

# OCAT-toolbox

## Organizational Capacity Assessment Tool for Ethiopian Universities

**MSM**

MAASTRICHT  
SCHOOL OF  
MANAGEMENT



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## 1. INTRODUCTION

In recent years, enrollments in Ethiopian higher education have increased substantially. Also, for the years to come, additional increases are foreseen by means of growth of existing higher education institutions and by means of erecting new universities. Most Ethiopian university organizations are rather young and still in the process of development, both quantitatively and qualitatively. In realizing these objectives, leadership and management are crucially important.

The Dutch funded University Leadership and Management Capacity Development project aims to support the Education Strategy Centre (ESC) and 11 New Public Universities in strengthening leadership and management by means of trainings and other interventions. The OCAT project was set up as an activity under the umbrella of the overall project. It had the objective to develop a tool to provide management with information on university capacity and capacity gaps. The tool should be able to support university management decision making, specifically in the area of organizational improvements. A second objective of the OCAT project related to enhancement of university research capacity; in developing the OCAT an applied research approach was used, more specifically a design oriented research approach.

The OCAT project was approved by the University Presidents meeting in Addis Ababa in 2013. Initially, Maastricht School of Management and three Ethiopian New Public Universities participated in the project group. Unfortunately, Woilata Sodo University had to step out of the project. Both Aksum University and Jigjiga University participated in the OCAT project from the beginning till the end.

This document introduces the OCAT to Ethiopian New Public Universities and provides them and other universities with information on how to use the tool in their universities. It is structured as follows. The next chapter explains briefly the concept of organizational capacity assessment and its relevance for management. Chapter three highlights the functions of OCAT at both the university and the national level. In chapter four the process of OCAT development is explained and chapter five shows the model that was used to describe and break down capacity. The questionnaires used in OCAT are introduced in chapter six. This is followed by some suggestions on how to use OCAT in chapter seven. The last chapter concludes and gives some recommendations.

## 2. ORGANIZATIONAL CAPACITY ASSESSMENT

### Introduction

OCAT is a tool for university organizational capacity assessment. This chapter introduces the concept organizational capacity and its relevance for management. The paragraph ends with a description of how organizational capacity assessment works.

### Conceptualizing university organizational capacity

University organizational capacity can be described as the competence of a university to deliver up on its promises, to accomplish mission and realize aspirations. University capacity results from the combined functioning of university resources (such as human, intellectual, financial, physical and infrastructural) and other university parameters (such as structure, culture, processes, management and leadership). University capacity is a characteristic of universities that is related to university performance: a higher level of performance requires a higher level of capacity and lack of capacity leads to underperformance and low results. As such university capacity can be conceptualized as intermediate between organizational parameters and resources on the one side and organizational performance on the other side. Not only university parameters and resources influence university capacity. Universities function as part of a larger national higher education system including objectives, policies, laws, rules, budget available, funding mechanisms, national councils and so on. These higher education system characteristics also influence university organizational capacity. Furthermore, university specific circumstances (such as location and history) may influence university organizational capacity. Figure 2.1 summarizes the concepts and relations surrounding organizational capacity.

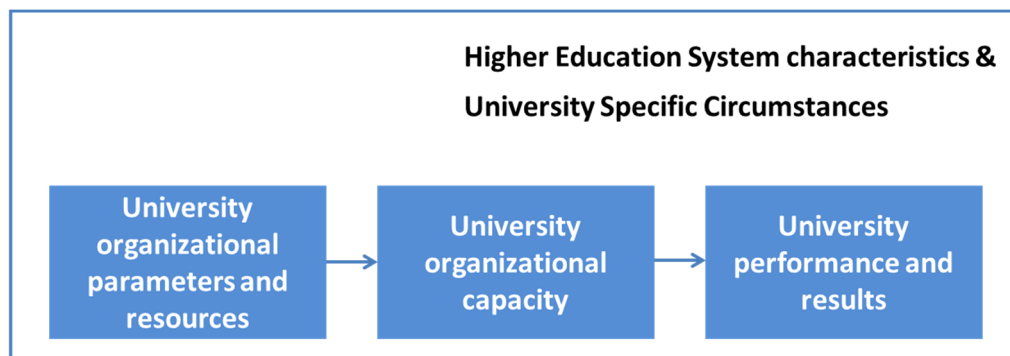


Figure 2.1 University organizational capacity and relation with relevant concepts

## **University organizational capacity and relevance for management**

Organizational capacity is a dynamic characteristic of universities. That means that organizational capacity can vary across universities; university A can have a higher level of capacity than university B. It also means that the capacity of a given university can change over time; the capacity today can be higher or lower than the capacity last year. University management can influence the level of organizational capacity by means of investments and interventions, the so-called planned change of planned capacity development initiatives. As such, knowledge on the level of university capacity is relevant for management for various reasons. First, information on the actual state of university capacity helps to identify capacity gaps and to improve decision making on planned capacity development actions and investments. Second, by repeat measurement of organizational capacity, management can identify the impact of planned capacity development actions and learn about effectiveness of planned change. And third, benchmarking organizational capacity levels among various universities informs on the relative position and what can be learned from other universities. In order to inform university management on the actual level of organizational capacity, a process of organizational capacity assessment needs to be set up in which an instrument or tool for capacity assessment is used.

## **Organizational capacity assessment**

Following Simister and Smith (see resource list in the annexes) most of the OCAT's work is in a similar four-step way. First, it is required to break down the broad concept organizational capacity into a framework of manageable areas, the so-called capacity dimensions. These dimensions are further divided into sub-dimensions and indicators of organizational capacity. The process of breaking down capacity assumes an underlying model of capacity and its constituting elements. However, no standard or widely accepted model exists for the breakdown of capacity, although at a higher conceptual level, most models include similar aspects. The model underlying the OCAT for Ethiopian New Public Universities is described in chapter five and includes nine capacity areas:

- Education
- Research
- Community Services
- Human Resources Management
- Student Management
- Facilities & Infrastructure
- Leadership

- Planning & Control
- Organization & Systems

The second step in the OCAT process involves the development of a ranking or rating system. Basically, this involves deciding on more subjective interval scales for measuring capacity (such as Likert scales) or on more objective ordinal scales (making use of pre-defined answering options). The third step focuses on how data is collected and who is involved. Numerous options are available here ranging from e.g. use of focus groups with top management to surveys involving staff and students. The last steps in organizational capacity assessment involve the actual collection and analysis and the use of results by management. Before describing how OCAT was developed in chapter four, the next chapter will inform on how OCAT results can be used.



### **3. OCAT FUNCTIONS**

#### **Introduction**

OCAT provides information on universities organizational capacity. This chapter indicates possible uses of the OCAT results at the intra-university level, the inter-university level and the national higher education system level. The OCAT results mainly aim to contribute to university and higher education's system improvements and learning but also might be used, with caution, for external accountability.

#### **Improvement and learning at the university level**

At the university level OCAT results can be used in various ways in university policy making and policy evaluation. First, OCAT results identify university capacity gaps and as such provide input for preparing improvement plans. In planning for improvements performance targets can be used and repeat measurement of university capacity helps to identify the impact and effectiveness of interventions thereby contributing to organizational learning. Furthermore, by using OCAT at the level of colleges and comparing and analyzing college results, the university can identify best practices that also contribute to organizational learning. Also, OCAT results can help university management in communicating about capacity gaps and improvement plans. Finally, the results of OCAT identify university strengths and weaknesses that can be used in the university strategic BSC planning processes.

#### **Learning from other universities**

University benchmarking is a process in which process and performance of universities are compared. Comparing and analysing OCAT results of two or more universities identifies differences in capacity levels. Further analysis and discussion can help to find out about differences in processes and approaches that contribute to improved university capacity. As such, the use of OCAT results between universities also contributes to improvement and learning.

#### **Improvement and learning at the national higher education system level**

Also at the national level OCAT results may contribute to higher education policy making and policy evaluation. By aggregation of findings from various universities, national capacity gaps can be identified for which interventions at the national level might be the most appropriate. Repeat measurement helps to identify the impact of policies and interventions.

### **OCAT results and HERQA institutional audit**

Public universities are accountable for quality and relevance of their activities. In this respect, the Ethiopian Higher Education Quality and Relevance Agency (HERQA) controls university quality by means of institutional quality audits. Each quality audit starts with an institutional self-evaluation process in which the university is requested to reflect on quality, processes and resources. In this process of self-evaluation OCAT results can be used as input.

### **OCAT and external accountability at the national higher education system level**

The main focus of OCAT is on learning and improvement. But results of OCAT can also be used for external accountability e.g. in planning and evaluating performance contracts between Ministry of Education and the universities. However, it has to be stressed that strengthening the external accountability function of OCAT results holds a risk towards its learning and improvement function.

## 4. OCAT DEVELOPMENT

### Introduction

This chapter describes how OCAT was developed by the OCAT project team. After introducing the overall approach in the next paragraph, the chapter briefly describes each activity in the development process.

### Design oriented research approach

OCAT was designed and developed making use of existing literature and expert knowledge on organizational capacity in general and university capacity specifically. This was combined with a six-step design-oriented research approach in which design decisions are supported by results from empirical (practice oriented) research. Three studies were done to support OCAT development. Figure 4.1 summarizes the approach in OCAT development.

More about the design-oriented research approach can be read in Verschuren and Hartog (see resource list in the annexes).

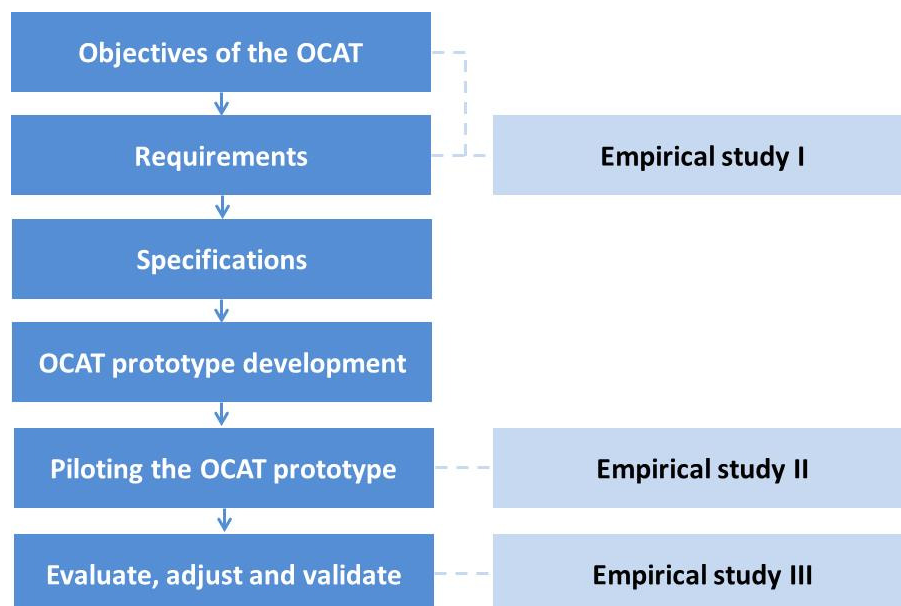


Figure 4.1 Approach in OCAT development

### **Objectives and empirical study I**

The first step in OCAT design was about identifying objectives. Following the meeting with university presidents in Addis Ababa in April 2013, the objectives of the OCAT were tentatively described by the project team and tested in the first empirical study by means of semi-structured interviews with 17 Ethiopian New Public University management representatives. Objectives and functions are described in chapter three.

### **Requirements and empirical study I**

After identification of objectives, requirements to be fulfilled by the OCAT were defined. This was done by means of expert knowledge and literature review. Furthermore, empirical study I supported in finding out about management perspectives on user requirements by means of semi-structured interviews with 17 Ethiopian New Public University management representatives. Questions asked in the interview referred to expected and required OCAT characteristics, such as content and the use of objective and subjective indicators. Questions also referred to what sources to use for data-collection.

### **Specifications and OCAT prototype development**

Defining the specifications is about listing characteristics, aspects and parts the OCAT must have in order to fulfill requirements and assumptions. As indicated above, this requires decision making on how to break down capacity into manageable areas and indicators and on how and where to collect data. Based on literature and expert knowledge a university capacity framework was developed for OCAT consisting of nine capacity areas. Each capacity area was further divided into sub dimensions and indicators, also taking into account specific user requirements resulting from the empirical research. For a description of the university capacity framework underlying the OCAT, see chapter five.

User requirements as obtained in the first empirical clearly indicated the need to measure university capacity from various stakeholders' perspectives. Not only management, but also internal stakeholders (staff and students) and external stakeholders (such as beneficiaries of research and community service, graduates, employers, university partners, and ministries) should be used as a source of information in order to triangulate information and perspectives from various sources. However, due to limitations in available time and resources and in access to stakeholders, it was decided to concentrate on internal university stakeholders and to include management, students, academic staff and administrative staff in the OCAT and to develop questionnaires for each of these groups. Therefore, the prototype OCAT was made up of four questionnaires for each group of stakeholders and as such represents the first realization

of the OCAT ready for testing in an empirical setting. More information on the questionnaires can be found in chapter six and in the annexes.

### **Piloting the prototype and empirical study II**

In this stage the OCAT prototype was put into practice and piloted in 2 Ethiopian New Public Universities. In testing the prototype data on organizational capacity were gathered using the questionnaires for management, students, academic staff and administrative staff. This empirical research also provided the management of the university with information on organizational capacity.

### **Evaluation and empirical study III**

The third empirical study was used to evaluate the OCAT by means of semi –structured interviews among university project teams and management participating in the pilot. Based on the results of the evaluation some minor adjustments were made to the tool. The results of the evaluation study are included in the conclusions and recommendations session at the end of this document.

### **Validation**

The OCAT was validated by means on an OCAT workshop at the end of the project with participants from the New Public Universities. The results of the validation workshop are included in the conclusions and recommendations session at the end of this document.

## 5. FRAMEWORK UNIVERSITY CAPACITY

### Introduction

This paragraph first describes the framework used to break down university capacity into nine manageable areas and briefly elaborates on each area. This is followed by the breakdown of each area into a number of sub-categories. The paragraph ends with a brief description of the theoretical perspective underlying the university capacity framework used in OCAT.

### Nine capacity areas

The OCAT framework for university capacity consists of nine areas of capacity grouped into three categories. The first category of capacity refers to the operational process in the university: education, research and community service. These are the core processes and core capacity areas in the university that directly contribute to university performance and results. The second category consists of capacity areas and processes supporting the operational processes. Capacity in the management of students, staff and facilities directly impacts on the operational process and capacity and thereby indirectly influences university performance. Finally, the third category is made up of capacity related to leadership, management and organization. These areas relate to the capacity to steer, lead and develop the university, both in the operational capacity areas and in the supporting capacity areas. Figure 5.1 depicts the nine capacity areas grouped into three categories and the relationships between the categories.

### *Leadership*

Leadership is about presenting inspiring ambitions for the future of the university, its role in society and creating commitment in the organization. Leadership is crucial in realizing change and development to prepare the university organization for the new perspective. The capacity area leadership deals with aspects such as university mission, vision, overarching goals, inspiration and institutional transformation.



Figure 5.1 University capacity framework

### *Planning & Control*

Planning & Control is about realizing the future perspective. Strategic planning and strategy formulation are managerial instruments to translate the vision and the goals into concrete plans for action with involvement of others in the university. Performance management supports in planning and monitoring progress. Strategic plans are supported by financial plans and further cascaded down into operational plans for short term planning of operational and supporting activities in the university.

### *Organization & Systems*

The broad capacity area Organization & Systems looks into organizational characteristics and systems and how these relate to university ambitions and strategy; the university organization in fact is the 'instrument' to realize university aspirations. This capacity area therefore takes into account the extent to which university culture embraces quality, performance and openness to the outside world. It also looks into how university decisions are made and communicated. Furthermore, aspects such as university structure, internal communication and external relationships of the university are part of this capacity area.

### *Education*

National Ethiopian ambitions for higher education have been and will remain ambitious, aimed at preparing growing number of student adequately for the labor market or for self-employment. The capacity area education looks into aspects of education contributing to the quality of education. It looks into the quantitative results of education such as enrollments, graduates, graduation rates and attrition rates at bachelor and master level. It also looks extensively into qualitative aspects such as education strategy and aspirations and program curricula (including program objectives, course outlines and curriculum innovation). The capacity area also asks for assessment of capacity in teaching and assessment of students' learning. Finally, it covers internal quality assurance and labor market involvement and relevance of educational programs.

