshops, written manuals, pedagogic advises, digital skills).
- g) Ensure access to and exchange of reliable and relevant information and data with all stakeholders using social media 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.
- h) Ensure that key (explicit and implicit) knowledge of employees who are leaving is retained within the organisation.

[Award a score using the enablers panel]

Subcriterion 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 the educational organisations and develop new possibilities for education (e-learning). Key processes can be remarkably improved by introducing the appropriate technologies in an appropriate manner. In educational service provision, technology can render services more accessible for the students and the learners and considerably lessen their administrative burden for the teachers and the administrative of the school. Within the administration smart ICT solutions may allow for more efficient use of resources of the school.

Regarding to the learning process, technology may contribute to all the different components, relationships, partnerships and principles that make up the innovative learning environment. Although, the mere presence of technology is not by itself sufficient to innovate learning environments. Nor should innovation be assumed to be synonymous with going digital, as this may only be reproducing traditional methods and pedagogies with a different format.

Examples

- a) Design technology management in accordance with the strategic and operational objectives, and monitor its effect, cost-effectiveness and impact systematically.
- b) Identify and use new technologies (big data, automatization, robotics, AI, data analytics, etc.) relevant for the organisation, implementing open data and open source application whenever appropriate (e.g. data information systems that collect, compile and manage information to provide real-time access to learners data).
- c) Identification and use of new technologies relevant for the schools (e-learning, open source education software, ...), developing, implementing and evaluating 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.
- d) Use technology to promote innovation in the learning environment taking into consideration the learners (e.g. by connecting those who otherwise would be totally unconnected), the educators (for instance, the online tutor or the teacher from another school or system), the content by opening up otherwise inaccessible knowledge or by promoting new skills using the media that are commonplace for learners outside school, and the resources for learning.
- e) Take into account the social-economic and environmental impact of ICT, e.g. waste management of cartridges, integrate accessibility of non-electronic users.
- f) Take actions to provide effective data protection and cyber security implementing the General Data Protection Regulation and ensure a safe, ethical, effective and efficient use of the technology, with special attention on the skills of people, of the teachers, the administrator's, the students, the IT-staff.

[Award a score using the enablers panel]

Subcriterion 4.6

Manage facilities.

Education organisations 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 supports the working conditions of the staff and provide a quality experience for learners. The infrastructure impact on environment is also critical success factors for this sub-criterion, as well as for its social responsibility.

Examples

- a) Ensure a safe, effective and efficient use of premises (e.g. classes for students, relax zone, library, learning lab, open-plan or individual offices, mobile offices, laboratories, workshops, etc.), taking into account the strategic and operational objectives, the individual needs of learners, parents, personnel and other stakeholders.
- b) Guarantee accessibility of premises to meet the (specific) needs and expectations of persons with disabilities, personnel, learners and other users (e.g. toilet facilities, car parking or public transport amenities).
- c) Develop an integrated policy for manage physical assets, including their safe recycling/disposal, e.g. by direct management or subcontracting, as well as promoting energy efficiency in the school buildings, push for the use of renewal energy resources, set plans towards CO₂ zero-emissions, calculating the ecological footprint of teaching activities.
- d) Ensure that the facilities of the education organisation provide an added public value, (by putting them at disposal of the local community, for example).

[Award a score using the enablers panel]

Criterion 5: Processes

Subcriterion 5.1: Design and manage processes to increase value for students and other stakeholders

Subcriterion 5.2: Develop and deliver learner/stakeholder-oriented services and products

Subcriterion 5.3: Coordinate processes across the education organisations and with other institutions



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 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.

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/key 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 Criterion 5. A key to the identification, evaluation and improvement of key processes is how effectively they contribute to achieving the mission of the education organisation. The main result for an education organisation is a student who has developed in the various human domains, acquiring knowledge, developing competences and skills – possibly certified ones – who is able to find employment and integrate into society, continue through lifelong learning and self-development and is an engaged and responsible citizen.

In order to fulfil this mission (strategic plan), education institutions need to implement a number of **key processes**, including:

- The education and training process (structures, programmes, methods, contents, on-the-job training and apprenticeships, assessments, individual projects, etc.) leading to knowledge acquisition and personal and social skills and competencies development;
- The research and development and applied research processes (extension of study work, use of the institution's quality assessments, basic research, etc.).

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, assessment, etc.) and the career guidance and support process;
- The administrative management process (registration, enrolment, file and records management, organisation of courses, etc.);
- The budgeting and digital process.

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 - the monitoring of the processes and all the activities, the continuous improvement of the institution.

The core process of an educational and training institution is the learning process (and research in higher education) that's why in these criteria there are specific examples about it. The examples reinforce that is important to evaluate how the learning process is structured, managed, improved and if the institution is innovating the pedagogical core of the learning environment, a key factor to promote better results. Ensuring that learners' feedback is gathered on their individual learning experience and on the learning and teaching environment. Together with teachers' feedback this is used to inform further actions.

The core elements of the learning process are: learners (who?), educators (with whom?), content (what?) and resources (with what?) and also the dynamics which connect them (pedagogy and formative evaluation, use of time and the organisation of educators and learners).

Assessment

Consider what the organisation is doing to achieve the following.

Subcriterion 5.1

Design and manage processes to increase value for students and other stakeholders.

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 process design, management and innovation is very relevant for the quality of the processes and needs to be analyzed carefully.

In fact, involving learners and other stakeholders in the different stages of process management and taking into account their expectations contribute to the overall quality and reliability of its processes. Their key processes are designed so that all relevant people know what to do and why and how this action is linked to the organisation's strategic plan. This is also the only way that the organisation is able to monitor and assess the work being done so that processes may be reviewed. In 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

- a) Identify, map, and document key processes of the institution on an ongoing basis.
- b) Match the processes on a regular basis to the needs and expectations of employees and relevant stakeholders assigning them the responsibilities.
- c) Systematically analyze, measure and evaluate processes, risk, critical success factors and outcomes taking in to account institution objectives and its changing environment.
- d) Design and implement a system for managing processes exploiting the opportunities from digitalization, data-drivenness and open standards.
- e) Ensure that the processes support the strategic goals, are planned and managed to achieve the targets established.
- f) Allocate resources to processes based on the relative importance of their relevance to the strategic goals of the institution.
- g) Simplify the institution's processes on a regular basis, proposing changes in the legal requirements if necessary.
- h) Set learner-oriented performance goals and implement performance indicators to monitor the effectiveness of the processes.
- i) Monitor and evaluate the impact of ICT and eServices on the institution's processes (e.g. in terms of efficiency, quality, effectiveness).
- j) Review and improve the processes to ensure the protection of personal data (General Data Protection Regulation, GDPR).
- k) Innovate processes based on regular local, national and international benchmarking, paying careful attention to the obstacles to innovation and the necessary resources.

[Award a score using the enablers panel]

Subcriterion 5.2

Develop and deliver learner/stakeholder-oriented services and products.

Sub-criterion 5.2 assesses how education organisations 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. 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. The role of the learners or their legal representatives could operate at three levels:

1. 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);
2. Collaboration (co-production) with the learners or their legal representatives concerning the implementation of services and products (sponsorship, tutoring, mentoring, etc.);
3. Empowerment (co-decision) of the learners or their legal representatives in order to realize 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 (including the learning process) 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

- a) Identify and design the products and services of the organisation, actively manage the full life cycle including recycling and re-use.
- b) Involve learners or their legal representatives and other stakeholders in the design, implementation, improvement and definition of quality standards of learning and other services/products.
- c) Involve learners or their legal representatives and other relevant stakeholders in the design and development of new kinds of resources for learning including in virtual learning environments.
- d) Ensure 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.
- e) Use stakeholder's surveys, complaint management procedures and other forms of feedback to identify potentials for optimizing processes, products, and services.
- f) Adopt the ICT framework and resources needed to deliver intelligent and effective services online, so as to improve service delivery to the learners.

[Award a score using the enablers panel]

Subcriterion 5.3

Coordinate processes across the education organisation 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 for example co-certification with other schools. The effectiveness of education organisations 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

- a) Define the service delivery chain to which the institution belongs with its partners.
- b) Coordinate and link processes to key partners in the private, NGO and public sector for example for trainees, Erasmus, etc. through a common system in the service delivery chain to facilitate data exchange.
- c) Support the collaboration across institutions/ service providers to tackle problems in order to help the learners succeed.
- d) 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).
- e) 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.

