

**A FRAMEWORK FOR CONTINUOUS IMPROVEMENT IN THE
SOUTH AFRICAN HIGHER EDUCATION SECTOR**

by

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A FRAMEWORK FOR CONTINUOUS IMPROVEMENT IN THE SOUTH AFRICAN HIGHER EDUCATION SECTOR

Abstract

This study explores the theoretical constructs and implementation of quality models to ensure continuous improvement in South African higher education institutions.

Globalisation issues have forced higher education institutions to use quality models to survive in the increasingly global market. Worldwide, higher education institutions have made steady progress in adopting quality models and institutional self-assessment approaches. In the United States of America, the Malcolm Baldrige National Quality Award (MBNQA) and in the United Kingdom, the European Foundation for Quality Management (EFQM) have been adapted for the higher education sector and these institutions are recognising their benefits.

The higher education sector in Southern Africa has not been exempt from the global issues. Shortly after coming to power in 1994, government appointed the National Commission on Higher Education (NCHE) to analyse and make recommendations on higher education. The NCHE in many respects placed South African higher education in its present trajectory. A few years later, a National Working Group (NWG) was requested to advise the Minister of Education on the restructuring of the higher education landscape. The NWG recommended that the number of higher education institutions be reduced from 36 to 21 by means of mergers, acquisitions and incorporations.

Quality assurance in higher education in South Africa is neither new nor unfamiliar. A range of internal and external formal and informal quality assurance arrangements have been in place for many decades. What is new in relation to quality assurance in South Africa is the need to respond to the rapidly changing landscape that now constitutes higher education.

The Higher Education Quality Committee (HEQC) ensures **academic quality** by conducting institutional audits on teaching and learning, research and service learning at higher education institutions.

This study points out that there is a great need for **institutional quality** in South Africa. The changing South African higher education landscape and particularly the merging and incorporation of institutions requires a framework to ensure **institutional quality** in the higher education sector, focusing on areas like governance, finances and other institutional operations which are not a focus of the HEQC audits.

Institutional quality is addressed by adopting quality principles and institutional self-assessment approaches where issues like leadership, policy and strategy, people management and satisfaction, client/customer focus and satisfaction, resource and information management, processes, impact on society and organisational results are analysed to determine the institution's strengths and areas to improve.

This study provides an overview of the changing role of higher institutions worldwide and the organizational trends impacting on them. It also provides an overview of the higher education sector in South Africa.

A literature review of quality models is provided with specific reference to the United States Malcolm Baldrige Quality Award (MBNQA) and the European Foundation for Quality Management (EFQM)

In South Africa, the South African Excellence Model (SAEM) is the equivalent of the MBNQA in the USA, the EFQM in Europe and other quality models elsewhere in the world. Established in South Africa in 1998, the SAEM has been steadily gaining ground.

The South African Excellence Foundation (SAEF) is the custodian of the SAEM for organisational self-assessment. Participating in the Excellence Award Programme offers an opportunity for an organisation to be benchmarked by unbiased

independent assessors who provide a clear indication of exactly how well an organisation rates.

The SAEM has four sectors in which organisations can apply for the excellence award: business and the defence industry, Small Medium Enterprises (SME), the public service (central, provincial and parastatal) and local government. The SAEF introduced three levels instead of only one level to enable more South African organisations to apply for the award. At level 3, the starting level, organisations apply for an excellence certificate. At level 2, the more advanced level, organisations apply for an excellence prize and at level 1, the most advanced level, organisations apply for an award.

However, the SAEF does not yet make provision for a higher education institution sector and the **main objective** of the PhD was to contextualise and integrate quality models to provide a framework for continuous improvement in higher education institutions.

One of the **sub-objectives** of this study was to determine the shortcomings of the Public Sector level 3 questionnaire and propose a questionnaire for the higher education sector.

It is accepted that the academic culture in higher education will play a determining role in quality assurance. Although there are fundamental differences between higher education institutions and other organisations, higher education institutions also possess characteristics similar to most forms of organisation. Higher education institutions that use quality improvement efforts to cut costs and improve under crisis conditions are positioned to be more competitive in the future.

The findings of this study indicate that the combination of the SAEM questionnaire and workshop self-assessment approaches; can be used to ensure continuous improvement if they are contextualised for the higher education sector. The findings also indicate that the SAEM self-assessment results can be used as part of the SWOT analysis phase during strategic planning and that the objectives can be linked to the Balanced Scorecard. An example is also provided of how the

various disciplines like marketing and communication initiatives can be linked to the SAEM to ensure that the priority areas for improvement are addressed.

The SAEM findings provide a framework to benchmark faculties and support service departments. Strengths and areas for improvement are identified and prioritised at faculty, departmental and institutional level.

The analysis of quality models that have been applied in higher education institutions in the United States (MBNQA) and the United Kingdom (EFQM) provide invaluable lessons learnt for the South African higher education sector.

Finally, this study provides a framework of continuous improvement for the higher education sector in South Africa by proposing that academic self-assessment for accreditation should be run parallel to a process of institutional self-assessment. The institutional self-assessment process is based on quality models adapted for higher education institutions. This framework aims to ensure that South African higher education institutions achieve and maintain a competitive edge in the globalised economy.

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Glossary of terms

ABET	Adult Basic Education and Training
BSC	Balanced Scorecard
CHE	Council on Higher Education
CHET	Centre for Higher Education Transformation
EFQM	European Foundation for Quality Management
DoE	Department of Education
GMP	Good Management Project
HAU	Historically Advantaged Universities
HDU	Historically Disadvantaged Universities
HE	Higher Education
HEFCE	Higher Education Funding Council of England
HEQC	Higher Education Quality Committee
IoD	Institute of Directors
MBNQA	Malcolm Baldrige National Quality Award
NPHE	National Plan on Higher Education
NQF	National Qualifications Framework
SAEF	South African Excellence Foundation
SAEM	South African Excellence Model
SAJHE	South African Journal on Higher Education
SAUVCA	South African Vice-Chancellors' Association
SAQA	South African Qualifications Authority
SETA	Sectoral Education and Training Authority
UNITECH	Universities and Technikon Marketing Practitioners

CHAPTER 1: INTRODUCTION

Excellence is an art won by training and habituation. We do not act rightly because we have virtue or excellence, but rather we have those because we have acted rightly. We are what we repeatedly do. Excellence, then, is not an act but a habit. (Aristotle)

1.1 Introduction

Organisations worldwide are faced with increased competition due to globalisation and have attempted to gain competitive advantage by positioning themselves as “excellent”. However, only a handful of organisations can truly be described as “excellent” or “world class”. Excellence is likely to be a hallmark of the successful organisation in the 21st century where there will be many excellent organisations; these will be the maturing exponents of Total Quality in all its varied forms. Whereas today excellence is so unusual it stands out, in ten years time excellence will be taken for granted. It will be the expected level of performance – the entry ticket without which an organisation will not be a competitor, let alone a possible winner.

Champy and Nohria (1988:xiv) describe globalisation as “organisations from all parts of the globe competing to deliver the same product or service, anytime, anywhere, at increasingly competitive prices. Globalisation is forcing organisations to organise themselves in radically different ways”.

Meyer (1996:5) points out that Africa is emerging from its dark years of isolation and economic stagnation and is entering a global economy characterised by competitiveness. Competitiveness is critical to the future of South Africa in three ways:

- SA exports need to compete in an international market
- SA products and services are competing within the SA market with international competitors
- SA is competing for foreign investment of the sort that creates jobs

According to Cloete and Bunting from the Centre for Higher Education Transformation (CHET) in South Africa, many higher education institutions are responding to a more competitive market environment by 'trying to reinvent themselves like corporations'. They are responding to pressures to adapt to the 'new public management' by introducing management procedures and a management ethos which have traditionally been associated with the private sector. They are trying to determine what their core functions and core departments are in order to dispose of unproductive programmes and to contract out certain administrative functions. This international trend is at least being followed by some South African higher education institutions.

Higher education institutions worldwide have not been exempt from the demands for excellence and quality. The new legislative framework in South Africa and the broader challenges of globalisation and market competition have put enormous pressure on higher education institutions to devise new ways of managing what have become more diverse and very complex institutions.

Various higher education specialists have pointed out the trends and challenges facing higher education institutions. In South Africa, higher education specialists like Cloete *et al* (2002:237) point out that, within the space of five years, higher education institutions have been confronted with many challenges, including the need to:

- diversify their income streams while doing more, and different, things with increasingly less reliance on fiscus
- reconfigure their institutional missions and the ways in which they traditionally produced, packaged and disseminated their primary product-knowledge in order to meet the challenges of a diversifying student population, as well as an increasingly technologically-oriented, and globalising economy
- forge new kinds of relationships with other knowledge producers within and outside higher education, especially in industry and the private sector

Dr Mala Singh, the Executive Director of the Higher Education Quality Committee (HEQC) of the Council on Higher Education (CHE) points out in *Kagisano*, the

CHE Higher Education Discussion Series (2001:10) that the key trends which are bringing higher education in line with other organisations' positioning for global success include:

- the requirement of higher education to demonstrate efficiency, effectiveness and value for money through business re-engineering drives, integration into public finance management accounting systems, external quality assurance systems and other accountability frameworks designed to accommodate greater stakeholder scrutiny.
- declining investments of public funds to subsidise student fees and service costs, and the requirement to 'do more with less'.
- the dominance of managerial and entrepreneurial approaches to and within higher education, resulting in the tendency to run higher education institutions like income-generating businesses.
- the privatisation of higher education in encouraged competition with public institutions or within public higher education itself.
- the increasing development of labour market responsive curriculum reforms intended to appeal to employers and students as 'customers' and 'clients'.

In the United States of America, higher education specialist Clark (1998:xvi) maintains that the university-environment relationship is characterised by a deepening asymmetry between environmental demand and institutional capacity to respond. The imbalance creates a problem of institutional insufficiency. So much is now demanded of universities that traditional ways prove inadequate. Universities require not only an enlarged capacity to respond to changes in the external worlds of government, business and civic life, but also a better honed ability to bring demands under control by greater focus in institutional character. Strongly needed is an overall capacity to respond flexibly and selectively to changes taking place within knowledge domains of the university world itself.

Higher education institutions must be proactive in responding to the challenges facing them. They need to change their management practices and the way work is done. New standards, new systems, and new responsibilities must be developed.

Freed, Klugman and Fife (1997:4) point out that for the culture to change, members need to shift their thinking about how work is done. When the paradigm shifts, members begin to ask different questions in search of new answers to the same old problems. They embrace change as a positive value in the culture since **continuous improvement** is based on continuous change.

According to (Freed & Klugman 1997:9) a culture of **quality improvement** encourages members to have ownership in the institution and to take responsibility for managing themselves. The shift to this new quality culture is accomplished when quality efforts become an internalised standard of excellence for members within the institution rather than a way of doing business imposed by upper-level management.

“When business and industry were faced with difficulties, many organisations responded by improving quality and service through total quality management (TQM) or continuous quality improvement (CQI). There is a growing trend in higher education to implement these same quality principles to address challenging issues that threaten the health of higher education” say Freed and Klugman.

Higher education institutions that use quality improvement efforts to cut costs and to improve under crisis conditions are positioned to be more competitive in the future. They critically examine their current processes and systems with the intention of reducing and improving them so that the institution functions more efficiently. They collect information from their stakeholders to help them improve customer satisfaction. They are not afraid to ask for new ideas and feedback from all members of the institution. The quality improvement mind-set that helps institutions survive through the lean times will also allow the institutions to take advantage of times of growth.

Higher education institutions of the future will display the same characteristics as those organisations described by Champy and Nohria (1988:xv-vvi) as “twisted into a new shape by fierce global competition, changing markets and technological breakthroughs, the organisation of the future is emerging with distinct characteristics. It will be:

- information-based
- decentralised, yet densely linked through technology
- rapidly adaptable and extremely agile
- creative and collaborative, with a team-based structure
- staffed by a wide variety of knowledge workers
- self-controlling – which is clear only in an environment of clear, strong and shared operating principles and of real trust

The South African higher education sector has been faced with various challenges for the past decade. One of the issues has been the focus on quality, emphasised by Professor Kadar Asmal, Minister of Education in the Foreword to the National Plan on Higher Education 2001: *“The people of our country deserve nothing less than a quality higher education system which responds to the equity and development challenges that are critical to improving the quality of life of all our people.”*

To address most of these challenges, particularly the merging of various universities and technikons in South Africa, the need for a framework for continuous improvement has become imperative.

It is assumed that no single quality model could address all the needs of the South African higher education sector to ensure continuous improvement. Therefore this thesis will:

- Integrate the lessons learnt from the higher education sector in the United States of America and the United Kingdom
- Adapt the SAEM Public Service Level 3 questionnaire for the higher education sector
- Incorporate the latest international developments on entrepreneurial institutions, innovation and quality in the higher education sector
- Create a unique quality framework for the South African higher education sector to ensure **continuous improvement**

1.2 Definitions and rationale

To examine continuous improvement in the higher education sector, the following constructs are discussed:

- The concept of total quality management and other related concepts
- Quality models and their application in the higher education sector
- Self-assessment principles and practices
- The structure of the higher education sector in South Africa
- Quality challenges in South African higher education institutions

Terms such as “companies”, “organisations”, “institutions” and “enterprises” are used by various authors. Throughout this thesis, the term “institution” will be used instead of “companies”, “organisations”, and “enterprises” when referring to a university, technikon or college.

*“Self-assessment” throughout will refer to **institutional self-assessment** and not **academic self-assessment**.*

1.2.1 The concept of total quality management

“Total quality management (TQM) is a business approach that focuses on improving the organisation’s effectiveness, efficiency and responsiveness to customers needs by actively involving people in process improvement activities. The achievement of business or organisational excellence is at the core of TQM (Porter and Tanner 1996:1).

According to Freed and Klugman (1997:ix-xi), by the 1980’s, United States companies awoke to find they could not survive unless they changed their ways of conducting business. Products made in the US were falling behind others in quality, especially those made in Japan.

After World War 11, the United States business and industry had the largest market, the best technology, the most skilled workers, the most wealth, and the best managers of the industrialised countries. With all of these advantages, it was

easy for American business and industry to succeed without giving much thought to continuous improvement of products and services.

At the same time, Japan was intent on improving its economy through manufacturing and trade: Japan's products, however, were inferior to American products. In an effort to improve their status in the marketplace, Japanese companies worked together to acquire information on foreign companies. They also invited W Edwards Deming and Joseph M Duran, two of the pioneers in the continuous improvement movement, to conduct training courses on statistics and management for quality improvement.

Japanese companies embraced Deming's and Juran's theories, and added their own ideas to continuous quality improvement and these best practices propelled Japan into the position of world marketplace leader by the late 1970's.

By the 1980's, United States companies awoke to find they could not survive unless they changed their ways of conducting business. Products made in the US were falling behind others in quality, especially those made in Japan.

To save their companies, several American businesses also turned to quality improvement specialists. The three best experts known, Deming, Juran and Philip B Crosby, each contributed significantly to the ideas of continuous improvement.

The HEFCE *EFQM Excellence Model Higher Education Version* (2003: 6) points out that the concept of quality, first introduced by W Edwards Deming in the 1950's, comprises a much wider dimension:

"Deming (1986) set out an approach to total quality management by the introduction of his now famous 14 points. In addition to promoting product or service quality, it also gave industry a human face.

Duran (1988) built on Deming's philosophies, defining quality as *fitness* for use in terms of design, conformance, availability, safety and field use. Unlike Deming, he

focused on top-down management and technical methods rather than worker pride and satisfaction. Juran developed his TQM message around 10 key steps.

Crosby (1979) popularised total quality through his book *Quality is Free*. He built on the thinking of Deming and Juran, and added his idea that quality is 'conformance to requirement'. Crosby stressed motivation and planning were the key issues, rather than statistical process control".

As a result of this evolution in quality thinking, TQM became a driving force for quality improvement within many organisations across the world. Inspired by the TQM philosophies, the European Foundation for Quality Management (EFQM) was created in 1988 drawing from the experience and knowledge base in the United States, where the Malcolm Baldrige National Quality Award (MBNQA) had been launched.

The EFQM is an assessment framework designed to analyse any organisation against a set of "excellent" criteria. This model has been used and applied to the higher education sector and is continuing to be used as a framework for continuous improvement.

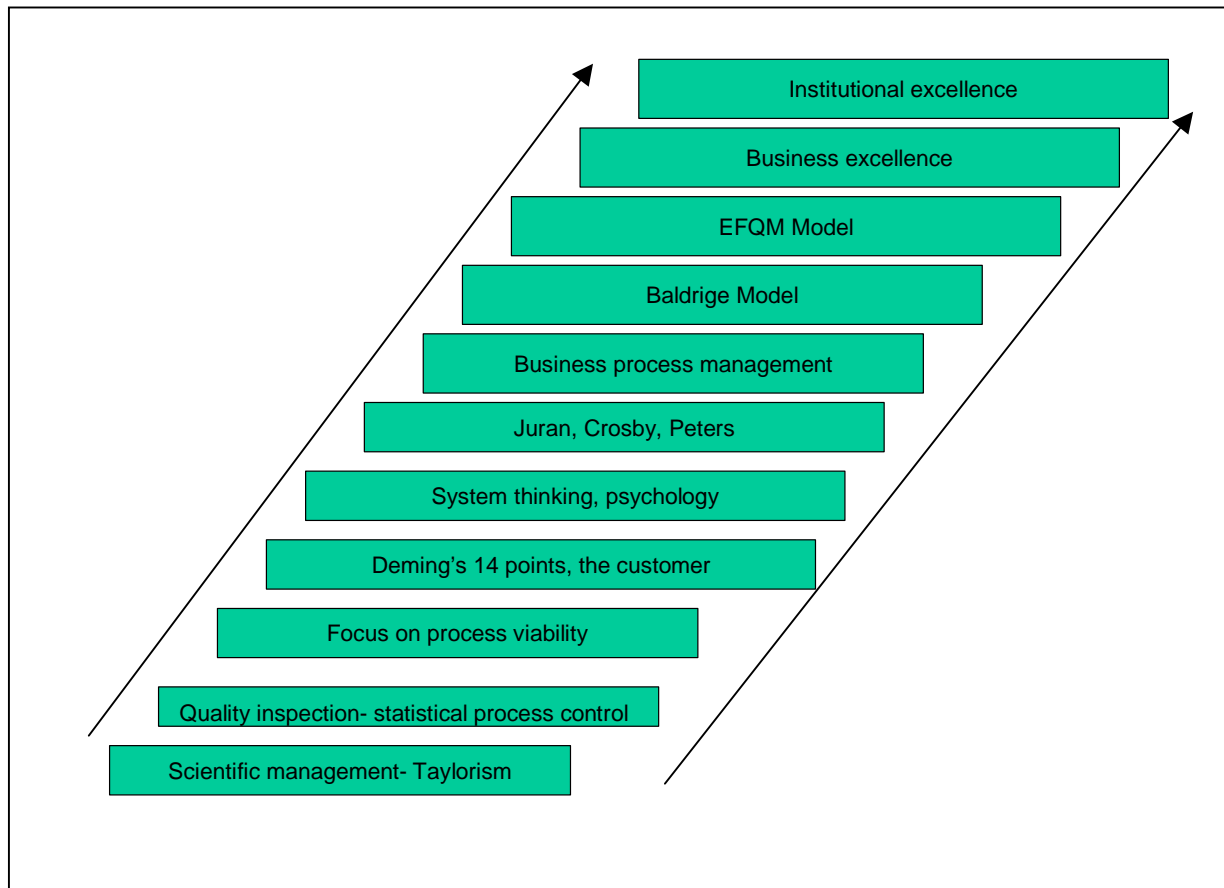
According to the EFQM, organisational excellence has been defined as: "the overall way of working that results in balanced stakeholder satisfaction (customer, employees, partners, society, shareholders) so increasing the probability of long-term success as an organisation" HEFCE, *Applying self-assessment against the EFQM Excellence Model in Further and Higher Education* (2003:1).