### *Research*

Research is one among triple mandates of Ethiopian higher education institutions. Research is expected to support the socio-economic development of the country besides to contributing to enhanced quality of education. Research capacity addresses both quantitative and qualitative results of research undertakings. The quantitative aspects of research capacity include number of academic staff involved, percentage of academic staff involved, research funding per academic staff, number of research publications, average number of research publications per academic staff and number of research grants. This also looks at qualitative aspects such as research aspiration, research strategy, research agenda, research culture, research organization structure, research planning and monitoring, research funding and resources.

### *Community Services*

Community services represent the third mandate of Ethiopian Universities. Capacity aspects of community services are gauged both by quantitative and qualitative measures. The quantitative results of community services include; number of academic staff involved in community services, percentage of academic staff involved in community services, number of organizations served by the community services of the university and number of beneficiaries of the community service. Community service also looks at qualitative results such as community service aspiration and strategy, education and students' involvement, research involvement and additional community services.



### *Human Resources Management*

This aspect of capacity deals with the institution's ability to recruit, select, evaluate, reward, train, develop and maintain qualified employees. Human resource management addresses the institution's ability to manage human resource diversity as well as to improve human resource quality and efficiency.

This aspect of the capacity assesses diversity results such as percentage of females in university management, percentage of females in faculty/college management, percent of females in department management. Diversity result is also related to academic status of female staff which is measured by percentage of female in graduate assistant level, percentage of female lecturers, percentage of female assistant professors, percentage of female associate professors and percentage of female professors. Furthermore, human resource management aspect of organizational capacity assesses quality and efficiency indicators of human resources such as percentage of faculty with bachelor, percentage of faculty with master, percentage of faculty with PhD, percentage of academic staff earning a next degree after being hired and percentage of faculty with didactical qualification. Human resource management also addresses and assesses organizational issues related to academic staff to student ratio, academic staff to administrative staff, total number of academic staff, total number of administrative staff and total number of university staff required to efficiently and effectively conduct university's operational and strategic functions. Finally, this assesses the key hindrance to effective and efficient performance-employee turnover. This is gauged by turnover ratio of faculty members and turnover ratio of administrative staff and by asking staff questions on employee satisfaction.

### *Student Management*

Student management relates to aspect such as student support, student administration and alumni relations. It is about creating conducive learning environment in which students are supported in various ways so that they can perform well in the teaching and learning process. This aspect of organizational capacity assesses the existence and effectiveness of student management policies, processes, roles and resources. It examines information delivery effectiveness on study programs to prospective students, career planning support, counseling service effectiveness, effectiveness of the process of identifying at risk students early enough and effectiveness and efficiency of compliant/ appeal procedures. Furthermore, this aspect relates to the institution's ability to organize correct and up-to-date data to support students as well a management decisions.

### *Facilities & Infrastructures*

Facilities and infrastructures are related to the availability of sufficient physical, technological and academic infrastructures necessary for an effective and efficient teaching and learning, research and community services. Facilities and infrastructures are also concerned with the availability of sufficient housing and campus facilities. This aspect of organizational capacity assesses the policies, processes, roles and resources followed and used to supply adequate physical, technological, academic infrastructures as well as to supply ample housing and campus facilities.

### **Capacity areas and sub-categories**

Following the explanation per capacity area, each area is further divided into two or more subcategories as listed below.

- Leadership
  - Aspirations
  - Formal leadership and university management
- Planning & Control
  - Strategy
  - Planning and control
- Organization & Systems
  - Organizational culture
  - Decision making
  - Organizational structure
  - Internal communication
  - External relations
- Education
  - Education results
  - Education aspirations and strategy
  - Curricula
  - Teaching and learning
  - Assessment of learning
  - Internal quality assurance
  - Labor market relevance and involvement

- Community service
  - Community service results
  - Community service aspirations and strategy
  - Community service involvement
- Research
  - Research results
  - Research aspirations and strategy
  - Research organization and management
- Human Resource Management
  - Human resource planning
  - Human resource management cycle
  - Human resource diversity
  - Human resource quality and efficiency
  - Employee satisfaction
- Student management
  - Student information and selection
  - Student support
  - Student administration
  - Alumni relations
  - Student diversity
  - Student satisfaction
- Facilities and infrastructure management
  - Physical infrastructure
  - Technological infrastructure
  - Academic infrastructure
  - Housing and campus facilities

### **Theoretical background underlying the university capacity framework**

The design of an organizational capacity tool implicitly or explicitly is guided by a theory on how organizations function. The main theoretical anchoring of OCAT is in systems theory and in theory on higher education organizations.

### *Systems theory*

Systems theory, following Jackson (see resource list in the annexes), holds a holistic perspective on organizations in which the functioning of the organization depends on its parts and on the relationships between the parts. More specifically, OCAT perceives universities as open, goal oriented human systems with both hard and soft aspects that need to adjust to external and internal changes, in line with the 5c-model of capacity (see e.g. Baser and Morgan in the resource list).

Being an open and adaptive system implies that the university is not an isolated entity but that the university and its parts relate to the external environment: the university is influenced by external stakeholders and developments and on its turn also influences the outside world. They are part or sub-system of one or more larger systems, such as the national higher education system and the regional environment and adapt and adjust according to changes in the environment.

Also, universities are conceptualized as goal oriented systems. They exist to perform, to realize objectives. In fact they are a kind of instrument through which objectives are realized and they perform activities to realize the objectives and the goals. Organizational activities are performed in various organizational processes transforming inputs into outputs. Three groups of organizational processes are identified and underlying the university capacity framework. First, the primary processes constitute the core business of organizations and create the primary value stream. Second, supporting or secondary processes support the primary process and maintain the resources necessary to perform the primary processes. Finally, managerial processes steer, govern and control the operation and the system. Process control in goal oriented systems is realized by means of plan-do-check-action cycles at various levels and at various parts. This theoretical notion of process control underlies quality assurance systems and processes in higher education. Finally, the university is perceived to be made up of hard, non-human parts and soft, human parts. In being a human system, system characteristics such as culture, leadership, commitment become relevant and influence the functioning of the system.

### *Higher education organizations theory*

Literature on higher education organizations such as Birnbaum, Bergquist and McNay (see resource list in the annexes) distinguish various types of higher education institutions depending amongst other on the origin of the university, characteristics of its main goals, activities and target groups, characteristics of the higher education system and characteristics of the university surroundings. Underlying OCAT is the managerial, sometimes called bureaucratic model of universities, also reflecting the goal oriented system approach as mentioned above. Also, elements of the enterprise university, where the knowledge and skills

of the professionals meet the needs and wishes of those seeking their service, are underlying the OCAT design.

## 6. OCAT QUESTIONNAIRES

### Introduction

OCAT consists of four questionnaires to collect information on university capacity from various university stakeholders: management, academic staff, administrative staff and students. Information on organization capacity party consists of subjective perceptions. Therefore collecting and confronting perspectives from various stakeholders is expected to contribute to a better understanding of the level of university capacity. This paragraph briefly describes the main characteristics of each questionnaire. The questionnaires are included in the annexes.

### Management questionnaire

The questionnaire for the management contains items to measure university capacity on the nine capacity areas and subcategories as mentioned before. Items were developed making use of inputs from literature, experts and results of the interviews with representatives from university management. The questionnaire combines objective and subjective indicators of university capacity, especially because not for all elements objective indicators are available. For the subjective indicators it was decided to use pre-defined answering scales following suggestions from the representatives of university management. This allows for more objective and qualitative measurement of capacity when compared to quantitative rating on a scale of e.g. one to five and limits situations where different raters can come to substantially different assessments. In line with VPP (see resource list in the annexes) subjective indicators of capacity make use of answering options reflecting four phases of university capacity, whereby the first category indicates a clear need for increased capacity. Category two, three and four refer respectively to basic, moderate and high level of capacity in place. It has to be realized pre-defined answering options cannot be completely accurate and there always will be discussion as to the extent to which they are covering real life situations fully. However, it is believed they can fulfill a relevant function is making scoring more objective.

### Student questionnaire

Items in the student questionnaire focus on capacity areas that are directly visible for students. As such items in the student questionnaire mainly deal with the capacity areas education, student management and facilities and infrastructure. Since students only can report on their perspective on university capacity, the questionnaire asks students to indicate for all items the extent to which they agree with the statement

on a scale from 1 to 5 where 1 means 'I do not agree at all' and 5 means 'I strongly agree'. A larger number of respondents will allow for statistical analyses leading to findings on the overall student perspective on university capacity. Chapter seven presents suggestions for sample sizes and sample procedures. The questionnaire is anonymous. However, students are asked to fill in a number of individual characteristics to allow for analyzing differences based on e.g. gender and department.

### **Academic staff questionnaire**

Also, for academic staff the questionnaire deals with capacity areas visible for academic staff and asks for opinions in nearly all capacity areas except for student management. In line with the student questionnaire the staff questionnaire makes use of a 5-point scale to measure the extent to which staff agrees or disagrees with the statements in the questionnaire. Measuring individual staff characteristics allows for analyzing and comparing groups.

### **Administrative staff questionnaire**

The administrative staff questionnaire has a similar set-up as the academic staff and student questionnaires and focuses mainly on the capacity areas leadership, planning & control and organization & systems.

### **Relation between items in the questionnaires**

Results from the self-assessment questionnaires can be confronted with results from the questionnaires for staff and students. The annexes include a table to identify how questions in the various questionnaires relate. However, it has to be kept in mind, that question formatting in the self-assessment questionnaire is not exactly the same as in the other questionnaires, because of different set-up of the questionnaires.

## 7. HOW TO USE THE OCAT?

### Introduction

This chapter presents suggestions on how to use the OCAT and the questionnaires it is made up of. First a number of scenarios are presented related to the number of questionnaires used. Then suggestions are made on how to collect the data from respondents in administering the questionnaires. The chapter ends with some comments on data-analysis.

### Scenarios in OCAT use

Depending on time, cost, availability of expertise to handle complexity in data collection and the need for reliable data, a university can decide to use one or more questionnaires and related data- sources to collect information on university organizational capacity. Below, three options are described. The cost, time and expert requirement increases as one move from option 1 to option 3 while reliability of data collected decreases as one moves from option 3 to option 1. Users of OCAT can consider also other options.

#### *Option 1: use management self-assessment questionnaire*

As the major aim of the OCAT is enhancing the administrative capacity of an institution, managements can use solely the self- assessment questionnaire in measuring the capacity status of their university. This approach is less time consuming and relatively easy to administer. However, management perception may substantially differ from student, academic and administrative staff perceptions. Differences in perceptions in an institution entail lack of synergy among different constituents of the organization and more precisely absence of alignment. Hence, this approach denies opportunity for triangulation of findings ensuing in a reduced reliability of the findings.

#### *Option 2: use management self-assessment, student and academic staff questionnaires*

This approach tends to reduce the reliability problem by measuring management perceptions and comparing it with the perceptions of two key stakeholders, students and academic staff. This allows management to discuss and arrive at consensus if difference in perceptions among management, students and academic staff has been observed in one or more of the performance items. This tends to increase



organizational alignment while on the other hand increasing the complexity and cost of data collecting and analyzing.

### *Option 3: student, academic and administrative staff questionnaires*

Under this option management explicitly wishes to identify student, academic and administrative staff perceptions on organizational capacity status and gaps of the university. This approach is more costly, time consuming and complex than the other approaches in collecting and analyzing data but provides management with an opportunity to use results to improve capacity while at the same time creating organizational alignment.

### **Data-collection management self-assessment questionnaire**

The self-assessment questionnaire is normally filled out on paper by management of the institution responsible for improving the administrative capacity of the institution. For this reason, focused group discussion offers the most advantage in filling out the SA questionnaire especially the qualitative items scaled 1 to 4 ordinal scale. The size of the focus group could range from 8 to 12 people depending on the specific context of the institution. The focus group should include management members (president and vice-presidents) as well as other member of management council (administrative council). To collect data using it is advisable first to distribute the questionnaire to each focus group persons to rate each item and next to bring them together to discuss and justify their ratings. After consensus has been reached among the focus group members, the secretary of council records the rating of each item. This approach offer an opportunity for management council to have a realistic picture of the institution's organizational capacity standing with which they can together plan to address identified capacity gap. This takes almost one day to discuss diverse views and opinions of each focus group members. Furthermore, the quantitative data in the SA questionnaire which are secondary data in nature can be collected from various units including planning, registrar, ICT, library, research and human resources etc.

### **Data-collection student questionnaire**

The sample size of student depends up on the student population (see annexes for suggestion on sample size). The student population from which the sample size is to be determined depends on the period data is to be collected. If the data is to be collected at the beginning of the academic year, the student population has to exclude first year students. If the data is planned to be gathered at about the close of the academic year then the student population includes all students in all programs in all years.

After the sample size has been determined compute proportionate sample size for each college to ensure representativeness of the sample. Furthermore, proportionate sample size is computed for each department/program in each college. Next, proportion of student sample size on the basis of year of study is determined from each department. Once sample size at this level has been determined collect the list of students from their respective departments and cross check the list with the list from registrar. Next use the systematic sampling technique to identify the actual student participating in the organizational capacity assessment.

The data collection process should consider two important issues- number of campuses and meeting hall. In case an institution has more than one campus data should be collected in all the campuses implying the need to increase the number of data collectors. An institution having one campus should make sure that it has sufficient meeting hall where familiarization program can be arranged for all students simultaneously to reduce efforts and time. Otherwise, it is advisable to divide the students into manageable numbers and increase the number of enumerators accordingly. The role of deans and department heads is important in assembling students and providing instruction on the importance of the assessment. Once all these are salvaged students need to be familiarized with the purpose of the assessment and issues related to instructions to be followed to fill out the questionnaire. This ends up with filled out questionnaires and training of data encoders to record the data in a pre-specified excel format.

#### **Data-collection academic staff questionnaire**

The sample size of the academic size also depends on the population of academic staff (see annexes for suggestion on sample size). It is suggested, the population of academic should exclude staff on duty and staff serving less than one year in the institution. Once this has been done proportionate sample size for each college needs to be determined and next proportionate sample size for each departments in each college needs to be determined and eventually proportionate sample according to academic rank should be determined. Once this level has been reached, the actual academic staff participating in the assessment is identified through systematic sampling technique from a list obtained from each department and checked against human resources records. Data can be collected by distributing directly to the identified academic staff through oriented department heads.

### **Data-collection administrative staff questionnaire**

Once and again the sample size of administrative staff varies according to the population size (see annexes for suggestion on sample size). The sampling procedure is similar to that of the academic staff except that the population of administrative staff is confined to units with high level of literate staffs. The administrative units most likely staffed with high level of literacy, although tending to vary from university to university, include finance and budget, procurement and property administration, planning, quality assurance, change management/transformation office, legal service, internal audit, student service (excluding cafeteria workers), facility development (excluding cleaners and daily laborers), library services, ethics and anti-corruption office, ICT and Human Resources. There can be other units staffed with employees of high level of literacy and hence, should be considered for assessment depending on their impact on organizational capacity.

### **Data-preparation and data-analysis**

Quantitative data from students and staff can easily entered in EXCELL for simple statistical analysis such as calculation of means and variations. For more sophisticated analyses of data, the data can be fed into statistical packages. Data from the self-assessment can be recorded on the self-assessment questionnaire and summarized in in written report eventually also confronting with results from the quantitative questionnaires.

## 8. CONCLUSIONS AND RECOMMENDATIONS

### Conclusions

The OCAT project succeeded in realizing its aim to develop, pilot and validate an organizational capacity assessment tool for Ethiopian New Public Universities as described in this document. Furthermore, the project succeeded in presenting the findings of the pilots to the university management and in using the aggregate findings of the pilots as input for policy making at the national level.

The evaluation studies and the validation workshop confirmed the relevance and objectives of OCAT:

- OCAT is a tool for management, supporting (strategic) decision making and priority setting on organizational capacity development,
- OCAT contributes to organizational learning and makes things visible that were previously out of sight,
- OCAT results create opportunities for benchmarking with other universities and
- OCAT contributes to Balanced Score Card planning and control cycle.

It turned out OCAT was also relevant in finding out about differences in stakeholders perspectives on university capacity and as such indicates the need for improved internal communication to create synergies in perceptions on university capacity.

The evaluation studies and validation workshop also resulted in a number of recommendations that are expected to contribute to dissemination and implementation.

### Recommendations

Recommendation made are classified into three categories: OCAT use at university level, OCAT use at national level and OCAT management and improvement.