[Award a score using the enablers panel]

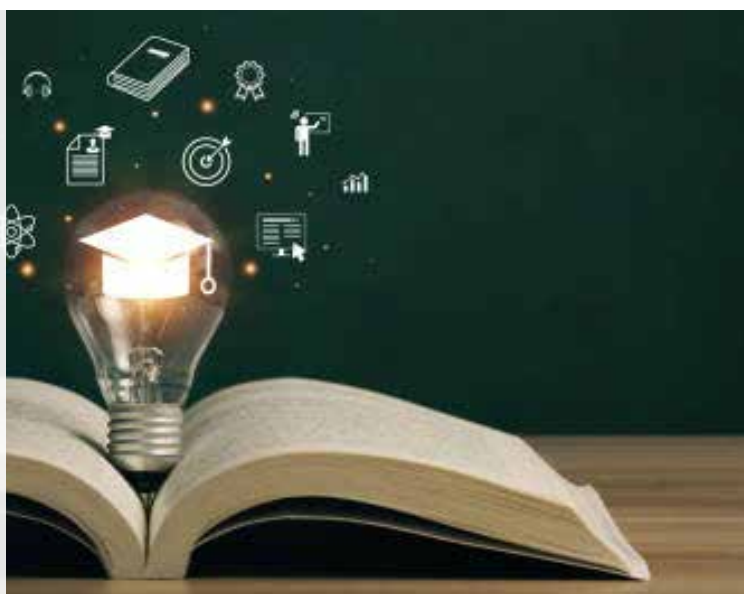
Results Criteria

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, learners and other stakeholder groups 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 chapter: “CAF Scoring and Assessment Panels”).

Criterion 6: Learner-oriented and other Key Stakeholder-oriented Results

Subcriterion 6.1: Perception measurements

Subcriterion 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 and the society with the institution and the products/services it is providing.

Key implications

Education organisations 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 organisations, the concept of “citizen/customer” embraces learners as well as the other stakeholders (parents, employers, different cycles, higher levels).

The CAF distinguishes between perception and performance results. It is important for all kinds of public sector organisations to directly measure the satisfaction of their citizens/customers (perception results). Furthermore, performance results have to be measured. Here, additional information about the learners, families and other stakeholders’ satisfaction is collected by measuring performance indicators.

Assessment

Consider what the organisation has achieved to meet the needs and expectations of learners and other key stakeholders through the results of the following.

Subcriterion 6.1

Perception measurements.

Learners' and other stakeholders' satisfaction measurements are normally based on areas that have been identified as important by learner / stakeholder groups and are based on what falls under the responsibility of the institution.

This subcriterion assesses whether the organisation performs these measurements and shows the results of these measurements in several areas such as the image of the organisation, accessibility, performance of the staff, participation of citizens/customers, transparency of the information, quality and specifications of products and services, and the innovation, agility and digitalisation skills of the organisation.

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

Examples

General perception of the education organisation:

- a) Overall image and reputation of the organisation.
- b) The accessibility of the organisation (e.g. accessibility with public transport, ease of access to various departments, opening and waiting times for administrative services, accessibility and amenities for persons with disabilities, access to information).
- c) Staff is oriented to support the learners.
- d) Involvement and participation of learners and other stakeholders in the learning processes, working and decision-making of the organisation.
- e) Availability of information: quantity, quality, reliability, transparency, openness, readability, appropriateness for the target group, etc.
- f) Promotion of wellbeing (how ethical and caring is the institution, with a special focus on safeguarding, avoidance of bullying, protection of minorities and diversity).

Perception of the services and products:

- g) Quality of products and services (included supporting devices like library, facilities, ICT equipment etc.);
- h) Differentiation of services taking into account learner's needs (gender, age, capacities, etc.);
- i) Digitalisation in the organisation;
- j) Integrity of the organisation and general trust of customers/citizens;

Perception of scholar/academic results:

- k) Quality of learning and levels of qualifications;
- l) Quality of teaching/training/research processes;
- m) Quality of preparation for future employment;
- n) Quality of support for students with special needs and for socially disadvantaged learners.

[Award a score using the results panel]

Subcriterion 6.2

Performance measurements.

Besides the direct measurement of learners' perception, the quality of services delivered to those can be measured by performance management indicators. Here, measurable results of management indicators (e.g. processing time, waiting time, number of complaints) are used.

Lessons can be learned based on these measurements about the quality of products and service delivery, the transparency and accessibility, and stakeholder involvement and innovation. The CAF gives an overview of examples for internal indicators which measure the performance in order to fulfil the needs and expectations of learners.

Examples

Results regarding the involvement of stakeholders

- a) Extent of involvement of learners and other stakeholders in the design and content of training courses and/or design of decision-making processes;
- b) Number of suggestions received and adopted/ number of complaints received and dealt with, including number of improvement measures taken due to a prior complain;
- c) Frequency of use of new and innovative ways in dealing with learners and other stakeholders.
- d) Level of compliance with published standards and public service charter;
- e) Number of meetings, focus groups, surveys with stakeholders to monitor their changing needs and the degree to which they are satisfied;

Results of organisation's accessibility

- f) Opening and waiting times;
- g) Cost of services;
- h) Quantity and quality of accessible information, in different languages, open to different profile types;
- i) Quality of website;
- j) Accessibility and amenities;

Results regarding transparency of the delivery of services and products

- k) Number and efficiency of information channels;
- l) Availability and accuracy of the information;
- m) Availability of performance goals and results of the institution.

Results regarding quality of other services:

- n) Compliance with published Service Level Agreement.
- o) Compliance with the defined administrative processes.

[Award a score using the results panel]

Criterion 7: People Results

Subcriterion 7.1: Perception measurements

Subcriterion 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 what the organisation has achieved to meet the needs and expectations of its people, through the results of the following.

Subcriterion 7.1

Perception measurements.

This sub-criterion assesses whether the 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 organisation. It is important for all education organisations to systematically measure the perception by the people of the institution and the products and services the institution provides.

Examples

General Perception of the Institution:

- a) The image and the overall performance of the institution (for society, learners, and other stakeholders);
- b) People's involvement in the institution, the decision-making process, and improvement activities;
- c) People awareness and sharing of institution's mission, vision, and values, tending to motivate, shape behaviour, cultivate high level of commitment and ultimately impact positively on their performance;
- d) Staff involvement in the institution's extra-curricular activities;
- e) People's awareness of possible conflicts of interest and importance of ethical behaviour (regard for intellectual property);
- f) Mechanisms of consultation and dialogue;
- g) The institution's social responsibility;
- h) The organisation's openness for change and innovation:
 - PDCA approach to improvement
 - innovative management of learning environment (scheduling, spaces, educational and assessment methods, etc.)
 - collegial work, connection with territory and research centres, etc.
- i) The impact of digitalisation on the organisation;
- j) Agility of the organisation (lean internal procedures, paperless documentation, increase of on-line services, smart working and digital communication development, teachers' blended training, ...);

Perception of the management and management systems:

- k) The leadership's ability to lead the institution (e.g. setting goals, allocating resources, evaluating the global performance of the institution, HRM strategy, promote an innovative learning environments, etc.) and to communicate about it;

l) The leadership approach to change and innovation, promoting an innovative learning environment;

m) The design and management of the different processes of the organisation;

n) The division of tasks and the evaluation system regarding people. The extent and the quality to which individual and team efforts are recognised;

o) The management of knowledge;

p) The internal communication and information measures;

Perception of the working conditions:

q) 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.);

r) The approach to social issues (e.g. work-time flexibility, work/life balance, health protection, working place comfort);

s) The handling of equal opportunities and fairness of treatment and behaviour in the organisation;

t) The working facilities (spaces and tools for individual and group work, spaces for working breaks, comforts like lighting and silence, etc.);

Perception of the career and skills development:

u) Systematic career and competency development;

v) The access to and quality of training and professional development in relation to the strategic objectives of the organisation.

[Award a score using the results panel]

Subcriterion 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 behaviour, their 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

General people results:

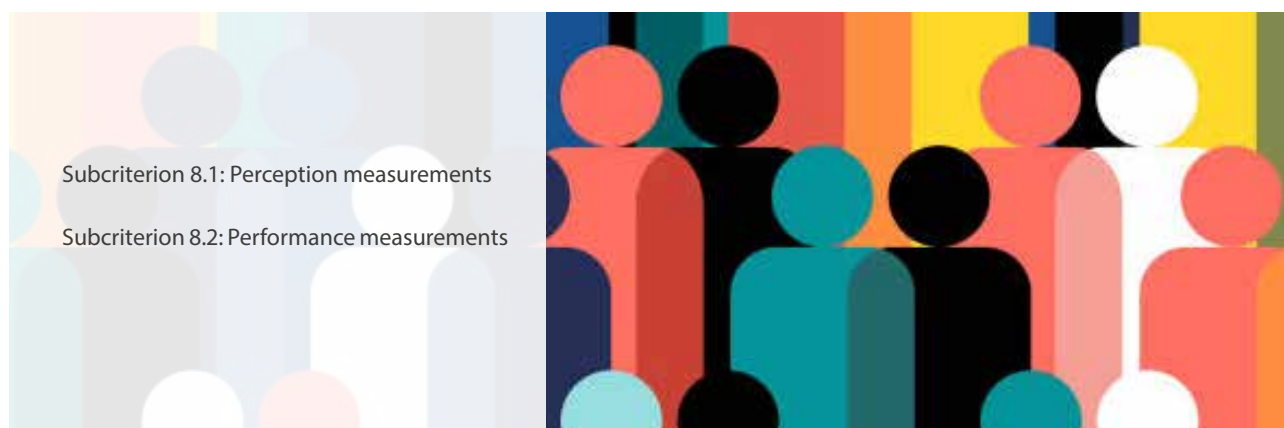
- a) Indicators regarding people's retention, engagement, loyalty and motivation (e.g. levels of absenteeism or sickness, rates of turnover, number of complaints and time to deal with the complaints, number of days on strike, etc.);
- b) Indicators regarding motivation and involvement (e.g. response rates to staff surveys, number of proposals for innovation, involvement in improvement activities, participation in internal discussion groups);
- c) Indicators regarding ethical dilemmas (e.g. number of possible conflicts of interest reported);
- d) The frequency of voluntary participation in the context of activities related to social responsibility;
- e) Level of use of information and communication technologies;
- f) Indicators regarding employees' ability to deal with learners and other stakeholders and to respond to their needs (e.g. number of meetings and polls or surveys, number of complaints of learners concerning the behaviour of employees, measurement of employees' attitude towards learners, etc.);