In an education context, this means balancing the needs of students, staff funding and regulatory bodies as well as those of local communities.

In the most recent version of the Model, excellence is also defined as "outstanding practice in managing the organisation and achieving results based on a set of fundamental concepts".

The evolution of excellence is clearly depicted in Fig 1 where the foundation of scientific management principles was laid by Taylor, and later refined by Deming, Juran, Crosby and Peters. Business process management provided the base for the quality models that were to follow, eventually leading to institutional excellence.

Fig 1: The evolution of the excellence concept



(HEFCE, Embracing Excellence in Education 2003:7)

The many other management trends linked to quality including **innovation**, **creative thinking**, **competitive strategic planning** and **learning organisations**, are also finding favour within the higher education sector and they are discussed in more detail in chapter 2.

1.2.2 Quality models and their application in the higher education sector

In this thesis, three quality models will be analysed; in the United States the Malcolm Baldrige National Quality Award (MBNQA), in the United Kingdom the European Foundation for Quality Management (EFQM) and the South African Excellence Model (SAEM). To avoid misunderstanding and ensure consistency in this thesis, all three models will be referred to as **quality models** and not **excellence models**.

These three quality models will be examined and the question posed why quality models for the higher education sector are not being used to a large degree in South Africa? One of the reasons could be that although the SAEM is available for various sectors, no provision is specifically made for the higher education sector.

In Chapters 3 and 4 an investigation into quality models will be made and a critical analysis done of lessons learnt in the United States and United Kingdom higher education sectors. The benefits of using quality models in higher education will also be discussed.

Developed in 1990-1991 by the European Foundation for Quality Management, the EFQM provides an inclusive framework for managing change to best effect by clearly displaying the links between cause and effect. The model, which is used as the basis of both the European and United Kingdom quality awards, is a flowchart of how an excellent organisation operates (www.efqm.srhe.ac.uk).

The MBNQA follows the same logic: by improving the 'how' of a company's operations (the *enablers* of leadership, policy and strategy, people management, resources and processes) improved *results* will follow from each of the stakeholders (financial, customers, people and society) (www.quality.nist.gov).

The SAEM is based on the premise that; "customer satisfaction, people (employee) satisfaction, impact on society, supplier and partnership performance are achieved through leadership, driving policy and strategy, people management,

customer and market focus, resources and information management and process, leading ultimately to excellence in organisational results (www.saef.co.za).

The MBNQA, EFQM and SAEM models are similar regarding their definitions of criteria, but whereas MBNQA has seven criteria, EFQM has nine and SAEM eleven. These criteria are divided into “Enablers” and “Results”. The Enablers cover what the organisation does, and the Results cover what the organisation achieves: Enablers cause Results.

All three models are based on the simple **premise** that processes are the means by which an organisation harnesses and releases the talents and potential of its people to produce results.

1.2.3 Self-assessment principles and practices

Self-assessment is seen as a key driver for improving performance in an organisation and is a key concept of all the quality models. The majority of organisations that employ the models, use it as a way of finding out where they are now, considering where they want to improve, and then making decisions on how to get there.

Self-assessment is a method of looking across an organisation at a specific point in time to see where it is in relation to achieving its performance outcomes. In the initial stages, self-assessment can be used as a ‘health check’ – a starting point for focusing attention and action.

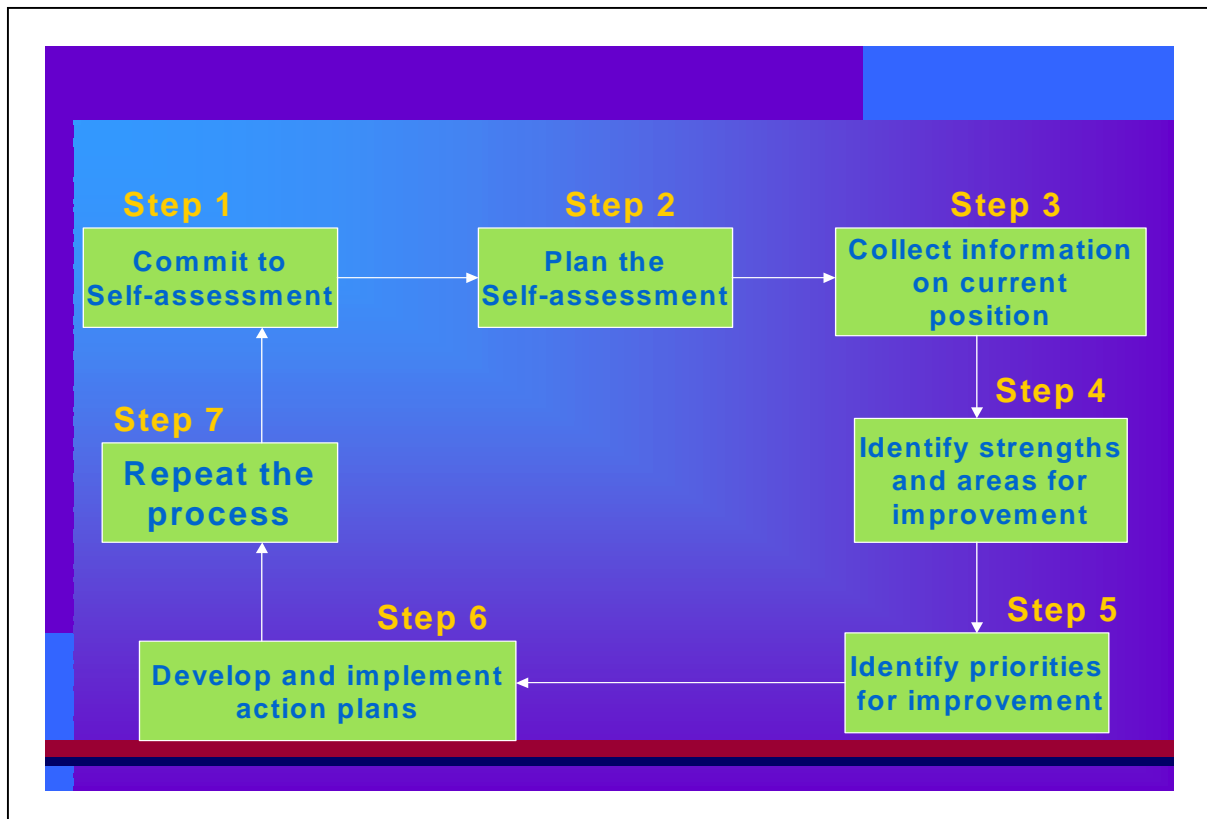
The EFQM defines self assessment as: ‘ A comprehensive, systematic and regular view of an organisation’s activities and results referenced against the EFQM” in the Higher Education Funding Council of England (HEFCE) *Applying Self-Assessment against the EFQM Excellence Model in Further and Higher Education* (2003:6).

According to Porter and Tanner (1996:4) “the process of self-assessment represents one of the most comprehensive ‘health-checks’ available to an

organisation. As well as reviewing the direction of the organisation, it rigorously evaluates the current status of the organisation's processes (the 'hows') and the achieved performance levels (the 'whats').

The self-assessment process allows the organisation to clearly identify, under each of the criteria, its strengths and areas in which improvements can be made. This seven-step process is explained in Fig 2.

Fig 2: Seven-step self-assessment process



(SAEF Y200/1 No 2 Self-Assessment Questionnaire and Workbook for Public Service Performance Excellence Level 3)

1.2.4 The growing use of quality models in the public sector

The HEFCE *Embracing Excellence in Education* (2003:4) says that worldwide, there has been an increased use of quality models to ensure continuous improvement in organisations.

“A survey undertaken by PriceWaterhouseCoopers in the UK, analysed 3 500 different public sector organisations. Their findings show that there has been an explosion in the use of the Excellence Model in the public sector. Although many of these organisations are at an early stage of implementation, 81% of users found that the Model has already proved to be an effective tool within their organisation.

Almost all agreed that the long term use of the model would help them to achieve continuous improvement and consequently improve front line service to customers. 85% also stated that the model helped them to link together key policies and initiatives.

According to the EFQM, the Excellence Model is used by over 20 000 organisations across Europe, by 60% of Europe’s largest organisations, and by 9 of the 13 European organisations in the Financial Times’s 50 World’s Most Respected Companies.”

1.2.5 The benefits of using quality models

The use of quality models, particularly self-assessment, has been likened to holding up a mirror and facing the truth: we do not always like what we see, but we need to acknowledge what we see to be able to make improvements. According to the HEFCE *Applying Self-Assessment against the EFQM Excellence model in Further and Higher Education* (2003:6).

“The impact that undertaking self-assessment can have on institutions is both tangible and intangible. When implemented successfully into an institution, the benefits have included:

- Clear identification of stakeholders and their requirements
- Engagement of students and other customer groups
- Identification of and improved engagement with partners
- Improvement of business planning, through the appropriate integration of self-assessment which leads to greater clarity of focus and more resourceful and strategically focussed plans
- Improvement activities which are planned, undertaken and reviewed

- Identification and mapping of processes leading to greater efficiency and effectiveness
- Improved internal and external communications
- Sharing of good practice across organisations, and within organisations
- Systematic gathering of data to inform internal and external quality assessments
- A change in culture to one of openness, sharing and continuous learning, innovation and improvement”

1.2.6 The structure of the higher education sector in South Africa

An overview of the higher education system in South Africa is provided in Chapter 2, but at the outset it is important to explain this sector.

The South African Education system is divided into three levels: **primary education, further and general education** and **higher education**. The South African Higher Education system comprises 21 universities and 15 technikons as depicted in Table 1. These 36 institutions will be reduced to 21.

Table 1: SA universities and technikons*

Note: Technikons have been renamed “Universities of Technology” as from 6 June 2003 (Press Release, 5/6 June 2003)

UNIVERSITIES	
INSTITUTION	REGION
Rhodes University	EASTERN CAPE
University of Fort Hare	
University of Port Elizabeth	
University of Transkei	
University of the Free State	FREE STATE
Medical University of South Africa MEDUNSA	GAUTENG
Rand Afrikaans University	
University of Pretoria	
University of the Witwatersrand	

Vista University	
University of Durban-Westville	KWA-ZULU NATAL
University of Natal (Durban)	
University of Natal (Pietermaritzburg)	
University of Zululand	
Potchefstroom University	NORTH WEST
University of the North West	
University of the North	NORTHERN PROVINCE
University of Venda	
University of Cape Town	WESTERN CAPE
University of the Western Cape	
University of Stellenbosch	

TECHNIKONS	
INSTITUTION	REGION
Border Technikon	EASTERN CAPE
Eastern Cape Technikon	
Port Elizabeth Technikon	
Technikon Free State	FREE STATE
Technikon Northern Gauteng	GAUTENG
Technikon Pretoria	
Technikon South Africa	
Technikon Witwatersrand	
Vaal Triangle Technikon	
M L Sultan Technikon	KWA-ZULU NATAL
Mangosuthu Technikon	
Technikon Natal	
Technikon North West	NORTH WEST
Cape Technikon	WESTERN CAPE
Peninsula Technikon	

(www.chet.org.za)

1.2.5 Quality challenges facing higher education institutions

Chapter 2 provides an overview of the changing role of and challenges facing the higher education sector worldwide with particular reference to Southern Africa.

Van Damme in the *South African Journal for Higher Education* (2000:10) says that undoubtedly, quality has been the central concept and the major focus of policy and institutions and governments in the field of higher education in the nineties. “With varying intensity, pace, thoroughness and success, most countries in the world have established systems and procedures of quality assurance in higher education, comparable to those in industry or government created a number of years before. Now, at the end of the nineties, traditional, informal academic self-regulation – which for centuries was held to be sufficient in guaranteeing quality – has been replaced by explicit quality assurance mechanisms and related reporting and external accountability procedures.”

In the changing higher education environment facing major challenges, the notion of quality becomes a distinguishing labelling tool with potentially powerful effects. One can expect that the international higher education market will become more competitive and more diversified in future, and that perceived quality will become the decisive criterion for students and stakeholders in an increasingly complex market.

Van Damme in the *South African Journal on Higher Education* Vol 12 No 2 (2000:10) says there is considerable variation in methodologies in international systems of quality assurance, but in most cases quality assurance models use similar key methodologies for the evaluation of programmes or institutions:

- In many countries, quality assurance is based on a kind of *self-evaluation*
- *Peer review* by outside experts, often combined with one or more site visits is a powerful external complement to internal self-evaluation

1.3 Research problem

In South Africa, the Council on Higher Education (CHE) has executive responsibility for quality assurance within higher education. The CHE document, ***Quality assurance in Higher Education***, distributed by the Higher Education Quality Committee (HEQC), (2003:Introduction) states that: “Quality assurance in higher education in South Africa is neither new nor unfamiliar. A range of internal and external, formal and informal quality assurance arrangements have been in place for many decades. What is new in relation to quality assurance in South Africa is the need to respond to the rapidly changing landscape that now constitutes higher education. The changes include a shift towards a more integrated yet differentiated public sector, a growing private sector, increased work-based training at higher education levels, an outcomes and impact orientation that requires new or vastly changed evaluation systems, and a greater demand for demonstrating higher education responsiveness and relevance to social and economic reconstruction”.

As pointed out earlier in this chapter, various education experts have indicated the challenges and issues facing higher institutions and in particular, Freed and Klugman (1997:9) are of the opinion that “as the problems facing higher education have grown, more institutions have adopted quality principles and practices, and they predict that this trend will continue.”

Bogue (1994:123) poses the question “whether the initial euphoria and the subsequent quiet passage of some previously heralded management concept will eventually also describe the fate of the TQM in colleges and universities, remains to be seen. An argument can be made that many of the philosophical principles of the TQM have been at work in academia for some time. The quest for quality will always remain an unfinished journey and there is no reason to neglect any conceptual tool that will aid us in that quest. As with any tool, the effectiveness of its application turns on the artistry of the user in ensuring it fits the time, task and place”.

The question that thus remains is how South African higher education institutions will respond to the rapidly changing landscape that now constitutes higher education.

Higher education institutions worldwide, but particularly in South Africa, are still not fully utilising modern management methods, approaches, practices and methodologies in managing the institutions. They also do not ensure that these methods are constantly reviewed and improved to ensure total quality management, innovation and excellence.

To compete in the global arena, it is essential that modern management methods should underpin the management practices at higher education institutions. These will include the management approaches to business functions such as strategy formulation, finance, investment, risk management, human resources, labour relations, marketing and communication, procurement, quality assurance, client service, innovation, facilities and real estate and information technology.

Although teaching and learning, research and service learning programmes are at the core of what higher education institutions do, it is also necessary to focus on governance, finances and other institutional operations. What is required is a quality framework for assessing the institutional excellence of the higher education institutions. The framework will be based on the concept that the institution will achieve better results by involving all people in continuous improvement of their processes.

In this thesis, continuous improvement in higher education will be examined and a framework for continuous improvement in the Southern African higher education sector will be proposed. To understand continuous improvement, a proper theoretical framework has to be outlined. This framework should be contextualised and integrated to suit the South African higher education environment and the challenges it faces. Reference will be made to two international quality models and the South African Excellence Model, as well as international quality practices in the higher education sector.

The HEQC are not prescriptive as to what models or methods higher education institutions in South Africa use as part of their self-evaluation report. However, to ensure that governance, finances and other institutional operations are addressed, it would seem that the SAEM could be used as part of the framework for higher education institutions to ensure continuous improvement. It could also provide a meaningful instrument to benchmark higher education institutions' performance against world standards.

Acknowledging that higher education institutions have unique characteristics, this thesis will attempt to contextualise and integrate quality models and quality studies to provide a framework for continuous improvement in higher education institutions to supplement the current academic self-assessment measures.

Three quality models will be analysed; the Malcolm Baldrige Quality Award in the United States, (MBNQA) the European Foundation for Quality Management (EFQM) in Europe and the South African Excellence Model (SAEM). The SAEM combines the best of the MBNQA, the EFQM, Australia (Australian Quality Award), United Kingdom (United Kingdom Quality Award) and Japan (Deming Prize), but it incorporates a South African emphasis in accordance with national priorities.

The quality models use self-assessment, a powerful management process that will allow higher education institutions to assess their levels of efficiency and effectiveness, identify gaps in their processes, and institute significant performance improvements to achieve higher levels of competitiveness.

Self-assessment comprises a comprehensive, systematic and regular review of an institution's activities and results, referenced against a model of performance excellence. The self-assessment process will allow an institution to clearly identify its strengths and areas in which improvements can be made.

Du Toit from the Border Technikon in South Africa explains in the South African Journal on Higher Education Vol 15 no 2 (2001:24) how the Technikon has used the SAEM as follows: "In using an adaptation of the SAEM as an instrument to guide the process of self-assessment, areas for improvement or gaps can

systematically be identified. The SAEM can be seen as a “management tool” to implement the philosophy of TQM in the Technikon. It should not be seen as an initiative in competition with existing improvement activities, but rather as an extension towards a more holistic, systemic approach.”

The quality models also engage organisations in an analysis of stakeholders, and particularly supports the recognition of the needs and expectations of customers and customer groups. The EFQM defines customers as ‘final arbiter of the product and service quality, and customer loyalty’ It suggests retention and market share gain are best optimised through a clear focus on customer needs. In other words, it encourages institutions to have a clear focus on the student experience.

The quality models therefore offer a strong stakeholder-focused approach – which is at the heart of everything the 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 beyond what might traditionally be viewed as a customer 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, it is unlikely that continual improvement which meets or exceeds stakeholders’ expectations, could be achieved and sustained.

This ethos of excellence that the quality models provide also builds on, and relates to the positioning of educational institutions alongside the needs of the local and wider society.

1.4 Objectives of the study

The main objective of the study is to contextualise and integrate quality models to provide a framework for continuous improvement in higher education institutions. This will comprise the following sub-objectives:

- 1.4.1 To determine the shortcomings and contextualise the SAEM Public Sector, level 3 self-assessment questionnaire for the higher education sector. At level 3, the starting level, organisations apply for an excellence certificate. At level 2, the more advanced level, organisations apply for an excellence prize and at level 3, the most advanced level, organisations apply for an award. The SAEF self-assessment questionnaires have been adapted to correspond with the three levels.
- 1.4.2 To provide a format for self-assessment quality workshops within the higher education context.
- 1.4.3 To investigate if the self-assessment results can be used as part of the SWOT analysis phase during strategic planning and to link the strategic objectives to the Balanced Scorecard
- 1.4.4 To link a discipline, for example, marketing and communication initiatives to the SAEM
- 1.4.5 To benchmark faculties and support service departments at higher education institutions
- 1.4.6 To link continuous improvement initiatives for the higher education sector to the SAEM
- 1.4.7 To propose a framework of continuous improvement for the higher education sector based on quality models and quality studies in higher education institutions

1.5 Demarcation and delimitation of the study

This exploratory study will investigate three quality models: the Malcolm Baldrige National Quality Award (MBNQA) in the United States, the European Foundation for Quality Management (EFQM) in Europe and the South African Excellence Model (SAEM). The application of the Malcolm Baldrige Education Criteria and the

Higher Education Funding Council for England consortiums' use of the EFQM in the higher education sector will be analysed.

A combination of only two self-assessment approaches were selected: the questionnaire and workshop. Regarding the questionnaire, the SAEM public sector, level 3 questionnaire was used as this sector most closely resembles the higher education sector. Of the three levels available, Level 3, the starting level, was selected.

