

## CHAPTER 6: RESEARCH RESULTS AND ANALYSIS

### 6.1 Introduction

In the previous chapter the problem statement, research objectives and hypotheses/propositions were outlined and discussed.

It was stated that the main objective of the study is to contextualise and integrate quality models to provide a framework for continuous improvement in higher education institutions.

In this chapter, the research results and analysis are discussed against the seven sub-objectives and the six phases during which the research was conducted

### 6.2 Phase 1 – Pre-self-assessment quality workshop

The first corporate workshop was used as a pre-workshop for the workshops to follow. This workshop provided an overview of:

- SA's competitiveness
- Service quality at UP
- International excellence models
- The Deming chain reaction
- What is institutional self-assessment?
- The SAEM

It became apparent during this workshop that respondents were not interested in a long introduction about competitiveness and service quality. The Deming chain reaction models proved to be too industrial and respondents found it difficult to translate the terminology to the higher education environment. Because quality is one of the strategic objectives at most higher education institutions there is an acceptance that initiatives must be focussed on quality improvement.

It also became apparent that it was necessary to:

- Provide a detailed description of the **11 criteria**
- Clarify **approach** and **deployment**

All these issues were addressed in the revised workshop as discussed in phase 2.

### **6.3 Phase 2 – Revised self-assessment quality workshops, questionnaires and benchmarking**

#### **6.3.1 Workshops**

During this phase workshops were conducted, the questionnaires completed and the data interpreted to enable benchmarking of the faculties and support service department.

The pre-workshop was adapted to a revised workshop to address the issues encountered in the pre-workshop. This workshop provides an overview of:

- Issues facing higher education institutions (Chapter 2).
- International excellence models (Chapter 3).
- Institutional self-assessment (Chapter 3).
- Quality models in and studies of higher education institutions (Chapter 4).
- The SAEM (Chapter 3).

Seven workshops were conducted with the five faculties and two service departments. The workshops' content was divided into three sections:

#### **Section 1 (One-and-a-half hours)**

This section provided an overview of quality and introduction to the SAEM.

#### **Section 2 (One-and-a-half hours)**

During this section the questionnaire was completed on keypads.

### Section 3 (Fifteen minutes)

In this section the results were discussed.

It is therefore possible to do a self-assessment workshop in just over three hours to obtain a snapshot view of a faculty or support service department. However, it is imperative that the results, i.e. strengths and areas for improvement be verified in a follow-up workshop where the self-assessment results are translated to strategic objectives. This follow-up workshop is discussed in 6.4.

#### 6.3.2 SAEM Public sector level 3 self-assessment questionnaire – general findings

Generally, respondents did not have difficulty in completing the questionnaire as the workshop provided an overview of quality models. During the workshop, special emphasis was placed on the scoring of the questionnaire and the scoring methodology. There was therefore little probability of the respondents not understanding how to score the enablers and results.

During the completion of the questionnaire, each **criteria, criterion part** and **areas to address** were read out loud from the screen. The respondents were then requested to score each area to be addressed on a 1 to 4 point scale on the electronic keypad provided.

Respondents were provided with a sheet explaining the methodology for scoring the enablers and results that they could continuously refer to when they were in doubt.

The respondents were enthusiastic to key in the preferred scores on the electronic keypad, rather than completing a questionnaire. It was possible to complete the whole questionnaire in 90 minutes and the results were immediately available. The actual scores were then given to the respondents.

When respondents were asked to provide proof during the results stage, it became clear that they knew that documentation existed, but they did not know where to find the information. The information was only communicated to senior staff members and support staff especially were left out of the communication loop.

Where it was necessary, terminology was explained and clarified. Respondents had particular difficulty with terminology used in criteria 1 and criteria 11. The problematic terminology is discussed in 6.2.1.

### **6.3.2.1 Terminology**

- Leaders
- Clients
- Customers
- Stakeholders
- Partners
- Suppliers
- Products
- Service
- Delivery
- Organisation
- Gross margins
- Net surplus
- Sales
- Long-term borrowing
- Total sales
- Operating cash flow
- Defect rate
- Inventory turnover

### 6.3.2.2 Criteria

- The respondents had particular difficulty with the **organisational results** criteria and could not translate the financial terminology into terminology familiar to a higher education institution.

### 6.3.2.3 Criterion parts

- The respondents had difficulty with criterion parts that combined various concepts

### 6.3.2.4 Specific findings per criteria

#### Criteria 1

Fig 15: Criteria 1

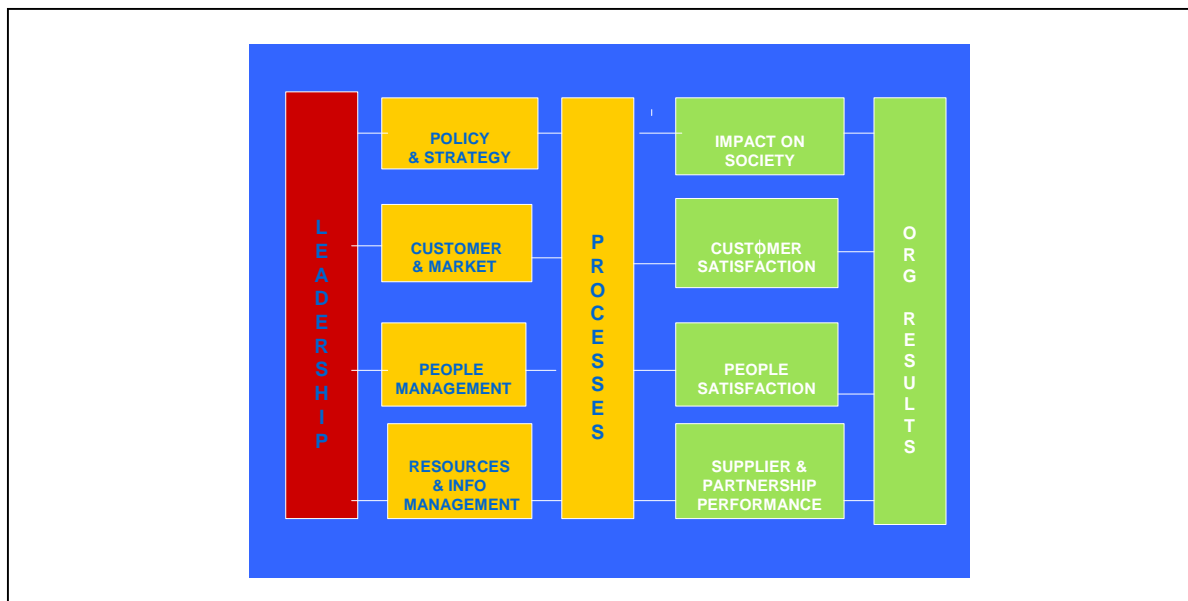


Table 7: Criteria 1 – Leadership

SAEM public sector level 3 questionnaire	Proposed questionnaire
<b>Criterion 1: Leadership</b>	<b>Criterion 1: Leadership</b> Considers how leaders of all levels inspire a culture of continuous improvement through their behaviour and the example they set. A key element is visible involvement in the setting and supporting of client*-orientated goals, balanced with political targets. Leaders need to show a clear understanding of who their various clients and stakeholders* are and their differing requirements. Leaders should demonstrate clear commitment to staff, clients* and stakeholders
<b>1a</b> How leaders visibly demonstrate their commitment to a culture of <b>Performance Excellence</b> . 1a.1 Do the leaders in my <b>organisation</b> set <b>organisation</b> direction and seek future opportunities for the <b>organisation</b> ?	1a How leaders* visibly demonstrate their commitment to a culture of <b>continuous improvement</b> Do the leaders in my <b>institution</b> *: 1a.1 Set institution direction and seek future opportunities for the institution?
1a.3 Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	1a.3 Make themselves accessible, listen and respond to the institution's <b>employees, clients</b> and stakeholders?
1a.5 Do the leaders in my organisation actively become involved in transformation processes?	1a.5 Become actively <b>and personally</b> involved in transformation processes?
<b>1b</b> How do leaders support improvement and involvement?	<b>1b</b> How leaders support improvement and involvement by providing appropriate resources and assistance. How they are involved with clients*, stakeholders* and suppliers*.
1b.3 Do the leaders in my organisation become involved with <b>customers, partners</b> and supplier chains to understand and respond to mutual interests?	1b.3 Become involved with <b>clients, stakeholders*</b> and <b>suppliers*</b> to understand and respond to mutual interest?

\* Note: Where a change has been explained once, it will not be repeated again.

#### General changes:

- **Clients** rather than **customers** will be used
- **Stakeholders** rather than **partners** will be used
- **Institution**, rather than **organisation** is used

## Criteria

- In the SAEM Public sector level 3 self-assessment questionnaire, the criteria are not defined. It is necessary to clearly define the criteria throughout the questionnaire
- The following **clients** are defined in a higher education context:
  - o **Internal**
    - ✓ Current students
    - ✓ Staff
  - o **External**
    - ✓ Parents
    - ✓ Prospective students
- The following **stakeholders** are defined in a higher education context:
  - o Central, provincial and local government
  - o Donors
  - o Embassies
  - o Local community
  - o Employers

## Criterion parts

- 1 a The following **leaders** are defined in a higher education context:
  - o **Corporate leaders**
    - ✓ Council
    - ✓ Vice-chancellor and principal
    - ✓ Vice-principals
    - ✓ Advisors
  - o **Faculty leaders**
    - ✓ Dean
    - ✓ Head of department
    - ✓ School chairman

- o **Department leaders**
  - ✓ Director
  - ✓ Deputy-director
  - ✓ Assistant director
- 1 b **by providing appropriate resources and assistance. How they are involved with clients\* and suppliers\***has been added.

#### **Areas to address**

- Instead of repeating **do the leaders ...** in every area to address, it is used once in the criterion part
- 1 a Instead of **performance excellence, continuous improvement** is used. This concept is discussed in the preceding workshop
- 1 a 1 Throughout, **institution** replaces **organisation**
- 1a 3 Instead of **people, employees** is used and **clients** are added
- 1 b 3 Throughout, **clients** replace **customers**
- 1 b 3 The following **suppliers** are defined in a higher education context:
  - o Security
  - o IT
  - o Caterers
  - o Cleaners
  - o Building contractors
- 1 a 5 Add **and personally**



## Criteria 2

Fig 16: Criteria 2

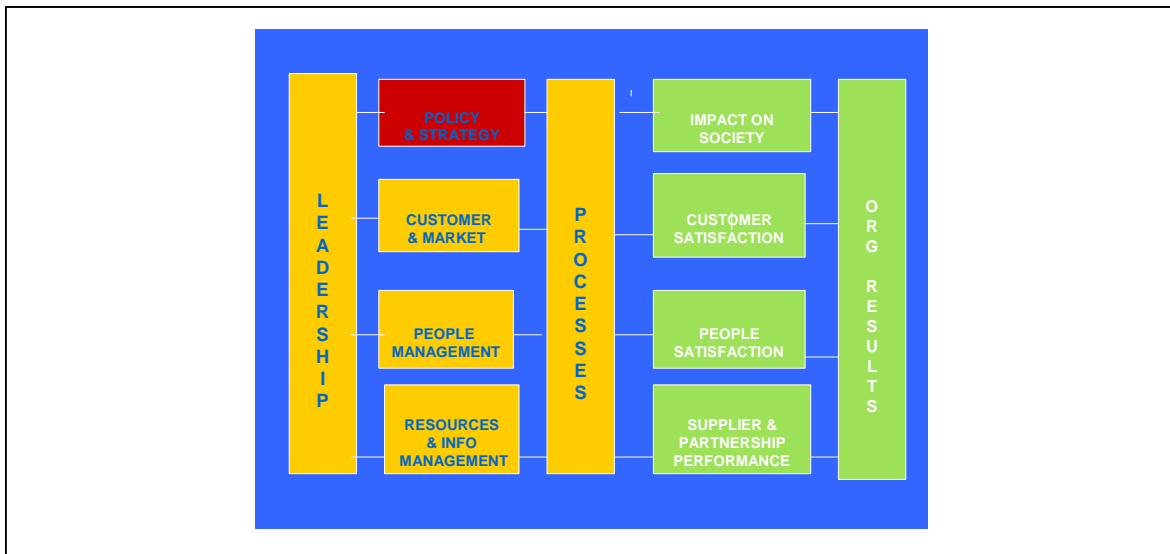


Table 8: Criterion 2 – Policy and Strategy

Criterion 2: Policy and Strategy	Criterion 2: Policy and strategy
	<p><b>How the institution formulates, deploys, reviews and turns policy and strategy into plans and actions. Policy and strategy will address internal culture, structure and operations with regard to the priorities, direction and needs of clients, stakeholders, community and politicians. Institutions should establish and describe their policy and strategy including their processes and plans and show how they are appropriate, as a cohesive whole, to their own circumstances</b></p>
<p><b>2a How policy and strategy are developed, communicated and implemented.</b></p> <p>2a.1 Does my organisation develop policy and strategy based upon:</p> <ul style="list-style-type: none"> <li>○ performance indicators?</li> <li>○ <b>customer</b> and stakeholder requirements?</li> <li>○ <b>organisation's</b> peoples capabilities?</li> <li>○ supplier and partner capabilities?</li> <li>○ government initiatives, directions and standards?</li> </ul>	<p><b>2a How policy and strategy are developed, communicated and implemented and how the institution identifies, aggregates, analyses and uses information</b></p> <p><b>2a.1 How does my institution:</b></p> <p>Develop policy and strategy based upon:</p> <ul style="list-style-type: none"> <li>○ performance indicators/<b>strategic drivers</b>?</li> <li>○ <b>client</b> and <b>stakeholder</b> requirements?</li> <li>○ <b>institution's</b> people capabilities?</li> <li>○ supplier and <b>stakeholder</b> capabilities?</li> </ul>

## Criteria

- The criterion is clearly defined

## Criterion parts

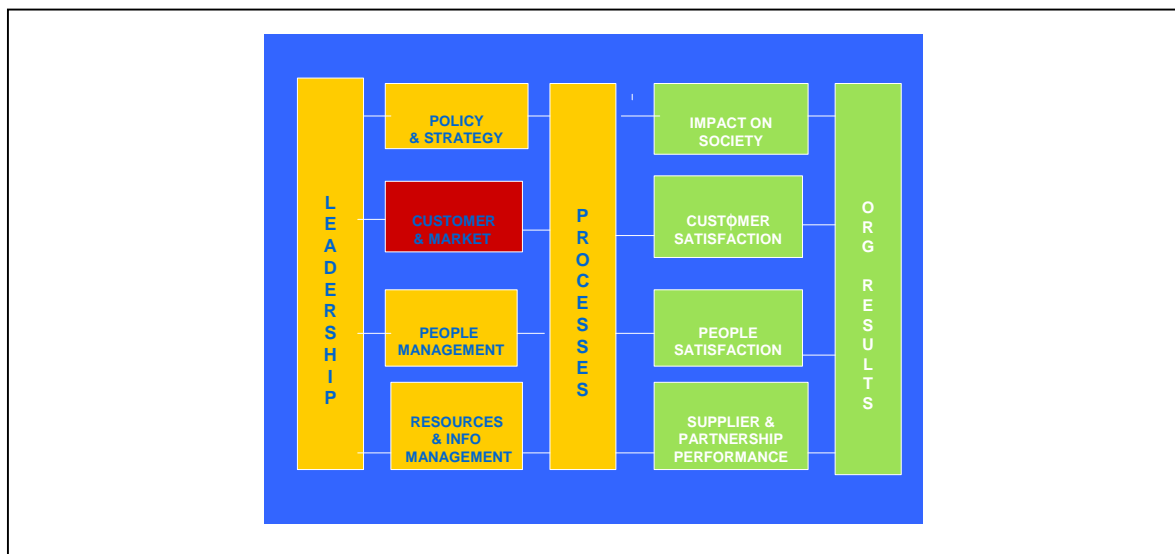
- **2a 2 and how the institution identifies, aggregates, analyses and uses information**, is added
- **Strategic drivers** is added to elaborate on performance indicators

## Areas to address

- 2a 1 The following **partners** are defined in a higher education context:
- **Partners**
- African higher education sector
- Overseas higher education sector
- Professional groups
- Industry

## Criteria 3

Fig 17: Criteria 3



**Table 9: Criterion 3 – Customer and Stakeholder Focus**

<b>Criterion 3: Customer and Stakeholder Focus</b>	<b>Criterion 3: Client and stakeholder focus</b> <b>How the institution:</b> <ul style="list-style-type: none"> <li>• <b>determines the needs, requirements and expectations of clients and stakeholders</b></li> <li>• <b>enhances relationships and determines</b></li> <li>• <b>satisfaction of clients and stakeholders.</b></li> </ul>
	<b>3b How client and stakeholder satisfaction is determined.</b> <b>Does my institution:</b> 3b.1 Follow up with clients and stakeholders on products* and services* to receive prompt and actionable feedback?