Results regarding individual performance and capacities:

- g) Indicators regarding individual performance (e.g. results of the evaluation of people, assessment of training activities, etc.);
- h) Indicators regarding skills development and training (e.g. training activities participation and success rates, output and impact of training on motivation and trainees' results);
- i) Frequency of symbolic and concrete recognitions to individuals and teams.

[Award a score using the results panel]

Criterion 8: Social Responsibility Results



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.

UN SDG must be the guidelines to address the responsible conduct of education sector.

The main feature of social responsibility translates the commitment of the institution (to think and act), 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, regional, national or international) and its impact on the environment have become a critical component of the measurement of its overall performance. The institutions 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, as well as to attract new students;
3. improve its relations with companies, other public organisations, the media, suppliers, learners or their legal representatives and the community in which it exists;
4. positively influence young people in the frame of social responsibility and their engagement with society;

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

- ethical, democratic, participative and transparent behaviour of the institution;
- environmental sustainability;
- quality of life;
- economic impact as effects of organisational behaviours;
- integrity and openness to diversity.

Assessment

Consider what the organisation is achieving regarding its social responsibility, through the results of the following.

Subcriterion 8.1

Perception measurements.

This criterion focuses on the community's perception of the institution's results on a local, regional, national or international level. This perception can be obtained through different sources, including surveys, reports, social networks, feedback from rating agency on results of social responsibility, 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 and openness, 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

- a) Impact of the institution on the economic development of society and on the quality of life of students/community beyond the school mission (e.g. health education, support of sports and cultural events, participation in humanitarian aid actions, products and services for vulnerable social categories, environmental campaigns, circular economy education and reduction consumptions education).
- b) Perception of impact of education on students' views and actions on social responsibility.
- c) Social impact of the institution on the quality of citizens' participation (e.g. organisation of open conferences, visits to former concentrations camps, etc...).
- d) Impact of the institution on the quality of democracy (e.g. transparency, ethical behaviour, the rule of law, openness and integrity, promotion of financial literacy and tax education).
- e) Agility and adaptability of the institution to social/technological/economical/political/environmental changes (e.g. changes in technological tools and digitalisation, increasing number of migrants, geopolitical changes, etc.).

[Award a score using the results panel]

Subcriterion 8.2

Performance measurements.

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

Examples

- a) Organisation's activities to preserve and sustain the resources (e.g. number of providers with socially responsible profile, level of compliance with environmental standards, volume of recycled materials, percentage of reduction of transport pollution, nuisance noise percentage of reduction, quantity of renewable energy used, number of activities aligned with SDGs, etc.).
- b) Number and quality of relations with local and regional authorities, community groups and representatives.
- c) Amount and importance of positive and negative media coverage.
- d) Dedicated support to socially disadvantaged people and learners (estimated cost price of this help, number of beneficiaries, percentage of disadvantaged people and learners, percentage of learners with special needs, adjustment of the settings (building) to the need of disadvantaged people, etc.).
- e) Number/types of actions/campaigns to promote a policy of diversity and of integration and acceptance of ethnic minorities.
- f) Number and relevance of the support for national and 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.).
- g) Shared knowledge, information and data with all interested stakeholders.
- h) Programmes to prevent students and other stakeholders 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, number of initiatives secure mobility around the school etc.).
- i) First aid training programs. Training and awareness-raising in the area of disaster prevention (floods, earthquakes, fire, etc.).
- j) Availability of information, developing measures to address the problems of disinformation and misinformation (fake news).

[Award a score using the results panel]

Criterion 9: Key Performance Results



Key performance results relate to whatever the organisation has determined as essential, measurable achievements for the success of the organisation in the short and long term.

They represent the capacity of policies and processes to reach goals and objectives as defined in the organisation'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;

Education, training and higher education organisations deliver services according to local, central and regional government policy, and are accountable for their performance against statutory requirements.

Assessment

Consider the results being achieved by the organisation, in relation to the following.

Subcriterion 9.1

External result outputs and public value.

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 organisations 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

- a) The level of quality of service or product delivery in relation to standards and regulations (e.g., European Qualifications Framework, comparing to goals: student grades, dropout rates, published academic papers, profile of a graduate, mobility programmes, etc.).
- b) Results in terms of output (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 published academic papers, number of research projects etc.).
- c) Results of the innovation of services/products on the improvement of the outcome.
- d) Results of reducing barriers to skills development and technical and vocational education and training (TVET), starting from the secondary level, as well as to tertiary education, including university.
- e) Number of learners reaching higher education levels, continuing their lifelong learning process and continuing to master degree/ PhD;
- f) Results in terms of outcome (e.g. number of graduates that continue on higher education institutions, employment rates of graduates, the quality of published academic papers, the quality of employees, ...).
- g) Results of inspections and audits on outputs and outcomes (accreditation, rankings of educational institutions on national level and on European level, e.g. University rankings of OECD).
- h) Results of benchmarking (comparative analysis) in terms of outputs (positioning of the institution compared with others) and outcomes (impact degree of integration of good practices on the external results).

[Award a score using the results panel]

Subcriterion 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, the results of the internal inspections and audits, the results of teachers being unfamiliar with remote-learning solutions; difficult adjusting subjects or learning activities to remote learning formats.

Examples

- a) Efficiency of the institution in managing the available resources, including the HRM, knowledge management and facilities in an optimal way (input versus output).
- b) 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).
- c) Cost-effectiveness (achieving outcomes at the lowest possible costs) and conformity with budget.
- d) Results of improvements and innovations of internal processes.
- e) Results of participation in competitions, quality awards and quality management system certification (excellence awards, ISO, SeQuALs, EQUIS, etc.).
- f) 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).
- g) Results of internal audits and risk management assessment.

[Award a score using the results panel]

CAF Scoring and Assessment Panels

Why score?

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

1. to provide information and give an indication on the direction and priorities to follow for improvement activities;
2. to measure your own progress, if you carry out CAF assessments regularly (for example 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 is usually an indication of Good Practices in the Enablers field;
4. to help to find valid partners to learn from (Benchlearning: what we learn from each other).

The main aim of benchlearning is to compare the different ways of managing the enablers and achieving results.

With regard to benchlearning however, it should be noted that comparing CAF scores carries a risk, particularly if it is done without validating the scores in a homogeneous way in different public organisations.

How to score?

CAF provides two ways of scoring: Classical Scoring and the Fine-tuned scoring.

As regards the Enablers, the PDCA cycle is the fundament of both. The 'classical' CAF scoring gives a global appreciation of each sub-criterion by indicating the PCDA phase in which the sub-criterion finds itself.

The 'fine-tuned' CAF scoring reflects in more detail on the analysis of the sub-criteria. It allows you to score – for each sub-criterion – all phases of the PDCA (PLAN, DO, CHECK, ACT) cycle simultaneously and independently.

1. CAF classical scoring

This cumulative way of scoring helps the organisation to become more conscious of the PDCA cycle and directs it more positively towards a quality approach:

In the enablers assessment panel, the organisation is in a continuous improvement cycle when the PDCA cycle is completely in place, on the basis of learning from its reviews and from external comparison.

In the results assessment panel, the trend of the results and the achievement of the targets are taken in consideration simultaneously. The organisation is in a continuous improvement cycle when excellent and sustainable results are achieved, all relevant targets are met and positive comparison with relevant organisations for the key results are made.

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 a clear planning phase (PLAN). This way of scoring gives more information on the areas where improvement is mostly needed.

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.

In the results panel a distinction is made between the trend of the results and the achievement of the targets. This distinction clearly shows if you have to accelerate the trend or focus on the targets achievement.