Due to the lack of sources on quality models in higher education, the literature review in Chapter 3 and quality models in Chapter 4 rely heavily on the Higher Education Funding Council for England, particularly the publications by Sheffield Hallam University, one of the two consortium project leaders.

1.6 Importance of the study

There is general acceptance that higher education institutions need to address quality issues if they are to survive in the globalised economy. Higher institutions in the United States and the United Kingdom that have implemented quality models like the MBNQA and the EFQM are already reaping the benefits of implementing these models as was discussed in 1.2.5. **The benefits and lessons learnt are also discussed in Chapter 4.**

If these quality models are benefiting higher education institutions worldwide, then why are South African higher institutions not at least considering the lessons learnt and implementing a quality model adapted for South African higher institutions?

What is needed is to contextualise and integrate the quality models used in other higher education institutions and propose a unique framework for South African higher education institutions.

This study will provide:

- A summary and comparative analysis of the trends/issues/challenges facing the higher education sector

- A summary of quality models as well as the fundamental concepts of these models and a contextualising of these concepts for the higher education sector
- A new higher education sector for the SAEM
- A format for self-assessment workshops at higher education institutions
- A format for a strategic session linking SAEM self-assessment results to the SWOT and the BSC
- The adapted SAEM model will enable higher education institutions to do self-assessment at faculty/department/school level to identify their strengths and areas for improvement
- A format for linking marketing and communication initiatives to the SAEM
- A framework for linking continuous improvement for the higher education sector to the SAEM
- A framework for continuous improvement in the higher education sector
- The higher education sector will be able to benchmark itself against worldwide quality models

1.7 The basic research approach

To achieve the specific research objectives set, a qualitative approach has been selected. This approach is particularly suited to the exploratory design of the study, as it allows an in-depth investigation of quality models, quality studies, the SAEM and the application of the SAEM within a higher education context.

1.8 Structure of the study

Chapter 1: Introduction

This chapter provides an introduction to the higher education sector and refers to education specialists worldwide who have identified various issues facing this sector. The concepts of academic self-assessment and institutional self-assessment are explained and why institutional-self assessment is of such importance.

Other concepts like total quality management, quality models in higher education, self-assessment principles and practices, the benefits of sing quality models are also explained.

The structure of the higher education sector in South Africa and the quality challenges facing higher education institutions are pinpointed.

The chapter concludes with the research problem, objectives of the study, demarcation of the study, basic research approach and importance of the study.

Chapter 2: The higher education sector with specific reference to South Africa

This chapter describes the changing role and major challenges facing higher education institutions, how they will need to adapt if they are to survive in a globalised environment as well as the unique characteristics of higher education institutions. Reference is also made to entrepreneurial and enterprise universities.

An overview of the education sector in South Africa is provided, as well as a brief history of South African universities and the structure of the higher education system. Reference is also made to the merging of South African higher education institutions as well as the White Paper on Education and the implications of the proposals.

Chapter 3: A literature review of excellence models

This chapter provides an introduction to quality models and the application of continuous improvement principles in the higher education sector.

An overview of the establishment of excellence models is provided with particular emphasis on the MBNQA in the United States, the EFQM in Europe and the SAEM in South Africa.

A review of the models indicate that they share similar characteristics and, similar to the United States and the United Kingdom, the SAEM can be adapted to suit

South African higher education institutions, However, this model has shortcomings that are mainly attributable to the fact that the model has not been contextualised for the higher education sector.

Self-assessment as part of continuous improvement is discussed as well as the various approaches.

The chapter concludes with a discussion of the Balanced Scorecard (BSC) and how the BSC can be linked to quality models.

Chapter 4: Quality models in the higher education sector

This chapter discusses quality assurance and provides examples of the application of quality models citing examples from higher education institutions using the MBNQA and the EFQM.

In the United Kingdom, the Higher Education Funding Council of England (HEFCE) and the two Consortiums provide invaluable information on lessons learnt and benefits derived from the use of a quality model in higher education institutions.

The chapter concludes with a discussion on using quality models for benchmarking in higher education.

Chapter 5: Problem statement, research objectives, hypothesis/propositions and research methodology

In this chapter the research problem is restated, as well as the research objective and the seven research sub-objectives. The exploratory research contextualises worldwide excellence models for higher education institutions. Research questions and hypotheses are formulated based on the literature review from Chapters 1 to 4 and the quality models proposed in Chapter 3.

The research design, methodology, unit of analysis, time frame, population, sampling, phases, data capturing and tabulating and the scoring of data are explained.

Chapter 6: Research results and analysis

This chapter will present the findings of the different phases of the exploratory study.

In the **first phase**, a pre-workshop was conducted with a corporate group to determine whether the workshop provided the respondents with an overview of quality and an understanding of the questionnaire.

During **phase two**, the revised workshop was conducted among the five faculties and one Support Service Department. During these workshops, respondents completed the SAEM Level 3, public sector questionnaire.

During **phase three**, a workshop was held in a faculty as part of the strategic session to determine if the self-assessment findings in terms of **strengths** and **areas for improvement** correlated with perceptions in the faculty. The strategic session followed a specific programme, philosophy, thinking and process. The strengths and areas for improvement were prioritised and integrated with the strategic objectives that were linked to the BSC and the SAEM.

During **phase four**, an analysis, comparison and incorporation of the lessons learnt from the HEFCE, as well as the Malcolm Baldrige Excellence Criteria in Education, were done. This included a personal interview in the United Kingdom with the Sheffield Hallam University Excellence Manager.

During **phase five**, the SAEM questionnaire and workshops were revised, based on the lessons learnt from phase one and two.

During **phase six**, the research findings were integrated and proposals for formats and frameworks were proposed.

The chapter concludes with a verification of the research hypothesis.

Chapter 7: Conclusions, recommendations and proposals for further research

In this chapter a final discussion on general theory is provided with recommendations addressing the seven research sub-objectives and the main objective.

The chapter concludes with proposals for further research.

1.9 Summary

In the introductory chapter continuous improvement in the higher education sector was introduced by providing definitions and rationale.

The research problem, objectives, demarcation and delimitation of the study and the basic research approach were outlined as well as the importance of and need for research on **continuous improvement** in the higher education sector.

In **Chapter 2** the higher education sector's changing role and the challenges facing it will be discussed. The South African higher education system and the specific issues facing higher education institutions will be scrutinised.

CHAPTER 2: THE HIGHER EDUCATION SECTOR WITH SPECIFIC REFERENCE TO SOUTH AFRICA

2.1 Introduction

The previous chapter pointed out that higher education systems and institutions around the world have not been exempt from the demands and impact of a globalising political economy. As in the case of other major social institutions, universities and technikons have been undergoing dramatic reorganisation along principles that converge largely around the economic costs and benefits of higher education. Such reorganisation is occurring within a context that principally takes the global economy rather than the nation's state or national histories as its point of departure or yardstick.

The paradigm of the market and principles from the world of business are seen as keys to the transformation of higher education in the direction of greater responsiveness. Literature on the restructuring of higher education systems in many developed economies in the late 20th century indicates a number of common trends, converging into a new orthodoxy about the value of higher education and how it should be managed.

It has been emphasised that one of the key and enduring characteristics of higher education institutions throughout the centuries of their existence has been the ability to adapt to changing demands and contexts. This capacity has enabled higher education institutions to retain much of their distinguishing central features as institutions of knowledge and learning.

Like many times in the past, higher education institutions now face a number of critical challenges and only if they are able to adapt to these challenges, will they be able to maintain a relevant place and role in society.

There is consensus that generally, worldwide, higher education institutions subscribe to the highest principles of academic excellence. They hold academic

standards and values in high esteem, including academic freedom, the pursuit of knowledge and scholarship. Their core activities are academic endeavours that are manifested in teaching and research initiatives. These are supported by a large number of other activities without which a higher education institution cannot operate or without which it will not be the top institution it strives to be. The activities include its community involvement and outreach programmes, and the focus on the quality of student life.

2.2 The changing role of higher education institutions

One of the alternative views on the changing role of higher education institutions is that of Gumport in Altbach *et al* (2001:87) who maintains that there is a growing tension between the following two dominant perspectives on higher education:

- The first interprets higher education as a social institution while the second sees higher education mainly as a part of the national economy, in other words as an industry. The 'social' position states that higher education must attain goals related to its core activities, retain institutional legacies and carry out important functions for the wider society such as the cultivation of citizenship, the reservation of cultural heritage, and the formation of skills and the characters of students.
- The 'higher education as a industry' approach emphasises that higher education institutions sell goods and services, that they train an important part of the workforce and that they foster economic development. It argues that the exposure of universities and technikons to market forces and competition will result in improved management, programme adaptation, maximum flexibility, improved efficiency and customer satisfaction.

Cloete *et al* (2000:18) point out that the perspective of public higher education as an industry has become the dominant one, at least in the United States. The mechanisms through which this development has taken place are:

- The rise of academic institutional managers and professional administrators.
- The idea of the sovereignty of the consumer, especially students.
- The re-stratification of academic subjects and academic staff on the basis of their value use.

According to Gibbons (1998:i) universities have been far more adept at producing knowledge than at drawing creatively (re-configuring) knowledge that is being produced in the distributed knowledge production system. It remains an open question whether they can make the necessary institutional adjustments to become as competent in the latter as they have been in the former. This requires the creation of a cadre of knowledge workers – people who are experts at configuring knowledge relevant to a wide range of contexts. This new corps of workers are described as problem identifiers, problem solvers, and problem brokers. The shift from knowledge production to knowledge configuration is a challenge that is particularly acute for the universities of the developing world.

“Increasingly, a more professionalised management is seen as a necessary condition for the institutions’ attempts to deal more adequately with both external and internal pressures and demands. The rising administrative profession is, implicitly and explicitly, challenging the traditional dominance of academics in institutional affairs. This development might actually lead to the university becoming a bi-professional instead of mono-professional organisation“ (Cloete *et al* 2002:28).

Drawing from several authors (cf Gibbons 1998; Kennedy 1997; Trow 1996) Van Vught noted at a seminar held in Johannesburg in July 2002 on *Entrepreneurial Higher Education Institutions* hosted by The South African Universities Vice-Chancellors Association (SAUVCA), the Centre for Higher Education Transformation (CHET) the Committee of Technikon Principals (CTP) and UNITECH (Universities and technikons communication practitioners), that higher education institutions were being confronted by the following challenges:

- Institutions are being challenged *by other knowledge producers*. Universities are no longer the only producers of knowledge as knowledge is now produced in a variety of organisations such as independent think tanks, business firms, and industrial and government laboratories.
- Institutions are being challenged *by students and employers*. Higher education systems in the western world have become mass systems – while

an enormous achievement, this implies that most graduates will not become academics who will pursue an academic career in a university.

- Institutions are being challenged *by other education providers*. New, usually commercial, education-providers have entered the higher education market, usually with a strong vocational dimension and are eager to compete with universities, the implication being that students can now choose from a variety of higher education institutions.
- Institutions are being challenged by *new technologies*. Information and communication technology (and especially telecommunication technology) may well have a dramatic impact on higher education systems.
- Professional associations are also in competition and provide life-long learning opportunities.

Dr Richard Fehnel, Higher Education Consultant, in his keynote address at the same July 2002 Johannesburg seminar pointed out the following global realities that are transforming higher education internationally:

- Increased diversity in types of institutions and types of programmes and services on offer.
- Increased reliance on partnerships and alliances, as opposed to mergers, for a broader range of activities and services.
- The spectrum of interaction between co-operation and competition.
- Increased reliance on private funding for public higher education.
- Increased innovation in teaching, learning, research, institutional management and supporting services.

2.2.1 Entrepreneurial universities

According to Cloete *et al* (2000:18) one of the most influential publications in recent debates on higher education reform is Burton Clark's book on entrepreneurial universities based on five case studies in four European countries: Finland, the Netherlands, Sweden, and the United Kingdom. Clark argues that all universities should adapt and become more entrepreneurial because societal

demands with respect to higher education are growing while government support (financially, legally and politically) is decreasing.

At the same seminar held in Johannesburg in July 2002 on *Entrepreneurial Higher Education Institutions*, reference was made to Cloete *et al* (2002) “who argue that it is debatable whether any South African institutions satisfy the criteria for entrepreneurial higher education institutions that were adopted by Clark”.

Clarke defines “entrepreneurial” as a characteristic of social systems: that is, of entire universities and their internal departments, research centres, faculties and schools. The concept carries the overtones of ‘enterprise’. An entrepreneurial university, on its own, actively seeks to innovate in how it goes about its business. It seeks to work out a substantial shift in organisational character so as to arrive at a more promising posture for the future. Entrepreneurial universities seek to become “stand-up” universities that are significant actors on their own terms. Institutional entrepreneurship can be seen as both process and outcome.

Clark investigated how universities, by means of entrepreneurial action, go about transforming themselves. He found that there are five transforming elements needed in an entrepreneurial university (1998:5-8):

- **A strengthened steering core**
 - o The steering core embraces central management groups and academic departments. It operationally reconciles new managerial values with traditional academic ones. The core is quicker, more flexible, and especially more focused in reactions to expanding and changing demands.

- **The expanded developmental periphery**
 - o Units are established to reach across university boundaries to link up with outside organisations and groups. In one form these units are professionalised outreach offices that work on knowledge transfer, industrial contact, intellectual property development, continuing education, fundraising and even alumni affairs. The units are

interdisciplinary project-oriented research centres that grow up alongside departments as a second major way to group academic work. They bring into the university the project orientation of outsiders who are attempting to solve serious practical problems critical in economic and social development. They have a certain flexibility in that they are relatively easy to initiate and to disband. Constructed to cross all boundaries, the centres mediate between departments and the outside world.

- **The diversified funding base**
 - o To fashion a new change-oriented character, a university generally requires greater financial resources: it particularly needs discretionary funds. A widening and deepening portfolio of third-stream income is constructed that stretches from industrial firms, local governments and philanthropic foundations, to royalty income from intellectual property, earned income from campus services, student fees and alumni fundraising. Money from many sources enhances the opportunity to make significant moves without waiting for system-wide enactments that come slowly, with standardising rules attached.

- **The stimulated academic heartland**
 - o For change to take hold, one department and faculty after another needs itself to become an entrepreneurial unit, reaching more strongly to the outside with new programmes and relationships and promoting third-stream income. Their members need to participate in central steering groups. They need to accept that individuals as well as collegial groups will have stronger authority in a managerial line that stretches from central officials to heads of departments and research centres. In the entrepreneurial university the heartland accepts a modified belief system.

- **The integrated entrepreneurial culture**
 - o Enterprising universities, much as in the high tech industry, develop a work culture that embraces change. That new culture may start out as a

relatively simple institutional idea about change that later becomes elaborated into a set of beliefs which, if diffused in the heartland, becomes a university-wide culture. Strong cultures are rooted in strong practices. As ideas and practices interact, the cultural or symbolic side of the university becomes particularly important in cultivating institutional identity and distinctive reputation

2.2.2 Enterprise universities

Jan Currie from Murdoch University in Australia, in the *Society for Research into Higher Education*, No 46, November 2001:35, refers to a study of 17 Australian universities. The study focused on the changes to organisational systems and control, and found that all 17 Australian institutions had become enterprise universities to a greater or lesser extent. Five principal trends characterised these Australian universities:

- A new kind of executive power, including a will to manage and managing according to 'good practice'.
- Structural changes, including replacing or sidelining collegial forms of governance, with power shifting from formal to semi-formal types of power, especially vice-chancellors and senior executive groups ('cabinets').
- Flexibility of personnel and resources, including industrial deregulation, the use of soft money and commercial organisations outside of the main legislative rules of the university.
- Decline in the independent power of the academic disciplines, with the rise of executive deans ('super deans') controlling several disciplines, and new structures that often cut ties of obligation between leaders and collegial networks below.
- Devolution as part of centralised control, using targets, which hemmed in the devolved managers and increased line management authority

2.3 Higher education institutions need to adapt

The various challenges facing higher education institutions are forcing them to adapt, especially in South Africa where Asmal & James (2002:20) point out that

the National Plan for Higher Education has impacted on the overall quantity and quality of graduate and research outputs: management, leadership and governance failures: lack of representative staff profiles: institutional cultures that have not transcended the racial divides of the past: and the increased competition between institutions which threatens to further fragment the higher education system.

There is an imperative need for an entirely new attempt at self-examination, criticism, and self-evaluation in the world of higher education. The time has come to put away natural self-satisfaction and conservatism, and instead struggle with the challenges facing universities in the new millennium and to devise new ways of evaluating educational programmes and being more accountable according to Singh in the *Journal on Higher Education* Vol 14 No 2, 2000:6.

A significant adjustment that the universities will have to make in this new context is to develop structures which promote and reward group creativity. So far, the emphasis in universities – and this is a consequence of the disciplinary structure – has been on individual performance. Little, if any, attention is given to the challenge of teaching people to be “creative” in a team situation. To avoid wasteful duplication, an ethos based on teamwork and, more importantly, on sharing resources will need to be developed at the centre of the institution’s policies (Gibbons 1998:ii).

These challenges are facing higher education institutions to rethink their roles and positions: they are forced to become more innovative and entrepreneurial in at least three areas:

2.3.4 Corporate governance, risk management and continuous improvement

The Institute of Directors in Southern Africa established the King Committee on Corporate Governance in July 1993 (<http://www.iodsa.co.za>). The committee was to investigate all aspects pertaining to corporate governance and its implementation in South Africa. When the first King Report was published in 1994,

it was recognised internationally as the most comprehensive publication on the subject, embracing the inclusive approach to corporate governance.

The King Committee on Corporate Governance launched the King Report on Corporate Governance for South Africa – 2002 (King 11 Report) at an Institute of Directors Conference on 26 March 2002.

The Report is divided in 6 sections comprised as follows:

- 1 – Boards and Directors
- 2 – Risk management
- 3 – Internal audit
- 4 – Integrated sustainability reporting
- 5 – Accounting and auditing
- 6 – Compliance and enforcement

In South Africa, both King Reports have provided guidelines to organisations on how to conduct their business. Universities and technikons now have to comply with stringent accounting and corporate governance standards as set out in the second King report, in terms of new regulations published by the Education department. According to the Business Day of 2 September 2003; “An academic policy, which will set guidelines on how institutions should constitute a programme and its credits, is also in the pipeline.”

According to the International Capital Markets Group in a KPMG presentation, at the University of Pretoria on 7 August 2003, the broader definition of corporate governance is: “the process used to direct and manage the business and affairs of the organisation with the objective of balancing:

- The attainment of corporate objectives.
- The alignment of corporate behaviour with the expectations of society.
- The accountability to recognised stakeholders.”

As indicated in the King Report, the higher education sector is not exempt from corporate governance and the following requirements on risk management also pertain to higher education institutions:

- The Council is responsible for assessing effectiveness.
- The Council must set strategy and communicate.
- Senior management is accountable and responsible to design, implement, monitor and integrate in day-to-day activity.
- A formal risk assessment should be done annually.
- There should be a system of internal control to mitigate risks.
- An effective internal audit function should exist.

The type of risks in a higher education environment could be:

- Strategic
- Physical and operational
- Human resources
- Financial (including credit and market risk)
- Regulatory / Contractual (compliance)
- Technology and information (institutional continuity and disaster recovery)
- Reputation

According to the KPMG presentation, risk management is defined as “the identification and evaluation of actual as well as potential risk areas as they pertain to the specific entity in totality, followed by a process of either termination, transfer, acceptance (tolerance) or mitigation through a system of appropriate internal controls”.

The risk management framework comprises 5 phases:

- Risk strategy and awareness
- Regular risk assessment
- Structure and culture
- Risk management activities
- Continuous improvement

The last phase, continuous improvement, comprises a review to consider the appropriateness of risk strategy, an ongoing updating of risk register/database on new and changed risks, a regular, formal risk assessment, optimising the control over the environment and internally and a regular evaluation of the risk management process.

