

# “Quality Management with CAF in the Educational Sector”

## *Research Report*

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## Foreword & Acknowledgements

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At the end of the 1990s, the EU Ministers responsible for public administration invited the European Public Administration Network (EUPAN) to promote exchange and cooperation between the EU Member States and to develop common instruments in the field of quality management. This gave birth to the Common Assessment Framework CAF as the TQM model for the public sector. Over 15 years, nearly 4000 public sector organisations all over Europe have used the model and the number of CAF Users continues to grow.

In 2008, in different countries, a number of CAF national correspondents and/or Education experts – based on the broad (extended) use of the model in the educational sector in a number of Member States decided to join forces to develop an overall European CAF version for the Education and Training sector, intended for all teaching and training institutions, regardless of their level, from pre-school level to higher education and lifelong learning in Europe. In June 2010 the Directors-General of the EUPAN network approved the CAF Education version. The take-up of CAF in the sector of Education was extremely successful since then. From the 3800 users, more than 1000 are organisations stemming from the “education and research sector”. Together with the “local sector” this is the largest group.

In 2014 the Italian Department for Public Administration, together with the Network of European CAF Correspondents and the European CAF Resource Centre in EIPA, took the initiative to organize the 6<sup>th</sup> CAF User event with a special focus on the educational sector (November 2014). This initiative fitted within the project “CAF for MIUR” in the wider context of the 2007-2013 EU Programming and the Italian National Operational Programme “Competencies for the Development”, related to the initiative to improve Administrative Capacity Building in education institutions. It has been sponsored by the European structural funds, managed by the Italian Ministry of Education, University and Research (MIUR) and it’s being realized by the Department of Public Administration (DPA), in collaboration with FormezPA acting as Italian national CAF resource centre.

European CAF users’ events have been organised on a regular basis since 2003 (Rome-2003, Luxembourg-2005, Lisbon-2007, Bucharest-2010, Oslo-2012, Rome-2014). These events have the aim of being an inspiring meeting point for CAF users. They offer an opportunity to take stock of the results achieved with the CAF and its ongoing developments, as well as to discuss its future. More than 200 participants attended the 6<sup>th</sup> CAF User event in Rome, where they listened to 6 national cases, 31 speakers, but most importantly, they were able to meet each other and discuss the difficulties, obstacles and solutions they have faced. The 6<sup>th</sup> CAF Users’ event was regarded as a big success, (rated by participants with 8 out of 10 on average). This is considered a very good

result and we think that this also shows that the CAF dynamic is still alive and is not likely to stop in the coming years. All info on the event can be found on the CAF website of EIPA [www.eipa.eu/CAF](http://www.eipa.eu/CAF) (under the menu “EU CAF Users’ Events”).

To stimulate and give input to discussions at the 6<sup>th</sup> CAF user event, a study on the use of CAF in the Educational Sector was commissioned. This study was carried out by the European Institute of Public Administration (EIPA). The research was conducted with the objective to analyse the impact of self assessment with CAF and the resulting improvement actions on the performance of education and training institutes, and lessons to be learned by all public sector organisations.

A double methodology was applied. On the one hand an online questionnaire was developed. On the other hand in-depth semi-structured interviews were carried out in 12 schools from 5 European countries (Belgium, Italy, Norway, Portugal, Slovakia), trying to reach a deeper understanding of the changes fostered in the schools by adopting the CAF.

This study (and the event) would not have been possible without the crucial help of a number of people and organisations.

First of all the European CAF Resource Centre would like to thank the Italian Presidency of the EU for creating the opportunity to prepare the future of the CAF by carrying out this study and organising the 6<sup>th</sup> CAF user event. Special thanks in this context go to Sabina Bellotti, National CAF Correspondent for Italy (within the Ministry for Public Administration), Claudia Migliore and Teresa Ascione, from FormezPA (The Italian CAF Resource Centre). All of this would not have been possible without the sponsorship by the European structural funds, managed by the Italian Ministry of Education, University and Research (MIUR).

We also want to thank the CAF national correspondents (CAF NC) for promoting the research and providing useful input in the discussions. Warm words of gratitude go to the Expert group on education that was set-up to advise on the study. Their valuable and much appreciated feedback contributed to us asking the right questions, providing all the necessary answer possibilities and using suitable wording. Special thanks go to the CAF national correspondents and experts from Italy (already mentioned), Belgium (Jean-Marc Dochot, Christine Defoin, Anne Verbeke), Slovakia (Miroslav Hrnčiar, Ľubomír Plai), Norway (Gudrun Vik, Even Fossum Svendsen), Portugal (Cristina Evaristo, Miguel Rodrigues, Hugo Caldeira, Sofia Reis, Rodrigo Queiroz e Melo), in assisting the European CAF Resource Centre in the development and carrying out of the study.

Furthermore, we would like to thank our colleagues at the European Institute of Public Administration (EIPA) who contributed with practical support in the creation and exploitation of the online questionnaire, as well as the language and layout of the research report, Ann Stoffels and Matteo Re.

Last but not least, we would like to warmly thank the many CAF users who completed the demanding survey for CAF users and 12 cases & the colleagues taking the interviews Christine Defoin(Belgium), Gudrun Vik & Even Fossum Svendsen (Norway), Clara Alemani, Manfredi Bruccoleri, Cristina Cosci (Italy), Hugo Caldeira (Portugal), Miroslav Hrnčiar (Slovakia).

A special word of thanks goes to Nereo Zamaro (Research Director at the National Institute of Statistics - ISTAT and currently Director of the Social Affairs Directorate of the Lazio Region) for the support in analyzing the qualitative interviews and giving input in the drafting of the overall conclusions.

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European CAF Resource Centre – European Institute of Public Administration  
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## Why a study on CAF in the Education Sector?

### Background

CAF became a great success. Over 15 years, nearly 4000 public sector organisations all over Europe have used the model and the number of CAF Users continues to grow. In the early years, the model was mostly used to introduce the principles of Total Quality Management in public sector organisations by making a diagnosis of the organisation in the light of this blueprint of an excellent organisation. As CAF had to be a generic tool, applicable to all types of public sector organisations at all institutional levels (European, federal or national, regional and local), the content of the model had to be formulated at a highly theoretical and sometimes even abstract level. Despite this context, from the outset CAF aimed to be a tool that was simple, accessible and easy to implement: in

#### CAF users – 3,711 in 53 countries (November 2014)

Italy - 879	Slovenia - 71	Bulgaria - 11
Germany - 357	Greece - 63	Iceland, Turkey, FYROM <sup>1</sup> - 9
Poland - 351	Slovak Republic - 58	Latvia - 8
Belgium - 335	Romania, Spain - 49	The Netherlands, United Kingdom - 7
Hungary - 316	Switzerland - 29	Ireland, Malta - 6
Denmark - 248	Lithuania - 28	Sweden, Croatia - 5
Portugal - 189	France - 26	Russia - 4
Finland - 126	Cyprus - 19	Ecuador, Cape Verde - 3
Austria - 95	Estonia - 18	China, Namibia, Tunisia, Serbia, Montenegro - 2
Dominican Republic - 87	Bosnia and Herzegovina - 18	Kosovo <sup>2</sup> , Morocco, Peru, Ukraine, Egypt - 1
Norway - 87	Luxembourg - 13	Brazil, Chile, Ivory Coast, South Africa - 1
Czech Republic - 74	EU Institutions and EC - 12	

Source: European CAF Resource Centre (EIPA), [www.eipa.eu/CAF](http://www.eipa.eu/CAF)

comparison with other quality models, this is certainly true of CAF. As the result of an in-depth study on the use of the CAF 2006 model, a revision took place and the CAF 2013 was launched. Supported by EIPA, Belgium, Italy, Portugal and Norway worked together to adapt the CAF and Education version to this new model.

### 1 The content of the CAF 2013 Model

#### Definition

The Common Assessment Framework (CAF) is a **total quality management tool** developed by the public sector for the public sector, inspired by the Excellence Model of the European

<sup>1</sup> Former Yugoslav Republic of Macedonia

<sup>2</sup> This designation is without prejudice to positions on status, and is in line with UNSC and Kosovo declaration of independence



Foundation for Quality Management (EFQM®). It is based on the premise that excellent results in organisational performance, citizens/customers, people and society are achieved through leadership driving strategy and planning, people, partnerships, resources and processes. It looks at the organisation from different angles at the same time: the **holistic approach** to organisation performance analysis.

### Main purpose

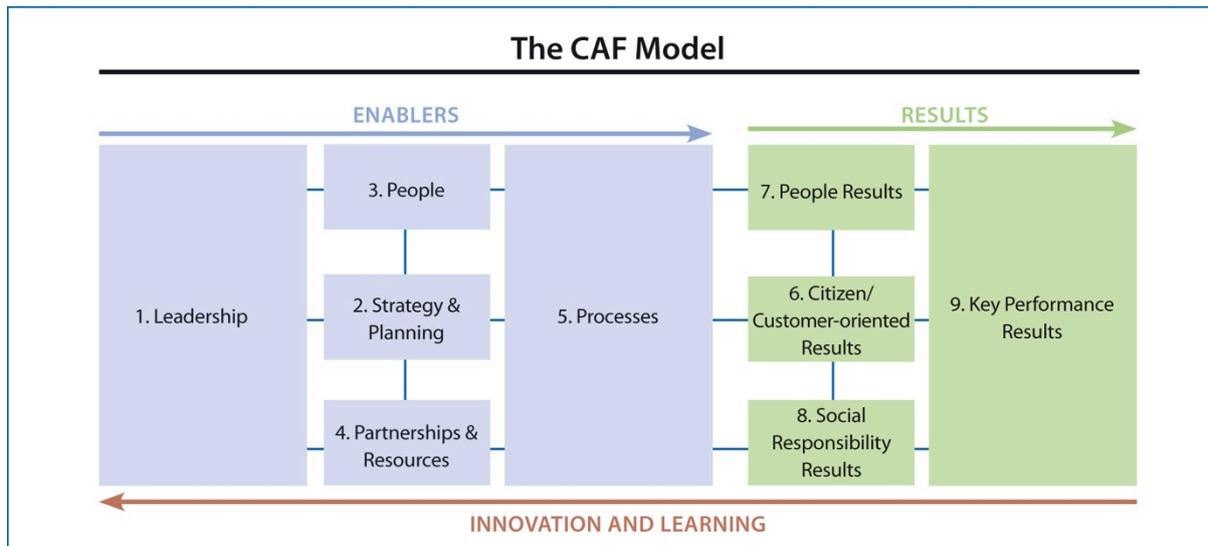
The CAF is available in the public domain, is free of charge and is offered as an **easy-to-use tool** to assist public sector organisations across Europe in using **quality management techniques to improve performance**. The CAF has been designed for use in **all parts of the public sector**, and is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

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

1. to **introduce** public administrations into the culture of excellence and the principles of TQM;
2. to guide them progressively to **a fully-fledged “Plan-Do-Check-Act” cycle**;
3. to facilitate the **self-assessment** of a public organisation in order to obtain a diagnosis and a definition of improvement actions;
4. to act as a **bridge** across the various models used in quality management, both in public and private sectors;
5. to facilitate **bench learning** between public sector organisations.

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

## The structure of the Model



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

### Cross-functions inside the model

The holistic approach of TQM and CAF does not simply mean that all aspects of the functioning of an organisation are carefully assessed, but also that all the composition elements have a reciprocal impact on each other. A distinction should be made between:

- cause-effect relationship between the left part of the model (the enablers – causes) and the right part (the results – effects); and
- the holistic relationship between the causes (enablers).

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

of the organisation, the different causes (enablers) interact with each other when producing results. In any case, the existence of appropriate feedback from results appearing on the right-hand side to the appropriate criteria on the left-hand side should be checked in the assessment.

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

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

### The underlying 8 Principles of Excellence

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



#### Principle 1: Results orientation

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

#### Principle 2: Citizen/Customer focus

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

**Principle 3: Leadership and constancy of purpose**

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

**Principle 4: Management by processes and facts**

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

**Principle 5: People development and involvement**

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

**Principle 6: Continuous learning, innovation and improvement**

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

**Principle 7: Partnership development**

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

**Principle 8: Social responsibility**

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

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

**Common European public sector values**

Besides the specific interpretation of the principles of excellence for the public sector, public management and quality in the public sector have a number of unique conditions in comparison with the private sector. They presume basic preconditions common to our European socio-political and administrative culture: legitimacy (democratic and parliamentary), the rule of law and ethical

behaviour based on common values, and principles such as openness, accountability, participation, diversity, equity, social justice, solidarity, collaboration and partnerships – all aspects which are to be taken into consideration during the assessment.

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

### **Importance of evidence and measurements**

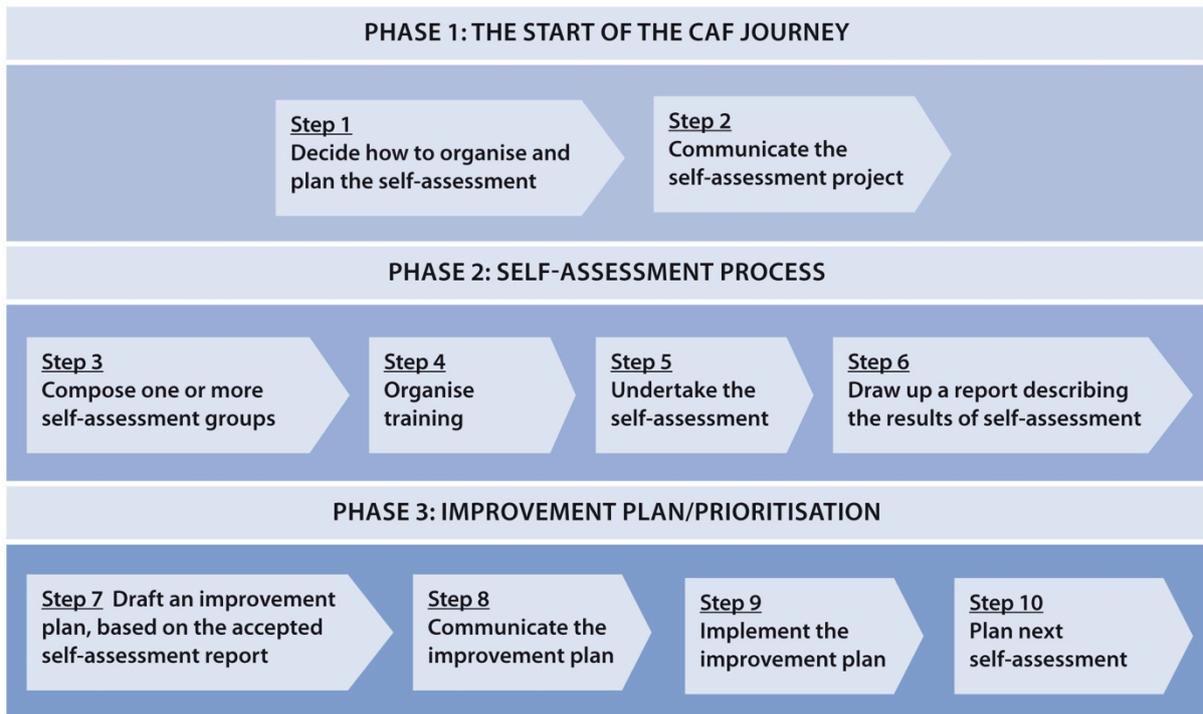
Self-assessment and improvement of public organisations is very difficult without reliable information concerning the different functions of the organisation. CAF stimulates public sector organisations to gather and use information, but very often this information is not available at a first self-assessment.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

## **2. *How to use the CAF 2013 Model***

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

### **The guidelines for implementation**

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

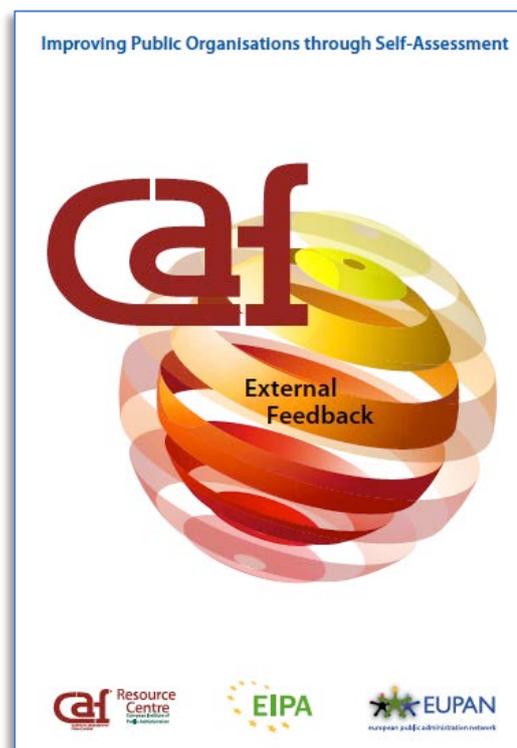


### The CAF External Feedback Procedure

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

The CAF External Feedback aims to achieve the following objectives:

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



It is built upon the following three pillars

*Pillar 1: The process of self-assessment*

*Pillar 2: The process of improvement actions*

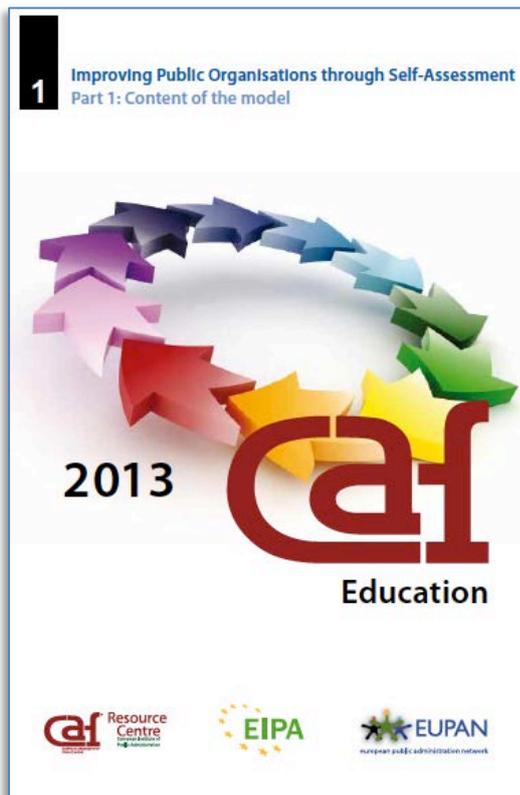
*Pillar 3: The TQM maturity of the organisation*

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

More information is available on the CAF website: [www.eipa.eu/CAF](http://www.eipa.eu/CAF).

### 3. Adapting CAF to the education sector

Adapting CAF to education and training institutions: why? CAF was initially conceived to be used in all fields of the public sector in the EU. Therefore, it seemed only logical that it would be an interesting tool for the Education sector in general. The year 2010 was the deadline imposed by the European Education Ministers to finalise the Bologna Process based on the eponymous Declaration that triggered the harmonization of European education in 1999; the Bologna Declaration committed to ‘promoting European cooperation in quality assurance with a view to developing comparable criteria and methodologies’. The Bergen Declaration (2005) contributed by pushing forward European education by wishing ‘to establish a European Higher Education Area (EHEA) based on the principles of quality and transparency’. The London (2007) and Leuven (2009) Declarations confirm these principles.



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

When it was decided to bring all their expertise together into a European CAF and Education expert

group, the objective was very clear: to develop an overall European CAF version for the Education and Training sector, intended for all teaching and training institutions, regardless of their level, from pre-school level to higher education and lifelong learning in Europe. All the Member States were invited to join the group, which was eventually enriched with the following countries: Luxembourg; Greece; Poland; and Slovakia. The meetings were prepared and chaired by the CAF Resource Centre. The CAF National Correspondents discussed this document during their meeting in Maastricht on 18 February 2010 and it was approved by the IPSG – the EUPAN working group responsible for all CAF activities – at their meeting in Madrid on 19 and 20 April, 2010. *This document was approved by the Directors-General at the 54th DG meeting during the Spanish Presidency. Madrid, June 2010.*

#### 4. The use of CAF in the sector of education

The take-up of CAF in the sector of Education was extremely successful. From the 3800 users, more than 1000 are organisations stemming from the “education and research sector”. Together with the “local sector” this is the largest group.

Sector	CAF users	Sector	CAF users
Education and Research	1030	Justice and Law	83
Local administration (municipalities, provinces)	853	Economy, agriculture, fisheries and trade	80
Social services and social security	400	Culture	56
Police and Security	173	Home affairs	53
Customs, Taxes and Finances	149	General policy and oversight, coordination	40
Health	136	Environment	31
Public sector management (P&O, budget, ICT etc.)	117	Foreign affairs	10
Transport, infrastructure, public works, utilities	87	Others	352

Previous studies on the Use of CAF have been carried out on a European scale (2003 under the Luxembourg EU Presidency, 2005 under the Spanish EU Presidency and in 2011 under the Polish EU Presidency.)

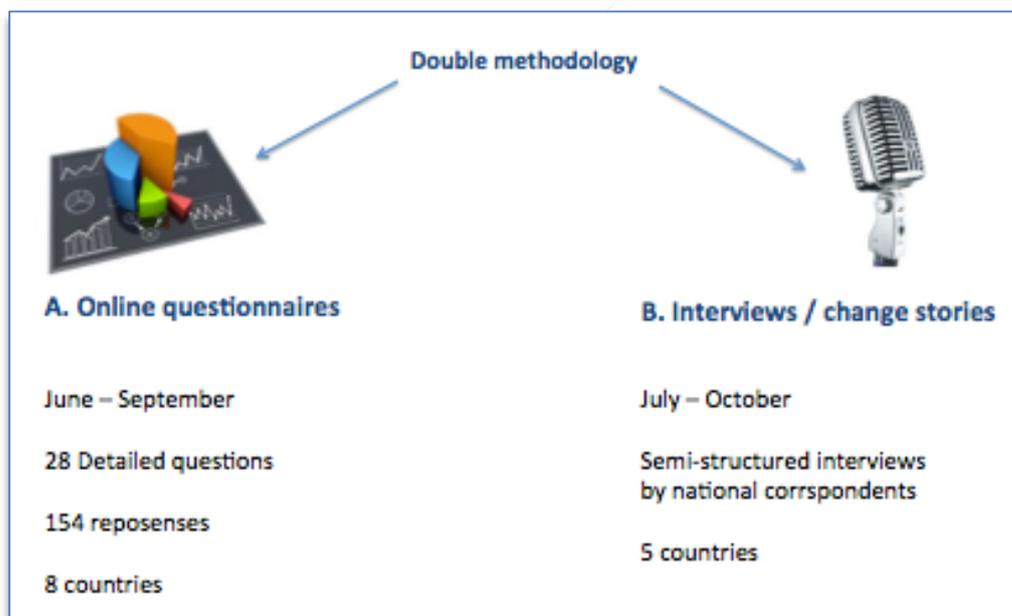
## About the research and readers guide for the report

### *The research*

In 2014 the Italian Department for Public Administration and National CAF Resource Center took the initiative to commission a study on the use of CAF in the Educational Sector. This study was carried out by the European Institute of Public Administration (EIPA).

The research was conducted with the objective to analyse the impact of self assessment with CAF and the resulting improvement actions on the performance of education and training institutes, and lessons to be learned by all public sector organisations.

A double methodology was applied. On the one hand an online questionnaire was developed and spread around 700 registered CAF and Educations Users from 8 countries in the period June – September 2014 (154 organisations responded (response rate 22,6 %) from 8 countries). On the other hand in-depth semi-structured interviews were carried out in 12 schools from 5 European countries (Belgium, Italy, Norway, Portugal, Slovakia). The goal was to consider CAF in context trying to reach a deeper understanding of the changes fostered in the schools by adopting the CAF.



For the online questionnaire and the roadmap for the structured interview we refer to Annex 1 and 2.

## The structure of the report

This report is describing and analysing the results from the above mentioned research. The report is structured in 4 major parts.



**Part 1:** Is presenting the overall **insights in the use of CAF** in the educational sector. Which type of educational organisations are using the CAF? How often did they use the CAF model? What were the reasons for using the CAF? How was the self-assessment team composed? These and many other questions related to the use and the “process of using” the CAF are answered.



**Part 2:** deals with the **results and impact** of implementing CAF in the organisation. What was the nature of the improvement actions undertaken? What was the result of these improvement actions? To what extent did the organisation became a stronger, more mature and better performing organisation.



**Part 3:** is illustrating in a qualitative way the findings of part 1 and 2. Via **change stories** from 12 educational institutions from 5 countries (Belgium, Italy, Norway, Portugal and Slovakia) the link between enablers and results is made. What actions have these institutions taken to achieve some remarkable results? What were the success factors enabling the CAF to work and the results to have a sustainable impact?



**Part 4:** is presenting the **general conclusions** of the research. What are the lessons learned from both the quantitative and qualitative research parts? Can we learn things from the world of education that are particular? Or can we identify important lessons from this important sector for other public sectors in the use of CAF and how to maximise the results and impact afterwards.



## PART 1

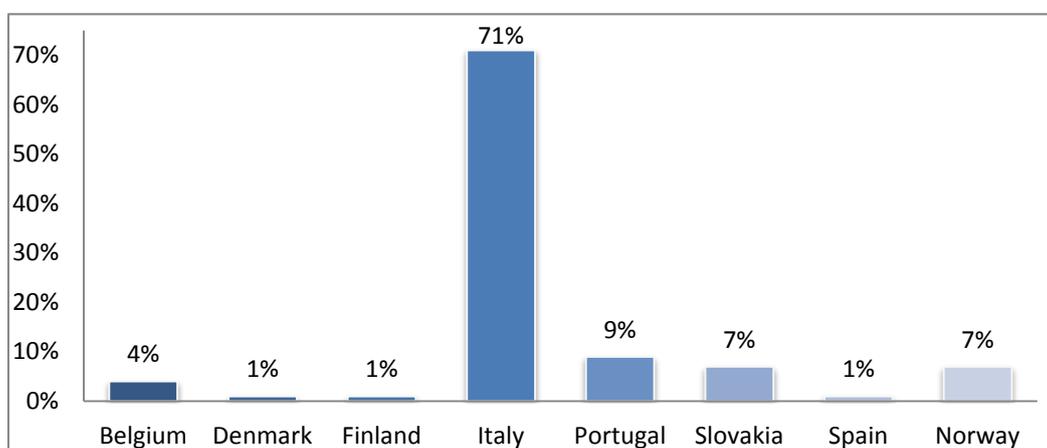
# Insights in the use of CAF in the Educational Sector

This first part is presenting the overall **insights in the use of CAF** in the educational sector. Which type of educational organisations are using the CAF? How often did they use the CAF model? What were the reasons for using the CAF? How was the self-assessment team composed? These and many other questions related to the use and the “process of using” the CAF are answered.

Firstly (1.1.) this report looks at the nature of the respondents, where do they come from and how do they look like (in terms of kind of school, size, number of staff, number of students,...). Secondly (1.2) underlying report analyses how CAF is used and what the lessons on the process of working with CAF are.

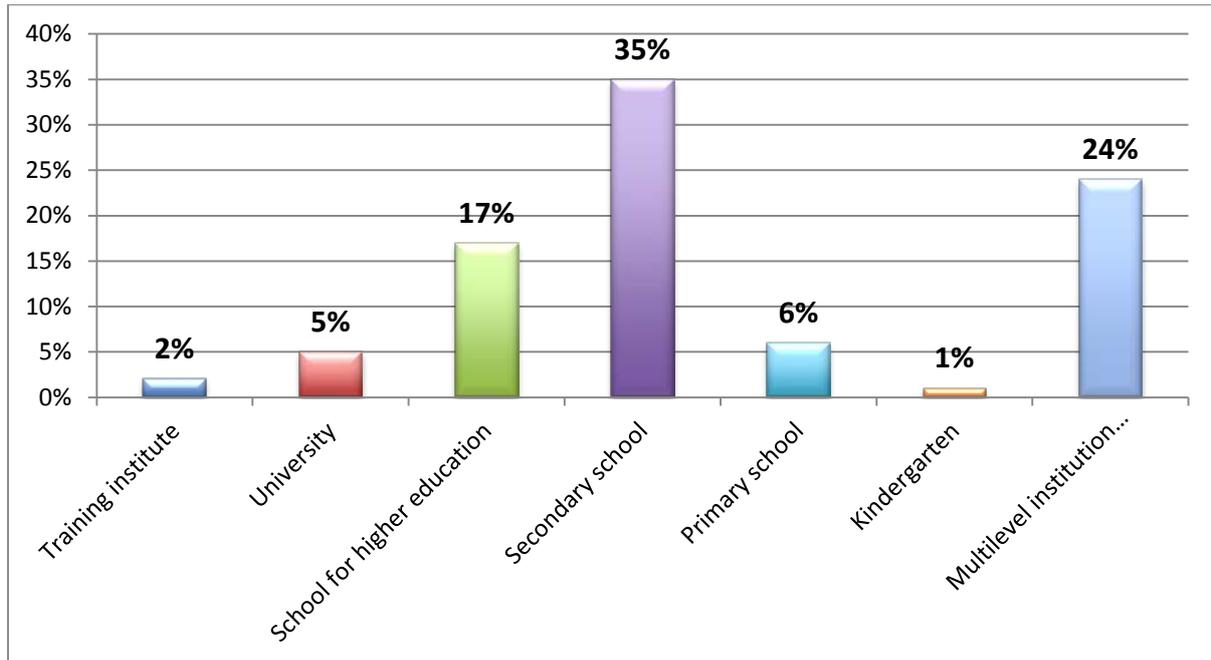
### 1.1 Nature of the respondents

In the period of June – September 2014 an in-depth online questionnaire was launched. 154 organisations from the educational sector from 8 countries took the time and the efforts to reply to the demanding (in the sense of detailed info requested) questionnaire in a difficult time of the year (Summer period). With a potential target audience of 800 organisations, the response rate is 22 %.



With 71% Italy is well (over) represented. Although we have to remark that from the 3800, nearly 900 users are Italian and from the 1000 Users from the Education sector, a big majority is Italian. So even if this 71% is rather high it relates closely to the percentage of Italian education sector users in the overall population.

One of the ambitions of the task force creating the CAF and Education version of the CAF back in 2010 was the focus on all kind of education organisations. From kindergartens to universities, from small to very big. Looking at the respondents this aim has been achieved, although the group of secondary schools and multi-level institutions is covering nearly 60% of the respondents in this survey, all other levels are present.



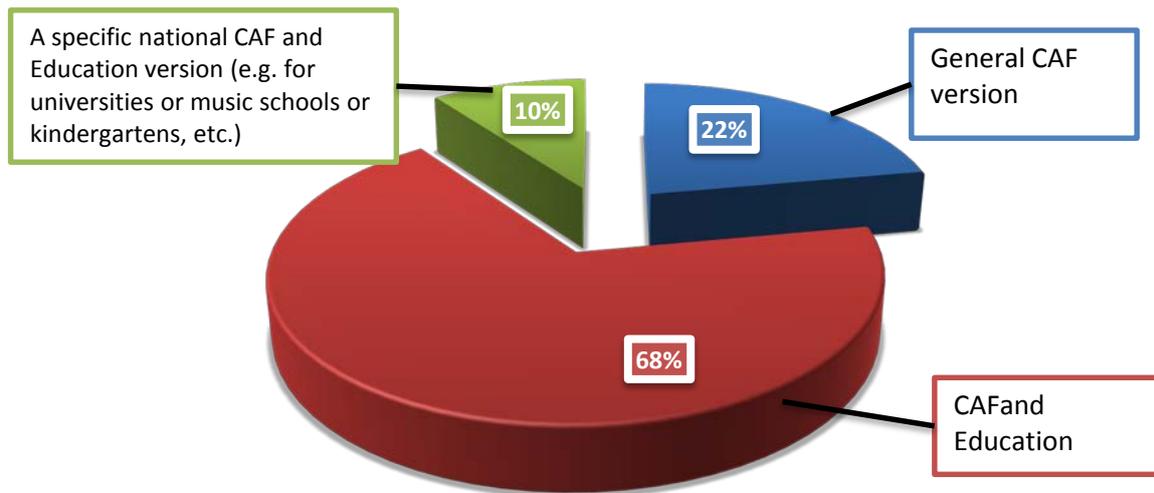
In terms of size the representation is even more nicely spread. Knowing that between the smallest institution (5 staff members) and the largest one (2163 staff) there is quite a difference, the CAF proves to be able to be implemented in all kinds and sizes of institutions.

SIZE of the Organisation	%	% teaching staff	% expert* support	% administrative staff	% operational staff	Average Learners/staff
from 0 to 10	15%	73,23	0,52	14,97	11,28	783
from 11 to 50	9%	72,64	3,43	13,00	10,93	833
from 51 to 100	22%	73,41	2,08	8,51	15,99	656
from 101 to 200	42%	77,56	1,17	9,51	11,76	1136
from 201 onward	12%	64,77	4,12	14,08	17,03	5179

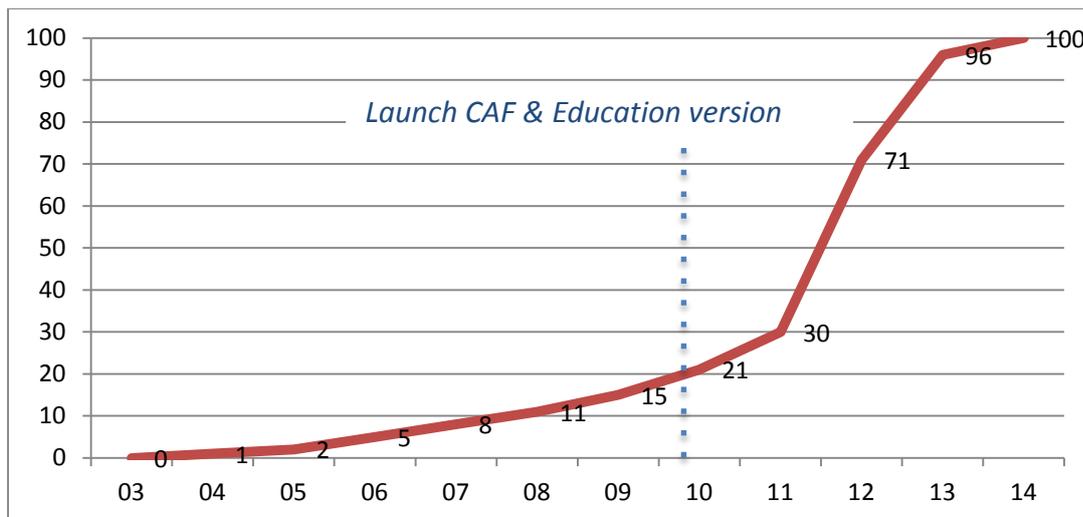
## 1.2 The use of CAF

Most of the respondents (68%) are working with the CAF and Education version of the model. The adaptation of the “classical” general CAF version with a concrete translation of examples to the sector of education demonstrates to be well approved. Still 22% of the education sector organisations is working with the general CAF version and finds it perfectly workable.

**Which version of the CAF has been used and how many times?**



Because of the large use of the CAF and Education version (launched in 2010) the use of CAF in the Educational sector is a relatively new dynamic. The cumulative percentages show big steps forward in numbers of users between 2010 - 2011 (9% increase) and 2012 - 2013 (25 % increase), but the most remarkable increase (41%) is reported during 2011 – 2012.



An important factor to explain this remarkable increase in implementation was the launch of the Italian CAF strategy in the sector of education and training. A small description of the major lines of the strategy is provided in the text box below.

### Inspiring Example: a CAF strategy (2012-2015) in the sector of education and training (Italy)

The project “CAF for MIUR” has been planned in the context of the 2007-2013 EU Programming and the National Operational Programme “Competencies for the Development”, related to the initiative to improve Administrative Capacity Building in education institutions. It has been sponsored by the European structural funds, managed by the Ministry of Education, University and Research (MIUR) and it’s being realized by the Department of Public Administration (DPA), in collaboration with FormezPA acting as national CAF resource centre.

The main goals are:

1. the introduction of self-assessment and continuous learning processes based on the CAF (the adapted model for the education sector)
2. to create the conditions to spread more and more the knowledge for using the CAF via school networking and the implementation of a CAF Hub to activate a multi-actors supporting system.

The project is targeted to the Education and Training Institutions of four Italian regions - Campania, Calabria, Puglia and Sicilia. This area counts over 3,900 schools, with different concentration across the Regions (Campania and Sicilia host about 2,500 schools) and a dominant focus on primary education (over 70% are primary schools).

All participant schools have to realise in a defined time scheduled (a) a CAF self assessment resulting in a self assessment report and (b) develop and implement the related improvement plan with the support of the project team. Main goals to be reached: a high level of impact in terms both of the number of schools to be actively involved and the delivery of the expected outputs by a significant percentage of the supported ones (over 70% as a minimum).

The keyword in order to define the supporting strategy has been “people empowerment” taking into account the roles and knowledge on quality issues already spread in the Education sector even in the south Regions of Italy. So, initially information and data on the pre-existing people knowledge, the maturity levels of the organisation and the ICT facilities were gathered. The first year started with a mixed approach – including online support for more advanced schools and onsite technical assistance for the less advanced – and then evolving towards a stronger at a distance supporting strategy. On the basis of the obtained results – comprising the progress in the demand of participation, the compliance with the expected outputs and the customer satisfaction results - every year the project reviewed its strategy and upgraded the tools.

Many different means of support have been put in place and implemented, involving mainly but not only the people directly in charge of the self assessment process.

- ✚ **Regional seminars** : to launch annually the project initiatives and present the results. *21 seminars organized with about 1900 schools and more than 3300 participants as an audience.*
- ✚ **Webinars**: interactive seminars conducted via web consisting in real time live presentations dealing with the CAF model, the Self-assessment process and the Improvement planning. *13 webinars were realised and 2044 persons participated.*
- ✚ **Achievement self-tests**: related to webinar main contents - a quick way to detect and recover knowledge gaps. *10 tests are available concerning the model itself and the CAF implementation process.*
- ✚ **Virtual classes**: interactive classes, based on simulations and case studies, aimed at filling the knowledge gaps observed by the analysis of the achievement tests fulfilled by schools after the webinars. The main focus is on the collection and analysis of data, the self-assessment report and the improvement plans content. The users can participate through chatting, video-chatting, file-sharing or asking questions with a microphone. *6 virtual classes cycles were realised and 1500 persons participated.*

- ✦ **CAF Video Clips:** amusing way to learn about CAF, based on well-known TV formats (like camera café or the big brother thinking room, etc.) set in the school context. The main themes of the clips are Leadership, Strategy, Empowerment, the self assessment report and the Improvement plan content. *To date, 7 video clips have been created.*
- ✦ **CAF territorial meetings:** they are conceived as an interactive experience that motivates and engages the participants. The meetings realized at regional level focus on the CAF model, the self assessment process and the improvement planning. Role playing, motivational games (like the body percussion) and practical team activities are the main tool used. *84 meetings organized with 1400 participants.*
- ✦ **Tool kit:** a kit collecting all the materials and tools to support the use of CAF model available in digital format.