#### *OCAT use at university level*

OCAT use at the university level benefits from commitment from university leadership and management to the use of the tool. The relevance of organizational capacity assessment should be clearly indicated to stakeholders. Communication about what is expected from participants and how the findings of the OCAT will be used is needed to stimulate and motivate students and staff to participate in the data-collection. Furthermore, use of OCAT will be enhanced by assigning OCAT to a responsible body in the university that

has both the financial resources and the expertise to collect the required data, to analyze the results, to present the findings and to come up with university specific recommendations.

It is expected OCAT use at the university level will greatly benefit from including HERQA in the implementation of the tool and inform or instruct on how OCAT results can be used in the institutional auditing and / or accreditation process.

#### *OCAT use at national level*

OCAT results at the national level safely can be used at the aggregate level to inform policy making. However, when using the OCAT results for ranking universities or for some kind of performance based budgeting, it is strongly recommended to take into account the specific situation and scarce resources of each university.

#### *OCAT management and improvement*

It is suggested to allocate OCAT at the national level to a body responsible for management and improvement of OCAT. This body should have the expertise to inform, train and support universities in using OCAT. To further develop OCAT the body should engage in:

- Regular evaluation and improvements of the tool,
- Extension of the tool by including external stakeholders such as alumni and employers,
- Facilitation of data-collection by (partly) digitalizing the data-collection process and
- Explore and institutionalize OCAT use for institutional auditing and accreditation by HERQA.

**Annex I**  
**University Organizational Capacity Assessment Tool**  
**Questionnaire guiding Self-Assessment by Management**

**Leadership**

<b>Aspirations</b>						
1	Mission · <i>Mission exists</i> · <i>Quality of mission</i> · <i>Mission is held in the organization</i>	1 The university has no written expression of its purpose for existence.	2 The university has a written mission that reflects its reason for existence and its values and purposes, somehow expressed vaguely. Hardly anyone in the university is familiar with the mission and refers to it.	3 The university has clearly expressed and described its mission: reason for existence reflecting its values and purposes. Substantial parts of the university hold the mission and refer to it.	4 The university has clearly expressed and described its mission: reason for existence reflecting its values and purposes. The mission is widely held in the university and often referred to at all level of the university.	Remarks
2	Vision characteristics · <i>Vision exists</i> · <i>Quality of vision</i> · <i>Vision is held in the organization</i> · <i>Vision is used to set directions</i>	1 The university has not clearly and specifically articulated compelling statement of what it aspires to become or achieve in the future. The university has not a vision that can be used to set directions and priorities.	2 The university has written down a vision of what it wants to become in the future. The vision is not clear and specific and is only shared among few members of the university. The university vision is rarely used to guide actions and set directions and priorities.	3 The university vision of what it aspires to become in the future is clear, specific, demanding but achievable and not yet inspiring for all. It is widely known in the university and sometimes referred to. The university vision is often used to guide actions and set priorities.	4 The university vision of what it aspires to become in the future is clear, specific, inspiring, demanding but achievable. It is widely held in the university and frequently referred to. The university vision is constantly used to guide actions and set directions and priorities.	Remarks
3	Overarching goals · <i>Overarching goals exists</i> · <i>Quality of overarching goals</i> · <i>Goals are related to vision</i> · <i>Goals are held in the organization</i> · <i>Goals are used to set priorities and guide actions</i>	1 University only has a set of inconsistent and imprecise overarching goals, not reflecting a university vision or what it wants to achieve in the future.	2 The university has translated its vision into smaller sets of concrete goals. These goals however, lack some of the following characteristics: specific, measureable, acceptable, realistic and time-related (SMART). Goals are rarely known within the university and used to set directions and priorities.	3 The university has translated its vision into concrete goals that still need improvement on the SMART characteristics. But goals are known to many within the university and are used to guide actions and set priorities.	4 The university has translated its vision into SMART sets of goals that are widely held within the university and frequently used to guide actions and set priorities.	Remarks

Formal leadership / university management						
4	Inspiration · <i>Challenge followers</i> · <i>Influence followers' behavior and attitudes</i>	1 The university's formal leadership is unable to challenge followers with high standards, does not provide meaning for the task at hand, and is unable to influence followers' attitudes, behaviors and values towards university goals.	2 The university's formal leadership makes some attempts to challenge followers with high standards and to provide meaning to the task at hand; but influences attitudes, behaviors and values of only few followers towards university goals.	3 The university's formal leadership has high ability to challenge followers with high standards and to provide meaning to the task at hand; influences attitudes, behaviors and values of many followers towards university goals.	4 The university's formal leadership has very high ability to challenge followers with high standards and to provide meaning to the task at hand; influences attitudes, behaviors and values of most (all) followers towards university goals.	Remarks
5	Institutional transformation / change I · <i>Communicate rationale for change</i> · <i>Change initiative shared by followers</i>	1 The university's leadership does not have the ability to communicate and discuss the rationale for change with precision and power in a compelling and persuasive way; the vast majority of the staff does not sense the value of the university's change initiative.	2 The university's leadership has some ability to communicate and discuss the rationale for change with precision and power in a compelling and persuasive way; only few staff sense the value of the university's change initiative.	3 The university's leadership has high ability to communicate and discuss the rationale for change with precision and power in a compelling and persuasive way; many staff sense the value of the university's change initiative.	4 The university's leadership has very high ability to communicate and discuss the rationale for change with precision and power in a compelling and persuasive way; most (all) staff sense the value of the university's change initiative.	Remarks
6	Institutional transformation / change II · <i>Existence change strategy</i> · <i>Quality change strategy</i> · <i>Availability of resources and incentives to support change strategy</i>	1 The university does not have any feasible change management strategy and plan (or does not use it to realize planned change); plan fails taking into account the university's culture; adequate resources not allocated to support change; incentive not provided to realize the change.	2 The university has but not well developed change management strategy and plan; rarely uses it to realize planned change. But change management plan fails taking into account the university's culture, resources are not deployed to support change and ignores incentives for desired behavior.	3 The university has well developed and feasible change management strategy and plan; often uses it to realize planned change. Change management plan takes into account the university's culture, inadequate resources are deployed to support change and limited incentives for desired behavior are available.	4 The university has very well developed and feasible change management strategy and plan; uses it frequently to realize planned change. Change management plan takes into account the university's culture, adequate resources are deployed to support change and sufficient incentives for desired behavior are available.	Remarks

## Planning and Control

		<b>Strategy</b>				
1	<p>Overall strategy</p> <ul style="list-style-type: none"> <li>· <i>Strategy exists</i></li> <li>· <i>Strategy is related to mission, vision and goals</i></li> <li>· <i>Strategy is held in the organization</i></li> <li>· <i>Strategy is used to set priorities and guide actions</i></li> </ul>	1	2	3	4	Remarks
		The university does not have deliberate strategy; unclear or simply expressed as a set of inconsistent initiatives having no influence over day-to-day behavior	The university has developed a deliberate strategy but it is not clearly linked to mission, vision, and overarching goals. It has limited influence on daily practices because of difficulties in translating it into action and because it is not widely known in the university.	The university has developed deliberate and coherent strategy linked to its mission and vision and overarching goals. Daily practices are partly guided by the strategy. However, improvement to be made in creating awareness about the strategy in the university and making it more actionable.	The university has a clear, coherent, and medium to long-term strategy that is both actionable and linked to overall mission, vision and overarching goals. Daily practices are guided by the strategy and the strategy is widely known and held in the university.	
2	<p>Performance targets</p> <ul style="list-style-type: none"> <li>· <i>Existence of performance targets</i></li> <li>· <i>Quality of performance targets</i></li> <li>· <i>Performance targets adopted by staff</i></li> </ul>	1	2	3	4	Remarks
		The university either does not have clear performance targets or are too few to measure the university's overall performance; targets are inconsistent (subject to change year after year) having no link with the aspirations of the university; worst of all largely unknown or ignored by staff.	The university has set realistic performance targets in some key areas aligned with aspirations and strategy of the university. However, targets are easy to achieve mostly focusing on 'inputs' (things to do right); or object to changes with moods; performance targets are known and adopted by limited staff/lacking milestones	The university has developed stretched and quantified targets in most areas that are linked to strategy and aspirations of the university focusing on "outputs/outcomes" (results of doing things right) multi-year in their nature. However, performance targets may lack milestones. The targets are known by many and used widely to guide actions	The university has developed sets of demanding quantified performance targets in all areas that are tightly linked with strategy and aspirations of the university focusing on outputs/outcomes. Performance targets have annual milestones, and are long-term in their orientation, consistently adopted by staff to guide actions and staff are motivated achieve them	
3	<p>Policies</p> <ul style="list-style-type: none"> <li>· <i>Policies exists</i></li> <li>· <i>Coverage</i></li> <li>· <i>Linked to aspirations and strategy</i></li> <li>· <i>Communication</i></li> <li>· <i>Guiding actual behavior</i></li> </ul>	1	2	3	4	Remarks
		The university has no written policies in all areas (including ethics, academic misconduct, nepotism, HIV/AIDS, sexual harassment etc.) and if few exist lack transparency, vastly un-communicated, not linked to aspirations and strategies and not used to guide behavior at all levels of the university	The university has some written policies in some areas and with some degree of transparency. However, policies are loosely linked to aspirations and strategies and are poorly communicated throughout the university; rarely used to guide behavior at all levels of the university.	The university has well written and transparent policies in most areas and are linked well to aspirations and strategies; communicated well throughout the university; and guide behavior of many at all levels of the university.	The university has well written and highly transparent policies in all areas that are tightly linked to aspirations and strategies. Policies are widely communicated throughout the university; and guide behavior of most (all) at all levels of the university.	



4	Performance realization	1	2	3	4	Remarks
		Approximately 25% (or less) of the yearly performance targets are realized by the university.	Approximately 25-50% of the yearly performance targets are realized by the university.	Approximately 50-75% of the yearly performance targets are realized by the university.	Approximately 75-100% of the yearly performance targets are realized by the university.	

Planning and control						
5	Performance measurement, analysis and adjustment · <i>Performance indicators cover relevant areas</i> · <i>Systematic performance measurement</i> · <i>Systematic performance analysis and follow-up</i> · <i>External benchmarking of performance</i>	1	2	3	4	Remarks
		Measurement of university performance in key performance areas is not done systematically, only on an ad hoc basis. Performance indicators are not identified. Performance is rarely analyzed and followed up by adjustments.	Performance indicators have been set for some key performance areas and are measured several times a year and used to analyze and adjust. However, system is not complete, lacking performance indicators in other relevant areas and is not making use of external benchmarks and does not include long term impact (e.g. employability of alumni).	Valid and reliable performance indicators have been set for all key performance areas and are measured several times a year. Performance is analyzed to serve as a basis for adjustments in planning or activities. However, system is not yet making use of external benchmarks and does not include long term impact (e.g. employability of alumni).	A comprehensive system exists for continuously monitoring performance in all key performance areas with clearly identified and valid and reliable performance indicators. External benchmarking is done on a regular basis to check performance against external standards. Long term impact is measured on a regular basis. Performance is analyzed to serve as a solid basis for adjustments in planning or activities.	
6	Strategic planning · <i>Existence of strategic planning</i> · <i>Linkage between higher and lower level planning</i> · <i>Guiding decision making</i>	1	2	3	4	Remarks
		The university does not engage into strategic planning or on a very limited basis.	Strategic planning is done at the overall university level. However, is not linked to / translated in strategic plans at other levels of the university. Strategic plan is partially guiding decision making at the overall university level.	Strategic planning is done at the overall university level and translated into lower level strategic plans. Limited timely updates. Guiding most of the decision making.	Advanced and integrated strategic level, combining top-down and bottom-up inputs at all levels of the university. Systematic review and updates. Widely used in decision making.	
7	Information for strategic planning · <i>Existence and quality of information system</i> · <i>Use of information system</i>	1	2	3	4	Remarks
		The university does not have any organized management information system (both internal to and external to the university) and if any exists not used at all to guide strategic planning	The university has some unorganized management information system that focus on some internal functions of the university, but rarely used to guide strategic planning	The university has well organized management information system that focus on the internal and external aspects of the university and used often to guide strategic planning	The university has highly well-organized management information system that focus on the internal and external aspects of the university and used sustainably to guide strategic planning	

8	Monitoring landscape <ul style="list-style-type: none"> <li>· <i>Knowledge about external stakeholders and developments</i></li> <li>· <i>Systematic updating of knowledge</i></li> </ul>	<p style="text-align: center;">1</p> <p>The university has little knowledge about stakeholders' actions and external development influencing university performance. No system and networks exist to monitor these developments. Not used in strategic planning.</p>	<p style="text-align: center;">2</p> <p>Only in case of strategic planning, partial information on stakeholders' actions and external development influencing university performance is collected and used in strategic planning. No systematic approach. No monitoring to update plans.</p>	<p style="text-align: center;">3</p> <p>Only in case of strategic planning, extensive information on stakeholders' actions and external development influencing university performance is collected and used in strategic planning. No systematic approach. No monitoring to update plans.</p>	<p style="text-align: center;">4</p> <p>The university has extensive knowledge about stakeholders' actions and external development influencing university performance and uses this information in (updating) strategic planning. Monitoring is done in a systematic way and the university participates in networks to stay updated.</p>	<p style="text-align: center;">Remarks</p>
9	Operational planning I <ul style="list-style-type: none"> <li>· <i>Existence and quality of operational plans</i></li> <li>· <i>Operational plans linked to strategic plan</i></li> <li>· <i>Operational plans guide actions</i></li> <li>· <i>Operational plans contribute to efficient use of resources and well-coordinated activities</i></li> </ul>	<p style="text-align: center;">1</p> <p>The university lacks capacity in operational planning, both for routine (educational) activities as for project activities. Operational plans are limited or non-existent. The university operates purely on a day-to-day basis to react to events as they unfold (chasing dogs) i.e. day-to-day operations have no connection with shorter long-term plans of the university. The university does not have the expertise to cascade strategic and tactical plans in to operational plans. Activities are not well coordinated and resources are not used efficiently.</p>	<p style="text-align: center;">2</p> <p>Some operational planning exists in the university, either for routine or for project activities. Operational plans are either not or loosely linked to strategic plans and are only limitedly used to guide daily operations. Activities in general lack coordination and resources can be used more effectively.</p>	<p style="text-align: center;">3</p> <p>The university has the ability and tendency to develop and refine concrete and realistic operation plan, however mainly for routine activities. The university carries out operational planning on a near- regular basis; the university linked its operational plan with strategic plan and uses its operational plan to guide operations. Routine activities are well coordinated and resources used efficiently.</p>	<p style="text-align: center;">4</p> <p>The university has an adequate and well developed system for operational planning, both for routine activities and for project activities. Realistic operational plans are developed and continuously refined. Operational planning in the university is a regular exercise; it has linked its operational plan with strategic plan and systematically uses operational plan to guide operations. Leading to a situation of good coordination of activities and efficient use of resources.</p>	<p style="text-align: center;">Remarks</p>
10	Information for operational planning <ul style="list-style-type: none"> <li>· <i>Existence and quality of information system</i></li> <li>· <i>Use of information system</i></li> </ul>	<p style="text-align: center;">1</p> <p>The university does not have any organized information system to guide operational planning and if any exists not used at all to guide operational planning</p>	<p style="text-align: center;">2</p> <p>The university has some unorganized information system and rarely used to guide operational planning</p>	<p style="text-align: center;">3</p> <p>The university has well organized information system but often used to guide operational planning</p>	<p style="text-align: center;">4</p> <p>The university has very well organized information system used sustainably to guide operational planning</p>	<p style="text-align: center;">Remarks</p>

11	<p>Financial planning</p> <ul style="list-style-type: none"> <li>· <i>Existence and quality of budgets / financial plans</i></li> <li>· <i>Budgets linked to operational plans</i></li> <li>· <i>Monitoring of financial performance</i></li> </ul>	<p style="text-align: center;">1</p> <p>The university has no or very limited financial planning mechanism (system); it has developed only general budget for the entire university and loosely monitors performance against budget utilization</p>	<p style="text-align: center;">2</p> <p>The university has limited financial plans and updates budgets on ad hoc basis; the university mainly used budget as operational (as opposed to strategic) tool to guide financial operations. It has some attempts to isolate divisional (program or geographical) budgets within the central budget and periodically monitors performance against budget utilization.</p>	<p style="text-align: center;">3</p> <p>The university has solid financial plans and updates its budgets regularly. Budget is integrated in to operations and reflects the university's needs. The university isolated divisional (program or geographical) budgets with the central budget and regularly monitors performance against budget utilization.</p>	<p style="text-align: center;">4</p> <p>The university has very solid financial plans and updates its budgets on a continuous basis. Budget is integrated in to full operations and is used as a strategic tool. Budget develops from process that incorporates and reflects university needs and objectives. The university has well understood divisional (program or geographical) budgets with in the central overall budget and performance to budget closely and regularly monitored</p>	<p style="text-align: center;">Remarks</p>
12	Budget utilization rate	Total budget used / total budget allocated				