**Criteria**

- The criterion is clearly defined

**Criterion parts**

- None

**Areas to address**

- 3b 1 The following **products** and **service** are defined in a higher education context:

**Products**

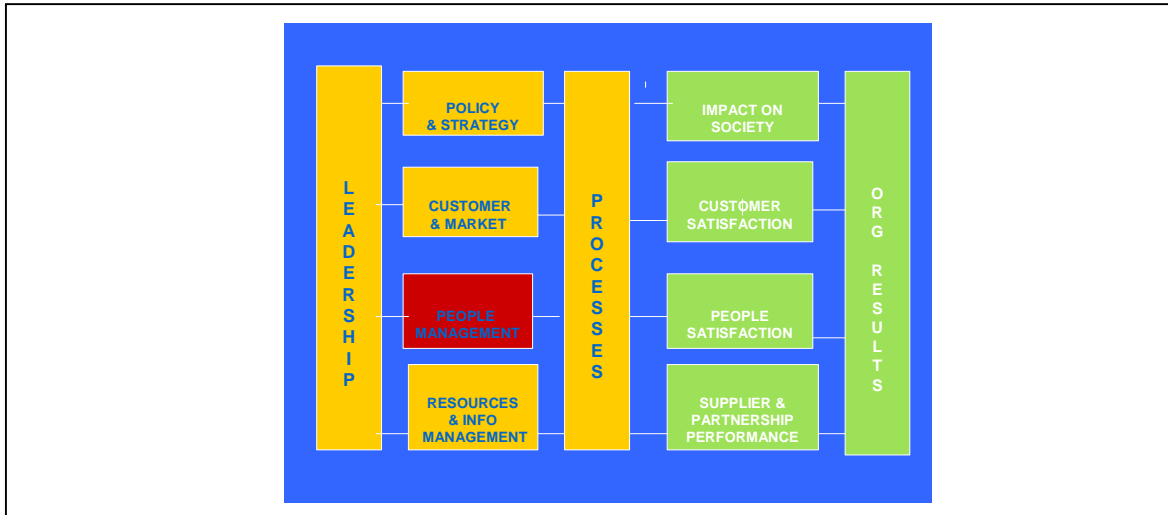
- Degrees
- Diplomas
- Short courses
- Research articles

**Service**

- Teaching

**Criteria 4**

**Fig 18: Criteria 4**



**Table 10: Criterion 4 – People Management**

<p><b>Criterion 4: People Management</b></p>	<p><b>Criterion 4: People management</b>                  The people of the institution include all the staff and others who directly or indirectly serve clients. It is about what an institution does to release the full potential of its people. It considers the development of people, their empowerment to deliver improvements and considers dialogue up, down and across the institution</p>
<p>4 a 1 Does my organisation align the <b>people resources</b> plan with policy, strategy and values</p>	<p>4 a 1 Align the <b>human</b> resources plan</p>

**Criteria**

- The criterion is clearly defined

**Criterion parts**

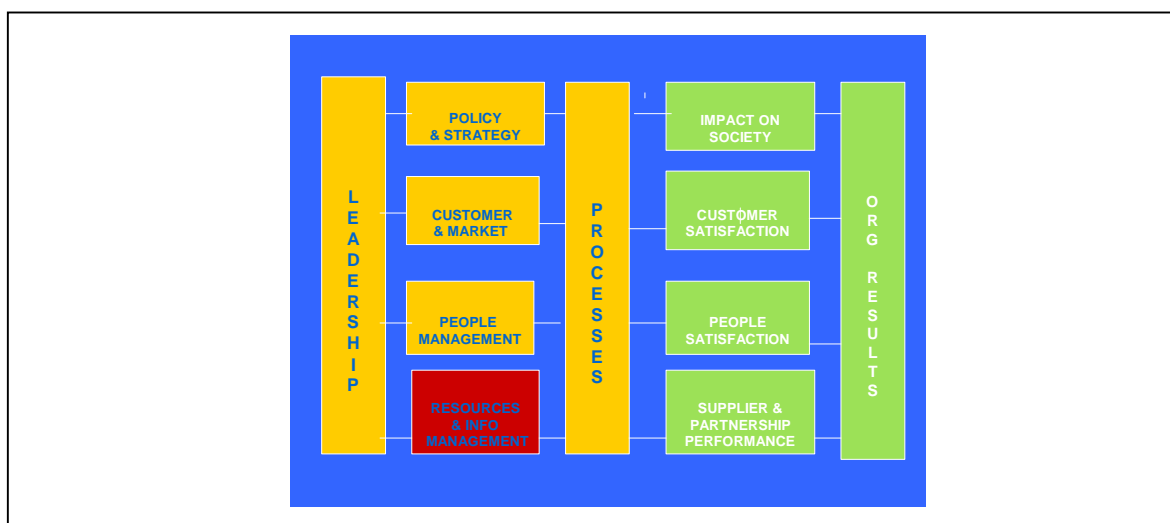
- None

**Areas to address**

- 4a 1 **Human** resources replaces **people** resources

**Criteria 5**

**Fig 19: Criteria 5**



**Table 11: Criterion 5 – Resources and information management**

Criterion 5: Resources and information management	Criterion 5: Resources and information management
	How the institution manages and uses resources and information effectively and efficiently

**Criteria**

- The criterion is clearly defined

**Criterion parts**

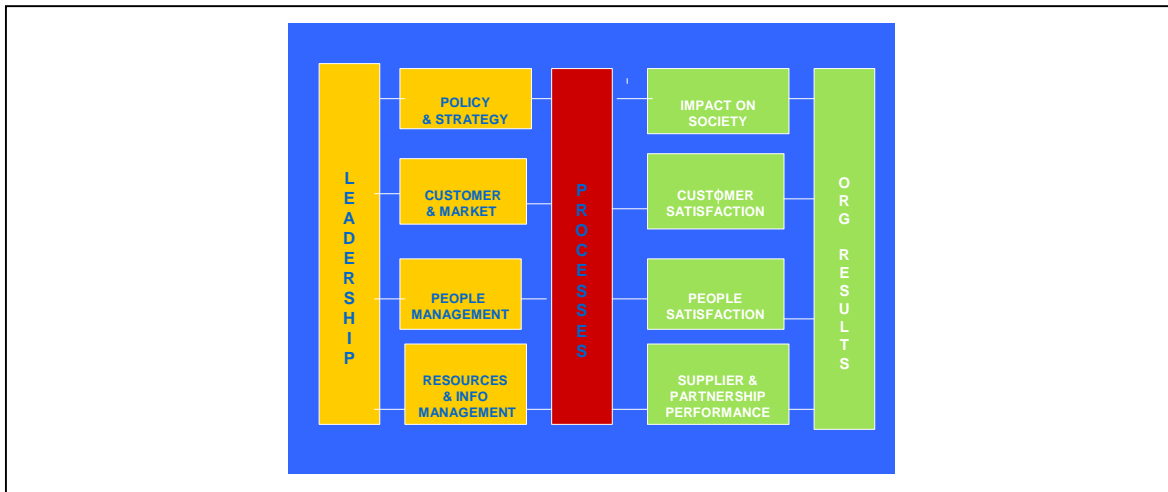
- None

**Areas to address**

- None

**Criteria 6**

**Fig 20: Criteria 6**



**Table 12: Criterion 6 – Processes**

Criterion 6: Processes	Criterion 6: Processes
	<p><b>How processes are identified, designed, managed, evaluated and improved. Critical processes relate to the delivery of key services and the support processes essential to the running of the organisation. A key to the identification, evaluation and improvement of processes should be their contribution and effectiveness in relation to the mission of the institution</b></p>
<p>6a.2 Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?</p>	<p>6a.2 Incorporate changing client and stakeholder requirements into product and service processes?</p>
<p>6b.2 Does my organisation encourage the innovation and creative talents of employees in process improvement?</p>	<p>6b.2 Encourage the innovation and creative talents of staff in process improvement?</p>

**Criteria**

- The criterion is clearly defined

### Criterion parts

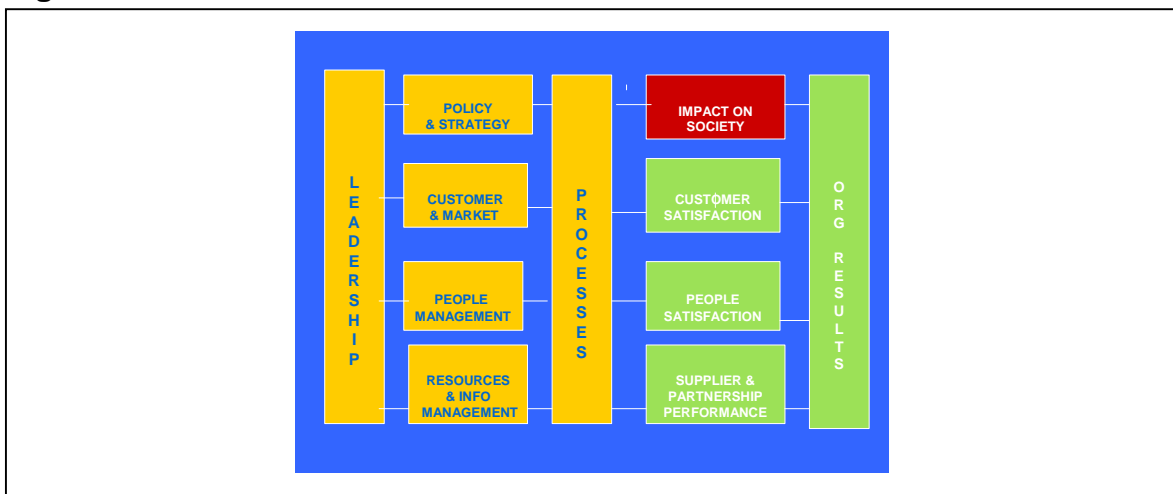
- **None**

### Areas to address

- **Processes**
  - o Financial (UNIKOM)
  - o Human Resources
  - o IT
- **Delivery**
  - o Provision of test/exam results

### Criteria 7

**Fig 21: Criteria 7**



**Table 13: Criterion 7 – Social Responsibility**

Criterion 7: Social Responsibility	Criterion 7: impact on society
	<p><b>What an institution achieves in relation to local, national and international society at large. This includes the perception of the institution's approach to:</b></p> <ul style="list-style-type: none"> <li>- <b>quality of life</b></li> <li>- <b>environment and the conservation of global resources</b></li> <li>- <b>institution's own internal measures of effectiveness</b></li> <li>- <b>its relations with other authorities and bodies which affect and regulate its business</b></li> </ul>
7.3 Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	7.3 Handling of changes in employment levels? (mergers, retrenchments etc)

**Criteria**

- The criterion is clearly defined
- Instead of **social responsibility**, **impact on society** is used

**Criterion parts**

- None

**Areas to address**

- None



Criteria 8

Fig 22: Criteria 8

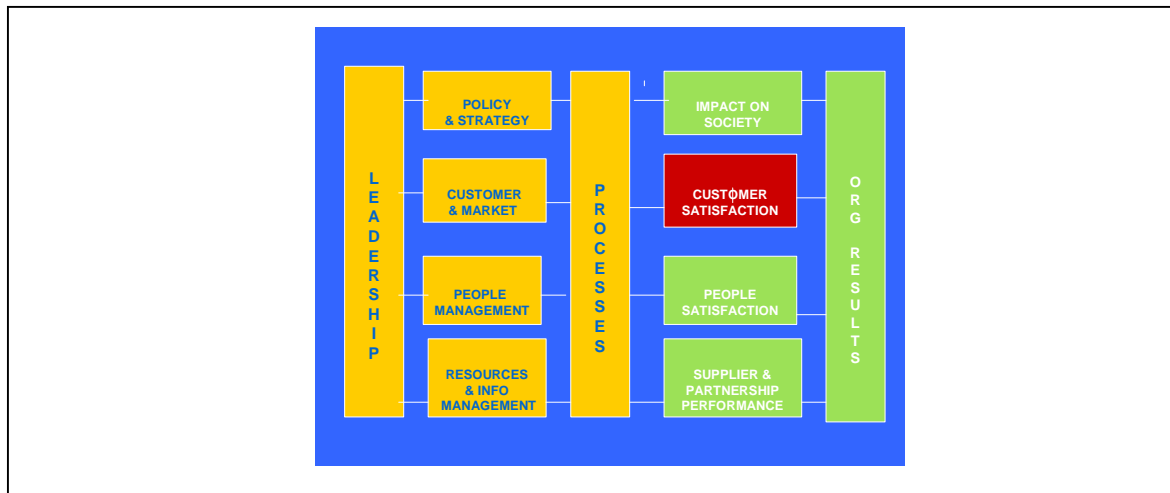


Table 14: Criterion 8 – Customer and Stakeholder Satisfaction

Criterion 8: Customer and Stakeholder Satisfaction	Criterion 8: Client and stakeholder satisfaction
	<p>What the institution is achieving in relation to the satisfaction of its external clients and stakeholders. What levels of client satisfaction does a higher education institution achieve? e.g. what does measurable student feedback show? What image do students have of the institution?</p>
<p><b>8 Measurements relating to the satisfaction of the organisation’s customers and stakeholders.</b>                      8.1 Does my organisation have results (supported by numbers) that show trends in relation to improved overall image?                      Areas to consider are:</p> <ul style="list-style-type: none"> <li>○ fairness and courtesy</li> <li>○ integrity</li> <li>○ level of customer satisfaction and dissatisfaction</li> <li>○ communication</li> <li>○ awards and accolades received.</li> </ul>	<p><b>Measurements relating to the satisfaction of the institution’s clients and stakeholders. Measurements used by the institution to understand, predict and improve the satisfaction and loyalty of external clients</b>                      8.1 Does my institution have results (supported by numbers) that show trends in relation to:</p> <p>Improved overall image:</p> <ul style="list-style-type: none"> <li>○ fairness and courtesy</li> <li>○ integrity</li> <li>○ level of client satisfaction and dissatisfaction</li> <li>○ communication</li> <li>○ awards and accolades received.</li> </ul>

**Criteria**

- The criterion is clearly defined

**Criterion parts**

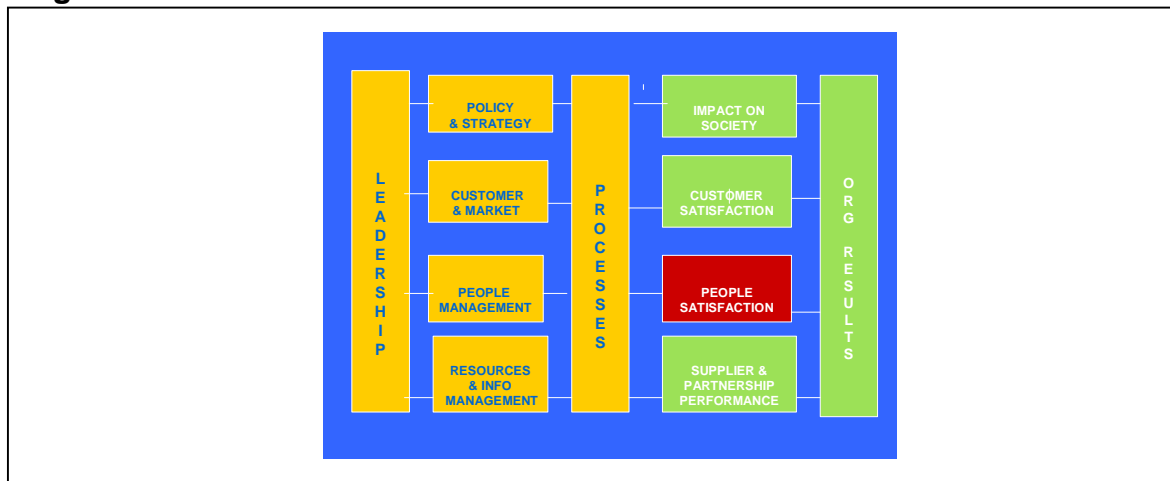
- None

**Areas to address**

- None

**Criteria 9**

**Fig 23: Criteria 9**



**Table 15: Criterion 9 – People Satisfaction**

Criterion 9: People Satisfaction	Criterion 9: People satisfaction
	<p><b>Demonstrate the performance of the institution in satisfying the needs, requirements and expectations of its people. This should be done by presenting results, trends, targets and comparisons with competitors or “best in class” institutions. Information on the relevance of the measurement to the institution’s people should also be presented</b></p>

**Criteria**

- The criterion is clearly defined

**Criterion parts**

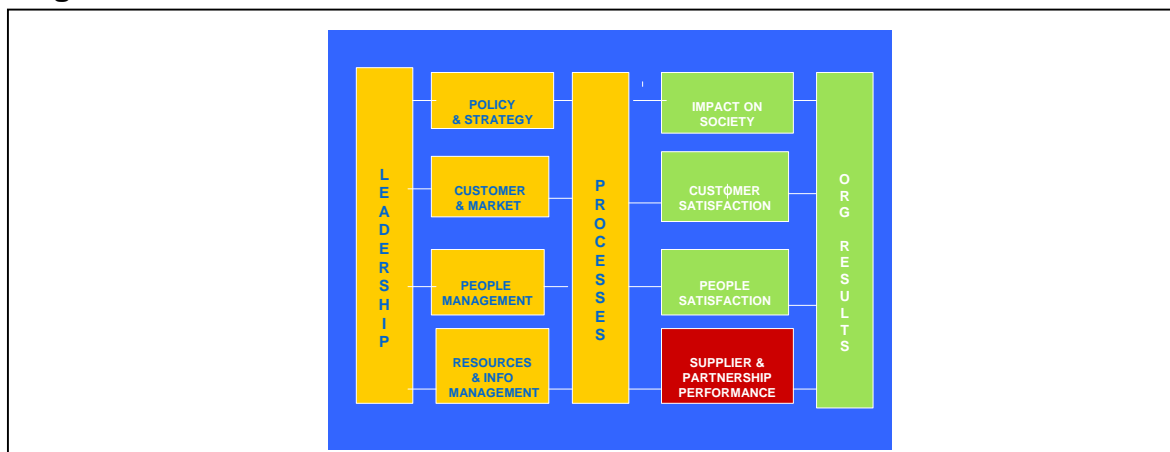
- None

**Areas to address**

- None

**Criteria10**

**Fig 24: Criteria10**



**Table 16: Criterion 10 – Suppliers and Partnership Performance**

<b>Criterion 10: Suppliers and Partnership Performance</b>	<b>Criterion 10: Supplier* and partnership* performance</b> Refer definitions in 8.4.1
<p><b>Measurements relating to the performance of the organisation's suppliers and partners.</b></p> <p>10.1 Does my organisation have results (supported by numbers) that show trends in integrity?</p>	<p><b>What an institution is doing to ensure that suppliers and partners are providing optimum service</b></p>
<p>10.2 Does my organisation have results (supported by numbers) that show trends in reliability?</p>	<p><b>10.1 Measurements relating to the performance of the institution's suppliers and partners. Does my institution have results eg surveys, structured appraisals, focus groups (supported by numbers) that show trends in relation to:</b></p> <ul style="list-style-type: none"> <li>• integrity?</li> <li>• reliability?</li> <li>• performance levels?</li> <li>• cost reduction due to performance audit?</li> <li>• enhancement of supplier and partner knowledge?</li> <li>• continuous improvement in product and service quality?</li> <li>• speed of response to client complaints?</li> <li>• added value of partnerships?</li> <li>• equity principles (for example, employment practices and SMME's?)</li> </ul>

**Criteria**

- The criterion is clearly defined
- Instead of organisational results, institutional results is used

**Criterion parts**

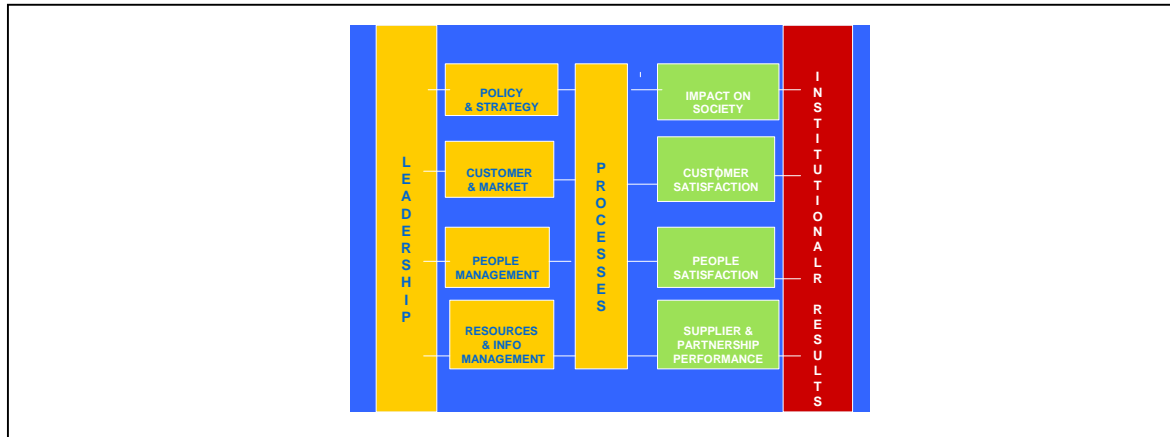
- None

**Areas to address**

- All 10 areas to address have been combined in one area to address supplier and partnership performance

**Criteria 11**

**Fig 25: Criteria 11**



**Table 17: Criterion 11 – Organisation Results**

Criterion 11: Organisation Results	Criterion 11: Organisation results
	<b>Considers what a higher education institution is achieving against its stated planned performance. Measured performance may include financial and non-financial results</b>
<p><b>11a Financial measurements of the organisation’s performance.</b>                      11a.1 Does my organisation have results (supported by numbers) that show trends in areas such as:</p> <ul style="list-style-type: none"> <li>○ gross margins?</li> <li>○ net surplus (for example, trading services)?</li> <li>○ Sales (for example, electricity and water)?</li> </ul>	<p><b>11a Financial measurements of the institution’s performance.</b>                      11a.1 <b>Does my institution have results (supported by numbers) that show trends in financial areas such as:</b></p> <ul style="list-style-type: none"> <li>○ income?</li> <li>○ expenditure?</li> <li>○ increase in % budget allocation?</li> </ul>
<p>11a.2 Does my organisation have results (supported by numbers) that show trends in balance sheet items including</p> <ul style="list-style-type: none"> <li>○ long term borrowing?</li> <li>○ total sales?</li> <li>○ working capital (including inventory turnover)?</li> </ul>	<p><b>11a.2 Does my institution have results (supported by numbers) that show trends in financial areas such as:</b></p> <ul style="list-style-type: none"> <li>○ contribution to overheads?</li> <li>○ surplus funds?</li> </ul>