During 2014 a new initiative as been launched. *F@CILE CAF* (meaning *e@syCAF*) offers to the schools the possibility to implement the use of CAF by themselves in a autonomous way, using all the above means of support accessible from an *ad hoc* online platform for CAF implementation.

Well trained “CAF facilitators”, coming from the schools that have previously implemented CAF in the same territories, inform, help and motivate them mainly at a distance through the platform itself (via webinar and virtual desk). The goal of *F@CILE CAF* is to take advantage from the competencies developed by the previous CAF expert users and to use this know-how together with all the tools realized by the project, adapting them to a new supporting scheme, in order to stimulate territorial partnerships. This phase of the project is now being implemented.

To activate a multi-actors supporting system to be based on the territorial actors, sustained in future at a distance by the National CAF resource Centre, the project has in fact invested a lot in specific training activities involving:

- ✦ the Regional School Offices, to create CAF teams inside them;
- ✦ the CAF expert users, people coming from the schools who successfully self-assessed in 2012 and 2013 in the frame of the project trained to act as “facilitators”.

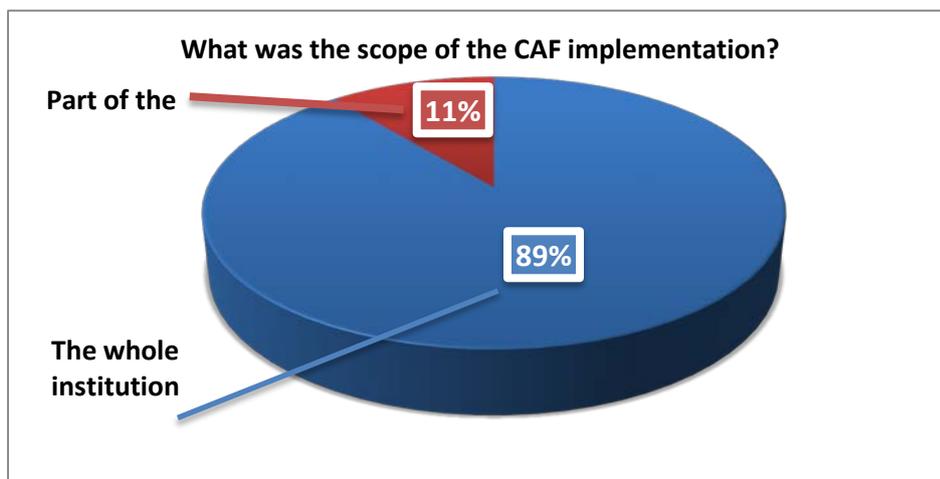
The latter are the heart of the so called “Competency CAF HUBS” created to ensure continuity of support actions in the Regions after the end of the project to help spread the model trough a self-supporting network. Up to now in the framework of the overall project 541 schools have been actively involved, 382 self-assessment reports were drafted and 323 improvement plans were defined. 107 schools are now in the CAF implementation process going to deliver the SA report. These schools are using the “F@CILE CAF” platform, with different degree of support being delivered by the CAF Facilitators and/or the CAF resource Centre help desk. The project will be over at the end of June 2015 and by its closure the network of the CAF expert schools will be formally set up and, after a final evaluation, the platform with all related tools will be finalised to become accessible for many other public organisations assisted at a distance by the National CAF resource centre of Italy.

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Interesting is the number of times organisations already used the CAF. It is to be expected, because of the relatively young dynamic (since 2010) that usage is limited to 1 or 2 times. This assumption is indeed confirmed by the respondents. 62% used the CAF once and 23% 2 times. Nevertheless 11% reported they used the CAF already 4 times or more.

Number of times used			
1 time	2 times	3 times	4 times and more
62%	23%	4%	11%

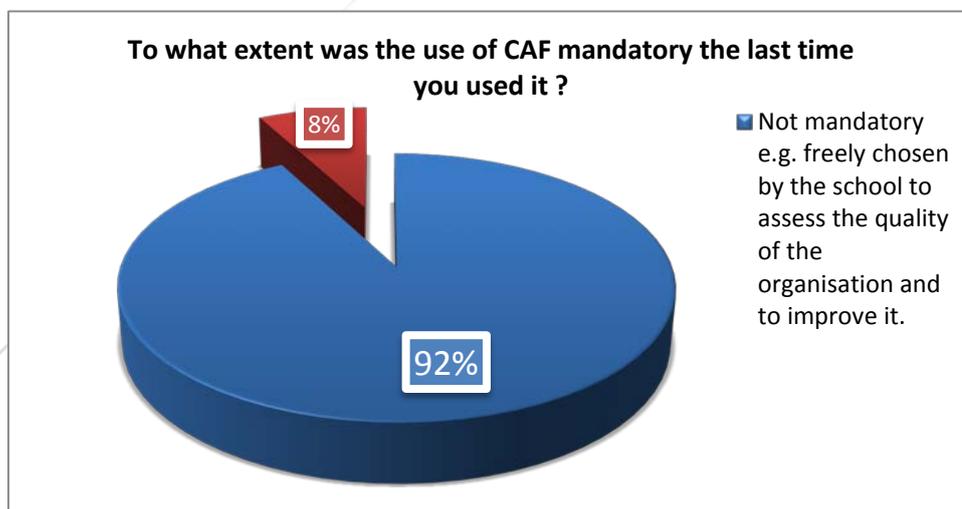
Far most (89%) of the organisations are using the model for the whole of the institution. Only 11%



applied CAF in a part (secretariat, specific level of the institution) of the organisation. These findings are quite in line with the findings dating from the 2011 general European CAF study during the Polish EU Presidency in

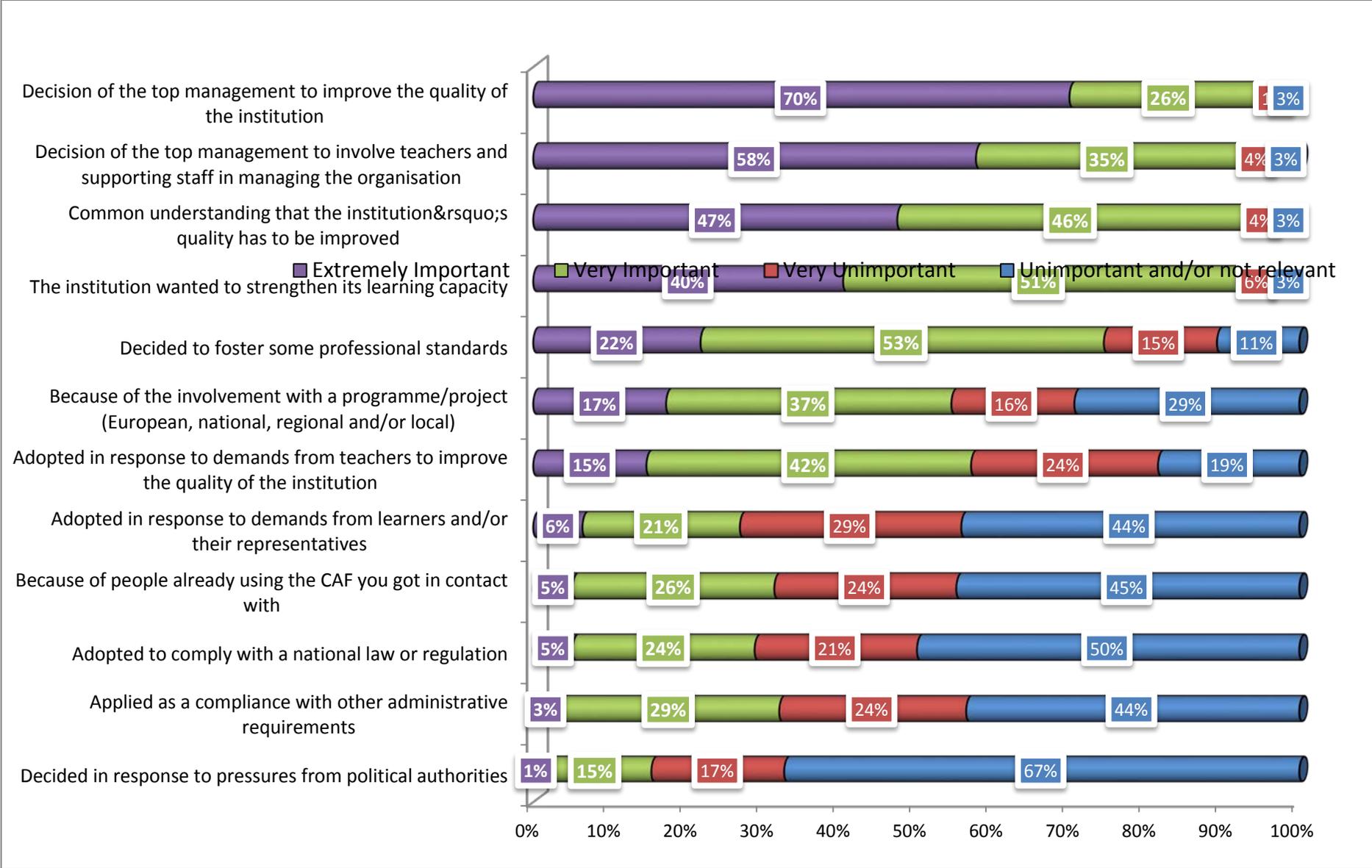
which nearly 80% of the organisations indicated they use(d) CAF for the whole of their organisation.<sup>3</sup>

In the same way comparable to the 2011 study is the extent to which CAF is mandatory or not mandatory, i.e. a decision from the school itself to implement the model and start working on quality. In 92% it was the latter case.

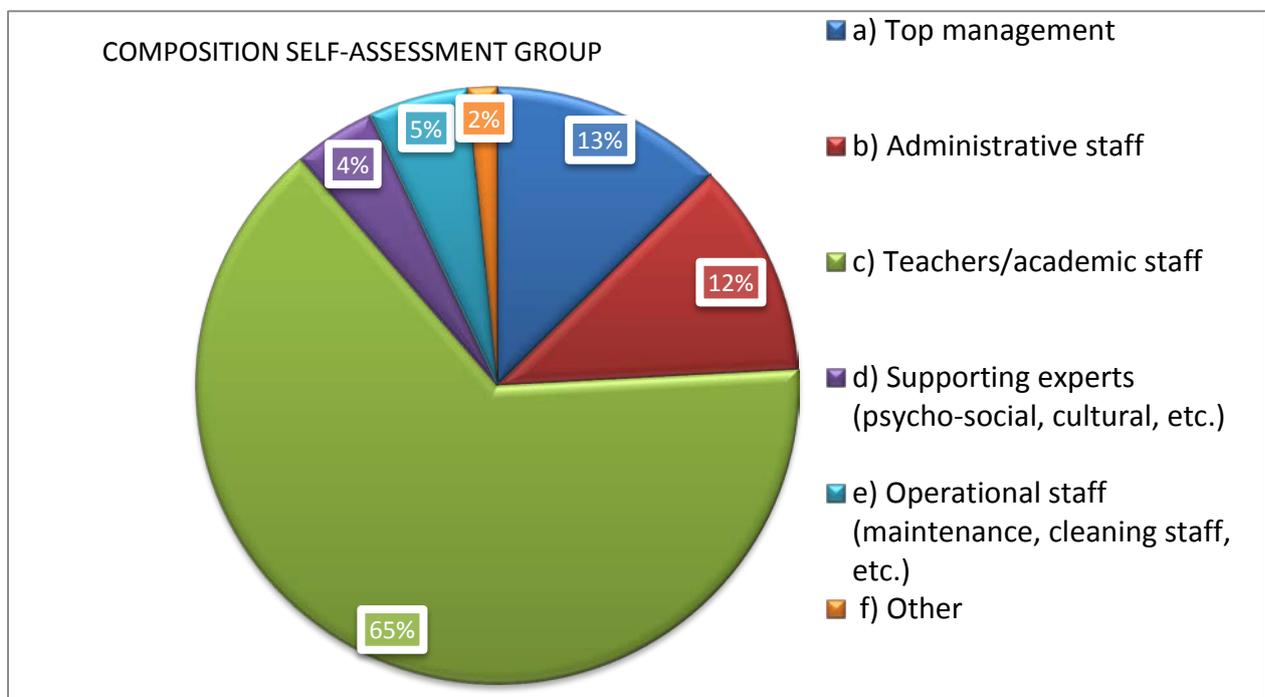


Interesting to know subsequently is of course the internal reasons why these institutions choose to start working with CAF. The next question gives some detailed insight: “Could you please indicate why your institution decided to use the CAF?” Below is a list of possible answers that might have been decisive in using the CAF. Please indicate the importance of each reason for your organisation.

<sup>3</sup> Staes, P., Thijs, N., Stoffels, A., Geldof, S. (2011). Five Years of CAF 2006: From Adolescence to Maturity – What next? A study on the use, the support and the future of the Common Assessment Framework. (EIPA)

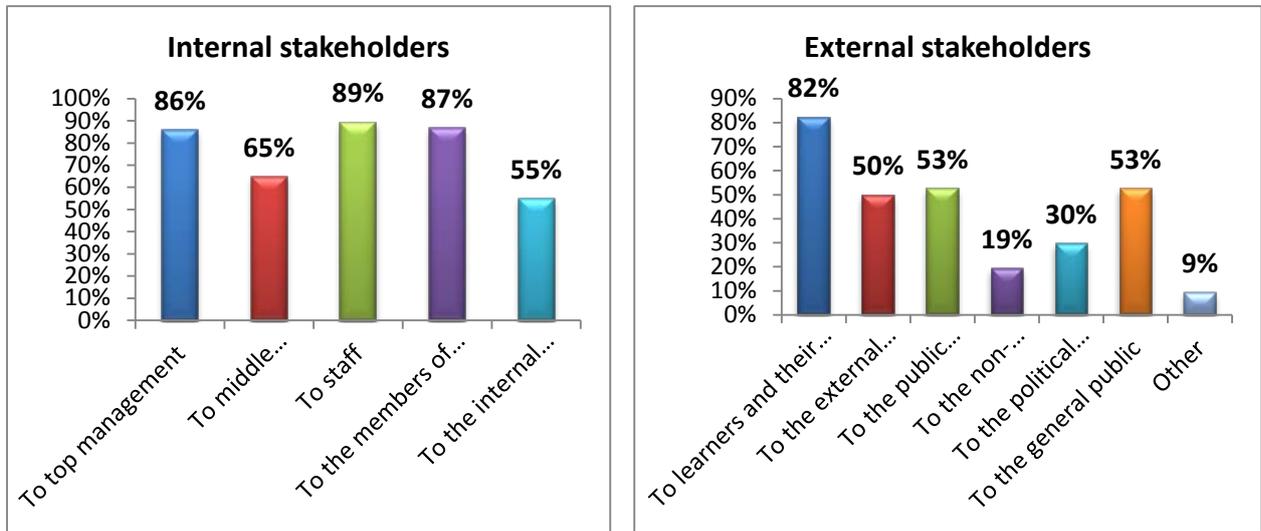


The role of the leaders to strengthen generally the organisation and its performance is crucial as a reason (1<sup>st</sup>, 3<sup>rd</sup> and 4<sup>th</sup> reason). Remarkable, but inline with earlier results of CAF research, is the willingness to involve teachers and supporting staff in the management of the organisation. The bottom-up approach with CAF seems to be a notable fact also in the education sector. This participatory approach was recognised by many CAF users as strength. “By creating an atmosphere of openness and involvement, the CAF model is uniquely able to achieve excellence. Empowerment and ownership are the key concepts here, as employees, whatever their role, must feel empowered to participate, as well as feeling that their contributions are considered worthwhile, thus creating a feeling of ownership. This is vital throughout the process of implementing CAF in any organisation, but it has its roots in the self-assessment process, which allows for cross-hierarchical and cross-departmental participation.”<sup>4</sup> This participatory approach is well reflected in the composition of the self assessment teams. The largest group of participants represented in the groups are teachers/academic staff (65%).

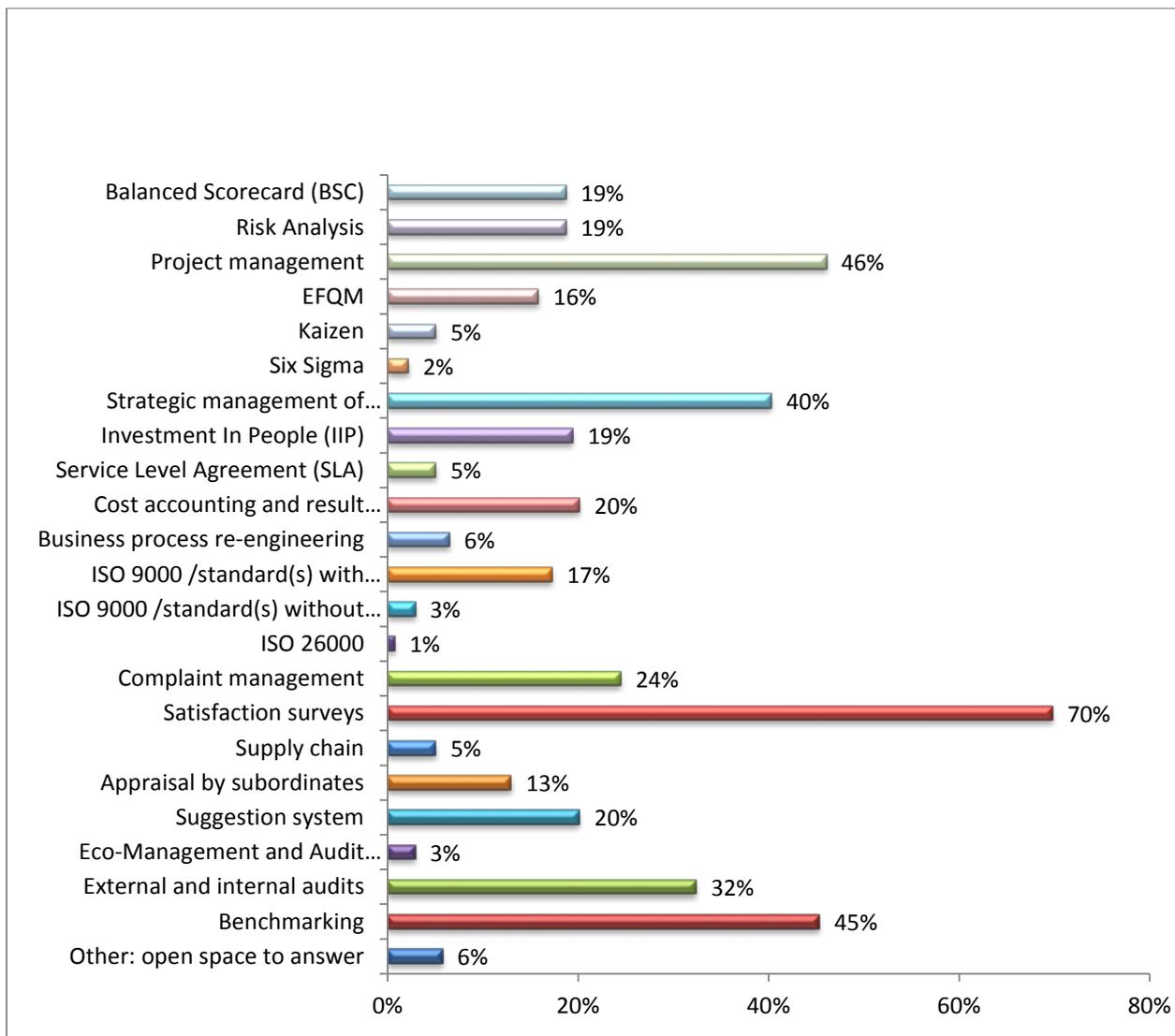


<sup>4</sup> Thijs, N. (2013), *How the CAF Model Strengthens Staff Participation*, Lithuanian Presidency of the EU, *European Public Administration Network*, 24p.

Also in the level of communication this involvement is shown. The self-assessment report was communicated in 97% of the organisations to the “internal stakeholders and in 80% to the external stakeholders. The graphs below demonstrate the distribution in both groups (internal & external)



CAF is for institutions a stepping-stone for the further use of instruments and further development of Total Quality Management in the organisation. The graph below illustrates to which other instruments the use of CAF inspired the institution in the further development of TQM. Satisfaction measurement is far most the most important one, followed by project management and the management of staff competencies.

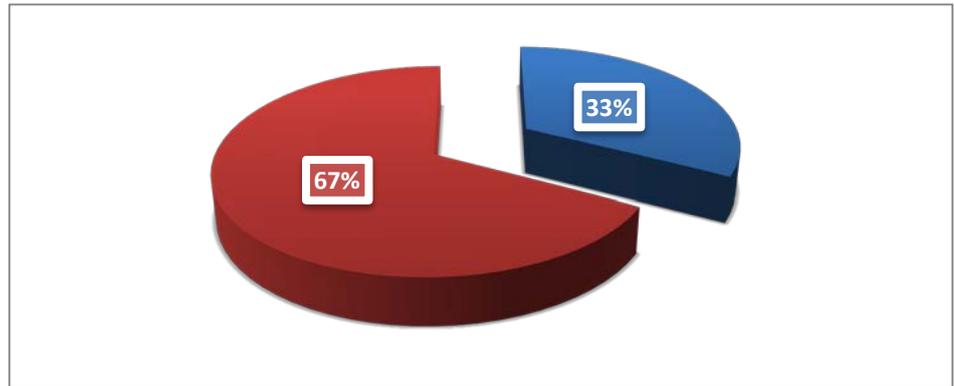


Nothing is of course perfect and previous studies have demonstrated that many organisations struggle with the implementation of the action decided after the CAF self assessment. What were the main obstacles encountered in realising the improvement actions of the action plan in the sector of education?

The lack of financial resources was indicated as an important reason. This will –unfortunately- always be high on the list. Although this is something that a good action planning should take into account. What are the resources needed to implement an action. How feasible is it we can get these resources? Besides the resources other internal factors come across. Lack of recognition is the most important one and clearly an issue where leadership needs to play an important role to keep the implementation on the agenda and give it the support and attention it deserves.



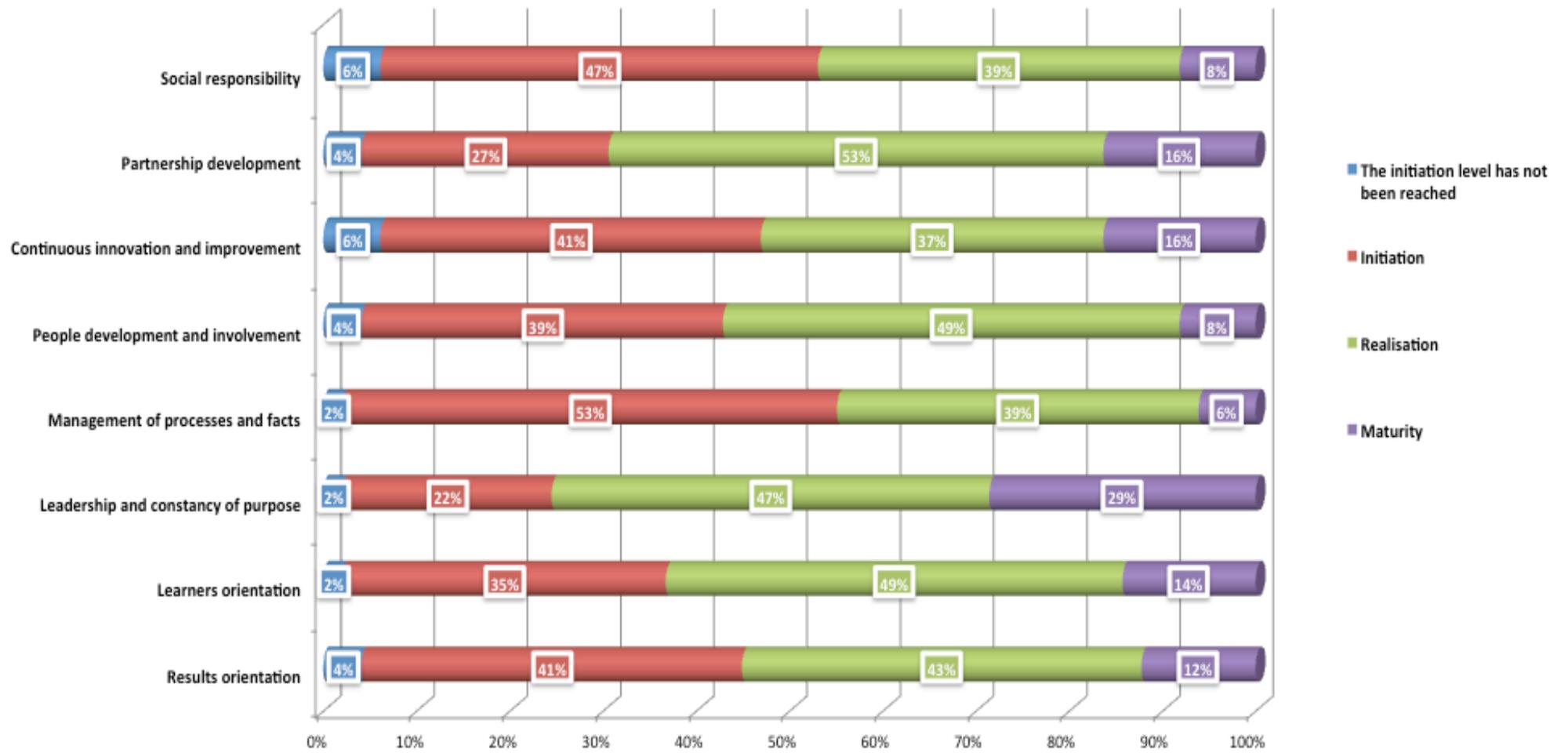
In the beginning of 2010 the Procedure on External Feedback was launched. This allows organisations to receive feedback (and potentially a label of an “effective CAF user”) from third party feedback actors. These



feedback actors evaluate the quality of the CAF process, the way in which the follow up improvement actions are undertaken and to what extent the organisation is becoming stronger. The latter issue is assessed based upon the principles of excellence. At the moment of the survey, 33% of the respondents participated in the External Feedback Procedure.

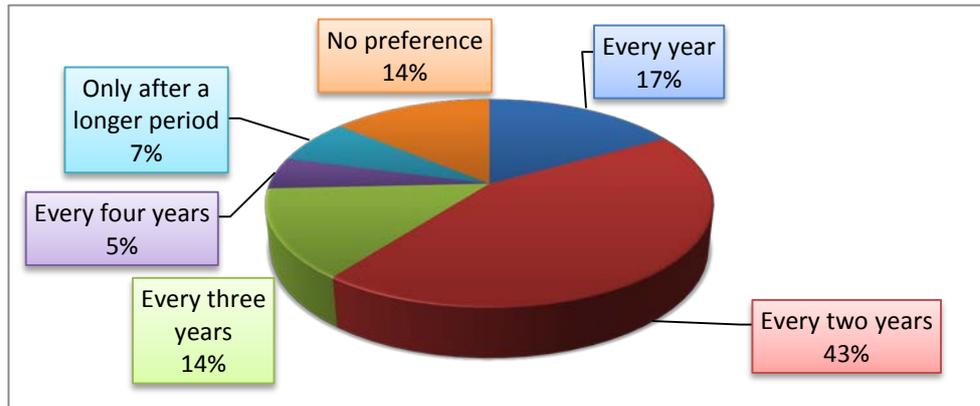
This group of institutions was asked which level of maturity (below the initiation level, initiation level, realisation level or maturity level) they reached (as was given to them by the external feedback actor).<sup>5</sup> Some striking results are (a) the high score on “leadership” 29% mature and 47% realisation level, (b) both the results orientation and the learners orientation and (c) the people and partnership development.

<sup>5</sup> For more info on the External Feedback Procedure and the levels of maturity see [www.eipa.eu/CAF](http://www.eipa.eu/CAF)

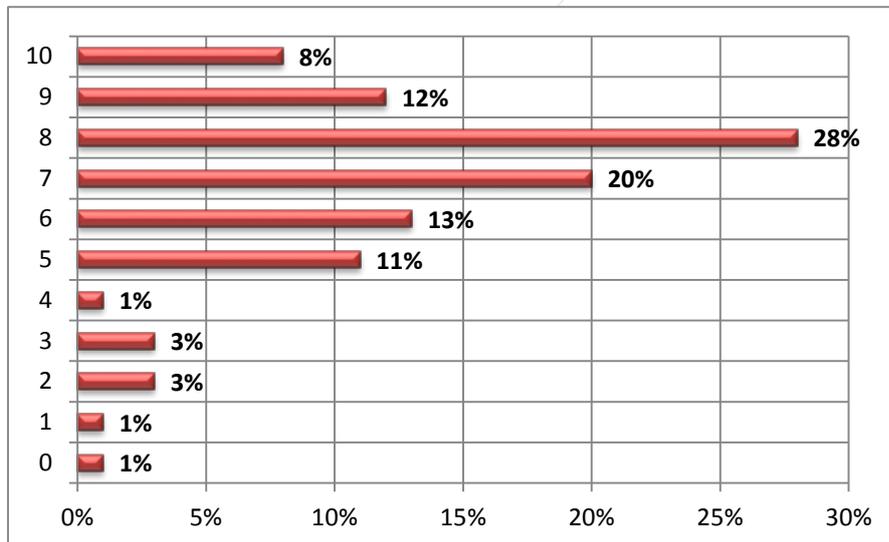


In order to improve over time and inline with the dynamic of continuous improvement, working with CAF should not be a one-off exercise. On the other hand –and as highlighted through this study again- CAF demands some investment, some capacity, some efforts from the organisation. So this should be well taken care of in planning the next CAF cycle (preparation, self assessment and follow-up). What is the current experience of organisations working with CAF. Which is the interval chosen in the institution to use the CAF?

CAF is not prescriptive on the time-scale, but we note that most organisations (43%) are working with CAF every 2



years. This makes sense in the way that doing the self-assessment itself takes time and the organisation also needs to give itself the time to realise the improvement actions as a follow-up. Therefore 2 years might be a feasible timing. But it might be that organisations need more time to realise this (self-assessment and follow-up) or be more in line with the overall strategic planning cycle of the organisation (3 years, 4 years). On the other extreme, some organisations (17%) do it every year. Certainly more experienced users use CAF as a “health check” on a yearly base and plan more in-depth CAF self-assessment every couple of years. The risk with a too tight timing and interval is that CAF becomes a “box-ticking exercise” or a bureaucratic exercise.



On an overall level we note that the level of satisfaction of the use of CAF was quite high. For a large part the use of CAF lived up to the expectations. And equally important is the fact that 86% of the institutions want to continue to work with CAF in the future again.



## PART 2

### Results & Impact with CAF in Education sector

The second part deals with the **results and impact** of implementing CAF in the organisation. The process of implementing CAF (in part 1) is an important aspect, but what is realised, what is improved by working with CAF is crucial. The latter aspects are in the core of this second part. What was the nature of the improvement actions undertaken? What was the result of these improvement actions? To what extent did the organisation become a stronger, more mature and better performing organisation?

#### 2.1 Improvement actions

Deciding on improvement actions and implementing these are an essential part of the CAF. Getting a deeper insight in the improvement actions is a first means to get an understanding of the functionality (and impact) of CAF. What are the actions decided most by education institutions and how are these actions linked to the results areas of the CAF. In this first point we focus on the improvement actions: their nature (2.1), their link (and cross connection) with the results criteria of the CAF (2.2) and the impact on the overall culture in terms of the progress on the principles of excellence.

##### 2.1.1 Nature of the improvement actions

What are the improvement actions chosen by educational institutions? Institutions were asked what actions appeared in their improvement plan. Below is the list of all the 28 sub criteria of the CAF model and the number of times they appear in the action plans.

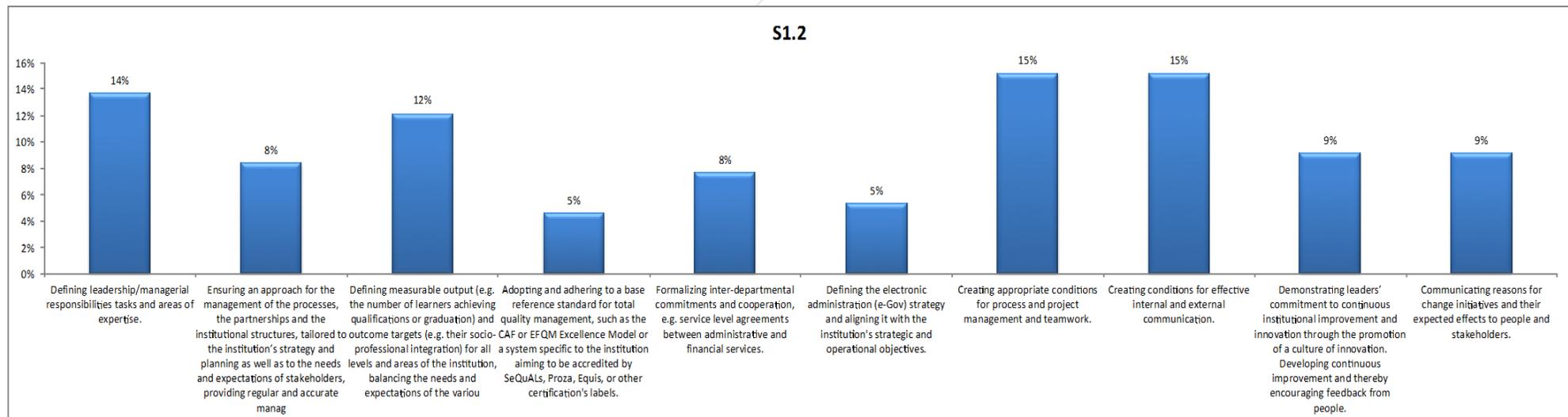
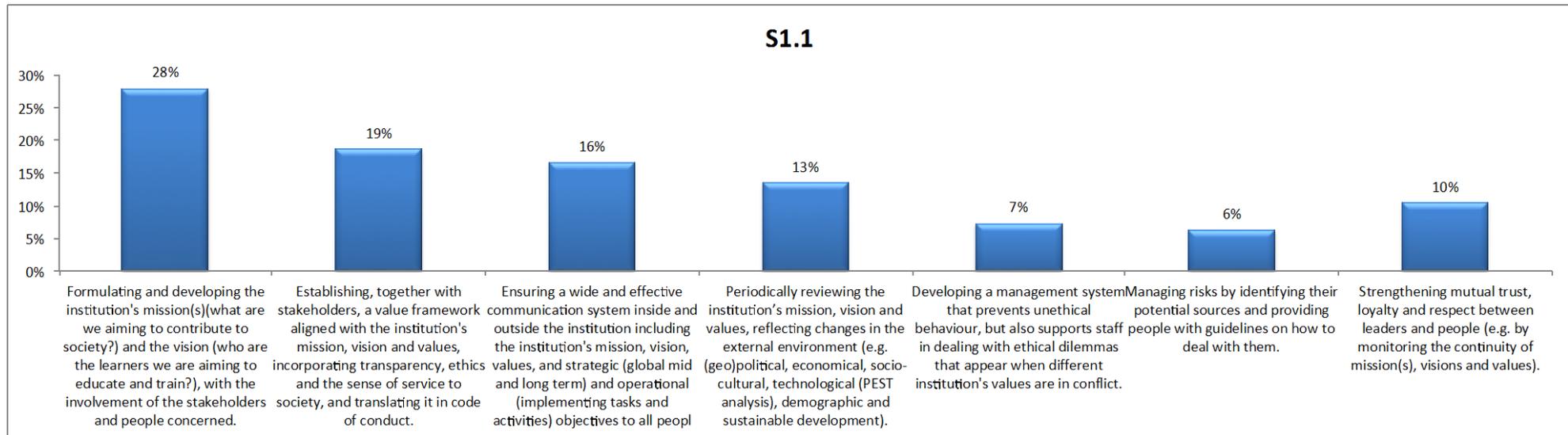
Sub criterion	Name	Number of times in action plan
1.1	<i>Provide direction for the institution by developing its mission, vision and values.</i>	46
1.2.	<i>Manage the education and teaching institution, its performance and its continuous improvement.</i>	50
1.3.	<i>Motivate and support people within the institution and act as a role model</i>	31
1.4.	<i>Manage effective relations with political authorities and other stakeholders</i>	23
2.1.	<i>Gather information on the present and future needs of stakeholders as well as relevant management information</i>	33