## Organization and Systems

		Organizational culture				
1	Organizational culture · <i>Organizational culture supports aspirations</i> · <i>Organizational culture embraces quality and performance</i> · <i>Leadership's exemplary behavior</i>	1 The university culture is not aligned with aspirations and strategy neither embraces quality and performance as shared values. Instead, university culture might even be considered as contra-productive with regards to aspirations, strategy, quality and performance.	2 Only in certain groups in the university, culture is aligned with aspirations, strategy, quality and performance, guided by strong formal or informal leadership. In other parts of the university culture does not support aspirations, strategy, quality and performance or is even counter-productive.	3 In a large part of the university culture is aligned with aspirations, strategy, quality and performance. However, strong formal or informal leadership is still needed to maintain and further develop this culture.	4 The university culture is aligned with aspirations and strategy and characterized by quality and performance as shared values. Employees and management address these issues that are openly high on the agenda. Leadership shows exemplary behavior, but culture is irrelevant of leadership.	Remarks
2	Organizational culture open mindedness	1 University culture is not characterized by external focus and openness to the outside world. Being faced with many internal issues, the focus is oriented inwards. The outside world considers the university to be a closed stronghold.	2 Initiatives have started to make the university culture more open minded to the outside world. HR practices play an important role and also the role of leadership setting the example. Some parts of the university are more open minded than other parts and the outside world sees the university still as rather closed.	3 There is growing understanding on the importance of being open to the outside world. Many parts of the university / individuals within the university show their open mindedness and there is a growing recognition from the outside world about the openness of the university.	4 In the university there is a shared understanding that openness to the outside world and external focus are important. These values are reflected in behavior such as e.g. frequent contacts with the outside world and discussions about impact of external developments. The outside world considers the university to be open.	Remarks
3	Organizational culture strength	1 In the university there is no such thing as a shared set of beliefs, values and practices providing members with a sense of identity and direction of behavior. Beliefs, values, preferences and practices are scattered throughout the university.	2 Some groups in the university are characterized by a shared set of beliefs, values and practices. In other parts of the university values and beliefs are scattered.	3 Different groups in the university hold their own set of shared understanding, beliefs and values. Within the groups these values and beliefs are providing members with a sense of identity and direction for behavior. Between groups, differences exist in values, beliefs and practices.	4 There is a strong university culture with a shared understanding about values and beliefs and providing members with a sense of identity and direction for behavior.	Remarks

<b>Decision making</b>						
4	Decision making framework · <i>Formalized decision making</i> · <i>Participation in decision making</i> · <i>Communication of decisions made</i> · <i>Follow-up of decisions made</i>	1 No formal systems exist for decision making. Decision making is largely ad-hoc and informal with no or limited participation, communication and implementation follow-up.	2 Decision making is formalized (and reflected in daily practice) only for a limited amount of university decisions. Many decisions are still made in an informal way with no or limited participation, communication and / or implementation follow-up.	3 Decision making, including participation, communication and implementation follow-up, is clear and formalized. However, daily practice is not always in line with the procedures and systems and aspects as participation, communication and / or implementation follow-up are not always adhered to.	4 Decision making is formalized and along clear rules and lines. Participation, communication and implementation follow-up are clear. Daily practice reflects the decision making procedures and system.	Remarks
5	Decision making balances	1 Decision making structures and processes show no signs of balancing legal authority (administration, boards), professional authority (faculty) and students' interests.	2 Decisions are made either by legal authority (administration, boards) or by professional authority (faculty) without balancing both perspectives and without students' interests.	3 Decision making structures reflect an effective balance between legal authority (administration, boards) and professional authority (faculty) but without students' interests.	4 Decisions that require an effective balance between legal authority (administration, boards), professional authority (faculty) and students' interests are identified and structures exist and are adhered to in order to achieve the balance.	Remarks
6	Decision making information	1 For most decisions information needed for making sound decisions is not available.	2 For most decisions information for sound decision making is available, but not sought for, looked up or used.	3 Most decisions are made based on relevant information. However, generating information for decision making is ad hoc, costly and time consuming.	4 For repetitive decision making, information needs are identified and information is generated systematically. For other decisions, relevant information is sought for, looked up and used, wherever possible.	Remarks

<b>Organizational structure</b>						
7	Organizational design · <i>Organizational structure in place</i> · <i>Description of roles and responsibilities of departments</i> · <i>Structure supports aspirations</i> · <i>Efficiency of organizational structure</i> · <i>Organizational structure reflects daily functioning</i>	1 University entities (such as faculty, departments, supporting offices etc.) exist, but roles and responsibilities of entities are not clearly identified and described.	2 University entities (such as faculty, departments, supporting offices etc.) exist, but roles and responsibilities of entities are clearly identified, described and reflecting daily practice only for a number of entities, e.g. the academic departments. For other departments roles and responsibilities are not yet clear, resulting in doubling or neglecting necessary organizational tasks and processes.	3 University entities (such as faculty, departments, supporting offices etc.) exist, roles and responsibilities of entities are clearly identified, described and reflecting daily practice. However, organizational design does not yet reflect university ambitions and aspirations and might still contain some inefficiency because of doubling functions.	4 For all university entities, roles and responsibilities are clearly identified. All roles and responsibilities needed to achieve university aspirations and ambitions are in place. No doubling of functions. Daily practice reflects organizational design.	Remarks
8	Individual job design · <i>Existence of job descriptions</i> · <i>Quality of job descriptions</i> · <i>Job descriptions reflect daily reality</i>	1 No or hardly any job descriptions exist within in the university.	2 Job descriptions are very limited only briefly stating role and major tasks. Hardly any information on responsibility and authority / autonomy and / or not reflected in daily practice.	3 Job descriptions exist and are complete in describing role, tasks, responsibility and authority / autonomy. However, not in line with practice and / or outdated.	4 Job descriptions exist and re complete in describing role, tasks, responsibility and authority / autonomy. Job descriptions are up-to-date and a reflection of current functioning of the university.	Remarks
9	Vertical reporting and communication lines · <i>Existence of vertical lines</i> · <i>Balance between top-down and bottom-up</i> · <i>Accessibility of management</i> · <i>Mixture of communication channels contributes to efficiency and effectiveness</i>	1 Formal vertical reporting and communication lines do not exist or are limited. Mainly focused op to-down communication. Bottom-up communication is rather limited, hindered by limited accessibility of management by employees and / or differences in standing / rank.	2 Formal vertical reporting and communication lines exist but are strongly bureaucratized and more like 'ritual dances' than actually exchanging information.	3 Vertical communication and reporting lines, both top-down and bottom-up are in place. Mostly formalized communication and limited or no additional informal communication. Mixture of face-to-face, written and digital communication. Bottom-up communication is still hindered by limited accessibility of management by employees and / or differences in standing / rank.	4 Vertical communication and reporting lines, both top-down and bottom-up are in place. Effective and efficient balance between formalized and additional informal communication. Mixture of face-to-face, written and digital communication. Management is open to communication with employees.	Remarks

10	Horizontal coordination and communication · <i>Existence of formal and informal horizontal coordination</i> · <i>Efficiency and effectiveness of horizontal communication and coordination</i>	1 The university has not identified the need for horizontal coordination and communication. Hardly any horizontal coordination exists and departments function in relative isolation. Horizontal coordination is non-existent or via the hierarchical and vertical communication.	2 Whenever horizontal coordination and communication exists in the university, it is mostly based on informal contacts between employees within different departments. Ad hoc. Not formalized.	3 Some forms of formal horizontal communication are installed. However, sometimes hindered by bureaucracy and inflexibility and form of horizontal communication not always suited to organizational needs. Limited amount of informal horizontal coordination and communication.	4 The university has identified where horizontal coordination is relevant and has installed a variety of forms of horizontal coordination relevant to the need. Efficient. No bureaucracy. The organization encourages informal horizontal communication.	Remarks
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Internal communication						
		1	2	3	4	Remarks
11	Internal communication · <i>Active use of internal communication is used as a tool of management</i>	Hardly any formal internal communication exists in the university aimed at informing organization members and creates a shared understanding.	Internal communication in the university exists, but is mostly ad hoc. No objectives, policies etc. are designed and no organizational roles to support internal communication.	The university is working on objectives, policies, organizational roles for internal communication, but there are not yet (completely) put into practice. A restricted number of tools for internal communication are used.	Objective, policies and processes for internal communication are clear. Organizational roles and responsibilities in place. Communication tools are used efficiently and effectively.	

External relations						
		1	2	3	4	Remarks
12	Partnership and alliances development and nurturing · <i>Identification of potential strategic external partners</i> · <i>Effectiveness of relationships management</i> · <i>Quality and outcomes of partnerships</i>	The university has no or hardly any relationships with external organizations and groups of strategic importance. Also, the university is not aware of / has not identified which external organizations and groups are of strategic importance to the university.	The university acknowledges the importance of strategic partnerships. It has started to identify potential strategic partners and started building relationships, not yet leading to mutual benefits.	The university maintains relationships with some / limited external groups and organizations of strategic importance. It has not yet fully identified other potential strategic partners and building relationships with these partners.	The university acknowledges the importance of strategic partnerships. It has identified various / divers external organizations and groups of strategic importance (national, international, labor market, government, local community) to the university and maintains good and fruitful relationships. Collaboration leads to mutual benefits.	

13	Local community perception and interfaces · <i>External perception of university openness to local community</i> · <i>Existence of interfaces with local community</i>	1 The university is known within the local community, but is not perceived as actively engaged and is not easily accessible for the local community because (e.g. because no interfaces exist between the university and the community).	2 The university is known within the local community, but is not perceived as actively engaged. Interfaces exist between the university and the community but are either not functioning well or depending on individual initiatives / contacts.	3 The university is known within the local community, but is not perceived as actively engaged. Easy accessible interfaces exist between the university and the community.	4 The university is widely known within the local community, is perceived as actively engaged and easy accessible interfaces exist between the university and the community	Remarks
14	Public relations and marketing · <i>Active use of public relations and marketing</i> · <i>Expertise in public relations and marketing.</i>	1 The university is not aware of the power of public relations and marketing activities and doesn't actively use them.	2 The university is becoming aware of the power of public relations and marketing activities but doesn't know how to actively use them. Only minor efforts / experiments.	3 The university recognizes the importance of public relations and marketing. Initiatives are taken to make more use of this; however, expertise and experience is still limited.	4 The university actively uses public relations and marketing to increase external publicity and to inform on the university activities and plans. Broad experience and expertise in marketing and public relations.	Remarks



**Education**

1	<b>Education results</b>													
			<b>Enrollments</b>			<b>Graduates</b>			<b>Graduation rates</b>			<b>Attrition rates</b>		
	<b>Bachelor programs</b>	<b>#</b>	<b>M</b>	<b>F</b>	<b>T</b>	<b>M</b>	<b>F</b>	<b>T</b>	<b>M</b>	<b>F</b>	<b>T</b>	<b>M</b>	<b>F</b>	<b>T</b>
	Business & Economics													
	Social Sciences & Language													
	Natural and Computational Sciences													
	Agriculture													
	Engineering & Technology													
	Health													
	Total bachelor													
	<b>Master programs</b>													
	Business & Economics													
	Social Sciences & Language													
	Natural and Computational Sciences													
	Agriculture													
	Engineering & Technology													
	Health													
	Total master													
University total														

Education aspirations and strategy						
2	Education aspirations <ul style="list-style-type: none"> <li>· <i>Existence of education specific aspirations</i></li> <li>· <i>Contribution of education specific aspirations to overall university aspirations</i></li> <li>· <i>Education specific aspirations are held in the organization</i></li> </ul>	1	2	3	4	Remarks
		The university has not thought of and has not specifically described the mission, vision and overarching goals and ambitions of the education activities in the university and how education activities contribute to the overall university aspirations.	Awareness exists on the need to decide on education specific mission, vision and goals and how education activities contribute to the overall university aspirations. However, ideas are mainly implicit and not yet described explicitly or shared.	Education specific mission, vision and goals and how education activities contribute to the overall university aspirations are described explicitly and coherently but not broadly held and frequently referred to.	The university has clearly described the mission, vision and overarching goals of the education activities and how education contributes to the overall university mission, vision and overarching goals. Education specific aspirations are broadly held within the organization and frequently referred to.	
3	Education strategy <ul style="list-style-type: none"> <li>· <i>Education specific strategy exists</i></li> <li>· <i>Education specific strategy is related to mission, vision and goals</i></li> <li>· <i>Education specific strategy is held in the organization</i></li> <li>· <i>Education specific strategy is used to set priorities and guide actions</i></li> </ul>	1	2	3	4	Remarks
		No strategy exists specifically aimed at realizing education mission, vision and goals.	Strategy to obtain education mission, vision and goals exists but is either not clearly linked to education mission, vision and goals or lacks coherence or is not easy actionable. The education strategy is not aligned with research, community service, HRM and other university strategies and has little influence over day-to-day behavior.	Strategy to obtain education mission, vision and goals exists but and is coherently linked to education mission, vision and goals. The strategy is not yet ready to be fully acted upon, partly drives day-to-day behavior and is not yet aligned with research, community service, HRM and other university strategies.	The university has a clear, actionable, realistic (also financially and organizationally) coherent medium- to long-term education strategy linked to overall strategy and aligned with research, community service, HRM and other university strategies. The strategy drives day-to-day behavior.	

Curricula						
4	Program learning objectives <ul style="list-style-type: none"> <li>· <i>Explicit description of learning objectives</i></li> <li>· <i>Reflection external demands</i></li> <li>· <i>Related to qualification framework</i></li> </ul>	1	2	3	4	Remarks
		Most programs in the university lack a clear and explicit description of learning objectives at the program level.	Most programs in the university have an explicit description of overall program learning objectives not related to qualification framework and reflecting external developments and demands.	Most programs in the university have an explicit description of overall program learning objectives either related to qualification framework or reflecting external developments and demands.	Most programs in the university have an explicit description of overall program learning objectives related to qualification framework and reflecting external developments and demands.	

5	Vision on learning and teaching · <i>Existence and quality of vision on learning and teaching</i> · <i>Vision reflected in didactic methods</i>	1	2	3	4	Remarks
		Most programs in the university lack a vision on learning and teaching.	Most programs in the university hold a vision on learning and teaching, however not reflecting student characteristics and / or learning objectives characteristics and not reflected in didactical concepts and teaching methods practiced.	Most programs in the university hold a vision on learning and teaching, reflecting student characteristics and learning objectives characteristics, but not yet reflected in didactical concepts and teaching methods practiced.	Most programs in the university hold a program visions on learning & teaching reflecting students characteristics and program learning objectives characteristics and that underpin the program didactic concepts and are reflected in appropriate methods for teaching & learning.	
6	Curriculum · <i>Existence of curriculum description</i> · <i>Course contribution to overall learning objectives</i>	1	2	3	4	Remarks
		Most programs in the university do not explicitly describe the program units (courses, modules) and how they contribute to the overall learning objectives.	Most programs in the university describe how the program is built up (courses, modules) not showing how the program units jointly contribute to the program learning objectives.	Most programs in the university describe the design of the program (courses, modules) and are in the process of investigating whether and how program units (courses, modules) contribute to program learning objectives.	Most programs in the university describe the program (courses, modules) and indicate how each program unit contributes to the overall learning objectives making sure all learning objectives are covered.	
7	Course outlines · <i>Existence of course outlines</i> · <i>Completeness of course outlines</i>	1	2	3	4	Remarks
		Most programs in the university do not have course / module outlines for all courses / modules in the program.	Most programs in the university have brief descriptions of the courses in the program indicating mainly teaching and learning activities, without referring to program objectives and learning & teaching vision.	Most programs have detailed course outlines describing teaching and learning activities, learning materials and assessment methods but not related to overall program learning objectives and vision on learning & teaching. .	Most programs in the university have described program units in course / modules outlines describing course objectives, how course contributes to program objectives, didactics motivated, teaching and learning activities, learning materials and assessment methods.	
8	Curriculum innovation · <i>Systematic monitoring of external developments</i> · <i>Suggestions for improvement in curricula in line with external developments</i>	1	2	3	4	Remarks
		Most programs in the university do not monitor external developments for innovating curricula.	Most programs in the university monitor external developments on ad hoc basis and do not yet suggest incorporating these developments in the curricula.	Most programs in the university monitor external development but only suggest adjustments of curricula on ad-hoc basis.	Most programs in the university have a systematic approach to monitoring external development and suggesting innovations in curricula.	