<p>11a.3 Does my organisation have results (supported by numbers) that show trends in areas such as:</p> <ul style="list-style-type: none"> <li>○ operating cash flow?</li> </ul>	<p><b>11a.3 Does my institution have results (supported by numbers) that show trends in financial areas such as:</b></p> <ul style="list-style-type: none"> <li>○ operating cash flow?</li> </ul>
<p>11a.4 Does my organisation have results (supported by numbers) that show trends in other relevant areas such as:</p> <ul style="list-style-type: none"> <li>○ outstanding debtors (for example, non-payment and credit control)?</li> <li>○ return on funds?</li> </ul>	<p><b>11a.4 Does my institution have results (supported by numbers) that show trends in financial areas such as</b></p> <ul style="list-style-type: none"> <li>○ unpaid students' fees?</li> <li>○ course prices?</li> </ul>
<p>11b Additional measurements of the organisation's performance.</p> <p>11b.1 Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?</p>	<p><b>11b Non-financial measurements of the institution's performance.</b></p> <p><b>11b.1 Results (supported by numbers) that show trends in non-financial areas (academic products) in:</b></p> <ul style="list-style-type: none"> <li>○ number of programmes/modules</li> <li>○ number of programme/modules enrolments</li> <li>○ number of new programmes/modules instituted</li> <li>○ number of programmes/modules phased out</li> <li>○ number of envisaged new programmes/modules</li> <li>○ potentially uneconomical modules/programmes</li> <li>○ number of modules presented on Web CT</li> </ul>
<p>11b 2 Does my organisation have results (supported by numbers) that show trends in key processes relating to areas such as:</p> <ul style="list-style-type: none"> <li>○ defect rate?</li> <li>○ productivity?</li> <li>○ service time?</li> </ul>	<p><b>11b.2 Results (supported by numbers) that show trends in non-financial areas (students) such as:</b></p> <ul style="list-style-type: none"> <li>○ student pass rate</li> <li>○ student drop out rate</li> <li>○ success rate (EFTE*'s to PFTE**'s)</li> <li>○ number of undergraduates models iro which the pass rate &lt; 70%</li> </ul> <p><b>*EFTE's=enrolled full-time equivalents</b>  <b>**PFTE's =passed full-time equivalents</b></p>
<p>11b.3 Does my organisation have results (supported by numbers) that show trends in information relating to areas such as:</p> <ul style="list-style-type: none"> <li>○ accessibility?</li> <li>○ relevance?</li> <li>○ timeliness?</li> </ul>	<p><b>11b.3 Results (supported by numbers) that show trends in non-financial areas (under and postgraduate numbers) in:</b></p> <ul style="list-style-type: none"> <li>○ undergraduate</li> <li>○ honours</li> <li>○ masters</li> <li>○ doctorates</li> <li>○ number of new first years</li> <li>○ number of first time first years</li> </ul>

<p>11b.4 Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as:</p> <ul style="list-style-type: none"> <li>○ inventory turnover?</li> <li>○ price?</li> <li>○ response time?</li> </ul>	<p><b>11b.4 Results (supported by numbers) that show trends in non-financial areas (under and postgraduate numbers) such as:</b></p> <ul style="list-style-type: none"> <li>○ quality of new first year students-M-score</li> <li>○ effective subsidy students (ESS's)</li> <li>○ enrolled full-time equivalents (EFTE's)</li> </ul>
<p>11b.5 Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as:</p> <ul style="list-style-type: none"> <li>○ maintenance costs?</li> <li>○ utilisation?</li> </ul>	<p><b>11b.5 Results (supported by numbers) that show trends in non-financial areas (research) such as:</b></p> <ul style="list-style-type: none"> <li>○ accredited research output per C1</li> <li>○ NRF rated researchers</li> <li>○ nature and extent of research output</li> </ul>
<p>11b.6 Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as:</p> <ul style="list-style-type: none"> <li>○ impact on service efficiency?</li> </ul>	<p><b>11b.6 Results (supported by numbers) that show trends in non-financial areas (lecturers/students) such as:</b></p> <ul style="list-style-type: none"> <li>○ lecturer/student ratio</li> </ul>

### Criteria

- The criterion is clearly defined

### Criterion parts

- The criterion part has been divided into two areas:
- 11 a Financial measurements of the institution's performance
- 11b Non-financial measurements of the institution's performance

### Areas to address

- **Note that the terminology that is used is consistent with terminology used in Faculty Plans**
- 11a.1 Instead of gross margins, net surplus and sales, **income, expenditure and increase % budget allocation are used**
- 11a.2 Instead of long term borrowing and total sales, **contribution to overheads and surplus funds** are used

- 11a.4 Instead of outstanding debtors and return on funds, **unpaid students' fees** and **course prices** are used
- 11b.1 **Results (supported by numbers) that show trends in non-financial areas (academic products) in:**
  - o number of programmes/modules
  - o number of programme/modules enrolments
  - o number of new programmes/modules instituted
  - o number of programmes/modules phased out
  - o number of envisaged new programmes/modules
  - o potentially uneconomical modules/programmes
  - o number of modules presented on Web CT
- **11b.2 Results (supported by numbers) that show trends in non-financial areas (students) such as:**
  - o student pass rate
  - o student drop out rate
  - o success rate (EFTE\*'s to PFTE\*\*'s)
  - o number of undergraduates models iro which the pass rate < 70%
- **\*EFTE's=enrolled full-time equivalentents**
- **\*\*PFTE's =passed full-time equivalentents**
- **11b.3 Results (supported by numbers) that show trends in non-financial areas (under - and postgraduate numbers) in**
  - o undergraduate
  - o honours
  - o masters
  - o doctorates
  - o number of new first years
  - o number of first-time first years
- **11b.4 Results (supported by numbers) that show trends in non-financial areas (under - and postgraduate numbers) such as**
  - o quality of new first year students- M-score
  - o effective subsidy students (ESS's)
  - o enrolled full-time equivalentents (EFTE's)



- **11b.5 Results (supported by numbers) that show trends in non-financial areas (lecturers) such as**
  - o accredited research output per C1
  - o NRF rated researchers
  - o nature and extent of research output
- **11b.6 Results (supported by numbers) that show trends in non-financial areas (lecturers/students) such as**
  - o Lecturer/student ratio

#### 6.3.2.5 Format

The four-point scale was used.

**Table 18: Scoring format**

<b>SAEM level 3 – Public service</b>			
<b>Scoring the enablers and results</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
Not started	Some progress	Good progress	Fully achieved

6.3.2.6 Scoring

6.3.2.6.1 Enablers

Fig 26: Enablers

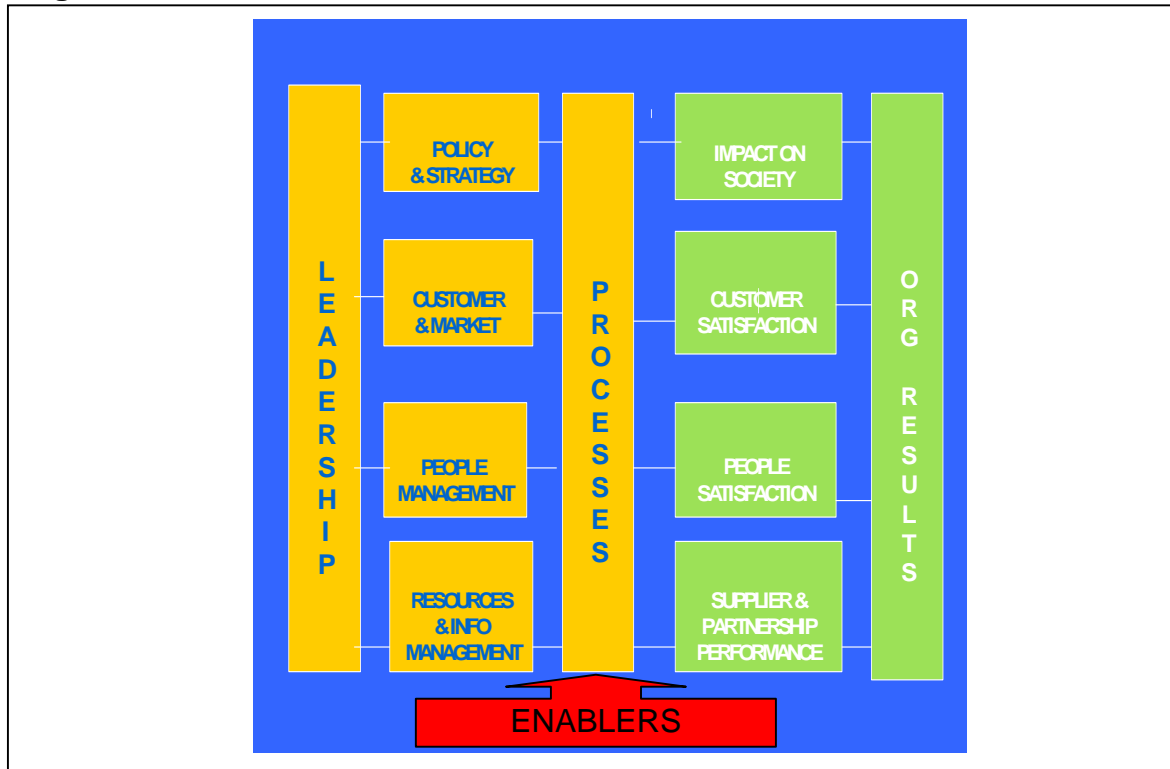


Table 19: Scoring the SAEM enablers

Areas of improvement are scores of 1 and 2	
Score 1 (not started)	<ul style="list-style-type: none"> <li>Someone may have some good ideas, but nothing has happened yet</li> </ul>
Score 2 (some progress)	<ul style="list-style-type: none"> <li>Some evidence of soundly based, systematic approaches and prevention based systems</li> <li>Subject to occasional review</li> <li>Some areas of integration into normal operations</li> </ul>
Strengths are scores of 3 and 4	
Score 3 (good progress)	<ul style="list-style-type: none"> <li>Evidence of soundly based, systematic approaches and prevention based systems</li> <li>Subject to regular review with respect to institutional effectiveness</li> <li>Integration into normal operations and planning well established</li> </ul>

<p>Score 4 (fully achieved)</p>	<ul style="list-style-type: none"> <li>• Clear evidence of soundly based, systematic approach and prevention based systems</li> <li>• Clear evidence of refinement and improved institutional effectiveness through review cycles</li> <li>• Good integration of approach into normal operations and planning</li> </ul>
---------------------------------	--

6.3.6.2.1 Results

Fig 27: Results

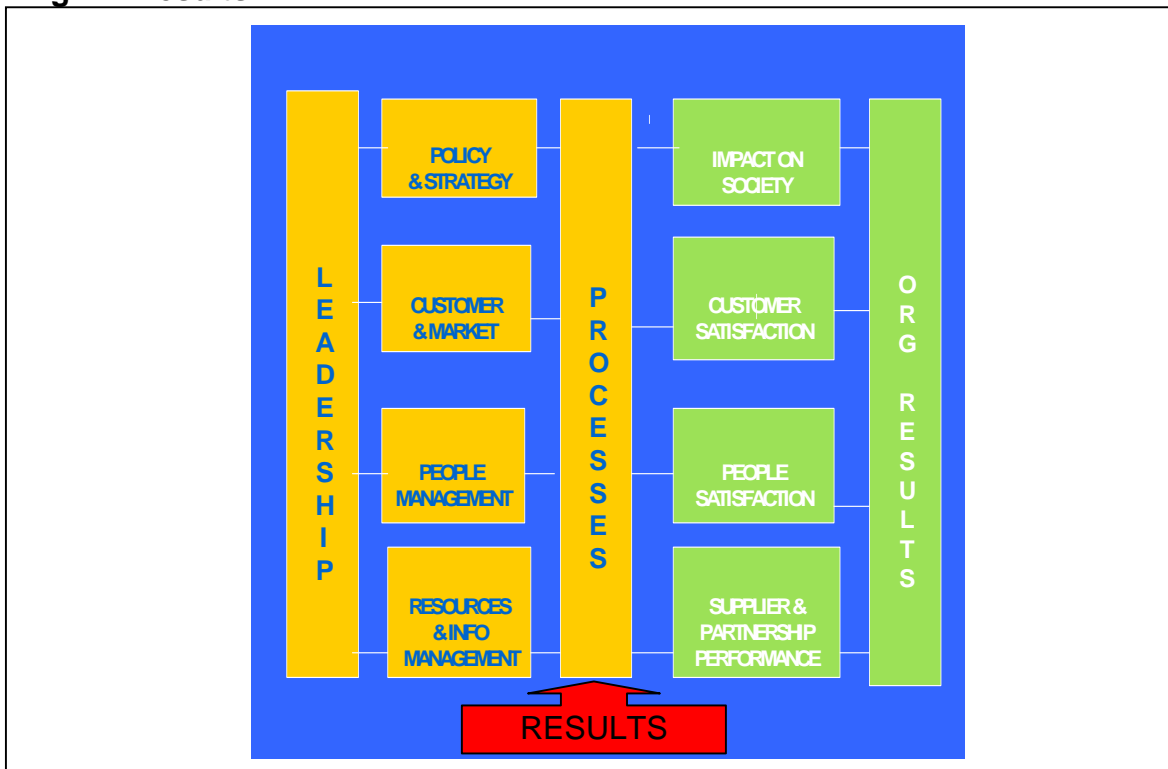


Table 20: Scoring the SAEM results

<p>Areas of improvement are scores of 1 and 2</p>	
<p>Score 1 (no measurements)</p>	<ul style="list-style-type: none"> <li>• No data available. No results or information at all</li> </ul>
<p>Score 2 (some measurements)</p>	<ul style="list-style-type: none"> <li>• Some results show positive trends and /or satisfactory performance</li> <li>• Some favourable comparisons with own targets</li> </ul>

<b>Strengths are scores of 3 and 4</b>	
Score 3 (good progress)	<ul style="list-style-type: none"> <li>• Many results show positive trend and/or sustained good continued performance over at least three years</li> <li>• Favourable comparisons with own targets in many cases</li> <li>• Some comparisons with other institutions</li> <li>• Some results are caused by approach</li> </ul>
Score 4 (fully achieved)	<ul style="list-style-type: none"> <li>• Most results show strong positive trends and/or sustained excellent performance over at least three years</li> <li>• Favourable comparisons with own targets in most cases</li> <li>• Favourable comparisons with other institutions in many areas</li> <li>• Many results are caused by approach</li> </ul>

### **6.3.3 Benchmarking faculties and service departments**

The five faculties and the one service department were benchmarked with the corporate findings. The corporate respondents group represented faculties and service departments, and respondents were requested to assess the whole university and not the faculty or department they represented.

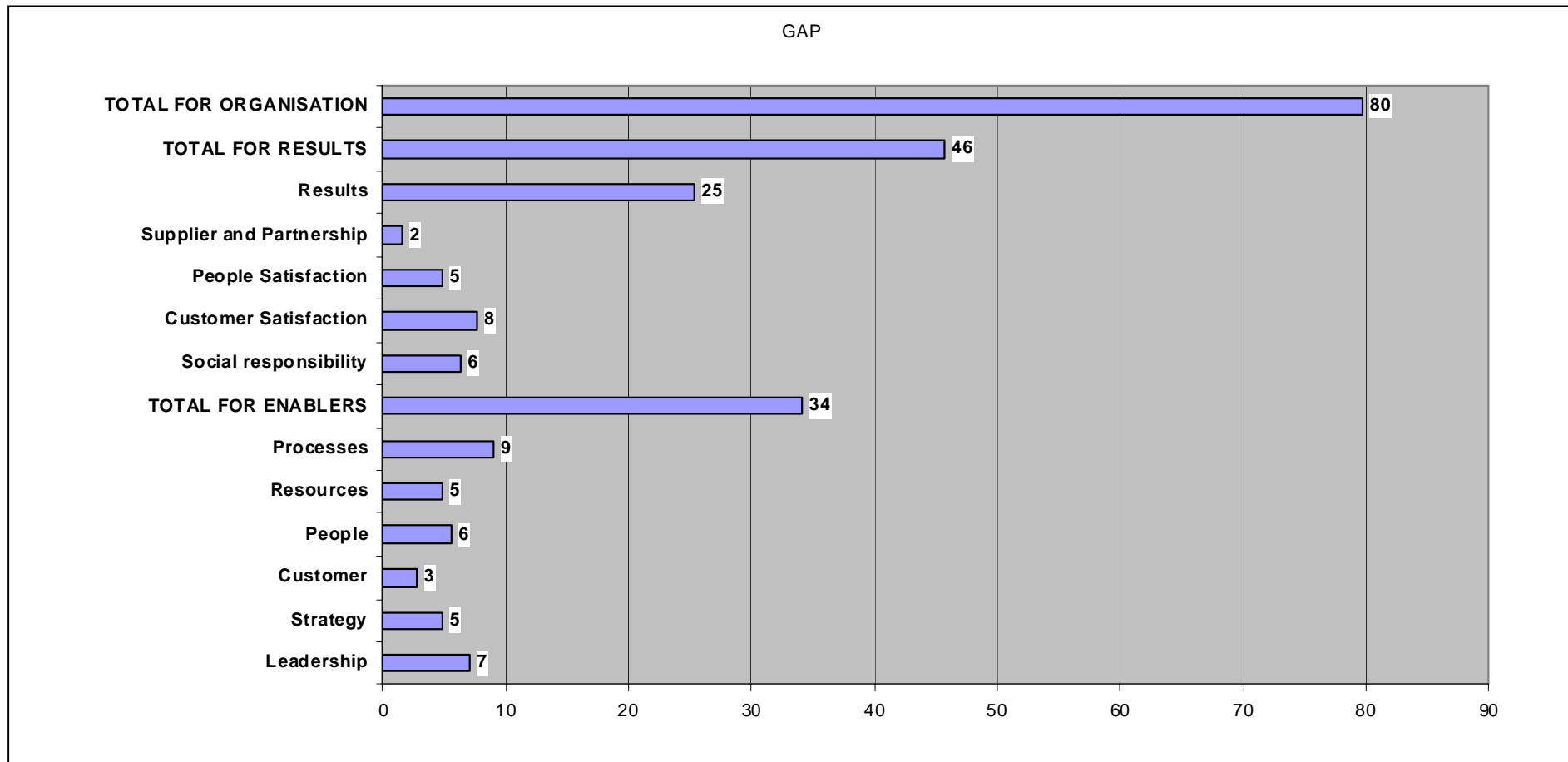
A summary of the **areas for improvement** and **strengths** per faculty and department is provided in **APPENDIX 3**.

A summary of every respondent per faculty and department is provided in **APPENDIX 4**.