Assessment panels

Enablers panel - 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

- Find evidence of strengths and weaknesses and 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, on a scale divided in 6 levels, according to the level that you have reached: PLAN, DO, CHECK or ACT. 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 on a scale divided in 6 levels. Each level takes into account both the trend and the achievement of the target.





Enablers panel – 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							

Instructions

- Read the definition of each phase (PLAN, DO, CHECK and ACT).
- Find evidence of strengths and weaknesses and assign a score for each phase.
- Calculate a global score by considering the average of the scores of each phase.

RESULTS PANEL – FINE-TUNED SCORING

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.
- Calculate a global score by considering the average of the scores of trends and targets.

Example of Fine-Tuned Scoring applied to Enablers

In the following example of fine-tuned scoring application to Enablers, we show some points resulting from a self-assessment (or external assessment) of an education institution. For each point, an indication is given of: the pertinent phase of the PDCA cycle, the indication if it is a strength (+) or a weakness (-), the connection with points indicated in the Enabler panel (in red).

3.3: Involve and empower the people and support their well-being

Evidences from the self- assessment

The Education Institution maintains a constant attention to the internal communication among the Leaders and people: top down, bottom up and horizontal. An open environment and use of different modes and tools foster a wide exchange of practices and opinions: School Boards, departmental meetings, meetings with the entire staff, intranet, mails, social media etc. PLAN +, DO + (point 1 in the following Enabler Panel)

For teaching process, the team work and one-to one dialogue are other ways to improve the internal dialogue and the exchange of expertise: team work is a standard approach. Teams and individuals' teachers are involved in the development of the Education policies and the school vision into curricular plans and in the definition of related objectives/targets. PLAN +, DO + (2)

However, for the moment team work and improvement groups were limited in last two years by the COVID Pandemic. DO - (3)

So far there is no approach to verify the effectiveness of the communication and the perception of staff about their involvement, as the staff surveys are limited for the moment to the relationships with learners and families. CHECK - (4)

Moreover, at present no formal approaches are planned to collect ideas and suggestions from teachers. PLAN - (5)

The organisation carries out biennial staff surveys through a dedicated questionnaire defined six years ago and now not completely adequate, as it only covers the relationships (with learners and families and internal). PLAN +, DO +, CHECK -, ACT - (6)

There is a strong attention by the management to the well-being of people, both teaching and auxiliary/administrative staff, with particular attention to persons with disabilities. That means in particular good working conditions and care of the work-life balance. The initiatives were defined after a bench-learning with some similar Education Institutions of the region and after specific a staff consultation. Last year, answering the indications of people, a new project was put in place to improve motivation and to support a new mindset with lectures and one-to-one meetings with a sociologist and a psychologist. PLAN +, DO +, CHECK +, ACT + (7)

To support the attention to health, a new agreement is in definition with the public medical facilities of the Municipality for a free annual sanity check-up for the staff. ACT + (8)

No other non-financial rewards are in place, but there is some solicitation for extra-benefits for the participation to extra-curricular activities and working groups. PLAN -, DO - (9)

Leaders encourage and support the participation of staff to social initiatives, like seminars, local environmental and social projects, cultural events, also as way to spread of education and culture outside the school PLAN +, DO +, CHECK - (10)

The above findings have been considered in the Enabler Panel below here, to help elaborate the scoring of subcriterion. The blank boxes of the panel are used as a memo pad, to pass from the evidence collected during the sub-criterion assessment to the sub-criterion scoring for PLAN, DO, CHECK and ACT phases.

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.	(9) (5)			(1)(6) (2)(7)(10)			
	Score				55			
DO	Execution is managed through defined processes and responsibilities and diffused throughout the relevant parts of the organisation on a regular basis.	(9)		(3)	(1)(6) (2)(7)(10)			
	Score			50	Area of improvement			
CHECK	Defined processes are monitored with relevant indicators and reviewed throughout the relevant parts of the organisation on a regular basis.		(1) (4) (6) (10)		(7)			
	Score		25					
ACT	Correction and improvement actions are taken following the check results throughout the relevant parts of the organisation on a regular basis.	(6)				(7) (8)		
	Score			40				

Remarks about the assigned score:

PLAN: positive situation for internal communication and team work, staff surveys, well-being and work-life balance. Nothing planned to collect ideas and to support of social-cultural initiatives. So the assessment can be placed in the "Some good evidence related to relevant areas", on the right of the column: 55 points

DO: positive situation for internal communication, partially for staff surveys, well-being and work-life balance. For team work, the implementation is not overall, because it covers education processes only. Nothing in place for socio-cultural initiatives. So the assessment can be placed in the “Some good evidence related to relevant areas”, but on the right of the column: 50 points

CHECK: in general, there is a weak evidence of CHECK for all points. In particular, the organisation understands that the staff survey approach needs to be updated, but nothing is in place for that. There were some relevant projects in the area of well-being and work-life balance, also if without an explicit connection with the check phase. So the assessment can be placed in the “Some weak evidence related to some areas”: 25 points

ACT: there is evidence of some relevant improvements for well-being, work-life balance and health of people. So the assessment can be placed in the “Some good evidence, related to relevant areas”: 40 points

Example of Fine-Tuned scoring applied to Results

In the following example of fine-tuned scoring for Results, we show some points resulting from a self-assessment (or external assessment) of an education institution. For each point, an indication is given of: the pertinent element of the Results panel, the indication if it is a strength (+) or a weakness (-) area, the connection with points indicated in the Results panel (in red).

7.2 Performance measurements

Synthesis from self- assessment

The organisation measures a large set of indicators for People performance, summarized on the dashboard in the Quarterly and Annual Report. We can summarize as follows the 2020 results, following the scheme of CAF Model; for more details, refer to the “2020 Global Report” of the school.



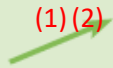

General results.

Indicators: absenteeism, sickness, involvement in improvement activities, complaints from people and from learners/families (number and response time) and voluntary participation to social activities. For more than 60% of them we can see a positive trend in last 3 years. The participation to social activities in particular shows a limited decrease in 2020, related to the pandemic. No targets are defined for indicators. TREND +, TARGET - (1)

Individual performance and skill development

Indicators: hours of participation to training initiatives by people, individual performance, participation to internal meetings and research groups, overall competence gap. For all indicators, specific targets are defined. Overall, 70% of indicators show positive trends in the last three years, while there is a limited decrease of the competence coverage in the last year, related to the high number of new digital and relational competences required as a consequence of the pandemic. Less than 50% of targets has been reached; training indicators and in particular competence gap did not reach targets. TREND +, TARGET - (2)

The above findings have been considered in the Results panel below here, to help elaborate the scoring of the subcriterion. The blank boxes of the panel are used as a memo pad, to pass from the data collected during the sub-criterion assessment to the scoring for Trends and Targets.

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				60		
TARGETS	No or anecdotal information (1)	Results do not meet targets	Few targets are met (2)	Some relevant targets are met	Most of the relevant targets are met	All the targets are met
SCORE		25				

Remarks about the assigned score:

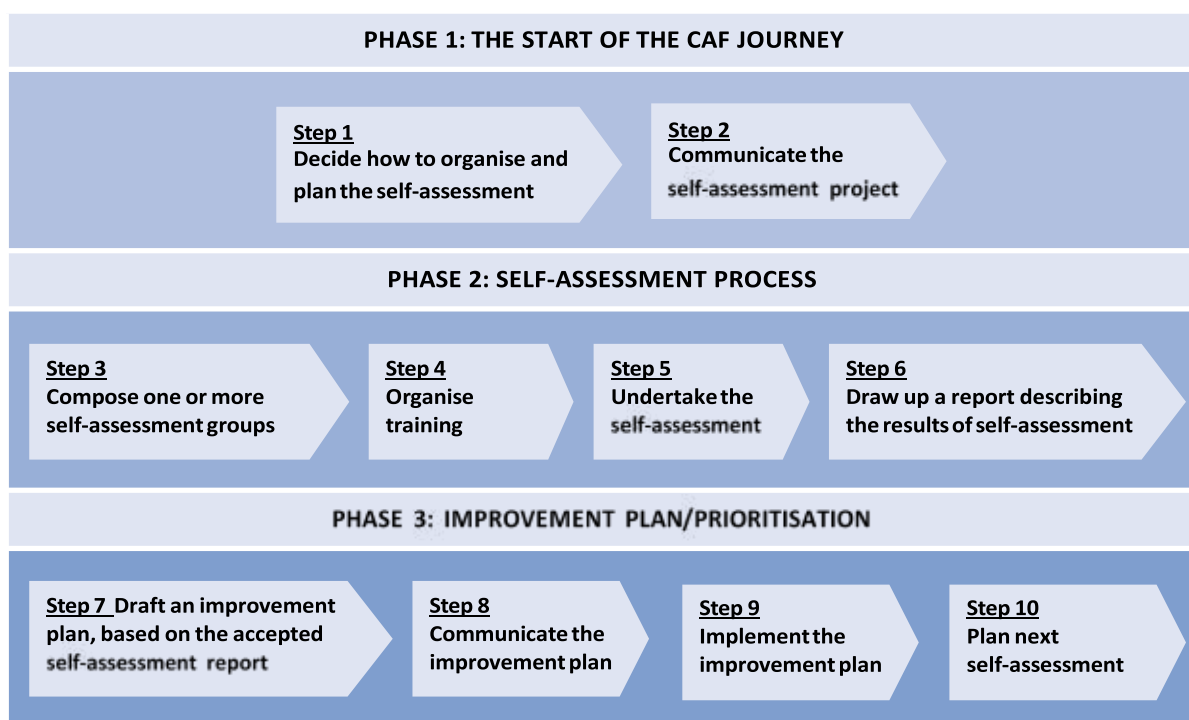
TRENDS: a large part of the results shows sustained progress. Only 2 indicators show negative trend (in particular competence coverage). Both the assessments of General Results and Individual Performance can be placed in the column "Sustained progress" with an overall of 60 points.