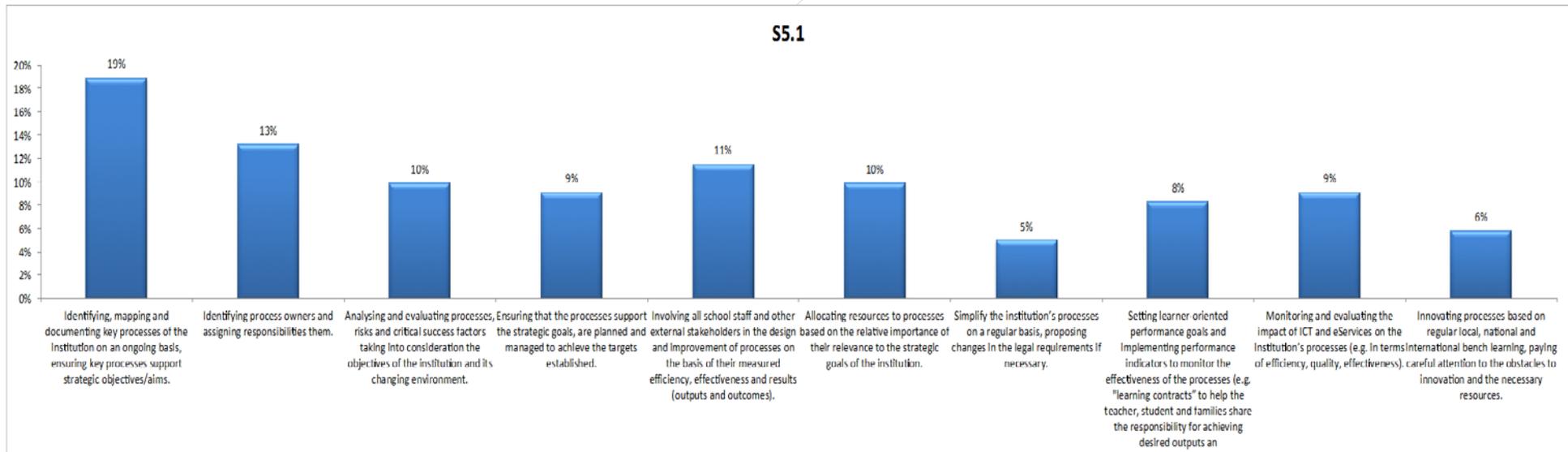
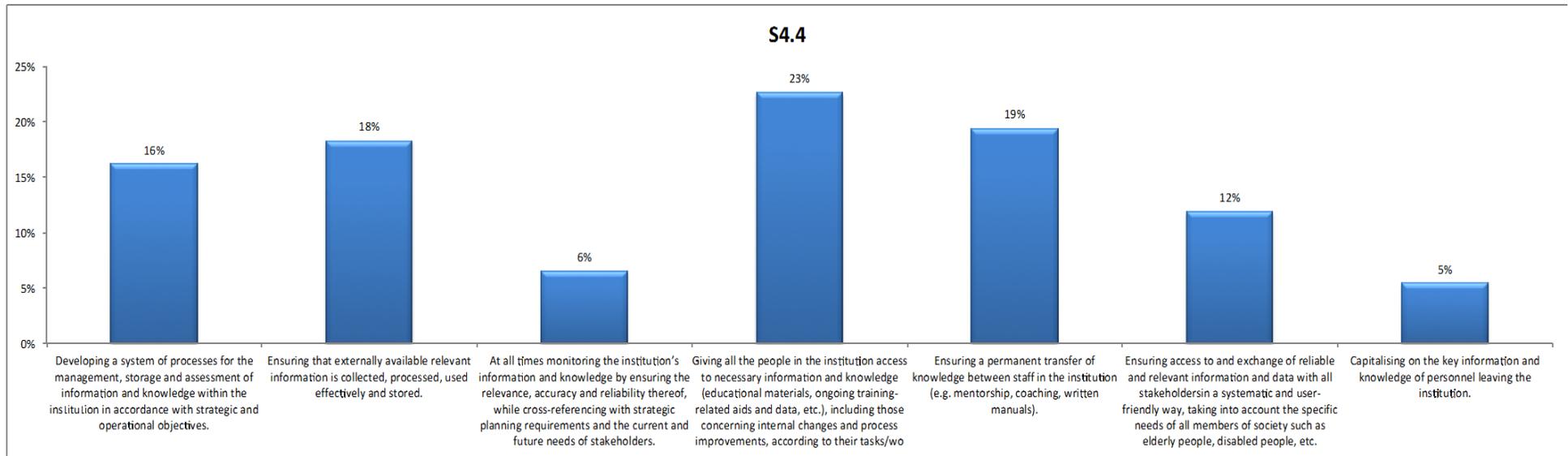
2.2.	Develop strategy and planning, taking into account the gathered information.	37
2.3.	Communicate and implement strategy and planning in the whole institution and review it on a regular basis.	38
2.4.	Plan, implement and review innovation and change.	41
3.1.	Plan, manage and improve human resources transparently with regard to strategy and planning	38
3.2.	Identify, develop and use competencies of staff, aligning individual and institutional goals	29
3.3.	Involve staff by developing open dialogue and empowerment, supporting their well-being	36
4.1.	Develop and manage partnerships with others institutions	33
4.2.	Develop and implement partnerships with learners	31
4.3.	Manage finances	11
4.4.	Manage information and knowledge.	47
4.5.	Manage technology	40
4.6.	Manage facilities	11
5.1.	Identify, design, manage and innovate processes on an ongoing basis	55
5.2.	Develop and deliver learner/stakeholder-oriented services and products	44
5.3.	Coordinate processes across the education and training institution and with other institutions.	23

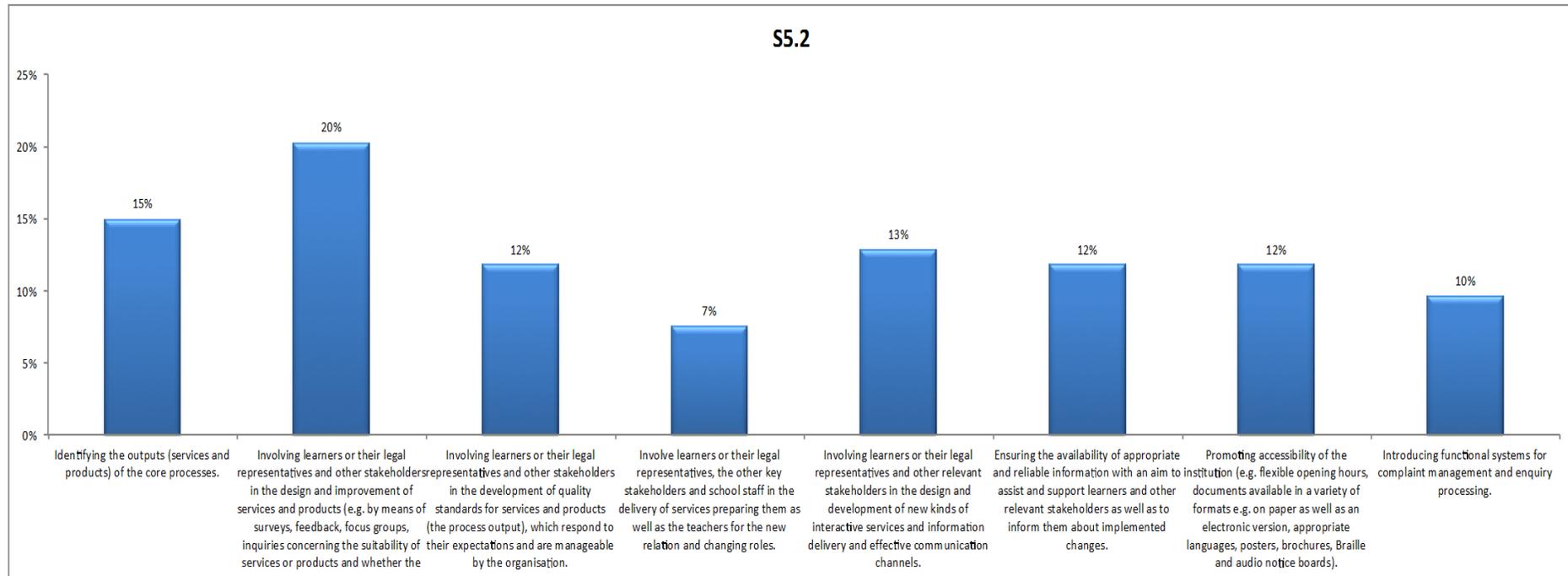
From the above overall list the following top 5 actions can be distracted.

5.1: Identify, design, manage and innovate processes on an ongoing basis
1.2: Manage the education and teaching institution, its performance and its continuous improvement.
1.1: Provide direction for the institution by developing its mission, vision and values.
4.4.: Manage information and knowledge.
5.2: Develop and deliver learner/stakeholder-oriented services and products

As with the general CAF Model, the CAF Education version also includes a number of examples for each sub criterion. Below we indicate for the top 5 sub criteria to which examples the actions undertaken correspond most.







### 2.1.2 Linking actions to results

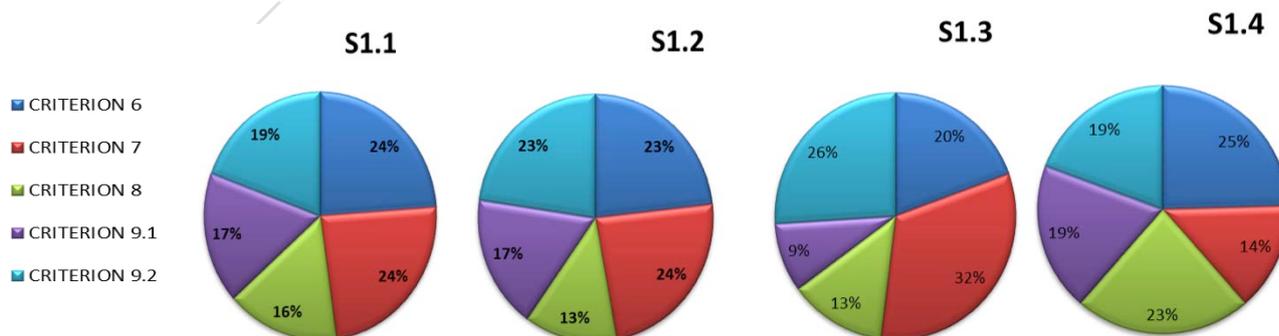
The holistic approach of TQM and CAF does not simply mean that all aspects of the functioning of an organisation are carefully assessed, but also that all the composition elements have a reciprocal impact on each other. In this paragraph we highlight the cause-effect relationship between the left part of the model (the enablers – causes) and the right part (the results – effects).

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

In this research we asked the institutions to indicate to which of the results criteria of CAF the chosen actions are linked.

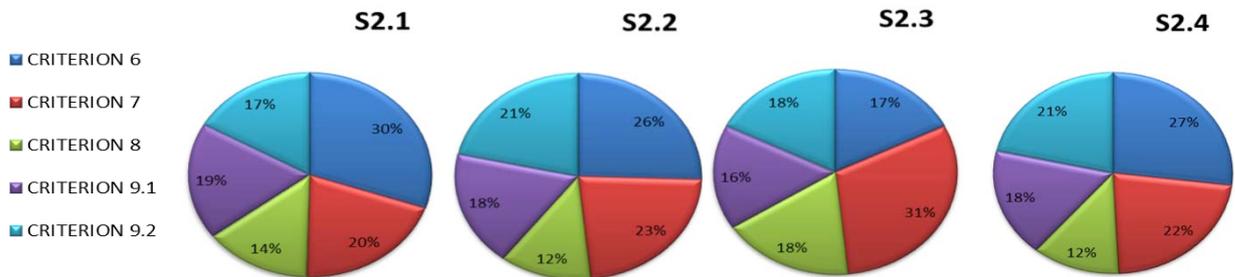
#### Criterion 1 and the link with the results criteria

Below we indicate the four different sub criteria of criterion 1 (leadership) and the impact on the related results criteria that was given by the institutions from the education sector. All four have a high impact on criteria 6 (citizen-users) and 7 (people results). To be expected would also be a high impact from leadership on the key performance results, and certainly on 9.1. The impact on 9.1. is in all 4 sub criteria present, but not extremely. The reported impact on the internal functioning (9.2) is even more present in all four. We like to attract special attention to the obvious link between 1.3. (the motivation from leadership towards staff) and the impact on the people results (criterion 7).



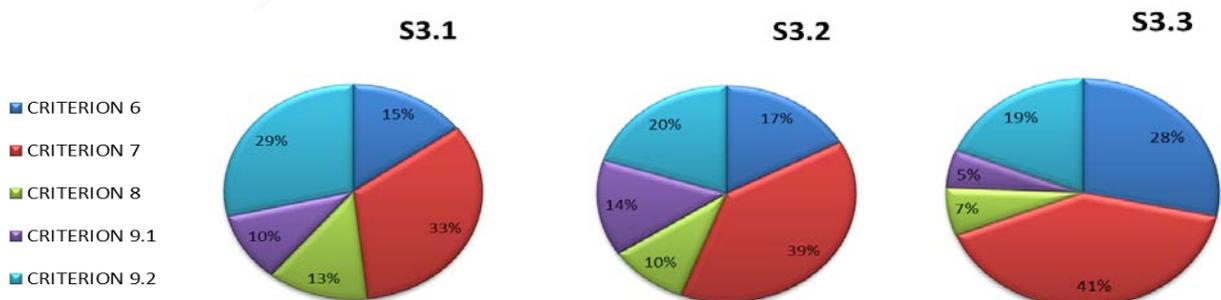
**Criterion 2 and the link with the results criteria**

Criterion 2, strategy and planning, should be the link towards the key performance results and certainly to criterion 9.1. This link is most obvious in sub criterion 2.2. (formulation of strategy and planning ) and 2.4. (planning modernisation and innovation). For the other two sub criteria the link with 9.1 is definitely present but the reported impact on criteria 6 in case of sub criterion 2.1 and 7 for 2.3 is reported more important. In case of 2.1. (gathering info to create the strategy and planning) the impact on the citizen-users is understandable. It is in this sub criterion that citizen-users are consulted on their needs and expectations. In criterion 6 , institutions measure to what extent they were able to meet these expectations. The reported impact from 2.3. (implementation of the strategy) is very interesting. This sub criterion has the strongest link with criterion 7 (staff results). In this way the importance for good communication about the strategy and the on-going monitoring for staff motivation and satisfaction is underlined.



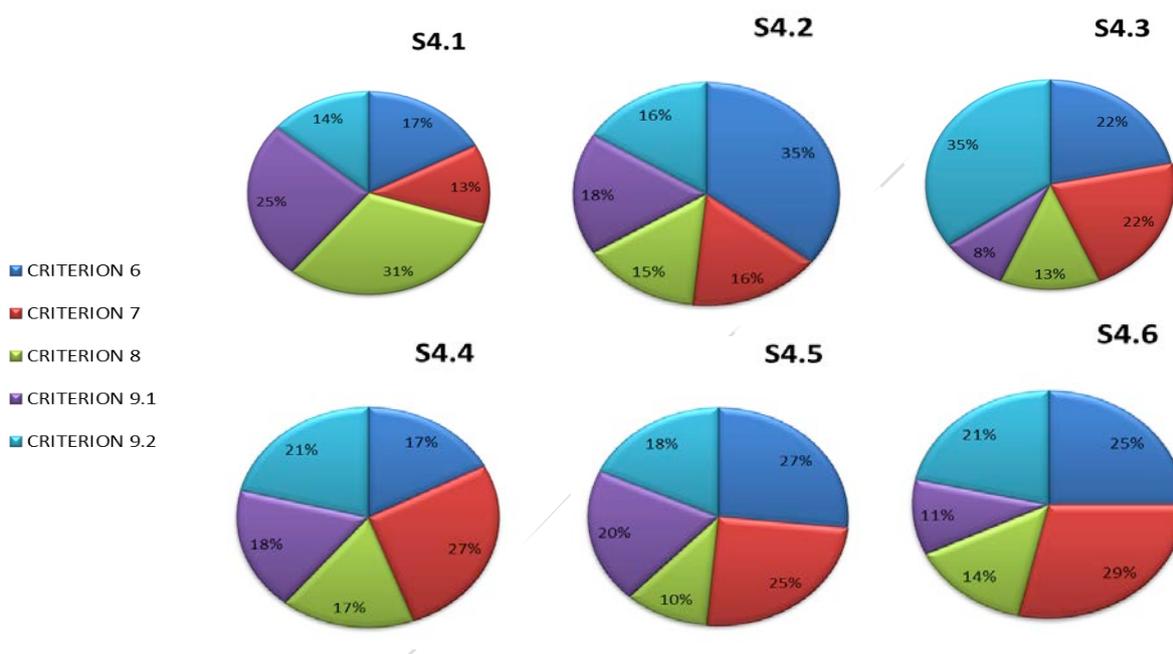
**Criterion 3 and the link with the results criteria**

Not surprisingly this third criterion (people) has a big impact on the results criterion on people results. Nevertheless also the impact on citizen/users (criterion 6) and 9.2 (internal results) is considerable. 9.2 is even an understandable link, since the (investment in the) quality of the workforce is supposed to have a direct and positive link on the internal functioning, efficiency, productivity of the institution.



### Criterion 4 and the link with the results criteria

Analysing Criterion 4, that is dealing with both partnerships and resources is a challenge although some of the sub criteria and their link to certain results areas are quite straightforward. Starting with the partnerships 4.1 (with the relevant partners) and 4.2 (with the citizen-user). In both of them the link is made directly. 4.2 speaks for itself with a huge impact on criterion 6 (dealing with citizen-user results). 4.1 is interesting, because here an important impact is reported on criterion 8 (social responsibility results). The following paragraphs below (2.2.5 and 2.2.6) deal with measuring the results on criterion 8 (and the indicators used). The collaboration with the “external/surrounding” community seems of key importance for educational institutions. The link with this 4.1 sub criterion can therefore be easily explained.

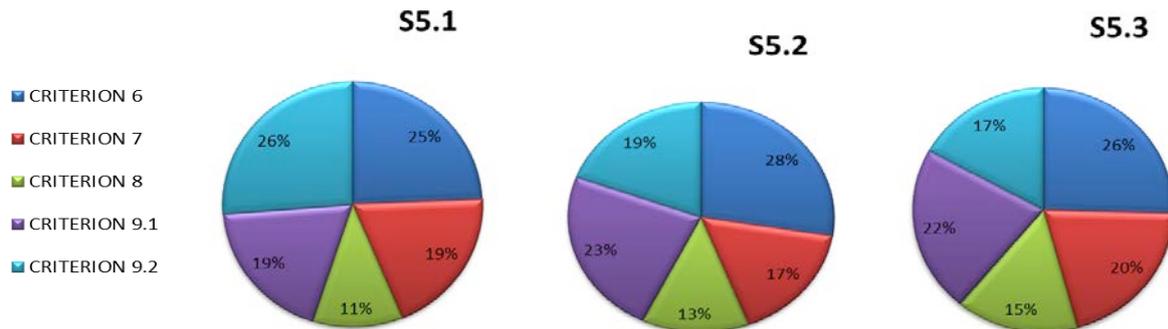


The other resources sub criteria are reported to have first of all big impact on the staff results (criterion 7). 4.3 (financial management) has of course a direct link with the internal results (including financial results) of the institutions. Criterion 4.5 (technology) and 4.6 (facilities) have besides an impact on the staff working in educational institutions also an impact on the users (the learners and their families) of the institutions.

### Criterion 5 and the link with the results criteria

The results on criterion 5 are according to expectations. Criterion 5.1 (management of process) has a strong impact on the satisfaction of citizen-users (6) and the internal well-functioning of the institution (9.2). One could have expected that the impact towards staff could be bigger, since staff are the ones (besides users) that are confronted the most with the organisation of the institution in process terms. The link of sub criterion 5.2. (citizen-user oriented products and services) with the citizen-users results (criterion 6) and the external key performance results (9.1) are straight forward.

Sub criterion 5.3 (internal and external coordination of processes) gives a mixed picture. It clearly has a high impact on 6 and 9.1, but also on staff.



## 2.2 Demonstrating Performance Improvement

Undertaking a number of improvement actions is essential as stated in the previous paragraphs. But the final aim of all of this is of course achieving objectives and improving the functioning and results of the organisation. In this section we focus on the measured results and the reported improvement by the institutions in the field of education. The respondents received various questions related to the 4 CAF results areas and the 8 sub criteria. The results will be analysed and presented according to the eight sub criteria of the CAF model. Questions related to the amount of measurement in the field of education will be dealt with and examples of indicators given. But we will also tackle the question to what extent organisations improved their performance. Did their results on measurements done after working with CAF improved in comparison to the same indicators and measurements before CAF ?



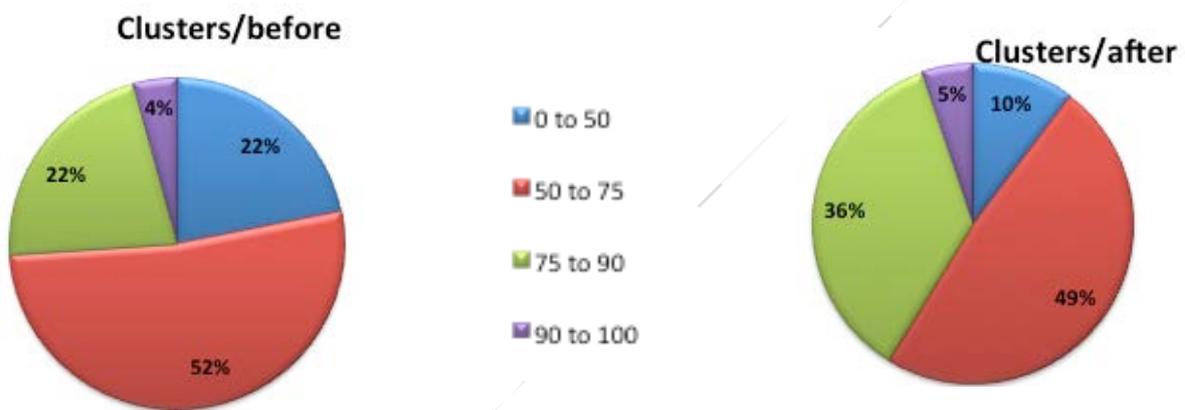
### 2.2.1 Citizen-User Perception Results (Criterion 6.1.)

Criterion 6 describes the results the organisation is achieving in relation to the satisfaction of its citizens/customers with the organisation and the products or services it provides. 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 citizens' and customers' satisfaction is collected by measuring internal indicators. Working on increasing the results of internal indicators should lead to higher satisfaction of the customers/citizens.

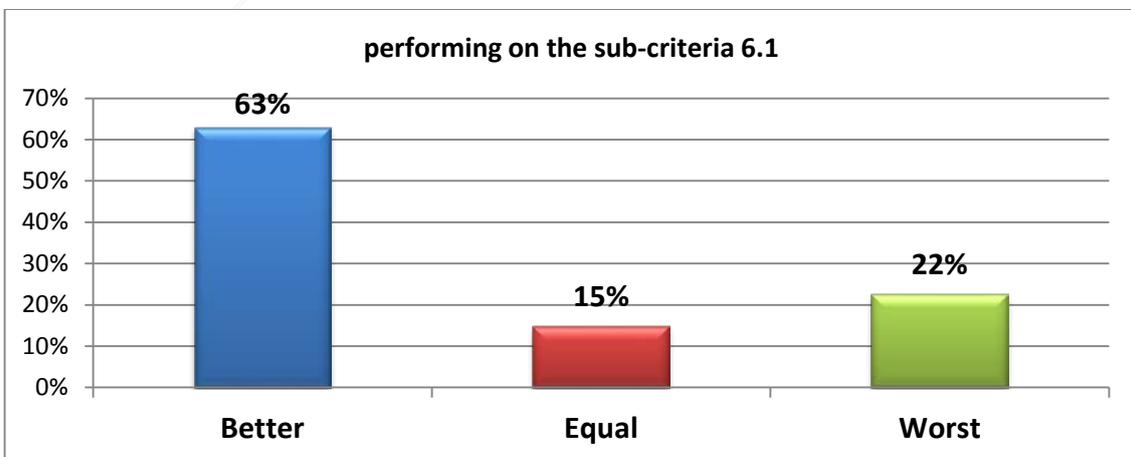
Sub-criterion 6.1. deals with the needs and expectations of customers and citizens through the results of *Perception measurements*. The direct measurement of the satisfaction or perception of the

citizens and customers is of essential importance. Measuring the perception of citizens and customers means directly asking them and getting direct feedback and information on different aspects of the organisation's performance. Following the principle of evidence-based management, it is not the organisation making assumptions on the satisfaction level; instead, direct information from the customer/citizen themselves provides the objective information. In most cases this is done by customer or citizen surveys. Complementary tools such as focus groups or users panels are also used. This sub-criterion assesses whether the organisation performs these measurements and shows the results of these measurements.

74 % of the institutions responded they measure the satisfaction of the users (being it students, family or others) via perception measurements. The average result on this perception before working with the CAF is 63,7%. On the same question, but after working with CAF, the average result is 70,3 %. The graphs below show the distribution of the perception measurements before and after according to different clusters of results.



In general we can see an improvement in absolute performance terms of 6,5% on the satisfaction of citizen/users after CAF was implemented and improvement actions were launched. 63% of the organisations reported they achieved better results on this sub criterion and 15% staying at the same level.

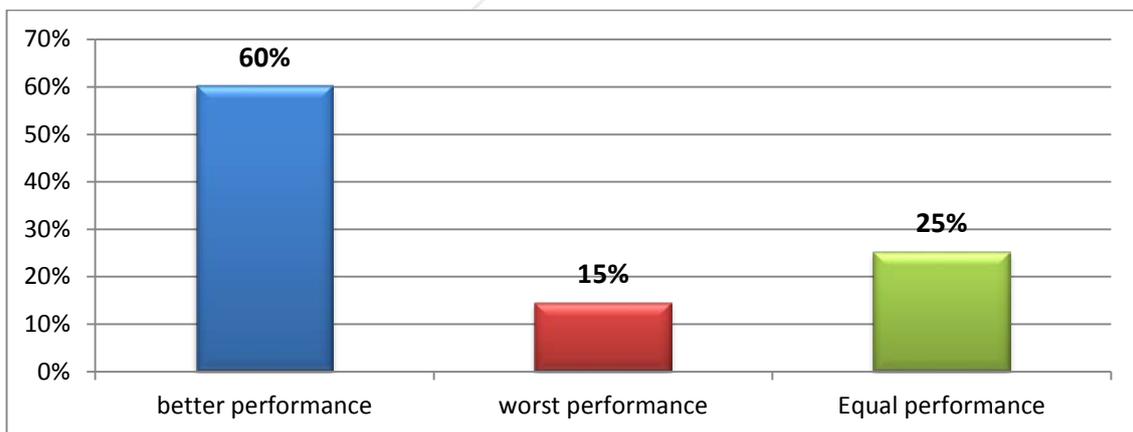
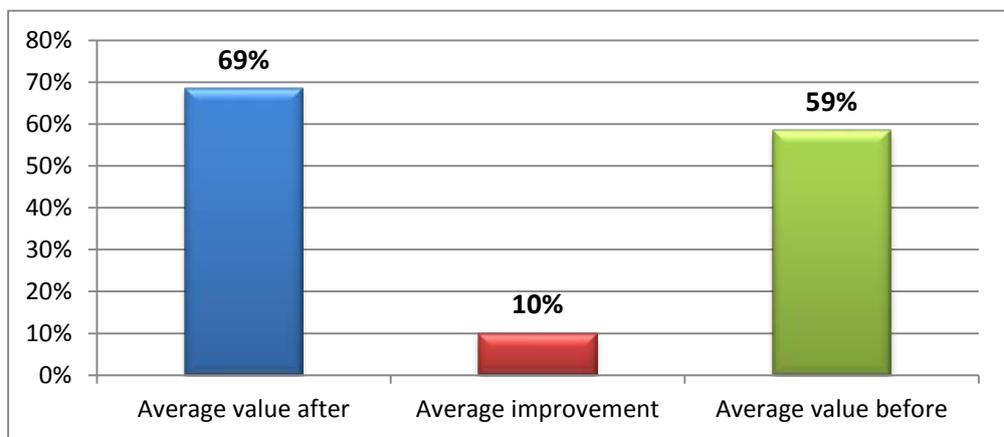


### 2.2.2 Citizen-User Performance Indicators (Criterion 6.2.)

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

59 % of the institutions responded they measure the satisfaction of the users (being it students, family or others) via different kind of performance indicators. The average result on these performance indicators giving info on the level of satisfaction from the citizen/user before working with the CAF is

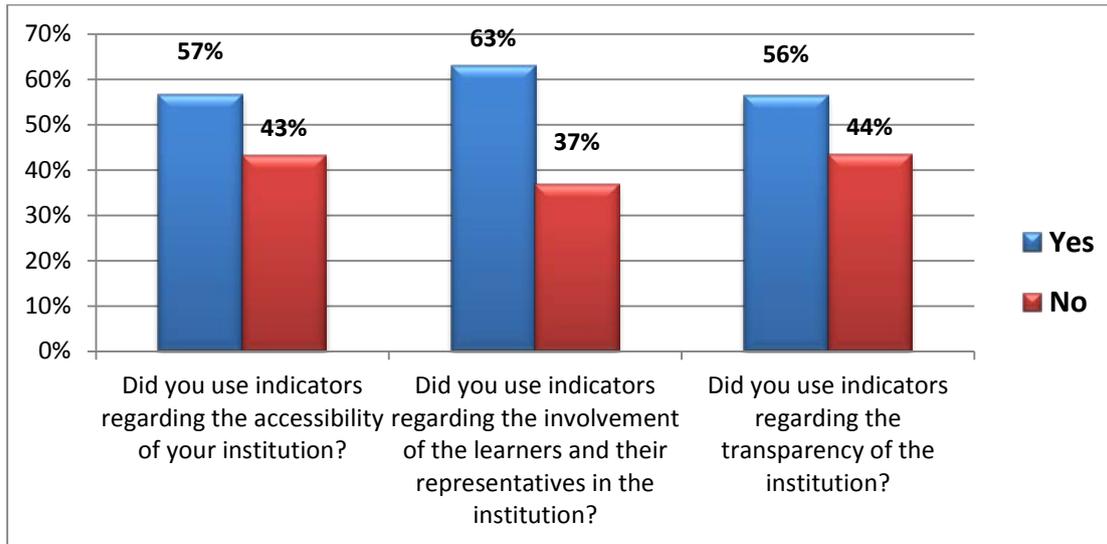
59%. On the same question, but after working with CAF, the average result is 69% and 60% of the organisations reported they achieved better results on this sub criterion.



These results are the combined figures related to the detailed questions regarding different kind of indicators. Organisations were asked if they measure performance on indicators related to:

- Accessibility of the institution
- Involvement of the learners and/or their representatives
- Transparency of the Institution

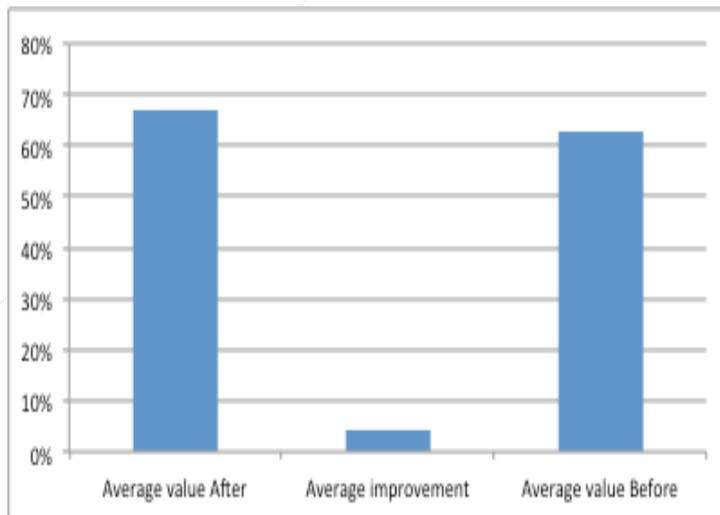
The level of measurement (do you measure yes or no?) is in all three domains substantial.



What do these indicators tell us? How was the performance before and after CAF.

**A. Performance on indicators related to accessibility of the institution**

The average performance score after (67%) and before (63%) doesn't seem to be a major improvement. Nonetheless 65% of the organisations indicate they are doing better after than before (and 16% stay stable). We can conclude that the absolute improvement was a small one, but noted in many organisations.



Below we list a number of indicators (as examples) the organisations are using in order to measure the performance related to indicators giving some info on the level of (dis)satisfaction of the citizen-user (learners, family, etc.).

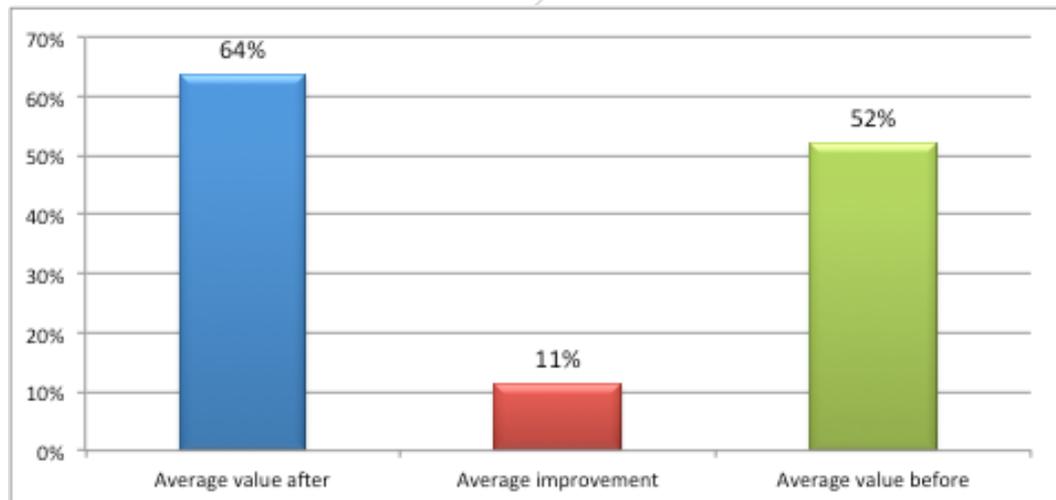
**Box : Examples of indicators used**

- ✚ Efficiency of the secretarial services
- ✚ Opening times and waiting in the various offices
- ✚ Extent of efforts to improve availability, accuracy and transparency of information
- ✚ Schedules and operating rules of spaces and services (bar, canteen, stationery, library, office, etc.) are suitable and known
- ✚ Accessible information quantity and quality
- ✚ % of learners using the website
- ✚ Foreign students
- ✚ Staff number

- ✦ Number of students admitted to the 1.grade
- ✦ Parents access to school
- ✦ Documents and regulations have been easily usable browsing the school's website
- ✦ The university library opening hours
- ✦ Cost of services
- ✦ Attendance to meetings with tutors
- ✦ The participation rate to projects aiming at arising civicsness (environment sustainability, philanthropic activities in partnership with UNICEF, etc.)
- ✦ Increase in number of actions (projects, programmes, courses, etc.) aiming at increasing inclusive processes of disabled, social disadvantaged and foreign students
- ✦ In the school the use of facilities (laboratories, library, gym, computer tools) is adequate to the expectations
- ✦ Ability for innovation
- ✦ Global customers satisfaction related to the feedback on information received
- ✦ School offers a broad and comprehensive set of activities and projects of cultural nature, artistic, environmental education and sports context.
- ✦ Availability of performance goals and results of the institution
- ✦ Number of complaints received

### B. Performance on indicators related to the Involvement of the learners and/or their representatives

On the level of involvement of learners/representatives the organisations report an increase in measured performance of 11% (52% before using the CAF and



64% afterwards). 70% of the respondents reports an increase in performance. Examples of indicators used to measure the performance are listed in the box below.

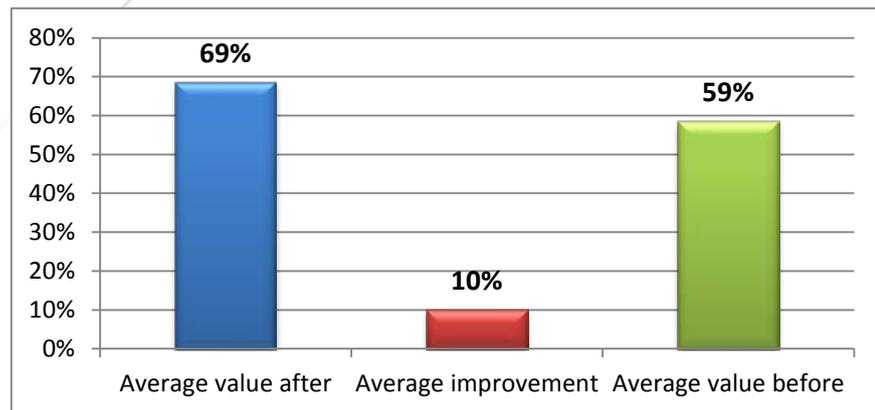
#### Box : Examples of indicators used

- ✦ Involvement with institution
- ✦ Participation in collegial bodies
- ✦ % of learners involved in council
- ✦ Participation at events and meetings
- ✦ Extent of involvement of learners and their representatives in the design of decision-making process
- ✦ Absent students
- ✦ Involvement of parents

- ✚ Number of suggestions received and welcomed
- ✚ Representatives of parents are involved in the design of the Educational Project and School Rules.
- ✚ Extent of use of new and innovative ways in dealing with learners and other stakeholders
- ✚ The student association works satisfactorily
- ✚ Families' response rate to customer satisfaction surveys
- ✚ Extent of involvement of stakeholders in the design and the delivery of services and products and/or the design of decision-making processes
- ✚ Percentage of students who have been monitored
- ✚ Extra-curricular activities of learners
- ✚ Opportunity to comment on Curriculum Development
- ✚ Educational successes (% passed)
- ✚ Number of voters in school organism
- ✚ The school involves its students and their families in the definition of products, services and activities offered to them and of their quality standards
- ✚ Number of days of absence for learners divided by total number of learners
- ✚ Monitoring the quality of school initiatives
- ✚ Degree of trust in the institution
- ✚ % alumni participating
- ✚ Extent of regular reviews jointly with learners and their representative to monitor their changing needs and the degree of satisfaction
- ✚ Numbers of learners reaching higher education levels
- ✚ Percentage of parents who have been given the password to have access to the electronic school register
- ✚ Participation of learners in international competitions
- ✚ % Customers are aware of the strategies, objectives, results achieved by the organisation
- ✚ Student drop out

**C. Performance on indicators related to the transparency of the Institution**

The results on the third group of indicators, ic. giving an insight in the level of transparency show the same trends as the previous two indicators in this sub criterion. The performance results on these indicators measured before applying CAF (59%) have increased with 10% to 69% performance afterwards. 60% of organisations report an increase in performance related to these indicators.



**Box : Examples of indicators used**

- ✚ Consultation settlement institution
- ✚ Public access to documents
- ✚ Transparency of the delivery of suggestions received and adopted
- ✚ Number and efficiency of information channels

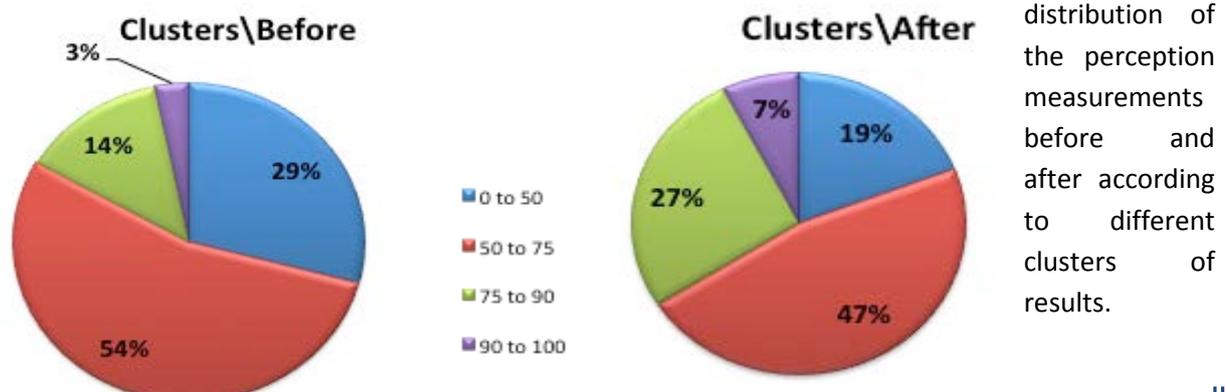
- ✚ Extent of use of new and innovative ways in dealing with learners and other stakeholders
- ✚ Carried out inspections / checks without gaps
- ✚ Number of complaints and complaints with positive outcomes
- ✚ Disclosure of the Educational Project and the School Rules is appropriate.
- ✚ Extent of efforts to improve availability, accuracy and transparency of information.
- ✚ Global satisfaction about the website functionality and update
- ✚ Extent of employee training in relation to the effective handling of citizen/customer relationships (e.g. professionalism and friendly communication with, and treatment of, citizens/customers)
- ✚ Section dedicate on website
- ✚ Regulation transparency
- ✚ Percentage of teachers who use the electronic school register
- ✚ disclosure (publication) of contracts
- ✚ Number of initiatives aimed at communication strategies, objectives, results achieved by the organisation
- ✚ Number and efficiency of information channels
- ✚ Number of information channels
- ✚ The school provides adequate assistance, support and information about products and services increase in the information channels used in order to grant transparency
- ✚ Information about criteria methods and tools use for evaluation/assessment

### 2.2.3 People Perception Results (Criterion 7.1.)

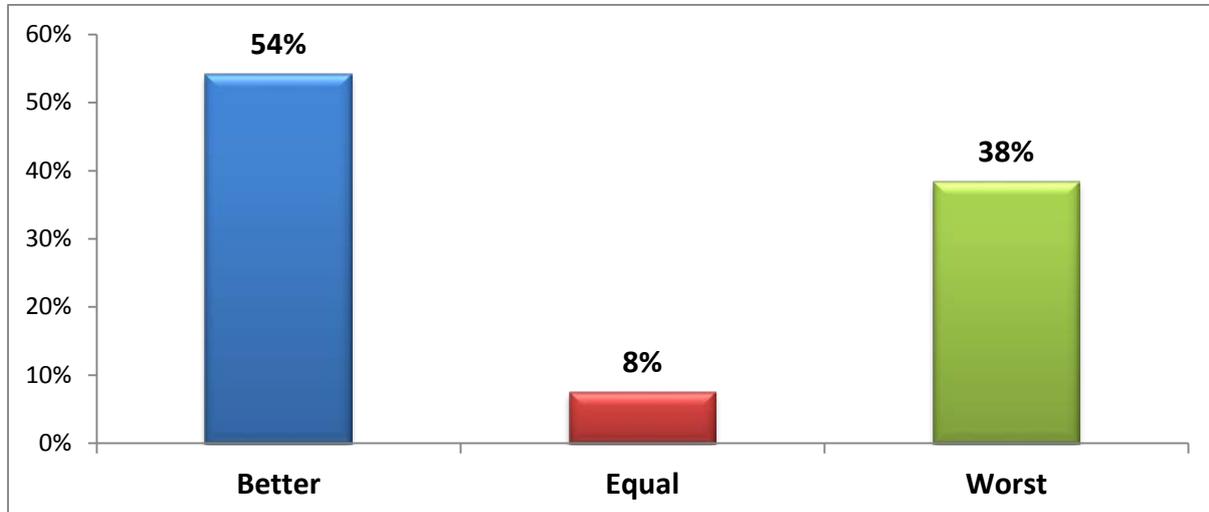
People results are the results the organisation is achieving in relation to the competence, motivation, satisfaction, perception and performance of its people/staff. The criterion distinguishes two kinds of people results: on the one hand *perception measurements* where the people are asked directly (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.