**Corporate results****Table 21: Actual score against weighted points and the difference**

<b>RESULTS</b>	<b>A</b>	<b>B</b>	<b>C</b>
<b>CORPORATE</b>	<b>Actual score</b>	<b>Weighted points</b>	<b>Difference</b>
Leadership	7	25	18
Strategy	5	17	12
Customer	3	15	12
People	6	23	17
Resources	5	15	10
Processes	9	30	21
<b>TOTAL FOR ENABLERS</b>	<b>34</b>	<b>125</b>	<b>91</b>
Social responsibility	6	15	9
Customer Satisfaction	8	43	35
People Satisfaction	5	22	17
Supplier and Partnership	2	7	5
Results	25	38	13
<b>TOTAL FOR RESULTS</b>	<b>46</b>	<b>125</b>	<b>79</b>
<b>TOTAL FOR ORGANISATION</b>	<b>80</b>	<b>250</b>	<b>170</b>

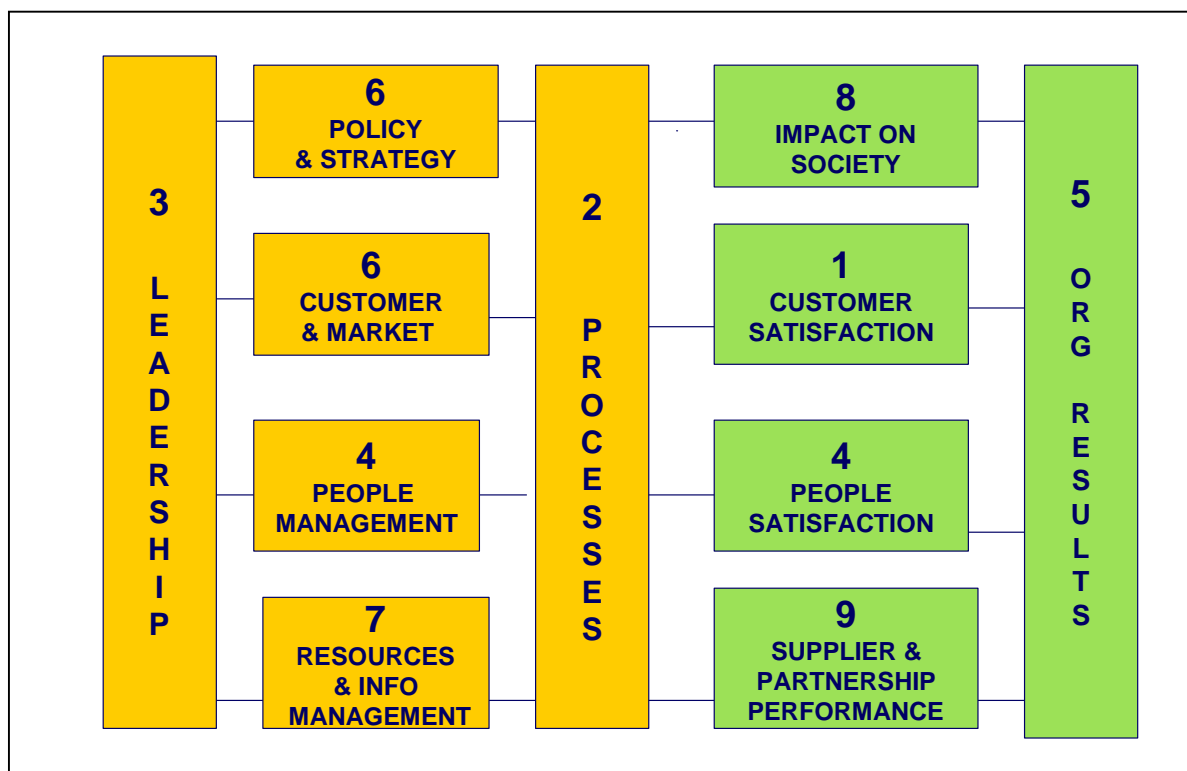
Fig 28: Actual score



**Table 22: Difference ranking between the actual score against the weighted points**

RANKING	CRITERIA	DIFFERENCE
1	Customer satisfaction	35
2	Processes	21
3	Leadership	18
4	People and people satisfaction	17
5	Results	13
6	Customer and strategy	12
7	Resources	10
8	Social responsibility	9
9	Supplier and partnership performance	6

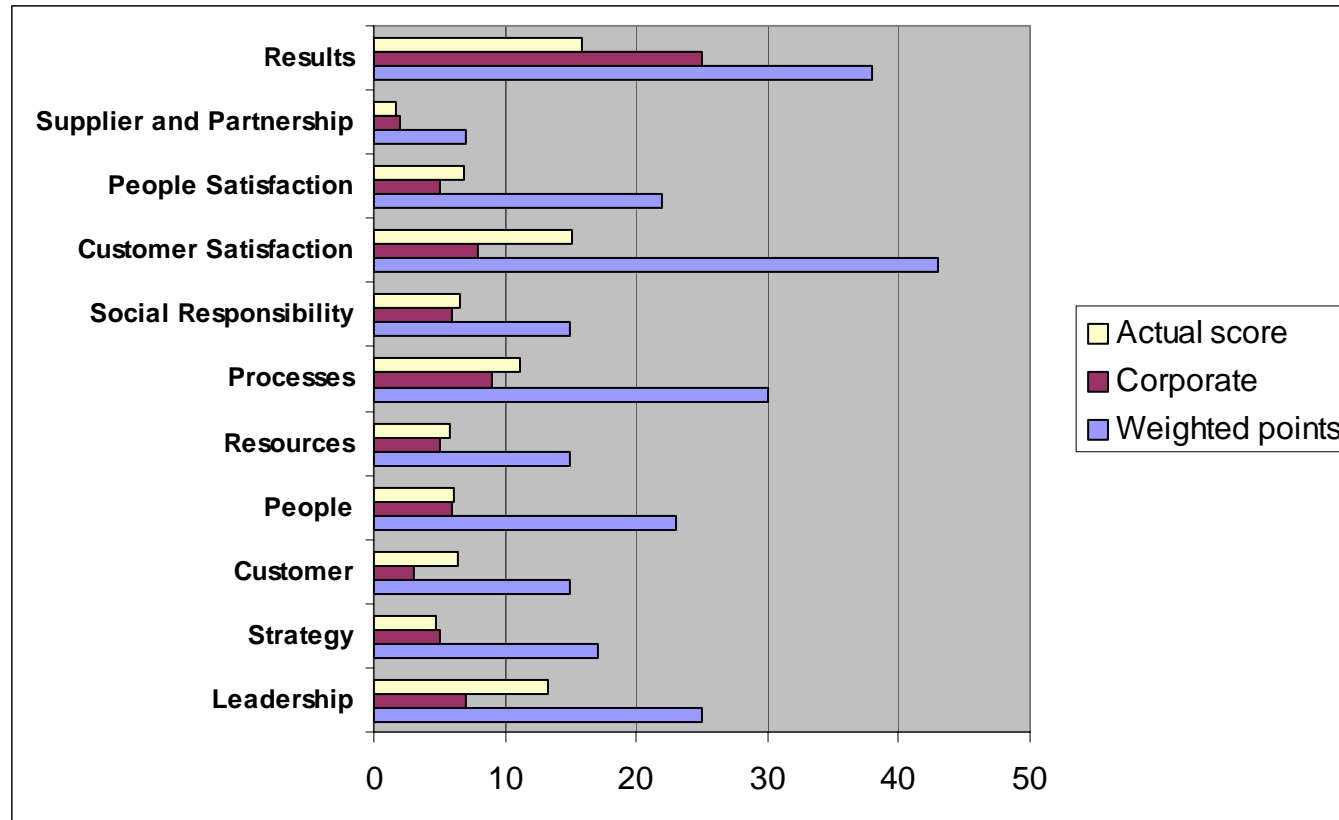
**Fig 29: Criteria priority ranking on the SAEM**



**Faculty A results****Table 23: Actual score against weighted points and the difference**

<b>RESULTS</b>	<b>A</b>	<b>B</b>	<b>C</b>
	<b>Actual points</b>	<b>Weighted points</b>	<b>Difference</b>
Leadership	13	25	12
Strategy	5	17	12
Customer	6	15	9
People	6	23	17
Resources	6	15	9
Processes	11	30	19
<b>TOTAL FOR ENABLERS</b>	<b>47</b>	<b>125</b>	<b>78</b>
Social responsibility	7	15	8
Customer Satisfaction	15	43	28
People Satisfaction	7	22	15
Supplier and Partnership	2	7	5
Results	16	38	22
<b>TOTAL FOR RESULTS</b>	<b>46</b>	<b>125</b>	<b>79</b>
<b>TOTAL FOR FACULTY</b>	<b>93</b>	<b>250</b>	<b>157</b>

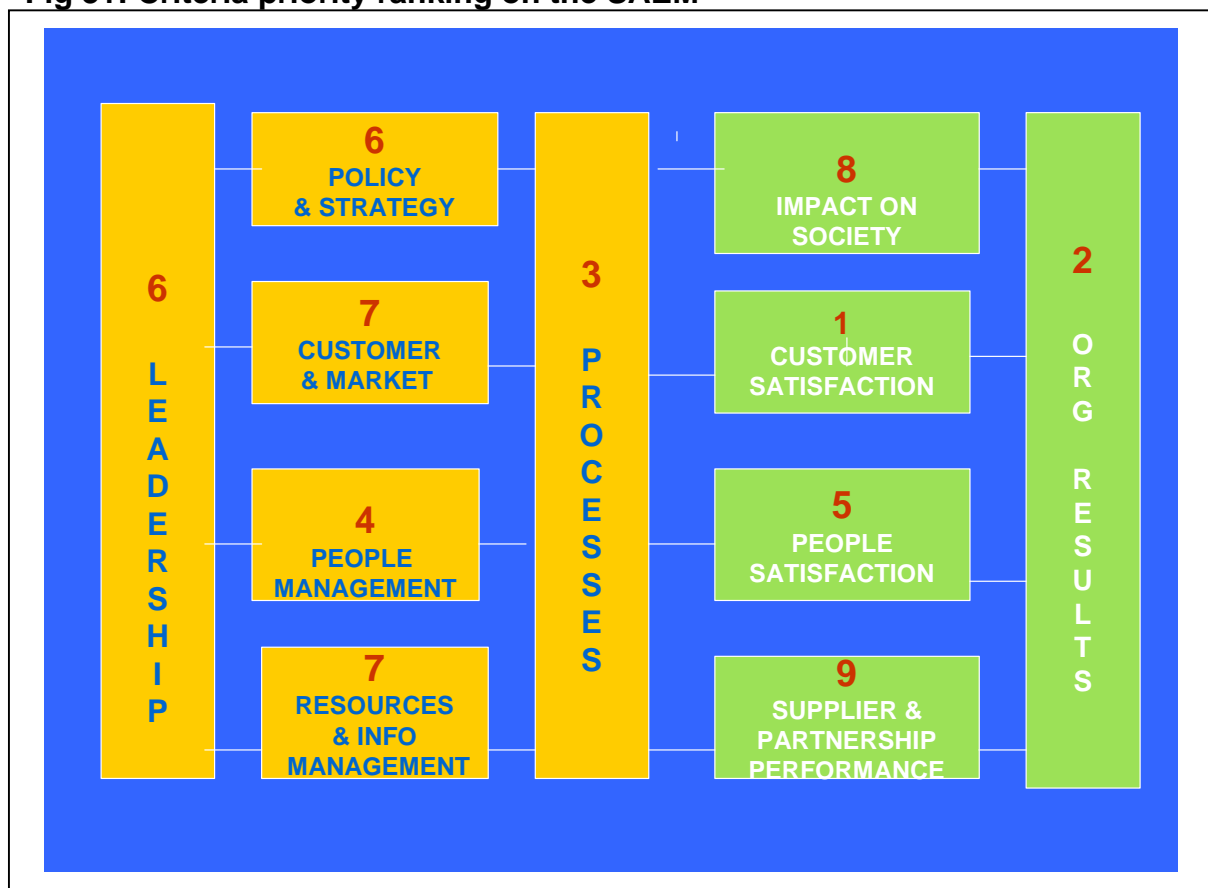


**Fig 30: Actual score against the corporate score and weighted points**

**Table 24: Difference ranking between the actual score against the weighted points**

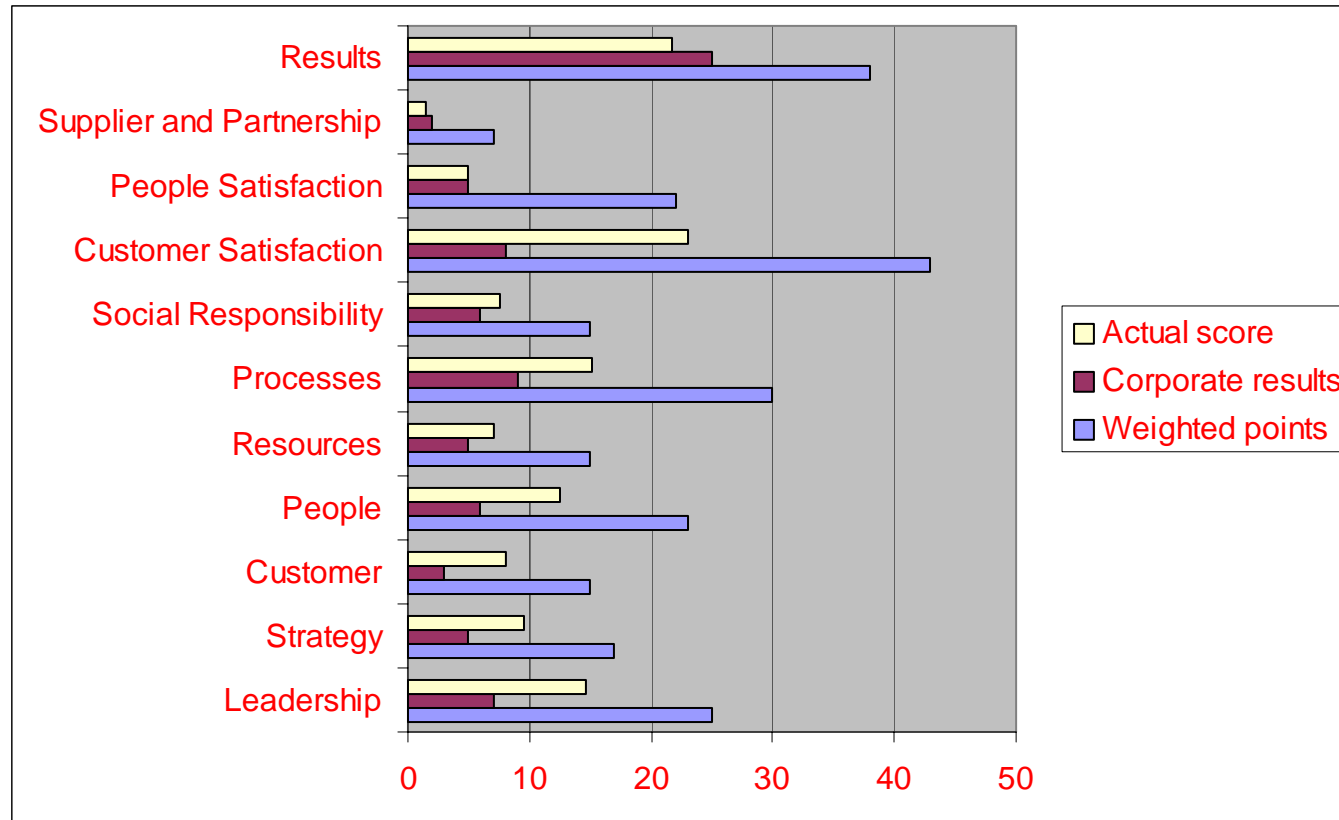
RANKING	CRITERIA	DIFFERENCE
1	Customer satisfaction	28
2	Results	22
3	Processes	19
4	People	17
5	People satisfaction	15
6	Leadership and strategy	12
7	Customer and resources	7
8	Social responsibility	8
9	Supplier and partnership	5

**Fig 31: Criteria priority ranking on the SAEM**



**Faculty B results****Table 25: Actual score against weighted points and the difference**

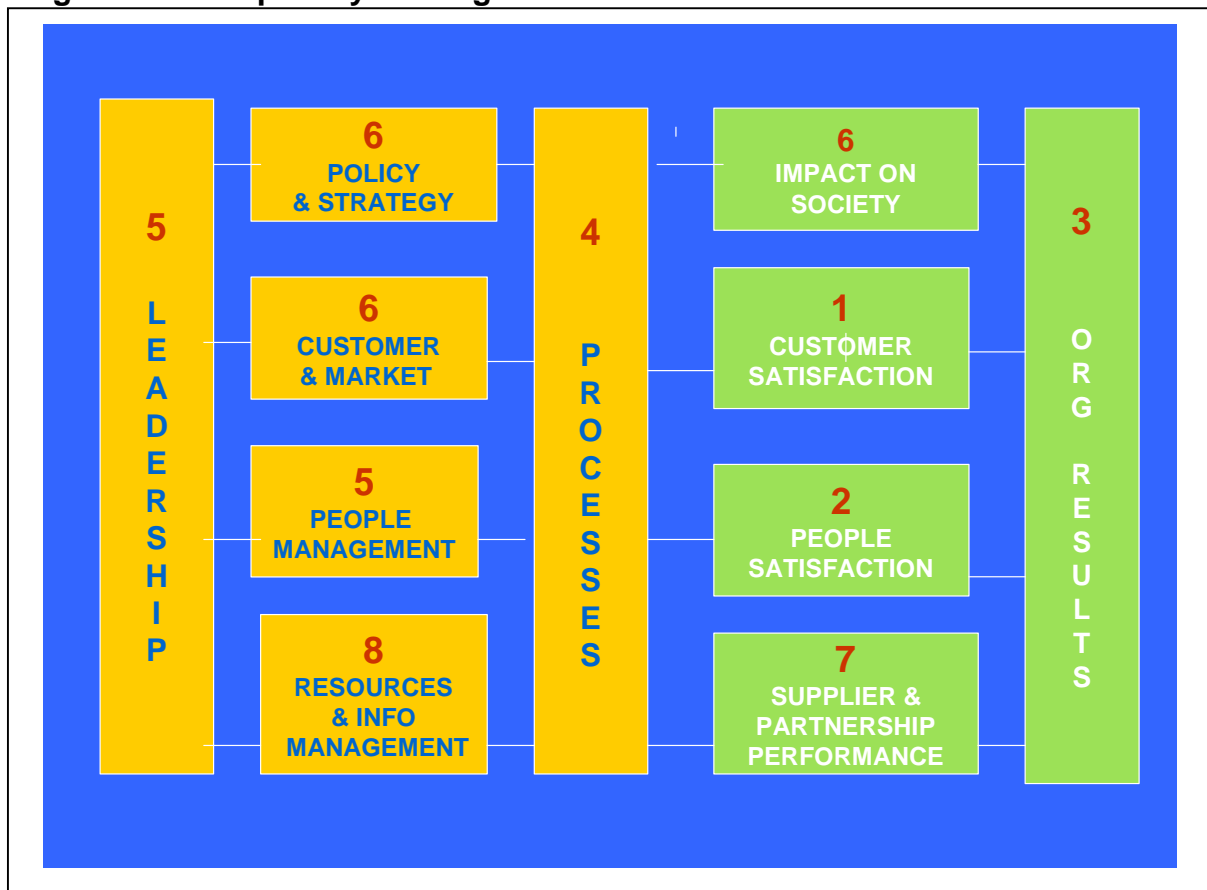
<b>RESULTS</b>	<b>A</b>	<b>B</b>	<b>C</b>
<b>Faculty B</b>	<b>Total points scored</b>	<b>Weighted points</b>	<b>Difference</b>
Leadership	15	25	10
Strategy	10	17	7
Customer	8	15	7
People	13	23	10
Resources	7	15	8
Processes	15	30	15
<b>TOTAL FOR ENABLERS</b>	<b>67</b>	<b>125</b>	<b>58</b>
Social Responsibility	8	15	7
Customer Satisfaction	23	43	20
People Satisfaction	5	22	17
Supplier and Partnership	2	7	5
Results	22	38	16
<b>TOTAL FOR RESULTS</b>	<b>59</b>	<b>125</b>	<b>66</b>
<b>TOTAL FOR ORGANISATION</b>	<b>126</b>	<b>250</b>	<b>124</b>

