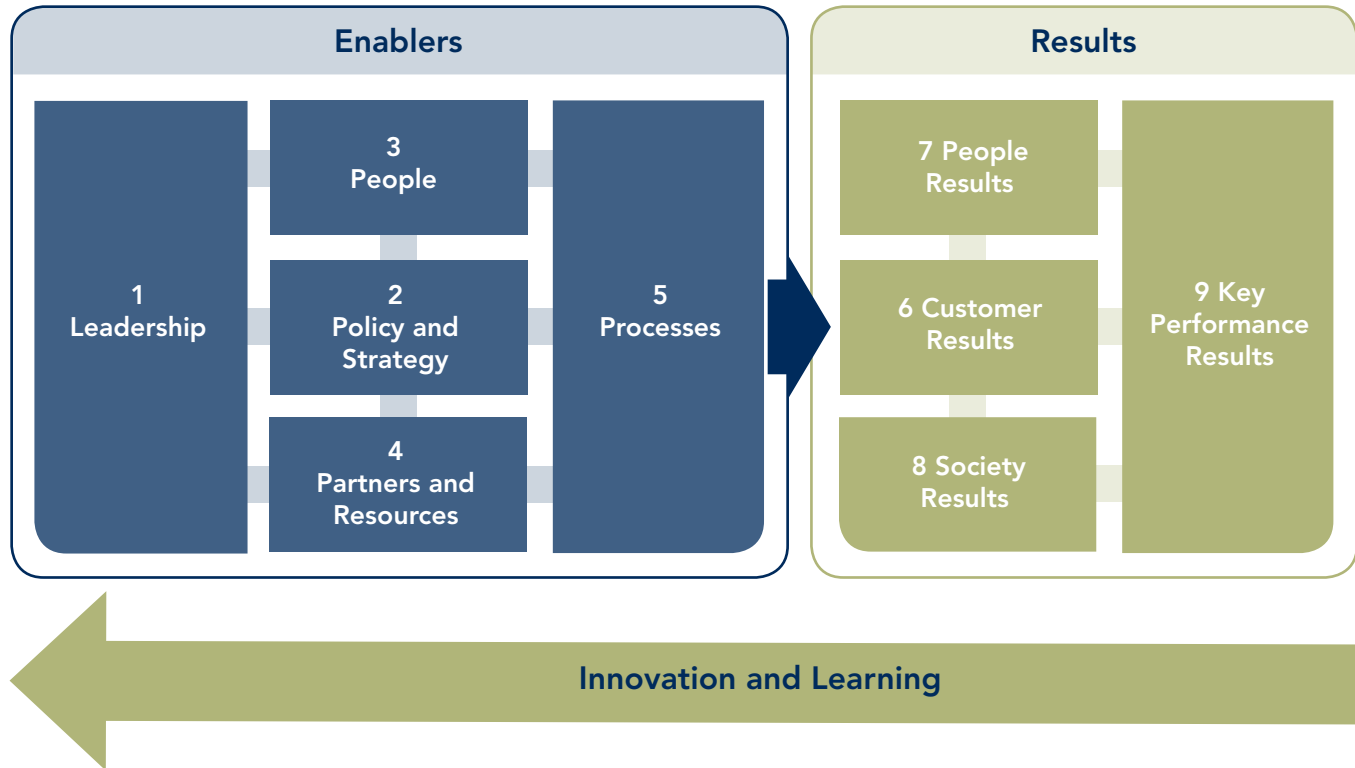




## Self-Assessment Matrix for Continuing and Professional Education

# Enablers



## **CRITERION 1: LEADERSHIP**

### **Definition of the Criterion**

Excellent leaders develop and facilitate the achievement of the mission and vision. They develop organisational values and systems required for sustainable success and implement these via their actions and behaviours. During periods of change, they retain a constancy of purpose. Where required, such leaders are able to change the direction of the organisation and inspire others to follow.

## SUB-CRITERION 1a: DEVELOPMENT OF VISION AND MISSION

The organisation has developed and articulated the mission, vision and values which align with the vision and mission of the institution, and guide the decision-making of the organisation at all levels.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The vision and mission are not defined, or are so general that they do not guide the work of the organisation. The activities are disconnected and/or without relation to the policies defined by the governing board. The operations depend on the will of the individuals who carry them out.	The management has defined the vision and mission of the organisation. It is explained to the staff, but not necessarily operationalised. The values are defined, but are vague or are not systematically agreed on by the staff. There are no follow-up procedures in place.	The vision and mission are coordinated with staff and understood within the institution in general. This definition allows development strategies for the organisation to be formulated and to define the tactics and actions. The possibility of redefining strategies and goals is accepted with reluctance.	The vision and mission are communicated to, and approved by, the management of the institution. There is wide consensus on the definition of goals, thus making it easier to carry out the associated tactics and actions and build strategic partnerships. Processes defining and implementing the vision and mission are reviewed and re-adapted regularly.	The formulation of the vision and mission is performed by the management of the organisation and by the governing board of the institution. The staff assumes the vision and mission as their own and transmits them from their position. The adaptation of values is assumed to be essential and obligatory. The definition and establishment of the vision and mission serve as a reference point for other institutions involved in continuing education.



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## SUB-CRITERION 1b: CONTINUOUS IMPROVEMENT OF MANAGEMENT SYSTEMS

The management of the organisation promotes and guarantees the development, implementation, and continuous improvement of the management system.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The management of the organisation has not systematically defined the management system. The director is more an administrator of continuing education than a leader of the work culture and business processes.	The management of the organisation possesses the know-how and will to adapt the organisational structure and the management system to function effectively. As a consequence, the management promotes the adaptation of a management system to the work of the staff of the organisation.	The organisation's management has clearly defined and implemented strategic processes. The operating procedures are developed and implemented. Support procedures are set in line with, and directed toward, strategic processes.	The management carries out a systematic follow-up of the key results of the organisation, communicating and discussing the results achieved with the work teams. Improvements and innovations are promoted.	The organisation is regarded as an important instrument in achieving the targets of the institution by the governing board. The Management and Leadership Model of the organisation is a reference for other organisations. It functions properly from the point of view of different internal and external actors. The management is invited to congresses and events to explain their model for the management of the continuing education organisation.