2.4 Unique characteristics of universities

It is well recognised that there are fundamental differences between higher education institutions and other organisations in society, even though universities and other higher education institutions possess characteristics common to most forms of organisations. The following characteristics of higher education institutions distinguish them from other organisations:

- goal ambiguity or complexity of purpose
- client service
- problematic technology
- environmental vulnerability
- internal fragmentation
- professionalism

In South Africa the reliance on higher education for subsidisation on the one hand and financial independence on the other creates tremendous strain on the management of the institution. The proposed framework for mergers and incorporations by the Department of Education has further polarised the institutions and has complicated the day-to-day- running of the institutions.

Cloete *et al* (2002:235) also state that the distinguishing features of higher education institutions present a challenge to the exercise of effective leadership in higher education, for three reasons:

- Unlike private sector organisations, higher education institutions have goals and objectives that are not only diverse (teaching, research and service) and ambiguous, but are also highly contested and even contradictory.

- The fragmented nature of higher education organisations has given rise to a potentially anarchic organisation structure that has lead Clark (1983:24) to remark the “(these) semi-autonomous departments, schools, chairs and faculties act like small sovereign states as they pursue (their) distinctive self-interests and stand over, and against, the authority of the whole”.
- The decentralised nature of decision-making, organised around the production, preservation and dissemination of an intangible commodity (knowledge), has given rise to a highly fragmented authority structure which is focused on autonomous disciplinary units, in which members’ loyalty is split between the organisation – which provides their livelihood and the disciplinary networks and allegiances that transcend institutional boundaries and are the source of the unit’s or individual’s (academic) prestige.

It is the combination of these characteristics that has given higher education institutions their unique and paradoxical characteristic of being the engine of innovative ideas and practices on the one hand, whilst on the other also being extremely resistant to change.

It has long been recognised that higher education institutions, particularly universities, are among the most stable and change resistant social institutions to have existed during the past 500 years. Based on the model of the physical campus, residential students, face to face student-teacher interaction, a lecture format, and ready access to written texts, these institutions have effectively developed and transmitted the store of knowledge from one generation to another. They have fulfilled this responsibility in the midst of political and social upheaval, social development, and technological advancement while remaining essentially unchanged in structure and method (Gibbons 1998:1).

Given autonomy, the university has proven itself to be a highly conservative institution about its own affairs. The faculties are at the centre of the enterprise. And, left to their own devices, faculties make few changes. They rule largely to consensus, usually defer to their older members, and often subscribe to the view that colleagues should not raise controversial matters that may be divisive. All this conduces to the preservation of the status quo. By and large, students accept the

functional authority of the faculty and, in any event, come and go relatively quickly and administrators tend to be given little authority, and they also come and go. These two sources of potential change are usually quiescent (Kerr 1994:219).

2.5 Challenges facing higher education institutions

According to the HEFCE *Embracing Excellence in Education* (2003:4), pressure is growing on the higher education sector to adopt an approach which will nurture continuous improvement and organisational change in a holistic way. Although many institutions across the sector have embraced change, viewing it as necessary and relevant, there are still challenges to be faced if the higher education sector is to strive for global levels of excellence:

- The clash between collegiality and managerialism and the perceived threat to academic freedoms that any 'management' or 'business' methodologies may bring, have given rise to cultural challenges and an evaluation of just what higher education is all about.
- Changes in funding from government are providing greater financial challenges, requiring institutions to seek additional support from other public, private or partnership sources in order to make the investment in staff, equipment, and infrastructure to support their aspirations for excellence.
- Challenging targets are being set for widening participation within the context of a challenging resource base and additional pressures if institutions are to improve access, support and delivery of their services to a widening diversity of students.
- Globalisation of the market place, with other countries now competing in the same international markets.
- An increasing use of IT enabled systems and the concept of e-learning has also given rise to stronger competition in a range of national and international markets, opening up the opportunity for people to study in ways in which higher education may traditionally not have been able to support.
- Competition from other organisations entering the higher education market by developing company-based learning environments for large workforces provides a threat to the higher education sector.

- A wider spectrum of motivation, expectation, study skills and intellectual ability among the student population, provides diverse needs that must be met in a cost-effective manner.
- An increasing demand from employers for graduates with a broader set of skills, particularly in terms of communication and other 'soft' skills.
- A shifting emphasis away from bureaucracy on the standards and assessment of quality enhancement of learning and teaching in higher education, could mean a further change to institutional internal quality procedures and systems.
- Fundamental changes in the shape of higher education and the way of working, resulting from technological change and the development of the information/learning society means continual change and development must be embraced.
- An even greater recognition of the importance of life-long learning is also emerging as the pace of global change increases. The shift towards educational progression linked to a process of continuous personal and professional development, indicates that a much more integrated approach to education is needed.

In dealing with the challenge of transformation post-1994, higher education leadership had to respond to various sets of pressures. Cloete *et al* (2002:240-242) have classified different leadership responses to the challenges of transformation. They are:

- **Transformative leadership:** combines elements of leadership which are broadly recognised as being successful, with features of co-operative governance.
- **Managerial leadership:** to reconfigure the institution to become more competitive and market oriented through the vigorous adaptation of corporate management principles and techniques to the higher education setting.
- **Strategic managerialism:** to get the institution to think and act more strategically, and to convince the academics that 'being managed' and working in an institution that is run on sound management principles, does

not constitute a threat to the traditional values of the academy, such as academic freedom.

- **Unwavering entrepreneurialism:** the higher education institution is seen as being a business, as opposed to being run like a business. Institutions are thus in the business of providing their clients – the students – with goods and services that are sold at a competitive price. The institutions have, or try to develop, strong links with industry, and generally lack a collegial tradition.

2.6 Organisational trends impacting on higher education institutions

In their exceptional book, *Built to Last*, Collins and Porras (1994:Preface) state that they set out to discover the timeless management principles that have consistently distinguished outstanding companies. Along the way, they found that many of today's "new" or "innovative" management methods aren't new at all. Many of today's buzzwords – empowerment, continuous improvement, TQM, shared values and others – are repackaged and updated versions of practices that date back, in some cases, to the 1800's.

However, there are some management principles that are particularly relevant to the higher education sector and are discussed under the following headings:

2.6.1 Innovation

All higher education institutions acknowledge the importance of innovation. However, the problem is in identifying and rewarding innovation. **Innovation** refers to the process of bringing any new, problem-solving idea into use. Ideas for reorganising, cutting costs, putting in new budgeting systems, improving communication, or assembling products in teams are also innovations. Innovation is the generation, acceptance and implementation of new ideas, processes, products or services. It can thus occur in any part of the organisation, and it can involve creative use as well as original invention. Application and implementation are central to this definition: it involves the capacity to change or adapt. And there can be many kinds of innovations, brought about by many different kinds of people: the corporate equivalent of entrepreneurs (Moss Kanter 1983:20-21).

Certain environments stimulate people to act and give them the power to do so: some organisations systematically encourage **innovation** by the design of their systems and the treatment of their people, while other stifle or ignore it. The degree to which the opportunity to use power effectively is granted to or withheld from individuals is one operative difference between those companies which stagnate and those which innovate. The difference begins with a company's approach to solving problems and extends throughout its culture and structure.

2.6.2 Creative thinking

There is currently a great deal of interest in **creative thinking**. Almost every major business advertises itself as “the creative corporation”.

According to De Bono (1996:Introduction) business over the past ten years has been involved in three major games:

- The restructuring game, including acquisitions, mergers, leveraged buy-outs, de-mergers etc
- The cost-cutting game which is still running. If you cut costs, then your balance sheet looks much better
- The latest game has been quality (and customer service)

Higher education institutions have had no choice and have been forced to participate in these three “games” to the same extent that other organisations have had to participate.

2.5.4 Competitive strategic planning

The emphasis being placed on **competitive strategic planning** today in organisations worldwide reflects the proposition that there are significant benefits to gain through the explicit process of formulating strategy, to ensure that at least the policies (if not the actions) of functional departments are co-ordinated and directed.

According to Galbraith (1995:12), "Strategy is the company's formula for winning. The company's strategy specifies the goals and objectives to be achieved as well as the values and mission to be pursued; it sets out the basic direction of the company. The strategy specifically delineates the products or services to be provided, the markets to be served and the value to be offered to the customer. It also specifies sources of competitive advantage and strives to provide superior value."

Essentially, developing a competitive strategy is developing a broad formula for how a business is going to compete, what its goals should be, and what policies will be needed to carry out those goals. Competitive strategy is a combination of the ends (goals) for which an organisation is striving and the means (policies) by which it is seeking to get there (Porter 1980:xxv-xxvi).

All these principles of competitive strategic planning have been adopted by higher education institutions where the basis for all planning is guided by the institution's strategic plan.

According to Porter (1979:145) "The key to growth, even survival- is to stake out a position less vulnerable to attack from head-to-head opponent, whether established or new, and less vulnerable to erosion from the direction of buyers or suppliers. Establishing such a position can take many forms – solidifying relationships with favourable customers, differentiating the product either substantively or psychologically through marketing."

Already one can see these attempts of differentiation of products in the marketing strategies followed by South African higher education institutions.

Higher education institutions have had to adopt terminology like **vision**, **mission**, **institutional focus** and **strategic intent**, **strategy drivers** and **faculty plans**.

Commonly reported outcomes at institutions that have adopted quality principles and practices include time savings, increased efficiency, reduced costs, higher

morale, more involvement by employees, improved communication, greater customer satisfaction, less rework and changed culture.

2.6.4 Learning organisations

To achieve organisational excellence, organisations need to become **learning organisations**. Senge, the originator of the learning organisation concept (1990:5-10), summarises organisational excellence as:

- farsighted, committed and involved leaders
- a clear understanding of the organisation's critical organisational success factors
- unambiguous direction setting
- flexible and responsive process management
- people with relevant know-how and skill sets
- constant searching to improve the way things are done
- objective assessments of current and future performance

Senge says that five new “component technologies” are gradually converging to innovate learning organisations, though developed separately each will prove critical to the other's success, just as occurs with any ensemble. Each provides a vital dimension in building organisations that can truly “learn”, that can continually enhance their capacity to realise their highest aspirations. This is particularly relevant in a higher education environment.

These five new “component technologies” are:

- Systems thinking – is a conceptual framework, a body of knowledge and tools that has been developed to make the full patterns clearer, and to help us see how to change them effectively.
- Personal mastery – is the discipline of continually clarifying and deepening our personal vision, of focusing our energies, of developing patience, and of seeing reality objectively.

- Mental models – are deeply ingrained assumptions, generalisations, or even pictures or images that influence how we understand the world and how we take action
- Building shared vision – the practice of shared vision involves the skills of unearthing shared “pictures of the future” that foster genuine commitment and enrolment rather than compliance. In mastering this discipline, leaders learn the counter-productiveness of trying to dictate a vision, no matter how heartfelt.
- Team learning – the discipline of team learning starts with “dialogue”, the capacity of members of a team to suspend assumptions and enter into a genuine “thinking together”. The discipline of dialogue also involves learning how to recognise the patterns of interaction in teams that undermine learning.

2.6.5 Knowledge management

Knowledge management has steadily been gaining ground and in one of the many text books available on the subject, *The Knowledge Management Fieldbook*, Bukowitz and Williams (1999:2), define knowledge management as: “The process by which the organisation generates wealth from its intellectual or knowledge-based assets”.

However, two Japanese, Nonaka and Takeuchi are best known for their groundbreaking work on knowledge management in *The Knowledge Creating Company* (1995:5-8) where they explain that what is unique about the way Japanese organisations bring about continuous innovation, is the linkage between the outside and the inside. **Knowledge** that is accumulated from the outside is shared widely within the organisation, stored as part of the company’s knowledge base, and utilised by those engaged in developing new technologies and products. A conversion of some sort takes place: it is this conversion process – from outside to inside and back again in the form of new products, services or systems – that is the key to understanding why Japanese companies have become successful.

Human knowledge is classified into two kinds. **Explicit** knowledge can be articulated in formal language including grammatical statement, mathematical

expressions, manuals and so forth. This kind of knowledge can be transmitted across individuals formally and easily. This has been the dominant mode of knowledge in the Western philosophical tradition. However, a more important kind of knowledge is **tacit** knowledge, which is hard to articulate with formal language. It is personal knowledge embedded in individual experience and involves intangible factors such as personal belief, perspective, and the value system. The interaction between these two forms of knowledge is the key dynamic of knowledge creation in the business organisation.

According to O'Dell and Grayson (1998:7) most companies start their knowledge management efforts by focusing on **creating, identifying, collecting** and **organising** best practices and internal knowledge in order to understand what they know and where it is. Just knowing that the practices and knowledge exists is not enough to ensure transfer or use. The process must explicitly address sharing and understanding of these practices. Finally, the process involves helping the recipients adapt and apply those practices to new situations, to create new 'knowledge' and put it in action.

Fitz-enz (1997:7) maintains that "management's imperative is to help human assets become knowledgeable. No amount of capital will be enough to offset the absence of knowledgeable motivated people. Organisations that find the tools and build the systems for effective human asset management will be the winners."

Knowledge management in higher education institutions will translate as follows in three areas where these institutions will be forced to become more innovative and entrepreneurial:

2.6.5.1 Research

Research is less and less a self-contained activity. Because of the complexities of the questions being addressed in many present-day research programmes, and because of the costs involved, research is increasingly becoming a matter of *sharing resources* (intellectual, financial and physical). This implies that institutions

need to *change* their *view of intellectual capital* and become less protective of their own resources (including their academic specialists).

In addition, institutions need to look for *strategic partnerships* which means that they have to interact more closely with other knowledge producers, and in the process learn to configure their resources (especially their intellectual capital) around different problem contexts, not just once or occasionally, but continuously, according to the dynamics of the problem contexts in which they want to operate.

These dynamics imply a completely new approach to research management, with emphasis on strategic partnerships, sharing of resources, searching for new problem contexts. The successful institutions of the future will be those that are competent in creating a presence for themselves in changing problem contexts, and in collaborating with other organisations (by sharing resources).

2.6.5.2 Teaching and learning

Increasingly, both students and employers are asking for “professional skills” rather than the transmission of (past) knowledge. They are more interested in processing skills than in the content of knowledge fields.

Innovative institutions no longer only educate traditional, academic intellectuals. They add a set of important new skills to this traditional academic training process, such as willingness to change, multi-disciplinarity, IT-skills, learning capabilities and social intelligence.

Given the changing environmental conditions, institutions need to rethink and redefine their educational roles. Gibbons (1998:2) argues that institutions have to make the jump from training ‘disciplinary specialists’ to training “professional knowledge workers”. Innovative institutions have set themselves the task of doing this.

2.6.5.3 Community service

The third core activity of any higher education institution is community involvement or the impact it has on the society in which it functions. Increasingly institutions are being judged by their involvement in the community and their relevance to the community, similar to the involvement of organisations in corporate social responsibility.

At the University of Pretoria (Strategic Plan 2002-2005:66,67), community involvement is also referred to as “interfaces” and the University has embarked on innovative outreach projects and programmes including:

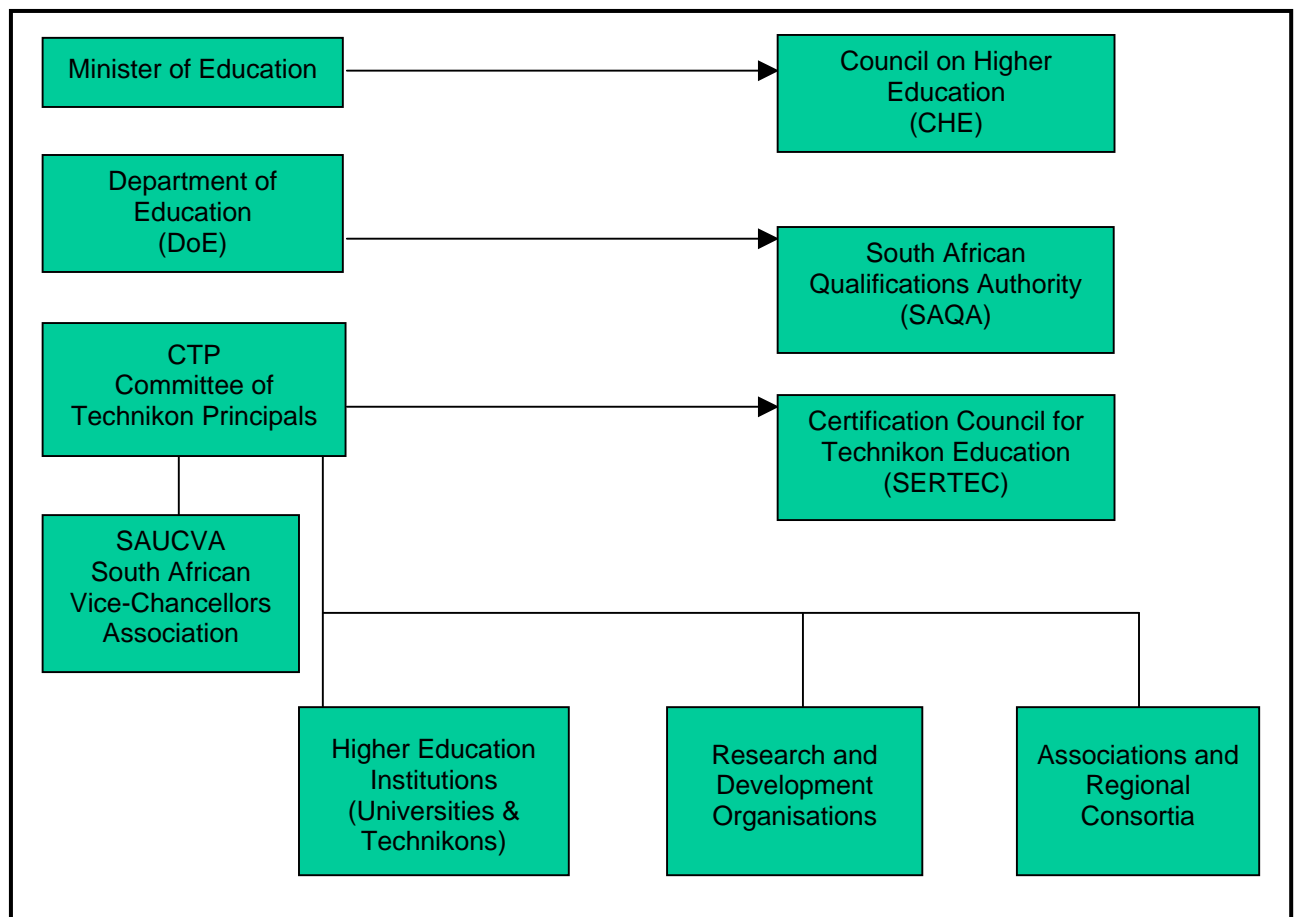
- Technical assistance
 - o The University is active in numerous community development projects where it renders technical assistance, which also includes research and consultation.
- Continuing education
 - o The University is committed to creating life-long learning opportunities. These include not only formal degree programmes at the undergraduate and postgraduate level but also various continuing education programmes. The University also views continuing education programmes as another mechanism to increase access to the University. The establishment of *Continuing Education at UP (Pty) Ltd* and of which the University is the sole owner, is the vehicle through which it conducts all its continuing efforts.
- Interactions with secondary schools
 - o The University is planning to play a prominent role in interacting with secondary schools and the secondary school system in order to assist these schools to provide learners with adequate skills and academic preparedness, and to help the learners themselves.
- Hosting of events
 - o The University has excellent facilities to accommodate its academic programmes as well as for sport, the arts, culture, music and accommodation. These facilities are made available to other organisations, particularly in cases where the nature of events directly

supports the University's strategic aims with regard to teaching, research, sport, art, culture and music.