**Fig 32: Actual score against the corporate score and weighted points**

**Table 26: Difference ranking between the actual score against the weighted points**

RANKING	CRITERIA	DIFFERENCE
1	Customer satisfaction	20
2	People satisfaction	17
3	Results	16
4	Processes	15
5	People and leadership	10
6	Strategy, customer and social responsibility	7
7	Supplier and partnership	5
8	Resources and info management	

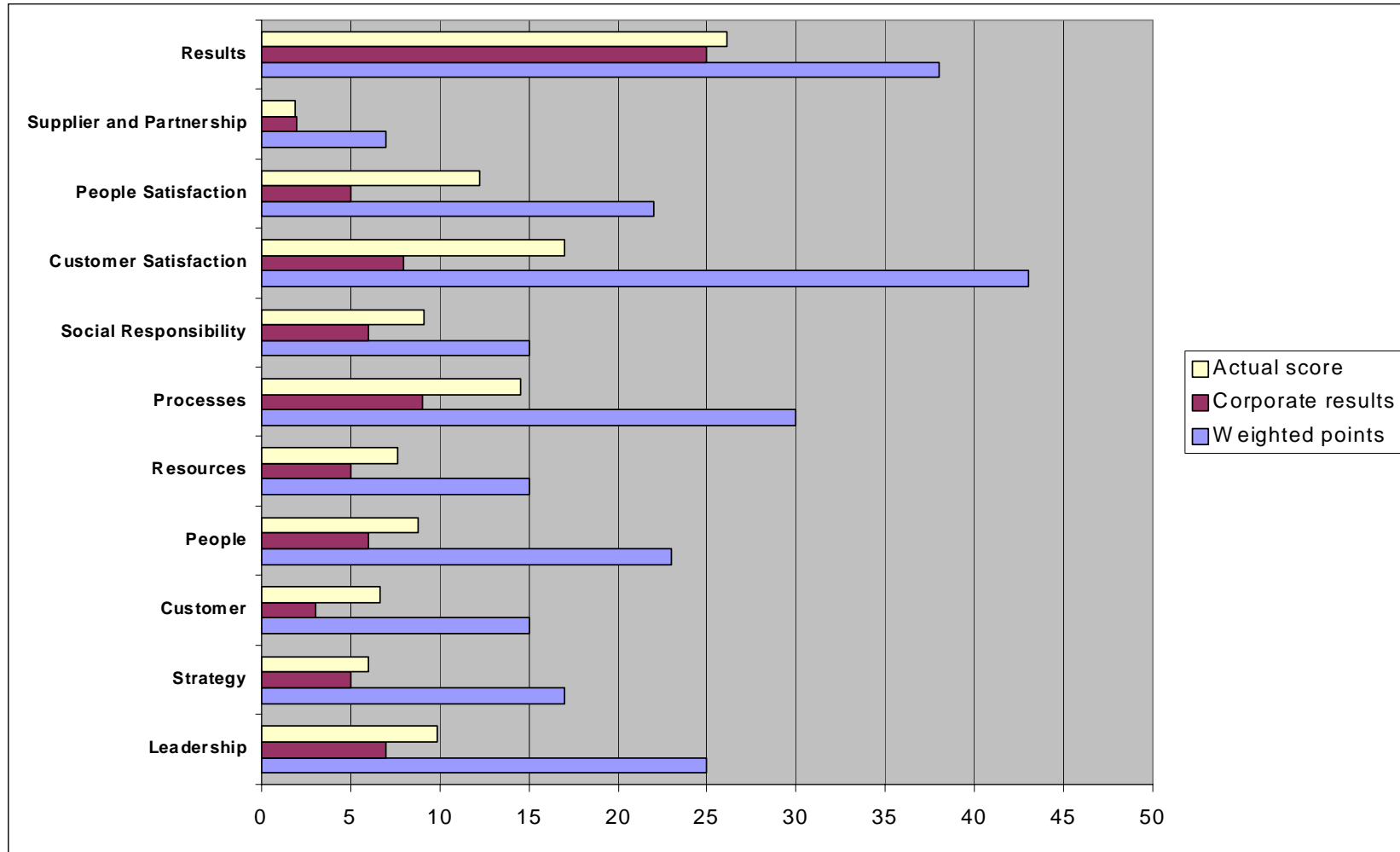
**Fig 33: Criteria priority ranking on the SAEM**



**Faculty C results****Table 27: Actual score against weighted points and the difference**

<b>RESULTS</b>	<b>A</b>	<b>B</b>	<b>C</b>
<b>Faculty C</b>	<b>Total points scored</b>	<b>Weighted points</b>	<b>Difference</b>
Leadership	10	25	15
Strategy	6	17	11
Customer	7	15	8
People	9	23	14
Resources	8	15	7
Processes	15	30	15
<b>TOTAL FOR ENABLERS</b>	<b>53</b>	<b>125</b>	<b>72</b>
Social Responsibility	9	15	6
Customer Satisfaction	17	43	26
People Satisfaction	12	22	10
Supplier and Partnership	2	7	5
Results	26	38	12
<b>TOTAL FOR RESULTS</b>	<b>66</b>	<b>125</b>	<b>59</b>
<b>TOTAL FOR FACULTY</b>	<b>120</b>	<b>250</b>	<b>130</b>

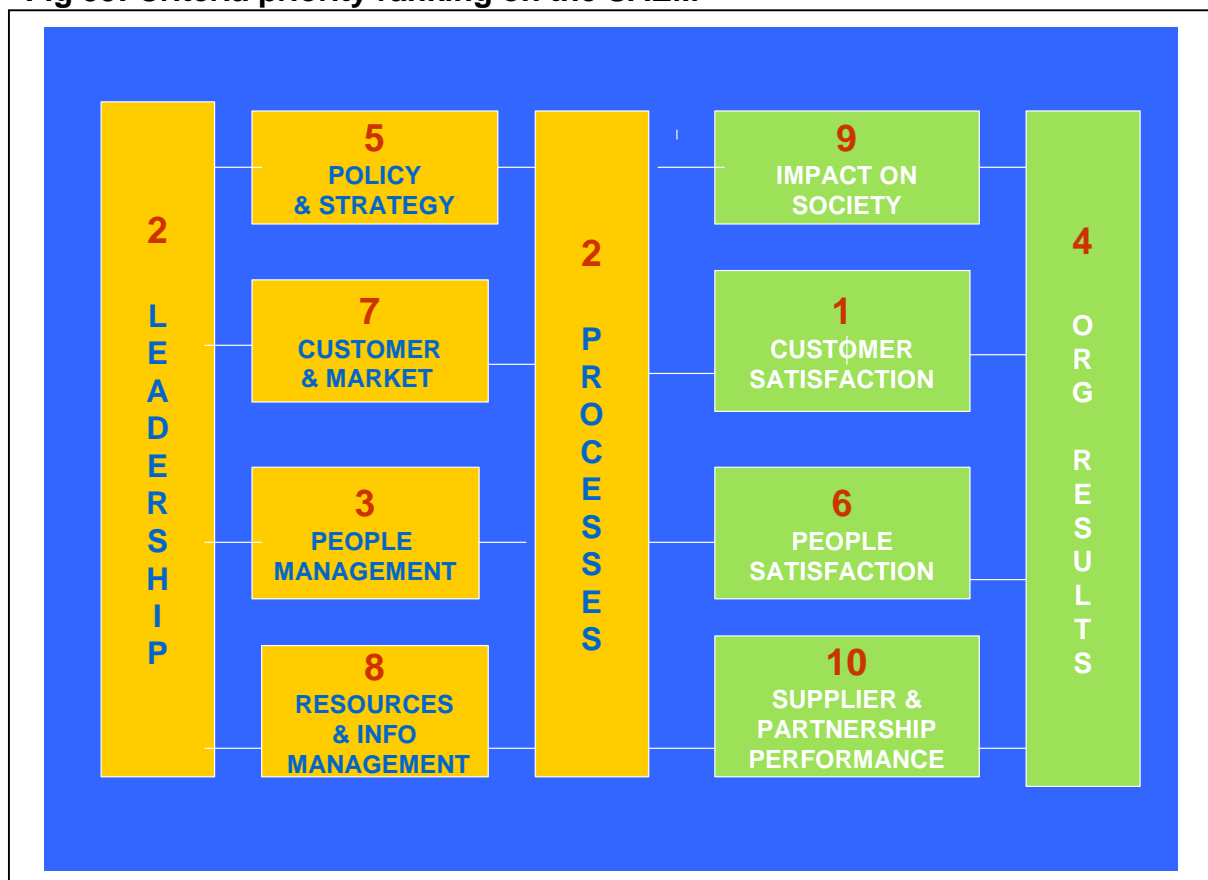
**Fig 34: Actual score against the corporate score and weighted points**



**Table 28: Difference ranking between the actual score against the weighted points**

RANKING	CRITERIA	DIFFERENCE
1	Customer satisfaction	26
2	Processes and leadership	15
3	People	14
4	Results	12
5	Strategy	11
6	People satisfaction	10
7	Customer	8
8	Resources	7
9	Social responsibility	6
10	Supplier and partnership	5

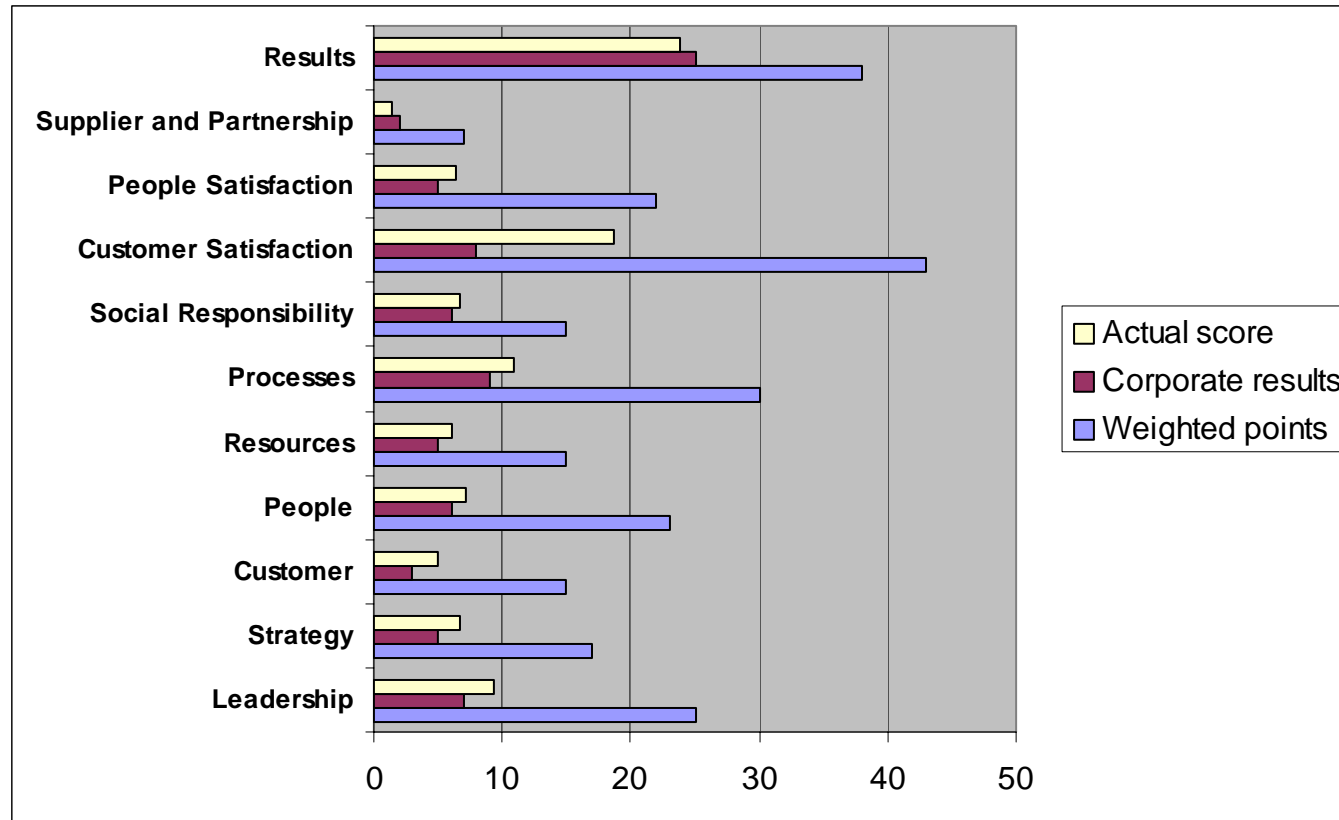
**Fig 35: Criteria priority ranking on the SAEM**





**Faculty D results****Table 29: Actual score against weighted points and the difference**

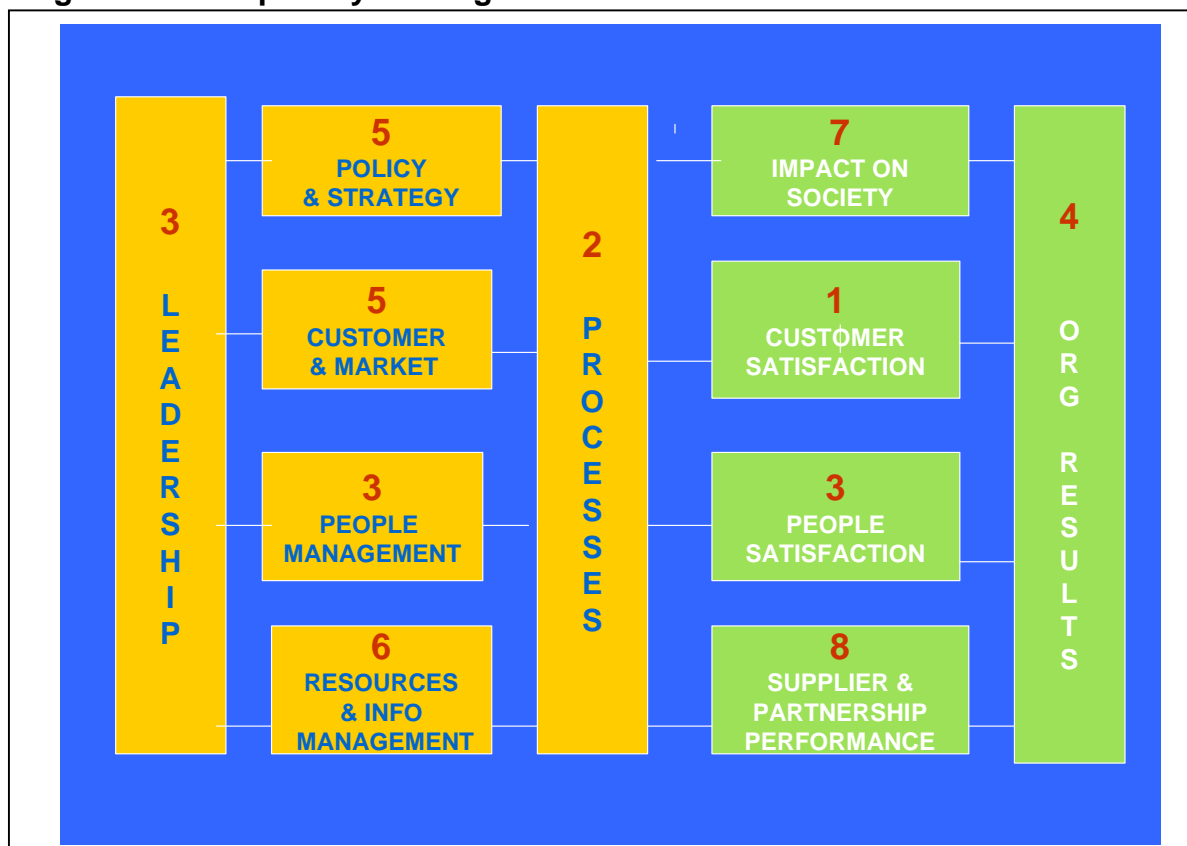
<b>RESULTS</b>	<b>A</b>	<b>B</b>	<b>C</b>
<b>Faculty D</b>	<b>Total points scored</b>	<b>Weighted points</b>	<b>Difference</b>
Leadership	9	25	16
Strategy	7	17	10
Customer	5	15	10
People	7	23	16
Resources	6	15	9
Processes	11	30	19
<b>TOTAL FOR ENABLERS</b>	<b>45</b>	<b>125</b>	<b>80</b>
Social responsibility	7	15	8
Customer Satisfaction	19	43	24
People Satisfaction	6	22	16
Supplier and Partnership	1	7	6
Results	24	38	14
<b>TOTAL FOR RESULTS</b>	<b>57</b>	<b>125</b>	<b>68</b>
<b>TOTAL FOR FACULTY</b>	<b>112</b>	<b>250</b>	<b>148</b>

**Fig 36: Actual score against the corporate score and weighted points**

**Table 30: Difference ranking between the actual score against the weighted points**

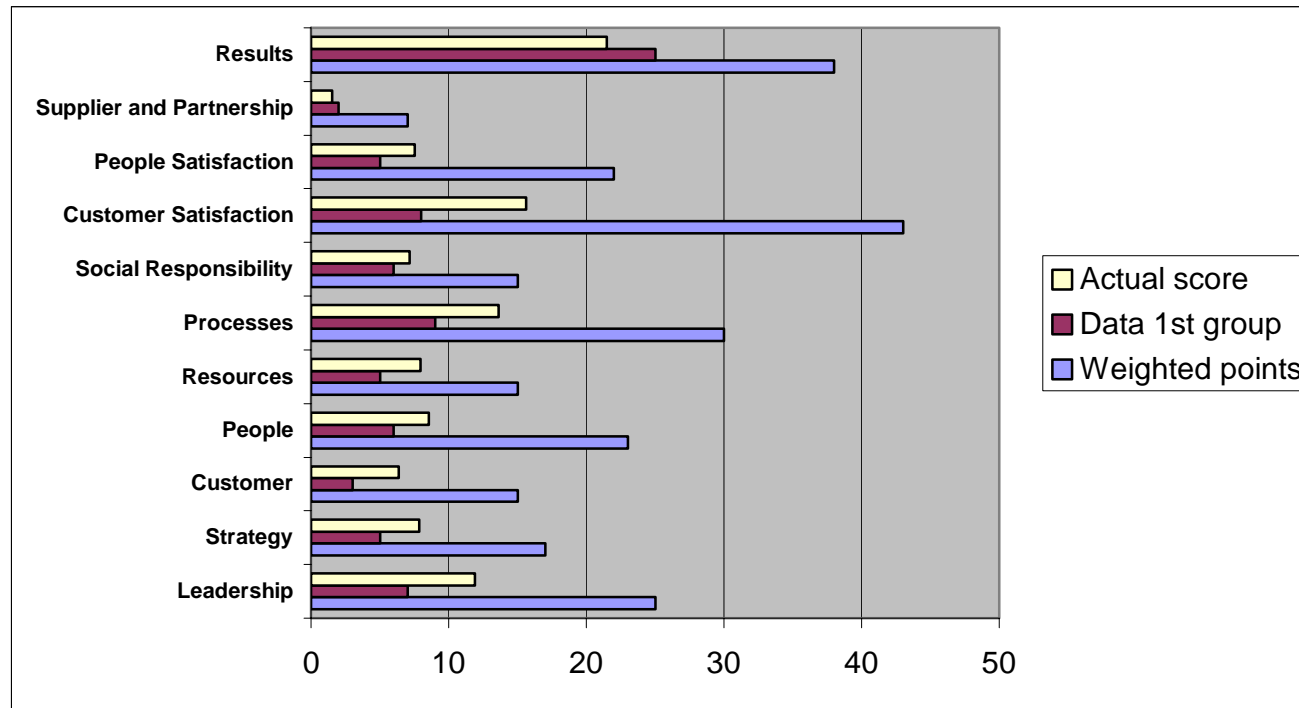
RANKING	CRITERIA	DIFFERENCE
1	Customer satisfaction	24
2	Processes	19
3	Leadership, people and people satisfaction	16
4	Results	14
5	Strategy and customers	10
6	Resources	9
7	Social responsibility	7
8	Supplier and partnership	6