TARGETS: there are no targets for General Results (column "No or anecdotal information"), and Individual Performance could reach only less than 50% of targets (column "Few targets are met") with an overall 25 points.

Guidelines for improving an organisation using the CAF

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 ten-step process of continuous improvement with the 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 the 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 the process of applying the CAF and launching improvement actions, CAF users can apply for the label 'Effective CAF user'. The process of applying the CAF plays an important role in this feedback procedure. Common guidelines for the CAF External Feedback Procedure can be found at the EIPA CAF Recourse Centre.

Phase 1: The start of the CAF journey

Step 1

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 benefit 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 people in the organisation take responsibility for securing these basic principles. A good idea is to contact the organisation responsible for dissemination of the 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 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 from the general benefit of carrying out self-assessment, experience shows that many people find the CAF to be an excellent opportunity to gain more insight into their organisation, and they want to be actively involved in its development.

Feedback CAF users – reasons for using the 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. Organisations want to use the CAF in the first instance for themselves, and to improve their organisations – which is exactly the purpose of as self-assessment tool.

For some organisations it may also be relevant to seek the acceptance or approval of external stakeholders before deciding to carry out a 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 a 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 the 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 subcriteria 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 that the management decision includes the choice of 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 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 their own organisation and 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.

For some organisations, the language and the examples used in the CAF model are unfamiliar and too far away from their daily practice 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.

Step 2

Communicate the self-assessment project

A very important planning activity once the project approach has been defined is the outlining 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 CAF user surveys is that the users find they have generally not sufficiently prioritised the communication efforts regarding employees during the process. The lessons learned show that one of the major potential benefits of the CAF is to increase the level of awareness and communication across the organisation. But this can only be achieved if management and 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 understand 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:

- how self-assessment can make a difference;
- why it has been given priority;
- how it is connected to the strategic planning of the organisation;
- how it is connected (for example as the first step) to a general effort for improvement in the organisation's performance, for instance through the implementation of an innovative operational reform programme.

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

Phase 2: Self-assessment process

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 that 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 and 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.

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 the 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 behaviours may be unfamiliar to most members.

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 to the group. One subcriterion from the enablers criteria and one from the results criteria could be assessed together. 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 save time later – during the consensus phase – is to get a common picture of the key stakeholders of the organisation, those who 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.

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 subcriterion, of the organisation. This is based on their own knowledge and experience of working in the organisation. They write down keywords of evidence about strengths and

areas for improvement. It is recommended that these areas for improvement are formulated as precisely as possible in order to make it easier to identify proposals for action at a later stage. They should then create an overview of their findings and score each subcriterion, 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. They can also coordinate the findings of the members in preparation for the consensus meeting.

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 “CAF Scoring and Assessment Panels”. It is suggested that the classical scoring system is used if an organisation is not familiar with self-assessment and/or inexperienced in total quality management techniques.

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

- presenting all evidence concerning the identified strengths and areas for

improvement per subcriterion – identified by each individual;

- reaching consensus on strengths and areas for improvement – this is usually reached after the consideration of any additional evidence or information;
- presenting the range of individual scores under each subcriterion;
- reaching consensus regarding the final scoring.

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

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.

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 than the 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 role of the examples is to explain the content of the subcriteria in more detail in order to

- explore how the administration meets the requirements expressed in the subcriterion;
- provide assistance in identifying evidence;
- indicate good practices in that particular area.

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, while 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 meetings.

The large majority of organisations complete 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 timeframe 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 the CAF is a dynamic, continuous improvement process, and updating data and information is therefore part of that process.

Step 6

Draw up a report describing the results of self-assessment

A typical self-assessment report should follow the structure of the CAF (as shown in Scheme A) and consist of at least the following elements:

- the strengths and areas for improvement for each subcriterion supported by relevant evidence;
- a score that is justified on the basis of the used scoring panel according to the collected evidence;
- 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

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.

Step 7

Draft an improvement plan

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 produce an integrated plan for the organisation to upgrade its functioning as a whole. Specifically, the core logic of the report is as follows:

- It is an integrated systematic action planning for the whole span of the organisation's functionality and operability.
- 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 point of view of the people from the organisation.
- 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 (e.g. members of the self-assessment group),

- collects ideas for improvement from the self-

assessment report and collates these ideas for improvement under common themes;

- analyses the areas for improvement and suggested ideas then formulates improvement actions taking into account the strategic objectives of the organisation;
- 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 achievement);
- assigns ownership to each action as well as a time schedule and milestones, and identifies the necessary resources.

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 the level of scoring per criterion or subcriterion, which gives an idea of the organisation's performance in all fields, and the key strategic objectives.

Recommendations

While a CAF self-assessment is recognised as 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. 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, levels of motivation and 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.

Step 8

Communicate the improvement plan

As mentioned previously, communication is one of the critical success factors of a self-assessment and the improvement 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.

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 improvement actions. To fully benefit from the improvement actions they should be integrated into 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 and performance management systems.

Step 10

Plan the next self-assessment

Using the PDCA cycle to manage the action plan implies a new assessment with the CAF.

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 where 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.

CAF Education Glossary



A

Accessibility

Accessibility of public facilities is a key requirement for equal access to public services and high quality of service. Well accessible organisations can be characterised by following aspects: accessibility with public transport, access for persons with disabilities, opening and waiting times, one-stop shops, using understandable language, etc. Digital accessibility is also included, e.g. barrier-free websites.

Accountability

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

Action Plan

An action plan is a document that is 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).

Agile mindset

An agile mindset is a mindset that can truly understand the changes brought about by digitalisation and translate them into appropriate actions. Key elements of an agile mindset are:

- Collective intelligence surpasses individual services.
- Errors are understood as a learning opportunity.
- Perfection is not required from the beginning.
- Customer benefits are the focus.
- Collaborative learning with the customer is part of the approach.

An agile mindset is thus an attitude as well as an innovative approach to problem solving that can push forward public administration reforms in the age of digitisation. An agile mindset is required at both management and staff level.

Agility

Agility refers to the 'ability of an organisation to rapidly respond to change by adapting its initial stable configuration'. This practice helps to rapidly adapt to market and environmental changes in productive and cost-effective ways. This ability can be achieved through innovative methods such as scrum, kanban, lean, design thinking as well as supporting an 'agile mindset' on management and staff levels through customised training.

Appraisal/performance appraisal/ performance interviews

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 their line manager is the most common way for 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, DO the job, CHECK your outcomes during the performance appraisal interview and 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.

Artificial intelligence (AI)

This is the ability of a computer program to think and learn. It is also a field of study which tries to make computers 'smart'. An AI system can also acquire, represent and manipulate knowledge. This manipulation concerns the ability to deduce or infer new knowledge from existing knowledge and to use representation and manipulation methods to solve complex problems.

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:

- Internal control, which is carried out by management.
- 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.
- External auditing, performed by an independent body from outside the organisation.

Automation – automatisisation

Citizens' expectations of the public administration are high in times of digitalisation. They want services that are available at all times, meet individual citizens' needs and offer fast services. In order to meet the expectations of the citizens and to reduce their own expenditure of time as well as to quicken the internal processing time, the comprehensive automation of the processes in public administration is an indispensable prerequisite. In addition, automation is essential in order to advance digitalisation.

Automation in the public sector therefore deals with the question of which tasks and services can be provided automatically, without human interference (e.g. data processing, automatic application).

B

Benchmarking

Learning how to improve through sharing knowledge, information and sometimes resources. It is recognised as an effective way of introducing organisational change. It reduces risks, is efficient and saves time.

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.

Best/good practice

These involve 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 through benchmarking. As with benchmarking it is preferable to talk about 'good practice' or 'inspiring practice' since one cannot be sure that there is not a better one.

Big data

Data is considered to be the raw material of the twenty-first century. Big data companies as well as states are expecting new impulses for economic growth and public value. Big data is characterised through three central features: data volume, data diversity and data speed. Due to the progressive digitalisation of almost all areas of society, the amount of fundamentally available data is increasing. Big data analytics provide versatile insights e.g. in the field of public safety ('prospective policy analysis'), services of general interest, education, and social and innovation policy.