2.7 The higher education sector in South Africa

The structure of higher education in South Africa comprises the Department of Education (DoE), headed by the Minister of Education and various other bodies as depicted in Fig 3.

Fig 3: The structure of higher education in South Africa



(www.chet.org.za)

2.8 A brief history of South African universities

According to "A Brief History of SA universities" (<http://www.sauvca.org.za> accessed on 6 January 2003), the first South African university was established in

1873 and known as the University of the Cape of Good Hope. This followed the establishment of two colleges, the South African College in Cape Town in 1829 and Victoria College in Stellenbosch in 1865. Rhodes University followed in 1904 and in 1918, the South African College and Victoria College changed their names to the Universities of Stellenbosch and Cape Town respectively and the University of the Cape of Good Hope became known as the University of South Africa.

Missionaries established the South African Native College in 1916 which became known as the University of Fort Hare in 1951, and the School of Mines, started in Johannesburg in 1895, became the University of the Witwatersrand in 1922.

The University of South Africa was a federal university with a number of university colleges.

Over the thirty years following 1930, many of these colleges became fully fledged universities (including the Universities of Pretoria, Potchefstroom, Natal and the Free State).

The Extension of University Education Act was passed in 1959, designed to bar the entry of black students into historically white institutions and establish racially segregated universities instead. The Universities of Durban-Westville, the Western Cape, Zululand and the North came into existence shortly after.

Other universities established during the period from the mid-sixties to the mid-eighties included the University of Port Elizabeth, Rand Afrikaans University, the Medical University of South Africa and Vista University.

These “non-white” institutions were small. By the early 1960s, South Africa’s universities were catering to about 62 000 students, only 5 000 of whom were not white. The racial bias began to even out when, in the heyday of separate development, universities were constructed in the so-called “self governing territories” of Transkei, Venda and Bophuthatswana.

This was followed by the gradual “racial opening up” of many of the historically white universities, so that by the late 1980s student statistics revealed that in addition to the 150 000 white students studying at the country’s universities, there were 120 000 black, coloured and Indian students. Reflecting some progress in building non-racial higher education, today the majority of students in the public sector’s 21 universities are black – 207 000, according to preliminary enrolment figures for 1999, and 122 000 white students.

During the transformation of the sector, questions were being asked about the higher education sector as a whole. With the growing focus on technical and vocational education to address existing imbalances and skills shortages, were there too many universities as a result of apartheid’s tendency to duplication? Thus began the “size and shape” debate, based on the premise that the sector was in need of rightsizing and rationalisation. There was talk of closures and mergers, which the Historically Disadvantaged Universities (HDU’S) immediately saw as a threat to their continued existence. After all the disadvantages they had suffered under the old order, the HDUs argued, were they now simply to be swallowed up by the Historically Advantaged Universities (HAU’s) which had so manifestly benefited under apartheid?

2.9 Legislation pertaining to the higher education sector in South Africa

At the University of Pretoria Leadership Programme in June, 2003, Prof Anthony Melck, advisor to the Vice-Chancellor, provided a comprehensive overview of the legislation pertaining to the South African higher education sector that is referred to in headings 2.9.1 to 2.9.6.

2.9.1 The South African Constitution

The final Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), addressed many of the issues raised in the *Report of the National Commission on Higher Education: A framework for Transformation*, published in 1996 under the chairmanship of Dr Jairam Reddy, where on page 29 the following is stated: “A major characteristic of South Africa’s higher education is the legacy of apartheid

ideology which provided the framework for structuring the education system after 1948. Starting with the Bantu Education Act of 1953, all education in South Africa was officially divided among racial/ethnic lines to reinforce the dominance of white rule by excluding blacks from quality academic and technical training.”

Chapter 2 of the Constitution is devoted to the Bill of Rights, many of which are applicable *inter alia* to relationships among members of the University, both senior members (staff) and junior members (students).

Section 29 – on the right to education – says in subsection (2), that “Everyone has the right to receive education in the official language or languages of their choice in public education institutions where that education is reasonably possible. In order to ensure the effective access to, and implementation of, this right, the state must consider all reasonable educational alternatives, including single medium institutions, taking into account:

- (a) Equity;
- (b) practicality; and
- (c) the need to redress the results of past racially discriminatory laws and practices.”

2.9.2 National Commission on Higher Education

Given the values and rights specified in the Constitution, government appointed a Commission, shortly after coming to power in 1994, to analyse and make recommendations on higher education. The National Commission on Higher Education (NCHE) was chaired by Dr Jairam Reddy, previously Vice-Chancellor of the University Durban-Westville, and submitted its report, entitled *A Framework for Transformation*, in 1996.

The NCHE in many respects placed South African higher education on its present trajectory. It set out the need for transformation, the deficiencies in the higher education system for the time, the realities, opportunities and challenges as perceived when the report was written, the principles upon which a new higher education system should be based.

The authors of the report envisaged a system having a number of main characteristics. The first of these was that of increased participation by students, previously excluded from the higher education system, to the extent that a large-scaled 'massification' of higher education was expected to occur. The second is a system that is more responsive to the needs of society; and the third is increased co-operation and the development of partnerships. All of these would, it was said, culminate in a single co-ordinated higher education system, that would overcome the fragmentation of the past, answer to the imperatives of access and equity, correct the inefficiencies inherent in the previous system, be subject to overall planning and 'steering' by the state through the introduction of goal-orientated funding, and much more.

The NCHE made numerous fundamental recommendations, most of which have either been implemented or are currently in the process of being implemented. In one respect the Commission predicted future developments incorrectly; and in one respect the current reforms have gone beyond those envisaged by the Commission.

The aspect that the NHCE misjudged was that of 'massification'. Instead of the growth in student enrolments anticipated by the Commission, from about 800 000 students in 1995 to about 1 500 000 in 2005, enrolments in fact decreased for a number of years. Subsequently, there has been an increase, but not to the extent that the 1995 figures have yet been surpassed.

The most important consequence of this error has been that government encouraged the use of distance education as a measure for accommodating the anticipated increase in student enrolments. However, when the increase failed to materialise, and the increased competition in the system (resulting from more distance providers) seemed to be threatening the dedicated distance education institutions, government determined to reverse its liberalisation of distance education by imposing constraints on the residential institutions.

The aspect that the NCHE did not propose, at least to the degree to which the present practice has developed, is that of merging and incorporating institutions. Although the Commission did suggest that steps should be taken to increase the efficiency of the system and to address the apartheid-inspired educational landscape, these did not go as far as reducing the number of institutions in the way finally approved by Cabinet.

2.9.3 White Paper 3 – A Programme for Higher Education Transformation, 1997

The NCHE report, which was published in 1996, was followed in 1997 by the release of the Department of Education's *White Paper 3 – A Programme for Higher Education Transformation*. In broad terms, the White Paper responded to and formalised the recommendations, contained in the NCHE report, by adopting them as government policy.

The White Paper deals with a range of issues, the salient ones on quality being:

1. The functioning of the NQF with respect to higher education qualifications.
2. The importance of quality control and the functioning of the HEQC.

The SAUVCA Chairperson, Prof Njabulo Ndebele, indicated, “structural reconfiguration on its own does not guarantee quality, the real work is the identification of the intellectual enterprise, i.e. the research agenda, the commitment to teaching and learning and relevant curricula that constitute the core challenges if we are to produce successful graduates for the economy and society” (press statement, 12 February 2002 – SAUVCA's response to the release of the National Working Group Report).

“Any successful restructuring exercise in higher education has to align the rationalisation agenda with a renewed, national commitment to a relevant, quality-driven system. The resources of the private sector were also used to provide responsible advice before the Minister took his final recommendations to Cabinet.”

2.9.4. The Higher Education Act, Act No 101 of 1997

The White Paper 3 was followed by the adoption of the Higher Education Act of 1997, which provided the legal foundation for the policies that had been developed by the NHCE and stated as policy in the White Paper.

The Act has a number of chapters, each dealing with specific aspects off the higher education landscape. Once again reference is made to quality in Chapter 1 which deals with the establishment of the Council on Higher Education, including the Higher Education Quality Committee.

The amendment to Section 3 of the Higher Education Act was the most vigorously debated of the changes, as seen from the perspective of public higher education. The debate reflected the tension inherent in public higher education: how much autonomy should institutions enjoy, and how much power should the Minister have to determine the shape of public higher education. Section 3 as amended arguably gives the Minister even greater powers than he already enjoyed under Section 39 (under which he makes public funds available to Universities and Technikons). There must be a balance between the Minister's powers and the autonomy of institutions to determine their future. This section has altered this balance. Time will tell whether this was for good or ill, given the present uncertainties in public higher education.

The amended Section 40 of the Act limits the autonomy of public higher educations. It does it in a way that allows the Minister to safeguard the public investment in public higher education. The university sector understands the Minister's legitimate obligation to do this and to facilitate the responsible management of public funds. SAUVCA's concerns were about the limits to autonomy, the unnecessary bureaucracy which could become involved and the practical difficulties in their implementation.

Section 41A of the Higher Education Act (1997) amended by Act 55 (1999) gives the Minister the power to appoint an Administrator to "perform the functions relating to governance or management on behalf of the institution". This step,

when taken, will be in response to alleged maladministration of an institution. The university sector respects the Minister's right to intervene to restore responsible administration. In practice, however, the complexities of each situation means that it is often difficult for the 'care-taker' Administrator to act independently. The management of public higher education, and especially of those institutions that were historically disadvantaged, is complex.

2.9.5 The National Plan for Higher Education

As required by the White Paper, the Department of Education produced a *National Plan for Higher Education*, which was released in 2001.

The National Plan on Higher Education (NPHE) addressed many of the issues raised earlier by the National Commission and the White Paper, e.g. issues of participation, equity and access, however, now placing increased emphasis on staff composition and the goal of achieving demographic balance. It also for the first time outlined the mechanism for the restructuring of the institutional landscape of the higher education system, as well as the development of three-year 'rolling plans'.

In this respect the Ministry undertook to establish a National Working Group to investigate the "... feasibility of a more rational arrangement for the consolidation of higher education provision through reducing, where appropriate, the number of institutions but not the number of delivery sites on a regional basis. The Working Group would undertake the investigation, based on the principles and goals for the transformation of the higher education system, as outlined in the White Paper.

The SAUVCA Position Paper of November 2002 states that: "The finalisation of the NPHE marks the end of a sustained period of restructuring of South Africa's higher education system. We are now a long way from the divided and divisive inheritance of the apartheid years. There are immense opportunities to pursue the key goals of public higher education in South Africa, including economic development, high-level contributions to the knowledge economy and the advancement of critical enquiry that is essential to a healthy democracy."

2.9.6 The Report of The National Working Group and the Response of the Department of Education

As mentioned above, the minister appointed a national Working Group (NWG) to advise him on the restructuring of the higher education landscape. The NWG finalised their report early in 2002 by proposing that a number of institutions, additional to those already mentioned in the NHPE, should be merged. On 30 May 2002, after endorsement by Cabinet, the Minister of Education announced government's decisions with regard to the NWG recommendations, most of which had been accepted. The result was that the number of higher education institutions would be reduced from 36 to 21, consisting of 11 universities, 4 comprehensive institutions and 5 technikons, as depicted in the following table:

Table 2: The merging of South African universities and technikons*

UNIVERSITIES
University of Cape Town
Wits University
Natal and University of Durban Westville
Stellenbosch
University of the Western Cape
University of the Free State
University of Pretoria
Rhodes University
Potchefstroom University
Fort Hare
Medunsa
TECHNIKONS
Peninsula Technikon and Cape Technikon
Vaal Triangle
Free State
Durban Institute of Technology
Pretoria Technikon, Technikon Northern Gauteng and North West Technikon
Mangosuthu Technikon

COMPREHENSIVE (offering university and technikon programmes)
Rand Afrikaans University, Vista Soweto and East Rand and Wits Technikon
University of PE and PE Technikon
Eastern Cape Technikon, University of Transkei and Border Technikon
University of South Africa and Technikon South Africa
University of Zululand
University of Venda

(The Star, Tuesday, 10 Dec 2002)

2.10 South African higher education structures

2.10.1 The South African Council on Higher Education (CHE)

The CHE was established as an independent statutory body in May 1998 in terms of the Higher Education Act, No 101 of 1997. It serves as an advisory body to the Minister of Education on all matters related to higher education policy issues and assumes executive responsibility for quality assurance within higher education and training (www.che.org.za 3/24/03).

2.10.2 South African Universities Vice-Chancellors Association (SAUVCA)

The Committee of University Principals (CUP) was established by Sections 6 and 7 of the Universities Act (1955). It was established as a statutory body, and the membership, juristic personality and functions of SAUVCA are regulated by the Universities Act, Act 61 of 1955 as amended. Today, the CUP is known as SAUVCA, a name change that reflects a restructured and transformed Association.

As a statutory body, SAUVCA is required to make recommendations to the Minister and Director-General of Education on matters referred to SAUVCA or on any other issues which SAUVCA considers to be of importance to the universities. It also appoints persons or nominates persons for appointment to a number of

statutory councils and committees on which universities should be represented. It is responsible for the formulation of the Joint Statutes and Joint Regulations relating to the university sub-sector of the Higher Education system, which contain several important provisions regarding aspects such as the transfer of students between universities, the mutual recognition of credits gained at universities or other institutions and the minimum period of study for a bachelor degree. These functions are obviously of direct importance to all the country's public universities, and SAUVCA plays a role in maintaining the most basic order in academic matters and regulating academic standards.

An important related function is SAUVCA's statutory responsibility for the Matriculation Board (MB). SAUVCA, via the MB, advises the Minister on the requirements for matriculation endorsement and exemption from the endorsement requirements, which represent the minimum requirement for registration for a university degree.

SAUVCA advances the interests of the university system by proactively engaging in any policy or practice which affects the system as a whole. It consults widely with other role players in the higher education system to ensure that it can act proactively and effectively. It fulfils its mission by engaging in discussion and debate, commenting on proposed legislation, representing the universities on national structures and committees, hosting and participating in workshops, presenting papers at conferences, or taking part in bilateral or multilateral talks.

SAUVCA is served by several specialist committees that advise it on matters of common concern. The present committees are the Executive Committee, Equity Committee, Finance Committee, Education Committee, Legal Committee, Research Committee and Intellectual Property Subcommittee of the Legal Committee (www.sauvca.org.za 1/9/03).

2.10.3 The Centre for Higher Education Transformation (CHET)

This Centre mobilises trans-disciplinary skills for specific projects by tapping available expertise in the national and international higher education sector. A

non-hierarchical, flexible management style, modern information technology and a heavy reliance on consultants and steering committees affords CHET the unique capacity to respond to higher education needs with only a limited number of full-time staff.

CHET also provides a forum for interaction between the different structures, stakeholders, and constituencies in higher education. To this end, CHET is currently collaborating actively with the Ministry of Education, the Committee of University Principals, the Committee of Technikon Principals, Committee of College Education Rectors South Africa, and the National Centre for Student Leadership. International collaborators include the American Council on Education, the Association for African Universities, the Commonwealth Higher Education Management Services, and the Centre for Higher Education Policy (Netherlands) (www.chet.org.za 2/18/03).

2.10.4 Higher Education Quality Committee (HEQC)

According to the Council on Higher Education Quality Committee, Re-accreditation of MBA's 2003 document, the Higher Education Act (No 101 of 1997) sets out quite clearly the roles and responsibilities of the CHE and its permanent sub committee, the HEQC, with regard to policy and quality assurance related matters in the higher education sector. Simply stated, in terms of their respective mandates, the CHE advises the Minister of Education on matters relating to higher education and the HEQC manages the quality assurance activities of all public and private providers operating in the higher education band.

In terms of its mission and vision, the HEQC supports the development, maintenance and enhancement of the quality of public and private higher education provision in order to enable a range of stakeholders to benefit from effective higher education and training. The HEQC performs its quality assurance duties also in terms of the South African Qualifications Authority Act (SAQA), 1995 (Act no 58 of 1995) and the SAQA Regulations of 1998. As an Education and Training Quality Assurance body (ETQA) for higher education, the HEQC is

responsible for the accreditation of public and private institutions and their learning programmes.

The underlying objective of the HEQC with regard to quality assurance is:

To ensure that institutions effectively and efficiently deliver education, training, research and community service which are of high quality and which produce socially useful and enriching knowledge as well as a relevant range of graduate skills and competencies necessary for social and economic progress.

The quality assurance framework and criteria of the Higher Education Quality Committee (HEQC) is based on a multi-faceted definition of quality (HEQC, Guidelines – Applying for accreditation as a private provider of higher education qualifications registered on the NQF, p 4 (Pretoria:2001):

- Fitness for purpose based on national goals, priorities and targets.
- Fitness for purpose in relation to a specified mission within a national framework that encompasses differentiation and diversity.
- Value for money judged in relation to the full range of higher education purposes set out in the White Paper on Higher Education. Judgement about the effectiveness and efficiency of provision will include, but not be confined to, labour market responsiveness and cost recovery.
- Transformation, in the sense of developing the capabilities of individual learners for personal enrichment as well as the requirements of social development and economic and employment growth.

The specific functions of the HEQC are to:

- Promote quality assurance in higher education
- Audit quality assurance mechanism of institutions of higher education
- Accredite programmes of higher education

According to the HEQC website, the HEQC's role is made even more demanding by being part of a larger process under SAQA and the Sectoral Education and Training Authority (SETA) quality assurers. The HEQC has statutory responsibility to conduct institutional audits as indicated in the Higher Education Act of 1997. In

terms of the Act, the specific functions of the HEQC are to accredit programmes of higher education, audit the quality assurance mechanisms of higher education institutions and promote quality in higher education (Audits are the responsibility of the HEQC also in terms of being recognised by SAQA as the Education and Training Quality Assurer (ETQA) for the higher education band (www.che.org.za/heqc 4/2/03).

The HEQC Audit Directorate began pilot audits of three higher education institutions in March 2003 which will be completed in December 2003. The main purpose of the pilot audits is to enable the HEQC to refine its audit instruments and process before the formal audit cycle commences in 2004.

The participating institutions are responsible for evaluating their academic quality systems themselves and producing a self-evaluation report. The institutional audits focus to a large extent on teaching and learning. The audit criteria will extend to issues relating to research only if an institution specifies research in its mission.

The Council on Higher Education, Higher Education Quality Committee states in its ***Proposed criteria for the HEQC's first cycle of audits: 2004-2009*** March 2003 Discussion Document that the audit does not seek to measure the actual quality of outputs in relation to teaching and learning, research and service learning. The audit seeks to:

- (i) Establish the nature and extent of the quality management system in place at the institution – what policies, systems, available resources, strategies and targets exist for the development and enhancement of quality in the core functions of higher education.
- (ii) Evaluate the effectiveness of the quality management system on the basis of evidence largely provided by the institution itself. The requirement to provide indicators of success and evidence of effectiveness, takes the audit beyond a checklist of policies and procedures.

The scope of the audits will cover the broad institutional arrangements for assuring the quality of teaching and learning, research and service learning programmes, as well as other specified areas. Governance, finances and other institutional

operations will not be a focus, except in relation to their impact on the above areas.

The one central principle emerging was that the primary responsibility for quality assurance rests with the higher education institutions themselves.

2.10.5 The South African Qualifications Authority (SAQA)

SAQA is a body of 29 members appointed by the Ministers of Education and Labour. The members are nominated by identified national stakeholders in education and training. The functions of the Authority are essentially twofold:

- To oversee the development of the NQF, by formulating and publishing policies and criteria for the registration of bodies responsible for establishing education and training standards or qualifications and for the accreditation of bodies responsible for monitoring and auditing achievements in terms of such standards and qualifications.
- To oversee the implementation of the NQF by ensuring the registration, accreditation and assignment of functions to the bodies referred to above, as well as the registration of national standards and qualifications on the framework. It must also take steps to ensure that provisions for accreditation are complied with and where appropriate, that registered standards and qualifications are internationally comparable (www.saga.za 2/26/03).