7.1. *deals with perception measurements*, the sub-criterion assesses whether people perceive the organisation 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 public sector organisations to systematically measure people's perception of the organisation and the products and services the organisation provides.

77 % of the institutions responded they measure the satisfaction of their staff via perception measurements. The average result on this perception before working with the CAF is 60%. On the same question, but after working with CAF, the average result is 68 %. The graphs below show the



In general we can see an improvement in absolute performance terms of 8% on the satisfaction of citizen/users after CAF was implemented and improvement actions were launched. 54% of the organisations reported they achieved better results on this sub criterion



#### 2.2.4 Performance info related to People Results (Criterion 7.2.)

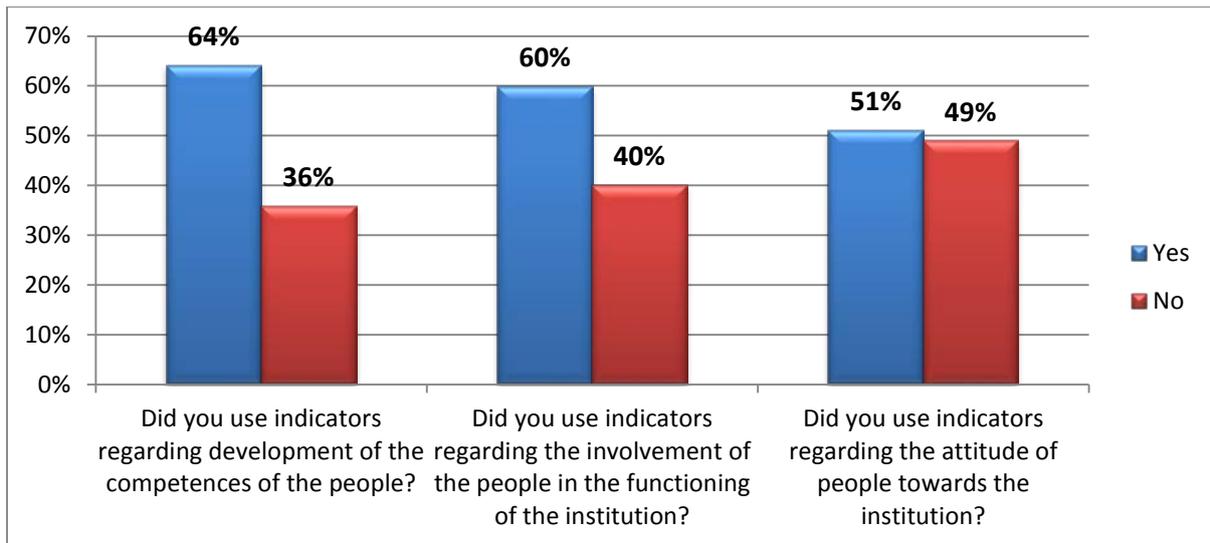
Performance measurements in criterion 7.2. are comprised of internal people-related performance indicators that enable the organisation to measure the results achieved regarding people's overall behaviour, their performance, the development of skills, their motivation and their level of involvement in the organisation. 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.).

59 % of the institutions responded they measure different kind of performance indicators related to staff. The average result on these performance indicators before working with the CAF is 52%. On the same question, but after working with CAF, the average result is 60%.

These results are the combined figures related to the detailed questions regarding different kind of indicators. Organisations were asked if they measure performance on indicators related to:

- a. indicators regarding development of staff competencies
- b. indicators regarding staff involvement
- c. indicators regarding overall appreciation and attitude of staff towards the institution

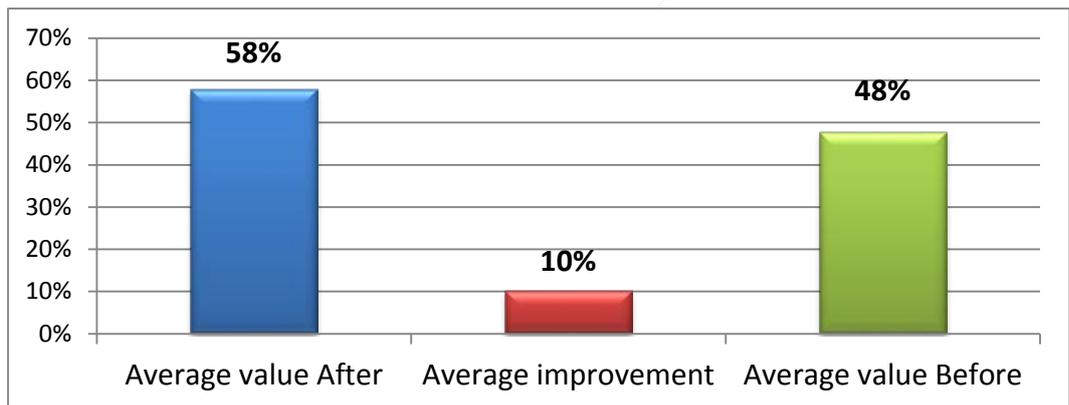
The level of measurement (do you measure yes or no?) is in all three domains substantial, although lower at the last cluster of indicators.



What do these indicators tell us? How was the performance before and after CAF.

**A. Indicators regarding development of staff competencies**

72% of the institutions reported their performance on indicators regarding the development of staff competencies



improved. The performance results reported show an increase of 10 % (from 48% before using CAF to 58 % after CAF). In the box below is a set of examples of indicators used by educational institutions to measure the development of staff competencies

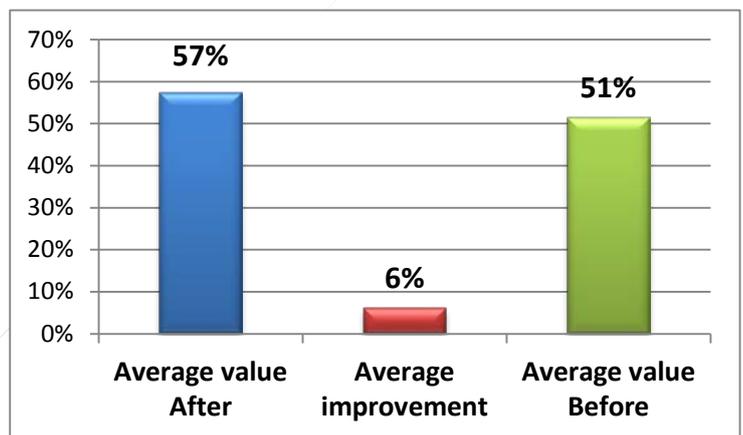
- Box : Examples of indicators used**
- ✚ Number of courses attended
  - ✚ Professionalism
  - ✚ Numbers of days of training for people
  - ✚ Frequency of recognition of individual and teamwork efforts
  - ✚ Extent of involvement of learners and other stakeholders in the design and content of training courses and or design of decision making process
  - ✚ Amount of credits earned by employees
  - ✚ Level participation and success rate in training activities
  - ✚ Indicators regarding (personal) performance (e.g. results of the evaluation of people, assessment of training activities, etc).
  - ✚ Teachers develop teamwork
  - ✚ Learners reaching higher education level
  - ✚ Proportion of employees with the high level of graduation

- ✚ Involvement in improvement activities
- ✚ Computing skills
- ✚ Adequate encouragement of life long learning and acquisition of new professional skills
- ✚ Resources for development
- ✚ % enhancement of human resources and skills development
- ✚ Teachers involved in innovation (i.e. digital school, book in progress)
- ✚ Identification and development of personnel's competences
- ✚ Perception of the teachers treatment towards students
- ✚ Development of competences through courses, further education or participating in educational networks.
- ✚ Increase in the number of innovative actions/projects promoted by teachers who were involved in staff development programs
- ✚ Level of use of information and communication technologies
- ✚ Voluntary participation in school promotion events
- ✚ Satisfaction percentage of local entrepreneurs evaluating the professional performance and social skills of the students involved in school-to-work transition programs

### B. Indicators regarding staff involvement

On the second set of indicators, i.e. regarding the involvement of staff in the functioning of the institution, 68 % noted a better performance. The absolute increase improved from 51% before to 57% after working with CAF.

The indicators used to measure the staff involvement are presented in the box.



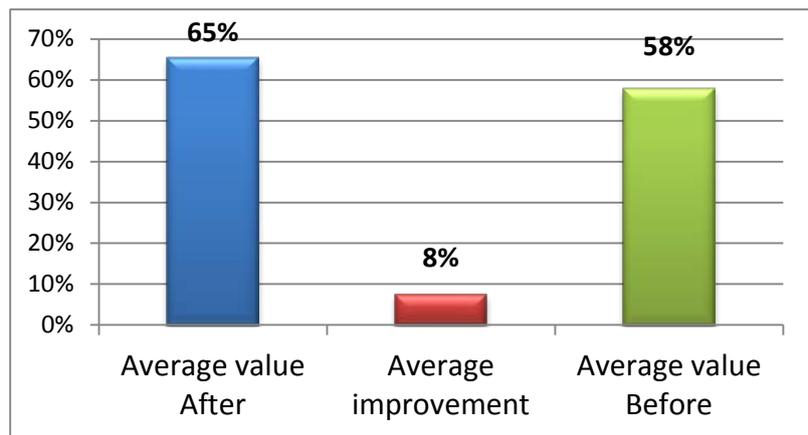
#### Box : Examples of indicators used

- ✚ Numbers of people involved in extra-activities (job days for example)
- ✚ The possibility to influence on the decision-making
- ✚ Involvement on guiding institutional documents
- ✚ Number of proposals to innovations
- ✚ Level of involvement in improvement activities
- ✚ Number of proposals to improve
- ✚ People involved in the Plan of improvement
- ✚ %of response to staff surveys
- ✚ Indicators regarding motivation and involvement (e.g. response rates to staff surveys, number of proposals for innovation, participation in internal discussion groups).
- ✚ The teaching staff participates in the design of the Educational Project, Annual Activities Plan and School Rules.
- ✚ Proportion of employees who submitted ideas
- ✚ Exchange of information and knowledge
- ✚ Voluntary leading of student circles
- ✚ Information from representatives on school structures
- ✚ Teachers' influence on their work load and work performance

- ✦ The management (the principal and her staff) is attentive to the strengthening of mutual trust and cooperation, and promotes respect to and from the collaborators
- ✦ Personnel participating in working groups or commissions with assignments
- ✦ Mobility of people
- ✦ Indicators regarding performance (e.g. measures of productivity, results of evaluations)
- ✦ The Headmaster is available to discuss the problems with the staff
- ✦ The management (the principal and her staff) takes care of the suggestions of teachers and the staff, by favouring and implementing them when they are considered appropriate

### C. Indicators regarding overall appreciation and attitude of staff towards the institution

The improvement in relation to the third set of indicators is evolving in the same way. 64% claimed to do better, resulting in an average improvement in performance scores of 8 % .



#### Box : Examples of indicators used

- ✦ Number of strikes
- ✦ General satisfaction
- ✦ Staff mobility
- ✦ Percentage of turnover
- ✦ Number of complaints
- ✦ Number of reported possible conflict of interest cases
- ✦ Voluntary requests of transfer
- ✦ % confidence and encouragement
- ✦ Levels of involvement in improvement activities
- ✦ Perception of work climate and culture of the institution
- ✦ Teachers' opinion about the top management
- ✦ Our school promotes exchange and sharing of information and knowledge
- ✦ Number of local middle school, which invite our representatives to illustrate our educational plan
- ✦ Indicators regarding people's ability to deal with learners and other stakeholders and to respond to their needs
- ✦ Loyalty
- ✦ Absenteeism
- ✦ Employee satisfaction with what is happening in the organisation
- ✦ Atmosphere in the school
- ✦ The school takes care of collecting feedback from teachers and employees, by using surveys, focus groups or other appropriate instruments for the analysis of problems

### 2.2.5 Social Responsibility Perception Results (Criterion 8.1.)

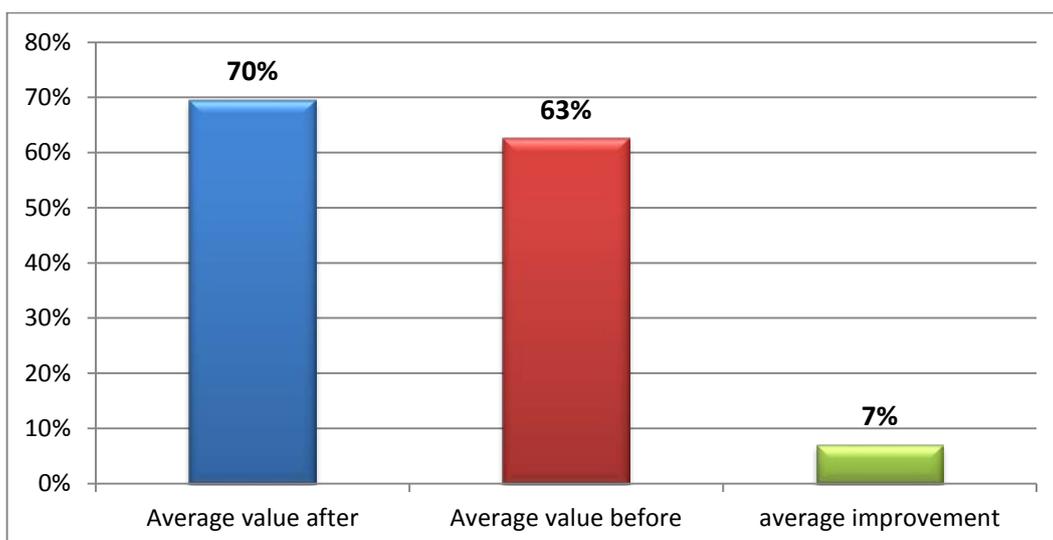
The main mission of an institution is always dedicated to satisfying a category of needs and expectations of the society. Beyond its main mission, an education and training institution should adopt responsible behaviour in order to contribute to sustainable development in its economic, social and environmental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

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

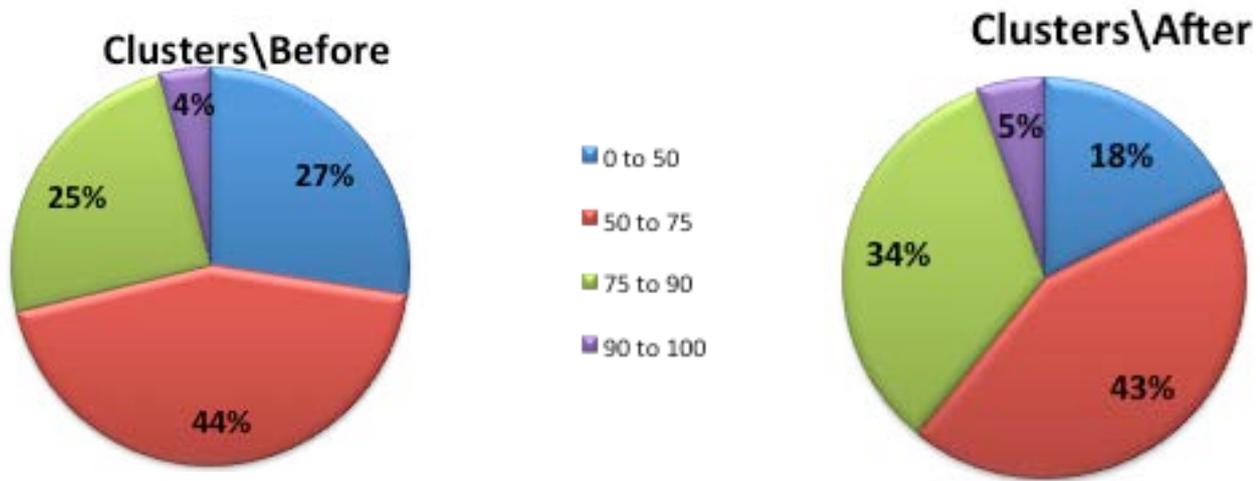
The performance of an institution towards the community in which it operates (local, national or international) and its impact on the environment have become a critical component of the measurement of its overall performance. An organisation working on its social responsibility will:

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

Sub criterion 8.1. focuses on the community's perception of the institution's results on a local, national or international level. This perception can be obtained through different sources, including surveys, reports, public press meetings, NGOs, CSOs (civic service organisations), direct feedback from stakeholders (authorities, learners and people) and the neighbourhood, etc. The perception gives an indication of the effectiveness of the social and environmental strategies. It includes the view on transparency, the impact on the quality of life and quality of democracy, the view about ethical behaviour to support the citizens, the approach and results on environmental issues, etc.



70 % of the institutions responded they measure the perception on social responsibility. The average result on this perception before working with the CAF is 63%. On the same question, but after working with CAF, the average result is 70%. The graphs below show the distribution of the perception measurements before and after according to different clusters of results



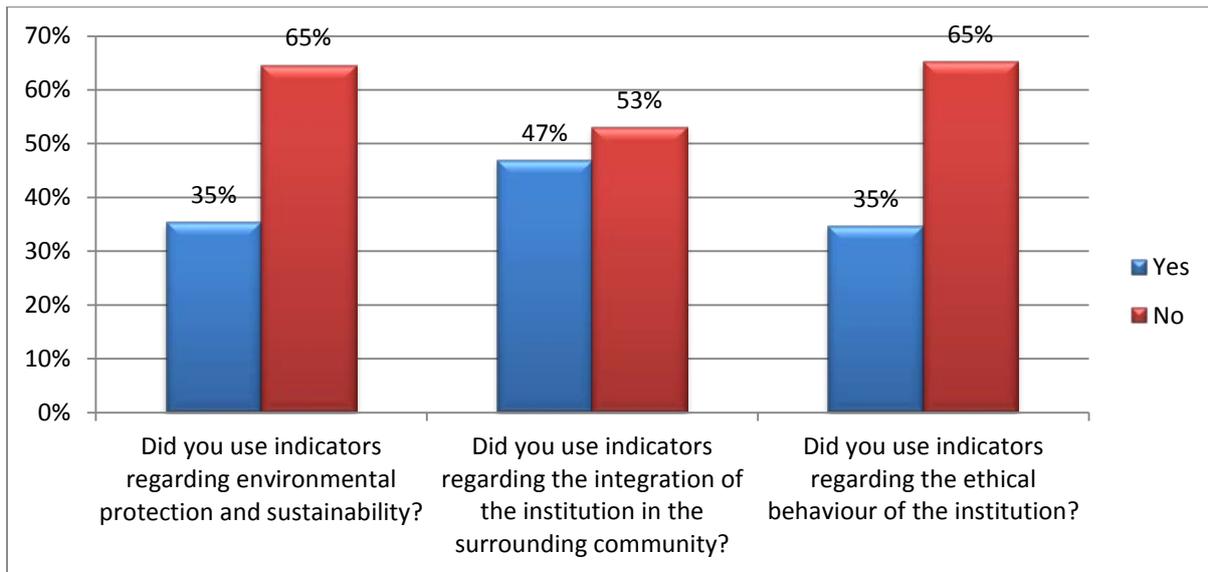
### 2.2.6 Performance on Social Responsibility Results (Criterion 8.2.)

Performance measurements (8.2) focus on the measures used by the institution to monitor, understand, predict and improve its performance regarding its social responsibility. It should give a clear indication of the effectiveness of the institution's approaches on societal issues. They can consider the ethical behaviour, the initiatives and results of prevention risks, the initiatives to exchange knowledge, to preserve the resources and to reduce the environmental impact, etc.

Only 39 % of the institutions responded they measure different kind of performance indicators related to social responsibility. The average result on these performance indicators before working with the CAF is 49%. On the same question, but after working with CAF, the average result is 52%. As with the application of the CAF in various governmental sectors this sub criterion seems to be a difficult one to measure. Or at least practice demonstrates it is not yet very frequently measured.

These results are the combined figures related to the detailed questions regarding different kind of indicators. Organisations were asked if they measure performance on indicators related to:

- indicators regarding environmental protection and sustainability
- indicators regarding the integration of the institution in the surrounding community
- indicators regarding the ethical behaviour of the institution



What do the detailed indicators show towards the three components on the results achieved before and after working with CAF.

#### A. Indicators regarding environmental protection and sustainability

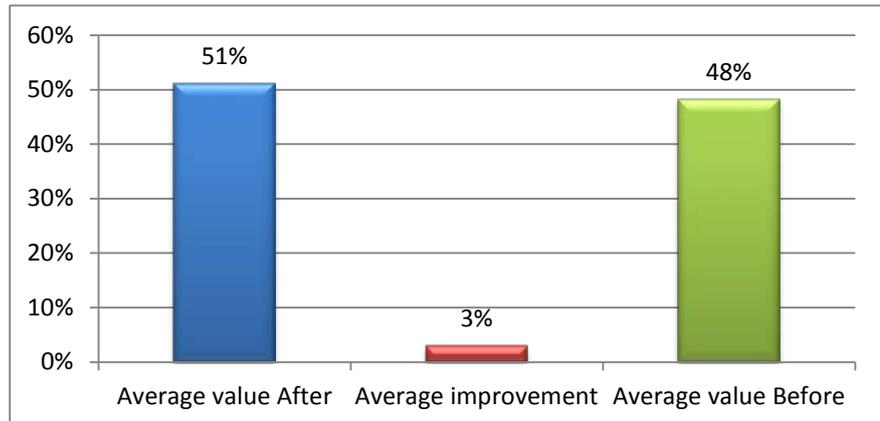
On this set of indicators (see examples below) 57% of the organisations indicated to achieved better results. The average improvement increased from 50% before the CAF application to 53% afterwards.

##### Box : Examples of indicators used

- ✚ Environment protection
- ✚ Safety in the workplace is adequate
- ✚ Sorting of waste
- ✚ Participation on environmental projects
- ✚ Dedicated support to social disadvantaged citizens
- ✚ The school promotes health education and the environment
- ✚ Number of activities organized as part of projects on environmental sustainability
- ✚ Programmes to prevent citizens/customers and employees from health risks and accidents
- ✚ Recycling
- ✚ Energy consumption
- ✚ Number of initiatives for the conservation of resources (educational facilities) and to reduce the environmental impact
- ✚ Our school strives to an efficient, ergonomic and inexpensive use of buildings, equipment and infrastructure
- ✚ Number and quality of relations with local authorities, community groups and representatives.

## B. Indicators regarding the integration of the institution in the surrounding community

Regarding the indicators showing the integration of the institution in the surrounding community the results demonstrate the same trend 58% institutions report doing better and the average improvement moved from 48% to 51%



### Box : Examples of indicators used

- ✦ Actions regarding regional or local development
- ✦ Media coverage- School paper
- ✦ Number of relationships with authorities and local groups and community representatives
- ✦ School shares its internal activities in the local community.
- ✦ Financial resources to sustain integration and inclusion activities
- ✦ Solidarity
- ✦ Positive media coverage
- ✦ Approach to culture and local history
- ✦ Membership in national committees, commissions, and like artistic juries
- ✦ Number of agreements with other institutions in the area
- ✦ Number of associations involved in the consultation table (Territorial Pact Co-responsibility)
- ✦ Bank of books: books collected
- ✦ Increase in the number of school-to-work transition activities (training courses, apprenticeship, etc.) in local companies / entrepreneurships
- ✦ Types of actions to promote a policy of diversity and of integration and acceptance of ethnic minorities

## C. Indicators regarding the ethical behaviour of the institution

The figures relate to the ethical behaviour are identical as the previous indicator results.

### Box : Examples of indicators used

- ✦ Blood donation
- ✦ Ethical behaviour of employees
- ✦ International support for development projects and participation of employees in philanthropic activities
- ✦ Prevention programs
- ✦ The image of the school in the community in which it operates is good.
- ✦ Dedicated support to socially disadvantaged citizens (estimated of the cost price of this help, number of beneficiaries, percentage of disadvantaged people employed, importance of the infrastructure dedicated to disadvantaged citizens, etc.)
- ✦ Number of projects promoting integration
- ✦ Number of volunteer activities supported by the Institution

- ✚ Support dedicated to socially disadvantaged citizens
- ✚ Compliance with Institute rules and regulations
- ✚ Share of ethical projects of total projects at school
- ✚ Support to socially disadvantaged citizens
- ✚ Programmes to prevent learners, citizens/customers and people from health risks and accidents
- ✚ Increase in the number of activities aimed at fostering inclusive processes of disabled/social disadvantaged students (language courses of Italian for foreign students, book lending, pet therapy for disabled students, etc.)
- ✚ Importance and quality of knowledge and information exchanges with other
- ✚ Objectives on the legality and the school as a permanent garrison of legality

### 2.2.7 External Key Performance Results (Criterion 9.1.)

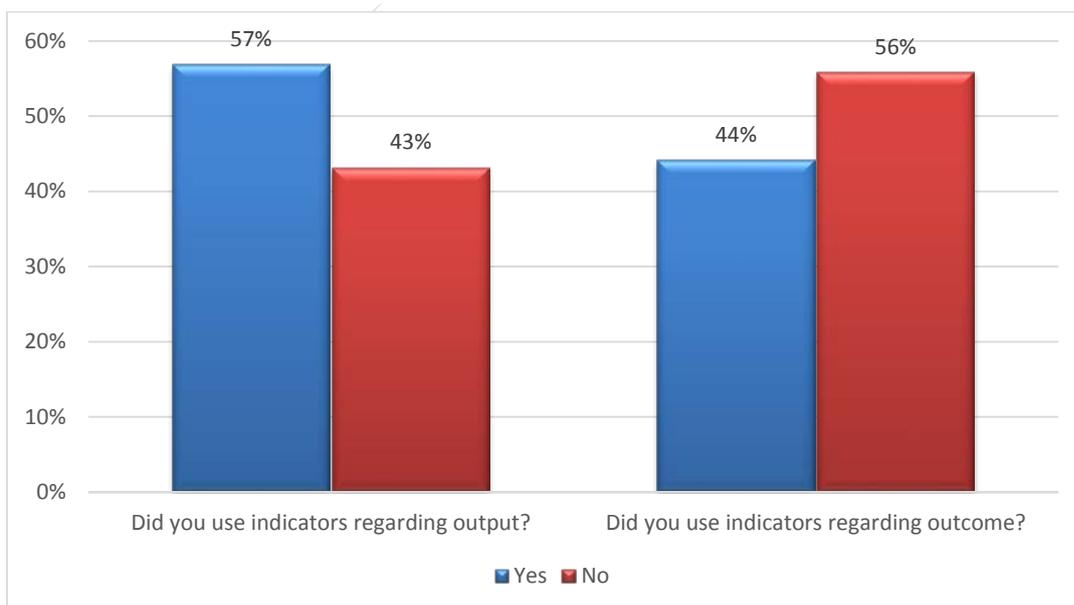
Key performance results relate to whatever the institution has determined as essential, measurable achievements for the success of the institution in the short and long term. They represent the capacity of policies and processes to reach goals and objectives as defined in the institution’s mission, vision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

1. External results: outputs and outcomes to goals (9.1)
2. Internal results: level of efficiency (9.2)

The external results (9.1) are the measures of the effectiveness of the institution’s strategy in terms of the capacity to satisfy the expectations of the external stakeholders, in line with the organisation’s mission and vision. Education and training institutions are being asked to assess to what extent their key activity goals are achieved, as defined in the strategic plan in terms of outputs – services and products – and outcomes – impact of the institution’s core activities on external stakeholders and on society – in order to be able to improve its performance in an effective way.

Respondents were asked to what extent they measure

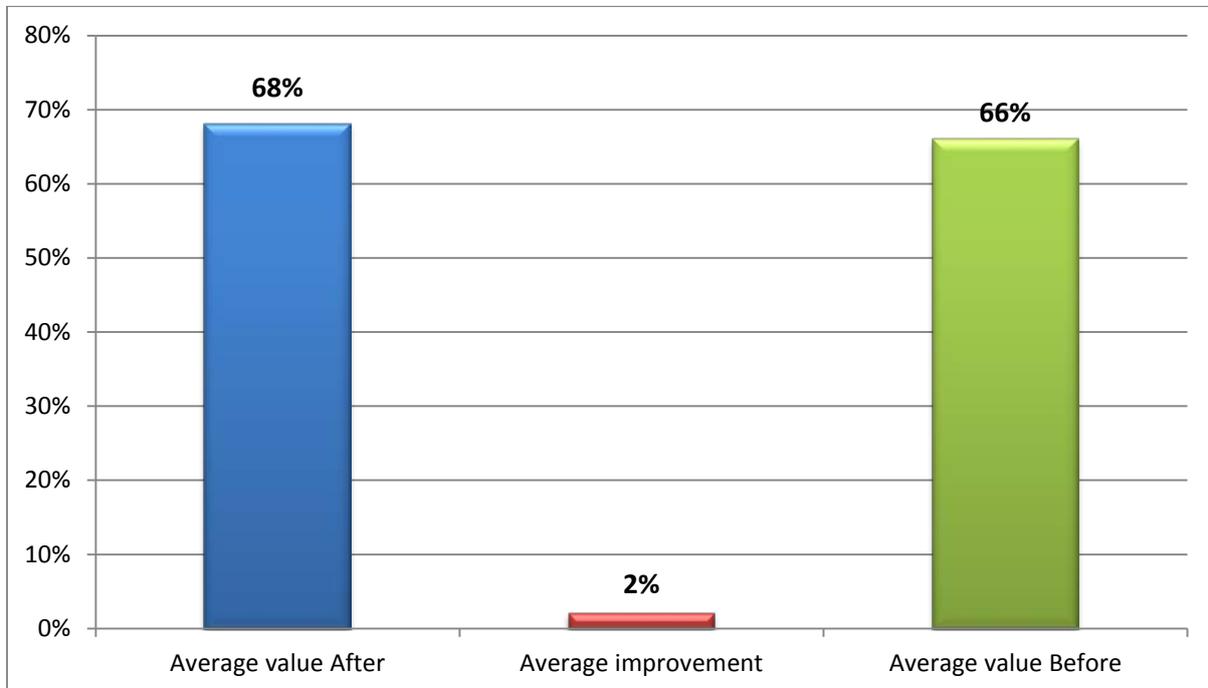
- a. Output. 57% of the institutions indicate they measure the output
- b. Outcome. 44% of the institutions collect outcome info.



What do these indicators tell ?

### A. Output related info

49% of the institutions who are using these output indicators report an improvement. The average improvement on these output indicators demonstrate an increase of 2% (from 66 to 68%)



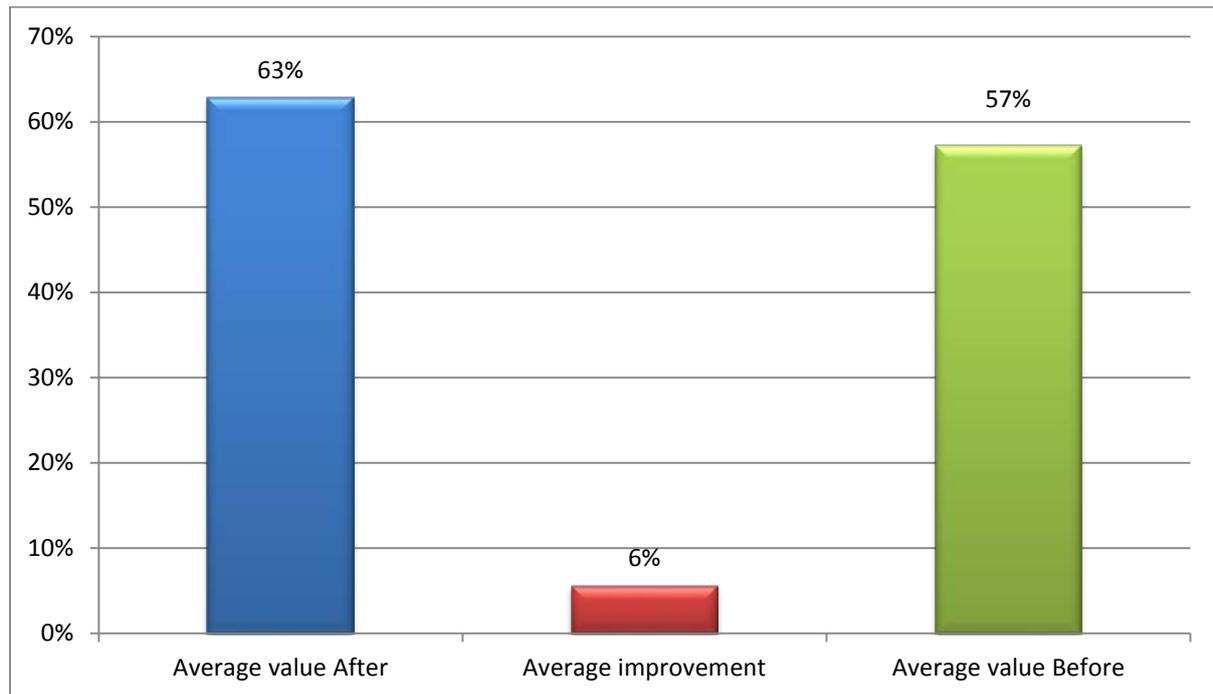
#### Box : Examples of output indicators used

- ✚ Students finally graduated
- ✚ Relationship between the number of students initially enrolled and the final number of graduates
- ✚ Applicability of the provided information in practice
- ✚ Evaluation results- mathematic
- ✚ The school develops processes for achieving the goals and targets set out in the Education Project.
- ✚ Students admitted to following class
- ✚ Students initially enrolled
- ✚ Accreditation committee criterion fulfilment regards financing
- ✚ Results of audits
- ✚ Results of graduation tests (percentile)
- ✚ Educational range offer
- ✚ Results of assessments of learners' levels of competence OCSE PISA INVALSI TESTS
- ✚ The school remedial work is useful
- ✚ Learning in the context of languages
- ✚ Coherence of the indicative advice with the chosen school
- ✚ Number of personalised teaching activities
- ✚ Benchmarking
- ✚ Raising of students' basic skills and levels of knowledge
- ✚ Absenteeism
- ✚ Quality of the methodologies
- ✚ Average duration of studies

- ✦ Disabled students admitted to the following class
- ✦ Results of inspections and audits
- ✦ Scientific publications/academic staff
- ✦ Dropouts
- ✦ Learning in the context logical and mathematical
- ✦ Curriculum implementation

## B. Outcome related info

73 % reports an equal or improved performance. On the outcomes the average improvement went from 57% before to 63% after using the CAF.



### Box : Examples of indicators used

- ✦ Outcome (percentage of graduates holding jobs 3 years after graduation)
- ✦ Results of the benchmarking- comparative analysis- in terms of good practices on external results
- ✦ Graduate employment in artistic field rate
- ✦ Total number of graduates in the field of socio-professional appropriate and consistent with the diploma
- ✦ Learners integrated into the next educational level
- ✦ Unemployed graduates
- ✦ Increase enrolments
- ✦ Employment of graduates
- ✦ Applicability of learners to universities
- ✦ Results of inspections and audits on outcomes
- ✦ Students who graduate in secondary studies (ESO)
- ✦ What I learn at school is useful for my future
- ✦ There is a system of individual goal setting and verification of results
- ✦ Success of learners to the state exam
- ✦ Rate of graduated students who get a job the year after they leave school
- ✦ Number of graduates looking for work

- ✚ Cost effectiveness (outcomes achieved at the lowest possible cost)
- ✚ Ranking of university
- ✚ The mean score achieved in the INVALSI test of Maths
- ✚ Degree of achievement of agreements between authorities and the institution
- ✚ Rate of positive results of audits on outputs and outcomes (according to ISO 9001:2008 audit reports - Caf effective User label - Caf External Feedback results, etc.)