Brainstorming

This is 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.

Budgetary/financial transparency

The idea of opening up the budget basically pursues the aim of providing comprehensive, understandable, comprehensible and freely accessible information on public budgets via the Internet. To reach higher budgetary/financial transparency efforts are made in the publication of budget documents, open budget initiatives (www.openspending.org), networking, and appealing visualisation of financial data up to the involvement of citizens in household processes (inform, comment, discuss, participate).

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.

Effective change management requires strong leadership, transparent communication and clear structures. Therefore, a mix of different instruments and approaches is needed to stimulate change efforts, and set and execute change goals e.g. project management, innovation circles, change ambassadors, benchmarking and benchlearning, pilot projects, monitoring, reporting and implementing PDCA.

Citizen/customer

The term citizen/customer is used to emphasise the dual relationship between the public administration on the one hand, the users of public services, and on the other hand, all the members of the public, who as citizens and taxpayers have a stake in the services and their outputs.

Coaching

Coaching is used as target-oriented and solution-oriented advice and support for specialists and executives. The aim is to further develop their relationship and leadership qualities in particular and to adapt it to changed occupational circumstances. Coaching serves primarily to achieve self-willed, realistic goals that are relevant to the development of the client. The emphasis is on the promotion of self-reflection and self-awareness.

Co-Decision

Co-decision refers to questions of involvement of citizens and clients in decision-making processes of public administrations. Examples range from citizen participation procedures in the areas of townscape design, preparing infrastructure decisions, to issues of preparing public spending decisions.

Co-Design

Co-design is the framework for involving citizens and customers in (further) development of public services. Examples of this are innovation workshops, design-thinking workshops and structured feedback loops, which record the feedback from citizens and customers in a structured manner and make them useful for the further development of service processes.

Co-Evaluation

Citizens express themselves on the quality of public policy and on the services they receive.

Co-Production

Citizens are involved in the production and/or delivery cycle of services and their quality.

Code of conduct

These are rules, guidelines or 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, they are regarded as having reached a level of competence.

Complaints management

Complaints management refers to the systematic handling of customer complaints. The objectives of complaint management are to optimise citizen/customer relationships and ensure quality assurance.

Compliance

The term compliance can be defined as the act of adhering to or conforming to a law, rule, demand or request. In a business environment, conforming to the laws, regulations, rules and policies is the part of business operations often referred to as 'corporate compliance'.

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 their official duties (e.g. secondary employment, possible bias, acceptance of gifts). 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 agreement with a combined overall score and assessment for the organisation.

Continuous improvement process

This is the ongoing improvement of the organisation in terms of quality, economy or cycle time. The involvement of all stakeholders of an organisation is normally a prerequisite in this process.

Controlling

Controlling is an important function of the management system whose core task is planning, guiding and control of all organisational areas. In practice, controlling issues are distinguished between operational controlling and strategic controlling.

Operational controlling is responsible for managing the budget and ensures that the public organisation is economically successful. Strategic controlling analyses the political, legal, demographic, technical, social, environmental and other frameworks so the public organisation can be sure that the products it produces meet the requirements and is able to respond to changes in demand.

Cost accounting

Cost accounting is a central area of internal accounting where costs are recorded, allocated across budget headings (for example services and products) and evaluated for special purposes. Cost accounting systems show at what cost public services are produced. The results of cost accounting provide important inputs for performance measurement systems.

Critical success factor

This relates to 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 for an organisation to succeed.

Cybersecurity

Cybersecurity is the protection of Internet-connected systems, including hardware, software and data from cyberattacks. In a computing context, security comprises cybersecurity and physical security – both are used by enterprises to protect against unauthorised access to data centres and other computerised systems.

D

Data protection

The process to help identify and minimise the data protection risks of data processing that is

likely to result in a high risk to individuals has to be assessed carefully. To ensure compliance with the new General Data Protection Regulation (GDPR) of the European Union a Data Protection Impact Assessment is recommended which identifies and assesses risks for individuals.

A data protection officer (DPO) is a security role required by the General Data Protection Regulation (GDPR). Data protection officers are responsible for overseeing an organisation's data protection strategy and its implementation to ensure compliance with GDPR requirements.

Design thinking

This refers to the cognitive, strategic and practical processes by which design concepts (proposals for new products, buildings, machines, etc.) are developed by designers and/or design teams. Design thinking is aimed at helping the public sector to develop practical and innovative solutions to daily problems.

Digitalisation – digital transformation

Digitalisation in a technical description is the process of converting analogue information into digital and computer readable data. Due to the rapid development of computer technology, Internet and social media digitalisation is changing society, business and public service delivery in many areas. Public sector organisations have to prepare their employees using the power of digitalisation to solve current problems or find new and more effective ways of service delivery. Measures in these areas can be defining a digitalisation strategy, training, guidelines for data protection, appointment of data protection officers etc.

Digital competences refer to the confident and critical usage of the full range of digital technologies for information, communication and basic problem solving.

Digital transformation and innovation refer to a process of adopting digital tools and methods by an organisation, typically those that have either not been including the digital factor as part of their core activities or have not kept up with

the pace of change in digital technologies. The practice of digital transformation in the public sector must also consider the public purpose and involve additional factors of ownership and retention of public data (especially identity), data security and privacy, digital service accessibility for everyone and public digital literacy.

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 and different needs of the customers and stakeholders it serves.

E

Education organisation

It includes all teaching and training organisations, no matter what their level. It ranges from the pre-school level to higher education and lifelong learning in Europe.

ECTS

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)

The European Quality Assurance Reference Framework for Vocational Education and Training (EQAVET) emerged from the 2009

recommendation of the European Parliament and Council, as a European wide framework to support quality assurance in vocational education and training (VET) across Europe. EQAVET is based on a quality assurance and improvement cycle and a selection of descriptors and indicators applicable to quality management at both VET system and VET provider levels. EQAVET does not prescribe a particular quality assurance system or approach, but provides a framework of common principles, indicative descriptors and indicators that may help in assessing and improving the quality of VET systems and VET provision.

Effectiveness

Effectiveness is the relation between the set goal and the impact, effect or outcome achieved. This can be measured in terms of cost, time and allocation of resources in general.

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.

Efficiency

Efficiency is 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).

EFQM

European Foundation for Quality Management.

E-government

E-government is one aspect of digitalisation – 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 and also strengthens support to public policies. E-government is regarded as an enabler to achieve 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.

E-learning

E-learning refers to all forms of learning in which electronic or digital media are used for the presentation and distribution of learning materials and/or for the support of interpersonal communication.

Empowerment

This is 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.

ERASMUS

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

E-Twinning

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

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.

European Qualifications Framework (EQF)

The European Qualifications Framework (EQF) is a common European reference framework whose

purpose is to make qualifications more readable and understandable across different countries and systems. Covering qualifications at all levels and in all sub-systems of education and training, the EQF provides a comprehensive overview over qualifications in the 38 European countries currently involved in its implementation.

EQAVET

(European Quality Assurance in Vocational Education and Training)

EQAVET emerged from the 2009 recommendation of the European Parliament and Council, as a European wide framework to support quality assurance in vocational education and training (VET). It is based on a quality assurance and improvement cycle and a selection of descriptors and indicators applicable to quality management at both VET system and VET provider levels. EQAVET does not prescribe a particular quality assurance system or approach, but provides a framework of common principles, indicative descriptors and indicators that may help in assessing and improving the quality of VET systems and VET provision.

EQUIS

(European Quality Improvement System)

System for improving and certifying the quality of higher education organisations 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.

European Standard Guidelines (ESG)

Standard and guidelines for quality assurance in the European higher education area.

Evaluation

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

Evidence

Evidence is information that supports a

statement or fact. An evidence-based approach is considered to be essential in forming a firm decision, conclusion or judgement.

Excellence

Excellence means 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 and innovation, mutually beneficial partnerships, and corporate social responsibility.

F

Facility management

This refers to the management of buildings and their technical facilities. Public buildings and other property, and operational processes are viewed holistically within the concept of facility management. The aim of the coordinated handling of processes is to permanently reduce operating and management costs, to make fixed costs more flexible, to ensure the technical availability of the plant and to maintain or even increase the value of buildings and facilities in the long term.

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

GDPR

GDPR is the General Data Protection Regulation of the European Union. The GDPR came into force in 2018, and is designed to modernise laws that protect the personal information of individuals.

The GDPR is Europe's new framework for data protection laws.

Governance

The main elements of good public governance are determined by the appointed framework of authority and control. It will set out: the reporting obligation on the goals achievement, transparency of actions and decision-making process to the stakeholders, 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

This involves 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

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

Inclusion

The organisation recognises every human being as a part of society regardless of origin, disability, sexual orientation or age. It recognises that society as a whole, benefits from the diversity of individuals and implements the values of non-discrimination and equality in the organisational culture and services. Public sector organisations are the role model in the implementation of an inclusive society.

