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## Chapter 4

# Characteristics of national quality award models and their application in educational institutions

In sections 4.1, 4.2 and 4.3 of this chapter we discuss general, methodological and functional aspects of national quality awards without going into an analysis of how they are applied in the education sector. That subject is dealt with in section 4.4.

### 4.1 General overview

There are national quality awards in almost all the countries in Latin America and the Caribbean, and they date from different times. Most of them were established by some organ of a ministry of economic development, but the entrepreneurial and research and development sectors have also played a key role in promoting the different initiatives. This is explained by the fact that nearly all the awards are in line with the initial objective of making products and services more competitive to help enterprises operating in a given area compete with enterprises in other countries or other parts of the same country. However, this focus soon changed to the conception of an award as an instrument to bring about a shift in company culture towards promoting quality and efficiency, and as recognition, in the form of a trophy, of excellence in how enterprises are run.

Studies show that awards of this type first came into being in Japan after the Second World War. One of the first steps the Japanese took to revitalize their economy and raise the standard of living in the country was to consult Dr. W. E. Deming, a North American specialist in the application of statistical quality control techniques. *“The mobilizing effect resulting from this initiative prompted Japan, at the instigation of the Japanese Union of Scientists and Engineers (JUSE), to institute the Deming Prize in 1951. Since then, quality control (and the techniques it involves) has become commonplace in practically all sectors of Japanese industry, and has evolved over time*

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*into the concept of total quality or QUALITY THROUGHOUT THE ENTERPRISE.”<sup>1</sup>*

In the mid 1980s a group of experts in the United States analyzed a series of successful organizations in an attempt to identify the characteristics they had in common that set them apart from the rest. They found that the key was in values that are easily perceived as part of an organization’s culture, and are practised by its leaders and professionals at all levels. *“In that exercise, the values identified in successful organizations were considered crucially important to creating a management culture geared to results, and this gave rise to the criteria of evaluation and to the systematic structure that lie at the heart of the Malcolm Baldrige National Quality Award (MBNQA), that was founded in the United States in 1987.”<sup>2</sup>*

In Europe, a number of countries including England, Finland, France, Ireland, Italy and Spain instituted national quality awards, and in 1992 the first European Economic Community Award, which was promoted by the European Foundation for Quality, was introduced. In the Latin American and Caribbean region, Mexico, Colombia, Brazil, Ecuador, Uruguay and Chile have instituted their own awards and have set up non-governmental or mixed bodies (some with tripartite management), or have designated private foundations or existing organizations, to administer them.<sup>3</sup>

There was an older forerunner of this in Italy, where in 1950 a quality award was founded by the International Quality Service (IQS) with support from the Italian government. The initial aims were, first, to differentiate and select the products that were most competitive on foreign markets, and second, to give enterprises an incentive to improve the quality of their products. In São Paulo in 1977 the IQS instituted the first Brazilian quality award (Prêmio Qualidade Brasil), which was aimed at fostering quality at all levels by honouring enterprises that were outstanding in their quality management and achieved exceptional results in the consumer market.<sup>4</sup>

As will be seen in the sections below, the awards in the different countries in Latin American and the Caribbean are similar in many ways including their

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<sup>1</sup> Fundación Premio Nacional a la Calidad: “Gestión Empresarial-República Argentina”, [www.premiocalidad.com.ar](http://www.premiocalidad.com.ar) 2005.

<sup>2</sup> Fundación para el Premio Nacional para la Calidad (FNPQ), “Criterios de Excelencia. El estado del arte de la gestión para la excelencia del desempeño y el aumento de la competitividad”, Brazil, 2005 ([www.fnpq.org.br](http://www.fnpq.org.br)).

<sup>3</sup> [www.premiocalidad.com.ar](http://www.premiocalidad.com.ar), 2005.

<sup>4</sup> Fundação para o Premio Nacional da Qualidade (FPNQ): “Sobre o Premio Qualidade Brasil”, [www.fpnq.org.br](http://www.fpnq.org.br) 2005.

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basic conception, objectives, requirements, and evaluation and procedural methodologies, and there is no doubt that this is rooted in the fact that when it came to formulating the scope and mechanisms of their awards, almost all these countries took as a reference similar international models such as the Malcolm Baldrige Award in the United States, the European EFQM or the Latin American model.

In Annex 4.1 we present a list of some European and American awards, taken from the Chilean National Quality Award web page.<sup>5</sup>

## **4.2 Methodological aspects**

### **4.2.1 Mission**

In the mission statements of the different countries' awards there are many elements in common. The outstanding shared features include the following:

- To promote improvement in the management of organizations using internationally accepted criteria (Colombia) and to improve organizations' capabilities to compete successfully in world markets (Brazil).
- To promote wider understanding of what is required to achieve excellence in performance and thus become more competitive (Brazil).
- To make organizations more effective in creating value for all interested parties, and especially for their customers and markets (Argentina).
- To set off a multiplier effect by the widespread exchange of information about best practices (Mexico).
- To promote, develop and disseminate processes and systems geared to continually improving the quality of products and services from the entrepreneurial sector so as to help raise productivity and make organizations more competitive (Chile).
- To obtain public recognition for organizations with a practical focus on management for quality and productivity (Colombia).
- To promote an understanding of the factors and elements that have a decisive influence on raising quality levels, with a special emphasis on factors that have to do with people's development (Chile).

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<sup>5</sup> www.chilecalidad.cl 2005.

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### 4.2.2 Objectives

The different awards are geared to enterprises putting their mission into operation, and in this area there are also many shared features, such as the following:

- To promote the cultural changes that are needed to adopt integrated management and excellence management focuses and practices as the basis for competitiveness in organizations (Colombia and Chile).
- To help start a learning process to promote integrated quality in organizations and in the community at large (Chile).
- To foster the use of the award as an educational instrument to help organizations develop in a socially healthy and economically successful way (Colombia).
- To offer a useful tool for diagnosis and continual improvement (Mexico).
- To make enterprises more viable and to promote exports based on quality (Mexico).
- To establish, update and disseminate the integrated management model for evaluation and diagnosis in organizations and to give instruction about the model and how to use it (Argentina).