Teaching and learning						
9	Teaching and learning practices · <i>Actual teaching and learning in line with course outlines</i>	1 Teaching and learning is not guided by course / module outlines since most of the programs in the university do not have (detailed) course / module outlines.	2 It is the choice of the lecturer to follow the course / module outline. No effort is made by the university / program management to bring teaching and learning in line with the course / module outline.	3 The importance of teaching and learning guided by course / module outlines is recognized and the university is in the process of ensuring that actual teaching and learning is guided by course / module outlines.	4 Teaching and learning is guided by the course outlines and university / program management stresses the importance of this practice.	Remarks
10	Innovative teaching and learning	1 Innovative teaching and learning is not yet an issue at the university; not in policies and not in the daily teaching practice.	2 The university recognizes the importance of innovative ways of teaching and learning and has started initiatives to look for, stimulate and implement new forms. However, daily practice does not yet reflect these initiatives.	3 The university recognizes the importance of innovative ways of teaching and learning and has started initiatives to stimulate and implement new forms. Daily practice partly reflects these initiatives and some lecturers also experiment with new forms and discuss results. However, in other parts of the	4 Lecturers are openly encouraged and rewarded for experimenting with innovative ways of teaching and learning. They actively engage in innovative forms of teaching and learning, also as a result from their own initiatives. Results of these experiments are shared and discussed. Failures are perceived as opportunities for learning.	Remarks
11	Resources	Extent to which adequate learning materials are available to students: student – course text book ratio				
		Average class size				
		Average ratio contact hours – self-study hours				

Assessment of learning						
12	Assessment policy · <i>Existence and quality of vision on assessment of learning</i> · <i>Vision reflected in assessment plans</i>	Most programs in the university lack vision and policies on assessment of program and course learning objectives.	Assessment vision and policies are in a developmental stage in most programs in the university.	Appropriate assessment vision and policies are defined, but not yet reflected in assessments as described in the course outlines.	Most programs in the university have a vision and policies on assessment of learning objectives reflected in description of assessment in course outlines.	

13	Assessment practices · <i>Exams and assignments reflect learning objectives</i> · <i>Clear assessment criteria related to learning objective</i>	1	2	3	4	Remarks
		Design of exams, assignments and assessment criteria is ad hoc.	Design of exams, assignments and assessment criteria and its relation with the learning objectives depends on the individual academic staff member, no systematic relationship, no peer review or discussion.	In general, exams, assignments and assessment criteria are systematically designed in line with learning objectives, but no peer review or discussion.	Exams, assignments and assessment criteria are systematically designed in line with learning objectives and discussed in peer groups.	
14	Transparency and feedback · <i>Objective grading</i> · <i>Transparency of grading</i> · <i>Grading as feedback to students</i>	1	2	3	4	Remarks
		Grading of students' work is influenced by other factors than students' performance. It is not objective and transparent and not made available to students as feedback.	Grading of students' work is objective; however grading processes are not very transparent and not used as feedback for students.	Grading is objective and transparent but not yet made available for students as feedback.	Grading of students' work is objective, transparent and used as feedback to inform students on learning results and where to improve.	

Internal quality assurance						
15	Quality assurance policy · <i>Vision on quality assurance</i> · <i>Knowledge about quality assurance</i> · <i>Indicators of quality defined</i> · <i>Appropriate organizational roles</i> · <i>Stakeholders perspective</i>	1	2	3	4	Remarks
		The university has no internal quality assurance knowledge, resources, policies and process in place. No vision on quality assurance exists.	Quality assurance vision and policies are in an embryonic stage. Awareness exists on the relevance and importance, and knowledge and resources are being acquired for further development of internal quality assurance. No inclusion of stakeholders' perspectives, such as from staff, students, employers and alumni.	Quality assurance vision and policies exist. Organizational roles are defined and resources are available. The organization still struggles on designing effective and efficient processes and appropriate indicators at the input, throughput and output of education processes. Include internal stakeholders (staff, students) but not yet external stakeholders (alumni, employers).	Quality assurance policies exist aimed at controlling educational quality. Quality objectives and appropriate indicators and measurements (input, throughput, and output) are defined. Organizational roles are clear. Adequate knowledge and resources are in place. Include stakeholders' perspectives on quality: students, staff, and alumni (in case the university has alumni) and employers.	
16	Quality assurance practices reflect policies	1	2	3	4	Remarks
		The university has no internal quality assurance knowledge, resources, policies and process in place.	Internal quality assurance policies and processes exist on paper, but are not reflected in daily practices due to lack of acknowledgement of the role of internal quality assurance.	Internal quality assurance policies and processes exist and are accepted, but are not fully executed due to lack of organizational roles, knowledge or resources.	Internal quality assurance practices are in line with quality assurance policy and processes. Policy, processes, resources and organization are regularly evaluated and adjusted where relevant.	

17	Quality improvements · <i>Systematic approach for improving education quality</i> · <i>Monitoring of improvement plans</i> · <i>Encouragement of suggestions for improvement</i>	1 The university has no internal quality assurance knowledge, resources, policies and process in place. Ad hoc identification of improvements options; no monitoring of follow-up and impact. No identification of improvements resulting from quality assurance. Suggestions from staff or students are not encouraged or supported.	2 Internal quality assurance works along clearly identified steps of the plan – do – check – act (improvement plan) cycle. Lack of monitoring implementation and impact makes it difficult to identify real improvements. Suggestions from staff or students are not accepted, and not yet encouraged or supported.	3 Internal quality assurance works along clearly identified steps of the plan – do – check – act (improvement plan) cycle. Lack of monitoring implementation and impact makes it difficult to identify real improvements. Suggestions and plans for improvement from staff and students are encouraged and supported.	4 Internal quality assurance works along clearly identified steps of the plan – do – check – act (improvement plan) cycle. Implementation of improvement plans is monitored and impact is measured. Suggestions and plans for improvement from staff and students are encouraged and supported.	Remarks
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<b>Labor market relevance and involvement</b>						
		1	2	3	4	Remarks
18	Labor market involvement · <i>Vision on labor market involvement in education</i> · <i>Systematic approach involving labor market and outside class activities</i> · <i>Actual involvement of labor market</i> · <i>Amount of outside class activities</i>	No involvement of labor market in university education. Students have no opportunity to relate to outside class, real-life labor market situations.	Labor market is only incidentally involved in university education, opportunity driven. Involvement of students in outside class activities, relating to the labor market and outside world, is opportunity driven. No systematic approach.	Labor market is systematically involved in teaching activities (e.g. guest lecturers) but not in other aspects of university education. A systematic approach is followed to offer students the opportunity to relate to the labor market. However, the approach is not grounded in the educational vision and students' contacts with the labor market are not optimal.	The relevance of labor market involvement and students experiencing outside class, real-life labor market situations is reflected in the educational vision. Labor market is systematically involved in all aspects of university education: learning objectives, teaching and assessment. A substantial amount of the program allows students to practice and experience real life situations. Outside class activities are an integral part of the curriculum.	
19	Labor market relevance skills in the program	Labor market relevant skills, such as e.g. problem solving, entrepreneurship, communication and teamwork are not yet part of the university programs.	The relevance and importance of labor market relevant skill is acknowledged and experiments are taking place to include in the curriculum and enhance academic staff knowledge and experience.	Labor market relevant skills are separate elements in the curricula, not integrated with other parts of the curricula. The university lacks knowledge and experience to further integrate skills in the curriculum.	Labor market relevant skills are identified in the learning objectives. They are no longer separate elements in the curriculum but integrated with other parts of the curriculum to reflect as much as possible future work situations.	

## Community service

1	<b>Community service results</b>	
	Number of academic staff involved in community service	
	Percentage of academic staff involved in community service	
	Number of organizations in the community served	
	Number of people in the community served	

<b>Community service aspirations and strategy</b>						
2	Community service aspirations	1	2	3	4	Remarks
	<ul style="list-style-type: none"> <li>· <i>Existence of community service specific aspirations</i></li> <li>· <i>Contribution of community service specific aspirations to overall university aspirations</i></li> <li>· <i>Community service specific aspirations are held in the organization</i></li> </ul>	The university has not thought of and has not specifically described the mission, vision and overarching goals and ambitions of the community service activities in the university and how community service activities contribute to the overall university aspirations.	Awareness exists on the need to decide on community service specific mission, vision and goals and how community service activities contribute to the overall university aspirations. However, ideas are mainly implicit and not yet described explicitly or shared.	Community service specific mission, vision and goals and how community service activities contribute to the overall university aspirations are described explicitly and coherently but not broadly held and frequently referred to.	The university has clearly described the mission, vision and overarching goals of the community service activities and how community service contributes to the overall university mission, vision and overarching goals. Community service specific aspirations are broadly held within the organization and frequently referred to.	
3	Community service strategy	1	2	3	4	Remarks
	<ul style="list-style-type: none"> <li>· <i>Community service specific strategy exists</i></li> <li>· <i>Community service specific strategy is related to mission, vision and goals</i></li> <li>· <i>Community service specific strategy is held in the organization</i></li> <li>· <i>Community service specific strategy is used to set priorities and guide actions</i></li> </ul>	No strategy exists specifically aimed at realizing community service mission, vision and goals.	Strategy to obtain community service mission, vision and goals exists but is either not clearly linked to community service mission, vision and goals or lacks coherence or is not easy actionable. The community service strategy is not aligned with research, education, HRM and other university strategies and has little influence over day-to-day behavior.	Strategy to obtain community service mission, vision and goals exists and is coherently linked to community service mission, vision and goals. The strategy is not yet ready to be fully acted upon, partly drives day-to-day behavior and is not yet aligned with research, education, HRM and other university strategies.	The university has a clear, actionable, realistic (also financially and organizationally) coherent medium- to long-term community service strategy linked to overall strategy and aligned with research, education, HRM and other university strategies. The strategy drives day-to-day behavior.	

Community service involvement						
4	Students involvement in community service (excluding apprenticeship)	1 There is no or hardly any involvement of education (and students) in community service activities.	2 Education (and students) is only involved in community service activities on an ad hoc basis and when there is a need to include education.	3 Wherever possible, education (and students) is involved in community service. However, it is not an integral part of the curriculum so not all students are involved in community service.	4 Involvement in community service is an integral part of the curriculum. Every student participates, one way or the other, in community service activities during his studies.	Remarks
5	Research involvement in community service	1 There is no or hardly any involvement of the community in research and research is not guided by community wants and needs.	2 Ad hoc involvement of the community in research. Only limited awareness of community wants and needs and ad hoc input of these in research planning and agenda setting.	3 Wherever possible, community wants and needs are taken into account in research planning and agenda setting. And wherever possible, community is engaged in research activities. However, this is not yet systematically done.	4 Community wants and needs are systematically taken as input in research planning and agenda setting. The community is systematically and actively engaged in university research activities.	Remarks
6	Additional community service activities, besides students and research involvement	1 There are no or hardly any additional community service activities.	2 Additional community service only takes place following community requests. Not pro-actively and not understanding the community wants and needs.	3 The university actively responds to community requests for support. The university also pro-actively engages in initiatives to strengthen the local community but has not yet a good and complete understanding of community wants and needs.	4 The university is actively engaged in all sorts of additional community service activities and responds to community requests for support. The university understands community wants and needs and pro-actively takes initiatives to support and strengthen the local community.	Remarks



## Research

1	<b>Research results</b>	
	Number of academic staff involved in research	
	Percentage of academic staff involved in research	
	Research funding per academic	
	Number of research publications university wide	
	Average number of research publications per academic	
	Number of research grants met according to plan	

<b>Research aspirations and strategy</b>						
2	Research aspirations	1	2	3	4	Remarks
	<ul style="list-style-type: none"> <li>· Existence of research specific aspirations</li> <li>· Contribution of research specific aspirations to overall university aspirations</li> <li>· Research specific aspirations are held in the organization</li> </ul>	The university has not thought of and has not specifically described the mission, vision and overarching goals and ambitions of the research activities in the university and how research activities contribute to the overall university aspirations.	Awareness exists on the need to decide on research specific mission, vision and goals and how research activities contribute to the overall university aspirations. However, ideas are mainly implicit and not yet described explicitly or shared.	Research specific mission, vision and goals and how research activities contribute to the overall university aspirations are described explicitly and coherently but not broadly held and frequently referred to.	The university has clearly described the mission, vision and overarching goals of the research activities and how research contributes to the overall university mission, vision and overarching goals. Research specific aspirations are broadly held within the organization and frequently referred to.	
3	Research strategy	1	2	3	4	Remarks
	<ul style="list-style-type: none"> <li>· Research specific strategy exists</li> <li>· Research specific strategy is related to mission, vision and goals</li> <li>· Research specific strategy is held in the organization</li> <li>· Research specific strategy is used to set priorities and guide actions</li> </ul>	No strategy exists specifically aimed at realizing research mission, vision and goals.	Strategy to obtain research mission, vision and goals exists but is either not clearly linked to research mission, vision and goals or lacks coherence or is not easy actionable. The research strategy is not aligned with community service, education, HRM and other university strategies and has little influence over day-to-day behavior.	Strategy to obtain research mission, vision and goals exists and is coherently linked to research mission, vision and goals. The strategy is not yet ready to be fully acted upon, partly drives day-to-day behavior and is not yet aligned with education, community service, HRM and other university strategies.	The university has a clear, actionable, realistic (also financially and organizationally) coherent medium- to long-term research strategy linked to overall strategy and aligned with community service, education, HRM and other university strategies. The strategy drives day-to-day behavior.	

4	Research agenda · <i>Existence of research agenda describing research themes and priorities</i> · <i>Describing participation of stakeholders</i> · <i>Research agenda driving priority setting and resource allocation in research</i>	1	2	3	4	Remarks
		No university research agenda exists.	Initiatives to draft a research agenda aimed at priority setting and resource allocation, but research agenda does not yet fulfill that role.	The university research agenda describes themes and priorities but only partially drives priority setting and resource allocation in research. Participation of internal and external stakeholders not or only partly clear.	The university research agenda clearly describes research themes and priorities and participation of internal and external stakeholders and drives priority setting and resource allocation in research.	