### 2.2.8 Internal Key Performance Results (Criterion 9.2.)

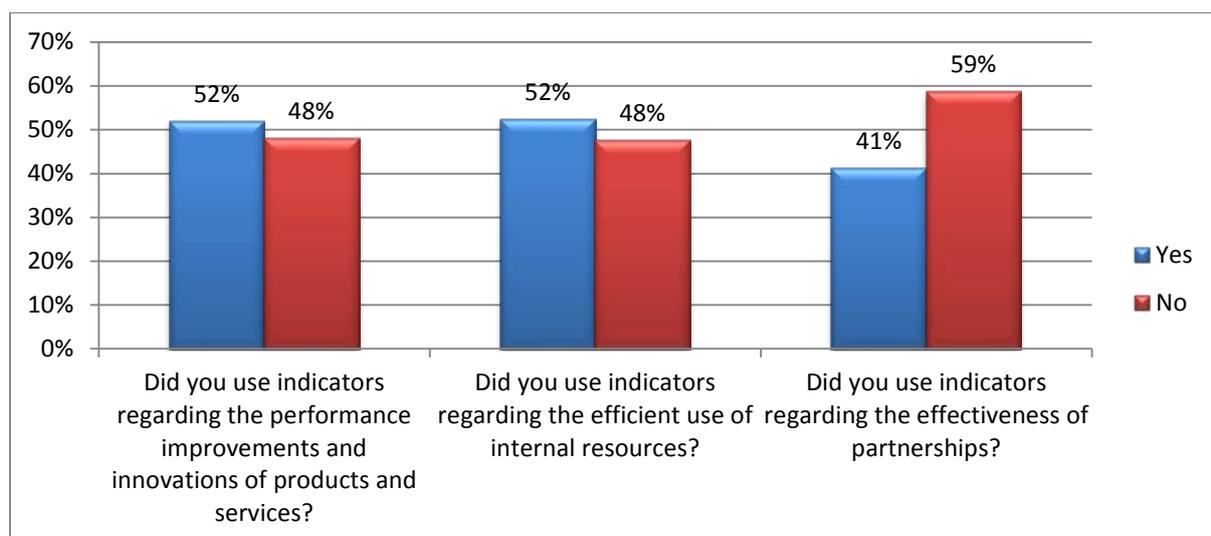
The internal results are related to efficiency, the effectiveness of internal processes and the economy measures of the functioning of the institution. They consider its process management (e.g. productivity, cost effectiveness or ineffectiveness), financial performance (effective use of financial resources,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

48 % of the institutions responded they measure different kind of performance indicators related to key performance results. The average result on these performance indicators before working with the CAF is 54%. On the same question, but after working with CAF, the average result is 59%.

These results are the combined figures related to the detailed questions regarding different kind of indicators. Organisations were asked if they measure performance on indicators related to:

- a. performance improvements and innovations of products and services
- b. efficient use internal resources
- c. effectiveness of partnerships

For both the first and second indicator 52% of the organisations indicate the measure these kind of indicators. The effectiveness of partnerships is measured in only 41% of the institutions.



#### A. Performance improvements and innovations of products and services

80% of the institutions report an equal situation or improvement in the performance after working with CAF. The average improvement is 6% (from 53% - 59% afterwards).

#### Box : Examples of indicators used

- ✚ Client Satisfaction by service
- ✚ Perception of quality of our services by customers
- ✚ Use of e-campus
- ✚ Actions of development
- ✚ The results of participants in competitions, quality awards and quality management system certification
- ✚ Innovative learning projects
- ✚ The evaluation of results leads to reflection on the appropriateness of the methodologies used and provided educational support and contributed to the improvement of students' achievement.
- ✚ Numbers of ITC courses
- ✚ Number of improvement projects planned and implemented
- ✚ Amount of publications for one researcher
- ✚ Students evaluation assessment
- ✚ Percentage of pupils who attend additional activities organized by the school
- ✚ Profit of university in Euro.
- ✚ Interventions innovative teaching classes / sections (best practices detectable from the database)
- ✚ Number of personal computer/ number of teachers
- ✚ Added value of using information and communication technologies to increase efficiency, improve service
- ✚ Our school provides regular updates on the performance and the results achieved regarding the objectives defined in the POF
- ✚ Use of information and communication technology to increase efficiency, diminish administrative burden, improve quality of service delivery
- ✚ Mapping process
- ✚ The results of participation in competitions and quality management system certification
- ✚ Following up system of quality development
- ✚ Cost for each graduate student
- ✚ Number of positive external evaluations
- ✚ Proportion students/ one teacher
- ✚ Efficiency Improvement Actions (EAM)
- ✚ The results of participation in competitions, quality awards
- ✚ Improvement in the use of technological devices at school (tablets, digital whiteboards, etc.)

#### B. Efficient use internal resources

78% of the institutions report an equal situation or improvement in the performance after working with CAF. The average improvement is 3% (from 62% - 64% afterwards)

#### Box : Examples of indicators used

- ✚ Use of new technologies
- ✚ Deviation of budget targets
- ✚ Audit- positive feedback on the use of financial resource
- ✚ Degree of achievement of the budgetary targets and financial

- ✚ Amount of money for activities
- ✚ Finance acquired for one employee
- ✚ Percentage of teachers who did summer recovery courses
- ✚ Accessibility of study materials
- ✚ Percentage of subsidies sources
- ✚ Amount allotted of funds from domestic grant
- ✚ Perception of a positive relational climate among employees of the institution
- ✚ Evidence of success in improving innovation and organisational strategies, structures and / or processes
- ✚ Added value of using information and communication technology to increase efficiency, diminish administrative burden, improve quality of service delivery
- ✚ Costs for student services
- ✚ Paperwork reduction
- ✚ Ability to reallocate resources
- ✚ The extent to which the institution is able to support themselves with their own resources and with revenue from grants / tuition fees and from the sale of goods / services
- ✚ Amount of money for extra activities and special needs
- ✚ Use rate of online subscriptions
- ✚ % Dematerialized documents (PDD)
- ✚ Results of inspections and audits on the financial management and the budgets and financial target fulfilment
- ✚ Criteria for class assignment for teachers

### C. Effectiveness of partnerships

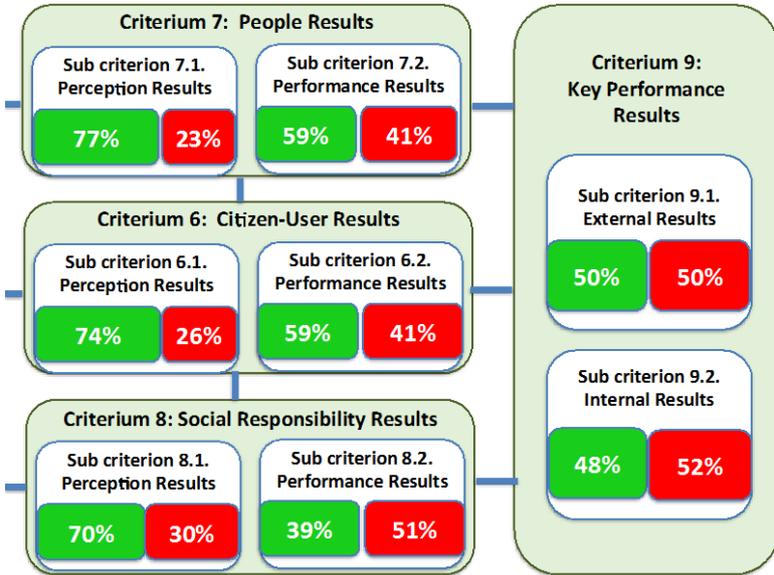
89% of the institutions report an equal situation or improvement in the performance after working with CAF. The average improvement is 7% (from 47% - 54% afterwards).

#### Box : Examples of indicators used

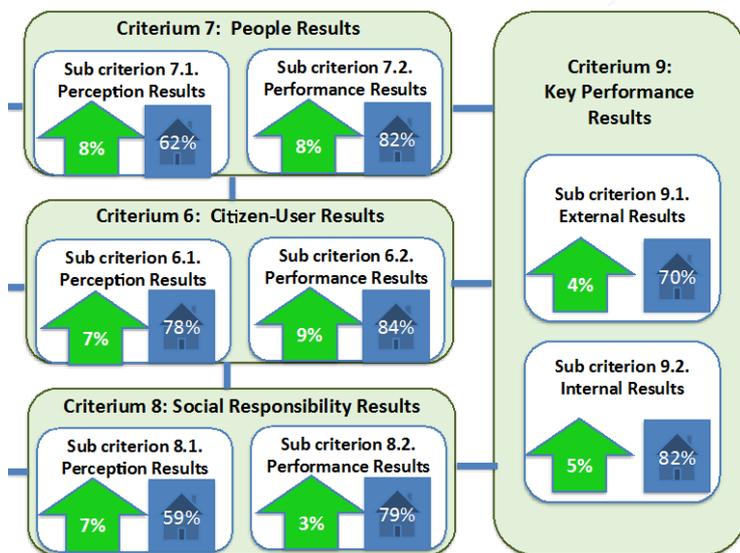
- ✚ Joint activities
- ✚ International mobility
- ✚ Cost effectiveness: the external results outcomes achieved at the lowest possible cost
- ✚ Number of partnerships with external organisations
- ✚ Innovative solutions in collaboration with external partners
- ✚ Amount of signed international agreement
- ✚ Share of learners on the student mobility at partner school
- ✚ Additional resources found by the school

### 2.2.9 Overall summary on the results

The overall overview of the 4 criteria and 8 sub criteria is very interesting. Firstly we have to note that institutions in the educational sector already have a certain “measurement culture”. The image on the right shows the various results on sub criteria of the CAF model and the extent to which organisations are measuring. As an example 77% of the institutions indicated they measure (and by definition have indicator(s) and figures on) the perception of people working in their institution on their level of satisfaction and motivation.



The below figure is even more interesting and gives an insight in what these indicators tell. The first figure (in green) shows the difference between the results on the particular sub criterion after working with CAF in comparison to the situation before. So e.g. the measurement on sub criterion 7.1 showed an improvement of 8% after working with the CAF. It is remarkable that all the eight sub criteria show an improvement. In some cases it is rather modest 3 à 4%, but in others it is rather substantial up to 8 à 9 %.



The second figure (in blue) indicates the amount of organisations that have reported an improvement. So e.g. 82% of the organisations reported an improvement of their internal results (sub criterion 9.2). Also here all the sub criteria show remarkable figures. The table below gives the detailed info for the detailed indicator clusters questioned.

The table below gives the detailed info for the detailed indicator clusters questioned.

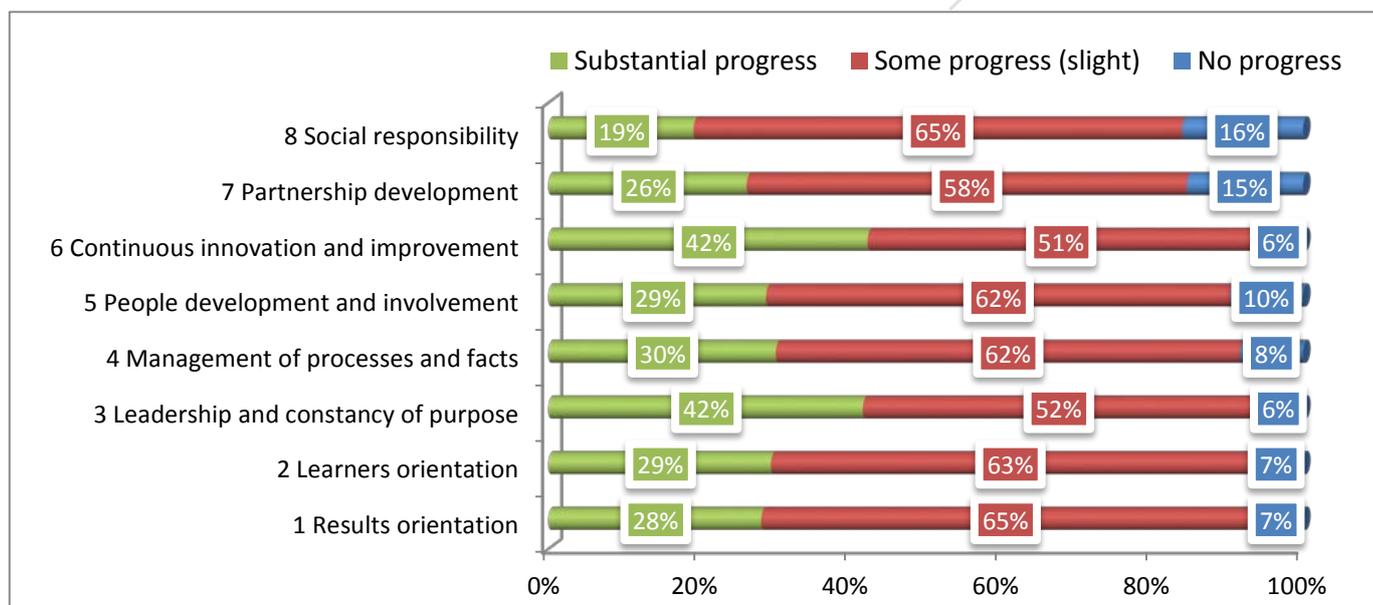
		A	B	C	D	E	F	G
		Indicator availability	Perform Before CAF	Perform After CAF	Average improvement	Amount organisations improved	Amount organisations equal	Improved + equal
6.1	Citizen/user perception	74	76	70	7	63	15	78
6.2	Performance measurements towards the citizen/user							
	a. Accessibility of the institution	57	63	67	4	65	16	81
	b. Involvement of the learners and/or their representatives	63	52	64	12	70	15	85
	c. Transparency of the Institution	56	59	69	10	60	25	85
7.1	People perception measurement	77	60	68	8	54	8	62
7.2	Performance measurement							
	a. development of staff competencies	64	48	58	10	72	17	88
	b. staff involvement	60	51	57	6	68	14	82
	c. overall appreciation and attitude of staff towards the institution	51	58	65	8	64	23	77
8.1	Social Responsibility perception	70	63	70	7	57	2	59
8.2	Social Responsibility performance measurement							
	a. environmental protection and sustainability	35	50	53	3	57	20	77
	b. integration of the institution in the surrounding community	47	48	51	3	54	20	74
	c. ethical behaviour of the institution	35	48	51	3	57	29	86
9.1	External key performance							
	a. output	57	66	68	2	49	18	67
	b. outcome	44	57	63	6	50	23	73
9.2	Internal Key Performance							
	a. performance improvements and innovations of products and services	52	53	59	6	62	18	80
	b. efficient use internal resources	52	62	64	2	45	32	77
	c. effectiveness of partnerships	41	47	54	7	63	26	89

### 2.3. Progress against the principles of excellence.

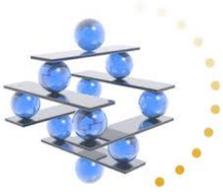
Organisations that are starting to implement the CAF have the ambition to grow towards excellence in their performance and want to introduce a culture of excellence in the organisation. Effective use of the CAF should, in time, lead to the further development of this type of culture and thinking within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

As a tool of Total Quality Management, CAF subscribes to the fundamental concepts of excellence and aims to improve the performance of public organisations on the basis of these concepts. These 8 principles make the difference between the traditional bureaucratic public organisation and the one oriented towards Total Quality.

The respondents were asked the following question: “Your educational and training institution has used the CAF in the past to improve and strengthen its capacity. What progress would you attribute today to the development of the 8 principles of excellence in comparison with where you were before the implementation of CAF?”.



The most (substantial) progress is shown on the principles leadership (3) and continuous innovation and improvement (6). In both cases 42% of the organisations reported substantial progress on these principles. Interesting is that the results orientation (1) and learners orientation (2) also showed a high increase (combined scores of some progress and substantial progress), as the same applies to the management of process and facts principle (4). It demonstrates that CAF introduces these principles –in a step by step way- in educational institutions. In this way the culture and the way of managing the institution with the support of an holistic framework is gradually changing.



## PART 3

# Change stories on the use and results of CAF in the education sector

## Intro

The CAF education tool has been assessed through a quantitative study, to understand and evaluate its impact over the, hundreds, of organisations who are implementing it (part 2 of this report).

This section instead, based on interviews, has its aim in grasping opinions of the stakeholders who are directly involved in the implementation and evaluation processes. The main goal, hence, is to understand from the people, who are actually coping with the tool implementation, difficulties, threats and attitude of the actors involved towards organisational and cultural changes in different economic, social and cultural contexts.

**Part 3** is illustrating in a qualitative way the findings of part 1 and 2. Via **change stories** from 12 educational institutions from 5 countries (Belgium, Italy, Norway, Portugal and Slovakia) the link between enablers and results is made. What actions have these institutions taken to achieve some remarkable results? What were the success factors enabling the CAF to work and the results to have a sustainable impact?

Therefore the idea is to ask directly for opinions and thoughts to deepen the understanding of how and which changes CAF influenced and fostered. In order to achieve this goal, 12 different organisations, operating in heterogeneous environments and that applied CAF at least twice were interviewed. The organisations involved have pretty different nature and size, they in fact range from elementary to high education schools and form 400 to 8000 students circa.

### 3.1 Professional Institute L. Milani - Meda

*Name of school: Professional Institute L. Milani - Meda*

*Typology: Vocational school*

*Country: Italy*

*Contact person: Claudia Crippa (principal)*

*Paola Maria Perrino (Self-assessment project leader)*

*Email: perrinopaolamaria@gmail.com*



#### What was the Internal and external context at the last self-assessment

##### *Social and economic environment*

The area has always been characterised by a large number of small artisan businesses who have increasingly reduced their activities in the last years. Most students come from the lower middle class; many of them (almost one-third) have to be constantly encouraged to learn because of their cultural background or due to previous school failures.

##### *Institutional mission*

ITC *Milani* is a five-year vocational secondary school offering courses in the following fields: commerce, social services, graphic communication. At the end of the fifth year, students have to pass an exam (ISCED 3) which enables them to enrol at university, to go further with technical and vocational training (post- secondary training) or to find a job. In addition, the school provides courses for the European language certification and the European Computer Driving License.

##### *Organisational structure and facilities (human resources, budget dimension, buildings and other facilities, etc.):*

The school has got 103 teachers and 28 administrative staff and janitors. It has three different locations in two different municipalities. Each building is provided with a computer lab, a number of interactive multimedia boards, and a gym. In addition, the main building has an auditorium.

##### *Main characteristics (number and kind of courses, number of students, external stakeholders and partnerships, etc.):*

There are about 1,000 students each year: 6% with disabilities, 16% Italian L2, 4% with specific learning difficulties, 4% with specific educational needs, 4% failed from other schools.

The main stakeholders, besides students and families, are local education authorities, municipalities, public and private service organisations, school networks, local companies, local chamber of commerce.

The school has established partnerships with many of these stakeholders, as well as with local kindergartens, retirement homes, experts and professionals, cooperative companies, training agencies, travel agencies and publishers.

##### *Maturity level*

Before adopting the CAF Model as a guide for self-assessment, the school used ISO standards for some years.



### Why and how the CAF was used?

The management and the people were not really satisfied with ISO standards, since they did not impact at all on the educational and didactic level. Shifting from ISO standards to the CAF Model has been strategic: self-assessment has proved to be more effective, coherent and relevant to the school mission and its *raison d'être*, namely, pursuing educational success for each student.

CAF has been applied to the whole school, assuming teachers and administrative personnel, students and families as reference stakeholders. At present, the leadership would like to enlarge the school reference stakeholders mainly including the municipality, factories and companies where students do a sort of apprenticeship required by the Italian educational system. Both the Self-Assessment Reports (SAR, from now onwards) have been uploaded on the school website to share results and achievements with a larger number of people.

Teachers have become more and more familiar with the self-assessment process; students and families have developed a deeper awareness of what the school does. Thanks to SARs they feel their needs and expectations are taken into consideration by the school, which has improved the relationship between students, families and the school itself. The management is bound to give an account of the services provided by the school and the school is bound to keep on improving. The CAF Model requires the leadership commitment, not only towards self-assessment, but in terms of professional ethics too.



### What were the critical points/passages? Where did they emerge throughout the process? How were those points managed?

Since the school was already familiar with the main concepts of Quality, there were not any strong oppositions against self-assessment. Nevertheless, the CAF Model was something new. The main support at the beginning of the first self-assessment came from the local regional education authority: it provided a training course for teachers and principals to guide and support them in the process. Since the first self-assessment, one of the teachers has become more familiar with the Model, thanks to the training actions guided by the CAF National Centre which has implemented the *Procedure of CAF External Feedback* and has promoted it in many sectors of public administrations. The teacher has become an EFA, thus having the opportunity to visit other public administrations and share good practices in a peer community. Another form of support came from a specific training on focus groups undertaken by the school and led by another EFA met during the first *Procedure of CAF External Feedback*. CAF has created a virtuous circle embracing the school and other public administrations.



### Describe and comment on the main improvement actions realised) and the CAF results criterion upon which these actions had a high impact.

The main improvement results obtained by the school concern:

- the designing of common final tests for any school subjects;

- the designing of common cross-curricular tests to certify competences at the end of the second school year;
- the elaboration of common targets and indicators for assessing them.

They all concern the Result criteria, either directly (9, 6,) or indirectly (7,8). They have required a four year job and two self-assessments, since the leadership proposed them for the first time: at present there are no oppositions against common tests, common targets and indicators. Such results have been achieved thanks to self-assessment: the results and data collected during the processes have been the objective support for the improvement results, showing the differences of student assessment in the various classes and/or subjects, as well as their trends. It has been evident that the lack of common targets and indicators resulted in different, individual, discretionary assessments. Another input came from the results of focus groups with students and families, strengthening assessment criteria and methodologies were not homogeneous in the school. Focus groups have given the school the opportunity for co-projecting and co-assessing with its most relevant stakeholders, who now ask to take part in the focus groups.

It is important to stress that the improvement results impact on the didactic level, that is on the school core business, where oppositions by teachers was particularly strong.

At present, all the school projects have intermediate and final targets and indicators, which are regularly checked during the school year (in specific meetings with the principal) and at the end of it (during teachers' meetings). The results are uploaded on the school website.



**Indicate expected/reached (explicit) and unexpected outcomes identifying the specific processes/actions that brought about the appropriate or, if applicable, the inappropriate results.**

In addition to the designing of common final tests for any school subjects and the elaboration of common targets and indicators for assessing them, questionnaires have been developed for teachers to assess weaknesses and strengths of such a process: the results are absolutely positive and have been shared during the school staff meetings, besides being uploaded on the school website. Other questionnaires have been developed to assess students' perception about tests and assessment criteria; their analysis has enabled the management to understand if assessment criteria have been well understood and homogeneously applied by teachers, and consequently to plan further improvements. A guide has been elaborated to support teachers in the process of assessing. Even the main unexpected result concerns teachers. They have become so aware of the importance of assessing what they do, that many of them have spontaneously started fixing targets and indicators, relevant to the global ones identified by the school for the activities carried out in the classes. Self-assessment is now a way of thinking, a sort of *forma mentis* for the school.

The school is now working to identify relevant targets and indicators for designing activities carried out by departments and class teams.

The school has obtained the most meaningful improvement in the following principles:

Principle 3: Leadership and constancy of purpose

Principle 4: Management by processes and facts

Principle 6: Continuous learning, innovation and improvement

Principle 7: Partnership development

Principle 8: Social responsibility

It has also improved in the following ones:

Principle 1: Results orientation

Principle 2: Citizen/Customer focus

## Principle 5: People development and involvement

The school has particularly directed its effort and its improvement plan towards the area of assessing and cooperation, since they both are more directly connected with the school's core business. The whole school is proud of being awarded the European Label twice: it is the prize for its continuous efforts in the direction of improvement and innovation, despite all the obstacles, difficulties and problems concerning structures (the school is spread over three different locations), families and students (their cultural background is quite poor). Self-assessment has been the key for supporting teachers' efforts and keeping school performances at a high level.



**Lessons learnt. The implementation of CAF could face obstacles, resistance, and sometimes opposition from some actors, in some phases, for some matters. How was this in your organisation?**

The main difficulty faced by the school was the teachers' prejudice concerning self-assessment. Many of them believed it would increase their workload; others thought self-assessment would mean teacher assessment! This fear has proven false: when proposing the definition of common tests, the principal and the staff have underlined that it would be a help for teachers, requiring the same amount of time and effort as the planning of any individual test, but giving them the possibility to work together.

The principal has also given more value to individual training activities carried out by teachers on their own: during school meetings teachers are invited to briefly describe their training. In this way information is shared, communication is improved, and teachers feel appraised. In addition, school has elaborated a questionnaire to assess the impact training has on didactic processes. Furthermore, the percentage of teachers following training courses is now 100%.

Since starting the CAF journey, the leadership has identified two main strategies to overcome obstacles and prejudices: listening and giving account. Over the course of time they have turned from simple actions to processes. Focus groups are strategic to gain feedback and indications by relevant stakeholders: they prove the school is present and dynamic too. Giving account is the logical consequence: when people are listened to, they expect a reaction, a change and the school has to provide it. Teachers and administrative staff feel responsible for what they do, because they are bound to give account of it. At the same time they feel more appreciated because their job is noticeable and transparent and contribute to reaching the school targets.

### 3.2. School for Higher Education - Province of Hainaut

*Name of school:* Haute Ecole en Hainaut

*Typology:* Higher Education

*Country:* Belgium

*Contact person:* Françoise Vander Poorten

*Email:* vdp@heh.be



#### Internal and external context at the last self-assessment

*Social and economic environment:* the HEH is a School for Higher Education (*Haute Ecole*) offering degrees at Bachelor and Master levels. Its main location is situated in Mons, capital of the Hainaut

province. The province of Hainaut is recognised as an economically disadvantaged region, particularly affected by the ending of the mining and steel industries, but the Mons region is now enjoying an economic, cultural and social revival.

*Institutional mission:* Higher Education

*Organisational structure and facilities (human resources; budget dimension; buildings and other facilities, etc.):* 350 people form the academic, administrative, technical and maintenance staff; 5 locations in the cities of Mons and Tournai (Belgium).

*Main characteristics (number and kind of courses, number of students, external stakeholders and partnerships, etc.):* 31 courses (4 teaching departments: economic, educational, social and technical) at Bachelor and Master levels for +/- 3100 students. The governing body is the Wallonia-Brussels Federation (FWB) and the HEH is a partner of the *Pôle Hainuyer* (Hainuyer Centre). We have also developed a wide network of partners.

*Maturity level:* This was the second CAF self-assessment exercise. The 'Effective CAF User' label was obtained in July 2014



### Why and how was the CAF used ?

*The reason why the school decided to use CAF:* The tool seemed the most relevant to our School for Higher Education and fit with our culture of internal dialogue. We carried out a second CAF because only few joint projects existed between the departments (difficulty related to the various locations). It is a unifying tool and obtaining the label was an important stake in improving the image of the institution through a quality approach which was different from that of other institutions

*How CAF was used:* On the initiative of the Quality Commission and with the support and investment from our management, the second self-assessment exercise for the whole *Haute Ecole* initiated the launch of the process. The self-assessment group, formed on a voluntary basis, brought together staff from all parts of the institution. All staff members and all levels were represented, in order to report the numerous concrete realities that are experienced within our institution.

After the self-assessment exercise with the CAF tool, obtaining the label was an important stake for improving the image of the institution, and to provide the means for external recognition – a major challenge of European teaching.

The second element was to bring together the different teaching departments of the *Haute Ecole* to add value to the staff and instil a dynamic of continuous improvement in favour of the students.

This participative self-assessment tool was unifying, and allowed us to acquire a new, more structured approach, a realisation of the importance of evaluation, of formalisation and the setting up of institutional process of consultation. We now organise an annual information meeting for staff on the overall results of the institution in terms of performance; our intranet has been greatly developed and now contains many useful documents for staff. A student from the department of 'Psychology of organisations' from the University of Mons wrote his thesis on the perception of the Quality process by our institution staff (see Leadership)



### Describe and comment on the main improvement actions realised.

The development of a Quality Charter is a very good internal practice that was brought to mind by the quality process of the Free University of Brussels, which is broadly based on a Charter. The review of all external communication was a major change at the strategic level of internal communication. The communication service is mapping communication activities to ensure their efficiency and good visibility. Consultation about the programmes, the development of automated tools on the extranet, the sharing of good practices between those responsible for mobility in the partner institutions of the Hainuyer Centre, are a number of the successes. The writing of a welcome guide for international Erasmus students started off the successful sharing of best practices between the support services for the *Pôle*: as well as exchanges on various topics (e.g. command of the French language). Collaboration with the University of Mons has begun in order to integrate teachers of *Hautes Ecoles* in research projects. Obtaining the ECU label adds value to all aspects of our Quality process, and reinforces its credibility, both internally and with our external stakeholders.



### Lessons learnt

The political authority did not respond to this self-assessment exercise and its outcomes, apart from a referencing survey of tools circulated at the FWB level (and completely unrelated to our CAF). But with regard to the Quality agency (AEQES), it allowed the consistency of the process to be highlighted, which has been widely pointed out by the auditors in relation to other institutions.

A new decree reorganising higher education in FWB (called *Dédret Paysage*) disrupted priorities and members of the CAF group were reassigned to other duties. This generated a cumbersome situation because various complex tasks had to be completed at the same time. The accountability of drivers of improvement actions was slow.

There was a strong realisation that there was a need to measure. We were able to highlight the weakness of our policy for measuring, and how we should use the indicators. The main message to management was precisely the need to formalise measures and indicators, and to evaluate the impact of the performance. But the implementation of the measures is not straightforward because the college management is afraid to discover any possible negative results! Currently, we are putting in place a monitoring tool and indicator, and with a goal to be reached by indicator (BSC, Balanced Scorecard, type).

In terms of CSR (*corporate social responsibility*), we achieved a lot of integration work in the local community (business partnerships, etc.); we are in the process of a participatory project because we are stakeholders in the large project of Mons cultural capital of Europe in 2015; we have incorporated Fairtrade products in our daily functioning (recycled paper, Fairtrade coffee, recyclable glasses and cups, etc.).

The ECU label provided a pleasant internal recognition for the CAF committee and the team that led the labelling process. It is a real added value with respect to partners and students, and a value-creation of the Quality process in terms of advanced performance.

### 3.3. Levanger Upper Secondary School

Name of school: *Levanger Upper Secondary School*

Typology: *School for vocational and general studies, age 16-19*

Country: *Norway*

Contact person: *Knut Bergdal, Director*

Email: [knut.bergdal@ntfk.no](mailto:knut.bergdal@ntfk.no)



#### **Internal and external context at the last self-assessment**

##### *Social and economic environment*

A school for the city of Levanger and its surrounding region. Levanger, with its almost 20000 inhabitants and 646 m<sup>2</sup> area, has a slightly higher socio-cultural level compared with the county as a whole. This is because of the long traditions of the city to host hospital, teacher-training college and schools. The school are fully financed by the county with good margins.

##### *Institutional mission*

The mission of the school is to fulfil the mandate of the educational law, under the ownership and responsibility of Nord-Trøndelag County. The vision of the school is “learning – development and well-being”. Levanger upper secondary school is a combined upper secondary school (students aged 16-19) which contains:

- General studies
- Vocational studies
- 800 students aged 16-19 years, and 200 adult students
- Programme for general studies - 3 years
- Several programs for vocational studies - 2 years at school and 2 years as an apprentice
- 145 teachers
- 30 staff in maintenance, office, cleaners, canteen, library

##### *Maturity level*

At the time of the first CAF assessment in 2007, we had student and teacher polls, but no other tools. Since then, the development in awareness and consciousness have grown enormously. The use of these surveys was limited in the beginning, and not used in a structured and sound way. Those became important documentation and input to the assessment when the CAF was implemented. We also did not use the national quality information portal of surveys and results.



#### **Why and how the CAF was used ?**

The reason why the school decided to use the CAF. Levanger was invited by the county director of education to participate in the full-fledged implementation of quality development system of the county of Nord-Trøndelag in 2006. The school decided to participate in 2007, together with the rest of the schools in the county. Later the same year, the county council decided that the quality system for the schools, including CAF, should be mandatory.

*How the CAF was used.* The school set up a self-assessment group, including participants from among the teachers, administrative staff and management. During the implementation period (2007-2009) the CAF model and the assessment was carried out together with the quality system. The system provided tools for analysing, adjusting, prioritising the actions and carrying out the action. The assessment is following an annual plan for quality, and is carried out every year (eight assessments so far).

It was quite heavy in the beginning to generate enthusiasm and acceptance among the staff regarding the quality and CAF work. It was quite difficult to argue for a change in the practice.

In the first years of annual CAF assessment, the effect of the actions were not very high. Today most people understand the reasons and argument for implementing actions, and they therefore have a better effect on the organisation. Also, we now have quite a high interest among teachers and other staff to join the SAG. This is a good indicator for the work of the school.

The self-assessment report (as a part of the quality development system) is a public document, as a consequence of the quality strategy for openness and transparency. The reception of the report is quite positive, and this has been increasing through the years. The report reveals our strengths and weaknesses in a way that most staff feel is adequate and familiar.



#### ***Improvement actions realised and output results?***

First of all, the culture has changed. Especial after we received the local “CAF Education” version. It was easier to understand for most people at the school and contributed to a change in the culture. The acceptance of the use of a quality model and more focus on measurement have increased tremendously. Specific necessary actions were in several ways linked closely to the different departments of the schools, and teachers could clearly see the connection between the assessment and the actions. This kind of more integrated thinking helped to change the culture of the school, and the results showed this.

The developments have been good. We have many examples. Some people still think quality work and CAF is a waste of time, but through the years the picture has been very clear: it's no longer possible to deny the results and the documentation. In addition, the integrated way of working through the year according to the PDCA cycle, following up weaknesses and implementing actions has been the way of overcoming the obstacles mentioned earlier. The systematic and professional approach is very much appreciated. The focus and following up from the management has been just as important.



#### ***And the Outcome?***

The top management needed to put a necessary focus on the right processes and give the work more attention. The systematic quality approach was implemented for all areas of school, not only teachers and student results, but also aspects such as economy, administration and buildings. The holistic approach gave better results. All aspects of the school are represented in the SAG. Therefore, no particular principles seem to have more obstacles than others.

But, put it another way, our most important benefit would be better results for our customers, the students. This is our key result. Also developing and maintenance of our partnership should be mentioned as an important benefit, together with success with people. We have gotten better over the years at taking the principles and the PDCA cycle into our permanent work, and seeing the

consequence and importance of aligning actions and bringing them to life. This must be seen in light of taking the responsibility for a sustainable development of our school.



#### **Lessons learnt ?**

Our head teacher did not have the right motivation in the beginning. This is necessary to carry out the work. Others took this responsibility, and focused on the benefits of doing this quality work. The members of SAG have been prioritised in the local salary negotiations on several occasions to promote and support the work.

### **3.4. Agrupamento de Escolas de Cuba**

*Name of school:* Agrupamento de Escolas de Cuba

*Typology:* Multilevel institution (Kindergarten, primary, and pre-secondary education - 7th degree)

*Country:* Portugal

*Contact person:* Paula Gomes (SAG coordinator)

*Email:* [paula.gomes@aecuba.pt](mailto:paula.gomes@aecuba.pt)



#### **Internal and external context at the last self-assessment?**

##### *Social and economic environment:*

Cuba is an inland county of Portugal, in Alentejo, with 4878 inhabitants. A major problem in the region is the loss of population due to a migration stream to large urban centres (industrial belt of Setúbal and Lisbon) and emigration. This migration is not surprising in a region where the main activity of the population is linked to agriculture. The increasing mechanisation in recent decades has led to a massive reduction of jobs. Thus, today, the county consists of an aging population not only due to the departure of young people, but also because of low birth rate. The illiteracy rate is very high (in 1981 it was 35.4%), affecting mainly the elderly.

##### *Institutional mission*

“Respect for identity and diversity; focus on improving students educational outcomes and results and improving the performance and satisfaction of its teachers and staff; promotion of school recognition and public image; integrated offer, through multidisciplinary teamwork, of an inclusive and quality school, where responsibility, availability and professionalism, are recognised and felt by all.”

*Organisational structure and facilities (human resources, budget dimension, buildings and other facilities, etc.):* 67 teachers, 31 non-teaching and staff members. The school cluster consists of 6 buildings. The main school has a central building with two floors and a sports pavilion. It also has special rooms for the different disciplines (music, visual and technological education, laboratories, ICT), library, buffet, reprographics, auditorium, etc. No information about budget.

*Main characteristics (number and kind of courses, number of students, external stakeholders and partnerships, etc.):* The school cluster has 497 students, in general studies. We can identify the

following educational offer: pre-school education, 1st, 2nd and 3rd cycles of basic education (with support of a Specialised Unit for multiple disabilities), and Adult Education and Training Courses (EFA). The school has a lot of projects at national and regional level, from mother tongue projects, literature projects, national sports programme, Lifelong learning project, Comenius Project “Bilateral Generational link: playing and learning”, “Smart Through Art”, Environment sustainability project, etc.

### *Maturity level*

Implement an evaluation culture amongst teachers and students, as a way to improve the organisation (and students’) results (instead of looking at it as a way to simply point out weaknesses). Before first CAF application, only a small group of teachers had done some evaluation based on document consultation and further analysis on its contents, as in a report, with some actions to promote change.



#### **Why and how the CAF was used ?**

*The reason why the school decided to use the CAF* - it was freely chosen by the school to assess the quality of the organisation and to improve it. It was adopted in response to demands from teachers to improve the quality of the institution, connected to a top management decision to improve the quality of the institution. It was common knowledge that the quality of the institution had to be improved

*How the CAF was used:* We didn’t have external support along the process, so in the first CAF implementation we tried to evaluate all the criteria. When working with the collected data, we realised that it was not possible to deal with such a large amount of information. On the second CAF application we chose to evaluate only 6 to 7 criteria (according to our size, previous experience and amount of time available to work on evaluation, we decided only to evaluate 2 or 3 criteria at a time). In the questionnaires, we cover teachers, students, parents, and the school cluster of non-teaching staff.

In the second CAF assessment, we focus our communications effort amongst teachers, students and parents, publicising the self-assessment in a flyer distributed in the community.

*Stakeholder involvement* remained at the same level of involvement, answering the questionnaires we sent them. They do not participate too much.



#### **Improvement actions realised and output results?**

Identification of the factors that explain the results of national tests of basic education in English and mathematics (criterion 2). We changed some ways of working and collecting information. Long-term planning in the curriculum department for a shared curricular management and guidelines (criterion 5). We had some changes in the way teachers work in the different departments (more cooperation and collaboration). The quantitative results Improved from 70% to 75%.



#### **Outcome?**

Well, we didn’t expect such a low level of participation in the CAF processes, but also for the

SAG team it was a huge effort and a time-consuming process. The SAG team should have more time (or more help) to implement the process. We haven't identified any major or substantial improvement on any Excellence Principle, maybe because of the lack of involvement. We can say that the teachers improved the way they collect data (and information) about student results. We have redefined some data collection instruments, for better (and faster) access to the information we need.



#### **Lessons learnt ?**

The main problem is connected with the involvement of people, because of the crisis in Portugal. There's not too much we can do about it. Nevertheless, some teachers improved the way they work and the teaching processes, to achieve better results with their students. We had more cooperation in some teaching departments.