### 4.2.3 Evaluation criteria

National quality awards are “*recognition of the management of an organization (and not) a certificate of quality for the product or service,*”<sup>6</sup> so a key element they all share in their work with organizations is a **model** to promote, evaluate and recognize management excellence geared to total quality and continual improvement. In Colombia this is called the “Management Excellence Model”, in Mexico the “National Total Quality Model”, in Argentina the “Model for Excellence in Entrepreneurial Management”, in Uruguay the “Continual Improvement Model”, and in Chile and Brazil “Criteria for Excellence”. These models are not only designed to present the criteria and procedures to be able to compete and for selecting the award winners; their main

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<sup>6</sup> Colombian Ministry of Trade, Industry and Tourism and Corporación Calidad: “Premio Colombiano a la Calidad de la Gestión 2004-2005 Guía para los Participantes”, Bogotá, 2005.

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*“...purpose is to become an effective self-diagnosis tool for all who are interested in quality and have recourse to it as a guide for improving their organizations. That is to say, the MODEL is geared not only to organizations that are in a position to successfully compete for the award but also to those which, although not equipped to win the award, wish to take up the challenge of pursuing modernization, competitiveness and excellence”.*<sup>7</sup>

This means that an organization can use the criteria of excellence as a scheme of reference to improve its management system, make a self-evaluation so as to improve, or as a guide to drawing up the report by which it can put itself forward as a candidate for the national award.

The various national awards are also similar in this respect. There are differences between them, but these are beyond the scope of this study. Some points that the guides to management excellence have in common are as follows:

- The organization should have a conception of management strategy that is holistic, and its vision of the future and of the market, goals and continuity should be shared by all hierarchical levels.
- Management should be evaluated at different times, and corrective measures taken using the PDCA model (plan, do, check, act).
- The models lay down foundations or principles which have to be borne in mind before specific aspects that generate quantitative valuations are evaluated.
- The models specify a group of criteria or sub-criteria for self-evaluation, external evaluation and rating with a points system.

As a framework for analyzing criteria, the models establish *“basic elements for excellence (understood as) concepts which translate into practices that are found in high performance organizations”*.<sup>8</sup>

For example, in the Brazilian award the **basic elements** include a vision of the system, learning in the organization, innovation, leadership, a vision of the future, focus on the customer and the market, social responsibility, management based on facts, valuing people, a processes approach, and orientation towards results.<sup>9</sup>

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<sup>7</sup> Fundación Premio Nacional a la Calidad: “Gestión Empresarial-República Argentina”, [www.premiocalidad.com.ar](http://www.premiocalidad.com.ar) 2005.

<sup>8</sup> Fundación para el Premio Nacional para la Calidad (FNPQ) Brazil, op. cit. (en [www.fnpq.org.br](http://www.fnpq.org.br)).

<sup>9</sup> FNPQ Brazil, op. cit. (en [www.fnpq.org.br](http://www.fnpq.org.br)).

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The national quality award in Chile is based on the following **principles**: leadership and commitment from top management, management geared to customer satisfaction, appreciation of people as the main strategically-important factor, continual improvement in productivity and in the quality of processes, flexibility, the capacity to respond rapidly to customers' requirements, continual improvement in planning and decision-making systems (accuracy of information instruments, data analysis and the systematic study of facts), valuing public responsibility, protecting the environment, making a social contribution, management orientation towards results, and a non-discrimination policy.<sup>10</sup>

There are also similarities between the different award systems when it comes to the **criteria and sub-criteria for evaluation and giving a points rating**. In the Brazilian award system, for example, the eight criteria for excellence involve leadership, strategies and plans, customers, society, information and knowledge, people, processes and results (see Annex 4.2, where the sub-criteria and respective points ratings are given).<sup>11</sup> For the Colombian award the eight criteria areas are strategic management, customer and market management, leadership, personnel development, information management, process management, social responsibility and results (see Annex 4.3).<sup>12</sup> These criteria are the same in the other awards, although there may be slight differences in the listing order or in the points awarded for each item (for example, the “results” criterion is allocated 450 points in Brazil, 400 in Colombia, 300 in Mexico and 250 in Chile (see Annexes 4.2, 4.3 and 4.4).

#### ***4.2.4 The general awards process***

In general, a national quality awards process involves the following steps:<sup>13</sup>

- a. The authority in overall charge, which in most cases is the ministry of economic development or the body that has been officially designated to exercise operational control and handle the technical aspects involved, publicizes the annual events and helps with orientation and guidance.

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<sup>10</sup> Chile Calidad, “Premio Nacional a la Calidad, Hacia una Gestión de Excelencia, Versión 2004”, Santiago, 2004, [www.chilecalidad.cl](http://www.chilecalidad.cl)

<sup>11</sup> FNPQ Brazil, op. cit. (en [www.fnpq.org.br](http://www.fnpq.org.br)).

<sup>12</sup> Colombian Ministry of Trade, Industry and Tourism and Corporación Calidad, “Premio Colombiano a la Calidad de la Gestión 2004-2005 Guía para los Participantes”, Bogotá, 2005.

<sup>13</sup> This summary is mainly based on the schemes in Colombia and Chile since they have the elements that are common to the cases examined in detail in this study, and these elements also figure in the systems in Argentina, Brazil and Mexico.

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- b. Organizations submit their applications to enter and be classified.
  - c. The authorities check that candidature requirements have been met.
  - d. Organizations receiving authorization are enrolled, and attach the entry form.
  - e. The authority in charge selects and trains evaluators and judges.
  - f. The evaluators evaluate the entry forms.
  - g. The evaluators recommend organizations for on-site visits.
  - h. The evaluators make on-site visits.
  - i. The evaluators make reports on each of the organizations they visit.
  - j. The jury recommend to the authority that awards be made to the organizations they have chosen.
  - k. The awards are presented, usually by the President of the Republic at a special ceremony.
  - l. All candidates receive feedback in the form of a written report and a visit by a group representing the different hierarchical levels involved in the evaluation and the decision.
  - m. The deposition process begins with a ceremony at which the winners receive their awards, and continues with technical conferences and other activities in which each winning organization expounds on the main factors that led to its receiving the award.