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## SUB-CRITERION 1c: LEADERSHIP AND EXTERNAL RELATIONS

The organisation has systematic interaction with customers, strategic partners and other important stakeholder groups, such as learners, teachers, and representatives of social groups in order to operate for common interests and goals.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The organisation's leaders do not take initiative in terms of external relations. Relationships between the organisation and external players are incidental and not planned. There is no direct contact between leaders and students, teachers or external entities. Leaders are not present in continuing education networks or in other forms of inter-institutional contact.	The organisation's leaders regularly participate with other universities, companies and institutions in the identification of common needs and solutions. The leaders propose that the university carry out joint projects with other institutions. The initiative is developed on a non-institutional basis but is tolerated by the political leaders of the institution.	The organisation's management maintains direct links with professional organisations, companies, public and private institutions which require and provide continuing education. Agreements generated are the result of the effective action of the leaders. Leaders occupy representative positions which permit the establishment of outside links with the organisation. Meetings are held at least periodically with other directors of continuing education.	The management systematically assesses external networks to improve strategic collaboration. External links and their results are valued in order to redefine the policies undertaken. The management systematically participates in meetings with other continuing education organisations at a national level.	The organisation's management is considered a reference point in the field of continuing education. The leaders are able to establish partnerships in order to create joint projects with other institutions. Their leadership extends beyond the internal environment and reaches international levels. The organisation actively participates in the formulation of development plans and solutions to resolve basic problems.



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## SUB-CRITERION 1d: LEADERSHIP AND MOTIVATION

The organisation has processes for the motivation and recognition of the staff.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The management of the organisation pays little attention to the initiatives of staff and has no direct contact with them. There are no formally established communication channels. There are no periodic meetings with people. There are no fundamental criteria regarding people recognition.	Random meetings and informal channels of communication are generated. Decisions taken in coordinating meetings are not executed. Management always has the last word. Employees may make suggestions, but the ones considered are the only ones the director is interested in.	There are defined channels of communication and regular meetings between staff and management. The organisation's management establishes recognition policies based on clear criteria. There is an annual staff award or similar positive achievement recognition system. Professional development for the staff is promoted at no cost to them.	The establishment of agreed objectives, as well as teams for continuous and systematic improvement are proposed. Delegation of responsibilities is staff-promoted. Innovative contributions of employees are recognised. Meetings, to check targets and how they are achieved, are held by the leaders with the management and the staff.	Regular dialogues with individual employees are held to define work objectives, development plans and related benefits. People who hold positions requiring innovativeness can use part of their time to independently use and improve their innovativeness. There is a communication plan which allows management to maintain constant communication with organisation staff. Methods are benchmarked against other institutions.



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## **CRITERION 2: POLICY AND STRATEGY**

### **Definition of the Criterion**

Excellent organisations implement their mission and vision by developing a stakeholder-focused strategy that takes account of the market and sector in which it operates. Policies, plans, objectives and processes are developed and deployed to deliver strategy.



## SUB-CRITERION 2a: STAKEHOLDER INPUT INTO STRATEGIC PLANNING

The needs and expectations of stakeholders (teachers, learners, companies, organisations, staff and society) are taken into account in the process of strategic planning.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Analysis of needs of the stakeholders is not based on a plan.	Some studies of the needs of stakeholders have been made. These studies are not systematic. The information obtained is only partially used in the organisation's operations.	There is a formal, though non-systematic process which takes needs and expectations of stakeholders into account in the creation of strategies for the organisation/ programme.	There is a systematic methodology in place to observe and identify stakeholder needs. Meeting objectives based on identified needs and expectations of stakeholders is systematically assessed, and society is included as one stakeholder of the organisation.	Systematic monitoring of needs and expectations of stakeholders leads to changes in the organisation, in accordance with the results to be achieved. The results are gathered in real-time and required resources are used as economically as possible to obtain indicator data for future planning. Indicators are systematically compared with those obtained by other institutions of reference. The indicator data is accurate, reliable and available.



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## SUB-CRITERION 2b: PERFORMANCE INDICATOR INPUT TO STRATEGIC PLANNING

The assessment of performance indicators regarding customer satisfaction, staff, society and other core stakeholders serves as a key input to strategic planning.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
There is a casual and non-systematic awareness of the mentioned indicators. The information is based on the individual performance of persons. Decisions are based on opinions rather than facts.	Information referring to the mentioned indicators is collected periodically to adopt strategic actions in the short term.	There is an incomplete, systematic process carried out by the organisation's staff for periodic collection of information regarding the aforementioned indicators. Indicators are observed with interest, but not analysed in detail. Preventive measures are not taken concerning the results obtained.	The data collection system for indicators is systematic and complete, and is carried out automatically by both internal and external personnel. Giving information about the results is part of the communication plan. The indicators are analysed in depth and preventive measures are taken based on the results obtained.	The results are gathered in real-time and required resources are used as economically as possible to obtain indicator data for future planning. Indicators are systematically compared with those obtained by other institutions of reference. The indicator data is accurate, reliable and available.



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## SUB-CRITERION 2c: DESIGNING, COMMUNICATING AND VALIDATING THE STRATEGIC PLAN

The strategic plan is defined, shared, implemented, assessed, and validated to ensure its effective implementation and follow-up.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The organisation has a strategic plan, but it does not guide the operational activities. There is little connection between the strategic plan and actions taken at the different activities of the organisation.	There is a coherent strategic plan; but there are no detailed strengths and weaknesses analysis, and no systematic procedures for carrying the plan out and assessing it. There is reluctance towards reviewing the plan.	Systematic communication exists, but there is no discussion or improvement. In coordination meetings, decisions are taken regarding whether the training programmes correspond to the policies and strategy. There are indicators and assessment, as well as systematic planning and comparisons made with policy and strategy.	There are systematic activities covering documentation, presentation, communication, and discussion to improve the processes. Attempts are made to creatively adapt proposals to the organisation's policies and strategy, seeking innovation rather than the same old way of operating. The importance of assessment and innovation in planning is highly valued and activities, which take external factors into account, are regularly organised.	Policy is developed in conjunction with the organisation's staff throughout the process, and is used as a benchmark by other organisations. Training plans are based on the organisation's policy and strategy, and used as a base for the development of new products and services. Periodic meetings are held, with both internal and external representatives, to reflect on whether the strategic plan is being executed effectively.



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## SUB-CRITERION 2d: IMPLEMENTATION OF POLICIES AND STRATEGY AND UPDATING THE STRATEGIC PLAN

The management of the organisation communicates and executes defined strategies and policies, as well as provides continuous updates to the plan.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
There is no clear and complete communication of policies and strategies. Planning of activities depends on personal inspiration, and there is no consultation with other persons; thus preventing the execution of coherent tactics. A strategic plan cannot be executed because it does not exist. There is no assessment of policies and strategy.	There is documentation available, but no effort is made to communicate or share it. People consult colleagues regarding undefined situations. They do not consult policy or strategy, because they do not identify with it. Employees must personally consult management to get information about policy and strategy.	A strategic planning process has been defined with due awareness of the competitive advantages available. The implementation process of this plan is characterised by tactics, actions, priorities, timetables for execution, responsibilities, methods and assessment periods with defined documents and follow-up indicators.	There is a dynamic and systematic process for the assessment and improvement of the Strategic Plan based on continuous analysis of indicators and the environment. The process is deployed with the coordinators and managers of the organisation.	The Strategic Plan is completely aligned with the Vision and Mission of the organisation and the Institution. The Strategic Plan is implemented at all levels of the organisation, and is reviewed and improved in accordance with systematic procedures. The methodology employed for its development is a benchmark for other organisations.