2.10.6 The National Qualifications Framework (NQF)

SAQA's aim is to ensure the development and implementation of a NQF. The NQF is a framework, it sets the boundaries – a set of principles and guidelines which provide a vision, a philosophical base and an organisational structure – for construction, in this case, of a qualifications system. Detailed development and implementation is carried out within these boundaries. It is national because it is a national resource, representing a national effort at integrating education and training into a unified structure of recognised qualifications. It is a framework of qualifications i.e. records of learner achievement.

In short, the NQF is a set of principles and guidelines by which records of learner achievement are registered to enable national recognition of acquired skills and knowledge, thereby ensuring an integrated system that encourages life-long learning (www.saqa.org.za/nqf 3/24/03).

The NQF is based on the principles of outcomes-based education. In the NQF, all learning is organised into twelve fields. These in turn are organised into a number of sub-fields. SAQA has established twelve National Standards Bodies (NSB's) one for each organising field. Members of the NSB's are drawn from the six constituencies: state departments, organised business, organised labour, providers of education and training, critical interest groups and community/learner organisations. Up to six members from each of these constituencies serve on a NSB. The NSB's recommend standards and qualifications for registration on the NQF to SAQA.

Each NSB is responsible for recognising or establishing, Standards Generating Bodies (SGB's) for registration. SGB's in turn develop standards and qualifications and recommend them to the NSB's for registration. SGB's are formed according to sub-fields, and members are key role players drawn from the sub-fields in question. For example, the SGB for teacher Educators is made up of school teachers, professional teacher bodies, university, college and technikon teaching staff.

SAQA accredits Education and Training Quality Assurance bodies (ETQA's) to ensure that the education and training which learners receive, is of the highest quality. ETQA's in turn accredit providers to offer education and training in accordance with the standards and qualifications registered on the NQF.

As indicated in the table below, SAQA has adopted an eight-level framework, with levels 1 and 8 respectively being regarded as open ended. Level 1 accommodates three Adult Basic Education and Training (ABET) certification levels as well as the General Education and Training Certificate.

Table 3: NQF framework

NQF LEVEL	BAND	QUALIFICATION TYPE
8	Higher Education and Training	<ul style="list-style-type: none"> • Post-doctoral research degrees
7		<ul style="list-style-type: none"> • Doctorates
6		<ul style="list-style-type: none"> • Masters degrees
5		<ul style="list-style-type: none"> • Professional qualifications • Honours degrees
FURTHER EDUCATION AND TRAINING CERTIFICATE		
4	Further Education and Training	National Certificates
3		<ul style="list-style-type: none"> • National first degrees
2		<ul style="list-style-type: none"> • Higher diplomas • National diplomas • National certificates
GENERAL EDUCATION AND TRAINING CERTIFICATE		
1	General education and training	Grade 9/ ABET level 4 National certificates

(<http://www.saga.org.za>)

2.11 Summary

The key challenges facing the South African higher education system have to be understood in the context of the impact on higher education systems world-wide and the changes associated with the phenomena of globalisation.

The challenges have also impacted on the role of higher education institutions and the emergence of “entrepreneurial “ and “enterprise” universities. Higher education institutions have out of necessity adapted their core academic focus of teaching and learning, research and community involvement.

Although higher education institutions are unique, they also possess characteristics that are similar to most forms of organisations and therefore have to keep up with emerging trends like innovation, creative thinking, competitive strategic planning and the need to become learning organisations.

The higher education landscape in South Africa is being significantly transformed and reconstructed due to the Department of Education's plan for a new institutional landscape for higher education in South Africa as set out in the *White Paper on Education 2002*.

The reduction of higher education institutions from 36 to 21 presents the ideal opportunity to not only focus on academic self-assessment, but also institutional self-assessment where quality models provide a framework for continuous improvement.

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 teaching and learning – 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 customer 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 continual improvement which meets or exceeds stakeholder's expectations, could be achieved and sustained.

In Chapter 3 quality and the establishment of quality models in the United States, SA, United Kingdom and South Africa will be discussed.

CHAPTER 3: A LITERATURE REVIEW OF QUALITY MODELS

3.1 Introduction

Although they may differ slightly, quality models worldwide are based on **fundamental concepts** that underpin them. These values and concepts are embedded beliefs and behaviours found in high-performing organisations. They are the foundation for integrating key organisational requirements within a results-oriented framework that creates a basis for action and feedback.

In the higher education sector, these fundamental concepts like **visionary leadership, customer driven excellence, people development and involvement, continuous learning, innovation and improvement** form the basis of the vision and mission of many higher education institutions. Worldwide, these fundamental concepts are basic requirements that will ensure that not only organisations but also higher education institutions become and remain part of the global village.

3.2 The establishment of quality models

Quality models are not a new concept. The first model was established in Japan in the 1950s and was soon followed by other countries as listed below:

- 1951 – Deming prize – Japan
- 1981 – Malcolm Baldrige National Quality Award – USA
- 1988 – Australian Quality Award
- 1992 – European Foundation Quality Award
- 1994 – United Kingdom Quality Award
- 1997 – South African Excellence Model

(www.saef.co.za 2/6/03)

3.3. United States Malcolm Baldrige Quality Award (MBNQA)

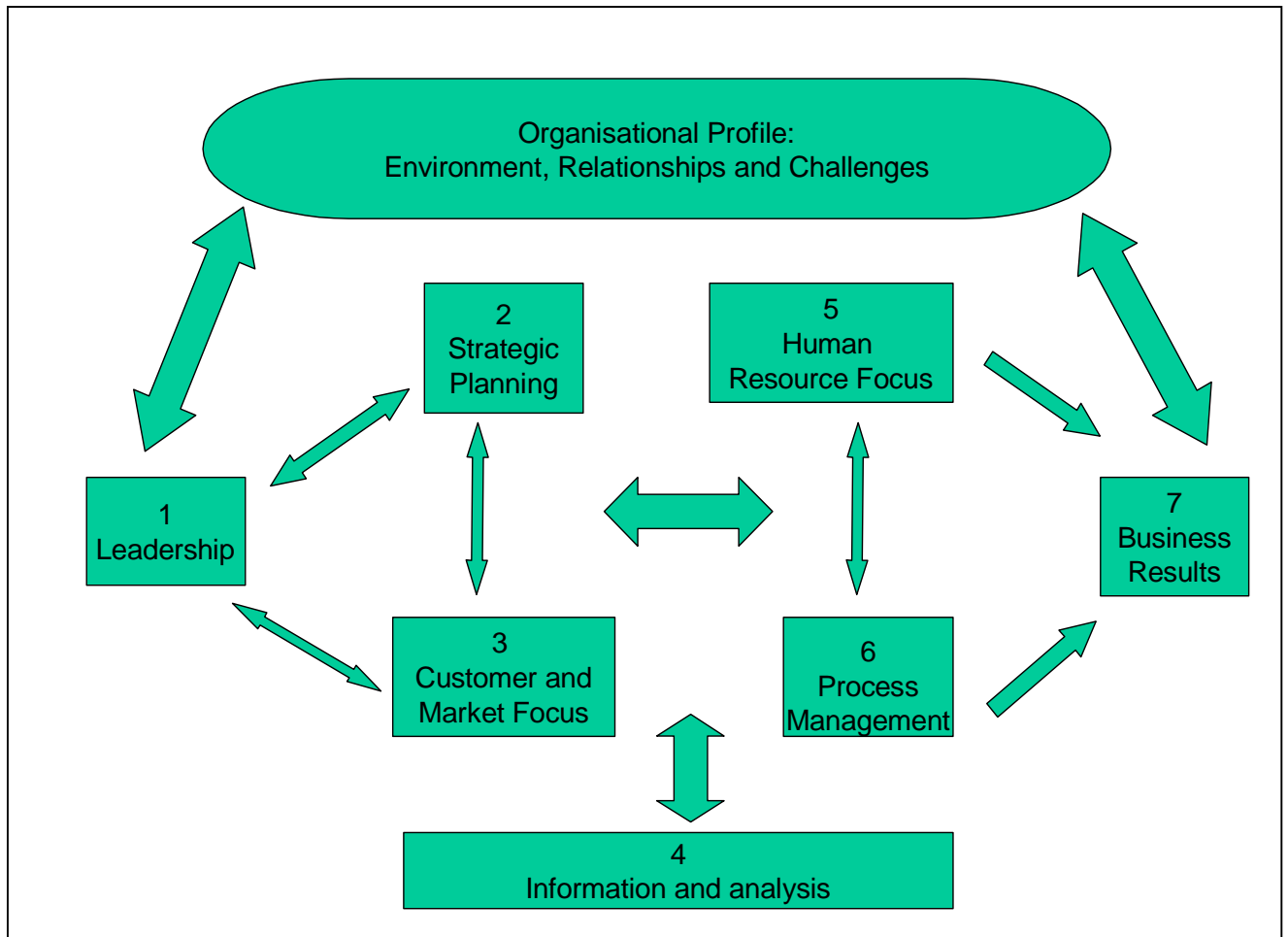
3.3.1 Establishment

The Baldrige National Quality Program website (www.quality.nist.gov 2/6/03) provides a comprehensive overview of the Award. The Malcolm Baldrige National Quality Award was created by Public Law 100-107 and signed into law on August 20, 1987. The Award Program, responsive to the purposes of Public Law 100-107, led to the creation of a new public-private partnership. Principal support for the programme comes from the Foundation for the Malcolm Baldrige National Quality Award, established in 1988.

The Award is named for Malcolm Baldrige, who served as Secretary of Commerce from 1981 until his tragic death in a rodeo accident in 1987. His managerial excellence contributed to long-term improvement in efficiency and effectiveness of government. The Findings and Purposes Section of Public Law 100-107 states that:

- a national quality award program of this kind in the United States would help improve quality and productivity by:
 - o helping to stimulate American companies to improve quality and productivity for the pride of recognition while obtaining a competitive edge through increased profits;
 - o recognising the achievements of those companies that improve the quality of their goods and services and providing an example to others;
 - o establishing guidelines and criteria that can be used by business, industrial, governmental, and other organisations in evaluating their own quality improvement efforts; and
 - o providing specific guidance for other American organisations that wish to learn how to manage for high quality by making available detailed information on how winning organisations were able to change their cultures and achieve eminence.

Fig 4: The MBNAQ



(www.quality.nist.gov)

3.3.2 The MBNQA

The MBNQA as depicted in Fig 4 comprises the following elements:

Organisational profile

The organisational profile sets the context for the way the organisation operates. The environment, key working relationships, and strategic challenges serve as an overarching guide for the organisational performance management system.

System

The system is composed of the six Baldrige Categories in the centre of the figure that define its organisation, its operation, and its results.

Leadership (Category 1): Strategic Planning (Category 2); and Student, Stakeholder, and Market Focus (Category 3) represent the leadership triad. These categories are placed together to emphasise the importance of a leadership focus on strategy, students, and stakeholders. Senior leaders set the organisational direction, create a learning environment for the organisation and seek future opportunities for the organisation.

Faculty and Staff Focus (Category 5), Process Management (Category 6) and Organisational Performance Results (Category 7) represent the results triad. The organisation's faculty and staff and its key processes accomplish the work of the organisation that yields the performance results.

All actions point toward Organisational Performance Results – a composite of student, stakeholder, budgetary and financial, and operational performance results, including faculty and staff results and public responsibility.

The horizontal arrow in the centre of the framework links the leadership triad to the results triad, a linkage critical to organisational success. Furthermore, the arrow indicates the central relationship between Leadership (Category 1) and Organisational Performance Results (Category 7). The two-headed arrow indicates the importance of feedback in an effective performance management system

Information and analysis

Information and analysis (Category 4) are critical to the effective management of the organisation and to a fact-based system for improving performance. Information and analysis serve as a foundation for the performance management system.

Criteria structure

The seven criteria categories shown in the figure are sub-divided into Items and Areas to address.

The award is not given for specific products or services. Three awards may be given annually in each of these categories: manufacturing, service, small business, and, starting in 1999, education and health care.

While the Baldrige Award and the Baldrige recipients are the very visible centerpiece of the US quality movement, a broader national quality program has evolved around the award and its criteria. A report, *Building on Baldrige: American Quality for the 21st Century*, by the private Council on Competitiveness, said: "More than any other program, the Baldrige Quality Award is responsible for making quality a national priority and disseminating best practices across the United States."

The United States Commerce Department's National Institute of Standards and Technology (NIST) manages the Baldrige National Quality Program in close co-operation with the private sector.

Achievement of goals

The criteria for the Baldrige Award have played a major role in achieving the goals established by Congress. They now are accepted widely, not only in the United States but also around the world, as the standard for performance excellence. The criteria are designed to help organisations enhance their competitiveness by focusing on two goals: delivering ever improving value to customers and improving overall organisational performance.

The award program has proven to be a remarkably successful government and private-sector team effort. The annual government investment of about \$5 million is leveraged by a contribution of over \$100 million from private-sector and state and local organisations, including \$10 million raised by private industry to help

launch the program and the time and efforts of hundreds of largely private-sector volunteers.

The co-operative nature of this joint government/private-sector team is perhaps best captured by the award's Board of Examiners. Each year, more than 300 experts from industry, educational institutions, governments at all levels, and non-profit organisations volunteer many hours reviewing applications for the award, conducting site visits, and providing each applicant with an extensive feedback report citing strengths and opportunities to improve. In addition, board members have given thousands of presentations on quality management, performance improvement, and the Baldrige Award.

The Baldrige Award winners also have taken seriously their charge to be quality advocates. Their efforts to educate and inform other companies and organisations on the benefits of using the Baldrige Award framework and criteria have far exceeded expectations. To date, the recipients have given more than 30 000 presentations reaching thousands of organisations.

3.3.3 Fundamental concepts of the MBNQA

The criteria are built upon the following set of interrelated **core values and fundamental concepts**. These values and concepts are embedded beliefs and behaviours found in high-performing organisations. They are the foundation for integrating key organisational requirements within a results-oriented framework that creates a basis for action and feedback. These concepts are contextualised for higher education institutions in chapter 4.

- **Visionary leadership**

An organisation's senior leaders should set directions and create customer focus, clear and visible values and high expectations. The directions, values and expectations should balance the needs of all the stakeholders.

- **Customer-driven excellence**

Quality and performance are judged by an organisation's customers. The organisation must take into account all product and service features and characteristics and all modes of customer access that provide value to the customer.

- **Organisational and personal learning**

Achieving the highest level of organisational performance requires a well-executed approach to organisational and personal learning. Organisational learning includes both continuous improvement of existing approaches and adaptation to change, leading to new goals and/or approaches.

- **Valuing employees and partners**

An organisation's success depends increasingly on the knowledge, skills, creativity and motivation of its employees and partners.

- **Agility**

Success in globally competitive markets demands agility- a capacity for rapid change and flexibility. All aspects of e-commerce require and enable more rapid, flexible and customised responses.

- **Focus on the future**

A focus on the future requires understanding the short- and longer-term factors that affect the organisation and marketplace.

- **Managing for innovation**

Innovation means making meaningful change to improve an organisation's products, services and processes and to create new value for the organisation's stakeholders.

- **Management by fact**

Organisations depend on the measurement and analysis of performance. Such measurements should derive from organisational needs and strategy, and they should provide critical data and information about key processes, outputs and results.

- **Public responsibility and citizenship**

An organisation's leaders should stress responsibilities to the public, ethical behaviour and the need to practice good citizenship. Leaders should be role models for the organisation, focussing on organisation ethics and protection of public health, safety and the environment.

- **Focus on results and creating value**

An organisation's performance measures need to focus on key results. Results should be used to create and balance value for key stakeholders- customers, employees, suppliers and partners, the public and the community.

- **Systems perspective**

The criteria provide a systems perspective for managing the organisation to achieve performance excellence. The core values and the categories form the building blocks and the integrating mechanism for the system.

3.3.4 The MBNQA criteria

The Baldrige performance excellence criteria are a framework that any organisation can use to improve overall performance. Seven categories make up the award criteria as depicted in Fig 4:

- **Leadership**

Examines how senior executives guide the organisation and how the organisation addresses its responsibilities to the public and practices good citizenship.

- **Strategic planning**

Examines how the organisation sets strategic directions and how it determines key action plans.

- **Customer and market focus**

Examines how the organisation determines requirements and expectations of customers and markets.

- **Information and analysis**

Examines the management, effective use, and analysis of data and information to support key organisation processes and the organisation's performance management system.

- **Human resource focus**

Examines how the organisation enables its workforce to develop its full potential and how the workforce is aligned with the organisation's objectives.

- **Process management**

Examines aspects of how key production/delivery and support processes are designed, managed, and improved.

- **Business results**

Examines the organisation's performance and improvement in its key business areas: customer satisfaction, financial and marketplace performance, human resources, supplier and partner performance, and operational performance. The category also examines how the organisation performs relative to competitors.

The criteria are used by thousands of organisations of all kinds for self-assessment and training and as a tool to develop performance and business processes. Almost 2 million copies have been distributed since the first edition in 1988, and heavy reproduction and electronic access multiply that number many times.

For many organisations, using the criteria results in better employee relations, higher productivity, greater customer satisfaction, increased market share, and improved profitability. According to a report by the Conference Board, a business membership organisation, "A majority of large US firms have used the criteria of the MBNQA for self-improvement, and the evidence suggests a long-term link between use of the Baldrige criteria and improved business performance."

Some recipients of the award

- 2001 – Clarke American Checks, Incorporated, Pal's Sudden Service, Chugach School District, Pearl River School District, University of Wisconsin-Stout
- 2000 – Dana Corp-Spicer Driveshaft Division, KARLEE Company, Inc, Operations Management International, Inc, and Los Alamos National Bank

- 1999 – STMicroelectronics, Inc.-Region Americas, BI, The Ritz-Carlton Hotel Co, LLC, and Sunny Fresh Foods
- 1998 – Boeing Airlift and Tanker Programs, Solar Turbines Inc, and Texas Nameplate Co, Inc
- 1997 – 3M Dental Products Division, Solectron Corp, Merrill Lynch Credit Corp, and Xerox Business Services

Establishment of the education and health care categories

Both categories were introduced in 1999. Since then, a total of 37 applications have been submitted in the education category and 25 in the health care category.

Selection of recipients

Organisations that are headquartered in the United States may apply for the award. Applications for the award are evaluated by an independent Board of Examiners composed of primarily private-sector experts in quality and business. Examiners look for achievements and improvements in all seven categories. Organisations that pass an initial screening are visited by teams of examiners to verify information in the application and to clarify questions that come up during the review. Each applicant receives a written summary of strengths and areas for improvement in each area addressed by the criteria.

“The application and review process for the Baldrige Award is the best, most cost-effective and comprehensive business health audit you can get,” says Arnold Weimerskirch, former chair of the Baldrige Award panel of judges and vice president of quality, Honeywell, Inc.

Excellence and profits

Studies by NIST, universities, business organisations, and the United States General Accounting Office have found that investing in quality principles and performance excellence pays off in increased productivity, satisfied employees and customers, and improved profitability – both for customers and investors. For

example, NIST has tracked a hypothetical stock investment in Baldrige Award winners and applicants receiving site visits. The studies have shown that these companies soundly outperform the Standard & Poor's 500.

The Baldrige Award and ISO 9000

The purpose, content, and focus of the Baldrige Award and ISO 9000 are very different. The Baldrige Award was created by Congress in 1987 to enhance US competitiveness. The award program promotes quality awareness, recognises quality achievements of United States organisations, and provides a vehicle for sharing successful strategies. The Baldrige Award criteria focus on results and continuous improvement. They provide a framework for designing, implementing, and assessing a process for managing all business operations.