#### *4.2.5 Three key elements in the awards process*

In this panorama three vital elements stand out as focuses for continual improvement in organizations and incentives to promote economic competitiveness and social well being in the respective countries. These are (a) that organizations **apply excellence models** and carry out **self-evaluations** based on the criteria and methods laid down in those models, (b) **feedback** to organizations that take part from those in charge of the awards, and (c) the organizations that receive the awards make a public **deposition** of the best practices they employed.

**The application of excellence models** enables organizations to see themselves as a system and as an integrated unit in their operations to bring about continual improvement. According to the text of the Mexican National Total

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Quality Model (MNCT), “...it is also a tool to carry out diagnoses within an organization or to evaluate the organization’s degree of maturity, which sheds light on its strengths and areas of opportunity”.<sup>14</sup> The models of the different awards constitute the base for organizations to be able to **evaluate themselves** and make the reports that are required when they apply for awards, and which include the focus, implementation and results of their management system. “The function of this information is to show that the candidate is using effective focuses, and these examples that can be useful to other organizations.”<sup>15</sup>

**Feedback** means that all the organizations that take part, even though they do not win an award, receive an objective, professional evaluation made by specialists in the field. These evaluation reports provide information on the organization’s strengths and also on aspects to be improved in the sphere of quality, as identified by the examiners for each of the factors, criteria and sub-criteria.<sup>16</sup> “Feedback is the most valuable benefit for the participants because it involves an analysis of the strength, and opportunities to improve of the management system that is in place, guidelines for how organizations can progress towards excellence, and parameters to measure the development of the management system.”<sup>17</sup>

Lastly, a **deposition on best practices** is a guaranteed part of all versions of the awards since the winners are under an obligation to hold technical events to “make known to other organizations the main aspects whereby they merit the award(s), as reflected in their management excellence. These events bring together a large number of organizations, and the winners constitute an example of management and a model for other organizations to follow”.<sup>18</sup>

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<sup>14</sup> Premio Nacional de Calidad de México: “Modelo Nacional para la Calidad Total” and “Guía de Participación 2005”, [www.pnc.org.mx](http://www.pnc.org.mx)

<sup>15</sup> Fundação para o Premio Nacional da Qualidade (FPNQ): “Sobre o Premio Qualidade Brasil”, [www.fpnq.org.br](http://www.fpnq.org.br) 2005.

<sup>16</sup> [www.premiocalidad.com.ar](http://www.premiocalidad.com.ar) 2005.

<sup>17</sup> Colombian Ministry of Trade, Industry and Tourism and Corporación Calidad, “Premio Colombiano a la Calidad de la Gestión 2004-2005 Guía para los Participantes”, Bogotá, 2005.

<sup>18</sup> Chile Calidad: [www.chilecalidad.cl](http://www.chilecalidad.cl) 2005.

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### 4.3 Function aspects of national quality awards

In nearly all the countries analyzed for this study the awards are called “National Quality Awards”. The exception is Colombia where, since 2001, the award has been entitled the National Management Quality Award.

The awards are set up by laws or decrees issued by the legislative or executive power in the country in question, they come under a ministry (usually the ministry responsible for promoting economic development), and they are awarded once a year by the president of the country in a solemn ceremony.

Bodies have been set up to administer the awards. These are either mixed or non-governmental, or in some cases they are bodies that were already in existence like foundations (Argentina and Brazil), mixed corporations (Colombia), private trusts (Mexico) or productivity and quality centres (Chile). These bodies are responsible for selecting the evaluators and judges and giving them technical orientation, training, and guidance during the process, but their institutional mission goes beyond that since the main aim is to empower and foster processes in enterprises and organizations to make them more effective, competitive and sustainable.

Another point of similarity between the various award schemes is that the instruments and mechanisms used in the different countries to make external evaluations of candidate organizations tend to be of the same type. In Argentina the evaluation board (examiners and judges) is designated by the Administration Council of the PNC Foundation; in Colombia the evaluators are selected by the Corporación Calidad (Quality Corporation) and the judges by the Ministry of Trade, Industry and Tourism; in Chile they are called the Body of Examiners and the Judges and Jury Committee; in Mexico the Evaluation Group and the Award Committee; and in Brazil the Examining Board (Banca Examinadora).

Most countries stress that people are recruited to these temporary groups in a way that adheres to strict professional and ethical standards of selection, and that they are made up of highly qualified experts from different sectors who are recognized by their peers as having high professional standards. Before they go to work on the awards scheme they are rigorously trained, always in line with strict ethical and behavioural standards.

Each country has its own way of categorizing the enterprises and organizations that take part in its awards scheme, but classification is generally organized around the following main elements:

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- The size of the organization. This is normally calculated by a combination of number of employees and value of assets, and it yields three categories: large, medium and small.
  - The organization's main sector of economic activity. There are different combinations of the following categories: industry, agriculture, trade, services and educational institutions. In some countries like Brazil, Chile and Colombia, educational institutions are classed as services, while in others like Mexico and Uruguay they are in a separate category.
  - Legal status: whether an enterprise is in the public or private sector.
  - In some countries, like Argentina for example, there is a distinction between profit-making and non-profit-making organizations.

#### **4.4 National quality awards and the education sector**

An analysis of the relation between educational institutions and the bodies that administer national quality awards in the various Latin American and Caribbean countries shows that in practice there are **at least** three different kinds of situations:

- a) Countries in which educational institutions can participate in the national awards process in the category of service providers (such as Argentina, Brazil, Chile and Colombia).
- b) Countries in which there is a separate category in the national awards scheme for educational institutions (e.g. Mexico and Uruguay).
- c) Countries in which there is a special guidance programme for educational institutions that involves applying a model designed to improve the quality of school management (e.g. Chile, Argentina, and Colombia).