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## **CRITERION 3: PEOPLE**

### **Definition of the Criterion**

Excellent organisations manage, develop and release the full potential of their people at individual, team-based, and organisational levels. They promote fairness and equality, and involve and empower their people. They care for, communicate to, reward, and recognise staff to motivate and build commitment – to ultimately have them use their skills and knowledge for the benefit of the organisation.

## SUB-CRITERION 3a: HUMAN RESOURCE MANAGEMENT

The organisation has processes to recruit and manage its human resources.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The institution recruits staff for the organisation. The organisation's management does not participate in the definition of criteria for personnel recruitment and management. Strategies are not coordinated with staff recruitment.	The request for staff includes a definition of the profile required for positions other than management. The institution does not allow staff to take part in the selection process. People are mainly seen as an expense.	The organisation's management defines the profiles and the selection process of all technical, administrative and management staff. There is documentation which outlines the staff policy of the organisation. There is a definition of task profiles related to the strategy of the organisation.	The organisation has defined tasks for each employee. Management's processes include necessary competencies required for the tasks and their development. Staff policy is considered within the context of the strategic plan. The staff policy is agreed upon by the management and work teams and reviewed regularly.	The organisation defines competency profiles for the future. It has a diverse, multidisciplinary, innovative, and international combination of human resources. Innovativeness is a shared value of the organisation. People are seen as an investment. There is consensus among the staff, management, and the governing board on human resource management policy. The staffing policy is used as a benchmark, and becomes a national and international point of reference.



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## SUB-CRITERION 3b: COMPETENCE DEVELOPMENT OF THE STAFF

The organisation has policies and processes to improve its individual and organisational competencies, and intellectual capital as a whole.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
If the organisation's staff are specialised in any area, it is because they have done it of their own initiative. The functional areas of the organisation may be unattended due to lack of training or because they have not been identified.	The required occupational profiles have been identified for the functional areas of the organisation to meet everyday needs in the short term. Development needs are defined, however training initiatives are random. Staff members participate in training on an individual basis. There is no follow-up on the training and it is not systematically implemented in work processes.	There is identification and classification of skills and competencies of staff, and the needs of the organisation. Functional areas are considered when defining the training plans for employees. Development and training are part of the strategic plan and its implementation. The results of individual training are shared and implemented within the organisation.	Improvement of personal skills is encouraged and seen as an essential part of the work. There are systematic actions which assess, review, update, and balance skills and competencies of the staff and the needs of the organisation. The effectiveness of training programmes is assessed.	The organisation operates as a learning organisation. Staff members receive specialised training based on individual professional development plans. The plans are focused on the development needs of different tasks and sufficiently cover functional areas of the organisation. Members of the staff, in a process of continuous improvement of intellectual capital, are given initiative to develop new competencies needed for a systematic organisational development. Employees are trainers and mentors of other employees.



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## SUB-CRITERION 3c: STAFF COMMITMENT AND INVOLVEMENT

The organisation has incentives and processes to boost employee commitment, involvement and responsibility.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Staff responsibilities at the organisation are ambiguously defined but are not communicated to staff. People carry out their tasks without a global vision of the existing processes. People are limited to carrying out those tasks assigned by a superior in an attempt to follow the chain of command.	The organisation has included Work Groups with defined responsibilities. The staff begins to form part of a group and a process, and they acquire delegated functions and responsibilities. The focus is on the daily tasks of the organisation, which helps to identify needs of the organisation.	The organisation of each group's work facilitates the active involvement of the staff, promoting creativity, innovation and teamwork. The staff understands and accepts the tasks of their group. Staff members make decisions and are responsible for the results. This process allows different groups to work similarly, based on the strategy of the organisation.	The organisation has planned and defined tools which stimulate innovation and creativity of the people and groups. The people identify with the strategic goals of the organisation. There are periodic presentations of the innovations conceived by each group. There is a delegation of functions in the organisational structure.	The assessment strategy permits the identification of individual and group contributions for later improvement and recognition. These innovations have a positive effect on the work of the institution, inspire confidence, and encourage comparisons with other organisations - serving as a benchmark for many of them. The organisation opts to reward investments in the staff. The workplace atmosphere is a benchmark for the entire organisation.



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## SUB-CRITERION 3d: INTERNAL COMMUNICATIONS

The organisation has effective processes for staff communication.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Communication between staff and management is informal and random. This generates disinformation and does not promote sharing of objectives and results in each work area. There are either no reports or, if there are reports, they are not shared. Some staff work in isolation, causing mistakes to be repeated.	There are channels of communication, but they are not connected. The responsibilities and accountability for managing these channels are vague. Information is diligently collected, but not distributed in all necessary directions. There are reports - many of which are shared horizontally, but not vertically.	There is a communication system using modern Information and Communication Technologies (ICT), complete with people who are responsible for making it work and for updating it. There is a programme of informative meetings at all levels. There are defined objectives, goals, deadlines, prerequisites of action, etc.	There is optimisation of work teams through systematic dialogue and communication; which in turn, allows experiences and best practises to be shared and improves the workplace environment. Ideas arise for ways to improve systems and forms of communication. Communication between staff and management is respectful and honest, and not strictly defined by the hierarchy.	The channels of communication facilitate creation of innovative proposals at all levels of the organisation, and promote visionary teams focused on continuous improvement. There is an internal and external assessment of innovative ideas, regardless of origination. The communication management model serves as a reference point for other organisation/ programmes.



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## **CRITERION 4: PARTNERSHIPS AND RESOURCES**

### **Definition of the Criterion**

Excellent organisations plan and manage external partnerships, suppliers and internal resources in order to support policy, strategy, and the effective operation of the organisation. During planning, and while managing partnerships and resources, they balance the current and future needs of the organisation, the institution as a whole, the wider community, and the environment.

## SUB-CRITERION 4a: EXTERNAL PARTNERSHIP MANAGEMENT

The organisation develops and manages its external partnerships (with other organisations, universities, public and private institutions, cooperation networks, etc.) to strengthen its activities.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The continuing education activity of the organisation is totally independent from the rest of the institution. There are no existing policies or strategies for the organisation to establish external partnerships. Existing partnerships are the result only of casual agreements.	The organisation has policies and strategies to establish external partnerships. However, these policies are not always in line with the strategic plan of the institution. No individual is specifically responsible for the development and implementation of policies and strategies.	External partnerships are systematically related to the policies and strategies of the organisation. Responsibility for the development and implementation of policies and strategies within the organisation has been assigned. There is passive participation in international networks.	Projects resulting from external partnerships are assessed to determine results, with regard to planned objectives and established goals of the organisation. These results are used within the organisation to improve procedures and existing activities. New partnerships are continually pursued.	Development projects are undertaken in collaboration with organisations in other institutions. Successful results of external partnerships make the organisation a prestigious international reference for other organisations seeking this type of cooperation.