### **3.5. Bilingvalne gymnasium Milana Hodzu**

*Name of school: **Bilingválne gymnázium Milana Hodžu (BGMH)***

*Typology: the only fully bilingual state secondary grammar school in Slovakia with English and Slovak as working languages*

*Country: **Slovakia***

*Contact person: **Lubica Božanská***

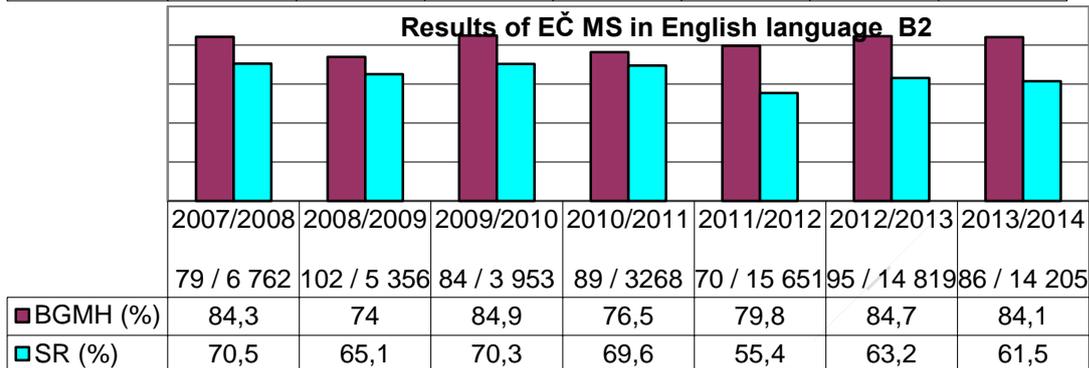
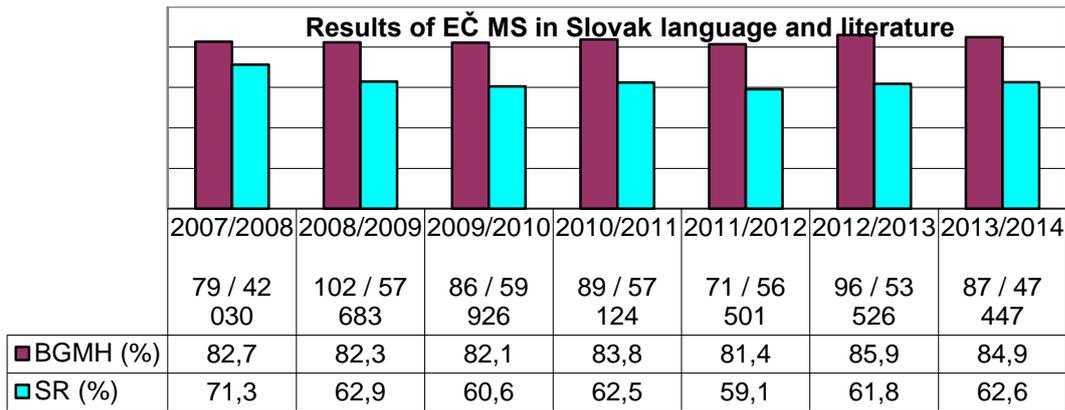
*Email: **lbosanska@gbas.sk***



#### **Internal and external context at the last self-assessment**

The school was established on 1 September 1991. The main aim of the school is to provide a well-rounded education, while combining the best experience of both Slovak and British educational traditions. The school receives state funding as part of the Slovak Secondary School System, but differs from all the other state schools, in that most subjects are taught in English using English-language books and materials. Its five-year programme aims at providing general bilingual secondary education in the humanities and sciences. The staff are trained in teaching methods, which have proved highly successful in engaging the students in an interactive learning process. At present there are 37 teachers on the staff, most of them are Slovaks, but there are also teachers from Great Britain and various other countries. The school is open to students from across the Slovak Republic. This school year 470 students aged from 14 to 19 are studying at our school. In order to complete studies, students have to take their school leaving examinations, otherwise known as the Maturita. They have achieved excellent results.





These and other examination results show that, throughout the age ranges, the school has one of the highest standards of education in the country. Students are well prepared for university study abroad (Great Britain, Czech Republic, USA, France, Denmark ...) and in Slovakia.

School's vision: *"Happy students, successful graduates, satisfied parents and teachers"*

*Bilingválne gymnázium Milana Hodžu is made in quality, made for success*

5-year bilingual study

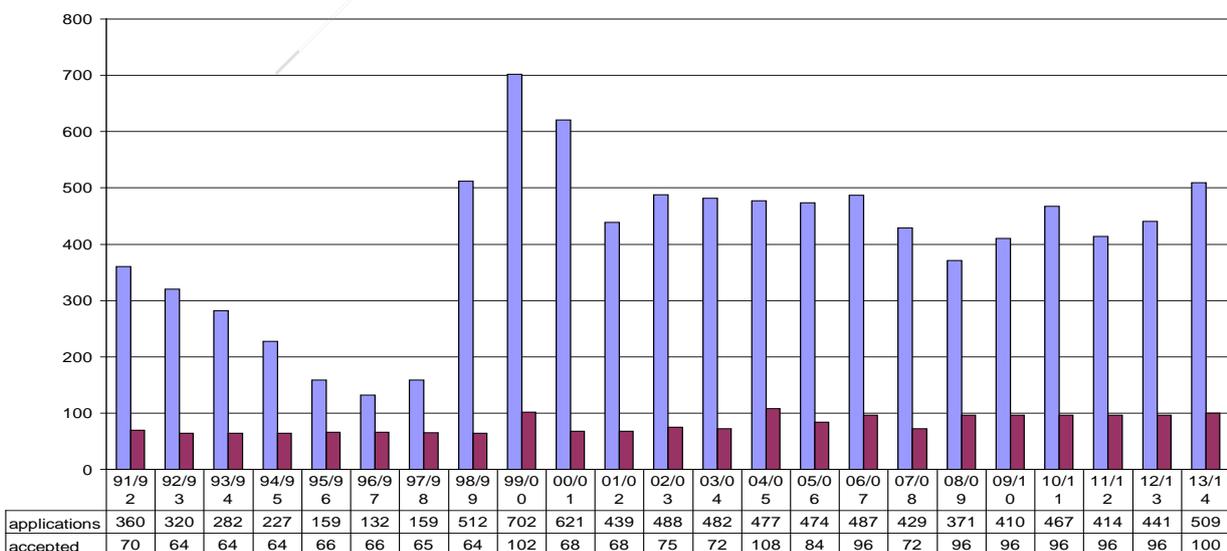
470 students from across Slovakia

45 employees/ 37 teachers

Our building (after reconstruction thanks to European foundation financial support)

The school is financed as budgetary state organisation:

Customers - new learners are interested in study at Bilingválne gymnázium Milana Hodžu



*Stakeholders*

- students, parents
- employees
- Ministry of Education, Science, Research and Sport of the Slovak Republik, Ministry of Interior of the Slovak Republik, National Institute for Certificated Measurements, State School Inspection, Region office Žilina – constitutional government of the school
- School Council
- Universities in Slovakia and all the other countries, primary schools, secondary schools, boarding schools, Language school Žilina
- Parents Association, Study foundation, n.p.Alumni Sučany, Students Council
- British Council Slovakia, British Embassy Bratislavy, US Embassy Bratislava
- The Slovak Office of Standards, Metrology and Testing, Supreme Audit Office of the Slovak Republic
- suppliers of products and services ...

We don't look in, we look out.

We are always open to outsiders.

We don't build barriers, but knock them down.

**Why and how the CAF was used ?**

Dissatisfaction with every school year report based on the law and wish to evaluate our school complexly and objectively, involving professional external feedback, using quality management tool were reasons for CAF implementation in our institution.

The Improvement of the school management, 11 staff members as CAF team started to participate voluntarily. The team structure corresponded with the structure of the school as all departments were covered. In the process of self-assessment we were missing representatives of non-teaching staff. Very soon we learnt that the CAF model must be implemented across the whole institution. Our institution is learner oriented so we involve our students – internal stakeholders too. They learn really very quickly and react flexibly.

**Improvement actions realised and output results**

We check and monitor the functioning of the quality management system using a set of indicators:

- with questionnaire opinion surveys of internal and external stakeholders;
- with questionnaires to evaluate management and give feedback in staff meetings;
- with regular staff surveys about school environmental working conditions.

We implement CAF in the whole school (we started with implementation in the pedagogical part only). We plan measurable goals at all levels as “where there is nothing to measure, it is not possible to manage” ☺

- developing communication channels (intranet, e-mails, e-records for stakeholders, website, Facebook, briefings, etc.)

**Outcome**

After the first self-assessment with the CAF model members of the team thought that no outcomes are visible. Today – 3 years later – you can find them everywhere. I try to list them:

- identification of internal and external stakeholders and partners
- planning and setting (SMART) goals in all levels of management
- following PDCA, not only in lessons but in all activities
- identification of processes
- involvement of staff and stakeholders in quality management
- communication with stakeholders, partners
- evaluations of results applying cross-connection of enablers and results panels



### **Lessons learnt**

The implementation of CAF could face obstacles, resistance, sometimes opposition of some actors, in some phases, for some matters. Here the stake is:

(a) Top management was the initiator of the quality management support system introduction in our organisation. The first task was to motivate staff for CAF implementation as **People are the school**. But we were successful only on the second attempt. The critical moment was during training, when people did not understand CAF language – new terms – stakeholders, partners, enablers etc. They thought model can work for companies and factories only. Thanks to a good lecturer we passed training very well and the self-assessment was completed by an enthusiastic CAF team. Lack of time in busy everyday work is another problem that also caused resistance among employees as they require a different work organisation. Another point to be noted was so-called “division of school employees into CAF staff and the others” (“better and worse”) – you must join them, to show them that united staff is the strongest one and only participation of everyone and cooperation brings “fruits” and success.

(b) Another critical moment we passed thanks to positive external feedback and achieving Title EFFECTIVE CAF USER.

To overcome some critical phases you need a strong and positively thinking method, which is respected by people and guaranteed. Leadership is the locomotive of continuous improvement, so the idea to implement the CAF model without top management, middle-level management staff and employees is wrong as this model is about the complex quality management.

c) After the decision to implement the quality management, you have to pay attention to training of staff. It's useful to repeat it as there are continuous changes in the staff structure, methodology, atmosphere, internal and external environment.

But still keep your purpose, follow your idea of quality management and on your journey with CAF you move from must, to want, because you can.

The organisation will benefit from, e.g.:

- attachment of more importance to the school's functioning quality,
- creation of pro-qualitative culture,
- improvement of internal communication,
- increase of pro-innovative attitudes and actions among employees,
- improvement of cooperation with environment .

Embracing change celebrates difference. If we can't face up to change, the school may lose its reason for existing.

### 3.6. Preschool and Elementary School of Biancavilla (Catania)



Name of school: 2° Circolo Didattico di Biancavilla (Catania)  
 Typology: Preschool and Elementary School  
 Country: Italy  
 Contact person: Simona Maria Perni (School Director)  
 Email: [ctee04600r@istruzione.it](mailto:ctee04600r@istruzione.it)



#### What was the internal and external context at the last self-assessment

##### *Social and economic environment*

The school is located in Biancavilla, a small town in eastern Sicily (south of ITALY). It serves an area of about 70 square kilometres and the economy of this area is largely agricultural. The school population comes from a medium-low socio-cultural level. In recent years, different symptoms of scholastic dispersion were registered, such as lack of motivation and lack of interest in school. Problems have emerged concerning the local general culture often oriented to non-compliance of the rules, transgression, violence, and frequent episodes of vandalism in schools.

##### *Institutional mission*

Ensure the welfare and success of education for all students. Ensure the acquisition of knowledge, but also of individual practical capabilities and skills that allow the development of the person in the context of her/his life. Make the school a community of continuous learning where the students are educated to be self-confident, independent, creative, and responsible for their actions.

##### *Organisational structure and facilities (human resources, budget dimension, buildings and other facilities, etc.):*

The school consists of 3 buildings (1 for preschool and 2 for elementary school), plus a branch in the hospital. The organisational chart contains 83 people:

- n. 1 School Director;
- n. 1 General Manager and Administrative Director;
- n. 66 teachers (including 51 primary and 15 nursery school);
- n. 11 administrative staff;
- n. 4 other roles.

##### *Main characteristics (number and kind of courses, number of students, external stakeholders and partnerships, etc.):*

The school population is made up of 767 students of which 572 are in the primary schools and 199 in the preschool, 5 foreign students, 18 students with disabilities and 28 students with acknowledged learning difficulties.

##### *Maturity level*

The CAF self-assessment was conducted for the first and last time in the academic year 2011-2012. However, since the year 2000 the school has been implementing a quality management system based on ISO 9001, and it was certified since the first year of adoption, thus undergoing annual inspections. The ISO 9001 approach to quality management increased the managerial skills within the school, its business process orientation, and the measurement of results and performance. Although teachers and employees have always participated in the design and planning of measurement systems and performance evaluations processes, their involvement in the implementation and management phases of these processes was quite low.



### Why and how the CAF was used?

Apart from the ISO 9001 adoption, the succession of 3 School Directors since 2000 has positively forced the school to be always updated on managerial systems and quality approaches. For this reason, the school adopted the CAF thanks to the commitment of its Directors. However, while the first time in which the CAF was adopted it was a completely failure, the second time, people were trained much more and the school was supported by FORMEZ. The school strongly recognises the importance of training and support during all phases of the self-assessment to guarantee its success. This time, the attitudes of people were positive in general. All the stakeholders (internal and external) were actively involved. For example, in January they organised an event to present the self-assessment process, its results, and the undertaken actions to families of pupils, but also to other schools. Families have responded very well (they also had an increase in the number of students), while other schools look suspiciously at the project. Most other schools of the same regional area are, indeed, still doubtful about self-assessment and do not understand its relevance. Probably this is because they are not educated about this topic.



### Which improvement actions were realised ?

Concerning the improvement on the self-assessment itself: the self-assessment has been carried out successfully only once. However, past experience of questionnaires and interviews with personnel (thanks to the application of ISO standards and continuous improvement programmes), but also on the assessment of students and on the monitoring of results, has certainly allowed the school to restructure (or simply re-tune) the questionnaires and the performance measurement systems that they were using on the past occasion of the CAF self-assessment. In other words, the new evaluation and monitoring have been developed in accordance with the results from the previous analysis. Today the school has a certain maturity on the part of data collection and results interpretation.

Lesson learned for the next adoption CAF: pay more attention to planning and timing activities. Next time, the school will certainly take into account (when planning CAF-related activities) the other school activities that overlap, and will also consider in the plans some degree of freedom to contrast potential unexpected events that threaten to delay the planned activities.

In this school, the culture of measurement is present since the year 2000, but thanks to the CAF and, in particular, thanks to the PDCA quality cycle, today the school looks at and uses the "measurement" not as a final result of self-assessment, but as an integral part of the process. What has really changed is that now the staff is directly involved in the measurement and interpretation and use of results. The measurement is no longer "top-down".

The main improvement actions the school realised, with respect to past self-assessment experiences, were:

- Mapping the partner with whom it works, scheduling activities that are usually carried out (such as other projects with external agencies) to better integrate and coordinate the external and internal activities;
- Involving the families with events that affect not only the parents but also grandparents (e.g. volunteering in curricular and extra-curricular activities);
- Communicating with families through social networks, not only through email;
- Distributing to all students a school diary full of info on The mission and vision of the school, the educational goals, the school projects, etc. The journal represents the historical memory of the school and provides updated information on school projects;
- Tying the executive directors to single improvement projects. The executive directors must be explicitly associated with specific pillars of excellence of CAF.



### What results were achieved on the outcome/impact?

The excellence principles where the organisation improves more are: leadership, Orientation to results, Continuous improvement, OK (digital technology and electronic diary, email, class 2.0).

Contrarily the excellence principle where the school encountered more problem is the Partnership. Indeed, concerning the partnerships with other schools, they encountered high barriers to collaboration due to difficult cultural context. Also, very few benchmarking actions have been undertaken because other schools have revealed themselves as uncooperative. With regard to other public administrations and organisations, the difficulties in collaborating are mainly due to lack of financial resources.

Finally, concerning the principle of Social Responsibility, the school somehow improved even if criticisms emerged due to limited financial resources. In fact, many initiatives have been carried out thanks to social solidarity. For example, they organise events to raise funds that are then donated to NGO associations or are used directly to assist students with special needs.



### What are the Lessons learnt ?

The obstacles that the school faced during the self-assessment were driven by two main causes, namely lack of financial resources and lack of personnel involvement. From these, the school learned a number of lessons that are very important for improving the next process of self-assessment.

Regarding the obstacles due to limited financial resources and the uncertainty related to the financial resources, the solution has to be intervening through voluntary actions and participation in projects funded by the Government, (e.g. Ministry of Education) and by the European Union. As regards the obstacles due to the lack of involvement of staff (who are not motivated to participate), the solution is the involvement from the outset, encouraging the rotation of assignments, and assignment of public praise. Staff should most definitely be involved throughout the process of self-evaluation. The success of self-assessment depends heavily on the fact that the staff is not only involved in the initial stages and planning, or final presentation of results. The staff is the main actor in the process sequence of self-assessment. It is very important not to leave the group leader or the self-assessment team alone. The School Director should facilitate widespread collaboration especially through the executive directors.

## 3.7. High School F.Botazzi – Casarano, Lecce



*Name of school: High School F.Bottazzi – Casarano, Lecce*

*Typology: School for higher education Country: Italy*

*Contact person: Rosaria De Marini*

*Email: profcas@tin.it*



### What was the organisational maturity level before using CAF in your school?

The use of the CAF model was introduced into a specified organisational setting; here a culture of quality has been pursued for about 10 years and promoted through the accreditation to

the Quality Management System conforming first to ISO 9001:2000 standard, and later to ISO 9001:2008 standard.

There was a real demand to acquire a quality certification. We wanted to respond to the internal organisational complexity aiming at: defining and optimising several processes and their interactions; working consciously so that technical, administrative and human factors affecting quality could be under our control and consequently monitored; going beyond self-referentiality; motivating continuous improvements; changing our 'nature' (from an institution based on tasks to an institution based on results and impacts). The introduction of a self-assessment structured system with third party audits, the related definition of an organisational chart (formalisation of the Quality Management Function and Self-Assessment Commission) and the accurate conduct of the System Documentation, must be intended within a specified cultural background: we were deeply aware of quality as a goal to be carried out in a continuous improvement process within a unitary organisational frame, and we believed a process output generates an input, thus starting a new process in a continuous relation with the generating output. In 2007 the Institute decided to present its candidature to *Premio Qualità delle Pubbliche Amministrazioni- 2nd Edition*<sup>6</sup> and to participate in a seminar organised by Formez; in this way a self-analysis process through CAF began. Our top management had the process ownership defining its responsibilities, general organisation and goals according to our Institute mission, resources and context. During the first phase, our top management made the suggestion to the teaching body that our school should carry out the self-assessment of the whole organisation using the CAF Model. The top management wanted to assure agreement and sharing, to stimulate motivation, involvement and participation in the improvement process, and to urge everybody's contribution. Thanks to the positive results obtained by using CAF (that is to say, diffusion of a culture of quality and modernisation and innovation of the System), our school decided to continue with the use of this Model and to participate in the following events promoted by the Ministry of Education, University and Research, the Ministry of Public Administration and Innovation, and Formez: *Concorso Premiamo i risultati*<sup>7</sup>, CAF External Feedback procedure (we succeeded in obtaining the related label twice after passing two on-site audits); C2E Procedure (gaining the related certificate).



### **Did you benefit from the assistance by experts for the CAF use? If yes, in which step of the process?**

The institute benefited from the CAF Resource Centre's invaluable support during the development of different phases of the self-assessment process and improvement planning/development/implementation. In addition, our human resources in charge of Quality Management participated in several initiatives to benefit from different typologies of counselling offered and to acquire a deep knowledge to be disseminated in the school after: training days (Rome, Pozzuoli, Cercola); regional seminars (Bari, Brindisi); a European Conference (Vilnius); webinars. This was the first unavoidable step to take in order to develop a following well-founded and conscious process that was supported constantly by the CAF Resource Centre helpdesk (it was always ready to give us prompt feedback and tutoring for the resolution of difficulties).

The availability of clear and structured tools (such as importance-value based analysis, improvement plan format, etc.) did not cause any significant difficulty during the identification of priorities for improvement and development of related projects with consequent implementation actions.

<sup>6</sup> 'Premio Qualità delle Pubbliche Amministrazioni' is promoted by the Department for Public Administration and Innovation in order to recognise and appreciate Italian Public Administrations' improvement plans. To learn more see: <http://www.qualitapa.gov.it/common-assessment-framework/centro-risorse-caf/iniziative/premio-qualita/>

<sup>7</sup> To learn more see: <http://www.qualitapa.gov.it/premiamo-i-risultati/>

Starting with the process was the most complicated step, especially in the following fields:

- Communication (collaboration with external stakeholders and identification of the right channels and tools to guarantee multi directional efficiency of the communication plan);
- Interpretation/application of the Model (organisation of data collection and their aggregation with related resource distribution, choice and use of a score system).

We were able to overcome these difficulties thanks to the opportunity to consult the very detailed Guidelines and the support by the CAF Resource Centre helpdesk, obtaining a specified feedback very quickly and experiencing a right and interesting comparison. I cannot help but underlining the impact on the whole Institute, involving staff determined by on-site verifications: indeed, different teams of qualified CAF auditors verified the school four times and we could learn so much from these experiences.



**Which improvements have been introduced during the repetition of the self-assessment process over time? Which effects have been produced by these improvements on the process result?**

Thanks to the use of the PDCA method and the annual development of the self-assessment and planning process and realisation of improvements, the progressive approach to Quality Management System had very positive effects on our Organisation. I would like to indicate the following:

- Transition from an organisation based on tasks to an organisation based on results and impacts: Assessment of efficiency levels with a direct reference to action outcomes – and not simply action outputs! (e.g.: the improvement of ‘no. of graduates/no. of students in the fifth class’ indicator – previously considered as a final analysis element – was connected to the results of other indicators such as ‘no. of graduates who fit in the sectorial world of work’ indicator or ‘positive comments by companies on students’ training performance indicator, etc.). In this way we could intervene in regard to users’ needs and expectations in advance, trying to bridge a gap between expected Quality and applied Quality;
- Transition from extemporary improvement logic to planned, acted, communicated and monitored improvement dimension:  
During several years the systematic gathering of monitoring data referring to some indicators had allowed the study of trends concerning some phenomena (no. of students/drop-outs, no. of students who cannot have any term marks for exceeding number of permitted absences, etc.) outlining their evolution. So, the Institute was able: to individuate critical success factors and define specified strategic policies (e.g. policy against school dispersion, anti-bullying policy, policy for gender equality, etc.); to increase the number of Special Functions (Area 3 – Student support); to make real and permanent interventions on education (establishment of an Institute Sports Group, Information and Counseling Point, definition of summer educational training experiences, realisation of territorial networks to promote cooperation among institutions, etc.);
- Transition from a problem-solving practice to a problem-setting culture (aiming at solving root cause of problem):  
‘To do the right things in the best way’ – This ethical logic determined a revision of the methodological structure of intervention for some critical situations related to students’ behaviour (‘no. of suspended students’ indicator) with a wider focus on the implementation actions directed to social-affective and emotional education of students affected by behavioural disorders.



### Main reason of use of the model, how do you believe it met your requirements?

The main demands – determining the introduction of CAF – are fully satisfied:

REQUIREMENT	SOLUTION
- To respond to users' needs and expectations in a less fragmentary and extemporary way	✓ Structured integration of Quality actions during the daily organisational process and evolutionary approach to Quality pursuit
- To improve professional standards	✓ Perception of levels of advantages as a spur to a pro-active behaviour
- To move on from self-referentiality	✓ Fulfilment of benchmarking and bench learning actions
- A deeper Institute rootedness in local territory	✓ Realisation of networks to promote cooperation among Public Institutions and participation in round tables with main local stakeholders



### What were your stakeholders' reactions to the content of your Self-Assessment report?

The know-how acquisition and dissemination, the realisation of the Special Function no. 5 (Staff in charge of internal and external communication), the systematic support to self-assessment communication processes (Communication Plan and its progressive implementation), and the attention paid to Quality perceptive levels allowed a meaningful improvement of customer satisfaction results concerning several stakeholders.

<b>staff</b>	An active involvement - according to each collaborator's competences and responsibility - a higher awareness of critical areas, the common usefulness of the Self-Assessment Report, and the most motivated commitment determined a more responsible reaction by our staff to self-assessment contents than in the previous surveying.
<b>quality team</b>	A training on self-assessment method and the possibility to be supported by a qualified organisation (CAF Resource Centre) reduced the energy dispersion and increased self-efficiency, commitment and creativity.
<b>internal users</b>	Students were involved directly in self-assessment processes (survey questionnaires, interviews and expressive space dedicated to proposals and ideas bank for improvement); differently from past experiences, they were more and more co-actors of the whole process and co-actors of the Report, being fully aware of their critical and productive contribution to the improvement of the whole service offered by their Institute. Furthermore, students received all updates on improvement plan progress with related results/impacts.
<b>external stakeholders</b>	The increase of channels and occasions to communicate the self-assessment report to external stakeholders determined a constant interest and a higher number of expectations on results in comparison to the past.

**Ministry of Public Administration and Innovation**     A higher number of recognitions/ recognised confirmations



**Has the measurement culture changed in your school after using CAF?**

Performance measurement was not a new procedure to us since our Institute was already used to it from previous years before the use of CAF. Through a comparison with numerical data referring to trends, it identified improvement actions to be applied. With the introduction of the model, the approach changed by becoming holistic.

According to surveyed processes, a much more conscious relation between the obtained results and enablers was made; the approach to results had more direct impact on decision levels by administration and was functional to the fulfilment of newly-oriented strategic policies of our Institute. Performance measurement was more and more related to: the whole operative planning aiming at pursuing mission and vision, and factors guaranteeing efficient processes for providing services (importance-value based analysis) with the consequent value creation for social capital. Before CAF, instead, it was mainly in relation to segments of management processes.



**Could you explain why and how some excellent progress has been achieved in some principles of excellence? Or why could you not achieve any progress in other principles of excellence? Could you indicate the main obstacles?**

EXCELLENCE PRINCIPLE	PROGRESS	OBSTACLES
Management of processes and facts	A Quality Management System that –through the use of CAF – determines a structured constant improvement of organisations; it optimises integration, coherence and mutual support among different processes and actions; Diversification of the customer satisfaction survey system and attitude to accountability Transition from an extemporary improvement logic to a structured and continuous improvement dimension Integration of PDCA Cycle in organisational behaviours and work processes	
Results orientation	Integration of Improvement Plan in educational plan and innovation of management models supporting an educational offer and high added value services	
Learner orientation	Structured and unitary design directed to social-affective and emotional education of learners at school dispersion risk Actions for inclusive processes (learners with behavioural problems, learners with disabilities, foreign learners) Project for the promotion of excellence	

	Offer of play and educational activities after school hours (sports, foreign languages courses, ECDL course, etc.)	
Continuous innovation and improvement	Sharing the change through a method founded on importance, utility, agreement, integration, evaluation criteria	
Leadership and constancy of purpose	More conscious and explicit empowerment policies of staff and commitment involving all levels of an organisation Culture of a real and structured change and implementation of a set of indicators and functions in line with a developmental approach to Quality	
People development and involvement	Development and sedimentation of a culture of quality through a constant sharing of goals and values; a strong climate of trust, transparency, involvement, pro-activity and recognition	
Continuous innovation and improvement	Introduction of an innovation whose nature is instrumental (implementation and diversification of communication channels with users), and, above all, methodological: policies against school dispersion promoting educational success	
People development and involvement	Staff's educational and refresher plans in line with users' educational needs that could introduce innovative processes in method	Staff turn over
Partnership development		Difficulty in the management of networks promoting cooperation among PAs as a result of self-referentiality levels
Continuous innovation and improvement	Improvement of customer satisfaction levels	
Social responsibility	Verification of efficiency level of school education received by learners for the realisation of students' life plan Realisation of agreements for the development of summer educational trainings Starting of training courses for adults	



### Which actions would you like to suggest to other schools?

In my opinion the development of summer educational training opportunities for learners is a highly meaningful action to suggest. In virtue of this kind of experience,

- In collaboration with local companies, our school realises a wider educational network offering opportunities for students to develop social skills and learn activities over the summer. The chosen location for these activities is a protected environment from a cultural point of view, a territory often without youth centres or other recreational and cultural points of reference;
- It is possible to involve students in on-the-job experiences that are more motivating and challenging in comparison with traditional learning activities in the classroom. These experiences allow students' metacognitive dimension to be deeply affected (according to cognitive apprenticeship methodology by Ilan Collins, John Seely Brown and Susan Newman) in addition to strategies like 'articulation' (students are encouraged to put their experience in words), 'reflection' (students are encouraged to compare their problems with experts' problems), 'exploration' (students are encouraged to put and solve problems in a new way);
- Learners have the opportunity to exercise transverse capabilities (communicational and social skills) and their own creativity with positive effects on self-esteem and self-sufficiency;
- Learners have the opportunity to make their experience acknowledged according to two levels: official record of this experience on their own file at the Employment Centre and capitalisation of the experience in course credits that could be useful also for the achievement of professional qualifications.



#### How did you face the main difficulties?

The main obstacles we met concerned external stakeholders' involvement and potential less pro-active and enthusiastic levels of internal staff's involvement in case of a lack of accurate control and monitoring.

For this reason it is fundamental to coordinate communication in a structured method; communication must be through different levels and a diversified typology of modes and channels (website, publishing – e.g. the Institute brochure about its educational plan –, external meetings of networks promoting cooperation among PAs, round tables, work meetings, meetings for collective bodies availability of materials on notice boards, agreement meetings, meeting with new staff, etc.).

In order to guarantee high levels of staff enthusiasm and pro-activity, empowerment is an efficient tool operating through a coherent involvement of individual competences, the practice of proxy along with a clear definition of processes, the enlargement of levels of participation in decision-making occasions, the appreciation of individual contributions to the construction of quality and creativity, the recognition also in an intangible way. School as an 'educating community' must be a central statement: all its components play an inevitable role (internal stakeholders) and a more elevated involvement of a single part (e.g. teachers) damaging other components of the organisation (e.g. non-teaching staff) could decrease the efficiency level of the whole Quality Plan.

It is fundamental to get staff to participate actively; as a consequence, we can only understand the importance of advantage levels deriving from a correct interpretation and application of the ethical logic 'to do the right things in the best way'.



#### Could you explain why you gave these suggestions?

Introducing the model is a fundamental step for its motivated and lasting application in addition to enthusiasm and involvement in the participation in self-assessment processes and definition and

management of improvement. A forced or rough or hurried introduction of the Model could generate distrust and a wrong interpretation of a difficult and tiring application of the Model itself.

The right approach to CAF should be planned (perception of utility levels, the right spaces - focus groups, agreements meetings, etc. - and its introduction step by step – small groups, collective bodies, etc.). There is a very important assumption to promote: to pursue Total Quality Management Principles inside Public Administrations facilitates the translation of a rule (Legislative Decree 150/2009) into real behaviours and actions; besides, it gives real replies to the need to drive the orientation to users and stakeholders, to obtain results and impacts owning a high social value within the context where we work, to elevate the general performance standard. The systematic use of the Model allows Critical Factors of Success to be kept high, to appraise all human resources, to activate dynamisms in order to reply to local context requirements, to reduce the gap between expected quality and applied quality, keeping high levels of competitiveness over time, to add value to service, to favour discipline/creativity guaranteeing a constant improvement, growth and innovation.

*The journey toward excellence is made on a never-ending road* (H. James Harrington)

Indeed, quality is not a static aim but a journey whose dynamism is generated by a continuous improvement. The application of the CAF Model for a limited time does not produce any important advantage. Instead, a systematic use allows the refinement of methods and tools (set of indicators, diversification of auditing modes, etc.); besides, through a data diachronic comparison, it permits phenomena relieving/study and the related identification of root cause in order to operate through preventive and corrective efficient actions. The result is clear: we can obtain a meaningful optimisation of energy and resources that could vanish without producing any interesting results if used for actions directed to a problem and not to its generating causes.

### 3.8. Ski Upper Secondary School

*Name of school:* **Ski Upper Secondary School**

*Typology:* **Secondary School**

*Country:* **Norway**

*Contact person:* **Marianne Heir**

*Email:* **Marianne.Heir@ski.vgs.no**



***What was the Internal and external context at the last self-assessment ?***

*Social and economic environment:*

A school for the city of Ski and its surrounding region.

*Institutional mission:*

The mission of the school is to fulfil the mandate of the educational law, under the ownership and responsibility of Akershus County.

*Organisational structure and facilities (human resources, budget dimension, buildings and other facilities, etc.):*

Main characteristics (number and kind of courses, number of students, external stakeholders and partnerships, etc.):

Ski upper secondary school (students aged 16-19 years) contains:

- General studies
- Sports studies
- Music, dance and drama studies
- Programme for ethnic minority students
- 650 students aged 16-19 years, and 100 adult students
- Programme for studies - 3 years
- 100 teachers
- 15 staff in maintenance, office, cleaners, canteen, library

*Maturity level:*

Ski Upper Secondary School had not used other evaluation tools previously, but they had regularly used customer satisfaction surveys, people satisfaction surveys and different informative systems.



### **Why and how was the CAF used ?**

#### *Reasons for using CAF*

All the reasons listed in the questionnaire were important, but the decision to support CAF made by the education department in the county was the main reason for starting the process.

#### *Reasons for using CAF again*

Using CAF again was more a result of the invitation from the school authority to focus on CAF in order to improve the quality, but they also experienced that CAF led to the fact that the staff became ambassadors of strategies and cooperated better than ever before. The learning element and the list (overview) of relevant documents they made also became very useful and were much appreciated.

#### *External expert assistance:*

The facilitator had good knowledge about the tool, but they also had continuous external assistance from the department of education in the county, together with other upper secondary schools (4 times a year).

#### *Involvement stakeholders*

The external stakeholders, the public education authority, were very positive and enthusiastic. The internal stakeholders, the top management, were a little bit more reluctant the first time they conducted CAF. They perhaps felt threatened, but next time they became more open and took on an eager attitude.

The improvement plan was always integrated into the plan of action. Ski Upper Secondary School used to conduct a CAF every year, but they no longer do so. The headmaster became sceptical and did not follow up the work as well as before when the county no longer pushed them and used the CAF result in the steering dialogue.



### **Improvement actions realised and output results?**

#### *Change in the culture of measurement*

The use of CAF reduced the resistance against measurements and strengthened the belief in the importance of it. It became easier to see that measuring things is useful. Progress was made in the focus areas. There were not many obstacles overall, because the self-assessment group and their position in the staff helped legitimate the changes that were made.



### **Lessons learnt ?**

*The composition of the SAG* is considered to be very important. The participants should cover all activities/tasks and relate well. An organisation which plans to conduct a CAF should find its own way and get to know the tool well before starting up. It is important to avoid confusion.

*The information to be given* should not be too extensive or too detailed. The purpose should however be explained thoroughly, as well as the fact that the report will be available to all when it is completed.

## **3.9. Haute Ecole Provinciale de Hainaut – Condorcet**

*Name of school:* Haute Ecole Provinciale de Hainaut – Condorcet

*Typology:* Higher Education

*Country:* Belgium

*Contact person:* Patricia Hosselet

*Email:* [patricia.hosselet@condorcet.be](mailto:patricia.hosselet@condorcet.be)



### **Internal and external context at the last self-assessment?**

*Social and economic environment:* The HEPH Condorcet is a School for Higher education (*Haute Ecole*) offering degrees at Bachelor and Master levels. Its main location is situated in Mons, capital of the province of Hainaut. The latter is recognised as an economically disadvantaged region, particularly affected by the ending of the mining and steel industries, but the Mons region is now enjoying an economic, cultural and social revival. Thanks to its 7 locations, the HEPH Condorcet covers the whole province and allows a weakened population to gain access to higher education without costly travel or additional housing costs.

*Institutional mission:* Higher Education. Dissemination of a suitable training, preparation for regional and European citizenship, preparation for lifelong learning, etc.

*Organisational structure and facilities (human resources, budget dimension, buildings and other facilities, etc.):* 800 people form the academic, administrative, technical and maintenance staff. 7 locations are found in the cities of Mons, Charleroi, Ath, Mouscron, Saint Ghislain, Morlanwelz and Tournai (Belgium).

*Main characteristics (number and kind of courses, number of students, external stakeholders and partnerships, etc.):* 50 courses (7 teaching categories: economic, educational, social, applied arts, paramedical, agronomic and technical) at Bachelor and Master levels for +/- 8630 students. The governing body is the Province of Hainaut and the HEPH Condorcet is a partner of the Hainuyer Centre. A wide network of local, national, and international partners has also been developed allowing the course content to be constantly in line with the needs of the business world and of the field, as well as an important mobility for students and teachers.



### Why and how the CAF was used?

*The reason why the school decided to use CAF:* Following a difficult merger between three *Hautes Ecoles*, and to bring about a unique student support service, it seemed that the CAF self-assessment would be useful; the idea was to bring together disparate services and to bring closer the staff by providing them with common work practices. In short, bringing a mosaic of services into a single service.

*How CAF was used:* The CAF self-assessment of the multiple student support services was started up on the initiative of the management in charge of this sector after the merging. The self-assessment group, formed on a voluntary basis, was only subjected to one obligation: that every service would be represented by at least one person.

With regard to the stakeholders, the self-assessment exercise was well understood, and our way of working served as a 'model'. It allowed us to develop collaborations with all the partners for the benefit of the learner (CPAS, Article 27, etc.). We witnessed at the beginning a transfer and an impetus of CAF from the economic department to the SSS (**S**tudent **S**upport **S**ervice); but, from now on, it is from the SSS towards certain services of the Haute Ecole. The service shared some tools with the economic department (suggestion box, for example) and we are in the process of implementing the transmission of good practices and possible experiences towards other cross-disciplinary services in the Hainuyer Centre. We also shared information on the method and the label: for example, a team of Quality experts from an Algerian Higher Education Institute spent a day with us to study our quality process, further to obtaining the label.



### Improvement actions realised and output results

Self-assessment with the CAF tool was undertaken primarily to improve services for learners by bringing together actors into a single service. One of the first improvements was the change in the view the staff of SSS had on the culture of measurement and the progressive use of meaningful indicators. Furthermore, the integration into the approach process now has a meaning for staff of the SSS: an introduction to the SSS process in the SMQ of the institution was well understood and grasped by the team. The SSS now has a significant and validated place in the SMQ, as well as in PSO sheets (strategic sheets). SSS is recognised as a structure in its own right.

But mostly, the self-assessment exercise was very unifying: the staff felt acknowledged and this recognition by the leadership was fundamental to the 'renewal' of the service. Multiple collaborative projects resulted from this. The sharing of best practices was implemented systematically. At the end, the staff has the feeling of having done pioneering work because this approach actually

anticipated the demands of the decree called 'Landscape' which advocates single services; our approach has been formally validated. We are now working on transferring our good practices. It can be seen that the largest impact was on staff, their involvement and way of working.



### What about the Outcome issue?

Forming an SSS allowed for a better collaboration with the educational teams. The culture of assessing has expanded; today it is one of the priorities of SSS. An in-depth analysis was carried out with the help of the Quality Agency to make the culture of assessment a real reflex. Nevertheless, it is not always easy to raise awareness. The quality of appropriate partners was strongly improved. We implemented specific demonstrations: sporting and cultural activities, painting exhibitions, a brass band, creation of a Condorcet anthem, etc.