##### ***4.4.1 Countries in which educational institutions participate in the national edition of the Award in the category of service providers***

In countries where educational institutions participate in the national awards as service providers, these institutions have to follow the standards and procedures laid down for all enterprises and organizations (whose general characteristics have been outlined in different sub-sections of sections 4.2 and 4.3 of this chapter). However, each institution is free to develop its own quality manage-

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ment system, and alongside the excellence model defined by the national award scheme in that country it can also employ other complementary models and mechanisms. This is in fact what has happened at the various regional offices of the SENAI in Brazil.

The SENAI branch in Santa Catarina (SENAI/SC), for example, received recognition as a finalist in its category in the 2004 national quality awards. This regional office has a management system based on the National Quality Award (PNQ) model and on the requirements of the NBR ISO 9001:2000 Standard. The organization is geared to excellence and fosters a culture of quality which is embodied in some organizational guidelines that focus on the institution's business, mission, vision, policy and values. *"All 32 units (of this regional office) are included in the management system, which is based on PNQ criteria, all undergo annual internal and external audits, and thus there are cycles of learning and improving practices."*<sup>19</sup> (the "Main tools of the SENAI/SC quality management system, represented in the "Casa da Qualidade" figure, are presented in Annex 4.5).

#### ***4.4.2 Countries in which exists a category exclusively for educational institutions inside the National Award***

Two examples of this are Uruguay and Mexico. In **Uruguay** the National Quality Committee was set up in April 1991 by Decree No. 177/191. It comes under the Ministry of Industry, Energy and Mining, and its mission is to foster a culture of quality in the country.

The National Quality Award was set up in December 1992 by Decree No. 648, *"... with the aim of recognizing organizations that are outstanding in applying quality processes through total quality management, and that constitute examples for other institutions and for society as a whole to follow"*.<sup>20</sup>

The Uruguayan awards employ the following categories of organizations:

- a) Private, large, medium and small, industrial or agricultural.
- b) Private, large, medium and small, services.
- c) Public, State or otherwise.

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<sup>19</sup> SENAI Nacional: "Atualização tecnológica e qualidade", 2004, [www.cinterfor.org.uy/calidad](http://www.cinterfor.org.uy/calidad)

<sup>20</sup> Comité Nacional de Calidad del Uruguay (CNC), "Premio Nacional de Calidad", [www.cnc.gub.uy](http://www.cnc.gub.uy)

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d) Education. In 2004, the institutions in this category that received awards were the Colegio Jesús María Carrasco Secondary School, the Military Institute for Higher Studies and the Naval School. There were special mentions for the Training and Production Centre (CECAP - Centro de Capacitación y Producción),<sup>21</sup> the C. Harriague de Castaños Technical School, and the Initial Education Centre (CETP - Centro de Educación Inicial).<sup>22</sup>

In **Mexico** the classification of organizations participating in the national quality award depends on the total number of employees in small, medium and large organizations in three sectors, industry, services and trade, and this yields nine categories. There are two more categories than are not defined by number of employees: one is defined by function (public or private educational institutions) and the other by being governmental (federal, State or municipal administrative units).<sup>23</sup> For example, in 2003 and 2004 the award in the educational institutions category went to the Monterrey Technological and Higher Education Institute (ITESM - Instituto Tecnológico y de Educación Superior de Monterrey); in 2004 the other winner was the Monterrey Infant Development Centre No. 4, and in 2003 CAM Professor Rubén Reyes Rodríguez.<sup>24</sup>

The ITESM recommended that in order to participate successfully in the awards scheme educational institutions should:

- Obtain a commitment from all the directors
- Appoint people responsible for criteria at the top level
- Set up a work team with in-depth knowledge of the national total quality model and the organization
- Train managers and staff in the national total quality model
- Make a work plan from the start of the year
- Carry out simulated visits
- Prepare and practice executive presentations
- Disseminate the systems and processes widely
- Keep records and have these readily available

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<sup>21</sup> There is a detailed analysis of the CECAP case in the ILO/Cinterfor publication *Technical Office Papers* (No. 15), “CECAP, competencias y evaluación; dos vías hacia la mejora de la calidad de la educación”, Montevideo, 2005 (this is available at: [www.cinterfor.org.uy/calidad](http://www.cinterfor.org.uy/calidad)).

<sup>22</sup> CNC Uruguay, op. cit.

<sup>23</sup> Premio Nacional de Calidad de México, “Guía de Participación 2005”, [www.pnc.org.mx](http://www.pnc.org.mx)

<sup>24</sup> At [www.pnc.org.mx](http://www.pnc.org.mx) / Premio Nacional de Calidad / Organizaciones Ganadoras / Directorio (2005).

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- And if you do not win, handle de-motivation by accepting the feedback from the evaluators as an objective diagnosis, incorporating the recommendations into the institution's planning and using these results as the basis for improvement projects.<sup>25</sup>

#### ***4.4.3 Countries with a Quality School Management Model connected to the National Award***

Some countries in the region have developed specific models to improve management quality at schools and, by extension, at other educational institutions as well. These models are adapted from (or based on) excellence models of total quality management that lie at the core of the improvement and of the evaluation of enterprises and organizations that go in for National Quality Awards. Countries in this situation include Argentina, Chile and Colombia.

##### *4.4.3.1 Argentina*

In **Argentina** the National Quality Awards Foundation (FPNC) set up an education committee to develop a "Quality Management Evaluation Model for Educational Institutions". This model is defined as *"...a holistic evaluation system for organizations' performance, which fosters continual improvement as the method whereby institutions grow and meet fixed objectives ... this means the relationships between ends, structure and results throughout the organization can be systematically identified ... and it is based on the theory and practice of quality management. It does not prescribe or describe how management should run a university, a primary school (EGB), a secondary school (polimodal) or some other institution in the education field. It is more a 'how to do' organizational model than a 'what to do' educational one. It could not encompass the wide and rich variety of alternatives that there are in the sphere of education. The model amounts to an examination of the requirements and processes that are applied... The evaluation is geared to the consistency of the focuses, the deployment that the organization needs, and the systematic modification of plans based on the strengths and weaknesses that are found"*.<sup>26</sup>

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<sup>25</sup> ITESM: "Recomendaciones para una participación exitosa en los premios de calidad". Presentation by José Humberto Cantu Delgado, from ITES in Monterrey, at the 4th Latin American Quality in Education Congress, SENAI Brazil, 2005 ([www.cinterfor.org.uy](http://www.cinterfor.org.uy)).