ISO 9000 is a series of five international standards published in 1987 by the International Organisation for Standardization (ISO), Geneva, Switzerland. Companies can use the standards to help determine what is needed to maintain an efficient quality conformance system. For example, the standards describe the need for an effective quality system, for ensuring that measuring and testing equipment is calibrated regularly and for maintaining an adequate record-keeping system. ISO 9000 registration determines whether a company complies with its own quality system. Overall, ISO 9000 registration covers less than 10 percent of the Baldrige Award criteria.

3.4 The European Foundation for Quality Management (EFQM)

3.4.1 Establishment

The European Foundation for Quality Management (EFQM) website (www.efqm.org 2/6/03) provides a comprehensive overview of the EFQM. The EFQM was introduced at the beginning of 1992 as the framework for assessing applications for The European Quality Award. It is the most widely used organisational framework in Europe and has become the basis for the majority of

national and regional Quality Awards. A detailed description of the Excellence Model criteria and sub-criteria is given below.

Whilst Quality Awards are a focus for some users, the true measure of the EFQM Excellence Model's effectiveness is its widespread use as a management system and the associated growth in the key management discipline of organisational self-assessment.

Regardless of sector, size, structure or maturity, to be successful, organisations need to establish an appropriate management system. The EFQM Excellence Model is a practical tool to help organisations do this by measuring where they are on the path to excellence; helping them understand the gaps; and then stimulating solutions.

Self-assessment has wide applicability to organisations large and small, in the public as well as the private sectors. Increasingly organisations are using outputs from self-assessment as part of their business planning process and use the model as a basis for operational and project review. It is not easy to determine exactly how many organisations are currently using the model, but the number is growing rapidly and exceeds 20 000 across Europe.

The EFQM is committed to researching and updating the model with the inputs of tested good practices from thousands of organisations both within and outside of Europe. In this way we ensure the model remains dynamic and in line with current management thinking. The last major revision was launched in April 1999. This revision included a new scheme for evaluating performance against the model, best described by its acronym RADAR (Results, Approach, Deployment, Assessment and Review). This method is described in detail in Chapter 4.

Over the years a number of research studies have investigated the correlation between the adoption of holistic Models, such as the EFQM Excellence Model, and improved organisational results. The majority of such studies show a positive linkage. One of the most comprehensive of these was carried out by Dr Vinod

Singhal of the Georgia Institute of Technology and Dr Kevin Hendricks of the College of William and Mary.

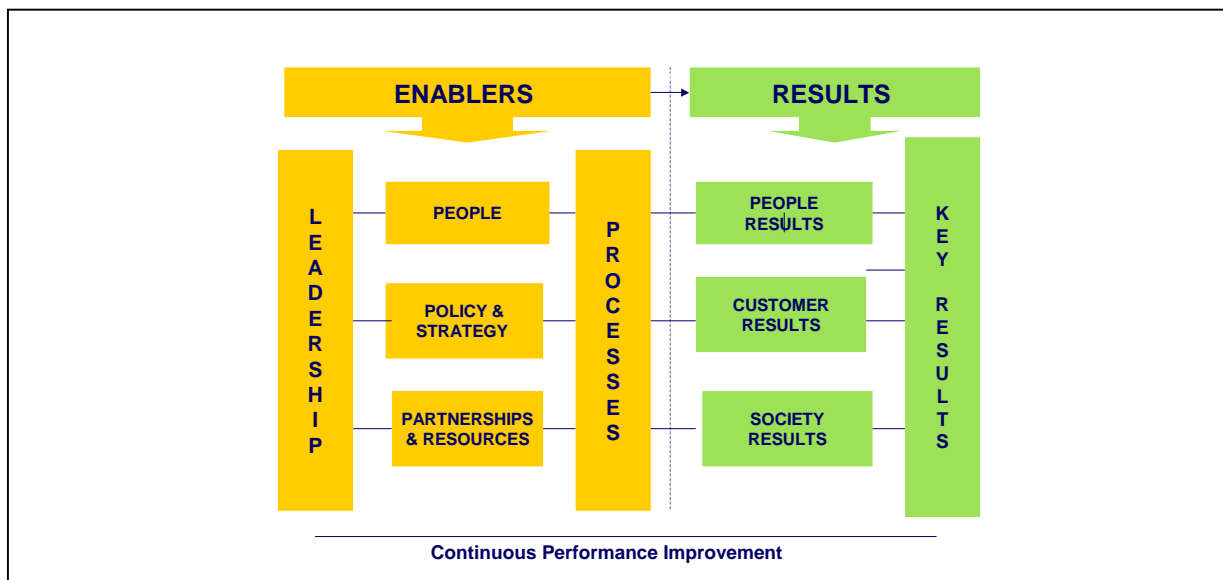
3.4.2 Overview of the EFQM

The EFQM is a non-prescriptive framework based on nine criteria. Five of these are 'Enablers' and four are 'Results'. The 'Enabler' criteria cover what an organisation does. The 'Results' criteria cover what an organisation achieves. 'Results' are caused by 'Enablers' and feedback from 'Results' help to improve 'Enablers' as depicted in Fig 5.

The model, which recognises there are many approaches to achieving sustainable excellence in all aspects of performance, is based on the premise that:

Excellent results with respect to Performance, Customers, People and Society are achieved through Partnerships and Resources, and Processes.

Fig 5: The EFQM Model



(www.efqm.org)

The arrows emphasise the dynamic nature of the model. They show innovation and learning helping to improve enablers that in turn lead to improved results.

The Model's 9 boxes, shown above, represent the criteria against which to assess an organisation's progress towards excellence. Each of the nine criteria has a definition, which explains the high level meaning of that criterion.

To develop the high level meaning further each criterion is supported by a number of sub-criteria. Sub-criteria pose a number of questions that should be considered in the course of an assessment. Finally, below each sub-criterion are lists of possible areas to address. The areas to address are not mandatory nor are they exhaustive lists but are intended to further exemplify the meaning of the sub-criterion.

3.4.3 The fundamental concepts of excellence

The EFOM Model is a non-prescriptive framework that recognises there are many approaches to achieving sustainable excellence. Within this non-prescriptive approach there are some **fundamental concepts** which underpin the EFQM Model. The criteria are built upon the following set of interrelated **core values and fundamental concepts**. These concepts are contextualised for higher education institutions in Chapter 4.

- **Results orientation**

Excellence is dependent upon balancing and satisfying the needs of all relevant stakeholders (this includes the people employed, customers, suppliers and society in general as well as those with financial interests in the organisation).

- **Customer focus**

The customer is the final arbiter of product and service quality and customer loyalty, retention and market share gain are best optimised through a clear focus on the needs of current and potential customers.

- **Leadership and constancy of purpose**

The behaviour of an organisation's leaders creates a clarity and unity of purpose within the organisation and an environment in which the organisation and its people can excel.

- **Management by processes and facts**

Organisations perform more effectively when all interrelated activities are understood and systematically managed and decisions concerning current operations and planned improvements are made using reliable information that includes stakeholder perceptions.

- **People development and involvement**

The full potential of an organisation's people is best released through shared values and a culture of trust and empowerment, which encourages the involvement of everyone.

- **Continuous learning, innovation and improvement**

Organisational performance is maximised when it is based on the management and sharing of knowledge within a culture of continuous learning, innovation and improvement.

- **Partnership development**

An organisation works more effectively when it has mutually beneficial relationships, built on trust, sharing of knowledge and integration, with its Partners.

- **Public responsibility**

The long-term interest of the organisation and its people are best served by adopting an ethical approach and exceeding the expectations and regulations of the community at large.

3.4.4 EFQM criteria

As depicted in figure 2 above, the model comprises 9 criteria:

1 Leadership

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

2 People

Excellent organisations manage, develop and release the full potential of their people at an individual, team-based and organisational level. They promote fairness and equality and involve and empower their people. They care for, communicate, reward and recognise, in a way that motivates staff and builds commitment to using their skills and knowledge for the benefit of the organisation.

3 Policy and strategy

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

4 Partnerships and resources

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

5 Processes

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

6 People results

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

7 Customer results

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

8 Society results

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

9 Key performance results

The measures are key results defined by the organisation and agreed in their policy and strategies.

3.4.5 EFQM-RADAR process

The EFQM Excellence Model is underpinned by the fundamental concept of continuous improvement and by the PLAN, DO, CHECK, ACT cycle of Deming. The institution looks at what it is doing against the framework of the Model to identify the things that it is doing well (strengths) and the things it could improve (areas for improvement) There is also the option to derive the score using the RADAR process. In the HEFCE *Benchmarking Methods and Experiences* (2003:9), the RADAR process is explained as “a scoring matrix and an evaluation tool, which assists discipline and consistency in self-assessment. RADAR is the acronym for Results, Approach, Deployment, Assessment and Review”.

In a higher education context, the institution should:

- Identify and quantify the **R**esults it needs to achieve its policies and strategies
- Have sound **A**pproaches to deliver planned results
- **D**eploy the approaches in a systematic way to full implementation
- **A**ssess approaches based on monitoring and measurement of results, including learning
- **R**eview results and identify, prioritise, plan and implement improvements needed

RADAR demands quantification and evidence, anecdotal evidence or no evidence will not do. Used wisely and honestly, it is a powerful tool for self-assessment, learning, improvement and innovation.

3.5 South African Excellence Model (SAEM)

3.5.1 Establishment

The South African Excellence Foundation (SAEF) website (www.saef.co.za 2/6/03) provides a comprehensive overview of the South African Excellence Model (SAEM).

The SAEM is a framework for assessing the “excellence” of an organisation. The model is based on the concept that an organisation will: “Achieve better results by involving all the people in the organisation in continuous improvement of their processes.”

Self-assessment using a model or framework is not a new idea. Similar models have been in use in America, Europe, Japan and many leading companies such as Xerox, for a number of years.

The SAEM was developed by the South African Excellence Foundation (SAEF) in 1997, and builds on the experience of the Malcolm Baldrige National Quality (MBNQA, USA) and the European Foundation for Quality Management (EFQM, EU). The SAEM has been adopted throughout the South African Development Community (SADC) countries and is duly recognised by both the MBNQA and EFQM.

Objectives

The SAEF aims to:

- Maintain and promote the SAEM in support of national economic competitiveness and good governance
- Train assessors in the use of the Model and
- Manage a national Awards process

The Foundation supports organisations throughout South Africa to participate in self-assessment and continuous improvement activities, by applying the SAEM as a diagnostic framework in order to achieve:

- overall competitiveness;
- good governance;
- satisfied customers, employees, suppliers and partners;
- credibility as trading partners;
- business and community approval;
- significant gains in business results and productivity.

Vision

To establish a Culture of Excellence throughout South Africa thereby enhancing the country's overall economic performance and promoting the well being of all its people.

Mission

- To stimulate and support organisations throughout South Africa to participate in continuous improvement activities leading to excellence in customer satisfaction, employee satisfaction, impact on society, supplier and partnership performance and business results.
- To support all stakeholders of South African organisations in accelerating the process of making excellence a decisive factor in achieving global competitiveness.

Rationale

South Africa's low ranking in the global competitiveness report is a source of national concern. The pursuit of excellence in all spheres of business has become a matter of urgency for any organisation hoping to survive in the increasingly competitive global market. A suitable tool had to be found whereby South African organisations, big and small, could upgrade their business practices and find a meaningful way of benchmarking their performance against world standards. This requires the use of internationally recognised benchmark measures, which focus on sustained improvement, rather than short-term gains.

The SAEM combines the best of the respective models and incorporates a local emphasis in accordance with national priorities. The model provides a non-prescriptive framework for management education, self-assessment and continuous improvement for all organisations. It is a powerful diagnostic tool which allows organisations to assess their levels of efficiency and effectiveness, identify gaps in their processes, and institute significant performance improvements to achieve higher levels of competitiveness.

Founders

In pursuit of this ideal, and after considerable research and consultation throughout South Africa and abroad, a group of far sighted organisations decided to develop an indigenous South African approach. The South African Excellence Foundation (SAEF) was launched during 1997 as a Section 21 (not-for-gain) company with the support of local industrial and public sector leaders. The founding organisations are DaimlerChrysler South Africa, Honeywell SA, Ingersoll-Rand SA, CSIR, SABS, SAQI, Armscor, Eskom, Standard Bank, ABSA Bank, the Greater Pretoria Metropolitan Council, Technikon SA, SA Society for Quality, Ideas Management and Groman Consulting.

Recognition of the SAEM

The SAEM combines the best of the United States and European Union Foundations' respective Models (which differ in emphasis rather than in content), and incorporates a local emphasis in accordance with national priorities. The US and EU have both recognised the South African Excellence Model, and have committed to mutual co-operation and pledged their continued support for promoting the system in Southern and South Africa.

Locally the Department of Trade and Industry has recognised the South African Excellence Foundation (SAEF) as the custodian of the Model and the SADC Council of Ministers has approved in principle the use of the SAEM as a basis for a SADC Quality Award in the near future.

Good governance is a collective term, covering the achievement of world-class results through sound leadership, focusing on policy and strategy, customers and markets, the organisation's own people, available resources and on appropriate top class processes, while taking due cognisance of supplier and partnership relationships and the organisation's impact on the community.

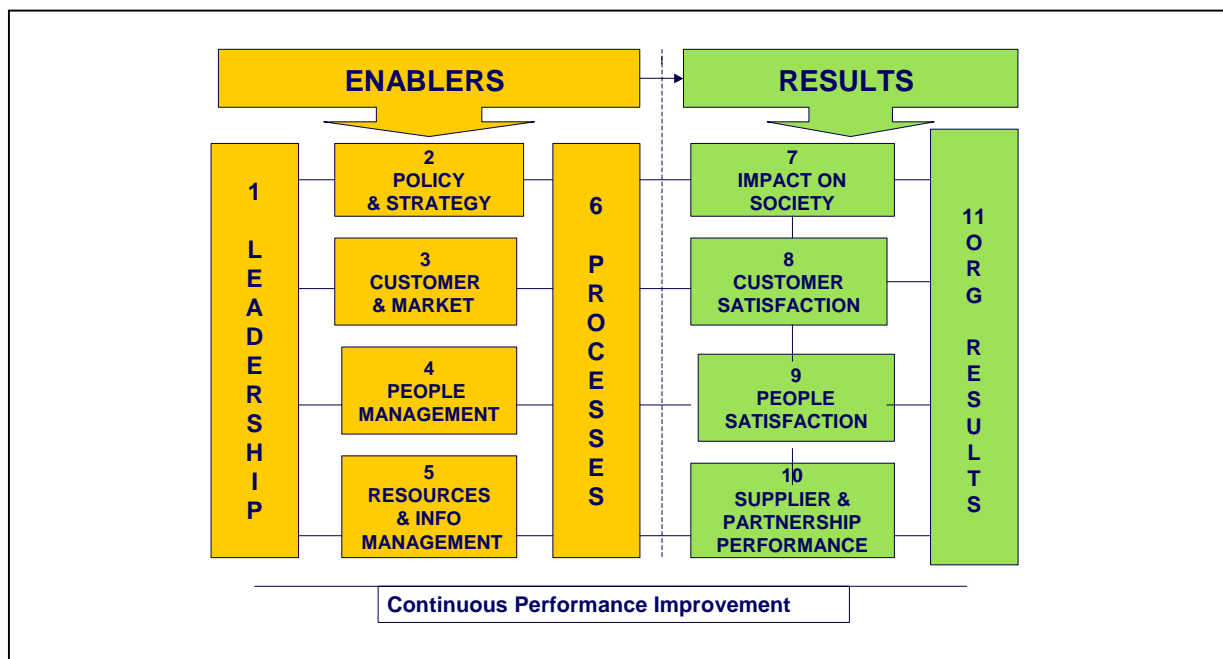
The model provides a non-prescriptive framework for management education, self-assessment and continuous improvement for all organisations, large and small,

public or private, service or manufacturing. It is a powerful diagnostic tool, which allows organisations to assess their levels of efficiency and effectiveness, identify gaps in their processes, and institute significant performance improvements to achieve higher levels of competitiveness.

3.4.2 The SAEM

The SAEM as depicted in figure 3 is based on the concept that an organisation will: “achieve better results by involving all the people in the organisation in continuous improvement of their processes”. The model comprises 6 enablers and 5 results criteria.

Fig 6: The South African Excellence Model



(SAEF Y2002/1 Self-Assessment Questionnaire and Workbook for Public Service Performance Excellence Level 3)

3.4.3 The fundamental concepts of the SAEM

The model is based on the following concepts:

- **Results orientation**

Excellence is dependent upon balancing and satisfying the needs of all relevant stakeholders (this includes employees, customers, suppliers and society at large as well as those with a financial interest in the organisation).

- **Customer focus**

The customer is the final judge of the product and service quality. Customer loyalty, retention and market share gain are best optimised through a clear focus on the needs of current and potential customers.

- **Leadership and constancy of purpose**

The behaviour of an organisation's leaders creates a clarity and unity of purpose within the organisation and an environment in which the organisation and its people excel.

- **Management by processes and facts**

Organisations perform more effectively when all interrelated activities are understood and systematically managed and decisions concerning current operations and planned improvements are made using reliable information that includes stakeholder perceptions.

- **People development and involvement**

The full potential of an organisation's people (employees) is best released through values and a culture of trust and empowerment, which encourages the involvement of everyone.

- **Continuous learning, innovation and improvement**

Organisational performance is maximised when it is based on the management and sharing of knowledge within a culture of continuous learning, innovation and improvement.

- **Partnership development**

An organisation works more effectively when it has mutually beneficial relationships, built on trust, sharing of knowledge and integration with its partners.

- **Social responsibility**

The long-term interest of the organisation and its people are best served by adopting an ethical approach and exceeding the expectations and regulations of the community at large pertaining to its social responsibility.

3.5.4 SAEM criteria

What is the basis for the criteria?

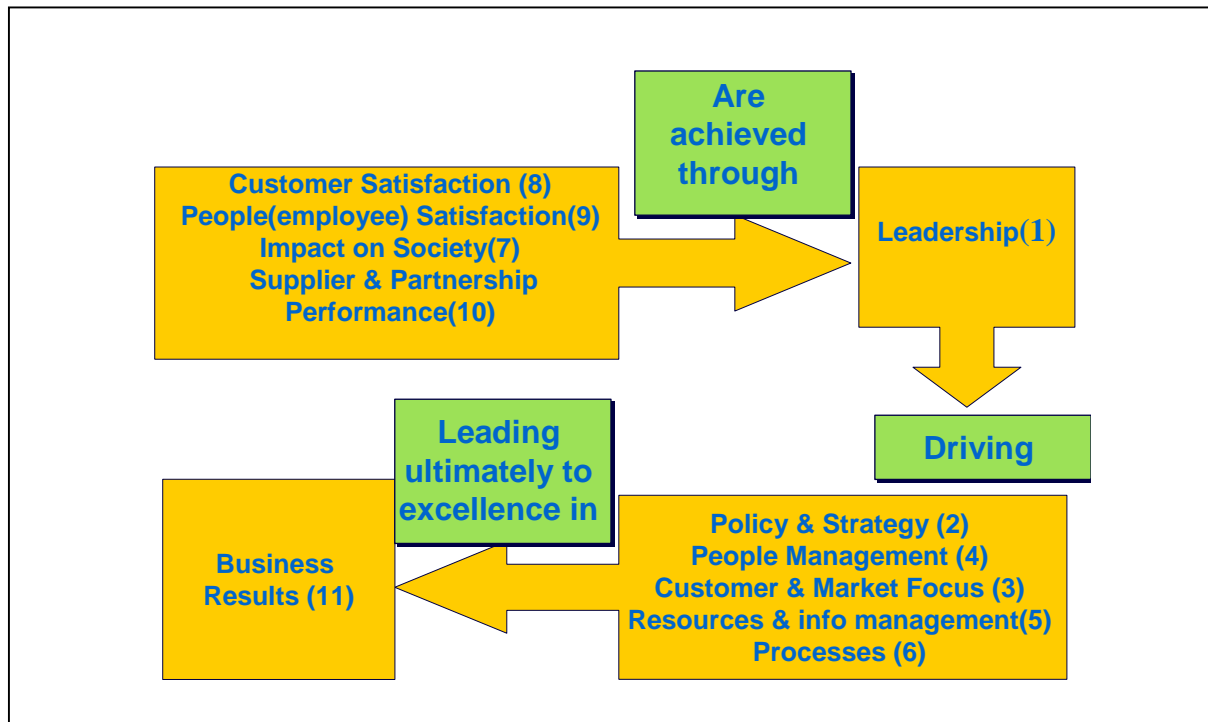
- Criteria are developed from state-of-the art knowledge of private and public sector organisations that are working to achieve organisational quality and performance excellence.
- The criteria represent validated, leading-edge practices for achieving performance excellence.