### Lessons learnt ?

Certain older members of the SSS did not stick to the approach or to the sharing of practices. One of them even requested and received retirement. In the course of the exercise, the SSS team was very distracted: first, the management decided to retire and the project leader, a reference figure within the CAF group, was summoned for a promotion and left the institution. The CAF committee was heavily distracted and considered putting an end to their work. But a new management team reorganised the project with a remarkable energy and led the self-assessment exercise to its completion, until the label could be obtained.

The CSR (*corporate social responsibility*) approach is in construction at SSS and we have started a measurement of the present situation. The local and regional integration is excellent thanks to our multiple partners; persons with special needs are cared for by a sub-service that is part of the SSS and actions are carried out (website adapted for visually-impaired people, construction of access ramps and adapted toilets, etc. But our CSR 'conscience' is still too weak in the SSS: for example the selection of and commitment to sustainable development still do not exist. Overall, apart from allowing a mosaic of services to become a single service, the self-assessment exercise also built a team on a united basis and on the pooling of practices.

## 3.10 IUVENTA

Name of school: *IUVENTA*

Typology: *Slovak Youth Institute*

Country: *Slovakia*

Contact person: *Bc. Jan Hruby – Director General*

Email: [jan.hruby@iuventa.sk](mailto:jan.hruby@iuventa.sk)



### Internal and external context at the last self-assessment

It is the Institutional mission *"To be one of the key players, participating in the creation of a modern, inclusive and participatory youth policy and in delivering new trends to youth work."* *"To be an effectively working public institution emphasising the quality of its activity and proficiency of its employees."*

Until 2011 IUVENTA had not been implementing any self-assessment tools based on known quality models. We were beginners in this area and had not followed recommended guidance from CAF. We had not been applying any evaluation tools focused on employees until 2012 when we deployed the first employee satisfaction survey. We also had not been focusing on the perception of the organisation by the targeted groups. For the first time we explored this area in 2012 when we asked interested parties and target groups. We have used only the basic informative tools related to our activities.



### *Why and how the CAF was used ?*

The first impulse why our organisation decided to implement the CAF was a presentation by the Ministry of Education – our founder – who was able to engage recommended organisations within the department in self-assessment and led the first non-binding training. (2010). The second significant incentive was the search for an answer to the question of staff: "How do I know if I am doing my job well?". CAF seemed to us to be the most appropriate means by which we could ultimately provide not only the answer of HOW, but also provide EVIDENCE of whether we were doing our job well enough.

Successive steps of implementation of CAF, we consulted the national seminars and the founder, and also participated in seminars and conferences abroad, on the recommendation of Office of Standards, Metrology and Testing.

Already in the first self-assessment, we communicated with stakeholders and target groups. The first self-assessment report was supported by a written opinion of the representatives of the Association of leisure centres - bringing together 128 centres across the country. Positive opinion was expressed by the Youth Council of Slovakia, the Association of Information and counselling youth centres, but also our founder - the Ministry of Education - Youth Department. The implementation of self-assessment is actually and regularly communicated to all visitors to our site. Regular written contributions also appear in the monthly newsletter, which currently attracts 1,350 participants from all over Slovakia.

In the realisation phase we used methodological support from the Office of Standards, Metrology and Testing and the organisation entered into a one-year cooperation agreement. Trainings of CAF 2006, later 2013 were part of this programme. Consequently we used the support for the preparation of the first self-assessment report as well as SWOT analysis of the organisation. Methodological assistance was needed during the preparation of the site visit (Effective user of CAF model), realisation of the second self-assessment and preparation of the report for National Quality Award purposes, which we applied for in 2013.

During the realisation of the Action plan we used external assistance, particularly in the area of process establishments and implementation of the process management.



### *Improvement actions realised and output results?*

Based on the first Action plan the organisation implemented actions beneficial **for employees** that came out of recommendations from reviewers, as well as from the external feedback (education requirements, clear definition of the roles and responsibilities of the leaders – formal and informal leaders, defining the strategy for the inclusive approach of the organisation to various target groups)

– 7.1. **for the public:** monitoring and evaluating the media messages and building awareness of the organisation image through media.

Saving resources: Defining saving measures / efficient use of operational resources - Criterion 4  
Process management: analysis of all activities, processes and describe their owners' manuals process management - Criterion 5

Employees perceived the impact of these measures after the completion of the implementation of an Action plan, which was already evident in the second questionnaire survey among staff. Employees appreciated the many improvements - further education, opportunity for innovation, described the processes, the opportunity to devote more social responsibility to our institution. Employees also participated in compiling the strategic plan of the institution, which was also an argument to our founder in support of streamlining the operation.



### **Outcome issue**

Progress that we achieved through the implementation of CAF was shown mainly in the field of employee involvement. Conditions have improved to work out the innovative designs of employees, we have implemented measures towards the development of partnerships and during the three years of the self-assessment process, we concluded 20 partnership agreements in various areas / projects, we started to implement management according to processes and facts - first Process map and Process descriptions, Register documentation, Unified form of documents. In the area of continuous improvement, we focused on defining indicators within the project area and a focus on results, we started to track performance indicators also in the form of a software support. In the focus on employees, changes occurred, improved working conditions and atmosphere in our institution. Different modules to facilitate the work of employees were also introduced. In our organisation, we really felt the support of top management, which we consider important in the implementation of self-assessment.

We were unable to fully put in place a Process Map and Manual of Process Management, as during its deployment, we changed the organisational structure (new projects requiring regional offices, which was to be accepted). Therefore, we decided in May 2014 to redefine the processes.

We started to use the possibilities of bench marking and bench learning with organisations working in another area of the public sector. We meet regularly with institutions from the Czech Republic for the purpose of presenting experiences and encourage mutual learning.



### **Lessons learnt**

For those interested in CAF implementation we recommend using all the possibilities for methodological support from the national authority in the field of quality, and that the process of self-assessment is done with the greatest possible number of employees. We recommend also that the self-assessment does not take more than 3 months. First, we conducted a self-assessment for 8 months and it was not effective.

We recommend primarily focusing action on employees because it helps to improve the atmosphere in the organisation to be implemented socially and responsibly, and it also helps in respecting the deadlines of the tasks.

During the CAF model implementation we were confronted with financial obstacles. In the first phase, the first self-assessment, we use the potential of courses and seminars offered for free by Office of Standards, Metrology and Testing. Later, during the implementation of an improvement plan, we had to plan funds from our own resources to pay subscription fees or trainers.

Financially demanding too was the implementation process; in order to measure the indicators set out in the projects, we purchased the software, which was also a great investment. Involvement in national quality awards requires funding that we did not plan, because fees (training, National Quality Award, evaluators, ...) were not sufficiently known in advance.

### 3.11. Agrupamento de Escolas Nuno de Santa Maria

*Name of school:* Agrupamento de Escolas Nuno de Santa Maria

*Typology:* Multilevel institution (Kindergarten, primary, pre-secondary and secondary education - 12th degree)

*Country:* Portugal

*Contact person:* Elsa Alexandra Silva (SAG coordinator)

*Email:* [elsasilva3@hotmail.com](mailto:elsasilva3@hotmail.com)



#### **Internal and external context at the last self assessment**

##### *Social and economic environment:*

The city of Tomar is a medium-sized city in central Portugal beautifully located on the banks of the river Nabão. Therefore, its inhabitants are called Nabantinos. With about 40,677 inhabitants, the municipality is composed of 16 parishes and is located in the district of Santarém in the Ribatejo province. Scattered throughout the town there are many interesting houses with Renaissance, Baroque and Romantic façades. By the river Nabão there is a park, the so-called Mouchão, which offers nice views of the city and surroundings. The region is an area of outstanding natural heritage with significant tourism value, integrating the Albufeira do Castelo de Bode, a beautiful artificial lake resulting from the existing dam.

With the development of other attractive areas in the neighbourhood municipalities, Tomar faces forest abandonment (and the resources attached to it, like agriculture), moving employment to trade and services areas. The population is declining and aging, and the economic crisis that runs in Portugal, worsened these indicators.

##### *Institutional mission*

“The mission of the School Cluster of ‘Nuno de Santa Maria’ is to teach children and young people a way of life that will lead to success. It strives to make them grow up to be free, supportive, responsible, tolerant and critical, to the full exercise of democratic citizenship through processes of education and teaching with quality and successful learning, in the real sense of ‘desire to learn’.

*Organisational structure and facilities (human resources, budget dimension, buildings and other facilities, etc.):*

279 teachers and non-teaching staff work in the institution. The school cluster consists of 11 buildings. The main school has a central building with one floor and sports pavilion. It also has special rooms for the different disciplines (music, visual and technological education, laboratories, ICT), library, buffet reprographics, auditorium, etc. There is no information about budget.

*Main characteristics (number and kind of courses, number of students, external stakeholders and partnerships, etc.):*

The school cluster has 2.200 students, in general studies. We can identify the following educational offer: pre-school education, 1st, 2nd and 3rd cycles of basic education, secondary education, and Adult Education and Training Courses (EFA), and specialised units for students with different disabilities. The school as a lot of projects at national and regional level, from literature projects, sports national programme, Comenius Projects, etc., and a strong connection to local community, with theatre shows, thematic activities, always connected with parents and local authorities.

*Maturity level*

The school, at the time, was already concerned with how to improve the students' results in national exams. Usually, the SAG (already existing at the time) collected and analysed data, and presented the conclusions in the School Pedagogic Council, suggesting some improvement actions (not so sustained as nowadays).

Before first application of CAF, the work of the SAG (already existing at the time), was mostly based on questionnaires, in order to accomplish the work of diagnosis and analysis of the community satisfaction. The school was faced with some weaknesses in the self-assessment process, indicated by a national programme for Schools External Evaluation, verifying the need to reinforce the competences of the SAG and to extend the improvement actions to more areas of the school organisation. The awareness of the school community of this question was small, not giving it enough significance.



#### **Why and how the CAF was used?**

*The reason why the school decided to use the CAF* - To fulfil the mission of this school cluster, three main priorities were defined: Priority A - Improving educational outcomes; Priority B - Improving the quality of service to the educational community; Priority C - Encourage practice training. So the school decided to use CAF as a tool for improvement.

*How the CAF was used:* By decision of the school principal, and since teachers do not have enough hours for this type of work, the school required external support from a private education consulting company in order to speed up the process of internalisation of the CAF model in the organisation. Thus, in the questionnaire used for the CAF, all teachers, students, non-teaching staff and parents were given a voice. We use all CAF criteria.

*People involvement:* In the first CAF assessment the participation was not as high as expected; from the first to the second CAF assessment, we improved the communication processes amongst teachers and parents, publicising the self-assessment in a flyer distributed in the community, but also promoting seminars about Quality and CAF model. Each teacher also communicated to their students what they have to know about CAF model, as a strategic tool for school (and students') results improvement.

*Stakeholder involvement:* The stakeholders' involvement increased a lot from the first to second CAF assessment, by not only participating in the CAF meetings of the SAG, but also making activities more dynamic inside (and outside) the school, related to the School Pedagogical Project.



#### **Improvement actions realized and output results**

1. Redefinition of teachers' supervision practices (criterion 5). Implementing a strategy that allowed us to identify successful teaching practices and thus improve educational outcomes of our students.
2. Improve vertical articulation between the different levels of education and schools in the cluster (criterion 5). The idea was to coordinate the different levels of education (and schools in the cluster) in order to enable sequential and consistency of learning (knowledge) and abilities of students.

*The quantitative results* improved from 65% to 75%.



#### **Outcome**

The main obstacle has been the weak involvement of people in the functioning of the institution, and the lack of appropriation of the self-assessment processes, which has to be overcome mainly through good communication. The meetings for discussion and training activities meant that people were gaining a greater awareness of the importance of the issue. We realise the major importance of intermediate leaders. In fact, the school director, teaching department coordinators, project coordinators, SAG coordinator, amongst others, are key drivers to the success of CAF process. We can say that we have significantly improved the educational outcomes of students (focusing on the real work of formative assessment), collaborative work among peers (teachers of the same subject group), the proper pedagogic supervision and accountability of all teachers in the self-assessment process.



#### **Lessons learnt ?**

While there have been many changes, we believe that the key is precisely how the school community began to see and understand the whole process underlying the self-assessment, and so we must have a good communication plan. In the reflection we have done so far on the results obtained in the sequential CAF model application, we understood that it is time to analyse processes inside the classroom, where learning and improving outcomes of students really happens. As such, within the CAF criterion 5, we are enquiring with teachers and students about effective classroom strategies, in order to create a better understanding of how teachers work and of how students perceive these fundamental activities to learning carried out by their teachers. This is really working, and teachers and students are reflecting on (and changing) their actions and processes inside the classroom.

### 3.12 'Galileo Galilei' State Industrial and technical Institute in Livorno, Tuscany

Name of school: Galileo Galilei

Typology: State industrial and technical Institute

Country: Italy

Contact person: Prof. Giuliana Ficini (Headmistress)

Prof. Stefano Grassi (Representative of the Self-Assessment Group)



#### Which was the organisational maturity level before using CAF?

Our school comes from a process of organisational standardising that started in 2004 through the UNI-EN-ISO 9001:2000 certification regulating educational processes, as indicated to school institutions by the Regional Administration of Tuscany.

Using only internal school resources, and with the technical support of SGA, in 2009-2010 the Quality Management System was applied to the whole organisational processes of the school in the following field: *Design and delivery of 2<sup>nd</sup> cycle higher education services for technical and industrial schools (technical and technological schools) and training services.*

In May 2011 we renewed the certification according to UNI-EN-ISO 9001:2008 standard for a further three-year period, 2011-2014. During this period about 150 corrective and preventive actions were launched mostly in a systematic way. Customer satisfaction inquiries were carried out methodically for some training courses provided by a training agency; this determined an indirect effect on the Institute organisation since the involved teachers teaching in those courses were the same as for curricular activities.

For a number of years, at the end of a school year, we had administered a questionnaire to teacher-coordinators in order to reveal the school and class organisational climate; we then analysed the consequent results in a review. In September 2010 I assumed the leadership of this Institute and, through a training course organised by CIPAT, I became acquainted with the CAF Model.

As a consequence, I developed the idea to start a self-assessment process according to the CAF model that I evaluated to be more congenial and engaging for this P.A. In 2013, under my guidance, our school gained the EGO Certification (Enterprise Gender Organisation) on a proposal of the Provincial Authority of Livorno. The training involved the whole profiles in the school (teachers, non-teaching staff and students); this certification has a special meaning for a school like this, a male-dominated institute both in the student population and the faculty.

In 2013 – in order to diffuse a culture of quality – I promoted 10 new internal audits (belonging both to teachers and non-teaching staff) according to UNI-EN-ISO 19011:2012 standard. Nowadays the Audit activities involve about 13 Internal Auditors and the activities for management review are conducted with the support of the main staff functions. In January 2014 the school gained the recognition of Effective CAF User.

During 2014 – while keeping its quality system active – the school renounced ISO 9001 certification for reasons related to the public cost-containment policies.

In summary, we can affirm there were the context conditions that favoured the introduction of CAF: the long-time ISO experience – firstly, limited to the training and then affecting different

organisational aspects – and the audit use. In this way we can explain also the numerous subscriptions of our staff to the training courses on the CAF Model that were organised within our school and by our school. The lacking ingredient was a systematic monitoring of learning results.



Did you benefit from assistance by experts for the CAF use? If yes, in which step of the process?

Our school benefited from external experts at different moments: first of all, for the training on the Model that took place through CIPAT; this agency organised several courses at our school (in which our numerous staff participated). These actions were conveyed mainly to our Institute but also to other schools spread throughout the territory (thanks to a financial support by Provincial Authority of Livorno). The course for facilitators was really significant. Lots of teachers from our school participated in it. We were supported by an expert (Mr Guarguaglini, a freelancer) during the planning of the self-assessment process and the definition of the improvement plan.

Considering the peculiarity of one of the improvement actions, we benefited from a psychologist for the preparation of a climate questionnaire and its modalities for administration.

We met some difficulties more in the comprehension of the Model and its procedures than during the real application: the courses we participated in – especially the course for facilitators that gave us *feedback* on our self-assessment process – were very useful to us. Meeting other schools that experienced this process during special occasions organised by CIPAT, was also very significant. We faced major difficulties during the transition from the identification of improvement actions to the definition of the Improvement Plan.

The comprehension of the model was more demanding during its application.

We faced some difficulties when we started the sub-criteria analysis, more for enablers than for results. At the beginning there were some divergences of analysis and assessment among the members of the Self-Assessment Group too. To start was difficult and, as consequence, we proceeded also through scores obtained using the average of individual scores assigned. After that, the group continued in a more united way. Only the first standard was analysed twice. Because of quantitative data as a reference point, the analyses of results were simpler, that is to say, we gained the approval more easily.

During the sub-criteria analysis we also experienced a disagreement about the interpretation of the use of the examples proposed by the Model: there were members of the Group – like me – who wished to follow the proposed examples and others who tended to focus on the analysis of organisational reality. We all agreed that some examples were not relevant to our reality.

We met a major difficulty during the transition from the Report of Self-Assessment to the Improvement Plan: the improvement actions were defined and planned by the Self-Assessment Group (in strict cooperation with the management) and the Improvement Groups hardly felt obliged to accept an already defined design. During the planning step, it the involvement of the Improvement Groups should be highly requested; we should care more about the transition from the Self-Assessment Group to the Improvement Group, also in case of continuity from a group to the other one, just like in our situation (a representative of the Self-Assessment Group was guaranteed in each Improvement Group).

Finally, I would like to underline some difficulties met during the implementation of improvement actions, due to the reductions of some funds (reductions to the Fund of School Institutions in 2013 and 2014).



**Could you describe which improvements have been introduced during the repetition of the self-assessment process over time? Which effects have been produced by these improvements on the process result?**

Our school has planned a second cycle of self-assessment for the two-year period 2014-2016 but we have not yet repeated the process. On the basis of the experience, the consideration at the end of the process and the result of the visit on site, we will make the following changes:

- Involvement of parents in the self-assessment process;
- Involvement of students in the self-assessment process;
- Involvement of non-teaching staff in the self-assessment process;
- Creation of Self-Assessment Groups that will divide the tasks analysing across each criterion (factors + results)

As far the last list point is concerned, I would like to specify the assessment was realised during the school year 2012-2013 by two working groups (Self-Assessment Group 1 and Self-Assessment Group 2) respectively involved in the evaluation of Enablers (Criteria 1, 2, 3, 4 and 5) and Results (Criteria 6, 7, 8 and 9). Instead, it would be better to create the groups working on a horizontal level: each group analysing and evaluating an organisational factor must complete its analysis also on the consequent results (e.g., the group analysing the criterion no. 3 should also analyse criterion no. 7). It is a sort of 'juvenile error': we believed we did well to divide the groups in the illustrated way but then we understood the limits of this operation.

At the end of the school year, we administered the self-assessment process to the audit: we identified the critical elements during the handover from the Self-Assessment Group to the Improvement Group. This passage was not really homogeneous. We could solve this situation by finding some connections and realising a strong link. In this way, the Improvement Group does not receive work that is already defined.

A further aspect to improve in the following self-assessment process concerns students' involvement; we administered questionnaires of customer satisfaction to them but then there was no feedback on the results. We should take advantage of assemblies, plan meetings both to prepare and motivate the questionnaire administration (in this way we could guarantee serious and sincere answers) and to comment on the questionnaire results.



**Referring to the main reason of use of the model, how do you believe it met your requirements?**

The main reason for using the Model was the decision by the management to improve educational quality. I am not fully satisfied for the following reason: in my opinion this Model is perfect for organisations whose staff number is smaller than ours, since it becomes too hard to make staff participate and their involvement is really fundamental for a successful process of self-assessment. Maybe this Model is more efficient if used in a comprehensive school, where it is possible to involve just one sector (nursery school/kindergarten or primary school).

I expected different results because it cannot involve a very high number of persons: we have about 200 collaborators (among teachers and non-teaching staff) and 1500 students (corresponding to 1500 families).

I am a little disappointed and this is one of the reasons.

The Model clashes with the number of employees within the school since it asks for a wide sharing (a real strong point for this Model) and it is not possible to make it happen.

I am not criticising the Model, I am just stating that its results in such a wide organisation are partial: collecting fewer results is better than collecting nothing, but it is a real difficulty and I do not know how to solve this limit.

As far as the comprehension of the organisation is concerned, the process is useful. There were extremely positive aspects:

- The participation of several profiles in the Self-Assessment Group made their relation stricter and improved their knowledge on a specified set of problems and the way to operate;
- We examined some organisational aspects usually not contemplated by seniors. Teachers and non-teaching staff have a very long work experience in our school (it is a school at the centre of the town, and it is considered an excellent institute. As a consequence, we requests receive transfer rarely from staff). Through CAF, we learned a more critical result: a senior is no longer able to conceive the reality where he/she works or – making a comparison to the current situation – a senior judges only past experiences in better terms (maybe he/she was considered the best teacher, much more appreciated).

On the one hand, it is good to underline the weak points of our experience since we can try to improve them by doing our best. On the other hand, underlining its strong points is a way to receive recognition for our work; it is rewarding and increases our motivation, and the sense of belonging.

Besides, in comparison to ISO, the improvement actions identified by the Self-Assessment Group are not simple corrective actions but they can determine effects on the whole Institute. A clear example is represented by 'Outlook': we did not have any data and information about our students' success once graduated; we had no feedback on their approach to the world of work and university. It is a very important improvement for our school.

The implementation of improving actions took place at the same time of a great unease for all schools because of financial reductions realised in the previous two years and the block in retirements. In addition, I was overloaded at work because of my position inside the school, which had critical effects. The self-assessment process, instead, started in a better context. As a consequence, the impact of improvement actions must be judged according to the critical context frame. Generally speaking, there were positive factors along the process.



**What were your stakeholders' reactions to the content of your Self-Assessment report?  
Have these reactions changed in the following self-assessments?**

The results of self-assessment were communicated to all stakeholders activating a deep promotion on our web site. Generally speaking, their reaction was very positive – especially for external stakeholders – not for the results of the self-assessment but for its realisation and process.

The reaction of our top management and middle management was positive, expressing a deep interest; on the contrary, the remaining staff was uninterested in this report. I cannot judge them, quality did not seem to involve our staff directly even if they know they are in a quality institute. It is a really good result in relation to a very critical context.

Among students, families and partners, public institutions (especially councillors of the City and Provincial Authority) and families had a much more positive reaction.

The councillor of the City asked for a full copy of the Self-Assessment Report. When the school obtained the ECU Label, our staff's reaction was more positive since it was seen as a recognition of the whole organisation and each single collaborator.



**Has the measurement culture changed in your school after using CAF? If yes, could you indicate in which way?**

Our school was used to ISO procedures and, after using CAF, something has changed. The approach is different: there is a huge difference between the measurement of an organisation according to a model and the measurement of an organisation in order to define an improving plan. In the first case, standard prevails but in the latter, the process of an organisation aiming at improvement and excellence is more important.

We are trying to improve ourselves through these two modalities: we have audits to control procedures, and we try to realise an analysis of the whole organisation through CAF and to affect results through the adaptation of organisational features.

The system of measurement introduced by the CAF Model (through the board of indicators proposed by CIPAT) was positive. The school was used to the measurements by ISO, even if these certifications concerned the whole school aspects, exception given for the learning results. But the attitude has changed. ISO non-conformities have the power to make you feel 'obliged'; when there is an audit you believe you are at an exam and if something goes wrong you believe it is your fault since you have not worked in the right way. Instead, you do not experience this stressful feeling with the CAF Model and you can be aware of all weak points without feeling guilty during the self-assessment since the impulse towards the improvement prevails and you become aware of all strong points that are rewarding your job.

We have continued both with ISO and CAF, but it is expensive: we should find a way to make the two models meet.

Thanks to ISO, all processes were under monitoring but few indicators could be used in the CAF process. We should work for an integration. The CAF Model is becoming a part of our school, it is not a project like others. It is an integrative part of our structure along with its measurement.



**Could you explain why and how some excellent progresses have been realised in some principles of excellence? Or why could you not realise any progresses in other principles of excellence? Could you indicate the main obstacles?**

Some important progresses took place in the management of processes and goals and in the orientation to results. Let's analyse, for example, an improvement action: Outlook. For the first time the results of the whole educational process of our school had been under control, verifying – through graduates – if the impact on the world of work and university was positive in relation to the competences requested.

We contacted all graduates in the last 10 years (2600 former students) inviting them to fill in the questionnaire online. We obtained a reply from 20% of former students. More than 77% of students declare their satisfaction with the acquired competences and the possibility to invest them into the world of work and university. Probably only the most motivated former students filled in the questionnaire since they want to let us know their interest. Other former students – whose judgment was not the same – did not fill in the questionnaire; that's a pity, since we should know their disappointment.

Thanks to this potential impact on our school, now there is no gap. It is the first time we have collected some results on many aspects concerning our organisation (through criteria no. 6-9).

There was also progress with the principle of excellence concerning leadership since we used an efficient tool of comprehension and management in addition to our staff's (limited but improved) involvement (for example, we organised a meeting for our non-teaching staff to illustrate the Model and we involved them during the visit on site, receiving a positive approval on their own).

We did not have any adequate progress with students: probably they were not involved in the right way (for example, the customer satisfaction questionnaire was administered without any preparation and motivation).



### Which actions would you like to suggest to other schools?

The Outlook improvement action can be seen as a good practice to spread in other secondary schools. Following students after their diplomas should be an institutional activity that can offer useful indications to strengthen or correct the school curriculum, a methodological preparation, teaching methods, the relationship with territory, the world of work. It is also an action that could strengthen the sense of belonging to a school and make the presence of learners at school more motivated, improving the consequent results in criteria no. 6, 9.1 and 9.2.

The goals:

- To know the situation of graduates in terms of work and in relation to the ability to continue their studies in a successful way
- To obtain important indications and to make interventions and changes in departments with less positive results
- To acquire information on learning needs after the diploma



### With a clear reference to the main obstacles, how did you face them? What about the results?

The strongest obstacles we faced for the implementation of improvement concern the lack of resources. The climate improvement action slowed down because of the reductions of funds we needed to pay for an external psychologist's intervention, who would have developed actions such as a counselling desk, a student helpdesk, etc. As a consequence, the action was re-evaluated.

Other obstacles:

Top management's inadequate monitoring: once the self-assessment process started, top managers thought there was no need to follow and monitor it. It was also due to our headmistress' busy work load (overcharged by her role);

The lack of involvement and motivation by the staff whose interest decreased after the onsite visit. For example, the time slowdown of one of the three actions is attributable to this reason. Another improvement action concerned the use of labs and equipment; technical assistants should operate in this sense but they are more sensitive to financial reductions than others and they do not want to do what is not perfectly fitting to their task. It was a weak point, improvement action depended on them.

Also for the Improvement Plan we need a systematic approach even if we are often overloaded at school by emergencies. CAF needs time and a systematic approach, while our school is driven by lots of more or less urgent distractions. Besides, our school has several projects ongoing and lots of energy is spent on them.

The composition of the Self-Assessment Group took place in a voluntary way while it should be better to define this group according to the team work skills.

Our school defined the criteria of attribution according to the team work skills, personal skills, knowledge of the Institute. Actually, the number of available people was the same as the requested number of collaborators for this group: as a consequence, the selection criteria were not applied.

Especially at the beginning, the process was tiring since there were some members who were not available for team work proceedings, but they used pre-established judgments evaluating the school without the due objectivity and underlining the existence of possible ideas of improvement just in their mind. The result was negative. The problems were subsequently ironed out, but it took time.



## Conclusions: Some general remarks from the change stories

### 1. Internal and external context of the CAF application

#### a) Social and economic environment:

The economic and social contexts are key criteria to understand in which environment organisations are operating and also the different pressure and challenges they have to address. A still stagnant EU economic framework and the large crisis impact are among the main concern for organisations acting at grassroots level and, therefore, able to witness the strain of their main stakeholders, such as students and families.

In Italy, Belgium and Portugal the schools involved depict a pretty difficult economic and social environment where the economic crisis and other local phenomena such as high dropouts' rate, illiteracy and migration are influencing the organisations' performances.

#### b) Organisational structure and facilities (human resources, budget dimension, buildings and other facilities, etc.)

Organisation	Country	H.R.
<b>Bilingválne gymnázium Milana Hodžu (BGMH)</b>	Slovakia	37 teaching/8 non- teaching
<b>IUVENTA</b>	Slovakia	147 teaching/non-teaching
<b>Agrupamento de Escolas de Cuba</b>	Portugal	67 teaching/ 31 non teaching
<b>Agrupamento de Escolas Nuno de Santa Maria</b>	Portugal	279 teaching/ non-teaching
<b>Levanger Upper Secondary School</b>	Norway	145 teaching/ 30 non-teaching
<b>Ski Upper Secondary School</b>	Norway	100 teaching/ 15 non-teaching
<b>Istituto tecnico industriale G.Galilei</b>	Italy	200 teaching/non-teaching
<b>2° Circolo Didattico di Biancavilla</b>	Italy	66 teaching/17 non-teaching
<b>Istituto Professionale di Stato "L. Milani"</b>	Italy	103 teaching/28 non-teaching
<b>Istituto istruzione Superiore F.Bottazzi</b>	Italy	233 teaching/non-teaching
<b>Haute Ecole Provinciale de Hainaut</b>	Belgium	800 teaching/non-teaching
<b>Haute Ecole en Hainaut</b>	Belgium	350 teaching/non-teaching

#### c) Main characteristics (number and kind of courses, number of students, external stakeholders and partnerships, etc.)

Organisation	Country	Number and kind of courses	N. of Students
<b>Bilingválne gymnázium Milana Hodžu (BGMH)</b>	Slovakia	5 year bilingual study	470
<b>IUVENTA</b>	Slovakia	/	4.400
<b>Agrupamento de Escolas de Cuba</b>	Portugal	Pre-school/ 1 <sup>st</sup> 2 <sup>nd</sup> 3 <sup>rd</sup> basic education/ Adult education and training courses	497
<b>Agrupamento de Escolas Nuno de Santa Maria</b>	Portugal	Pre-school/ 1 <sup>st</sup> 2 <sup>nd</sup> 3 <sup>rd</sup> basic education/ Adult education and training courses	2.200
<b>Levanger Upper Secondary School</b>	Norway	General studies / vocational studies - 2 years at school and 2 years as an apprentice	800 (age 16-19) 200 adults
<b>Ski Upper Secondary School</b>	Norway	General studies/Sports studies /Music, dance and drama studies/ Programme for ethnic minority students	650(age 16-19) 100 adults
<b>Istituto tecnico industriale G.Galilei</b>	Italy	/	1500
<b>2° Circolo Didattico di Biancavilla</b>	Italy	Pre-school and primary school	762
<b>Istituto Professionale di Stato "L. Milani"</b>	Italy	/	1000
<b>Istituto istruzione</b>	Italy	/	1200

<b>Superiore F.Bottazzi</b>			
<b>Haute Ecole Provinciale de Hainaut</b>	Belgium	50 courses in 7 teaching categories: economic, educational, social, applied arts, paramedical, agronomic and technical	8630
<b>Haute Ecole en Hainaut</b>	Belgium	31 courses in 4 teaching departments: economic, educational, social and technical	3100

#### d) Previous experience and maturity level before using CAF

Most of the organisations involved tried already to develop, even before CAF, a results/performance based decision making process, either in their own way or following guidelines to obtain external quality certifications (e.g. ISO 9001). Indeed it is possible to infer that the majority was considering data collection of school performances as something important to have a better clue on how to improve the quality of the institution.

Four Italian organisations report how ISO standards were the first quality certification they obtained to analyse and improve their performances. The secondary school F.Bottazzi for example tells how the “culture of quality has been pursued for about 10 years and promoted through the accreditation to the Quality Management System conforming first to ISO 9001:2000 standard, and later to ISO 9001:2008 standard.”(Italy, Istituto Istruzione Superiore F.Bottazzi) and how “There was a real demand to acquire a quality certification”. F.Bottazzi secondary school, as reported, is not the only Italian example, indeed other Italian schools described a pretty similar approach.

The necessity to measure performances is underlined in several interviews. Many are the schools who, through surveys or other methods of assessment, tried to implement a performance based decision making approach.

Schools from Portugal, for example,, before using CAF were used to evaluate their performances by setting up a group for self-assessment and they claim that: “Usually, the SAG (already existing at the time) collected and analysed data, and presented the conclusions in the School Pedagogic Council, suggesting some improvement actions (not so sustained as nowadays)”(Portugal, Agrupamento de Escolas Nuno de Santa Maria) and that “Before first CAF application, only a small group of teachers had done some evaluation based on document consultation and further analysis on its contents, as in a report, with some actions to promote change”(Portugal, Agrupamento de Escolas de Cuba).

Attempts to assess and measure performances, before CAF employment, were put in place also by Norwegian organizations. Levanger upper secondary school, indeed, state how “The use of these surveys was limited in the beginning, and not used in a structured and sound way. Those became important documentation and input to the assessment when the CAF was implemented.”(Norway, Levanger Upper Secondary School) before they applied CAF.

Therefore it is possible to assert that, among the organisations interviewed, many were those which recognized the necessity to improve their quality through an actual performance assessment. Hence the CAF model achievement, in these cases, lies in the fostering of something already present in the organizations’ culture, giving the means and the knowledge necessary to carry out such a process with a more structured and effective design.

## 2. Why and how the CAF was used

### a) The reason why the school decided to use CAF

CAF is a total quality management tool expressively designed for public administrations and it was developed in order to enable them to use a quality management approach to improve their performances.

As reported in the first part of the study, often these organisations play their role in difficult and changing environments. This premise is very important to understand why they should put in place a managerial tools in order to rise their quality standards and know perfectly where to channel their, unfortunately often, scarce resources.

Reasons to employ a quality management tool are, therefore, many and driven by actors inside and outside the organization itself. They can belong to an actual commitment of the management of the institution, the so called top down approach, or a bottom up kind in order to respond to the employees' requests.

In the, particular, case of *Agrupamento de Escolas de Cuba* it is possible to see how CAF can make those approaches to work together with the aim of enhancing the organization's quality and how fundamental the commitment of people is for a successful implementation.

"it was freely chosen by the school to assess the quality of the organisation and to improve it. It was adopted in response to demands from teachers to improve the quality of the institution, connected to a top management decision to improve the quality of the institution." (*Portugal, Agrupamento de Escolas de Cuba*).

At the *HEPH-Condorcet*, instead, the CAF tool was chosen to carry out a specific project that was to cluster several student services in a single one or, in other words, to change part of the organisational set-up. Their experience and opinion in using CAF, to carry out such a burdensome procedure, must be taken into account to underline how CAF can deeply influence and drive the organization toward a more efficient and effective management.

"Following a difficult merger between three *Hautes Ecoles*, and to bring about a unique student support service, it seemed that the CAF self-assessment would be useful; the idea was to bring together disparate services and to bring closer the staff by providing them with common work practices. In short, bringing a mosaic of services into a single service." (*Belgium, HEPH-Condorcet*)

Thanks to CAF, and the involvement of key actors in the assessment, it is possible to identify the points in which the institution can improve. But, as argued by more than one organisation interviewed the commitment of Management and Directors, as well as other national and local institutions, represent one of the main reasons for its implementation. It is not surprising, therefore, that the leadership itself is very important to start implementing the CAF tool as, for example, reported by the secondary school F.Bottazzi :

"During the first phase, our top management made the suggestion to the teaching body that our school should carry out the self-assessment of the whole organisation using the CAF Model. The

top management wanted to assure agreement and sharing, to stimulate motivation, involvement and participation in the improvement process, and to urge everybody's contribution."(Italy, Istituto Istruzione Superiore F.Bottazzi).

Notwithstanding these reasons, that can be considered per se important, others are still to be mentioned in this report. Indeed the CAF model, as a tool specifically designed by and for public organisations, can be considered a step ahead in terms of quality management even if compared with other standards previously implemented and this can represent a key reason why it was chosen by some public administrations. The upcoming quote can clarify this concept:

"The management and the people were not really satisfied with ISO standards, since they did not impact at all on the educational and didactic level. Shifting from ISO standards to the CAF Model has been strategic: self-assessment has proved to be more effective, coherent and relevant to the school mission and its *raison d'être*, namely, pursuing educational success for each student." (Italy, IPS Milani)

The CAF tool, due to its holistic approach, is able to take into account many different aspects of the organization. But its main purpose is to be an easy-to-use tool to let quality management values to take roots in the culture of public administrations. Therefore, regardless of prior approaches with quality management, the CAF can be implemented also because it meets values and culture of the organization itself as in the case of a school placed in Belgium which claims:

"The tool seemed the most relevant to our School for Higher Education and fit with our culture of internal dialogue" (Belgium, Haute Ecole en Hainaut)

To conclude it is possible to say that CAF is considered as a tool that can actually contribute to improve the quality and performances of public administrations. Indeed all the opinions collected thanks to the interviews, confirm this point and stress the concept of involvement as a crucial prerequisite to start the CAF implementation as well as an important reason to choose it. Another important point is that CAF, if correctly implemented, can give answers to specific questions and clarify precisely which are strengths and weaknesses of the organization, as happened at Iuventa (Slovakia) where it was decided to undertake the CAF journey to: "search for an answer to the question of staff: "How do I know if I am doing my job well?". CAF seemed to us to be the most appropriate means by which we could ultimately provide not only the answer of HOW, but also provide EVIDENCE of whether we were doing our job well enough." (Slovakia, Iuventa)

#### b) How CAF was used:

The CAF tool has a specific way to be implemented and, listening to the main actors' opinion in this respect, allows us to understand how they actually applied the model and which challenges they had to face. Reading the interviews one particular thing pops up that is the central concept of involvement. All the organisations, in fact, realized how the involvement of crucial stakeholders, both internal and external, could be the key factor for CAF to produce a real impact in the organisation and bring a real cultural change.

*“11 staff members as CAF team started to participate voluntarily. The team structure corresponded with the structure of the school as all departments were covered. In the process of self-assessment we were missing representatives of non-teaching staff. Very soon we learnt that the CAF model must be implemented across the whole institution.”(Slovakia, BGMH)*

*“Teachers have become more and more familiar with the self-assessment process; students and families have developed a deeper awareness of what the school does. Thanks to SARs they feel their needs and expectations are taken into consideration by the school, which has improved the relationship between students, families and the school itself.”(Italy, Milani)*

*“The self-assessment group, formed on a voluntary basis, was only subjected to one obligation: that every service would be represented by at least one person.*

*With regard to the stakeholders, the self-assessment exercise was well understood, and our way of working served as a ‘model’”(Belgium, HEPH Condorcet)*

The involvement of crucial stakeholders revealed to be as one of the most important things to consider when the self-assessment is carried out. Indeed, as deeply stressed in the CAF guidelines, every part or department of the school must be represented in the self-assessment group in order to make it, as a consequence, representative of the entire organization.

Concepts like involvement and representation of key stakeholders (e.g. teaching/non-teaching staff and final beneficiaries), are important and able to bring some unexpected benefits on a long term prospective. Indeed together with organisation’s performance, CAF implementation can, de facto, increase participation of employees and create the pleasing perception of contributing to the organisation’s mission and vision, actively.