Research organization and management						
		1	2	3	4	Remarks
5	Research culture · <i>Organization culture supports research</i> · <i>Rewarding and encouraging of research performance by faculty</i> · <i>Research is part of curricula.</i> .	Research is not very well known and not highly valued in the university by most people. Research performance is the result of individual initiatives and not recognized or rewarded. Research activities are not encouraged and other activities gain priority in day-to-day priority setting. Research is not included in the curricula of the university.	Initiatives are being made to make the university culture more research minded. Knowledge on research and its relevance are provided to academic staff. However, only a minority of academic staff recognizes the importance of research for the university and values research high. It is not included in the curricula.	Substantial number of faculty are familiar with and recognize the importance of research and strive for research activities, performance and improvement. However, some groups are still not yet familiar and / or engaged. Hardly any curriculum includes research.	Most people in the university highly value research activities and performance. Research performance is openly recognized and rewarded, both formally and informally. Priority of research activities is in line with plans. Research is also part of the curriculum.	
6	Research organization structure, roles and responsibilities	Organizational research entities are not designed and research roles and responsibilities are neither formalized nor clear.	Some organizational research entities are defined, others are not. Most research roles and responsibilities are formalized but may not reflect organizational reality.	Organizational research entities are clearly defined. Organizational research roles and responsibilities of all entities are formalized but may not reflect organizational reality.	Research roles and responsibilities of all (research) entities are formalized, clear and complement each other and reflect organizational reality	

7	<p>Research planning and monitoring</p> <ul style="list-style-type: none"> <li>· <i>Existence of operational research plans</i></li> <li>· <i>Use of operational research plans</i></li> <li>· <i>Operational research plans derived from strategic plans</i></li> <li>· <i>Operational plans guide daily activities</i></li> <li>· <i>Monitoring of research progress compared to plans</i></li> </ul>	<p style="text-align: center;">1</p> <p>No operational plans exist to plan and monitor research activities.</p>	<p style="text-align: center;">2</p> <p>Operational research plans exist; limit use in planning and monitoring research activities. Only partly or not derived from strategic research plan and agenda.</p>	<p style="text-align: center;">3</p> <p>Operational research plans are (partially) related to strategic research plan and agenda. Research activities are not systematically monitored and compared to plans.</p>	<p style="text-align: center;">4</p> <p>Operational research plans are derived from strategic research plan and agenda. Plans guide research activities and are used to monitor progress. Where relevant, flexible adjustments are made.</p>	<p style="text-align: center;">Remarks</p>
8	<p>Research funding and resources</p> <ul style="list-style-type: none"> <li>· <i>Adequacy of amount of research funding to realize ambitions</i></li> <li>· <i>Fundraising expertise</i></li> </ul>	<p style="text-align: center;">1</p> <p>Funding not in line to realize research ambitions. Weak fundraising expertise in the university.</p>	<p style="text-align: center;">2</p> <p>Limited fundraising competences only aimed at general and well-known sources for funding. No knowledge of additional sources and how to acquire. Limited funding hinders realizing research ambitions.</p>	<p style="text-align: center;">3</p> <p>Limited fundraising competences aimed at general and well-known sources for funding. Building up of expertise on additional forms of funding and skills needed to acquire. Funding is sufficient for short term research plans, not for long term ambitions.</p>	<p style="text-align: center;">4</p> <p>Extensive fundraising competences and able to successfully apply for diverse funding options. Funding sufficient to cover research ambitions.</p>	<p style="text-align: center;">Remarks</p>
9	<p>Research cooperation</p> <ul style="list-style-type: none"> <li>· <i>Number of partners</i></li> <li>· <i>Experience in research cooperation</i></li> <li>· <i>Active search for new partners</i></li> <li>· <i>Effectiveness of research partnerships</i></li> <li>· <i>National and international partnerships</i></li> </ul>	<p style="text-align: center;">1</p> <p>The university has no or very limited experience in research cooperation. It has not identified interesting national or international (strategic) research partners.</p>	<p style="text-align: center;">2</p> <p>The university manages to successfully cooperate with a limited number of partners known for a long time. It does not actively engage in looking for new partners to diversify its partnership base,</p>	<p style="text-align: center;">3</p> <p>The university manages to successfully cooperate with a limited number of partners known for a long time. It has started to actively look for new partnerships. Engagement in new partnerships is still troublesome and not without problems.</p>	<p style="text-align: center;">4</p> <p>The university regularly and successfully cooperates with other universities and research centers (both national and international). It actively seeks for new, relevant partners and is known to the outside world for its research cooperation. It has built and actively maintains relationships aimed at joint funding application and research.</p>	<p style="text-align: center;">Remarks</p>

## Human Resources Management

Human resources planning						
1		1	2	3	4	Remarks
	Human resources planning <ul style="list-style-type: none"> <li>· <i>Existence of HR planning</i></li> <li>· <i>Actual development of HR planning system</i></li> <li>· <i>Availability of information to support HR planning.</i></li> <li>· <i>HR planning embedded in organizational roles</i></li> <li>· <i>Competence in HR planning</i></li> </ul>	No formal HR planning (identify future HR needs to realize university objectives and plans to meet these needs) exists. No plans to develop and implement HR planning. HR planning not included in organizational roles and systems. No knowledge on HR planning. No accurate information to support HR planning.	Awareness exists about the importance of HR planning in realizing university objectives. First steps are made to develop system, organizational roles and expertise needed for HR planning. Eventually, a very simple form of ad hoc HR planning exists in the university. Hardly any accurate information to support HR planning.	Limited form of HR planning in the university. Either for a limited group of employees (e.g. academic staff), limited to recruitment of new personnel (and not for existing employees) or only quantitatively (and not qualitatively). Organizational roles and systems exist for this limited form of HR planning. Expertise, information and resources need to be enhanced to expand HR planning to all aspects of human management resources in the university.	The university systematically forecast HR needs (of all positions, quantitatively and qualitatively) and plans to meet these needs to support the university wide ambitions and plans. HR planning is fully embedded in organizational roles and processes and integrated with other plans in the organization. Expertise in the organization is at the required level to perform this task.	

Human resources management cycle						
2		1	2	3	4	Remarks
	Recruitment and selection <ul style="list-style-type: none"> <li>· <i>Systematic recruitment and selection procedures guided by policy and supported by organizational roles and knowledge</i></li> <li>· <i>Reflection of processes in daily practice</i></li> <li>· <i>Transparency</i></li> </ul>	Recruitment and selection is ad hoc. No systematic approach. Not transparent.	Simple and standard procedures guide recruitment and selection, mostly lacking clear job and applicants profiles, relevant selection criteria, clear procedures and involvement of relevant people in selection of candidates. Limited knowledge on recruitment and selection. No or very limited description of policies, organizational roles and processes are described, not reflecting reality. Not transparent.	Recruitment and selection policies, roles and processes are described and reflect expertise (e.g. relates to HR planning, clear job and applicants profiles, relevant selection criteria, clear procedures and involvement of relevant people in selection of candidates). However, reality not always reflects this procedures and recruitment and selection still is not always transparent.	Recruitment and selection is at a high level (e.g. relates to HR planning, clear job and applicants profiles, relevant selection criteria, clear procedures and involvement of relevant people in selection of candidates). Recruitment and selection policies, organizational roles and processes are described and reflect reality. Expertise is in place. Recruitment and selection is transparent.	

3	Compensation · <i>Extent to which centrally decided compensation is adequate</i>	1	2	3	4	Remarks
		Financial and non-financial compensation is adequate in only few cases (between 0 and 25%) to recruit and retain qualified staff.	Financial and non-financial compensation is adequate in limited cases (between 25 and 50%) to recruit and retain qualified staff.	Financial and non-financial compensation is adequate in quite some cases (between 50 and 75%) to recruit and retain qualified staff.	Financial and non-financial compensation is adequate in most cases (between 75 and 100%) to recruit and retain qualified staff.	
4	Training and development · <i>Systematic training and development procedures guided by policy and supported by organizational roles and knowledge</i> · <i>Reflection of processes in daily practice</i> · <i>Transparency</i>	1	2	3	4	Remarks
		Training and professional development of academic staff, administrative staff and management is ad hoc. No systematic approach. Not transparent.	Simple and standard procedures guide training and professional development, mostly without relation to HR-planning, training needs assessment, knowledge of training options available and evaluation of training and impact. Limited knowledge on training and professional development. No or very limited description of policies, organizational roles and processes are described, not reflecting reality. Not transparent.	Training and professional development policies, roles and processes are described and reflect expertise (e.g. relates to HR planning, assessment of training needs, varied and quality trainings, evaluation of training and impact). However, reality not always reflects this procedures and training and professional development still is not always transparent.	Training and professional development is at a high level (e.g. relates to HR planning, assessment of training needs, varied and quality trainings, evaluation of training and impact). Training and professional development policies, organizational roles and processes are described and reflect reality. Expertise is in place. Training and professional development is transparent.	
5	Training and development budget	1	2	3	4	Remarks
		No or hardly any budget exists for the required training and professional development of staff (between 0 and 25%).	Budgets exist for a limited number of training and professional development needs (between 25 and 50%).	Budget exist for quite some training and professional development needs (between 50 and 75%)	The budget available for training and development is (nearly) adequate to fulfill the required training and professional development needs (between 75 and 100%).	
6	Training and development efforts	Amount of staff engaged in formal training and professional development activities				Remarks
		Percentage of staff in need for training and professional development actually engaged (or arrangements made) in training and professional development activities				

7	Performance evaluation and rewarding · <i>Systematic performance evaluation and rewarding procedures guided by policy and supported by organizational roles and knowledge</i> · <i>Reflection of processes in daily practice</i> · <i>Involvement of peers and students</i> · <i>Transparency</i>	1	2	3	4	Remarks
		Performance evaluation and rewarding of academic staff, administrative staff and management is ad hoc. No systematic approach. Not transparent.	Simple and standard procedures guide performance evaluation and rewarding, mostly without relation to university or departmental goals, clear evaluation criteria, input from peers and/or students and guidelines for rewarding. Limited knowledge on performance evaluation and rewarding. No or very limited description of policies, organizational roles and processes are described, not reflecting reality. Not transparent.	Performance evaluation and rewarding policies, roles and processes are described and reflect expertise (e.g. relation to university or departmental goals, clear evaluation criteria, input from peers and/or students and guidelines for rewarding). However, reality not always reflects this procedures and performance evaluation and rewarding still is not always transparent.	Performance evaluation and rewarding is at a high level (e.g. relation to university or departmental goals, clear evaluation criteria, input from peers and/or students and guidelines for rewarding). Performance evaluation and rewarding policies, organizational roles and processes are described and reflect reality. Expertise is in place. Performance evaluation and rewarding is transparent.	

Human resources diversity						
8	Diversity management · <i>Expertise</i> · <i>Organizational roles</i> · <i>Policies and procedures in place</i> · <i>Reflection in daily reality</i>	1	2	3	4	Remarks
		Diversity is not an issue in human resources management of the university. No identification of diversity ('minority') groups. No systematic approach.	Awareness exists about the relevance of diversity. First steps are made to develop system, organizational roles and expertise needed for diversity. Eventually, a very simple form of diversity management exists in the university, e.g. identification of diversity groups and targets per diversity group. Limited knowledge on diversity management.	Diversity management policies, roles and processes are described and reflect expertise (e.g. on methods chosen to realize objectives). However, reality not always reflects this procedures and diversity management still is not always transparent.	Diversity management is at a high level (e.g. objectives set, plans made and monitored). Diversity management policies, organizational roles and processes are described and reflect reality. Expertise is in place.	
9	Diversity results	Percentage of female staff at university management level				
		Percentage of female staff at faculty / college level				
		Percentage of female staff at departmental level				
		Percentage of female staff at administrative departments				
		Percentage of female staff in graduate assistant position				
		Percentage of female staff in lecturer position				
		Percentage of female staff in assistant professor position				
		Percentage of female staff in associate professor position				
		Percentage of female staff in professor position				

<b>Human resources quality and efficiency</b>				Remarks
10	Quality	Proportion of faculty with bachelor, master and doctoral degree		
		Percentage of faculty earning a next level degree after being hired		
		Percentage of faculty with didactical qualification (HDP – Higher Diploma Program)		
	Efficiency	Academic staff- student ratio (excluding on study leave)		
		Academic staff- student ratio (including on study leave)		
		Academic staff – administrative staff ratio (excluding on study leave)		
		Academic staff – administrative staff ratio (including on study leave)		

<b>Employee turnover as indicator of satisfaction</b>				Remarks
11	Turnover ratio	Turnover ratio faculty members		
		Turnover ratio administrative staff		

## Student management

Student information and selection						
1	<p>Student information</p> <ul style="list-style-type: none"> <li>· <i>Systematic approach to informing prospective students</i></li> <li>· <i>Policies, procedures, knowledge and organizational roles in place</i></li> </ul>	1	2	3	4	Remarks
		The university makes no direct effort to inform prospective students. No policies and procedures exist aimed at adequately informing students. Information for prospective students is updated on an ad hoc basis. Distributed and/or unclear roles and responsibilities. Limited knowledge and resources.	Procedures exist aimed at informing prospective students. Information for prospective students is updated on a regular basis and clear roles and responsibilities exist for doing so. However, no policies and objectives exist for informing students. Limited knowledge and resources.	Limited form of policies and procedures aimed at informing prospective students. However, not supported by objectives and plans. Organizational roles and responsibilities are clear. The university engages in enhancing relevant knowledge and resources.	Policies and procedures exist aimed at adequately informing prospective students. Objectives are set; plans are made to realize objectives, plans are regularly updated. Organizational roles and responsibilities are clear. Adequate knowledge and resources are in place.	
2	<p>Information for prospective students</p> <ul style="list-style-type: none"> <li>· <i>Complete</i></li> <li>· <i>Correct</i></li> <li>· <i>Diversity in communication channels used</i></li> </ul>	1	2	3	4	Remarks
		Information for prospective students is neither correct, nor complete nor regularly updated. Limited number of channels and methods are used to inform prospective students.	Information for prospective students is limited but correct and updated regularly. Limited number of channels and methods are used to inform prospective students.	Information for prospective students is correct, complete and updated frequently. Limited number of information channels and methods are used to properly inform prospective students.	Information for prospective students is correct, complete and updated frequently. Various information channels and methods are used to properly inform prospective students.	
3	<p>Selection of admitted students into study programs</p> <ul style="list-style-type: none"> <li>· <i>Systematic approach in placing students</i></li> <li>· <i>Transparency</i></li> <li>· <i>Daily practice reflects policies and procedures-</i></li> </ul>	1	2	3	4	Remarks
		Selection of admitted students into study programs is based on ad-hoc decision making. No policies or procedures exist. Selections processes are not transparent and consistent.	Selection of admitted students into study programs is guided by standardized procedures and criteria eventually supported by policies, objectives and research data. However, student selection mostly is not in line with procedures and mostly is not transparent.	Selection of admitted students into study programs is guided by standardized procedures and criteria not yet supported by policies, objectives and research data. However, student selection mostly is in line with procedures and mostly is transparent.	Selection of admitted students into study programs is guided by policies and procedures indicating e.g. criteria, selection processes and staff involvement. Criteria are supported by institutional research on student characteristics predicting successful completion of the program. Student selection is in line with procedures and is transparent.	



<b>Student support</b>						
4	Policies, processes roles and resources	1 Student support is not yet an issue at the university.	2 The university acknowledges the importance and relevance of student support, but no / very limited policies, procedures, knowledge and organizational roles are in place. Actual student support depends on initiatives of individual employees.	3 The university is engaged in the process of developing policies, procedures and organizational roles and enhancing knowledge and resources for student support. Actual student support partly based on individual initiatives of staff, partly based on procedures and organizational roles.	4 Student support policies describe aim, objectives, instruments (such a provision of information, career planning, counseling, identification of at risk students, incoming assessment of students and developing interventions). Procedures and organizational roles are clearly described and in line with reality. Knowledge and resources are in place.	Remarks
5	Information on study programs · <i>Complete</i> · <i>Correct</i> · <i>Diversity in communication channels used</i>	1 Information for admitted students is neither correct, nor complete nor regularly updated. Limited number of channels and methods are used to inform admitted students.	2 Information admitted students is limited but correct and updated regularly. Limited number of channels and methods are used to inform admitted students.	3 Information for admitted students is correct, complete and updated frequently. Limited number of information channels and methods are used to properly inform admitted students.	4 Information for admitted students is correct, complete and updated frequently. Various information channels and methods are used to properly inform admitted students.	Remarks
6	Career planning	1 No career planning exists in the university to support admitted students.	2 Limited for of career planning exists for a limited group of students.	3 Limited form of career planning is in place for all students.	4 Extensive career planning exists in the university and is available for all students.	Remarks
7	Assessing incoming students 'abilities and arrangement of interventions	1 Incoming students' abilities are not assessed and no intervention plans are made to overcome gaps in knowledge and skills.	2 Incoming students' abilities are identified at an ad-hoc basis. Students are expected to solve issues by themselves and ask for guidance where relevant. No organizational roles and responsibilities in place.	3 Incoming students' abilities are identified on a regular basis and students are informed on how to overcome problems. No monitoring of plans and limited organizational roles and responsibilities.	4 Incoming students' abilities (in critical areas of knowledge and skills) are systematically assessed and intervention plans are agreed upon with students and monitored. Organizational roles and responsibilities are in place for doing so.	Remarks
8	Academic and non-academic counseling services	1 No counseling services exist in the university to support admitted students.	2 Limited for of counseling services exists for a limited group of students.	3 Limited form of counseling services is in place for all students.	4 Extensive counseling services exist in the university and are available for all students.	Remarks

9	Identification of at risk students and adequate follow-up	1	2	3	4	Remarks
		There is no identification of at risk students.	At risk students are identified at an ad-hoc basis. Students are expected to solve issues by themselves and ask for guidance where relevant. No organizational roles and responsibilities in place.	At risk students are identified on a regular basis and students are informed on how to overcome problems. No monitoring of plans and limited organizational roles and responsibilities.	At risk students are identified on a regular basis and individual plans are made and agreed upon with student to overcome problems. Plans are monitored. Organizational roles and responsibilities are in place for doing so.	
10	Complaints / appeals procedures · <i>Systematic approach to complaints and appeals</i> · <i>Policies, procedures, knowledge and organizational roles in place</i>	1	2	3	4	Remarks
		Students' complaints and appeals are not yet an issue at the university.	The university acknowledges the importance and relevance of adequately responding to students' complaints and appeals, but no / very limited policies, procedures, knowledge and organizational roles are in place. No standard procedures for complaints and appeals and how to deal with. Responses to students on ad hoc basis.	The university is engaged in the process of developing policies, procedures and organizational roles and enhancing knowledge and resources for dealing with students' complaints / appeals. Actual dealing with students' complaints / appeals partly ad hoc partly based on procedures and organizational roles.	Complaints / appeals policies describe aim and objectives. Procedures and organizational roles are clearly described, transparent and in line with reality. Knowledge and resources are in place.	