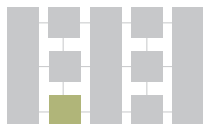


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## SUB-CRITERION 4b: ECONOMIC AND FINANCIAL MANAGEMENT

The organisation has developed its management of economic and financial resources, and processes, to strive for growth and sustainability.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The organisation relies on the sale of products without clear reference to any overall programme or budget. Management is based on a selection of business opportunities without specific budget criterion. Programmes and other learning services offered are those proposed by different, independent areas, which may or may not be successful.	There are established and defined programming and budgetary structures in place on a wider basis, but not for individual activities. There are overall financial goals for the organisation itself.	Policy is planned and defined annually. It includes the establishment of defined goals for all activities, including financial outcomes and a number of planned partnerships.	There is continuous assessment of the success in meeting internal goals and targets, and partnerships permitting reorganisation as required. Results are assessed to better develop projects and select strategic partners.	Additional projects are generated beyond the normal activities involving national and international institutions. The organisation is considered as a leading and strategic partner for other institutions, generating income to fund and develop innovative programmes.



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## SUB-CRITERION 4c: TECHNOLOGY MANAGEMENT

The integration of ICT serves the management, staff, operations, products, and learners of the organisation.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Staff in the organisation work with generic, unconsolidated technological solutions. Staff and teachers use their own applications, on their own initiative, and cannot share information between applications or between the staff. The organisation does not provide technological support to staff, teachers or learners. There are no standards for the exchange and systematisation of information.	The organisation has technological systems which partially facilitate financial, administrative and academic tasks. Some routines and processes are computerised. The organisation has ICT applications, and information on training activities is introduced with the help of ICT.	The organisation is equipped with appropriate technology to support management. The internal system is structured, and capable of exchanging information with no individual applications. All data gathered is transformed into information.	Internal processes of the organisation are monitored using appropriate ICT facilities. The organisation's users provide continuous improvements, which the information system incorporates as necessary.	Technology is used in an optimal, efficient way to meet customer needs. The quality of information is constantly improved. This facilitates the relationship between the organisation and the customer, and improves employee performance. The quality of all processes is fully controlled. The system is a benchmark for other organisations.



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## SUB-CRITERION 4d: INFORMATION AND KNOWLEDGE MANAGEMENT

The organisation collects and manages the information and knowledge of the continuing education sector to support its policies and strategy.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Some members of the organisation gather information about the status of continuing education. They also participate, in an informal way, in some activities of existing continuing education networks.	Documentation relevant to operational processes and management of continuing education is centralised in a specific place and available to staff.	There is a person responsible for the collection and study of relevant documents referring to CE management. The organisation has a website to inform staff, customers and different stakeholders.	All important publications regarding CE management are collected and well-organised in a retrievable fashion. World-renown experts in the field are identified. The web is user-friendly and interactive.	The organisation systematically supports appropriate organisations in continuing education at all levels, and actively participates in national and international networks for CE management. Systematic development on projects and benchmarking with other organisations of CE exists. Web is an important part of business operations.



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## **CRITERION 5: PROCESSES**

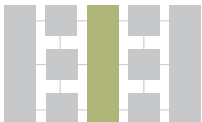
### **Definition of the Criterion**

Excellent organisations design, manage and improve processes in order to fully satisfy and generate increasing value for customers, staff and other stakeholders.

## SUB-CRITERION 5a: DEMAND ANALYSIS

The organisation identifies continuing education needs of individuals, companies and other stakeholders.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The organisation has little understanding of customer needs. The organisation's programmes and other services are offered on a trial-and-error basis.	The organisation occasionally uses customer surveys. Intuitive approaches to market needs and teachers' expertise on knowledge gaps and technology changes are usually used.	Regular surveys of market needs are used. There are informal contacts with employers to detect needs.	The organisation has systematic and well-structured customer surveys. Teachers' expertise on knowledge gaps and technology changes are systematically used. Technology, globalisation, and emerging trends are used to detect new needs. Former participants, employers and alumni are part of the periodic need revisions. Review of existing "programme history" is a fundamental tool to detect needs.	The organisation uses systematic market research that includes proactive anticipation of needs, as well as part of the need-analysis methodology. The organisation has established a trust relationship with its major customers (e.g., alumni, former participants and employers) to help understand, clarify and meet customers' needs. In addition, the organisation influences not only its customers, but also society and economic development of the region.



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## SUB-CRITERION 5b: PROGRAMME DESIGN AND DELIVERY

Programmes and other learning services are designed and delivered to meet customer needs.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The knowledge and training provided, and learning materials used, are limited. Customer needs are not well integrated or taken into account. Not all teachers have adequate qualifications.	The training and knowledge provided is unconsolidated and poorly updated. The programmes, other learning services, and delivery matters are isolated from each other. They are not integrated based on previous studies of the training needs of customers. The programme does not contemplate the inclusion or application of new information, and has no assessment and revision system in place.	The knowledge and learning materials are updated. The training offered meets the current needs of the customer, which are duly identified and analysed. There are staff members who are specialised in teaching. Training includes a plan for the learner's career activities.	Survey results from previous programmes and other learning services are used to redefine the design and delivery. Design and delivery are compared with that of other recognised training organisations. The programmes and other learning services form a part of a training and education itinerary, with maximum application possibilities. The itineraries are systematically updated.	The academic model provides the top available experts to impart knowledge and training, which meets the needs of customers. The design and delivery are updated and reviewed in real time and the "life" or obsolescence of the programme is considered. The design and delivery responds to a definition based on competencies and advanced teaching models.



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## SUB-CRITERION 5c: ANALYSIS OF THE COMPETITION

The organisation monitors the products and customers of its competitors.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The Director of the organisation has only intuitive information about what the competition is doing. There is limited awareness of the main players in the sector on an institutional level.	The organisation has collected some information regarding prices, financing options, qualifications and image of teachers, areas of activity, types of programmes, and other learning services offered by competitors. The organisation has some mechanisms in place to know the frequency with which competitors offer programmes and other learning services, and matriculation facilities and services they offer.	The organisation has a systematic process designed to collect information regarding competition. The organisation's management is aware of the organisational structure of all direct competitors. The modus operandi of the competition, its infrastructure, prices, and logistics are known through the processes indicated above.	The staff and management of the organisation share information regarding the competition. This information allows for realignment of the strategic plan, and is the base for the marketing strategy. Information is assessed systematically to generate an overview of the immediate market. The management is aware of the organisational culture of the competition, as well as complementary services offered.	The management of the organisation maintain personal, collaborative relationships with directors of other prestigious organisations in the market. This knowledge is due to the presence of the organisation in business associations. The management knows the international competitors with whom joint projects may be undertaken. The management attracts employees from the competition, which enhances the organisation's image. There is systematic information available of the competitors' customers, and the organisation participates in and contributes to international events.