<sup>26</sup> Fundación Premio Nacional a la Calidad (FPNC), Argentina, Comisión Educación: "Modelo de Evaluación de la Gestión de Calidad para Instituciones Educativas, Una Herramienta para la Autoevaluación Institucional", Buenos Aires, November, 2002 ([www.premiocalidad.com.ar](http://www.premiocalidad.com.ar)).

The Argentine model for educational institutions has 3 components that frame 7 criteria, and these in turn contain 28 factors, which are elements that serve as a frame of reference for self-evaluation and external evaluation in educational institutions. Each factor is allocated points out of 1,000 (see Annex 4.6). The 3 components and the 7 criteria, with the maximum points in each case, are as follows:<sup>27</sup>

Components	Factors	Maximum points
Leadership	• Leadership	200
Management system	• Strategic planning	80
	• Focus on students and interested parties	70
	• Information and communication	120
	• Focus on teaching and non-teaching staff	90
	• Management of educational and support processes	90
Results	• Institution performance results	350
<b>Total</b>		<b>1,000</b>

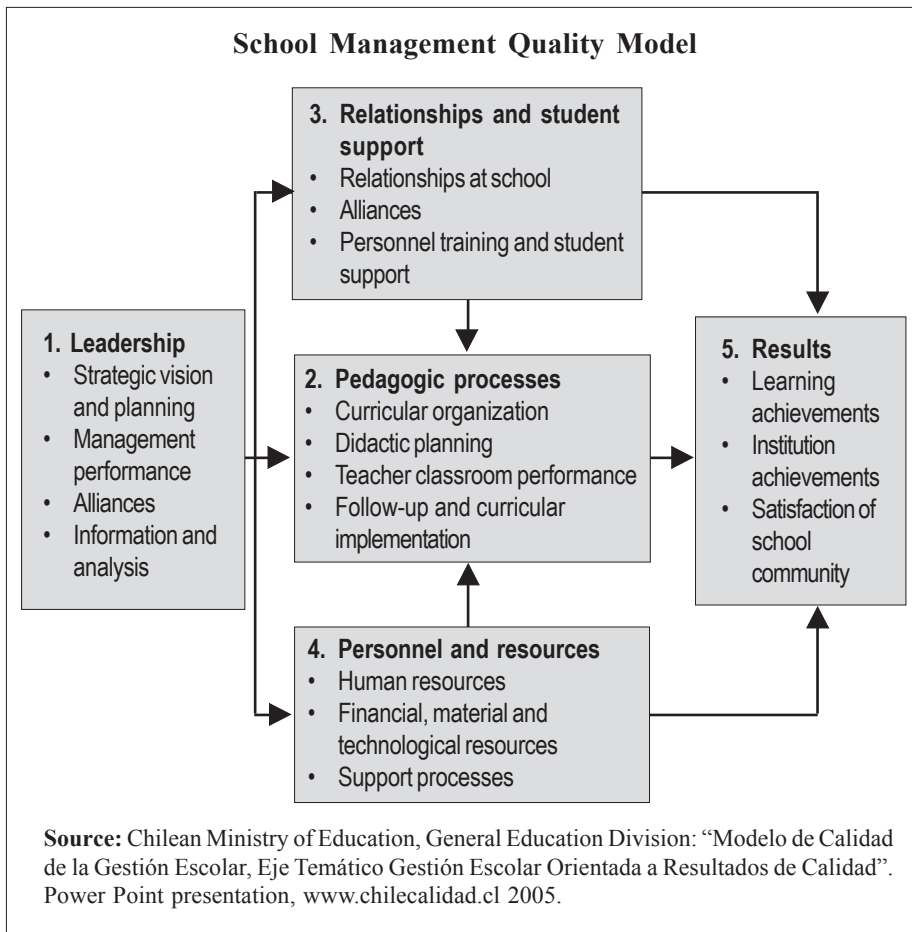
#### 4.4.3.2 Chile

In **Chile**, the Ministry of Education and the National Productivity and Quality Centre, Chile Calidad,<sup>28</sup> the body in charge of the national quality award, agreed “...to design and implement a system to ensure continual improvement in the learning results of students in municipal teaching establishments, through improving the management and administration of these establishments”.<sup>29</sup>

<sup>27</sup> FPNC Argentina, op. cit. (For example, in 2004 the Marín Educational Group received a special mention for excellence in educational management and contribution to the community).

<sup>28</sup> The National Productivity and Quality Centre (also known as Chile Calidad), which was set up in 1996, is a committee dependent on the CORFO. Its directors are two representatives of the Central United Workers (CUT - Central Unitaria de Trabajadores), two from the Confederation of Production and Trade (CPC - Confederación de la Producción y del Comercio) and three government procurators (Ministry of Economy, Ministry of Labour and the Corfo), with the Minister of Economy presiding.” (Source: [www.chilecalidad.cl](http://www.chilecalidad.cl) / quiénes somos).

<sup>29</sup> Chile Calidad: “Gestión Escolar”, [www.chilecalidad.cl](http://www.chilecalidad.cl) 2005.



The school management model is a reduced adaptation of the management excellence model used in Chile in the sphere of the national quality award, and “...although the points levels in the two models might be comparable, their application does not directly qualify an institution to be a candidate for this award”.<sup>30</sup>

The cycle of the School Management Quality Assurance System (SAGGE - Sistema de Aseguramiento de la Calidad de la Gestión Escolar) involves the following phases:

<sup>30</sup> E-mail reply from the Coordinator of the Chile Calidad SAGGE Programme, Mr Renato León, in November 2005.

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- Each educational establishment conducts an institutional self-evaluation based on the “School Management Quality Model”.
  - Validation of the institution’s self-evaluation by an external evaluation panel made up of experts in the management model.
  - Design and implementation of improvement plans in the most important areas shown by the evaluation.
  - Identification of good management practices.
  - Public Accounting<sup>31</sup>
  - The linkage of this whole process to decisions about support and resource allocation for schools made by municipal backers and by the Ministry itself through supervision.