	<b>Student administration</b>					
11	Correctness of student data (personal and performance) · <i>Correct</i> · <i>Procedures for updating data</i> · <i>Digital data records</i> · <i>Back-up of data</i>	1	2	3	4	Remarks
		The university does not know whether student data (personal and performance) are correct. Updating is done on ad hoc basis without clear procedures. Checking whether data are correct and making back-ups are either on ad hoc basis or absent. Most data are kept manually.	Student data (personal and performance) are manually or digitally registered. Procedures exist for updating the information. Checking whether data are correct and making back-ups are either on ad hoc basis or absent.	Student data (personal and performance) are digitally registered. Procedures exist for updating the information. Frequent back up of data. Checking whether data are correct is on ad hoc basis or absent.	Student data, both personal and performance, are (nearly) almost correct. Digital registration. Procedures exist for updating data and checking whether data are correct. Frequent back-up of data.	

12	Availability of student administration data for student support	1 Student administration systems are not able to support student support activities or are not used for student support activities.	2 No systematical detection of back-log or at-risk students. Student administration systems are difficult to use for student support activities, however occasionally information is requested and used for student support activities.	3 System for student administration does not yet provide automatically and systematically information on back-log of students or on at-risk students. Information is available upon request and systems are easy to access for purposes of student support.	4 Student administration systems are optimally used for student support activities. The system automatically generates information on back-log and on at-risk students. Information in the system is directly and easily accessible for student support activities.	Remarks
13	Availability of student administration data for management information	1 Student administration systems either are not able or not used to generate management information to support planning and monitoring of education objectives (such as e.g. overall study results, attrition rate, study pace).	2 No systematical generation of management information from the student administration system. Student administration systems are difficult to use for planning and monitoring educational objectives. Occasionally information is retrieved from the system, however this is time consuming and reliability of information is not clear.	3 System for student administration does not yet provide automatically and systematically information for management. Information is available upon request and systems are able to generate management information.	4 Student administration systems are optimally used to support education management planning and monitoring. The system automatically generates information on educational objectives. Information in the system is directly and easily accessible for management decision making.	Remarks

<b>Alumni relations</b>						
		1	2	3	4	Remarks
14	Policies, processes roles and resources	Alumni relations are not yet an issue at the university.	The university acknowledges the importance and relevance of alumni relations, but no / very limited policies, procedures, knowledge and organizational roles are in place. Actual alumni relations depend on initiatives of individual employees.	The university is engaged in the process of developing policies, procedures and organizational roles and enhancing knowledge and resources for alumni relations. Actual alumni relations partly based on individual initiatives of staff, partly based on procedures and organizational roles. No or partly up-to-date database on alumni.	Alumni relations policies describe aim, objectives, and instruments. Procedures and organizational roles are clearly described and in line with reality. Knowledge and resources are in place. Students are actively engaged in maintaining alumni relations. Up-to-date database with alumni relations.	Remarks

15	Alumni involvement in education	1	2	3	4	Remarks
		Alumni are not involved in education activities.	The university acknowledges the importance and relevance of alumni involvement in education; however alumni are rarely involved in education activities due to various reasons (no alumni data available, no capacity to maintain relations etc.).	The university acknowledges the importance and relevance of alumni involvement in education; however alumni are involved in education in limited roles such as guest lecturer. Ad hoc opportunities for students to interact with alumni.	Clear objectives exist on alumni involvement in education. Alumni are actively and frequently involved in education in various roles such as discussing learning objectives, guest lecturer, co-assessor of student performance, providing internships etc. Students have the opportunity to interact with alumni.	

<b>Student diversity</b>						
16	Student diversity · <i>Expertise</i> · <i>Organizational roles</i> · <i>Policies and procedures in place</i> · <i>Reflection in daily reality</i>	1	2	3	4	Remarks
		Diversity is not an issue in student management of the university. No identification of diversity ('minority') groups. No systematic approach.	Awareness exists about the relevance of diversity. First steps are made to develop system, organizational roles and expertise needed for diversity. Eventually, a very simple form of diversity management exists in the university, e.g. identification of diversity groups and targets per diversity group. Limited knowledge on diversity management.	Diversity management policies, roles and processes are described and reflect expertise (e.g. on methods chosen to realize objectives). However, reality not always reflects this procedures and diversity management still is not always transparent.	Diversity management is at a high level (e.g. objectives set, plans made and monitored). Diversity management policies, organizational roles and processes are described and reflect reality. Expertise is in place.	

## Facilities and infrastructure management

Physical infrastructure (e.g. buildings, internal services like water and electricity)						
1	Policies, processes roles and resources	1	2	3	4	Remarks
		No formal physical infrastructure planning (identify future housing and campus needs to realize university objectives and plans to meet these needs) exists. No plans to develop and implement campus and housing facilities planning. Campus and housing facilities planning not included in organizational roles and systems. No knowledge on physical infrastructure planning. No accurate information to support physical infrastructure planning.	Awareness exists about the importance of physical infrastructure planning in realizing university objectives. First steps are made to develop system, organizational roles and expertise needed for physical infrastructure planning. Eventually, a very simple form of ad hoc physical infrastructure planning exists in the university. Hardly any accurate information to support physical infrastructure planning.	Limited form of physical infrastructure planning in the university. Either for a limited group of employees (e.g. physical staff), limited to recruitment of new personnel (and not for existing employees) or only quantitatively (and not qualitatively). Organizational roles and systems exist for this limited form of physical infrastructure planning. Expertise, information and resources need to be enhanced to expand physical infrastructure planning to all aspects of human management resources in the university.	The university systematically forecasts physical infrastructure needs (of all positions, quantitatively and qualitatively) and plans to meet these needs to support the university wide ambitions and plans. Physical infrastructure planning is fully embedded in organizational roles and processes and integrated with other plans in the organization. Expertise in the organization is at the required level to perform this task.	
2	Adequacy	1	2	3	4	Remarks
		Physical infrastructure by far not adequate for current activities and to reach the university ambitions and aspirations. Large investments and improvements needed to upgrade adequacy to an acceptable level.	Physical infrastructure not yet adequate for current operations. However, limited improvements can enhance adequacy to an acceptable level.	Physical infrastructure suits current organizational needs but is not adequate for future ambitions of the university.	Physical infrastructure is adequate to meet university current and future needs.	

Technological infrastructure (e.g. computers, applications, network, website and e-mail)						
3	Policies, processes roles and resources	1 No formal technological infrastructure planning (identify future housing and campus needs to realize university objectives and plans to meet these needs) exists. No plans to develop and implement campus and housing facilities planning. Campus and housing facilities planning not included in organizational roles and systems. No knowledge on technological infrastructure planning. No accurate information to support technological infrastructure planning.	2 Awareness exists about the importance of technological infrastructure planning in realizing university objectives. First steps are made to develop system, organizational roles and expertise needed for technological infrastructure planning. Eventually, a very simple form of ad hoc technological infrastructure planning exists in the university. Hardly any accurate information to support technological infrastructure planning.	3 Limited form of technological infrastructure planning in the university. Either for a limited group of employees (e.g. technological staff), limited to recruitment of new personnel (and not for existing employees) or only quantitatively (and not qualitatively). Organizational roles and systems exist for this limited form of technological infrastructure planning. Expertise, information and resources need to be enhanced to expand technological infrastructure planning to all aspects of human management resources in the university.	4 The university systematically forecasts technological infrastructure needs (of all positions, quantitatively and qualitatively) and plans to meet these needs to support the university wide ambitions and plans. Technological infrastructure planning is fully embedded in organizational roles and processes and integrated with other plans in the organization. Expertise in the organization is at the required level to perform this task.	Remarks
4	Adequacy	1 Technological infrastructure by far not adequate for current activities and to reach the university ambitions and aspirations. Large investments and improvements needed to upgrade adequacy to an acceptable level.	2 Technological infrastructure not yet adequate for current operations. However, limited improvements can enhance adequacy to an acceptable level.	3 Technological infrastructure suits current organizational needs but is not adequate for future ambitions of the university.	4 Technological infrastructure is adequate to meet university current and future needs.	Remarks

<b>Academic infrastructure (e.g. science laboratories, language laboratories, libraries)</b>						
5	Policies, processes roles and resources	1 No formal academic infrastructure planning (identify future housing and campus needs to realize university objectives and plans to meet these needs) exists. No plans to develop and implement campus and housing facilities planning. Campus and housing facilities planning not included in organizational roles and systems. No knowledge on academic infrastructure planning. No accurate information to support academic infrastructure planning.	2 Awareness exists about the importance of academic infrastructure planning in realizing university objectives. First steps are made to develop system, organizational roles and expertise needed for academic infrastructure planning. Eventually, a very simple form of ad hoc academic infrastructure planning exists in the university. Hardly any accurate information to support academic infrastructure planning.	3 Limited form of academic infrastructure planning in the university. Either for a limited group of employees (e.g. academic staff), limited to recruitment of new personnel (and not for existing employees) or only quantitatively (and not qualitatively). Organizational roles and systems exist for this limited form of academic infrastructure planning. Expertise, information and resources need to be enhanced to expand academic infrastructure planning to all aspects of human management resources in the university.	4 The university systematically forecasts academic infrastructure needs (of all positions, quantitatively and qualitatively) and plans to meet these needs to support the university wide ambitions and plans. Academic infrastructure planning is fully embedded in organizational roles and processes and integrated with other plans in the organization. Expertise in the organization is at the required level to perform this task.	Remarks
6	Adequacy	1 Academic infrastructure by far not adequate for current activities and to reach the university ambitions and aspirations. Large investments and improvements needed to upgrade adequacy to an acceptable level.	2 Academic infrastructure not yet adequate for current operations. However, limited improvements can enhance adequacy to an acceptable level.	3 Academic infrastructure suits current organizational needs but is not adequate for future ambitions of the university.	4 Academic infrastructure is adequate to meet university current and future needs.	Remarks

<b>Housing and campus facilities (sports, recreation medical service etc.)</b>						
7	Policies, processes roles and resources	1 No formal housing and campus facilities planning (identify future housing and campus needs to realize university objectives and plans to meet these needs) exists. No plans to develop and implement campus and housing facilities planning. Campus and housing facilities planning not included in organizational roles and systems. No knowledge on housing and campus facilities planning. No accurate information to support housing and campus facilities planning.	2 Awareness exists about the importance of housing and campus facilities planning in realizing university objectives. First steps are made to develop system, organizational roles and expertise needed for housing and campus facilities planning. Eventually, a very simple form of ad hoc housing and campus facilities planning exists in the university. Hardly any accurate information to support housing and campus facilities planning.	3 Limited form of housing and campus facilities planning in the university. Either for a limited group of employees (e.g. academic staff), limited to recruitment of new personnel (and not for existing employees) or only quantitatively (and not qualitatively). Organizational roles and systems exist for this limited form of housing and campus facilities planning. Expertise, information and resources need to be enhanced to expand housing and campus facilities planning to all aspects of human management resources in the university.	4 The university systematically forecasts housing and campus facilities needs (of all positions, quantitatively and qualitatively) and plans to meet these needs to support the university wide ambitions and plans. Housing and campus facilities planning is fully embedded in organizational roles and processes and integrated with other plans in the organization. Expertise in the organization is at the required level to perform this task.	Remarks
8	Adequacy	1 Housing and campus infrastructure by far not adequate for current activities and to reach the university ambitions and aspirations. Large investments and improvements needed to upgrade adequacy to an acceptable level.	2 Housing and campus infrastructure not yet adequate for current operations. However, limited improvements can enhance adequacy to an acceptable level.	3 Housing and campus infrastructure suits current organizational needs but is not adequate for future ambitions of the university.	4 Housing and campus infrastructure is adequate to meet university current and future needs.	Remarks



**Annex II**  
**University Organizational Capacity Assessment Tool**  
**Student Questionnaire**

Dear student,

This questionnaire is part of an organizational capacity process your university is undertaking. You are kindly asked to fill in the questions below. The questionnaire consists of two parts. The first part is about personal information. In the second part your opinion is asked about several aspects of the university.

It is an anonymous questionnaire, meaning that you do not have to fill in your name. The results will only be used for i) informing university management on students' perception of the capacity of the university and ii) for scientific purposes.

Thanks for your cooperation.

**Personal information**

1. What is your gender? Tick the appropriate box below.  
 Male  
 Female
  
2. What is your age in years?  
.....
  
3. Are you a regular or a non-regular (weekend, summer, evening) student?  
 Regular  
 Non-regular
  
4. Are you an undergraduate or postgraduate student?  
 Undergraduate  
 Postgraduate
  
5. In which department are you studying?  
.....
  
6. How long are you studying at the university?  
 I am in my first year of study  
 I am in my second year of study  
 I am in my third year of study  
 I am in my fourth year of study  
 Otherwise, explain: .....
  
7. How would you rate your average grade on a scale from 1 to 4?  
.....

**Opinion on university capacity indicators**

Indicate for all items in the table below or next page, the extent to which you agree with the statement on a scale from 1 to 5 by ticking the appropriate box. The scale ends are to be interpreted as 1 means 'I do not agree at all' and 5 means 'I strongly agree'. In case an item is not relevant, tick the box 'not relevant'.

Item number	Item description	1	2	3	4	5	Not relevant
1	The learning objectives of the program of my study are clear to me.						
2	Courses in my program are described in course outlines reflecting course learning objectives, teaching and learning activities, learning material and assessment.						
3	The program is feasible of realizing the learning objectives.						
4	The program reflects recent developments in the field of study.						
5	Actual teaching and learning reflects the description in the course outline.						
6	Actual assessment reflects the description in the course outline.						
7	Teaching and learning reflects a mixture of theory and practice.						
8	Teaching and learning reflects a mixture of knowledge and skills.						
9	Teaching and learning reflects a mixture of teacher activities and student activities.						
10	Lecturers experiment with innovative forms of teaching and learning.						
11	My learning benefits from the teaching activities of lecturers.						
12	Assessment methods used are appropriate to evaluate my learning performance.						
13	Grading of my work by lecturers is transparent for me.						
14	Grading of my work by lecturers is objective.						
15	Grading of my work by lecturers provides valuable feedback to me.						
16	The university asks regularly for my opinion on the quality of the education in order to identify and improve weak points.						
17	The university asks my opinion on the quality of teaching of my lecturers.						
18	I am encouraged by the university to come up with suggestions for improvement of education.						
19	The program offers me options to experience real life labor market situations and outside class experiences.						
20	The program provides me with the necessary knowledge and skills for my future career.						

21	I am regularly involved in community service activities of the university.						
22	The university provides adequate information to prospective students.						
23	The university provides adequate information to admitted students on programs to choose.						
24	Placement of students into programs is transparent.						
25	Admitted students are supported in career planning such as selecting an appropriate study program.						
26	Incoming students' abilities are assessed and appropriate interventions arranged.						
27	Academic and non-academic counseling services are adequate.						
28	University complaints and appeals procedure function properly.						
29	Outcomes of complaints and appeals procedures are satisfactory.						
30	Data held by the university on my personal information is correct and complete.						
31	Data held by the university on my grades is correct and complete.						
32	University physical infrastructure (buildings, internal services like water and electricity) is adequate.						
33	University technological infrastructure (computers, applications, network, website and e-mail) is adequate.						
34	University academic infrastructure (science laboratories, language laboratories, libraries) is adequate.						
35	Housing and campus facilities (sports, recreation medical service etc.) are adequate.						
36	The university culture reflects quality and performance as shared values.						
37	The university culture is characterized by openness to the outside world.						
38	University decision making reflects students' interests.						
39	University policies in all area's (including ethics, academic misconduct, nepotism, HIV/AIDS and sexual harassment etc.) are communicated throughout the organization.						
40	I prefer to study at this university over other Ethiopian universities.						
41	I am satisfied with studying at this university.						

**Annex III**  
**University Organizational Capacity Assessment Tool**  
**Academic Staff Questionnaire**

Dear academic staff member,

This questionnaire is part of an organizational capacity process your university is undertaking. You are kindly asked to fill in the questions below. The questionnaire consists of two parts. The first part is about personal information. In the second part your opinion is asked about several aspects of the university.