These concepts are perfectly reflected in the upcoming quotes:

*“This participative self-assessment tool was unifying, and allowed us to acquire a new, more structured approach, a realisation of the importance of evaluation, of formalisation and the setting up of institutional process of consultation. We now organise an annual information meeting for staff on the overall results of the institution in terms of performance” (Belgium, HEH Mons)*

*“But mostly, the self-assessment exercise was very unifying: the staff felt acknowledged and this recognition by the leadership was fundamental to the ‘renewal’ of the service” (HEPH Condorcet)*

Direct opinions of the organisations involved, according to the come ups of the interviews, definitely stress the importance of stakeholders’ engagement in the evaluation process. Nonetheless, despite the clear picture depicted, there are some further opinions that are worth taking into consideration. The CAF definitely fulfil its purpose to be an easy-to-use quality management tool. Nevertheless it embodies concept that for long time were prerogative of the only private sector and can sound difficult and hard to understand for people used to less “managerial” approaches. This can explain why trainings and external support were stressed, by

the interviewed organizations, as very important to effectively employ CAF in public administration.

To conclude, the CAF implementation requires a certain degree of commitment and genuine participation by stakeholders and its peculiarities require time, group support, and coherent individual motivations to be fully understood and to succeed in changing the organisations in which it is applied.

Moreover, as often underline in the interviews, in spite of the effort that staff and management are able to put into the CAF evaluation, trainings and support by CAF experts are crucial especially when the organisation is at the “beginner stage”. One of the interviewed argued that: *“A training on self-assessment method and the possibility to be supported by a qualified organisation (CAF Resource Centre) reduced the energy dispersion and increased self-efficiency, commitment and creativity.”* (Italy , Bottazzi).

### **3. Improvement actions realised and results achieved**

CAF has several steps to fulfil for its correct implementation, these are:

- the preparation phase;
- the self-assessment phase (whose output is the SAG’s report);
- and the third last phase that embodies the drawing up of an improvement plan and its implementation.

Hence all the actions put in place and their measurement are decisive to understand if their implementation had an impact over the organisation and its functioning. The PDCA cycle is a key process to follow in this part, in order to evaluate each action and, if necessary, correct it to reach the desired objective.

CAF is a tool designed to bring organisational and cultural changes within public administrations, through a result oriented decision making process. As it is possible to infer by the interviews, the main benefit of CAF is the cultural change and, therefore, the attitude towards measurements and indicators. Moreover, as pointed out in a previous sections of this analysis, the involvement of key stakeholders (e.g. final beneficiaries, people from every level of the organisations) in the process of self-assessment is essential to successfully carry out the CAF implementation. Indeed some claimed that since CAF was put in place, it was able to bring changes concerning organisational settings, both cultural and facts related modifying to a large extent the schools’ behaviour.

The outputs of CAF implementation are clearly reported in the interviews and those changes are underlined as, often, successful activities linked to the CAF employment in the institution.

*“First of all, the culture has changed. Especial after we received the local “CAF Education” version. It was easier to understand for most people at the school and contributed to a change in the culture. The acceptance of the use of a quality model and more focus on measurement have increased tremendously. Specific necessary actions were in several ways linked closely to the different departments of the schools, and teachers could clearly see the connection between the*

*assessment and the actions. This kind of more integrated thinking helped to change the culture of the school, and the results showed this.” (Norway, HSS Levanger)*

“One of the first improvements was the change in the view the staff of SSS had on the culture of measurement and the progressive use of meaningful indicators. [...]But mostly, the self-assessment exercise was very unifying: the staff felt acknowledged and this recognition by the leadership was fundamental to the ‘renewal’ of the service. Multiple collaborative projects resulted from this. The sharing of best practices was implemented systematically. At the end, the staff has the feeling of having done pioneering work because this approach actually anticipated the demands of the decree called ‘Landscape’ which advocates single services; our approach has been formally validated. We are now working on transferring our good practices.” (HEPH Condorcet)

Besides:

*“The use of CAF reduced the resistance against measurements and strengthened the belief in the importance of it. It became easier to see that measuring things is useful.” (Norway, SKI)*

Another important point that is worth underlining concerns the reward for the people involved. In fact, when people from every level of the institution participate and see that they are able to influence the decision making process and the final positive outcome they feel rewarded by the CAF experience.

Implementing CAF is a long procedure and requires effort, trust and dedication. Hence to work and be considered a meaningful experience has to be rewarding for the actors involved. This is the reason why, probably, the CAF Effective User label it is often described as an important achievement. In fact it is a recognition for the effort and time spent on its implementation.

It is not surprising, therefore, how all the actions put in place and their consequent output are well described and show all the achieved target and tangible results.

#### **4. Outcomes & impact**

Output and outcome have a close relationship. But after implementing the CAF, the most important thing is the outcome of the actions put at stake. In order to clarify the outcome is: *The overall effect that outputs have on direct beneficiaries and stakeholders (internal or external) or the wider society.*

As specified, CAF success relies on outcomes, outcomes that touch and influence the organisation, the environment in which it is operating and its stakeholders. The holistic approach of the CAF tool allows its outcomes to influence every part of the organisation in which it is implemented as well as its stakeholders and the context.

What comes up in the interviews is actually how the actions put in place, were able to influence and address even issues they were not meant for, but also the shift towards a different attitude in taking into account the external context, together with its actors, when an action is planned and designed. This is what happened to several organisations, which rightly consider the increase in number of partners and collaborations, and their efficient management, as an achievement per se.” Even the main unexpected result concerns teachers. They have become so aware of the importance of assessing what they do, that many of them have spontaneously started fixing targets and indicators, relevant to the global ones identified by the school for the activities carried out in the classes. Self-

assessment is now a way of thinking, a sort of *forma mentis* for the school.[...] *The school has particularly directed its effort and its improvement plan towards the area of assessing and cooperation, since they both are more directly connected with the school's core business. The whole school is proud of being awarded the European Label: it is the prize for its continuous efforts in the direction of improvement and innovation, despite all the obstacles, difficulties and problems concerning structures (the school is spread over three different locations), families and students (their cultural background is quite poor). Self-assessment has been the key for supporting teachers' efforts and keeping school performances at a high level.*" (Italy, MILANI)

*"We can say that we have significantly improved the educational outcomes of students (focusing on the real work of formative assessment), collaborative work among peers (teachers of the same subject group), the proper pedagogic supervision and accountability of all teachers in the self-assessment process."* (Portugal, Nuno Santa Maria)

## 5. Lessons learnt

Organisations that apply CAF first-hand are a very important source of information. Their direct involvement and participation makes easier to understand pros, cons, difficulties, obstacles and "pitfalls" of the different phases of the CAF implementation. The question to address in this section could be "what did they learn thanks to CAF?" but also "what can we understand thanks to these experiences?"

As already pointed out in this study there are some specific things that all the organisations reported as crucial to successfully implement the CAF, influence the school's behaviour and let the culture of quality to take roots.

These are:

- Clearly explain what CAF is and what it is meant for.  
Many organisations reported how often actors inside the organisation are pretty sceptical and scared by the CAF Tool. In fact a wrong or partial understanding of the main purpose of CAF can lead to a general misunderstanding regarding its implementation. The CAF has to be understood especially by the highest levels of the institution and has to be seen as a tool to assess performances not their own actions.

*"The main difficulty faced by the school was the teachers' prejudice concerning self-assessment. Many of them believed it would increase their workload; others though self-assessment would mean teacher assessment!"* .(Italy MILANI)

*"But the implementation of the measures is not straightforward because the college management is afraid to discover any possible negative results! Currently, we are putting in place a monitoring tool and indicator, and with a goal to be reached by indicator"*(HEH Mons)

- People involvement.  
People within the organisation are a key actor, they carry out the CAF in the first place and are responsible for its implementation. Their involvement, as pointed out already in a previous section, is the main driver for the success of this model. As claimed by most of the organisations interviewed, the composition of the SAG has to be representative of every department or level of the school in order to catch every possible need and to have a clear and complete picture of the current situation. Nevertheless, despite the relevance of staff feedbacks and support, the Management commitment is still one of the most important things to ensure for the first, but

especially, for further CAF implementations. Indeed the management, acting as a role model, is the actor who can renew the enthusiasm and commitment of the employees.

*“The success of self-assessment depends heavily on the fact that the staff is not only involved in the initial stages and planning, or final presentation of results. The staff is the main actor in the process sequence of self-assessment. It is very important not to leave the group leader or the self-assessment team alone. The School Director should facilitate widespread collaboration especially through the executive directors.”* (Italy Biancavilla)

*“For those interested in CAF implementation we recommend using all the possibilities for methodological support from the national authority in the field of quality, and that the process of self-assessment is done with the greatest possible number of employees”.* (SK IUVENTA)

- Training.

CAF, as already claimed, is a difficult and long procedure to execute. For this reason it has to be clearly explained and well understood. Many organisations stressed how, thanks to national and local courses and the support of the CAF Resource Centre, all the phases of CAF turned from overwhelming in feasible tasks. Thus a correct and constant training could ease the CAF benefits and understanding.

- Time.

CAF implementation requires time and effort and this is widely reported by all the organisations involved. Especially to be fully acquired several attempts and constant use of it are needed. As a useful experience some organisations stressed how only a systematically CAF implementation lead to results and constant improvements.

*“The application of the CAF Model for a limited time does not produce any important advantage. Instead, a systematic use allows the refinement of methods and tools”*(Italy, Bottazzi)

*“We recommend also that the self-assessment does not take more than 3 months. First, we conducted a self-assessment for 8 months and it was not effective.”* (SK IUVENTA)

- Reward and communication.

Among the interviewed, the organisations who succeeded in obtaining the CAF Effective User label defined the experience as rewarding for the people involved in the SAG and important for the organisation’s reputation with all the relevant stakeholders both internal and external. Indeed communicate the results achieved and obtaining the ECU label are important steps to prove that the school is pursuing its way towards quality and excellence. Moreover when people are involved and they see all the effort translated in actual contribution, they feel even more committed with this culture of better performances and better quality for the institution they work in.

*“The ECU label provided a pleasant internal recognition for the CAF committee and the team that led the labelling process. It is a real added value with respect to partners and students, and a value-creation of the Quality process in terms of advanced performance.”* (EHE Condorcet)



## PART 4

### General Conclusions

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#### *Conclusions on the reasons why & the use of CAF*

##### ***Why using CAF? The challenge of organisational quality***

It is widely recognized that schools are facing rising expectations for delivering services of high quality. Unfortunately, all the different actors involved, from within or from outside the schools borders, alongside their everyday life, were experiencing as well the lack of managerial tools suited to evaluate, to diagnose, and finally to support teachers and other relevant actors in improving the school's performances. In those schools in which some kind of quality assessment tool was previously in use, the implementation of the CAF model was often considered a further step ahead on the walk towards higher levels of organisational overall quality, blending both higher levels of quality awareness and higher standards of quality measurement.

In applying CAF, people expressed the need for overcoming the usefulness of traditional and almost ritually applied bureaucratic feedback tools. In other cases, people witnessed the need for more effective services emerging when schools were coping with complex processes of organisational change. Changes that called for some more effective and shared measurement tool, enabling all those involved to check the better results reached because of the changes implemented.

The results of this study demonstrate that CAF has been applied in various contexts (backgrounds, sizes, structures) but in a large amount of cases was proven to be successful and adding value.

##### ***Towards Organisational improvement by involving "educational staff"***

As a whole, school teachers, staff, professionals and school principals did not capture the specificities of the CAF model suddenly, but only later on. This was clearly the case for those people involved in schools dealing with quality issues for the first time. Therefore the CAF implementation process resulted for them as their first move towards learning what organisational quality could mean, how they could assess it, in what way they could translate its abstract meaning into a set of punctual items and measures, and finally in which way they could boost shared organisational improvements and change.

The CAF Model, as for other means used to translate, within any complex organisation, the continuous flow of de facto daily activities and operations, mutual interpersonal exchanges and talks, into something you can share with others, requires not only a little while, but also a mutually recognized conceptual framework. And recognition is a result that usually implies some strain, or negotiation, or at least a fine-tuning process among parties involved.

### ***Creation of quality culture AND focus on measurement***

The CAF Model is supposed to imply some deep organisational change, both in terms of organisational culture, and in terms of better results. Following the data delivered by the quantitative side of this study, the appropriateness of CAF to change the attitudes of people involved toward quality and their ability to seal out challenging improvements, measuring them out, and to deal with management strains and less than satisfactory results was clearly and widely established. People pointed out that the CAF implementation process fostered several different changes in different organisational settings, involving factual, or cultural factors, as well as some operating methods, at least those prevailing until the CAF was put in use to affect some of the school behaviors.

Another significant area was related to some professional skills, mainly having to do with the methodologies CAF is suggesting for improving school quality and performances. Therefore the new skills CAF is fostering seem to be dealing with (a) the ability to identify an organisational output, (b) to find out how, when and where to measure it, (c) to negotiate with colleagues and stakeholders on means to be used and ends to be pursued, and in general (d) to co-operate with colleagues, external stakeholders and partners.

As it is known, the CAF Model is a holistic approach to change and quality achievement involves all those concerned in the improvement of the education process. People involved should share a strong and an open orientation to evaluation, measurement, and discussion on results achieved. Therefore open engagement can play an effective role in reinforcing people's attitudes to change and quality, to become a long lasting organisational style.

## ***Conclusions on the success criteria***

### ***Involving & appreciating staff***

Educational people attitudes toward self-assessment should not be taken for granted, and while the CAF methods are implemented the different attitudes of different people involved in schools operations toward performance evaluation or self-assessment become clearer. An effective way to overcome this kind of strains and to get people involved in the CAF implementation, is to take care of (a) the composition of the assessment group, (b) the evaluation participatory nature and (c) the quality of the assessment performed. Engagement and openness helped to overcome the strains people in organisations met as CAF *beginners*, at least later on in the CAF implementation process.

The interviews showed that people applying it were finally fully aware that CAF requires what is called a *holistic approach* to organisational change and quality, and, furthermore, that CAF peculiarities require *time, group support, and coherent individual motivations* to be fully understood, and succeed in changing the organisations in which it is applied.

### ***The role of leadership***

Leadership plays a crucial role in (a) initiating, (b) facilitating and (c) appreciating the CAF work.

Firstly, it is leadership that has to have the right, open and ambitious attitude to decide to implement the CAF. It is the leadership that needs to trust its staff on the professional spirit to carry out the self-assessment and to come up with useful proposals for improvement.

Secondly, leadership also needs to create the conditions that allow a good self-assessment. Investing in training the self-assessment team, providing info and definitely providing them with the possibility (in terms of freedom, but also workload) to carry out the self-assessment.

Finally, leadership needs to engage themselves to 'do something' with the self-assessment report. It is up to leadership to draw the right conclusions and to take the appropriate improvement actions. Launching these actions is one thing, but keeping the dynamic and the motivation in following-up and demonstrating results overtime has proven to be a challenge in many organisations (not only in education institutions).

## ***Conclusions on “does CAF work ?”***

### ***Initiating a changing culture***

The CAF Model was experienced by many schools, operating in different institutional contexts, serving different missions and with heterogeneous targets, some of them still internal to the education system, in some other cases directly exposed to stronger societal pressures, both organized or spontaneous. The CAF Model has proven to be quite successful in those organisations that were able to apply the model carefully, not leaving aside any of the levers and tools the CAF box itself suggests to play with.

Organisational change never happens to be an easy goal. The CAF Model makes it more understandable from the beginning to everybody going to play a role in the change process. It offers a way to deal with organisational change empowering all those involved in the process, clearly defining the process, the factors involved, the results to achieve, the way people should be mobilized, and the kind of outcomes the transforming organisations are supposed to reach. And interviews show that people dealing with all of this in fact at the end of the story do recognize not only to have been playing a role in the implementation process, but also do recognize the results achieved, the improvements and thanks to this are able to recognize as well their own contribution to the successful application of the model.

### ***Triggering improvement projects***

Both the quantitative as well as the qualitative part of the study demonstrate the ideas and activism that CAF triggered in the sense that organisations formulated and implemented various improvement actions. The variety of actions was striking, although many of them related to the

elements of mission & vision development of the institution, the management and improvement of the core processes .

### ***Improving performance and results***

The study demonstrated that institutions in the educational sector already have a certain “measurement culture”. The overall overview of the 4 criteria and 8 sub criteria indicated that the extent to which results are measured is quite high. The insight in what these indicators tell is even more revealing and an indication CAF can bring organisations to an increase in organisational performance. It is remarkable that all the eight sub criteria show an improvement in performance. In some cases it is rather modest 3 à 4%, but in others it is rather substantial up to 8 à 9 %. Also the amount of organisations that have reported an improvement is substantial. These findings underline the overall progress made towards the principles of excellence. Organisations that are starting to implement the CAF have the ambition to grow towards excellence in their performance and want to introduce a culture of excellence in the organisation. Effective use of the CAF should, in time, lead to the further development of this type of culture and thinking within the organisation. As a tool of Total Quality Management, CAF subscribes to the fundamental concepts of excellence and aims to improve the performance of public organisations on the basis of these concepts. These 8 principles make the difference between the traditional bureaucratic public organisation and the one oriented towards Total Quality. The study indicates that working with CAF brings this cultural change in a graduate way into educational institutions.

## ANNEXES

### *Annex 1: The Questionnaire*

## Study on the Impact of CAF and Education

### Introduction

Welcome to the questionnaire on the impact of the Common Assessment Framework (CAF) on Education and Training institutions.

As stated in the invitation letter, through this survey the European CAF Network aims to gain a more detailed insight into the impact that the use of CAF and Education has on the performance of Education and Training institutions in Europe, by increasing both their results as well as their maturity regarding the different principles of excellence throughout their self-assessment and improvement activities.

We thank you very much for your willingness to invest the necessary time for this study. All information provided in this survey will remain strictly confidential.

This questionnaire is composed of 5 parts.

Part 1: Identification of the institution

Part 2: The use of CAF

Part 3: The performance of the education and training institution after the CAF implementation

A. Key results of the institution

B. The maturity level of the institution

Part 4: The improvement activities

Part 5: The further use of CAF in your institution

Some useful documents you may wish to have at hand are the self-assessment report(s), improvement plan(s) and performance measurements.

If you notice any technical problems or if you have comments about the survey : please send an e-mail to [CAF-education@eipa.eu](mailto:CAF-education@eipa.eu). For content-related questions, you can consult your national contact point.

Many thanks for your kind collaboration.

## Part 1. Identification of the institution

### 1. What is the name of your organisation?

[open space to answer]

### 2. Location (country/city)

- Country [drop-down list]

Belgium, Denmark, Finland, Italy, Norway, Portugal, Slovakia, other: (open space to answer)

- City (open space to answer)

### 3. Your institution is a:

- Training institute  
 University  
 School for higher education  
 Secondary school  
 Primary school  
 Kindergarten  
 Multilevel institution (comprehensive)  
 School for social inclusion  
 Others

### 4. Size (year 2013-2014): how many people are working in the institution that applied CAF (all kinds of staff included)? Please insert the total number.

- (open answer )

### 5. What percentages of the following types of employees are present in your institution?

- Teaching staff %:  
 Expert support (psycho-social, cultural advisors...) %:  
 Administrative staff %:  
 Operational staff %:

TOTAL 100%

### 6. Size (year 2013-2014): how many learners does your institution teach or train?

- (open answer )

### 7. Who is the person in charge of completing the questionnaire?

- Name [open space to answer]  
 Function [open space to answer]  
 E-mail [open space to answer]

## Part 2. The use of CAF

### 8. Which version of the CAF has been used and how many times?

- General CAF version
  - Once
  - Twice
  - Three times
  - Four or more times
- CAF and Education
  - Once
  - Twice
  - Three times
  - Four or more times
- A specific national CAF and Education version (e.g. for universities or music schools or kindergartens, etc.)
  - Once
  - Twice
  - Three times
  - Four or more times

### 9. When did you apply CAF for the first time?

(open answer ) year [**drop-down list**], options from 2000 to 2014

### 10. When was the last time you used CAF?

(open answer ) year [**drop-down list**], options from 2000 to 2014

### 11. What was the scope of the CAF implementation?

- The whole institution
- Part of the institution

### 12. To what extent was the use of CAF mandatory the last time you used it?

- Not mandatory, e.g. freely chosen by the school to assess the quality of the organisation and to improve it
- Mandatory, e.g. because of some kind of national (or regional) law, regulation on organisation and performance quality with which the schools are expected to comply.  
Please specify:
  - Mandatory by any kind of political authority (ministry education, mayor municipality, etc.)
  - Mandatory by the public education authority
  - Mandatory by the non-governmental authority
  - Mandatory by... (Other: please explain in a few words in English)



13. Could you please indicate why your institution decided to use the CAF? Below is a list of possible answers that might have been decisive in using the CAF. Please indicate the importance of each reason for your organisation.

	Level of importance				
	Very important	Important	Low	Unimportant and/or not relevant	
1. Adopted to comply with a national law or regulation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Decided in response to pressures from political authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Applied as a compliance with other administrative requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Decided to foster some professional standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Because of the involvement with a programme/project (European, national, regional and/or local)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6. Because of people already using the CAF you got in contact with	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7. Adopted in response to demands from learners and/or their representatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Adopted in response to demands from teachers to improve the quality of the institution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9. Decision of the top management to improve the quality of the institution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10. Decision of the top management to involve teachers and supporting staff in managing the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
11. Common understanding that the institution's quality has to be improved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. The institution wanted to strengthen its learning capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Other (please explain in English)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

14. Composition of the self-assessment group at the last CAF implementation: please indicate which types of staff and how many took part in the self-assessment group(s). In case you had more than one group give the average numbers per group.

	Types of staff	Number
a)	Top management	[open space to answer]
b)	Administrative staff	[open space to answer]
c)	Teachers/academic staff	[open space to answer]
d)	Supporting experts (psycho-social, cultural, etc.)	[open space to answer]
e)	Operational staff (maintenance, cleaning staff, etc.)	[open space to answer]
f)	Other	
Total number SA group		[open space to answer]

15. To whom did you communicate the self-assessment report? More the one answer is possible.

Internal stakeholders O YES O NO

If yes:

- To top management
- To middle management
- To staff
- To the members of the self-assessment team(s) or the quality team
- To the internal partners.

External stakeholders O YES O NO

If yes:

- To learners and their representatives
- To the external partners
- To the public education authority
- To the non-governmental education authority
- To the political authority
- To the general public
- Other.



## Part 3. The Performance of the education and training institutions after the CAF implementation

### A. Key results of the institution.

16. Please indicate how your institution has been performing on the sub-criteria 6.1: results of the perception measurements of the learners and their representatives.

Give the overall satisfaction percentage you reached in your most recent survey amongst learners and their representatives and the results of the measurement before or just after your first CAF application.

No measurement	.....
Result of the most recent measurement	...%
Result of the measurement before or just after your first CAF application	...%

17. Please indicate how your institution has been performing on the sub-criteria 6.2: results of the performance measurements of the learners and their representatives.

We would like to know your performance in 3 dimensions regarding your learners and their representatives:

- the accessibility of your institution
- the involvement of the learners and their representatives in your institution
- the transparency of your institution

(In case you use indicators) Fill in for each dimension, **2 indicators that your institution considered important to measure** (these indicators used by your institution might be amongst the indicators from the results examples of sub-criterion 6.2 in **annex III**, but this is not compulsory).

Please indicate the results of the measurements you made: the most recent one, and the one you undertook before or just after your first CAF application.

Dimensions and indicators	Most recent measurement	Measurement before or just after first CAF application
Did you use indicators regarding <b>the accessibility</b> of your institution? <input type="radio"/> Yes <input type="radio"/> No      If Yes: Indicator 1: <i>open space to answer</i> Indicator 2: <i>open space to answer</i>	... % ... %	... % ... %
Did you use indicators regarding <b>the involvement</b> of the learners and their representatives in the institution		

O Yes O No      If Yes: Indicator 1: <i>open space to answer</i> Indicator 2: <i>open space to answer</i>	... % ... %	... % ... %
Did you use indicators regarding <b>the transparency</b> of the institution O Yes O No      If Yes: Indicator 1: <i>open space to answer</i> Indicator 2: <i>open space to answer</i>	... % ... %	... % ... %

18. Please indicate how your institution has been performing on the sub-criteria 7.1: results of the perception measurements of the people.

Give the overall satisfaction percentage you reached in your most recent survey amongst your people and the results of the measurement before or just after of your first CAF application.

No measurement	.....
Result of the most recent measurement	....%
Result of the measurement before or just after your first CAF application	....%

19. Please indicate how your institution has been performing on the sub-criteria 7.2: results of the performance measurements of the people.

We would like to know your performance in 3 dimensions regarding your people:

- the development of the competences
- the involvement of people in the functioning of the institution
- the attitude of people towards the institution

(In case you use indicators) Fill in for each dimension, 2 indicators that your institution considered important to measure (these indicators used by your institution might be amongst the indicators from the results examples of sub-criterion 7.2 in annex III, but this is not compulsory).

Please indicate the results of the measurements you made: the most recent one and the one you undertook before or just after your first CAF application.

Dimensions and indicators	Most recent measurement	Measurement before or just after first CAF application
Did you use indicators regarding <b>development of the competences of the people</b> : O Yes O No      - If Yes: Indicator 1: <i>open space to answer</i>	... %	... %



Indicator 2: <i>open space to answer</i>	... %	... %
Did you use indicators regarding <b>the involvement</b> of the people in the functioning of the institution O Yes O No - If Yes: Indicator 1: <i>open space to answer</i> Indicator 2: <i>open space to answer</i>	... % ... %	... % ... %
Did you use indicators regarding <b>the attitude of people towards the institution</b> O Yes O No - If Yes: Indicator 1: <i>open space to answer</i> Indicator 2: <i>open space to answer</i>	... % ... %	... % ... %

20. Please indicate how your institution has been performing on the sub-criteria 8.1: results of the perception measurements of the social behaviour of the institution.

Give the overall satisfaction percentage you reached in your most recent survey perception measurement of the social behaviour and the results of the measurement before or just after your first CAF application.

No measurement	.....
Result of the most recent measurement	....%
Result of the measurement before or just after your first CAF application	....%

21. Please indicate how your institution has been performing on the sub-criteria 8.2: results of the performance measurements of the social behaviour of the institution

We would like to know your performance in 3 dimensions regarding the social responsibility of your institution:

- environmental protection and sustainability
- the integration of the institution in the surrounding community
- the ethical behaviour of the institution

(In case you use indicators) Fill in for each dimension, 2 indicators that your institution considered important to measure (these indicators used by your institution might be amongst the indicators from the results examples of sub-criterion 8.2 in annex III, but this is not compulsory).

Please indicate the results of the measurements you made: the most recent one and the one you undertook before or just after your first CAF application.

Dimensions and indicators	Most recent measurement	Measurement before or just after first CAF application
<p>Did you use indicators regarding <b>environmental protection and sustainability</b></p> <p><input type="radio"/> Yes <input type="radio"/> No - If Yes:</p> <p>Indicator 1: <i>open space to answer</i></p> <p>Indicator 2: <i>open space to answer</i></p>	<p>... %</p> <p>... %</p>	<p>... %</p> <p>... %</p>
<p>Did you use indicators regarding <b>the integration of the institution in the surrounding community</b></p> <p><input type="radio"/> Yes <input type="radio"/> No - If Yes:</p> <p>Indicator 1: <i>open space to answer</i></p> <p>Indicator 2: <i>open space to answer</i></p>	<p>... %</p> <p>... %</p>	<p>... %</p> <p>... %</p>
<p>Did you use indicators regarding <b>the ethical behaviour of the institution</b></p> <p><input type="radio"/> Yes <input type="radio"/> No - If Yes:</p> <p>Indicator 1: <i>open space to answer</i></p> <p>Indicator 2: <i>open space to answer</i></p>	<p>... %</p> <p>... %</p>	<p>... %</p> <p>... %</p>

22. Please indicate how your institution has been performing on the sub-criteria 9.1: results of the performance measurements of the key results of the institution – on output and outcome.

We would like to know your performance in the 2 dimensions regarding the external results of the institution

- Output: the immediate result of an activity, which may be either goods or services
- Outcome: the overall effect that outputs have on external stakeholders or on wider society and learners

The “output” of an education and training institution can be e.g. the learner graduating and the “outcome” his/her socio-professional integration.

(In case you use indicators) Fill in for each dimension, 2 indicators that your institution considered important to measure (these indicators used by your institution might be amongst the indicators from the results examples of sub-criterion 9.1 in annex III, but this is not compulsory).

Please indicate the results of the measurements you made: the most recent one and the one you undertook before of just after your first CAF application.

Dimensions and indicators	Most recent measurement	Measurement before or just after first CAF application



<p>Did you use indicators regarding <b>output</b></p> <p><input type="radio"/> Yes <input type="radio"/> No - If Yes:</p> <p>Indicator 1: <i>open space to answer</i></p> <p>Indicator 2: <i>open space to answer</i></p> <p>Indicator 3: <i>open space to answer</i></p>	<p>... %</p> <p>... %</p> <p>... %</p>	<p>... %</p> <p>... %</p> <p>... %</p>
<p>Did you use indicators regarding <b>outcome</b></p> <p><input type="radio"/> Yes <input type="radio"/> No - If Yes:</p> <p>Indicator 1: <i>open space to answer</i></p> <p>Indicator 2: <i>open space to answer</i></p> <p>Indicator 3: <i>open space to answer</i></p>	<p>... %</p> <p>... %</p> <p>... %</p>	<p>... %</p> <p>... %</p> <p>... %</p>

23. Please indicate how your institution has been performing on the sub-criteria 9.2: results of the performance measurements on internal performance.

We would like to know your performance in 3 dimensions regarding the internal results of the institution

- Performance improvements and innovations of products and services
- Efficient use of internal resources
- Effectiveness of partnerships

(In case you use indicators) Fill in for each dimension, 2 indicators that your institution considered important to measure (these indicators used by your institution might be amongst the indicators from the results examples of sub-criterion 9.2 in annex III, but this is not compulsory).

Please indicate the results of the measurements you made: the most recent one and the one you undertook before or just after your first CAF application.

Dimensions and indicators	Most recent measurement	Measurement before or just after first CAF application
<p>Did you use indicators regarding <b>the performance improvements and innovations of products and services</b></p> <p><input type="radio"/> Yes <input type="radio"/> No - If Yes:</p> <p>Indicator 1: <i>open space to answer</i></p> <p>Indicator 2: <i>open space to answer</i></p>	<p>... %</p> <p>... %</p>	<p>... %</p> <p>... %</p>
<p>Did you use indicators regarding <b>the efficient use of internal resources</b></p> <p><input type="radio"/> Yes <input type="radio"/> No - If Yes:</p>		

Indicator 1: <i>open space to answer</i>	... %	... %
Indicator 2: <i>open space to answer</i>	... %	... %
Did you use indicators regarding <b>the effectiveness of partnerships</b> O Yes O No - If Yes: Indicator 1: <i>open space to answer</i> Indicator 2: <i>open space to answer</i>	... % ... %	... % ... %

Once again, we would like to remind you that all information provided in this survey will remain strictly confidential.

## B. The maturity level of the organisation

24. Your educational and training institution has used the CAF in the past to improve and strengthen its capacity. What progress would you attribute today to the development of the 8 principles of excellence in comparison with where you were before the introduction of CAF? Use the descriptions of the principles of excellence in **Annexe I**, reflecting the approach of the CAF procedure of External Feedback, to help you in your judgement.

Principle of excellence	No progress	Some progress (slight)	Substantial progress
1. Results orientation			
2. Learners orientation			
3. Leadership and constancy of purpose			
4. Management of processes and facts			
5. People development and involvement			
6. Continuous innovation and improvement			
7. Partnership development			
8. Social responsibility			

25. Did your institution participate in the procedure on External Feedback?

- Yes, more than once
- Yes, once
- no



26. In case your institution took part in the CAF Procedure on External Feedback, what were the scores regarding the maturity levels of the Principles of Excellence (see Annex I)?

PRINCIPLE	LEVEL	Initiation	Realisation	Maturity
1. Results orientation				
2. Learners orientation				
3. Leadership and constancy of purpose				
4. Management of processes and facts				
5. People development and involvement				
6. Continuous innovation and improvement				
7. Partnership development				
8. Social responsibility				

## Part 4. The improvement activities.

27. What type of actions in order of importance did you undertake to improve the performance of your institution?

Looking back to your improvements plans, give us your 10 most relevant and successful actions, with 1 being the most important. Please formulate the action in a maximum of 2 lines. For each action, make reference to the sub-criterion of CAF involved, indicating the number of the sub-criterion (e.g. 1.1, 3.4 etc.). See Annexe II to make the correct reference.

**If possible**, (in the next step/ on the following page) link the action to a specific example of the sub-criterion involved which is the most in line with your action. This will help us in the exploitation of the findings. (**see Annex II**)

EXAMPLE IMPROVEMENT ACTION	Sub-criterion	Nr. Example
We organised systematic discussions with the people and the learners on the innovative ways of teaching we planned to introduce in our institution.	2.4	59

Short description of the improvement action (1 being the most important)	Sub-criterion	Nr. Example
1.	[dropdown list]	
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		



**28. Define on which criterion of the results each of these actions had a high impact.**

In order to get a better insight into the way the undertaken improvement actions help the institutions to achieve better results, we ask you to express your perspective on this issue for your institution. This is an exercise that demands an in-depth reflection but it is essential in the use of CAF. In the context of this questionnaire, the conclusions can only be built upon your perception, but the combined outcome from all answers can give a good indication about the impact of the chosen improvement actions.

Tick per action the box of the criterion or sub criterion on which it had a high impact. More the one box may be ticked.[ list of criteria 6,7 and 8 and sub criterion 9.1 and 9.2] [multiple answers possible]

Actions	Criterion 6 Learners	Criterion 7 People	Criterion 8 Social responsibility	Sub- criterion 9.1 External results	Sub- criterion 9.2 Internal results
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					

**29. To which other instruments did the use of CAF bring/inspire you in the further development of TQM in your institution?**

Relevant	Instrument
	Leadership development tools (assessment centres, etc.)
	Planning and policy development tools
	Performance management development systems
	Contract management/ management by objectives
	Balanced Scorecard (BSC)
	Risk Analysis
	Project management
	EFQM
	Kaizen

	Six Sigma
	Strategic management of competencies
	Investment In People (IIP)
	Service Level Agreement (SLA)
	Cost accounting and result accounts
	Business process re-engineering
	ISO 9000 /standard(s) with certification
	ISO 9000 /standard(s) without certification
	ISO 26000
	Complaint management
	Satisfaction surveys
	Supply chain
	Appraisal by subordinates
	Suggestion system
	Eco-Management and Audit Scheme (EMAS)
	External and internal audits
	Benchmarking
	Other: <i>open space to answer</i>

### 30. What were the main obstacles encountered in realising the improvement actions of the action plan?

Below is a list of possible obstacles. Please indicate to what extent you faced these obstacles in realising the improvements in your organisation.

	Extent			
	To a very large extent	To a large extent	Limited extent	Not at all
a) Not enough monitoring by the top management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Lack of involvement and motivation of the staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Lack of involvement of external stakeholders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Lack of external support	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Lack of financial resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) Lack of recognition/reward	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) Other obstacle: please describe briefly in English a missing obstacle and indicate its importance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



**Part 5. The further use of CAF in your institution**

**31. Did the use of CAF in your institution live up to your expectations?**

(1 indicates “the expectations were not met at all” while 10 indicates “the expectations were completely met”)

- 1    2    3    4    5    6    7    8    9    10

**32. Does your institution plan to use the CAF in the future?**

- Yes  
 No

**33. Which is the interval chosen in your institution to use the CAF ?**

- Every year  
 Every two years  
 Every three years  
 Every four years  
 Only after a longer period  
 No preference

**34. If your institution does not intend to use the CAF again, what are the reasons?**

Below is a short list of reasons. Please indicate to what extent these reasons are important in your organisation.

	Level of importance			
	Very important	Important	Low	Unimportant
a) We used CAF as a first-level tool and want to move towards other TQM methods (EFQM, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) We consider CAF to be too difficult to use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) It demands too much effort of the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) We do not see any tangible results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) We were satisfied with the outcome of CAF and for the moment do not feel the need to repeat it	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) Other (please specify): ... [ <i>open space to answer</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**35. Based upon your experience, what do you suggest new CAF users should certainly do?**

Please describe in maximum 2 lines.

*[open space to answer]*

36. Based upon your experience, what do you suggest new CAF users should certainly NOT do?  
Please describe in maximum 2 lines.

*[open space to answer]*

### Questionnaire complete

Thank you very much for your participation.

The results of the survey will be presented at **the European CAF Event in Rome** (14 November 2014) and made available on the website of the European CAF Resource Centre.



## Annex 2: Semi-Structured Interviews

### Qualitative survey: case study description

#### Report structure

Length: maximum three-page report (excluding tables and figures)

Language: English

Author:

#### A. General information

Name of school:

Typology:

Country:

Contact person:

Email:

#### B. Internal and external context at the last self-assessment

Social and economic environment:

Institutional mission:

Organisational structure and facilities (human resources, budget dimension, buildings and other facilities, etc.):

Main characteristics (number and kind of courses, number of students, external stakeholders and partnerships, etc.):

Maturity level:

Goals:

(a) to understand to what extent the school was previously involved in considering, measuring, and interpreting data on school performances and organisational orientation to users;

(b) to understand the maturity level before the CAF application.

#### C. Why and how the CAF was used

1) The reason why the school decided to use CAF

2) How CAF was used:

- CAF dimensions fully covered by the self-assessment, targets, reference groups, leverages
- People involvement: generalised or less so; types of actors involved; perceived consequences deriving from that limited/partial involvement; lessons learnt (to overcome or to avoid that lack of engagement); how it changed between the two self-assessments
- Stakeholder involvement: how it changed between the two self-assessments

#### D. Improvement actions realised and output results

Describe and comment on the main improvement actions realised (indicated in the questionnaire n. 27-28) and the CAF results criterion upon which these actions had a high impact.

*Describe the quantitative results reached.*

**E. Outcome issue**

*Indicate expected/reached (explicit) and unexpected outcomes identifying the specific processes/actions that brought about the appropriate or, if applicable, the inappropriate results. Indicate the excellence principle where the organisation improved more.*

*Indicate the impact of CAF on the whole organisation (measurement capacity, communication and involvement, etc.).*

*Other dimensions coming out during the interview*

**F. Lessons learnt**

*The implementation of CAF could face obstacles, resistance, sometimes opposition from some actors, in some phases, for some matters. Here the stake is:*

*(a) to know whether such problems occurred; and, above all,*

*(b) how were those critical points finally overcome and in which way, and taking what kind of action?*

*Have any causes been sealed off? How were those points managed: cognition, treatment, and overcoming (if applicable!)*

*What went well (effectively improved), what less so (still waiting for major improvement)? What next? With whom?*





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