The SACGE evaluates an educational institution’s management capability, which is reflected in the existence and quality of the systems these establishments implement to cover the curriculum and achieve quality learning on the part of the students. The SACGE model “...*does not prescribe ideal practices for these establishments so it not oriented to certifying quality; rather it asks good questions so, through a process of learning on the part of the institution, the bases for an itinerary of continual improvement are laid down, bases that cater to the individual needs of each establishment and that create a space for professional development within the context of the demands and needs of each school community*”.<sup>32</sup>

The SACGE enables an educational establishment to make a systematic self-evaluation and initiate the continual improvement of key processes in school management, such as the following:

- Leadership and management performance
- Management and supervision of curriculum implementation
- School relationships and student support

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<sup>31</sup> “In the framework of the assurance system, the Public Accounting fulfils two fundamental objectives. First, it makes the progress, difficulties and improvement challenges that have emerged since the implementation of the different components transparent, and second, that this dynamic brings about a commitment to what has been planned on the part of the forces internal and external to the community of the establishment.” Source: Chilean Ministry of Education, Management and Educational Improvement Unit, General Education Division, “Sentidos y Componentes del Sistema de Aseguramiento de la Calidad de la Gestión Escolar”, [www.chilecalidad.cl](http://www.chilecalidad.cl) 2005.

<sup>32</sup> Chilean Ministry of Education, Management and Educational Improvement Unit, General Education Division: “Sentidos y Componentes del Sistema de Aseguramiento de la Calidad de la Gestión Escolar”, [www.chilecalidad.cl](http://www.chilecalidad.cl) 2005.

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- Resource administration and management
  - Continual analysis and evaluation of results

In this way, establishments that incorporate the system “...*plan and persist in their action, eliminating possible wasteful activities, connect their main activities to curriculum-related goals, link all that they do to measurable objectives and targets, continually develop processes to evaluate and improve their processes, and are therefore able to point to the ‘good practices’ that have enabled them to attain good results in different spheres of educational activity and primarily in their students’ learning achievements.*”<sup>33</sup>

The main activities that the Chile Calidad and Ministry of Education teams have done in the framework of this programme are as follows:

- They have produced a strategic map of the system for 2003-2010
- Produced a school management model and a self-evaluation guide
- Trained management teams in the establishments that are in charge of self-evaluation
- Monitored the self-evaluation process
- Trained the members of the panel of experts in charge of confirming the self-evaluations
- Monitored the confirmation process
- Drawn up feedback reports
- Supervised the drawing up of improvement plans
- Produced a register of good management practices<sup>34</sup>

#### 4.4.3.3 Colombia

In **Colombia** on 30 May 1997, the Secretariat of Education of the Chief Council of the Bogotá Capital District issued Decree No. 379 (see Annex 4.7), whereby the Santa Fe de Bogotá School Management Award was set up “*As a recognition of and stimulus for State and private pre-school, basic and secondary educational institutions that have successfully coordinated their pedagogic and administrative functions, thus bringing in innovations and improving the education they provide.*” In this decree the Secretary of Edu-

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<sup>33</sup> Chilean Ministry of Education, op. cit., [www.chilecalidad.cl](http://www.chilecalidad.cl) 2005.

<sup>34</sup> Chile Calidad: “Gestión Escolar”, [www.chilecalidad.cl](http://www.chilecalidad.cl) 2005

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cation was made responsible for drawing up and adopting a school management evaluation guide, with the “...*guidelines, criteria, components, objectives, structure, procedures, evaluation, adjudication and commitments for evaluating schools that go in for the award*”.

Various bodies are involved in organizing the award, and their functions are as follows:<sup>35</sup>

- The Bogotá Education Secretariat: to promote, finance, announce the award, guide institutions, and actually present the award.
- Corporación Calidad: to provide technical guidance, train evaluators and judges and guide the process.
- The Bogotá Chamber of Commerce: to provide finance and technical guidance.
- The Family Compensation Fund (COMPENSAR - La Caja de Compensación Familiar): to provide finance and technical guidance.

The specific objectives of the School Excellence Award are as follows:

- To provide educational institutions with a self-evaluation tool to enable them to know and document the state of their management processes, and formulate strategies to improve the implementation of their institution’s educational project.
- To know and disseminate important experiences in generating and applying management and organization focuses geared to quality.

The self-evaluation tool in the school management excellence model is inspired in the premises of integrated management that bring the following elements into harmony:

- guidelines for a better future (strategic management), with
- greater effectiveness at the present time (process management) and with
- the indispensable condition for success (culture management),
- in an ongoing state of innovation and learning.

The model has 8 categories and 33 criteria which serve as a frame of reference for self-evaluation and external evaluation in educational institutions. These categories and criteria are allocated points out of 1,000 (see Annex 4.8):

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<sup>35</sup> The summary of the Bogotá School Management Excellence Award in Colombia is based on documents available at the Corporación Calidad web page, [www.calidad.org](http://www.calidad.org) and at [www.redacademica.edu.co](http://www.redacademica.edu.co), especially in the “Guía de Evaluación 2004-2005” section of Bogotá Capital District Education Secretariat.

Categories	Maximum points
• Institutional horizon	130
• School governance and leadership	110
• Academic management	150
• Administrative management	130
• Student development	150
• Teaching and administrative personnel development	120
• Community development	080
• Results and institutional improvement	130
<b>Total</b>	<b>1,000</b>

To go in for the Excellence Award an institution must be in formal education, must be located in and under the jurisdiction of Bogotá, must be duly recognized by the District Education Secretariat, cannot have been penalized in the preceding five years, and cannot have won the Excellence Award in the preceding five years.