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## SUB-CRITERION 5d: COMMUNICATION AND PROMOTION

The organisation uses marketing tools and processes to effectively promote its image and products and engage customers.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The head of each programme or learning service is responsible for marketing the activity him/herself. Each programme or learning service seeks an individual or standalone image within the institution.	The organisation carries out some communication for all its programmes and other learning services. In some cases, this is supported by flyers, websites, mailings, newsletters and media advertising.	The organisation has an established marketing plan according to the different programme characteristics, and a defined institutional image. Each type of programme or learning service has established and standardised advertising formats for promotion. There is a common institutional image for all products offered. The effectiveness and number of promotional tools is enhanced.	The organisation/ programme evaluates the results of its global marketing strategy for each action. This includes a systematic assessment of marketing tools employed. There is information available regarding the effectiveness of promotional means used, the channel of distribution for products, and the number of registrations acquired according to each promotional tool. The marketing plan is improved according to the results obtained.	The marketing plan includes external courses of action. There are surveys to identify the organisation's general image, customer preferences, and logo and brand recognition. The effectiveness and participation is assessed, and the number of invitations to participate in activities with other institutions is studied. The organisation has a solid corporate image, including a positive brand image which is recognised externally. Different interest groups associate the organisation with "quality".

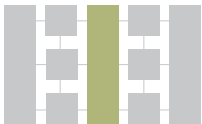


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## SUB-CRITERION 5e: INFRASTRUCTURE AND LOGISTICS

The organisation organises its logistical resources (such as web-based learning platforms, websites, classrooms, audiovisual equipment, academic materials, security, car parks, refreshments, etc) to be able to achieve quality, quantity, location, and management of programmes and other learning services.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Each learning service must find its classrooms, audio-visual materials, etc., to offer the programme or other learning service within the institution.	The organisation informs, assesses and coordinates the availability of logistical elements (such as classrooms, audio-visual equipment, etc.), and puts them at the disposal of the different programmes and other learning services.	There is a systematic process for the management of available resources and materials associated with each programme or learning service, including resource maintenance and renewal. Requests for classrooms and resources are programmed according to a defined, systematic, and verifiable procedure.	The management of the availability, maintenance and renovation of resources, and infrastructure for each programme or learning service is assessed. Measures are taken to optimise usage. There are established assessment mechanisms for the users of services provided by the organisation.	There are established cooperative links with other organisations, units or suppliers to optimise the resources and services associated with logistics. The resources and services of the organisations, and their management model, are considered a model by other organisations. There is an established review of the effectiveness of resources and services offered by the organisation.

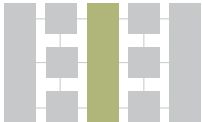


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## SUB-CRITERION 5f: ADMINISTRATIVE AND FINANCIAL MANAGEMENT

The organisation is equipped with an efficient, effective system for administrative and financial management.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Each activity is administratively and financially separate and individual. The requirements and responsibilities vary over time. The management of accounts payable and receivable is the responsibility of the programme coordinator.	The institution has planned procedures for internal management. Administrative and financial systems are partially implemented. However, the organisation's different support services, including customer service, are not systematically arranged.	All administrative and financial tasks are defined, systemised and procedural. The procedures are public, clear and verifiable. There is a person responsible for each administrative and technical procedure. Budgeting and accounts management are defined through common procedures and known throughout the organisation.	Indicators have been established to assess and improve the administrative and financial procedures in place. Indicators are structured to measure the satisfaction of customers and interested parties regarding administrative and financial services. The terms for registration and accounts payable and receivable are continuously assessed and reviewed to systemise improvements.	The organisation is continuously involved in the improvement of its procedures and processes. It voluntarily submits to external auditing of its management systems. The organisation receives requests from managers of other similar organisations to compare and improve their internal procedures. Its practises are considered as the best in its immediate area. The management system is a model when compared to that of other institutions.

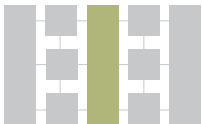


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## SUB-CRITERION 5g: QUALITY CONTROL

Customer satisfaction is assessed for effectiveness in all fundamental areas involved in the service (teaching, infrastructure, and administrative services associated with the programme or learning services). Impact of the programmes on learners, employers, and others are measured, monitored, and affect programme decisions.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The monitoring of customer satisfaction depends on the individual initiative of the programme director or coordinator. The teachers carry out a survey at the end of the programme on their own initiative. Results possess little relevance to improving quality.	There is a single questionnaire for the institution. The institution norms suggest the use of a common model. Responsibility for the survey's execution and management of the results depends on the coordinator of the programme or learning service. Processing and diffusion of the results are the responsibility of the coordinators.	The institution has a centralised assessment process which is systematic and obligatory. Minimum criteria are defined for training quality. Results are sent to coordinators and teachers to be used according to those criteria. Information is centralised to be presented to the governing board. Should any results need improvement, the institution takes ad hoc measures to resolve issues which may arise.	Overall results allow comparisons to be made and anomalies to be detected. Results of the individual assessment of programmes and courses are used to effect changes to improve the quality of subsequent programmes and courses. The programme design is updated systematically based on customer satisfaction information. The organisation is technically responsible for the assessment and improvement of courses using the results of the assessments. A programme which does not improve its assessment is removed from the catalogue.	There is an integral assessment model (pre, during and past). There is continuous improvement throughout the programmes and other learning services. The utility of the knowledge and skills imported is monitored for possible updating. Assessment results are made public. At the beginning of courses, learners are asked for their expectations of the programme or course. At the end of the activity, there a survey, and the initial test is repeated to determine whether learner expectations are met. External experts assess the quality of the documentation.