Indicators

Indicators are quantitative measures that provide information about the organisation's performance in a comprehensive form.

Performance indicators are the numerous operational measures used in public administration to help to monitor, understand,

predict and improve how the organisation functions and performs. There are several terms used to measure organisational performance: outcomes, measures, indicators and parameters. It is important therefore to at least measure the performance of those processes that are essential to the delivery of the desired results.

Key performance indicators measure the most critical aspects, 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 the key performance outcomes.

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 learned about something or someone.

Innovation-driven culture

An innovation-friendly organisational culture in the public sector is characterised by a number of values, such as: self-responsibility, consistent customer orientation, openness, questioning of well-worn patterns of action, diversity, mutual appreciation, achievement orientation and much more. In this context, cross-organisational cooperation can open up new perspectives and initiate important learning processes. Leadership plays a key role in building an innovation-friendly organisational culture.

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 that is new to the workplace, or when the organisation offers customers a new service in a different way such as self-service via the Internet.

Innovative Learning Environments (ILE)

Analysed how young people learn and under which conditions and dynamics they might learn better. By identifying concrete cases of

innovative learning environments from all over the world, ILE has informed practice, leadership and reform through generating analysis of innovative and inspiring configurations of learning for children and young people.

Input

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

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.

Integrity

Integrity is the ongoing maintenance of the personal value system and personal ideals with a person's own speech and actions. To ensure that their public image is not damaged, public institutions should ensure that their employees are acting in good faith. Public sector organisations therefore elaborate general codes of conduct for employees which include guidelines how to act in specific situations.

Internal Client

Each element of an education organisation 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).

ISO

(International Organisation 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 job description is a complete outline of the function (description of tasks, responsibilities, knowledge competences and abilities). It is a fundamental instrument for human resources management and 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.

K

Key performance results

These are main 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 an 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 (that contained in 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, knowledge 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 the term 'leader' is associated with those responsible for an organisation. The word may also refer to those people who, thanks to their competence on a particular subject, are recognised as a role model by others.

Leadership culture

Managers play a significant role in building an innovation-friendly organisational culture. By stimulating mutual trust and openness they can act as coaches and mentors of employees and act as a role model. With this attitude they generate trust in their leadership role as well as followership for organisational mission and vision, and its strategic goals.

Leading by example

In order to transform organisational culture, leadership plays a vital role. By acting as a role model, managers can demonstrate their personal willingness to change and create followership. Cultural change programmes as well as leadership training should therefore address

following concepts: integrity, sense-making, respectfulness, participation, innovation, empowerment, precision, accountability, agility, etc.

Learning

Learning is the acquiring and understanding of knowledge and information that may lead to improvement or change. Examples of organisational learning activities include benchmarking/benchlearning, internally and externally led assessments and/or audits, and best practice studies. Examples of individual learning include training and developing skills.

• Learning environment:

A learning environment within a working community is where learning takes place in the form of skill acquisition, knowledge sharing, the exchange of experience and dialogue on best practice.

• Learning organisation:

A learning organisation is 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 organisation.

• On-the-job learning:

On-the-job learning is a form of training provided at the workplace. This includes having a more experienced colleague, supervisor or manager show or explain things to the employee. The work is carried out under supervision and feedback is important. Coaching, job rotation and participation in special projects are forms of on-the-job learning.

• Learning school

An organisation 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 and collaboration networks

Learning and collaboration networks can be internal and/or external initiatives to link employees for exchange of know-how and best practices, or generating and conceptualising service/product innovations.

Learning leadership

Learning leadership is critical for positive change to happen. It is exercised through visions and corresponding strategies intensely focused on learning. It calls for the expert engagement of those with formal leadership responsibilities. But it is also collaborative activity, including teachers, learners and others beyond the school itself.

Life cycle policy

Public buildings are normally used for very long periods of time. Therefore, only the consideration over the entire life cycle from construction to demolition can provide information about the actual quality of a building. All phases of a building's life have to be analysed and optimised in terms of the different aspects of sustainability. The aim is to achieve a high building quality with the least possible impact on the environment (e.g. sustainable construction, use of renewable energy sources, technical equipment including their safe re-use, recycling or disposal).

To implement the life cycle policy approach, an integrated facility management system is needed. Integrated facility management takes into account the commercial, technical and environmental aspects of building management.

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

Management refers to a management function in a public organisation (e.g. department manager, city manager). In addition, management refers to a person who performs this function and has the necessary management skills. Typical functions and tasks of the management are planning, organisation, leadership and success control. Contrary to leadership, management deals with the structural framework of managing an organisation (e.g. planning, setting and executing goals, success control, allocate resources, etc.) while leadership focuses on the personal leadership of people.

Management information system (MIS)

MIS is a computerised information system that collects and prepares organisational information (e.g. performance data, budget data, output and outcome data) to manage the organisation on the basis of permanent measurement of goal achievement, risks and quality. Based on this information, analyses can be carried out, problems can be solved, and strategic decisions can be made. Management information systems collect internal and external data and prepare them for management.

Mentoring

Mentoring is a form of employee development in which a trusted person – the mentor – offers their knowledge to another person (mentee) for guidance, encouragement and support. The aim of mentoring is to promote the learning and development of the employee and to help them to discover their potential. The mentoring concept is also likely to support new employees to find their role, identify important contact people, etc., in order to support a good start in their new work environment.

Mission/mission statement

The mission explains the core purpose of the organisation, what the organisation should achieve for its stakeholders and why the organisation exists. The mission of a public

sector organisation results from a public policy and/or statutory mandates. The final goals an organisation sets out to achieve in the context of its mission are formulated in its vision. A mission statement is a written declaration which remains unchanged over a longer time and defines:

- What is the purpose of the organisation?
- What kind of products or services are provided?
- Who are the primary customers?
- What are the values of the organisation?

N

Network

A network is 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)

Objectives are a formulation of a desired situation describing the desired results or effects as defined in the mission of the organisation. They can be:

- **Strategic objectives**

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

- **Operational objectives**

These 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.

Open data

Any kind of data that can be freely used, re-used and redistributed by anyone – subject only, at most, to the requirement to make a reference to the original source. Besides this legal openness,

open data also requires technical openness through machine readable formats and availability in bulk, e.g. PDF does not fulfil the requirements of technical openness.

Open-source

Open-source refers to any program whose source code is publicly available and may be modified if users or developers see it as a necessity. Open-source software is often developed by a public community and is free of charge.

Organisational culture

The organisational culture is the total range of behaviours, 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

This is 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

Output is the immediate result of production, which may be either goods or services. There is a distinction between intermediate and final outputs; the former is products delivered from one department to another within an organisation, the latter is outputs delivered to someone outside the organisation.

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).

Outcome may be measured by wider society results such as SDG.

P

Partnership

A partnership is a collaboration 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. To institutionalise partnerships, partnership agreements can be concluded.

PDCA cycle

The PDCA cycle is four stages to go through to achieve continuous improvement, as described by Deming:

- plan (project phase)
- do (execution phase)
- check (control phase)
- act (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/employees/staff

These are all individuals employed by the organisation including full-time, part-time and temporary employees. (CAF 2020/CAF Edu 2013)

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 budgeting

A performance budget is one that reflects both the input of resources and the output of services for each unit of an organisation. The goal is to identify and score relative performance based on goal attainment for specified outcomes. This type of budget is commonly used by government bodies and agencies to show the link between taxpayer funds and the outcome of services provided by federal, state, or local governments.

Performance dialogue/interview

The performance dialogue/interview is a structured annual staff appraisal interview between executives and employees. In this interview the work results of the past year will be reflected and a common agreement on necessary further development measures with regard to cooperation, new fields of activity, further training measures etc., will be made. (CAF 2020)

[See also Appraisal]

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 hand, efficiency and quality, ensuring that the desired effects are achieved in a cost-efficient manner.

Performance measurement

Measurement of attainment achieved by an individual, team, organisation or process (see also 'Indicator').

Procedure

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

Process

A process is a set of intertwined activities, which transforms a set of inputs into outputs and outcomes, thereby adding value.

Process diagram/map

This is a graphical representation of the series of actions taking place within a process.

Process owner

This is the person responsible for designing, improving and performing processes, and their coordination and integration inside the organisation.

Public policy

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

Public policy refers to the sum of content-related decisions, objectives, and activities of those involved in the relevant political system (e.g. municipalities, state and federal level, European level).

Public-private partnership (PPP)

A public-private partnership is the collaboration between a government agency and a private sector company that can be used to finance, build and operate projects, such as public transport networks, parks and convention centres. Financing a project through a public-private partnership can allow a project to be completed sooner or make it a possibility in the first place.