*“The Award has two categories, State and private. It is for educational institutions that have constructed integrated management systems, that have successfully coordinated their pedagogic and administrative functions, and that have been able to achieve and ensure good results, transfer knowledge and identify innovative elements that set them apart and constitute the best strategy in their environment.”<sup>36</sup>*

An institution that wins the award stands out as an example to all of management excellence because, among other characteristics, it achieves and ensures good results especially with regard to the students, it has one or more elements that are innovative and make it stand out from the rest, and it has the capability to teach others.<sup>37</sup>

The basic process to go in for this Award can be summed up in the following steps:

- Enrolment

<sup>36</sup> District of Bogotá Education Secretariat and Corporación Calidad: “Galarcón a la Excelencia Premio a la Gestión Escolar, Guía de Autoevaluación 2004-2005”, [www.ccalidad.org](http://www.ccalidad.org) y en [www.redacademica.edu.co](http://www.redacademica.edu.co)

<sup>37</sup> For more information about the results of the 2005 Award, including a short description of the characteristics of the winning schools, see the web page: [http://www.sedbogota.edu.co/secretaria/export/SED/prensa/archivo\\_noticias\\_2005\\_3/120\\_galardon\\_excelencia.html](http://www.sedbogota.edu.co/secretaria/export/SED/prensa/archivo_noticias_2005_3/120_galardon_excelencia.html)

- Guidance workshops for candidates
- Completion of application reports
- Submission of application reports
- Analysis and valuation of application reports
- Selection of institutions for a field visit
- Field visits
- Selection of winners
- Announcement and presentation of Award (by the Chief Council of Bogotá)
- Feedback process

According to verbal information from sources in the Corporación Calidad, education authorities in other municipalities and departments in Colombia are starting to adopt the Excellence Award model.

### **Argentina - National Quality Award “Quality Management Model for Educational Institutions”**

#### **Chapter 1 – Basic concepts**

The concepts of total quality management from the perspective of educational organization.

Key concepts in the quality management evaluation model for educational institutions.

#### **Chapter 2 – Evaluation Model**

Diagram of the relationships among criteria

Components, criteria and factors

Description and commentary on the criteria

#### **Chapter 3 – Self-evaluation**

Table of maximum points suggested

Tables of percentages allocated:

Part 1: Leadership and management system components

Part 2: Results components

#### **Chapter 4**

Glossary of key terms

Reference bibliography

**Source:** Fundación Premio Nacional a la Calidad (FPNC), Argentina, Comisión Educación: “Modelo de Evaluación de la Gestión de Calidad para Instituciones Educativas, una Herramienta para la Autoevaluación Institucional”, Buenos Aires, November, 2002 ([www.premiocalidad.com.ar](http://www.premiocalidad.com.ar)).

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**Chile - School Management Quality Assurance System  
(SACGE)  
Contents of Self-Evaluation Process Manual**

**Processes**

- Institutional self-evaluation process
- Planning process for improvement
- Public accountability to the community process

**Phases of the self-evaluation process**

- Phase 1: Training educational establishments
- Phase 2: Organization of self-evaluation process
- Phase 3: Application of self-evaluation guide
- Phase 4: Validation

**Results expected from the self-evaluation process**

- Evaluation of establishment's management quality
- Deep reflection about key areas in establishment management
- List of identified strengths and areas for improvement
- Knowledge of specific improvement areas
- Greater commitment from members of educational community, especially those who take part in the self-evaluation process

**Source:** Chilean Ministry of Education, Educational Management and Improvement Unit, General Education Division and Chile Calidad: "Sistema de Aseguramiento de la Calidad de la Gestión Escolar, SACGE, Manual del Proceso de Autoevaluación" (www.chilecalidad.cl 2005).

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**Chile - National Quality Award  
Guide to Self-Evaluation in Educational Establishments**

**1. Introduction**

**2. General guidelines for implementing self-evaluation process**

Organization / planning daily schedule

Duration of self-evaluation process

Knowledge of the instrument

Formation of work teams

Results and prioritizing

Socialization of results

Results expected from self-evaluation process

**3. Structure of Self-Evaluation Guide**

a) Areas

b) Dimensions

c) Management element

**4. Key Concepts**

Focus and deployment

Strengths

Improvement opportunities

Best practices

**5. Evaluation Levels**

**6. Evidence**

**7. Instructions for Self-Evaluation**

**8. Application of Self-Evaluation Guide by Area**

www.chilecalidad.cl 2005.

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**Bogotá, Colombia**  
**“Excellence Award, School Management Prize,**  
**Evaluation Guide 2004-2005”**

**Presentation**

**Winning institutions**

**Comments - Outstanding Institutions 2003-2004**

**A word from the Sponsors**

**First part: the Award process**

Objectives of the Award

School Management Excellence Model

Categories

Requirements

Award winning

Commitments of winning institutions

General evaluation framework

Characteristics of a winning institution

Evaluation and judges

Overall vision of the process

Phases of the process

**Second part: evaluation components and criteria**

Summary of components, criteria and points system

0. The institution and its context

1. Institutional horizon

2. School governance and leadership

3. Academic management

4. Administrative management

5. Student development

6. Teaching and administrative personnel development

7. Community development

8. Results and institutional improvement

**Bibliography – Glossary – Entry form**

**Source:** Secretariat of Education, Bogotá District Office and Corporación Calidad: “Galardón a la Excelencia Premio a la Gestión Escolar, Guía de Autoevaluación 2004-2005”, at [www.ccalidad.org](http://www.ccalidad.org) y en [www.redacademica.edu.co](http://www.redacademica.edu.co)

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#### 4.4.4 *Benefits of going in for awards or prizes*

According to the Monterrey Technological Institute (ITESM), 2003 and 2004 winner of the Mexican National Quality Award in the educational institution category, going in for the award benefits organizations in a number of ways, which can be summed up as follows:

- Seeing the institution as a system.
- Understanding the causal relationship between programmes and daily operations and the different systems in the institution.
- Diagnosis of systems and identification of solid areas and opportunities.
- Establishment of programmes and projects focused on satisfying institution and interest group priorities.
- Understand and use a language of quality among personnel.
- Consolidate some systems and improve others.
- Implement a culture of follow-up, measurement, documentation and reference comparison.<sup>38</sup>

According to the SENAI in Brazil, the outstanding benefits of taking part in the national quality award scheme and developing quality management systems at the organization's various regional offices and branches include the standardization of activities, the measurement of performance in processes, improvements in products and services, focalization on the business of the institution, eliminating repetition, and positive changes in the behaviour of personnel.<sup>39</sup>

In general, the guides for taking part in the national awards in different countries agree on the following **benefits**:

First, all the organizations that take part, even if they do not win an award, prize or special mention, benefit from the following:

- Training and advice on how to use the respective management excellence model
- Application of the model to improve competitiveness and efficiency
- The opportunity to create their own model for quality management, total quantity administration and continual improvement

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<sup>38</sup> ITESM, "Recomendaciones para una participación exitosa en los premios de calidad", op. cit.