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## SUB-CRITERION 5h: CERTIFICATION

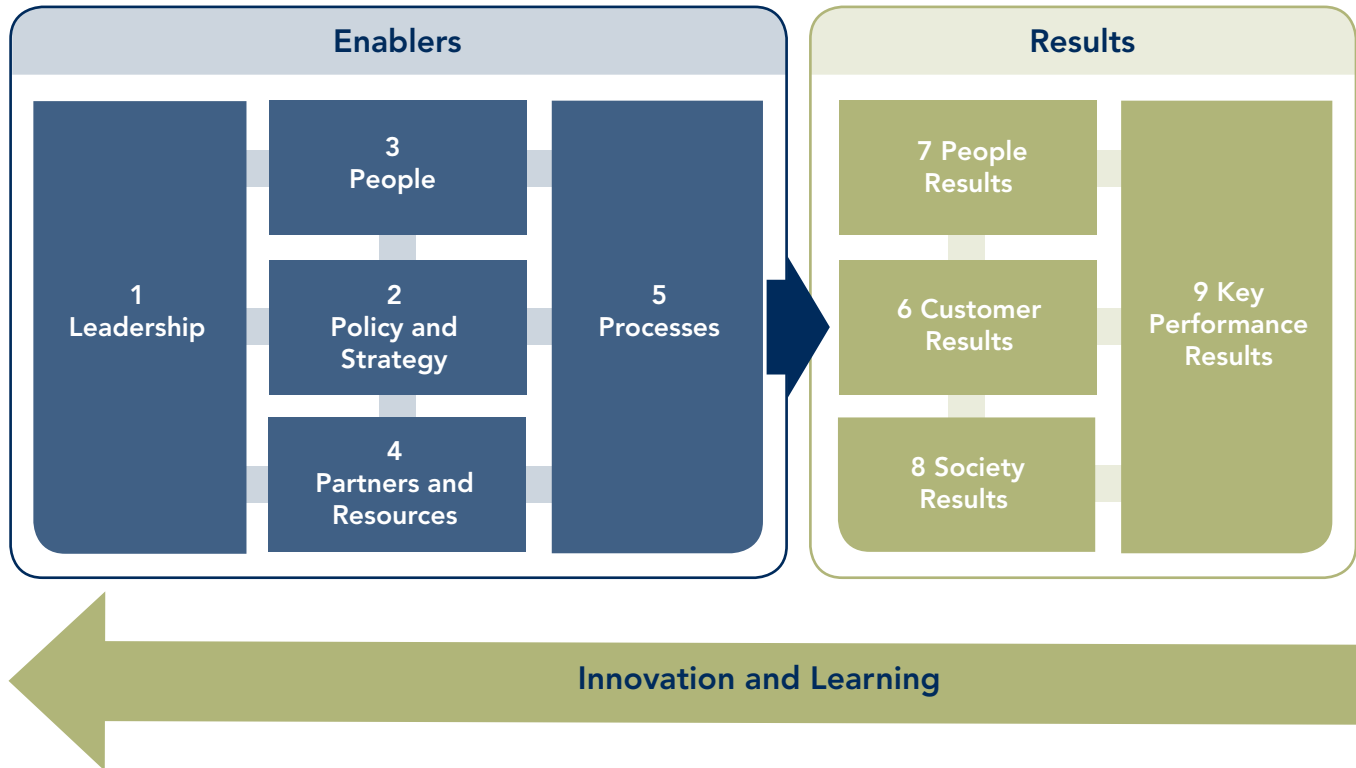
The organisation has the authority to provide recognised certification of learning such as degrees and certificates. Where there is an institutional, professional or governmental system for recognising learning achievements with credentials (such as certificates, diplomas, degrees or professional certifications), the organisation/institution has autonomy to meet the criteria to be able to award such credentials.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The organisation does not have the authority to issue certificates, diplomas or degrees. All programme participants receive a certificate. The certificate does not ensure the acquisition of the competencies to be learned. The institution has an external image indicating that certificates are easy to obtain.	The organisation does not have the authority to issue certificates, diplomas or degrees. Certification depends exclusively on the criteria of the teacher giving the programme. There is no formal assessment of the learners. Assessment depends on the opinion of the teacher. The design of the programme or learning services includes an attempt to assure the acquisition of the proposed skills.	The organisation is authorized to offer certificates, diplomas and/or degrees. The certification received assures acquisition of the proposed skills. The programme design is based on the competencies of the course or degree. There is a formal and verifiable procedure to monitor minimum attendance in order to sit for the final examination. There is a final assessment to verify of the acquisition of knowledge and skills by each participant.	The organisation is authorized to offer certificates, diplomas and/or degrees. The knowledge assessment systems and participation monitoring systems are defined by clear and public procedures, subject to constant review and updating. The certified skills are compared to the needs of the market, and are systematically reformulated based on detection of new needs and requirements.	The organisation is authorized to offer certificates, diplomas and/or degrees. The certification guarantees the highest degree of learning of the knowledge and skills. Participants have undergone strict controls in acquiring skills. There is an exhaustive assessment system of the knowledge acquired. It is also validated by the top validating institutions in the world. The obtained certificate should be reconfirmed after a period of time.



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# Results



The EFQM Model 2003 (© European Foundation for Quality Management)

From Criterion 6 onward, the focus of the assessment shifts from Enablers to Results. In the Results criteria, we measure perceptions such as what our staff, citizens, customers and society think of us. We also have internal performance indicators to show how we are doing against targets previously established

(e.g. the outcomes). The assessment of results requires a different set of responses, so the responses from this point onwards are based on the Results Assessment Panel (see CAF scoring and Assessment panels).



## **CRITERION 6: CUSTOMER ORIENTED RESULTS**

### **Definition of the Criterion**

Excellent organisations comprehensively measure and achieve outstanding results with respect to their customers.

### **Key Implications**

Elements include creating sustainable customer value, increasing customers' income, and helping learners to develop and expand skills and competencies.

## SUB-CRITERION 6a: PROGRAMME CONTENT AND PROGRAMME CREATION

Customers are highly satisfied with the organisation's programme content, in terms of job placement, job advancement, learning retention, knowledge transfer, and impact on the learner's employment and their employer's enhancement.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Uniform measures of course and programme satisfaction are not gathered.	Uniform instruments and processes are utilized to measure customer satisfaction. Educational course and programme content is administered immediately after the learning and results indicate dissatisfaction.	Positive results are obtained from the measures.	Customer satisfaction is positively correlated in long-term measures.	Employers give high recognition to learners who have completed the organisation's programmes. Programme content is highly sought after and is a model for others.



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## SUB-CRITERION 6b: PROGRAMME DELIVERY

Customers are highly satisfied with the educational product delivery, from the instructor to the students. This includes: faculty teaching evaluations, course organisation, appropriate pedagogy, course materials (textbook, speaker notes, access to online materials/discussion groups, etc.), and technology (e.g., classroom projection, access to course materials to those with disabilities, outside-the-classroom learning facilitation, and interfaces and support that are user centric).

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
No information is gathered regarding the delivery of education.	Consistent measures of programme delivery are gathered and customers show dissatisfaction with current methods.	Collected measures show satisfaction with the programme delivery.	Collected measures show a high level of satisfaction with programme delivery. The organisation is creating new methods for programme delivery that are developed for the target audience(s).	The programme delivery methods, and the way the delivery methods are evaluated, are being emulated by others.