It is an anonymous questionnaire, meaning that you won't be asked to fill in your name. The results will only be used for i) informing university management on academic staff perception of the capacity of the university and ii) for scientific purposes.

Thanks for your cooperation.

**Personal information**

1. What is your gender? Tick the appropriate box below.  
 Male  
 Female
  
2. What is your age in years?  
.....
  
3. How long have you been working in this university?  
 Less than 1 year.  
 Between 1 and 2 years  
 Between 2 and 3 years  
 Between 3 and 4 years  
 Between 4 and 5 years  
 More than 5 years
  
4. In which department are you employed?  
.....
  
5. What is your academic rank?  
 Undergraduate assistant  
 Masters holder / lecturer  
 Assistant professor  
 Associate professor  
 Full professor  
 Otherwise, explain: .....
  
6. What is your academic level?  
 Bachelor  
 Master  
 PhD

7. What is the average proportion of hours per week you are engaged in:

Education	..... %
Community service	..... %
Research	..... %
Total	100 %

8. What is the average number of hours per week you engage in self-initiated studying or reading on subject matter and / or didactics?

.....

**Opinion on university capacity indicators**

Indicate for all items in the table below or next page, the extent to which you agree with the statement on a scale from 1 to 5 by ticking the appropriate box. The scale ends are to be interpreted as 1 means 'I do not agree at all' and 5 means 'I strongly agree'. In case an item is not relevant, tick the box 'not relevant'. In case you teach in more than one program (or department) answer the question for the main program (or department) you are working in.

Item number	Item description	1	2	3	4	5	Not relevant
<i>Education (university level)</i>							
1	The university has clearly described education specific aspirations (mission, vision and goals).						
2	Education specific aspirations are known and broadly held by members of the university.						
3	The university has an adequate strategy to realize education specific aspirations.						
4	The education strategy is aligned with research, community service, human resource management and other university strategies.						
<i>Education (program / department level)</i>							
5	The learning objectives of the program are clear to me.						
6	The department holds a vision on what constitutes good education (reflecting e.g. student's characteristics and learning objectives characteristics).						
7	The educational vision is reflected in appropriate methods for teaching & learning.						
8	The curriculum of the program makes clear how each course contributes to the program learning objectives.						
9	Courses in my program are described in course outlines reflecting course learning objectives, teaching and learning activities, learning material and assessment methods.						
10	The department regularly innovates (parts of) the curriculum resulting from developments in subject matter and pedagogics.						
11	Actual teaching and learning practices in the department reflect the teaching and learning activities as described in the course / module outlines.						

12	Teaching and learning in the department reflects a mixture of theory and practice.						
13	Teaching and learning in the department reflects a mixture of knowledge and skills.						
14	Teaching and learning in the department reflects a mixture of teacher activities and student activities.						
15	Innovative teaching and learning is encouraged and rewarded.						
16	The department holds a vision on what constitutes good assessment of students' learning performance.						
17	The assessment vision is reflected in appropriate methods for evaluating students' learning performance.						
18	Actual assessment of students' learning in the department is in line with assessment description in the course outline.						
19	Actual assessment of students' learning in the department is done using a mixture of appropriate assessment methods.						
20	Grading of students' work in the department is transparent for students.						
21	Grading of students' work in the department is objective.						
22	As a member of academic staff I am involved in internal quality assurance processes.						
23	Management encourages and supports me to come up with suggestions for improvements in teaching & learning.						
24	Representatives from the labor market are involved in education in my department.						
25	The curriculum offers student adequate opportunities to acquire labor market relevant skills such e.g. problem solving, entrepreneurship, communication and teamwork.						
26	I am aware of the needs of the labor market.						
27	I frequently contact (representatives from) the labor market.						
28	I am aware of recent developments in my subject area.						
<i>Community service</i>							
29	The university has clearly described community service specific aspirations (mission, vision and goals).						
30	Community specific aspirations are known and broadly held by members of the university.						
31	The university has an adequate strategy to realize community specific aspirations.						
32	The community service strategy is aligned with research, education, human resource management and other university strategies.						

33	I am aware of the characteristics, needs and wants of the local community.							
<i>Research</i>								
34	The university has clearly described research specific aspirations (mission, vision and goals).							
35	Research specific aspirations are known and broadly held by members of the university.							
36	The university has an adequate strategy to realize research specific aspirations.							
37	The research strategy is aligned with community service, education, human resource management and other university strategies.							
38	The university has a research agenda that clearly describes research themes and priorities.							
39	The university has a research agenda that clearly describes participation of internal and external stakeholders.							
40	The university research agenda drives priority setting and resource allocation in research.							
41	The teaching load of academic staff interferes with realization of research ambitions.							
<i>University level</i>								
42	The university has clearly described its overall aspirations (mission, vision, goals).							
43	University aspirations are known and broadly held in the university.							
44	The university has clearly described the strategy to realize aspirations.							
45	University strategy is known and broadly held in the university.							
46	University strategy drives day-to-day behavior in the university.							
47	University strategy drives priority setting.							
48	Faculty is involved in strategic planning.							
49	University strategy is supported by adequate resources.							
50	University policies in all area's (including ethics, academic misconduct, nepotism, HIV/AIDS and sexual harassment etc.) are communicated throughout the organization.							
51	University management is able to influence attitudes, behavior and values of employees towards university goals.							
52	University management is able to communicate and discuss the rationale for change.							
53	The university uses feasible change management strategies and plans to realize aspirations.							

54	Information is actively exchanged to create a shared understanding among members of the university.						
55	University culture is aligned with aspirations and strategy.						
56	University culture reflects quality and performance as shared values.						
57	University culture is characterized by openness to the outside world and external focus.						
58	University beliefs, values, preferences and practices are shared throughout the university.						
59	University beliefs, values, preferences and practices provide members with a sense of identity and direction for behavior.						
60	University decision making takes into account professional authority of faculty.						
61	Faculty job description balances adequately between professional autonomy and organizational bureaucracy.						
62	Financial and non-financial compensation are adequate to recruit and retain qualified staff.						
63	Faculty is involved in the selection of academic staff.						
64	Faculty is involved in the performance evaluation of peers.						
65	Performance evaluation and rewarding is related to the strategic goals of the university.						
66	University physical infrastructure (buildings, internal services like water and electricity) is adequate.						
67	University technological infrastructure (computers, applications, network, website and e-mail) is adequate.						
68	University academic infrastructure (science laboratories, language laboratories, libraries) is adequate.						
69	Housing and campus facilities (sports, recreation medical service etc.) are adequate.						
70	I prefer to work at this university over other Ethiopian universities.						
71	I am satisfied with working at this university.						



**Annex IV**  
**University Organizational Capacity Assessment Tool**  
**Administrative Staff Questionnaire**

Dear administrative staff member,

This questionnaire is part of an organizational capacity process your university is undertaking. You are kindly asked to fill in the questions below. The questionnaire consists of two parts. The first part is about personal information. In the second part your opinion is asked about several aspects of the university.

It is an anonymous questionnaire, meaning that you won't be asked to fill in your name. The results will only be used for i) informing university management on academic staff perception of the capacity of the university and ii) for scientific purposes.

Thanks for your cooperation.

**Personal information**

1. What is your gender? Tick the appropriate box below.  
 Male  
 Female
  
2. What is your age in years?  
.....
  
3. How long have you been working in this university?  
 Less than 1 year.  
 Between 1 and 2 years  
 Between 2 and 3 years  
 Between 3 and 4 years  
 Between 4 and 5 years  
 More than 5 years
  
4. What is your total working experience in years (including working in this university)?  
 Less than 5 years.  
 Between 5 and 10 years  
 Between 10 and 15 years  
 More than 15 years
  
5. In which department are you employed?  
.....

**Opinion on university capacity indicators**

Indicate for all items in the table below or next page, the extent to which you agree with the statement on a scale from 1 to 5 by ticking the appropriate box. The scale ends are to be interpreted as 1 means 'I do not agree at all' and 5 means 'I strongly agree'. In case an item is not relevant, tick the box 'not relevant'.

Item number	Item description	1	2	3	4	5	Not relevant
1	The university has clearly described its overall aspirations (mission, vision, goals).						
2	University aspirations are known and broadly held in the university.						
3	The university has clearly described the strategy to realize aspirations.						
4	University strategy is known and broadly held in the university.						
5	University strategy drives day-to-day behavior in the university.						
6	University strategy drives priority setting.						
7	University strategy is supported by adequate resources.						
8	University policies in all area's (including ethics, academic misconduct, nepotism, HIV/AIDS and sexual harassment etc.) are communicated throughout the organization.						
9	University management is able to influence attitudes, behavior and values of employees towards university goals.						
10	University management is able to communicate and discuss the rationale for change.						
11	The university uses feasible change management strategies and plans to realize aspirations.						
12	Information is actively exchanged to create a shared understanding among members of the university.						
13	University culture is aligned with aspirations and strategy.						
14	University culture reflects quality and performance as shared values.						
15	University culture is characterized by openness to the outside world and external focus.						
16	University beliefs, values, preferences and practices are shared throughout the university.						
17	University beliefs, values, preferences and practices provide members with a sense of identity and direction for behavior.						
18	Colleagues are involved in the performance evaluation of each other.						
19	Performance evaluation and rewarding is related to the strategic goals of the university.						
20	University physical infrastructure (buildings, internal services like water and electricity) is adequate.						

21	University technological infrastructure (computers, applications, network, website and e-mail) is adequate.						
22	University academic infrastructure (science laboratories, language laboratories, libraries) is adequate.						
23	Housing and campus facilities (sports, recreation medical service etc.) are adequate.						
24	I prefer to work at this university over other Ethiopian universities or organizations.						
25	I am satisfied with working at this university.						

**Annex V**  
**Relations between questions in the four OCAT questionnaires**

**Leadership**

<i>SA question #</i>	<i>SA question item</i>	<i>Students #</i>	<i>Academic staff #</i>	<i>Administrative staff #</i>	<i>Remarks</i>
<b>Aspirations</b>					
1	Mission		42, 43	1,2	
2	Vision characteristics		42, 43	1,2	
3	Overarching goals		42, 43	1,2	
<b>Leadership</b>					
4	Inspiration		51	9	
5	Institutional transformation / change I		52	10	
6	Institutional transformation / change II		53	11	

**Planning and Control**

<i>SA question #</i>	<i>SA question item</i>	<i>Students #</i>	<i>Academic staff #</i>	<i>Administrative staff #</i>	<i>Remarks</i>
<b>Strategy</b>					
1	Overall strategy		44,45,46,47,49	3,4,5,6,7	
2	Performance targets				
3	Policies	39	50	8	
4	Performance realization				
<b>Planning and control</b>					
5	Performance measurement, analysis and adjustment				
6	Strategic planning		48		
7	Information for strategic planning				
8	Monitoring landscape				
9	Operational planning				
10	Information for operational planning				
11	Financial planning				

**Organization and Systems**

<i>SA question #</i>	<i>SA question item</i>	<i>Students #</i>	<i>Academic staff #</i>	<i>Administrative staff #</i>	<i>Remarks</i>
<b>Organizational culture</b>					
1	Organizational culture	36	55, 56	13,14	
2	Organizational culture – open mindedness	37	57	15	
3	Organizational culture strength		58, 59	16,17	
<b>Decision making</b>					
4	Decision making framework				
5	Decision making balances	38	60		
6	Decision making information				

<b>Organizational structure</b>					
7	Organizational design				
8	Individual job design		61		
9	Vertical reporting and communication lines				
10	Horizontal coordination and communication				
<b>Internal communication</b>					
11	Internal communication		54	12	
<b>External relations</b>					
12	Partnership and alliances development and nurturing				
13	Local community perceptions and interfaces				
14	Public relations and marketing				

## Education

<i>SA question #</i>	<i>SA question item</i>	<i>Students #</i>	<i>Academic staff #</i>	<i>Administrative staff #</i>	<i>Remarks</i>
<b>Education results</b>					
1	Education results				
<b>Education aspirations and strategy</b>					
2	Education aspirations		1,2		
3	Education strategy		3,4		
<b>Curricula</b>					
4	Program learning objectives	1	5		
5	Vision on learning and teaching		6,7		
6	Curriculum	3	8		
7	Course outlines	2	9		
8	Curriculum innovation	4	10,28		
<b>Teaching and learning</b>					
9	Teaching and learning practices	5,7,8,9,11	11,12,13,14		
10	Innovative teaching and learning	10	15		
11	Resources		-		
<b>Assessment of learning</b>					
12	Assessment policy		16,17		
13	Assessment practices	6,12	18,19		
14	Transparency and feedback	13,14,15	20,21		
<b>Internal quality assurance</b>					
15	Quality assurance policy	16	22		
16	Quality assurance practices		-		
17	Quality improvements	18	23		
<b>Labor market relevance and involvement</b>					
18	Labor market involvement	19	24		
19	Labor market relevance		25,26,27		

### Community service

<i>SA question #</i>	<i>SA question item</i>	<i>Students #</i>	<i>Academic staff #</i>	<i>Administrative staff #</i>	<i>Remarks</i>
<b>Community service results</b>					
1	Community service results				
<b>Community service aspirations and strategy</b>					
2	Community service aspirations		29,30,33		
3	Community service strategy		31,32		
<b>Community service involvement</b>					
4	Education and students involvement in community service	21			
5	Research involvement in community service				
6	Additional community service activities				

### Research

<i>SA question #</i>	<i>SA question item</i>	<i>Students #</i>	<i>Academic staff #</i>	<i>Administrative staff #</i>	<i>Remarks</i>
<b>Research results</b>					
1	Research results				
<b>Research aspirations and strategy</b>					
2	Research service aspirations		34,35		
3	Research strategy		36,37		
4	Research agenda		38,39,40		
<b>Research organization and management</b>					
5	Research culture				
6	Research organization structure, roles and responsibilities				
7	Research planning and monitoring				
8	Research funding and resources		41		
9	Research cooperation				

### Human Resources Management

<i>SA question #</i>	<i>SA question item</i>	<i>Students #</i>	<i>Academic staff #</i>	<i>Administrative staff #</i>	<i>Remarks</i>
<b>Human resources planning</b>					
1	Human resources planning				
<b>Human resources management cycle</b>					
2	Recruitment and selection		63		
3	Compensation		62		
4	Training and development				

5	Training and development budget				
6	Training and development efforts				
7	Performance evaluation and rewarding	17	64,65	18,19	
<b>Human resources diversity</b>					
8	Diversity management				
9	Diversity results				
<b>Human resources quality and efficiency</b>					
10	Quality and efficiency				
<b>Employee turnover as indicator of satisfaction</b>					
11	Turnover ratio		70,71	24,25	

### Student management

<i>SA question #</i>	<i>SA question item</i>	<i>Students #</i>	<i>Academic staff #</i>	<i>Administrative staff #</i>	<i>Remarks</i>
<b>Student information</b>					
1	Student recruitment and information				
2	Information for prospective students	22			
3	Selection of admitted students into study programs	24			
<b>Student support</b>					
4	Policies, processes roles and resources				
5	Information on study programs	23			
6	Career planning	25			
7	Assessing incoming students 'abilities and arrangement of interventions	26			
8	Academic and non-academic counseling services	27			
9	Identification of at risk students and adequate follow-up				
10	Complaints / appeals procedures	28,29			
<b>Student administration</b>					
11	Correctness of student data (personal and performance)	30,31			
12	Availability of student administration data for student support				
13	Availability of student administration data for management information				
<b>Alumni relations</b>					
14	Policies, processes roles and resources				
15	Alumni involvement in education				
<b>Student diversity</b>					
16	Student diversity				
<b>Student satisfaction</b>		40,41			

### Facilities and infrastructure management

<i>SA question #</i>	<i>SA question item</i>	<i>Students #</i>	<i>Academic staff #</i>	<i>Administrative staff #</i>	<i>Remarks</i>
<b>Physical infrastructure</b>					
1	Policies, processes roles and resources				
2	Adequacy	32	66	20	
<b>Technological infrastructure</b>					
	Policies, processes roles and resources				
	Adequacy	33	67	21	
<b>Academic infrastructure</b>					
	Policies, processes roles and resources				
	Adequacy	34	68	22	
<b>Housing and campus facilities</b>					
	Policies, processes roles and resources				
	Adequacy	35	69	23	



**Annex VI**  
**Sample size recommendations**

Population size (number of students, academic staff or administrative staff in the university)	Suggested sample size (5% margin of error)
50	44
100	79
150	108
200	132
250	151
300	168
400	196
500	217
750	254
1000	278
2000	322
5000	357
10000	370

Source: Saunders et al. (2009)

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