<sup>39</sup> SENAI: "Diagnóstico Nacional de la Gestión para la Excelencia en el Sistema SENAI". Presentation by Marcelo Mendonça at the 4th Latin American Quality in Education Congress, SENAI, Brazil, 2005, [www.cinterfor.org.uy](http://www.cinterfor.org.uy) / IV Congreso.

- Self-evaluation, and the organizational learning that stems from it
- A new perspective from the external evaluation experts
- Feedback via the evaluation reports, both written and on the field visit.

And organizations that receive awards or mentions also benefit from the following:

- The right to use the logo that goes with recognition
- Public recognition by the government
- Recognition for the high reliability of products and services
- Public recognition as a national and international model to follow
- The chance to go in for other awards that are international
- In some cases there is also a monetary or other kind of prize.

#### ***4.4.5 The EFQM, a leading model in educational institutions in the Americas***

##### **The European EFQM Model in Colombia (and other Latin American countries) by the Santillana Group / Santillana Formación**

The Santillana Group, through “Santillana Formación”, is the official representative in Colombia of the European Foundation for Quality Management (EFQM) Model or European Total Quality or Excellence Model, and for applying this model in Colombian educational institutions.

*“In 1996, the Institute of Educational Techniques (ITE - Instituto de Técnicas Educativas) of the Spanish Confederation of Teaching Centres (CECE - Confederación Española de Centros de Enseñanza) and the Quality Management Club (CGC - Club de Gestión de Calidad) adapted the model to non-university education and training. In 2000 the Santillana Group made an agreement with the CECE and the ITE to apply this model in the Americas. In 2001 (they set up) 20 consultants to implement the Model in Mexico, San Salvador, Venezuela, Ecuador, Colombia, Peru and Chile. In 2001-2002 Santillana Formación of Colombia made some basic modifications to the model to apply it in educational institutions and centres in*

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*Colombia. Since July of 2003 it has been in the process of implementation in Colombian educational institutions.”<sup>40</sup>*

### **Implementation phases<sup>41</sup>**

In 60 contact hours of consultation and guided by a consultant who is an expert in applying the model, the educational institution goes through the following phases over a period of up to six months:

**Phase 0. Reach initial consensus:** Presentation of information about general aspects of the model to institution managers. Guidance in setting up the leader quality team, quality committee and quality director. Agreement on starting dates for consultations and guidance.<sup>42</sup>

**I. Raising awareness-motivation:** concepts, grounding, structure, principles, phases and documentation of the model applied to the institution.

**II: Training in the model:** this is done using a practice case to develop the competencies needed in the evaluation processes (qualitative and quantitative) and the use of the model’s own tools.

**III. Self-evaluation:** of the management of the institution by the actors of the internal education community themselves.

**IV. Diffusion to the rest of the educational community:** information about the implantation process, the results of prioritizing areas for improvement, and the organization of improvement teams.

**V. Training in tools for quality:** design of processes, measurement of facts, satisfaction of customers, etc.

**VI. Consultancy and guidance:** for improvement teams to organize plans of action and specific subjects.

### **Benefits of the Model**

- Learn to self-evaluate with processes, procedures and quantitative and qualitative tools, individually and in groups.

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<sup>40</sup> The Santillana Group, Colombia, Santillana Formación: “Modelo EFQM de Excelencia para la Calidad en la Gestión de Instituciones Educativas Colombianas”. Presentation at the “Foro Internacional de Modelos de Calidad y su aplicación en preescolar, básica y media”, organized by CONACED, Bogotá, 2005 (CD file).

<sup>41</sup> Santillana Group, Colombia: “Modelo EFQM de Excelencia”, [www.santillana.com.co/santillana\\_formacion/modelo\\_europeo](http://www.santillana.com.co/santillana_formacion/modelo_europeo). The sections below about phases, benefits, principles and scope were taken from this.

<sup>42</sup> Santillana Group, presentation, op. cit.

- Make people actively involved in attaining objectives and goals they themselves have set.
- Improve the climate in the organization through raised satisfaction of the members of the educational community and the development of leadership.
- Foster creative and innovative thought through continual learning.
- Organize improvement teams that provide motivation and make people actively involved in accordance with their interests and expectations.
- Start on the road to the continual improvement of people and processes in the educational institution.

### **Orienting principles**

- Orientation towards results.
- Orientation to the user.
- Leadership and coherence of objectives.
- Management by processes, facts and data.
- Development and involvement of people.
- Learning, innovation and continual improvement.
- Development of alliances.
- Social responsibility.

### **Scope of Accreditation**

*“Once the six implementation phases have been completed, the educational institution is awarded a diploma that accredits its excellence in education and training at the Access Level. It is also awarded a plaque and it is authorized to use the official stamps on its stationary and in its corporate image.”*

### **Accreditation levels**

*“The process of implementing the EFQM involves educational institutions and centres moving up to different levels of development over time, levels that reflect the degree to which their quality systems improve towards the criteria, sub-criteria and aspects of the EFQM model. / Institutions are recognized with accreditation that is voluntary and they stay on a level depending on a decision by each insti-*

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*tution as to whether or not it will proceed with the EFQM model accreditation levels. / The levels are as follows: Access, Development, Consolidation and Excellence.”<sup>43</sup>*

**Bodies that award accreditation**

The bodies involved in awarding accreditation at the Access level are as follows:

- The Spanish Confederation of Teaching Centres (CECE), the Institute of Educational Techniques (ITE) (accrediting bodies).
- The Santillana Group in Colombia, Santillana Formación (implantation process guide).<sup>44</sup>