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## SUB-CRITERION 6c: LEARNER SUPPORT SERVICES

The organisation has high-level learner services that significantly contribute to the learning experience and the transfer of knowledge into the workplace (e.g., enrolment advising, employer/job placement, career advising, helpdesk activities, etc.).

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The organisation does not provide learner support services.	The organisation provides informal and ad hoc responses to learner inquiries regarding services.	The organisation has a few formalised learner support services.	The organisation has learner support services and dedicated staff for handling learner concerns. Staff members help learners achieve their learning objectives through the organisation's programmes.	The organisation's learner support services, and their quality, are emulated by other organisations.



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## SUB-CRITERION 6d: LEARNING ENVIRONMENT

The organisation provides a learning environment that easily facilitates and encourages lifelong learning.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The organisation does not have set facility or technological standards that must be met to ensure quality of the learning environment for its programmes.	The organisation collects data regarding learners' satisfaction with the learning environment, but the data shows dissatisfaction.	The organisation collects data regarding the learners' satisfaction with the learning environment, and the data shows high-level satisfaction.	The organisation tightly integrates multiple learning environments (e.g., adding appropriate technology to space) to facilitate a rich learning environment.	The learning environment used and selected by the organisation meets international standards appropriate for the mode of programme delivery (face to face, online, etc.).



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## SUB-CRITERION 6e: LOGISTICAL SUPPORT FOR PROGRAMMES

The organisation provides processes that facilitate setup, enrolment, learner history, and credentialing for its programmes.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Measurements of customer satisfaction are not gathered.	Measurements of customer satisfaction with the organisation's support for programmes are gathered, but show unsatisfactory results.	Measurements of customer satisfaction with the organisation's support for programmes are gathered, and show a high level of satisfaction.	Customer satisfaction with logistical support for programmes demonstrates the creation of new and unique support processes.	Processes for operating educational programmes and measures of their performance are models that others are emulating.



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## SUB-CRITERION 6f: CUSTOMER SERVICE

The organisation has processes to measure the educational experiences of customers in the programme through all phases of the organisation's processes, including: recruitment, registration, assistance while in attendance at learning activities, programme retention, and job placement. (Measurements might include response times to return contact to the learner, proactive guidance to the learner despite not being requested, etc.)

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Measurements regarding customer experiences are not gathered.	Measurements of customer experiences are gathered, but show unsatisfactory levels of feedback regarding interactions with staff.	Measurements of customer experiences are gathered, and show high satisfaction levels regarding interactions with the organisation's staff.	Customer service is embedded in all levels of the organisation and with all staff.	The organisation's customer service attitudes, techniques and processes serve as models that others are emulating.



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## CRITERION 7: STAFF ORIENTED RESULTS

### Definition of the Criterion

Excellent organisations comprehensively measure and achieve outstanding results with respect to their employees.

### Key Implications

Staff of the organisation is defined as all employees and others who directly or indirectly serve customers.

These CRITERIA should address the results of the work and satisfaction of all those within the organisation. They should also link to the human resource management criteria.

External constraints will often limit the organisation's freedom in this area. Those constraints, and the organisation's efforts to influence them, should be clearly presented. Measurement should focus on the areas over which the organisation has freedom to act.

It is important for all kinds of organisations to directly record results concerning the employees' images of: the organisation and its mission; the working environment; the organisation's management and management systems; career development; the development of personal skills; and the products and services the organisation provides.

Organisations typically use employee surveys to record satisfaction, but they may also use other or complementary tools (such as focus groups).

Organisations also have a range of possible internal indicators through which they can measure results achieved with the employees of the organisation in relation to: their satisfaction, their performance, the development of skills, their motivation, and their involvement in the organisation.

**Assessment:** Consider evidence of results relating to the staff of the organisation.



## SUB-CRITERION 7a: STAFF SATISFACTION

Staff members of the organisation consistently exhibit satisfaction with their employment in the organisation, as well as with their specific roles and responsibilities. They are consistently satisfied with support that management provides regarding motivation, recognition, training, atmosphere, health, etc.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Staff satisfaction is not measured and/or no information is available.	Staff satisfaction is measured and shows negative trends and/or results that do not meet relevant targets.	Staff satisfaction shows improving trends and/or most relevant targets are met.	Staff satisfaction shows substantial progress and/or all relevant targets are met.	Staff satisfaction is excellent and sustained results are achieved. All relevant targets are met. Positive comparisons with relevant organisations for all key results are made.



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## SUB-CRITERION 7b: QUALITY OF STAFF

The organisation has the staff to respond to customers productively and efficiently. The organisation's staff members are measured through performance evaluations, feedback from customers, and contributions to organisation goals.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Quality of the staff is not measured.	The performance of the staff is below average and there is evidence that the majority of staff do not support the organisation's goals.	The performance of the majority of staff members meets minimum requirements of their positions.	The performance of the majority of staff members is above the expected level, and the staff collaborates effectively to achieve the organisation's goals.	The staff of the organisation serves as a model for other organisations. They operate at a highly-effective work level based on collaboration, knowledge sharing and team learning, regularly exceeding the expectations of their positions, and consistently achieving the organisation's goals.



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## CRITERION 8: SOCIETY ORIENTED RESULTS

### Definition of the Criterion

Excellent organisations comprehensively measure and achieve outstanding results with respect to society.

### Key Implications

Many organisations have an impact on society through the very nature of their primary business. The results of these core activities will be presented in the customer satisfaction and business results criteria.

This CRITERION will measure the organisation's impact on society outside its primary business or statutory mandate.

These measures cover both measures of perception and, where available, quantitative indicators.

**Assessment:** Consider what the organisation is achieving in respect of impact on society, with reference to the needs of society.

## SUB-CRITERION 8a: IMAGE

The organisation's visibility, engagement and reputation are recognised as a result of its programmes, other activities, and the role of its personnel in society.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
There is no recognition or image of the organisation.	There is some recognition or image of the organisation. The image of the organisation is good in industry and government, and both industry and government entities occasionally seek the advice of staff in the organisation.	The image of the organisation is good in all fields. The staff of the organisation participate in many collaborative development activities in society.	The organisation influences the development policies of society.	The image of the organisation is very good as an initiator of important developments in society.



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## SUB-CRITERION 8b: SOCIAL RESPONSIBILITY

As part of its routine activities, the organisation takes a proactive role in developing socially-oriented awareness, and practical activities which are relevant to its own staff and the external community.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
Social responsibility is not recognised as a part of the work and role of the organisation.	There is some social responsibility recognised in the work and role of the organisation.	Social responsibility is recognised as part of the work and role of the organisation.	Social responsibility is recognised as a vital part of the work and role of the organisation. The organisation is often involved in development of society.	The organisation is very good as an initiator of important developments in society.