**Fig 37: Criteria priority ranking on the SAEM**



**Faculty E results****Table 31: Actual score against weighted points and the difference**

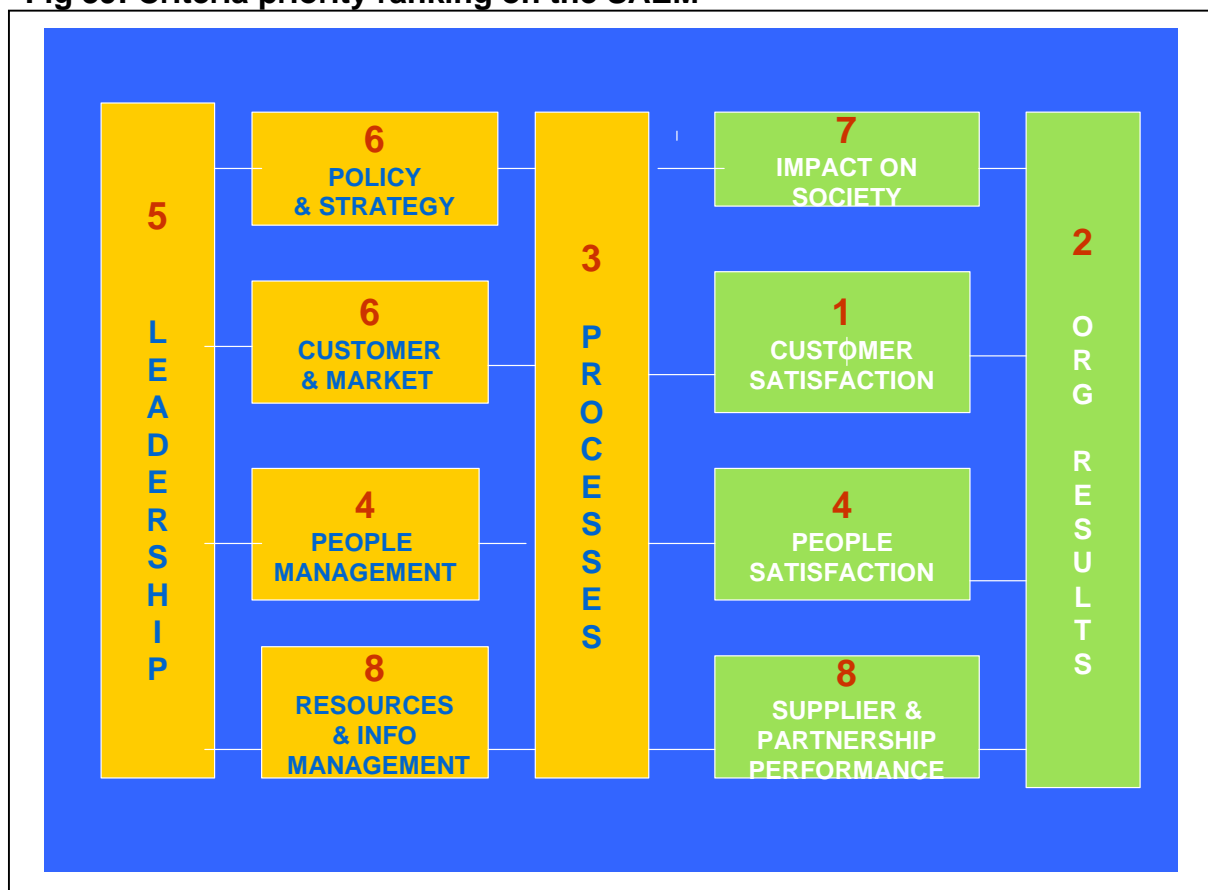
<b>RESULTS</b>	<b>A</b>	<b>B</b>	<b>C</b>
<b>Faculty E</b>	<b>Total points scored</b>	<b>Weighted points</b>	<b>Difference</b>
Leadership	12	25	13
Strategy	8	17	9
Customer	6	15	9
People	9	23	14
Resources	8	15	7
Processes	14	30	16
<b>TOTAL FOR ENABLERS</b>	<b>57</b>	<b>125</b>	<b>69</b>
Social Responsibility	7	15	8
Customer Satisfaction	16	43	27
People Satisfaction	8	22	14
Supplier and Partnership	2	7	5
Results	21	38	17
<b>TOTAL FOR RESULTS</b>	<b>53</b>	<b>125</b>	<b>72</b>
<b>TOTAL FOR FACULTY</b>	<b>110</b>	<b>250</b>	<b>140</b>

**Fig 38: Actual score against the corporate score and weighted points**

**Table 32: Difference ranking between the actual score against the weighted points**

RANKING	CRITERIA	DIFFERENCE
1	Customer satisfaction	27
2	Results	17
3	Processes	16
4	People and people satisfaction	14
5	Leadership	13
6	Strategy and customers	9
7	Social responsibility	8
8	Supplier and partnership and resources	5

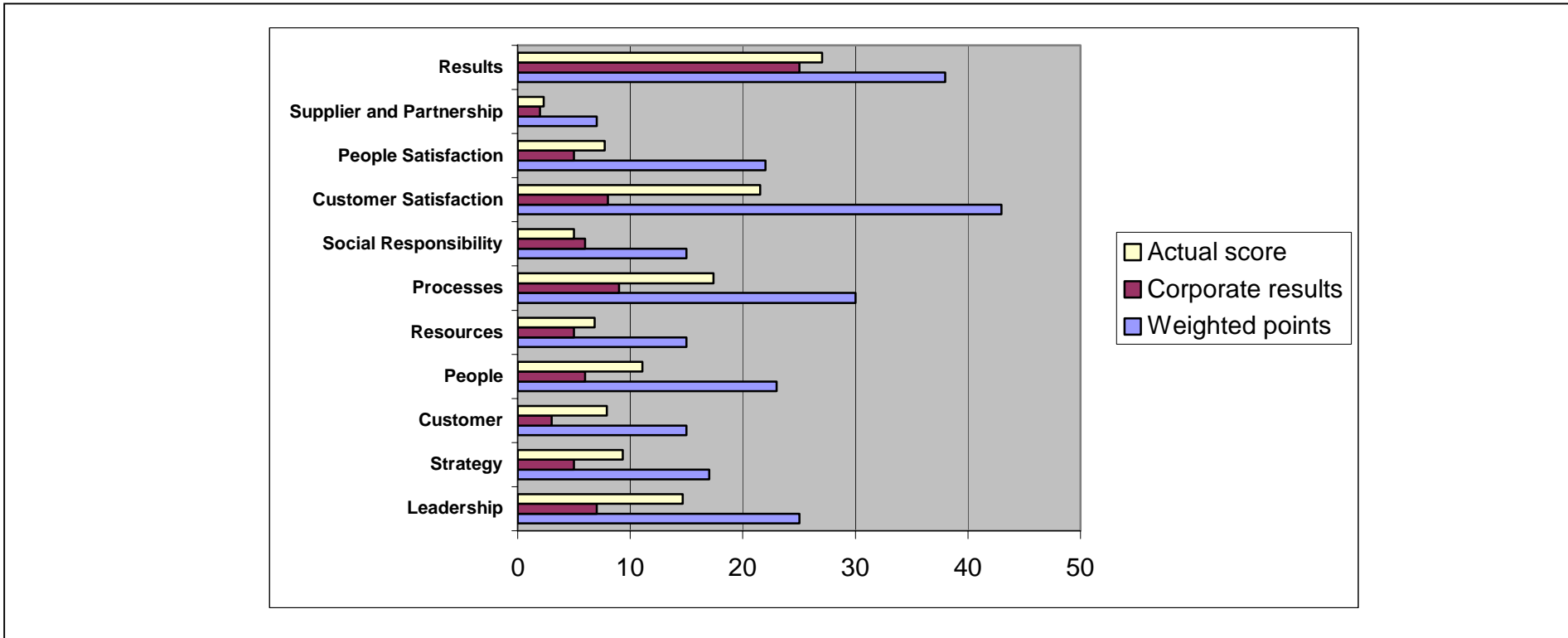
**Fig 39: Criteria priority ranking on the SAEM**



**Department A results****Table 33: Actual score against weighted points and the difference**

<b>RESULTS</b>	<b>A</b>	<b>B</b>	<b>C</b>
<b>Department A – UP</b>	<b>Total points scored</b>	<b>Weighted points</b>	<b>Difference</b>
Leadership	15	25	10
Strategy	9	17	8
Customer	8	15	7
People	11	23	12
Resources	7	15	8
Processes	17	30	13
<b>TOTAL FOR ENABLERS</b>	<b>67</b>	<b>125</b>	<b>58</b>
Social responsibility	5	15	10
Customer Satisfaction	22	43	21
People Satisfaction	8	22	14
Supplier and Partnership	2	7	5
Results	27	38	11
<b>TOTAL FOR RESULTS</b>	<b>64</b>	<b>125</b>	<b>61</b>
<b>TOTAL FOR ORGANISATION</b>	<b>131</b>	<b>250</b>	<b>119</b>

**Fig 40: Actual score against the corporate score and weighted points**

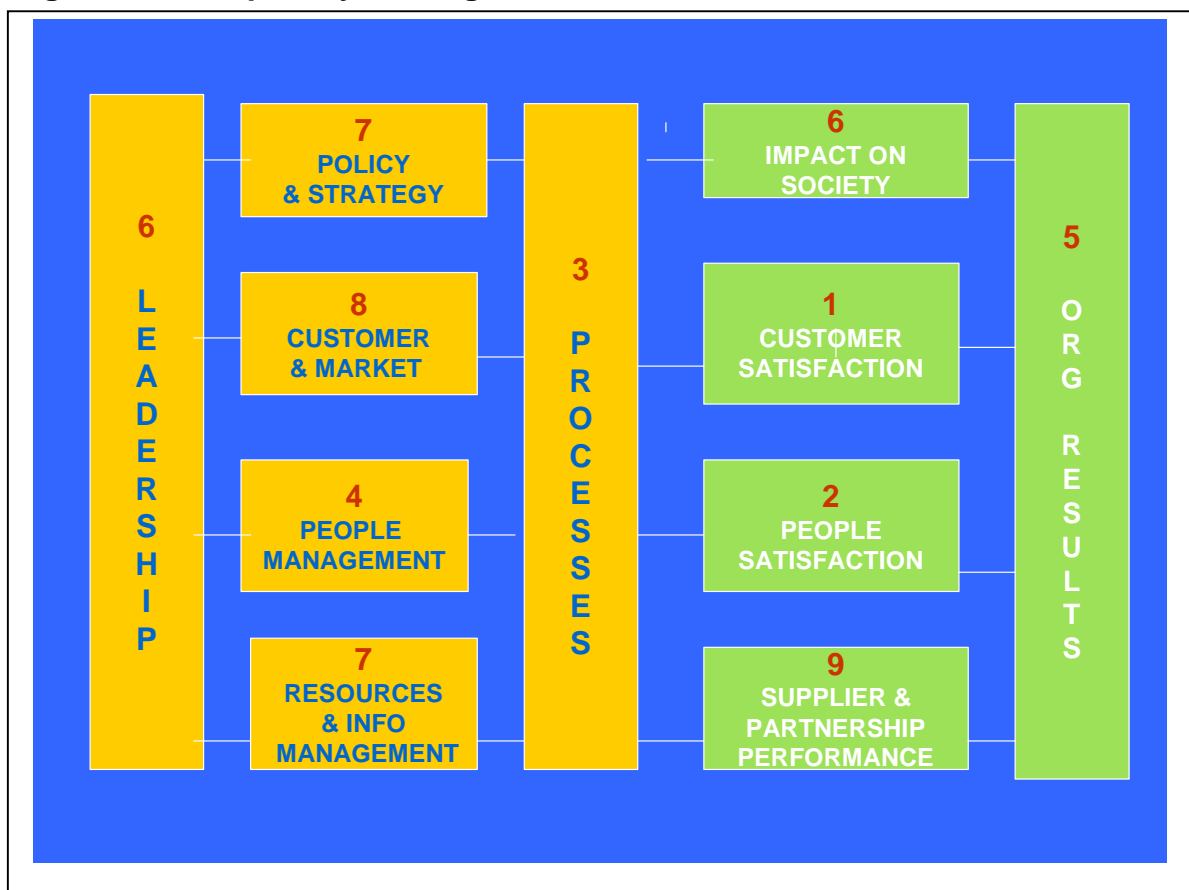




**Table 34: Difference ranking between the actual score against the weighted points**

RANKING	CRITERIA	DIFFERENCE
1	Customer satisfaction	21
2	People satisfaction	14
3	Processes	13
4	People management	12
5	Results	11
6	Leadership and social responsibility	10
7	Resources and strategy	8
8	Customer	7
9	Supplier and partnership	5

**Fig 41: Criteria priority ranking on the SAEM**



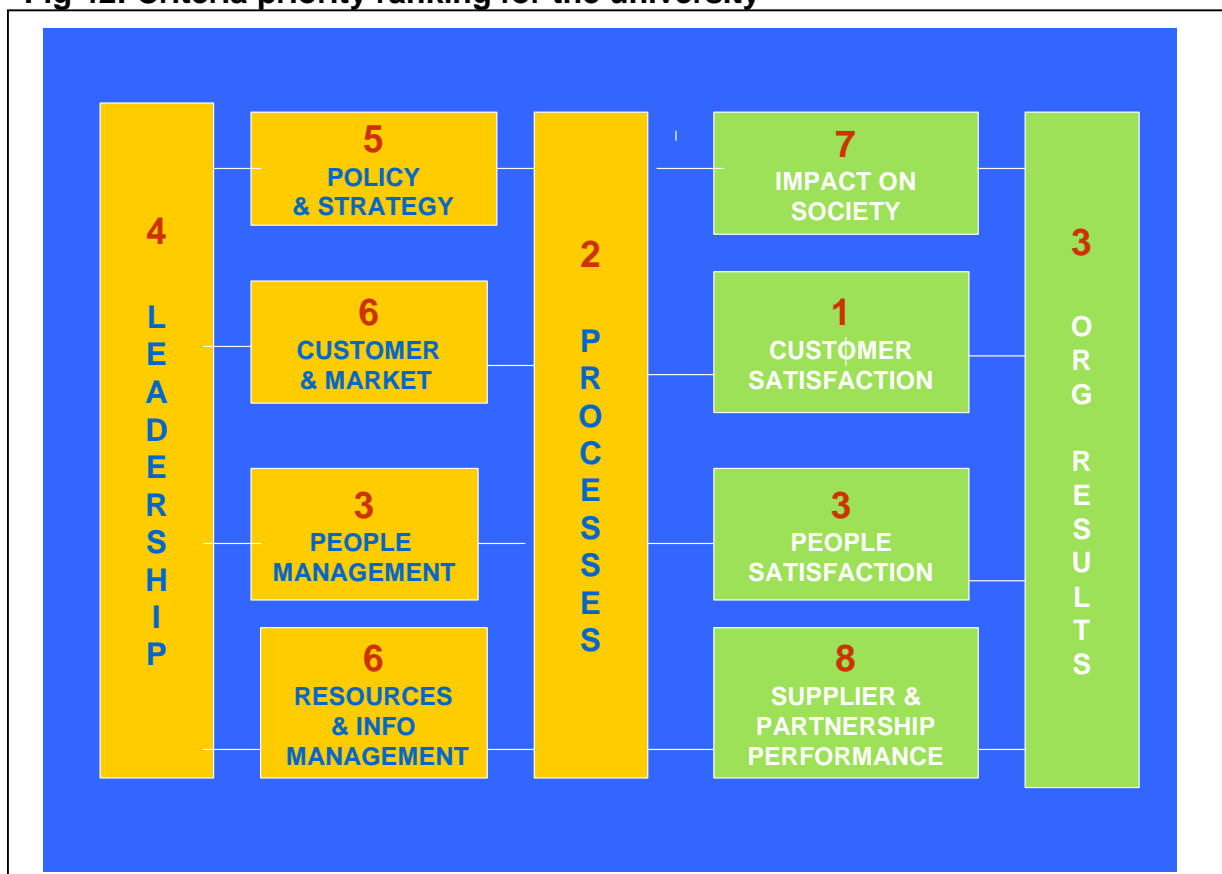
## University results

Table 35: Actual score against weighted points and the difference

CRITERIA	CORPORATE	Faculty A	Faculty B	Faculty C	Faculty D	Faculty E	Department A	TOTAL	DIFFERENCE	Weighted points	RANK
Leadership	7	13	15	10	9	12	15	11	14	25	4
Strategy	5	5	10	6	7	8	9	7	10	17	5
Customer	3	6	8	7	5	6	8	6	9	15	6
People	6	6	13	9	7	9	11	8	15	23	3
Resources	5	6	7	8	6	8	7	6	9	15	6
Processes	9	11	15	15	11	14	17	13	17	30	2
<b>TOTAL FOR ENABLERS</b>	<b>34</b>	<b>47</b>	<b>67</b>	<b>53</b>	<b>45</b>	<b>56</b>	<b>67</b>	<b>51</b>		<b>125</b>	
Social Responsibility	6	7	8	9	7	7	5	7	8	15	7
Customer Satisfaction	8	15	23	17	19	16	22	17	26	43	1
People Satisfaction	5	7	5	12	6	8	8	7	15	22	3
Supplier and Partnership	2	2	2	2	1	2	2	1	6	7	8
Results	25	16	22	26	24	21	27	23	15	38	3
<b>TOTAL FOR RESULTS</b>	<b>46</b>	<b>46</b>	<b>59</b>	<b>66</b>	<b>57</b>	<b>54</b>	<b>64</b>	<b>55</b>		<b>125</b>	
<b>TOTAL</b>	<b>80</b>	<b>93</b>	<b>126</b>	<b>120</b>	<b>102</b>	<b>110</b>	<b>131</b>	<b>106</b>		<b>250</b>	

**Table 36: Difference criteria ranking between the actual score against weighted points**

RANKING	CRITERIA	DIFFERENCE
1	Customer satisfaction	26
2	Processes	17
3	People satisfaction, people and results	15
4	Leadership	14
5	Strategy	10
6	Customer, resources	9
7	Social responsibility	8
8	Supplier and partnership	6

**Fig 42: Criteria priority ranking for the university**

## Conclusions

### **Faculties and service departments' actual score compared to the corporate score**

The corporate score is much lower than the individual results for the faculties and service departments. Respondents in the corporate group therefore rated the whole university much lower than respondents in the faculties and service departments.