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

Quality (in the context of the public sector) is delivering a public service with a set of characteristics/features that meet or satisfy, in a sustainable way, the following: the specifications/requirements (law, legislation, regulation); the citizen/customer expectations; all other stakeholder 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 standardisations. 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. 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 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 show some differentiation.

Quality management system (QMS)

This is 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 organisations.

Resilience

Resilience management encompasses all measures with the aim of improving the resilience of an organisational system to strengthen it against external influences. Hence resilience is the systemic resistance to disturbances and hazardous changes. Here, a distinction is made between a proactive form (agility) and a reactive form (robustness). Resilient organisational structures are therefore characterised by a fast and flexible adaptability to external influences.

Resources

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

Risk management

Risk management refers to the practice of identifying potential risks in advance, analysing them and taking precautionary steps to reduce/curb the risk.

Robotics

Robotics and artificial intelligence refer to the automation of recurring routine work with the help of intelligent technologies. These technologies are particularly suitable for the following areas of application: information services, video analytics, surveillance tasks or filtering relevant information from social media, evaluation, and processing of text documents, etc.

Role model

People or organisations who serve as a model in a particular behavioural or social role for other people to imitate or learn from.

S

Service design

This is the activity of planning and organising people, infrastructure, communication and material components of a service in order to improve its quality and the interaction between the service provider and its customers.

Service-level agreement (SLA)

A service-level agreement sets the expectations between the service provider and the customer and describes the products or services to be delivered, the single point of contact for end-user problems, and the metrics by which the effectiveness of the process is monitored and approved.

SMART objectives

Objectives state what an organisation has set out to achieve. It is recommended that objectives should be SMART:

- Specific – be precise about what you are going to achieve.
- Measurable – it has quantified objectives.
- Achievable – is the objective too ambitious, or is the objective covered by the mission?
- Realistic – are the necessary resources available?
- Timed – it falls within manageable timing.

Social media

Social media are web-based communication tools for creating, sharing and consuming information.

The most important social media platforms and used in public sector organisations are Facebook, Twitter, YouTube, LinkedIn, and Instagram. Communicating with citizens, stakeholders and customers via selected social media channels should be considered by all public sector organisations, taking into account the risks of data privacy and the provisions of the General Data Protection Regulation.

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 in order to improve the quality of life. The aim is to bring benefits both for organisations and the wider society.

Spending reviews

Spending reviews are structured, binding auditing processes serve to question the how and why of task fulfilment in public administration and thus increase the efficiency and effectiveness in providing public services. Spending reviews can help public organisations better understand spending and identify opportunities for efficiencies. They are detailed assessments of specific areas of spending, with aims of increasing transparency, improving efficiency, and, where necessary, reallocating resources.

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: Interested parents, students, teachers, enterprises, political decision makers, citizens/customers, employees,

society, inspection agencies, media, partners. Government organisations are also stakeholders.

Strategy

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

Survey

This is used 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.

Sustainability/sustainable development

This is development suitable for meeting present needs without compromising the possibility of meeting the needs of future generations.

Sustainable Development Goals (SDGs)

The 17 Sustainable Development Goals (SDGs) are political objectives of the United Nations (UN) aimed at ensuring sustainable economic, social and environmental development. Key aspects of the objectives include advancing economic growth, reducing disparities in living standards, creating equal opportunities and sustainable management of natural resources that ensure ecosystem conservation and resilience.

T

Term

The 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.

TQM (Total Quality Management)

TQM is a customer-focused management philosophy that seeks to continuously improve business processes using analytical tools and teamwork involving all employees

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, and audits.

Tutoring

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

V

Value – public 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, and also be related to the mission of the organisation. They may be quite different between non-profit organisations and private businesses.

Public value refers to the value that society derives from (public) services rather than individuals (private value). However, this added value is often undervalued, and in many cases neither perceived by the public nor by its own organisation. In times of strained public budgets, it is important to make the public value that is generated by public services visible. The public value approach is used by public organisations as well as non-profit organisations to make their own contribution and value to society transparent e.g. in the area of housing, public broadcasting, police.

Vision

This is 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.

W

Whole Child Development

Educational approach that considers the various dimensions of the person and not only the cognitive dimension (physical, cognitive, emotional, aesthetic-artistic, social and civic, ethical-moral/spiritual).

ANNEX I: Struture CAF Education 2013 VS CAF Education 2024 ^[3]

ENABLERS	
CAF 2013	CAF 2024
Criterion 1: Leadership Consider what the institution's leadership is doing to ...	Criterion 1: Leadership Consider what the organisation'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 Manage the education and teaching institution, its performance and its continuous improvement	Sub-criterion 1.2 Manage the education organisation , its performance and its continuous improvement
Sub-criterion 1.3 Motivate and support the people in the institution and act as a role model	Sub-criterion 1.3 Inspire , motivate and support people in the organisation and act as a role model
Sub-criterion 1.4 Manage effective relations with political authorities and other stakeholders	Sub-criterion 1.4 Manage effective relations with political authorities and other stakeholders
Criterion 2: Strategy and Planning Consider what the institution is doing to ...	Criterion 2: Strategy and Planning Consider what the organisation is doing to ...
Sub-criterion 2.1 Gather information on present and future needs of stakeholders as well as relevant management information	Sub-criterion 2.1 Identify the needs and expectations of the stakeholders, the external environment and the relevant management information
Sub-criterion 2.2 Develop strategy and planning taking into account the gathered information	Sub-criterion 2.2 Develop strategy and plans based on gathered information
Sub-criterion 2.3 Communicate and implement strategy and planning in the whole organisation and review it on a regular basis	Sub-criterion 2.3 Communicate, implement and review strategy and plans
Sub-criterion 2.4 Plan, implement and review innovation and change	Sub-criterion 2.4 Manage change and innovation to ensure the agility and resilience of the education organisation
Criterion 3: People Consider what the institution is doing to ...	Criterion 3: People Consider what the organisation is doing to ...
Sub-criterion 3.1 Plan, manage and improve human resources transparently with regard to strategy and planning	Sub-criterion 3.1 Manage and improve human resources to support the strategy of the education organisation
Sub-criterion 3.2 Identify, develop and use competencies of the employees aligning individual and organisational goals	Sub-criterion 3.2 Develop and manage competencies of people
Sub-criterion 3.3 Involve employees by developing open dialogue and empowerment, supporting their well-being	Sub-criterion 3.3 Involve and empower the people and support their well-being
Criterion 4: Partnerships and Resources Consider what the institution is doing to ...	Criterion 4: Partnerships and Resources Consider what the organisation is doing to ...
Sub-criterion 4.1 Develop and manage partnerships with relevant institutions	Sub-criterion 4.1 Develop and manage partnerships with relevant organisations
Sub-criterion 4.2 Develop and implement partnerships with the citizens/customers	Sub-criterion 4.2 Develop and implement partnerships with learners
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
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 what the institution is doing to...	Criterion 5: Processes Consider what the organisation is doing to ...
Sub-criterion 5.1 Identify, design, manage and innovate processes on an ongoing basis involving the stakeholders	Sub-criterion 5.1 Design and manage processes to increase value for students and other stakeholders
Sub-criterion 5.2 Develop and deliver citizen/customer-oriented services and products	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	Sub-criterion 5.3 Coordinate processes across the education organisation and with other institutions

3 This table only encompasses changes in the sub-criteria, not the updated examples and glossary.

RESULTS	
CAF 2013	CAF 2024
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...	Criterion 6: Learner-oriented and other key stakeholder-oriented results Consider what the organisation has achieved to meet the needs and expectations of learners and other key stakeholders through the results of ...
Sub-criterion 6.1 Perception measurements	Sub-criterion 6.1 Perception measurements
Sub-criterion 6.2 Performance measurements	Sub-criterion 6.2 Performance measurements
Criterion 7: People Results Consider what the institution has achieved to meet the needs and expectations of its people through the results of ...	Criterion 7: People Results Consider what the organisation has achieved to meet the needs and expectations of its people, through the results of ...
Sub-criterion 7.1 Perception measurements	Sub-criterion 7.1 Perception measurements
Sub-criterion 7.2 Performance measurements	Sub-criterion 7.2 Performance measurements
Criterion 8: Social responsibility results Consider what the institution is achieving regarding its social responsibility, through the results of...	Criterion 8: Social responsibility results Consider what the organisation is achieving regarding its social responsibility, through the results of ...
Sub-criterion 8.1 Perception measurements	Sub-criterion 8.1 Perception measurements
Sub-criterion 8.2 Performance measurements	Sub-criterion 8.2 Performance measurements
Criterion 9: Key performance results Consider the results being achieved by education and teaching institution, in relation to...	Criterion 9: Key performance results Consider the results being achieved by the organisation , in relation to ...
Sub-criterion 9.1 External results: outputs and outcomes to goals	Sub-criterion 9.1 External result – outputs and public value
Sub-criterion 9.2 Internal results: level of efficiency	Sub-criterion 9.2 Internal results – level of efficiency



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