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## SUB-CRITERION 8c: IMPACT

The organisation has a positive impact on stakeholders within local, regional, national, and international communities.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
No impact.	Some impact.	Moderate impact.	Consistent impact. There is significant impact on several activity fields.	The organisation is a recognised developer and initiator of concepts, and models how the University serves society.



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## SUB-CRITERION 8d: SUSTAINABILITY

The organisation demonstrates environmental awareness by being proactive in sustainability, reducing its own energy consumption and waste, and including environmental education as part of its programmes.

Definition of Levels				
LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Quality depends solely on the individual (no processes)	Process awakening (basic processes)	Vision through processes, professionalisation and a guarantee of quality (intermediate processes)	Systematic assessment and improvement of processes (sophisticated processes)	Aiming for external excellence (excellent processes)
The organisation has no environmental or sustainability awareness.	Some environmental and sustainability awareness. Some active individuals on staff involved in sustainability activities.	Sustainability is a part of the organisation's processes and programmes.	The organisation has received awards and/or certification stating that it meets sustainability requirements.	The organisation is a recognised developer and initiator of concepts and models in sustainability.



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## CRITERION 9: KEY PERFORMANCE RESULTS

### Definition of the Criterion

Excellent organisations comprehensively measure and achieve outstanding results with respect to key elements of their policy.

### Key Implications

The organisation achieves beneficial outcomes in relation to its mandate and specified objectives, satisfying needs and expectations of stakeholders or those with a financial interest. The organisation uses at least three years of previous data to define the trend.

Key performance results relate to essential, measurable achievements for the success of the organisation in the short and longer term. Key performance results are measures of the effectiveness and efficiency of service, product and goal delivery. These measures will be both financial and non-financial, and many will be closely linked to strategy and planning (CRITERION 2) and critical processes (CRITERION 5).

Results relate to measurement of the organisation's performance, with regard to achievement of goals, the outcomes of key activities (effectiveness), and the internal functioning of the organisation. Furthermore, they involve measurements of the performance of the organisation in making rational and economic use of its financial resources (economy).



## SUB-CRITERION 9a: FINANCIAL

For this section, identify five key financial performance indicators which are used to measure your organisation's success and are most important to your overall strategy. Write those indicators into the boxes in the column labelled "Key Financial Results".

Possible examples of financial indicators include:

- Revenue per student learning hour
- Revenue per learner contact hour
- Revenue per staff member
- Annual surplus generated by the organisation
- Annual surplus generated by the organisation per staff member

Your average score will be the average of all the scores recorded for your key financial results.

Key Financial Results	1	2	3	4	5
	Results are not measured and/or no information is available.	Results are measured and show negative trends and/or results do not meet relevant targets.	Results show improving trends and/or most relevant targets are met.	Results show substantial progress and / or all relevant targets are met.	Excellent and sustained results are achieved. All relevant targets are met. Positive comparisons with relevant organisations for all key results are made.
1.					
2.					
3.					
4.					
5.					



Self Assessment Date
/ /
Average Score

## SUB-CRITERION 9b: ACADEMIC

For this section, identify five key academic or programmatic performance indicators which are used to measure your organisation's success and are most important to your overall strategy. Write those indicators into the boxes in the column labelled "Key Academic Results". Possible academic indicators include:

- Total number of student learning hours
- Number of student learning hours per staff members
- Number of awarded diplomas or certificates
- Completion rate (average for all programmes)
- Number of papers or conference contributions, books, research reports, etc.

Your average score will be the average of all the scores recorded for your key academic results.

Key Academic Results	1	2	3	4	5
	Results are not measured and/or no information is available.	Results are measured and show negative trends and/or results do not meet relevant targets.	Results show improving trends and/or most relevant targets are met.	Results show substantial progress and / or all relevant targets are met.	Excellent and sustained results are achieved. All relevant targets are met. Positive comparisons with relevant organisations for all key results are made.
1.					
2.					
3.					
4.					
5.					



Self Assessment Date
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Average Score

## SUB-CRITERION 9c: QUALITY

For this section, the answer to each question is a Yes (1 point) or No (0 points). The number of points of this Sub-criterion corresponds to the sum of the scores of questions from 1 to 5.

	Quality Indicators	No	Yes
1	Are there overall metrics for the quality of the organisation's activities which are used for improvement (as perceived by learners, not just by the management)?		
2	Does the organisation benchmark its activities against others?		
3	Does the organisation create new developments in knowledge transfer and innovation?		
4	Are there new activities undertaken each year above 10% of the total activities?		
5	Are the programmes regularly audited externally as part of the organisation's activities, both from the academic and business perspectives?		



Self Assessment Date
/ /
Total Score

# SCORE SUMMARY

Organisation Name \_\_\_\_\_

CE Centre/Institute/Programme Name \_\_\_\_\_

Fiscal Year

Start \_\_\_\_\_ End \_\_\_\_\_

Contact person \_\_\_\_\_

Email \_\_\_\_\_

Date \_\_\_\_\_


Answers Correspond to Fiscal Year

\_\_\_\_\_ to \_\_\_\_\_

## Enablers


### CRITERION 1 Level 1 Level 2 Level 3 Level 4 Level 5

#### Leadership

	1a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	1b	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	1c	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	1d	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>


### CRITERION 2 Level 1 Level 2 Level 3 Level 4 Level 5

#### Policy and Strategy

	2a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	2b	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	2c	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	2d	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>


### CRITERION 3 Level 1 Level 2 Level 3 Level 4 Level 5

#### People

	3a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	3b	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	3c	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	3d	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>


### CRITERION 4 Level 1 Level 2 Level 3 Level 4 Level 5

#### Partnerships and Resources

	4a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4b	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4c	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4d	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### CRITERION 5 Level 1 Level 2 Level 3 Level 4 Level 5


#### Processes

	5a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5b	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5c	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5d	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5e	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5f	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5g	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5h	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

# RESULTS

## CRITERION 6 Level 1 Level 2 Level 3 Level 4 Level 5

Customer Oriented Results

	6a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	6b	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	6c	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	6d	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	6e	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	6f	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>


## CRITERION 7 Level 1 Level 2 Level 3 Level 4 Level 5

Staff Oriented Results

	7a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	7b	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>


## CRITERION 8 Level 1 Level 2 Level 3 Level 4 Level 5

Society Oriented Results

	8a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	8b	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	8c	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	8d	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## CRITERION 9 Level 1 Level 2 Level 3 Level 4 Level 5

Key Performance Results

Average Score	1	2	3	4	5	
	9a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	9b	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Total Score</b>	1	2	3	4	5	
9c	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

✓Check the box corresponding to total score.

# FEEDBACK

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