### **Criteria priorities**

The criteria priority ranking is based on the difference between the actual score and the weighted points. The criteria in the first position therefore has the largest difference. There is consistency among the faculties and service departments regarding the ranking of the criteria with customer and people satisfaction always ranking in the top five. On average, the five criteria with the highest ranking are:

1. Customer satisfaction
2. Processes
3. People satisfaction
4. Leadership

### **6.4 Phase 3 – Self-assessment results applied in the SWOT strategy and linked to the BSC**

During this phase, a strategy session was held and the SAEM results were used during the SWOT analysis phase to confirm strengths and areas for improvement. Thereafter the strategic objectives were linked to the Balanced Scorecard and marketing and communication initiatives were plotted on the SAEM.

The SAEM workshop and questionnaire results, provide faculties and departments with the following:

- Areas for improvement and strengths.
- Details of areas for improvement and strengths.

- Summary of strengths and areas for improvement.
- Difference ranking of total points scored against weighted points.
- Difference ranking on the SAEM.

It was decided to use these findings at the strategic session during the SWOT analysis phase. Rather than relying on **perceived** strengths and areas for improvement, the **real** strengths and areas for improvement as identified in the questionnaire were addressed.

The strengths and areas for improvement were **prioritised** and are attached as Appendix 5.

#### **6.4.1 Strategy programme**

The strategic session was divided into two sessions. The first session was used to analyse the SAEM workshop findings. The second session was used to finalise the strategy starting with the vision and concluding with the action plans. The session's details are provided in Table 37 below.

**Table 37: Strategy programme**

<b>Time</b>	<b>Objective</b>	<b>Activities</b>	<b>Responsible</b>
10h30-12H30	Overview	<ul style="list-style-type: none"> <li>• SA's world competitiveness</li> <li>• Issues facing higher education institutions</li> <li>• The SAEM</li> <li>• Faculty's SAEM results</li> <li>• Prioritising strengths and areas for improvement</li> <li>• Research results</li> </ul>	Faculty Manager  Departments
13h00-16h00	Strategy	<ul style="list-style-type: none"> <li>• Vision</li> <li>• Mission</li> <li>• Actual business</li> <li>• Purpose</li> <li>• Markets and key clients</li> <li>• Technology utilisation</li> <li>• Geographical areas</li> <li>• Competitive advantage</li> <li>• Core values</li> <li>• Image</li> <li>• Organisational structure</li> <li>• SWOT</li> <li>• Priorities</li> <li>• Action plans</li> <li>• Balanced Scorecard</li> </ul>	Departments

#### **6.4.2 Strategic framework**

The following strategic framework was used to explain how the vision translates into the mission and the other steps to achieve the strategic objectives. It also explains how the BSC fits into the strategic framework.

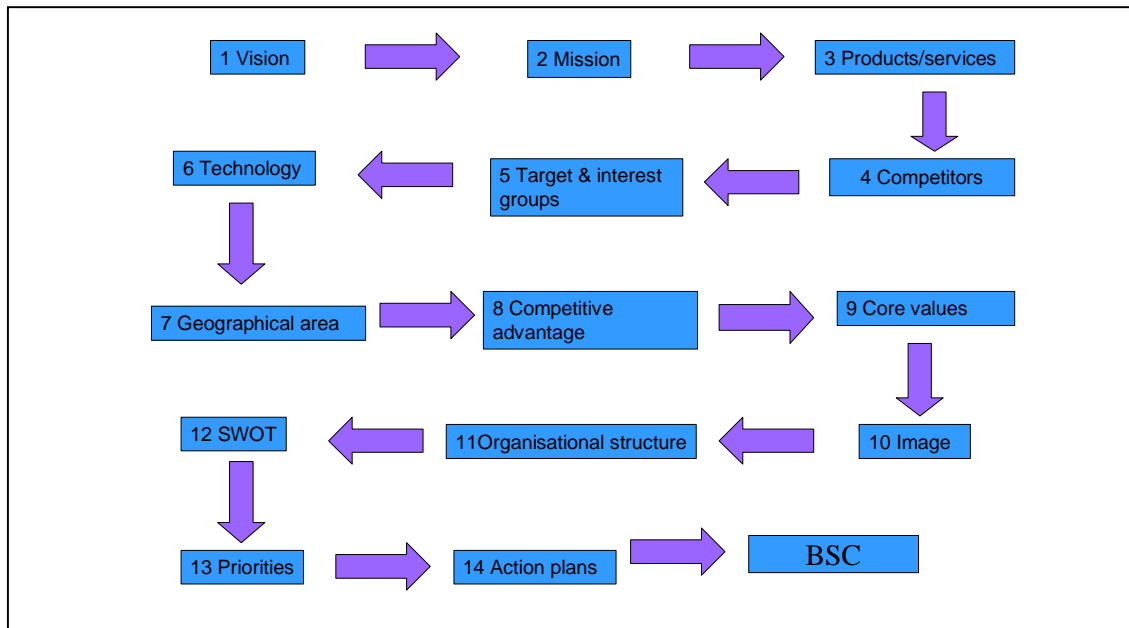
Fig 43: Strategic framework



(EFQM – <http://www.excellence.shu.ac.uk>)

#### 6.4.3 Strategic process

Although there are many models available on strategic processes, the following framework was used using elements of many strategic models. The framework translates well for the higher education sector.

**Fig 44: Future strategic position and direction**

Steps 1 to 11 were completed by the faculty, starting with formulating the vision through to finalising the organogram.

#### 6.4.4 Strategic objectives

The faculty identified six strategic objectives that are discussed in the following tables:

**Table 38: Improved research outputs**

Objective	Key actions	Resp	Date
1.1 Produce quality research in two accredited publications per annum per lecturer	<ul style="list-style-type: none"> <li>e.g. Personal time management</li> <li>Faculty wide mentorship</li> <li>Continuous research output (rolling)</li> <li>Explore opportunities for inter-disciplinary research</li> </ul>	Academic staff	Continuous
1.2 Stimulate publications in international journals	<ul style="list-style-type: none"> <li>Continuous networking</li> </ul>	HOD's Research Committee	Continuous
1.3 Develop staff capacity	<ul style="list-style-type: none"> <li>Recruit postgraduate candidates</li> <li>Create promotion possibilities</li> <li>Continuous mentoring</li> </ul>	Dean HOD Promotor	Continuous



Objective	Key actions	Resp	Date
1.4 Attend conferences	<ul style="list-style-type: none"> <li>Attend conferences by completing proposed format for applications</li> </ul>	Research Chairman	
1.5 Secure publication of research outputs	<ul style="list-style-type: none"> <li>Purchase pages in accredited journals for faculty</li> </ul>	Dean on advice of Research Committee	Continuous
1.6 Aspire to NRF rating	<ul style="list-style-type: none"> <li>Make submission to be rated</li> </ul>	Academic staff	

**Table 39: Expand and improve programmes**

Objective	Key action	Resp	Date
2.1 Improve pass rates	<ul style="list-style-type: none"> <li>e.g. first year lecturers must form a sub-committee of the Quality Control Committee and make suggestions at the Faculty Board meeting</li> </ul>	Quality Control Committee (QCC)	5 March
2.2 Integrate skills & courses (OBE)	<ul style="list-style-type: none"> <li>The QCC must present a summary of their findings at the next Faculty Board meeting</li> <li>The QCC must send their findings to the relevant departments</li> <li>All departments should discuss the findings of the QCC at their next meeting</li> <li>The integration of skills and courses should be part of the performance management plan of each academic staff members and should be evaluated bi-annually</li> <li>An expert in assessment should advise the Faculty. Dean to investigate visit here or visit overseas by faculty members</li> </ul>	QCC QCC Departments HOD Academic staff Dean	5 March
2.3 Extend Web CT	<ul style="list-style-type: none"> <li>More models need to be identified</li> <li>Web CT training for selected academic staff</li> </ul>	Chairperson	

**Table 40: Address staff issues**

<b>Objective</b>	<b>Key action</b>	<b>Resp</b>	<b>Date</b>
3.1 Effective realisation of faculty EE plan	<ul style="list-style-type: none"> <li>• Continuous headhunting</li> <li>• Appropriate advertisements</li> <li>• “Growing our own timber”</li> <li>• Part of quality training</li> <li>• Benchmark with UP and other faculties</li> <li>• Communicate EE appointments iro PUNIV bursaries</li> </ul>	Dean HOD Faculty Manager Human Resources Officer	Continuous
3.2 Improve training for academic staff in the areas of: <ul style="list-style-type: none"> <li>• Research</li> <li>• Lecturing</li> <li>• Technology utilisation</li> <li>• Human resources</li> </ul>	<ul style="list-style-type: none"> <li>• Conduct needs assessment</li> <li>• Improve working environment</li> <li>• Ensure transparency, fairness &amp; openness</li> <li>• Compliance with formal requirements (attendance – courses instrumental)</li> <li>• Compulsory induction for new appointees</li> <li>• Continuous training</li> <li>• Room for flexibility</li> </ul>	Dean HOD Faculty Manager Human Resources Officer	Continuous
3.3 Entrench performance management	<ul style="list-style-type: none"> <li>• Complete: Abbreviated Performance Management contract</li> <li>• Complete: Evaluation of Performance Managers</li> <li>• Complete: Attendance at Faculty and UP events/functions</li> </ul>	All staff	

**Table 41: Establish and promote a value system**

<b>Objective</b>	<b>Key action</b>	<b>Resp</b>	<b>Date</b>
4.1 Promote excellence etc	<ul style="list-style-type: none"> <li>• Improve continuous measurement</li> <li>• All core subjects should be evaluated. Dean to provide budget</li> </ul>	All staff Dean	Continuous
4.2 Establish work ethic	<ul style="list-style-type: none"> <li>• Faculty lectures</li> <li>• Tutorial system</li> <li>• Instill social responsibilities</li> <li>• Foster innovation</li> </ul>	All staff	Continuous

Objective	Key action	Resp	Date
4.3 Promote integrity & ethics among students:	<ul style="list-style-type: none"> <li>• Departments to provide Student Administration with a list of all students who write sick tests. A database will be created</li> <li>• Dean visits all year groups and discusses ethics, sick tests etc</li> </ul>	Departments Student Administration  Dean	Continuous
4.4 Values within the framework of Supreme Constitution & HEA	<ul style="list-style-type: none"> <li>• The importance and impact of Constitutional influence must be reflected in all courses</li> </ul>	Academic staff	Continuous

**Table 42: Improved client service and student life**

Objective	Key action	Resp	Date
5.1 Improve quality (efficiency) of service to students, particularly during registration	<ul style="list-style-type: none"> <li>• Training of staff/retention of staff</li> <li>• Simplification of registration process</li> <li>• Uniformity of policy &amp; procedures</li> <li>• Establish effective liaison with Client Service Centre</li> <li>• Improve communication between student administration and parents</li> <li>• Student questionnaires</li> </ul>	Dean Student Administration	Continuous
5.2 Maintain and improve student/staff relationships	<ul style="list-style-type: none"> <li>• Availability e.g. voice mail etc</li> <li>• Clarify communication channels with students (refer study guides)</li> </ul>	All staff	Continuous
5.3 Improve student life	<ul style="list-style-type: none"> <li>• Promote Students House</li> </ul>	Faculty Committee and students	Continuous
5.4 Assist students with career development	<ul style="list-style-type: none"> <li>• Career workshop for final years</li> <li>• Interviews with law firms</li> <li>• Training for academic associates and tutors</li> <li>• Prize giving function</li> <li>• Talks by practitioners</li> <li>• Bursary schemes available</li> </ul>	Marketing and Communication	Continuous

Objective	Key action	Resp	Date
5.5 Co-ordinate and limit prescribed books	<ul style="list-style-type: none"> <li>• A committee to investigate</li> </ul>	Chairman and selected members	

**Table 43: Improved image of the Faculty**

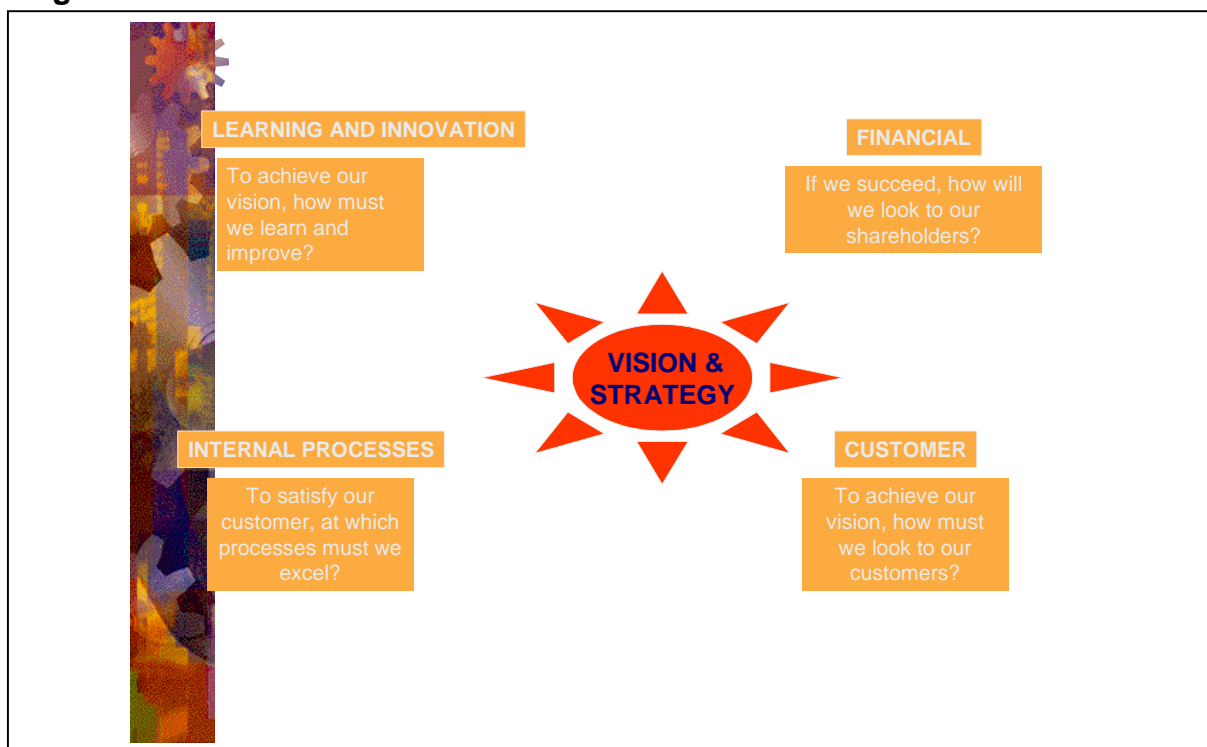
Objective	Key action	Resp	Date
6.1 Improve diversity and quality of prospective students	<ul style="list-style-type: none"> <li>• Increase M score</li> <li>• Letter to prospective students</li> <li>• Welcoming of students</li> <li>• Visits to schools</li> <li>• Marketing Services; Prospective Students</li> </ul>	Dean Marketing and Communication	Continuous
6.2 Promote awareness of programmes (national & international) to increase number & quality of post-graduate students	<ul style="list-style-type: none"> <li>• Short courses brochure</li> <li>• Website</li> <li>• Announcements in class</li> <li>• Flyers on short courses</li> <li>• Posters</li> </ul>	Marketing and Communication	Continuous
6.3 Improve internal communication	<ul style="list-style-type: none"> <li>• Strategic session</li> <li>• Faculty discussions</li> <li>• Faculty teas</li> <li>• End of year function</li> <li>• Monthly events/dates</li> <li>• Bulletin board</li> <li>• Birthday cards</li> </ul>	Marketing and Communication	Continuous
6.4 Improve relationships with alumni and stakeholders	<ul style="list-style-type: none"> <li>• Database</li> <li>• Questionnaires</li> <li>• Web page</li> <li>• Alumni function</li> <li>• Profile</li> <li>• Visitors</li> <li>• Media releases</li> <li>• Christmas cards</li> <li>• Promotion items</li> <li>• Campus tours</li> </ul>	Marketing and Communication	Continuous

#### 6.4.5. Linking the SAEM to the BSC

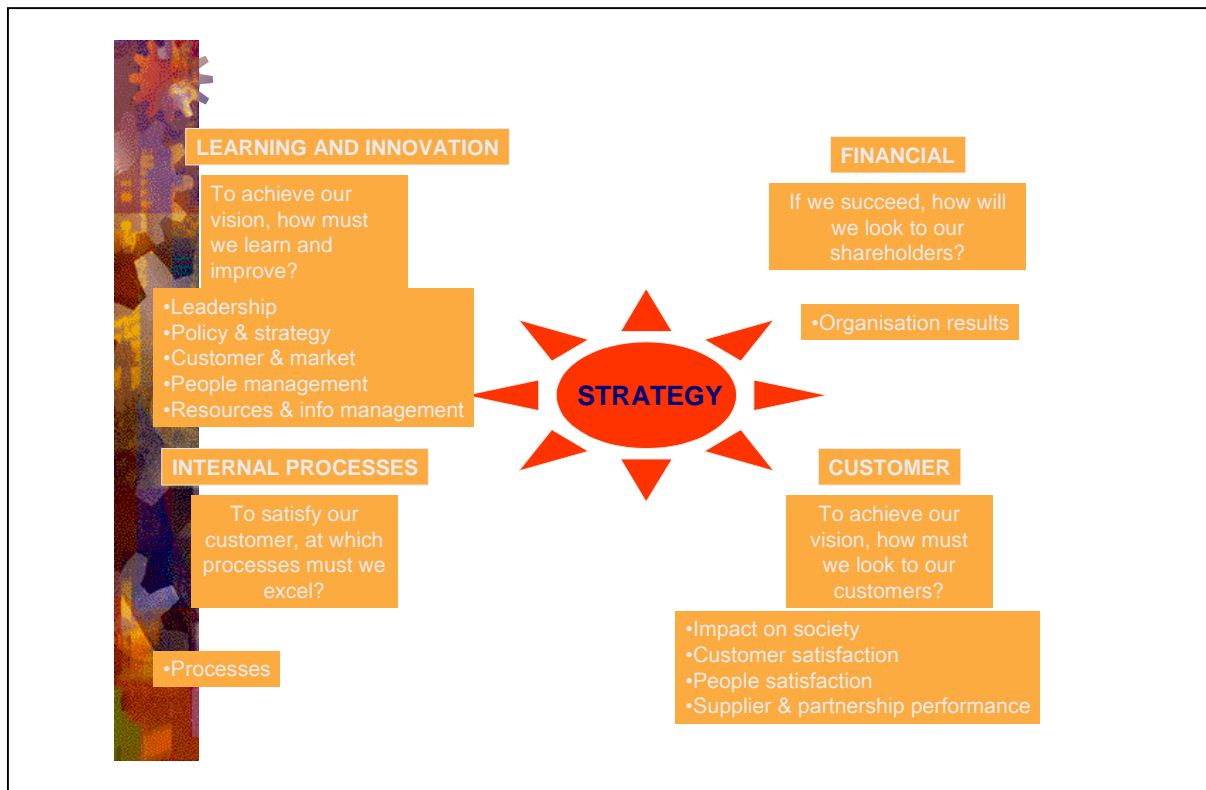
As discussed in Chapter 3, the BSC is a prescriptive framework. It is a system of linked objectives, targets and initiatives that collectively describe the strategy of an institution and how that strategy can be achieved. As well as a framework, it is a process that an institution uses to foster consensus, alignment and commitment to the strategy by the management team and the people within the institution at large. It is a tool designed to enable the implementation of an institutions strategy by translating it into concrete and operational terms which can be measured.

The four quadrants of the Balanced Scorecard refer to **learning and innovation**, **internal processes**, **financial** and **customer**. The eleven criteria of the SAEM can be plotted on the BSC as follows:

Fig 45: The BSC



(<http://www.exellence.shu.ac.uk>)

**Fig 46: Integrating the BSC with the SAEM**

At step 12, the SWOT phase, the findings of the SAEM workshop were analysed according to Table 44 below:

**Table 44: Faculty E – Difference ranking of actual score against weighted points**

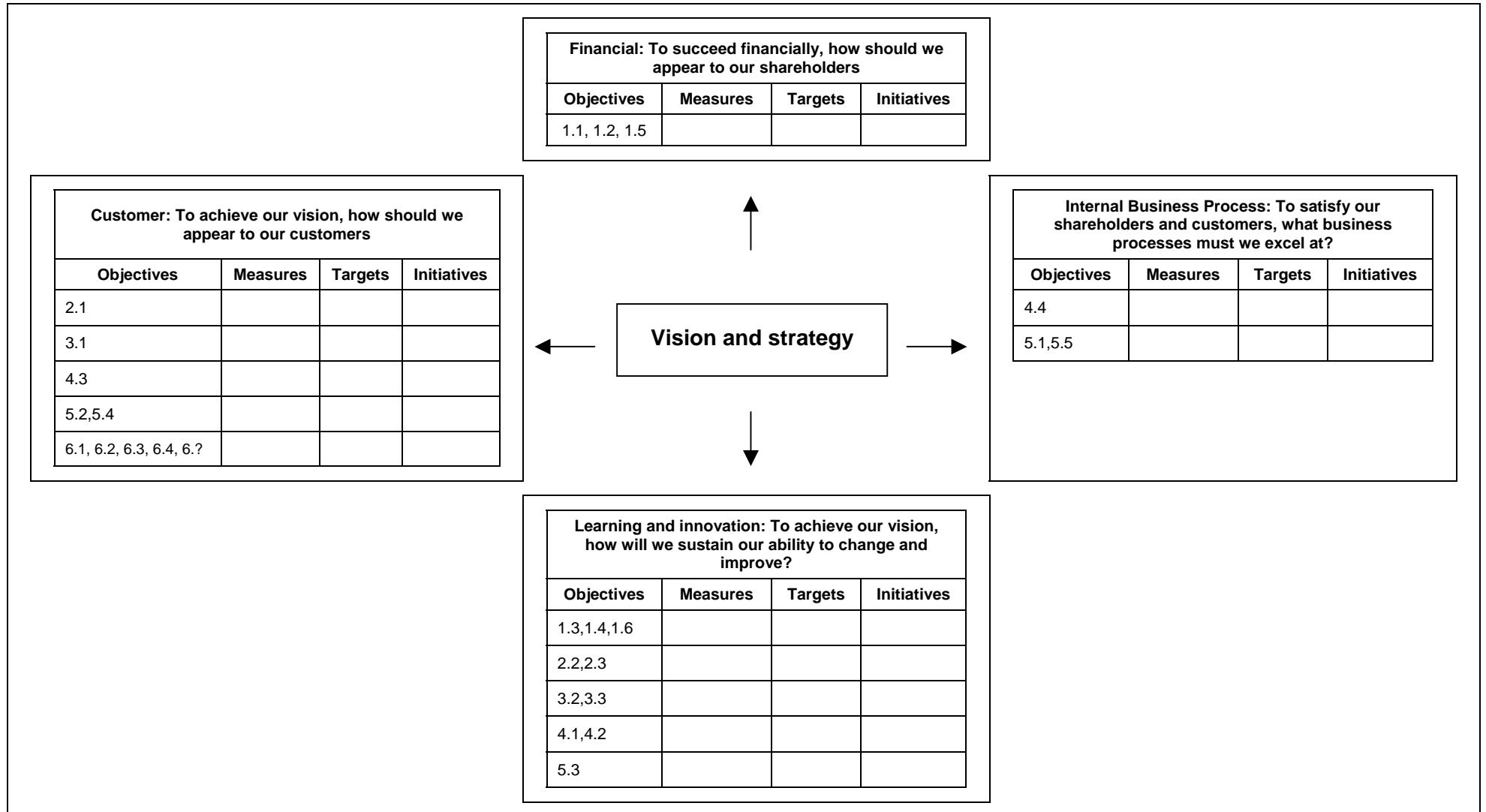
RANKING	CRITERIA	DIFFERENCE
1	Customer satisfaction	27
2	Results	17
3	Processes	16
4	People and people satisfaction	14
5	Leadership	13
6	Strategy and customers	9
7	Social responsibility	8
8	Supplier and partnership and resources	5

It was concluded that the **five SAEM** priorities in Faculty E were:

- Customer satisfaction
- Results
- Processes
- People and people satisfaction and
- Leadership

These results were incorporated in the strategic objectives and are reflected in Fig 47 where the strategic objectives have been plotted on the four quadrants.

**Fig 47: Linking faculty objectives to the BSC**





**6.4.6 Faculty SAEM priorities, and strategic objectives plotted on the BSC**

In the following figure, the five SAEM priorities and the six strategic objectives are plotted on the four BSC quadrants.

**Fig 48: Faculty SAEM priorities, and strategic objectives plotted on the BSC**

			FINANCIAL	PRIORITY	STRATEGIC OBJECTIVES			
			Organisational results	2	1.1, 1.2, 1.5			
CUSTOMER	PRIORITY	STRATEGIC OBJECTIVES				INTERNAL	PRIORITY	STRATEGIC OBJECTIVES
Impact on society	7					Processes	3	4.4, 5.1, 5.5
Customer and market focus	6	2.1, 3.1, 4.3, 5.2, 5.4, 6.1, 6.2, 6.3, 6.4						
People management	4							
Customer satisfaction	1							
People satisfaction	4							
				LEARNING AND INNOVATION	PRIORITY	STRATEGIC OBJECTIVES		
			Leadership	5				
			Policy and strategy	6				
			Resource and information management	8	1.3, 1.4, 1.6, 2.2, 2.3, 3.2, 3.3, 4.1, 4.2, 5.3			
			Supplier and partnership performance	8				

*(Harvard Business Review Jan 1996:76)*

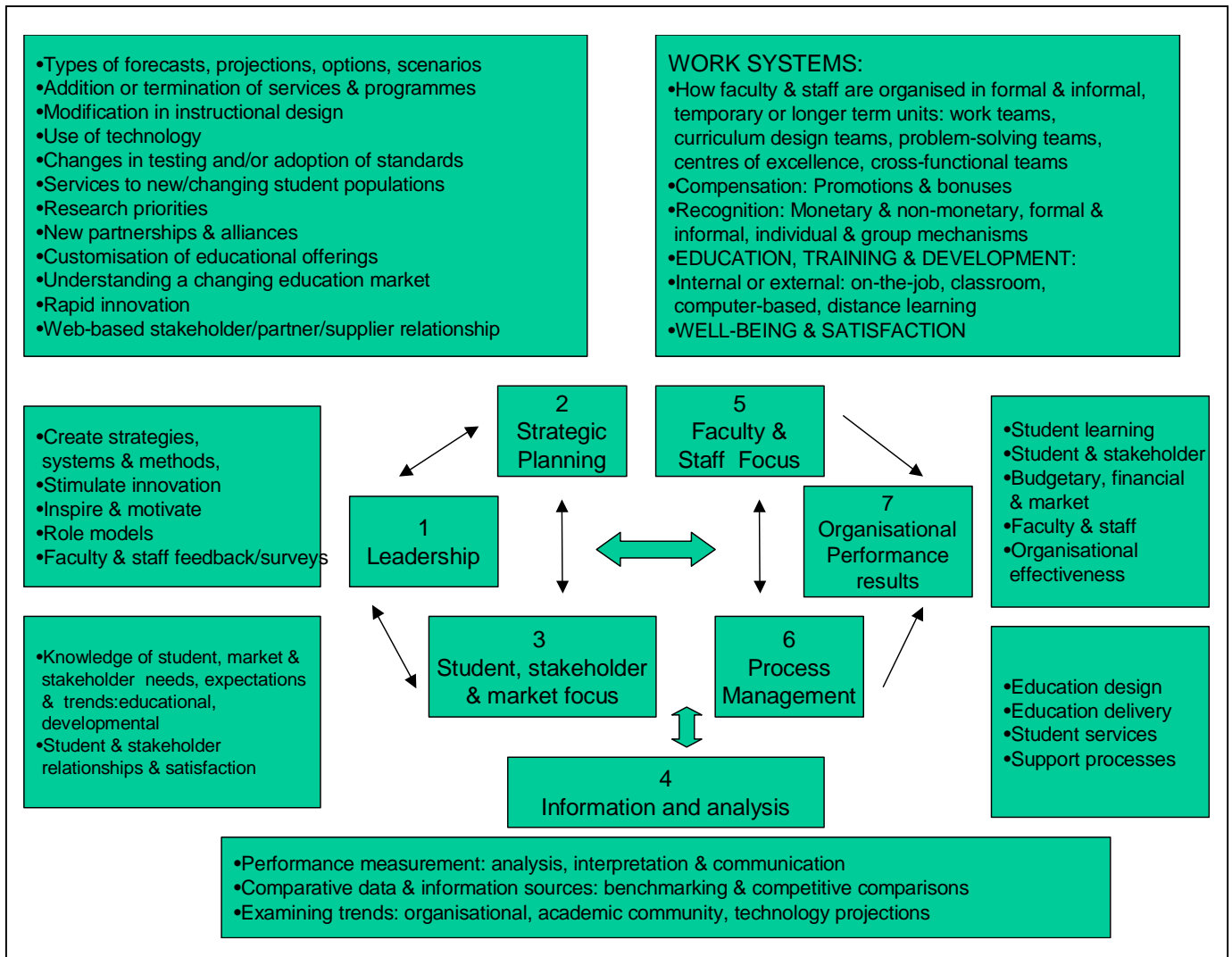
## **6.5 Phase 4 – Integration of quality models**

During this phase, an analysis was done and comparisons made with the lessons learnt from the MBNQA and EFQM. The HEFCE Mirror of Truth Conference was also attended by the researcher in Sheffield in the United Kingdom where more insights were gained in the application of quality models in higher education.

### **6.5.1 Linking the Malcolm Baldrige Education Criteria to the Malcolm Baldrige National Quality Awards**

The 2001 Education Criteria for Performance Excellence; category and item descriptions were analysed and have been linked to the Malcolm Baldrige Criteria to describe what initiatives should be undertaken to address the criteria as depicted in Fig 49:

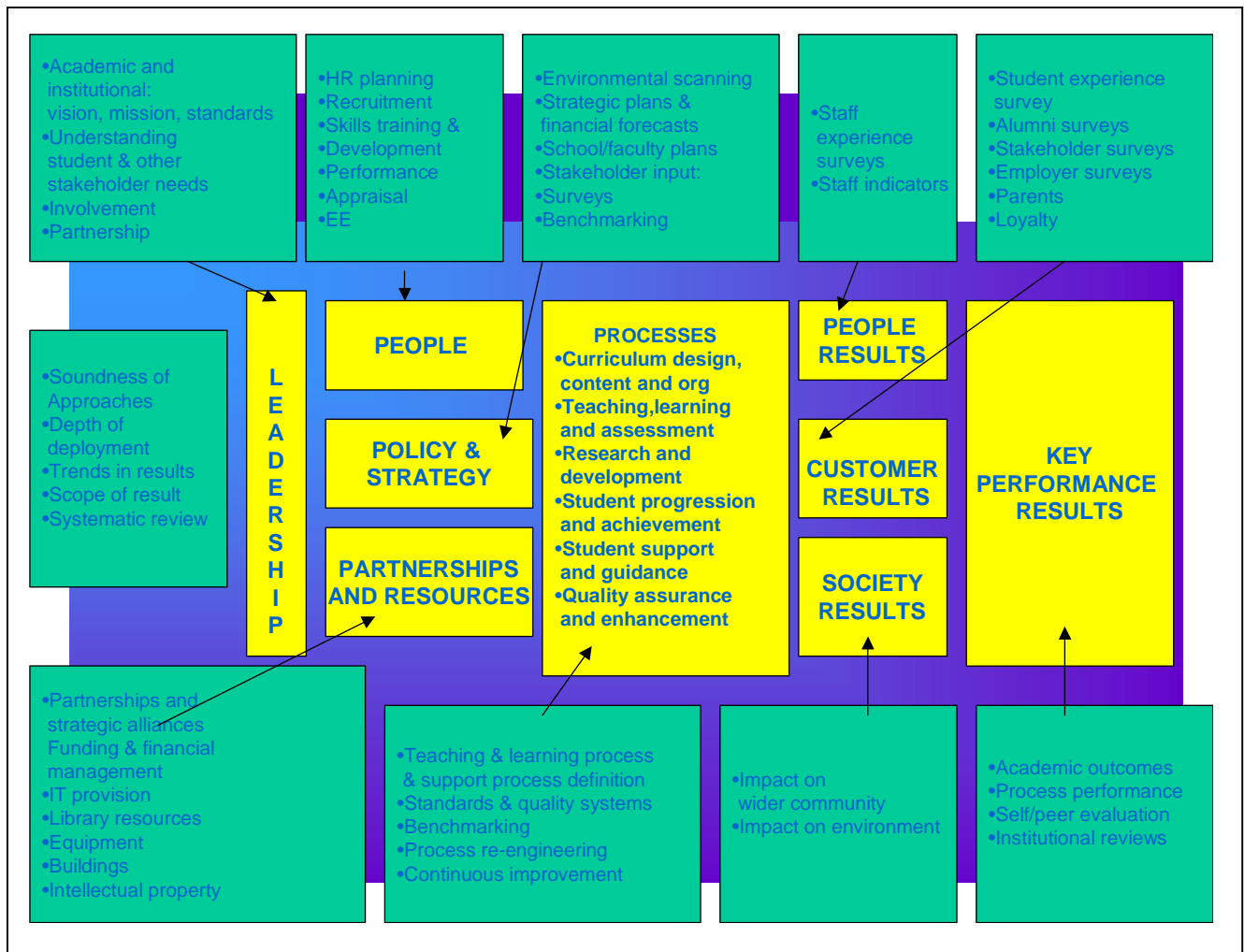
**Fig 49: Linking the Malcolm Baldrige Education Criteria to the Malcolm Baldrige National Quality Awards**



**6.5.2 Linking the EFQM UK Consortium in Higher Education to EFQM**

Pupius and Steed (2003:4) linked all the lessons learnt during the GMP 200 project, to the EFQM as depicted in Fig 50.

Fig 50: Linking the EFQM UK Consortium in Higher Education to EFQM



(Pupius and Steed 2003:4, Fig 1)

## 6.6 Phase 5 – Self-assessment quality workshop and revised questionnaire

During this phase, the workshop research findings were used to design a self-assessment quality workshop for higher education institutions and is proposed as 7.3.2.1 in Chapter 7.

The Public Sector Level 3 questionnaire research findings were used to design a Higher Education Sector Level 3 questionnaire which is attached as **APPENDIX 2**.

## 6.7 Phase 6 – Proposed framework for continuous improvement in the higher education sector

During this phase the theory and findings in Chapters 2 to 6 were integrated to propose a framework for continuous improvement in the South African higher education sector. **This framework is proposed in 7.8.2.1 in Chapter 7.**

## 6.8 Research hypothesis

Seven hypotheses (see Chapter 5) were formulated to test the questionnaire, self-assessment workshop, strategic session and quality models in order to determine a framework for continuous improvement in higher education institutions.

The contents of the tables and the descriptive statistical findings reported in section 6.2 – 6.8 will be used to evaluate the seven hypotheses.

The first hypothesis was: *The Public Sector Level 3 questionnaire needs to be adapted to be applicable for higher institutions to ensure continuous improvement.*

**This hypothesis is accepted**, as the SAEM Public Sector questionnaire results in 6.2 indicate the questionnaire's shortcomings comprising terminology, criteria, criterion parts, areas to address, the format as well as the scoring method of the enablers and results.

The second hypothesis was: *There is a preferred format that can be used to ensure effective self-assessment results.*

**This hypothesis is accepted**, as the self-assessment workshop results in 6.3 indicate the respondents' preferred format to understand quality concepts and information needed to complete the questionnaire.

The third hypothesis was: *The results of the self-assessment workshop identifying strengths and areas for improvement, can be used during the SWOT phase and can also be linked to the Balanced Scorecard to ensure results.*

**This hypothesis is accepted**, as the self-assessment results and application to the SWOT strategy as well as the linkage to the BSC in 6.4 proved possible.

The fourth hypothesis was: *The strategic objectives can be linked to the disciplines, e.g. marketing and communication, and these initiatives can be plotted on the SAEM to address the areas for improvement.*

**This hypothesis is accepted**, as it was proved in 6.5 how the marketing and communication strategic objectives can be plotted on the SAEM.

The fifth hypothesis was: *The results of the SAEM can be used to benchmark faculties and support services.*

**This hypothesis is accepted** as 6.6 provides the results and allows faculties and support services to be benchmarked.

The sixth hypothesis was: There are generic continuous improvement initiatives used in other quality models that can be plotted on the SAEM.

**This hypothesis is accepted** as the quality models used in higher education in the USA and UK provides valuable lessons as indicated in Chapter 4.

The seventh hypothesis was: *The self-assessment quality models in the USA and UK and other quality studies in higher education can be contextualised to provide a framework for continuous improvement in the higher education sector in South Africa.*

**This hypothesis is accepted**, as the findings in Chapters 3,4 and 6 indicate that the theory as well as the practical application can be contextualised to provide a framework for continuous improvement in the higher education sector in South Africa.

## 6.9 Conclusion

If higher education institutions are to survive the challenges facing them, then the importance of and the need for a framework of continuous improvement in higher education has become an imperative for growth and innovation.

This framework will need to cover various aspects including:

- what quality models to use for self-assessment
- the self-assessment methodology
- integrating lessons learnt from other higher education institutions
- contextualising methodology for the higher education sector
- benchmarking higher education
- ensuring that strategic objectives are translated into action plans i.e. the BSC
- linking strategic objectives to disciplines e.g. marketing and communication, HR and Finance

This thesis has pointed to the challenges facing higher education and the quality issues they will need to address in Chapter 1 and Chapter 2. The literature review of quality models in Chapter 3 provided an overview of quality models and the types of self-assessment available as well as the benefits of benchmarking.

It is clear from the lessons learnt from the MBNQA and the EFQM quality models in higher education (Chapter 4) that the models provide a number of key benefits and that there is a growing use of quality models in the higher education sector worldwide.

Furthermore, the quality models offer a strong stakeholder-focused approach – which is at the heart of everything that higher education institutions strive for. Most, if not all institutions aim to put students at the heart of learning and teaching – whilst considering other key stakeholders, such as parents, employers, partners, funding providers and regional/local communities. The student relationship often goes far beyond what might traditionally be viewed as a client relationship, with students in some institutions seen as partners in the learning process.

This means that unless institutions are driven by a way of working that looks inside at what is being done and how it is being done for all key stakeholders, then it is unlikely that continuous improvement which meets or exceeds stakeholder's expectations, can be achieved and sustained.