Criteria principles

The SAEM maintains that: “Customer satisfaction, people (employee) satisfaction, impact on society, supplier and partnership performance are achieved through leadership, driving policy and strategy, people management, customer and market

focus, resources and information management and processes leading ultimately to excellence in business results.” This process is depicted in Fig 7.

Fig 7: SAEM criteria principles



1 Leadership

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.

2 Policy and strategy

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.

3 Customer and market focus

How the institution:

- determines the needs, requirements and expectations of clients and stakeholders.
- enhances relationships and determines satisfaction of clients and stakeholders.

4 People management

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.

5 Resources and information management

How the organisation manages and uses resources and information effectively and efficiently.

6 Processes

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.

7 Impact on society

What an institution achieves in relation to local, national and international society at large. This includes the perception of the institution's approach to:

- quality of life
- environment and the conservation of global resources
- institution's own internal measures of effectiveness
- its relations with other authorities and bodies which affect and regulate its business

8 Customer satisfaction

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? Eg what does measurable student feedback show? What image do students have of the institution?

9 People satisfaction

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.

10 Supplier and partnership performance

What an institution is doing to ensure that suppliers and partners are providing optimum service.

11 Organisational results

What the organisation is achieving in relation to its planned business objectives and in satisfying the needs and expectations of everyone with a financial interest or other stake in the organisation.

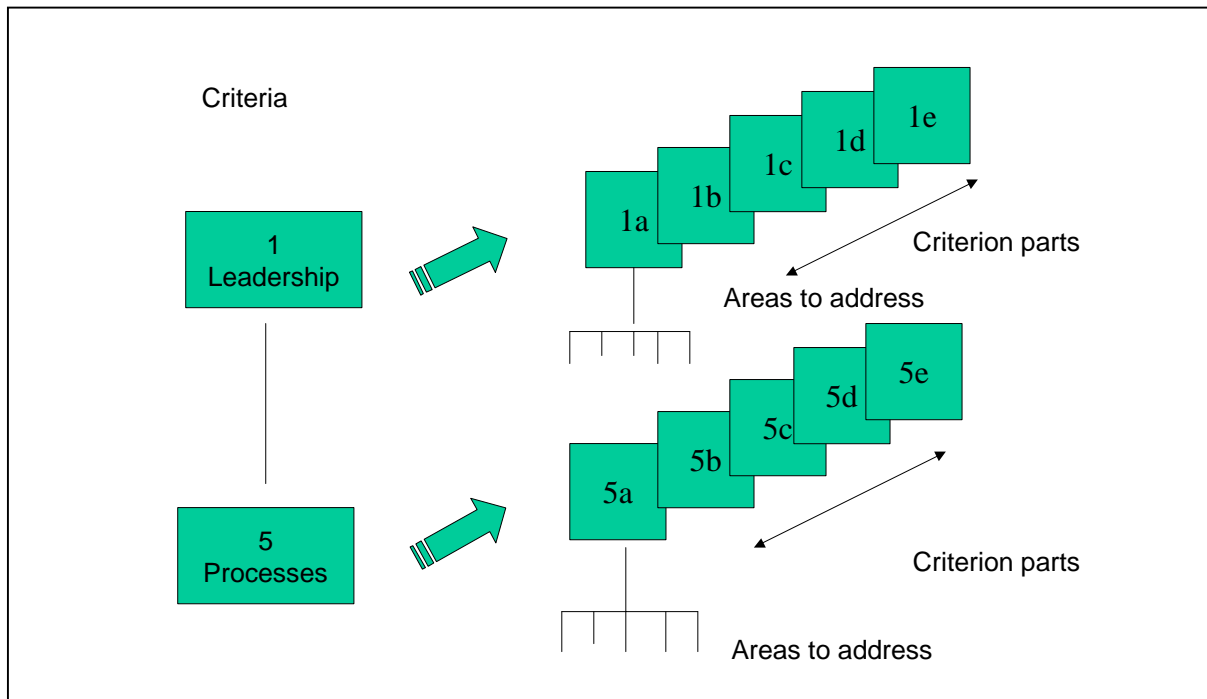
Enabler criteria

The six enablers assess and question whether an organisation has the appropriate approaches in place to achieve the targets it has set. The detail of the Model provides a framework for rigorous analysis that questions whether, in each area, the organisation can demonstrate that chosen approaches and strategies:

- are effective and efficient in delivering results
- are deployed to their full potential
- demonstrate continuous improvement

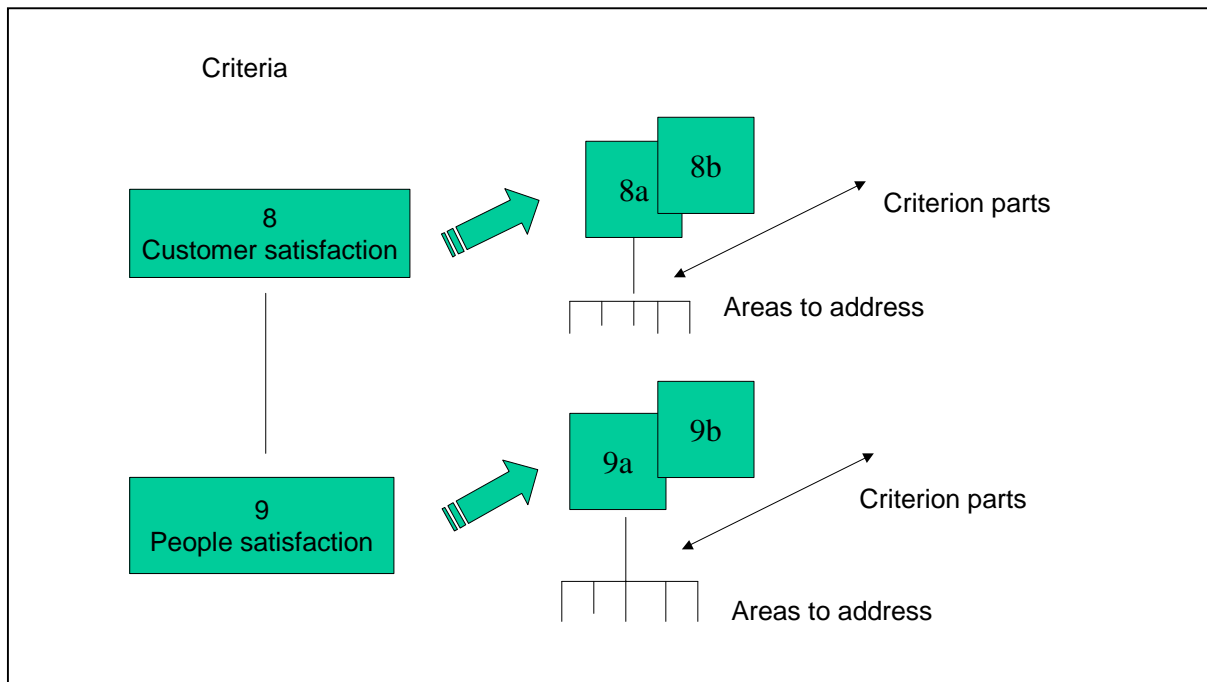
Each of the enablers is broken down into **criterion parts**, with guidance points within these criterion parts to help develop and support knowledge and learning in that particular area. The criterion parts are then broken down into **areas to address**:

The HEFCE *Applying Self-Assessment against the EFQM Excellence Model in Further and Higher Education* (2003:5) provides the following figures:

Fig 8: The enabler criteria**Results criteria**

The five Results criteria question whether there are comprehensive measures in place that can monitor and track performance, and assess whether objectives have been met. The Results criteria also question the extent to which benchmarking against the best in class is undertaken and used to enhance learning and improve performance. The criteria challenge to what extent an organisation can show that the chosen indicators:

- comprehensively measure what is important to customers and others who receive a service from the organisation
- demonstrate continuous improvement against target and results

Fig 9: The results criteria

3.5.5 Scoring the SAEM

3.5.5.1 Enablers

Respondents have to rate the **enablers** of the organisation on a 4 point scale within a context of **approach** and **deployment**.

Depending on the extent and clarity of evidence, score each question as follows:

Table 4: How to score the questions

Areas of improvement (1-2)	<ul style="list-style-type: none"> • Not started (1) Someone may have some good ideas, but nothing has happened yet. • Some progress (2) You have started doing something in a part of your organisation. Evidence exists that some progress reviews are taking place. Improvements are being made in this area.
Strengths (3-4):	<ul style="list-style-type: none"> • Good progress (3) This is being done well in most, but not all areas of the organisation. Progress reviews take place regularly. Organisation performance is much better in this area. • Fully achieved (4) An excellent approach that you are achieving in this area. Although improvement is possible, you are the “role model” for others.

Approach

With regard to “Approach” respondents have to consider actions in relation to the following elements of approach:

- Do we use methods, tools and techniques that are appropriate for our organisation?
- Do we do things in a systematic way and prevent things from going wrong?
- Do we regularly review and challenge what we do in each area?
- Do we implement “good ideas” to obtain continuous improvement in all areas of our organisation?
- Do we integrate our approach into the everyday operations of our organisation?

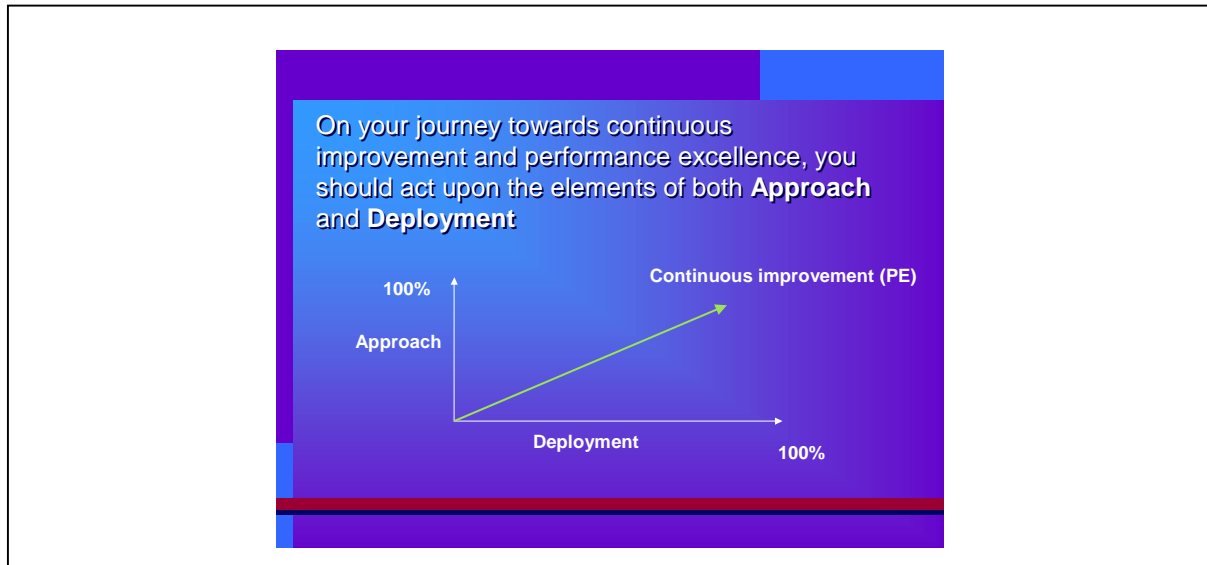
Deployment

With regard to “Deployment” respondents have to consider how well the organisation has implemented the approach element in the organisation. Attention must be given to how it has been applied on the following levels:

- Vertically, throughout all the relevant levels in the organisation
- Horizontally, throughout all the relevant levels in the organisation

- To all the relevant processes that are used in the organisation
- To all the relevant products and services

Fig 10: Scoring enablers



(SAEF Y2000/1 Self-Assessment Questionnaire and Workbook for Public Service Performance Excellence level 3)

3.5.5 2 Results

Respondents have to rate the **results** of the organisation on a four-point scale within a context of **scope** and **excellence**.

Depending the extent and clarity of evidence on the organisation's "achievements", score each question as follows:

Table 5: How to score

Areas of improvement (1-2)	<ul style="list-style-type: none"> • Not started (1) Nothing is happening. You have no information about this at all. • Some progress (2) You have started collecting data, but do not have enough information to establish a trend. If you do have sufficient information, your results are negative at this stage.
Strengths (3-4)	<ul style="list-style-type: none"> • Good progress (3) Your results are showing a positive trend or good continuous performance over a period of 12 to 24 months. • Fully achieved (4) Your results are showing an excellent, continuous positive trend over a 24 to 48-month period. Although improvement is possible in this area, you are the “role model” for others.

Scope

The scope (width and depth) of the results in each criteria, should include:

- **All** the relevant areas of your organisation.
- A full **range** of results in each area.
- An understanding why each result is important in your organisation.

Excellence

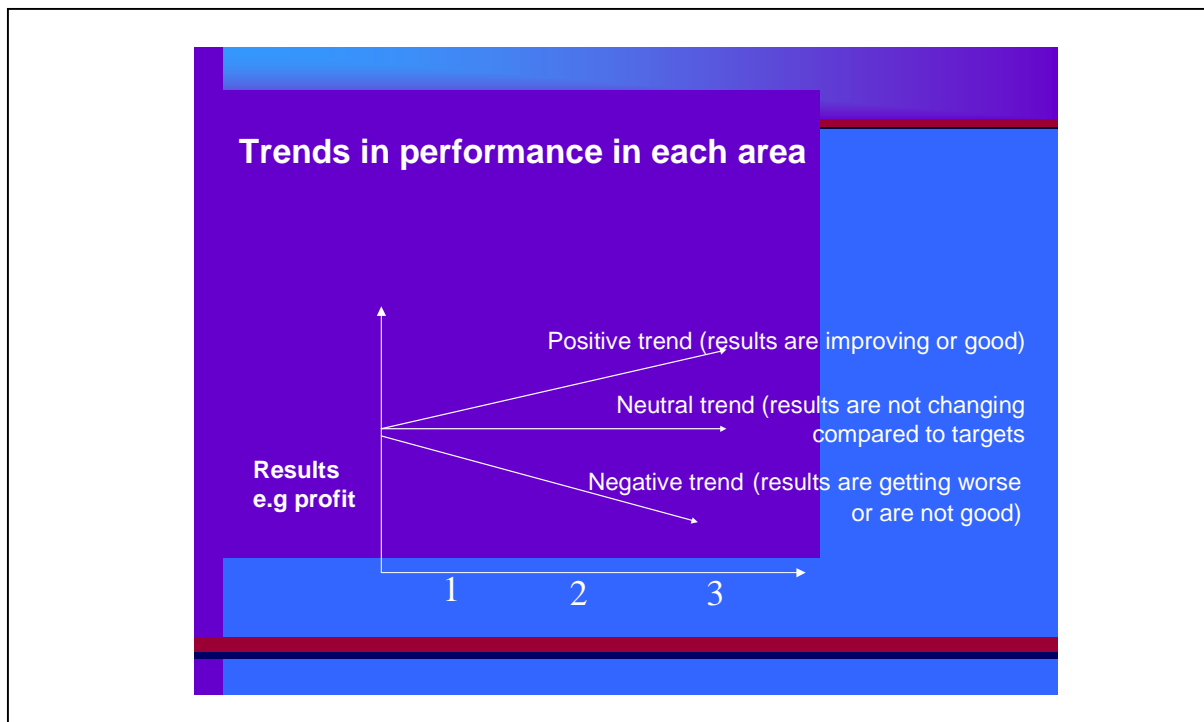
When determining the “excellence” of results, the following elements should be considered:

- Do our results show positive trends, or good continuous performance in each area?
- Do we meet our improvement targets?
- Do we compare our achievements with other organisations?
- If we have any negative trends, do we know why, and take corrective action?
- Can we maintain and further improve good performance in all areas?
- Do we evaluate how our approach has caused the results?

When you look at how **excellent** your results are, remember:

- You must compare the institution's **actual results** with its own targets (and similar institutions if possible).
- You are looking for **positive trends**, or good, **continuous performance improvement** in each area.
- If there are any **negative trends**, you must know **why**, and take **corrective action**.
- Your institution must be able to **maintain** good performance in any area.
- That you need to **evaluate** how your **approach** has **caused the results**.

Fig 11: Scoring results



(SAEF Y2000/1 Self-Assessment Questionnaire and Workbook for Public Service Performance Excellence level 3)

3.5.6 SAEM awards

Based on assumptions that initially South African organisations would score low (e.g. less than 300 points) it was decided to introduce three levels to which organisations could apply for the SAEM:

- Level 1: Awards

- Level 2: Prizes
- Level 3: Certificates

Each year awards, prizes and certificates are awarded in the following categories:

- Business Sector (including Defence Industry): Companies/organisations or operational units thereof, run as independent business units such as factories, assembly plants, sales and marketing organisations, research units, NGOs or not-for-gain organisations.
- Public Sector: Organisations that are units operating at Central and Provincial levels.
- Local Government Sector: Units operating at Local Government level.
- SME Sector: Companies that are whole or part organisations employing less than 250 people. Winners share their best practices and lessons learned, without giving away proprietary information, and serve as role models which help to create an culture of excellence to the ultimate benefit of the national economy and welfare.

All these sectors can apply for either a level 1 (1 000 points), level 2 (5 000) points or a level 3, entry level (250 points).

Table 6: SAEM sectors and levels of participation

SECTOR	LEVEL	RECOGNITION FOR WINNERS	MAXIMUM SCORE	NUMBER OF CRITERION PARTS TO BE ADDRESSED	MAXIMUM APPLICATION DOCUMENT LENGTH (ONE-SIDED PAGES)
BUSINESS	1	Award	1000	41	80 pages based on the SAEM Business Sector
	2	Prize	500	29	60 pages based on the SAEM Business Sector
	3	Certificate	250	21	40 pages based on the SAEM Business Sector
DEFENCE INDUSTRY	1	Award	1000	41	80 pages based on the SAEM Business Sector
	2	Prize	500	29	60 pages based on the SAEM Business Sector
	3	Certificate	250	21	40 pages based on the SAEM Business Sector
SME SECTOR	1	Award	1000	34	80 pages based on the SAEM Business Sector
PUBLIC SERVICE SECTOR (Central and parastatal)	1	Award	1000	41	80 pages based on the SAEM Business Sector
	2	Prize	500	29	60 pages based on the SAEM Business Sector
	3	Certificate	250	21	40 pages based on the SAEM Business Sector
PUBLIC SERVICE SECTOR (Provincial government)	1	Award	1000	41	80 pages based on the SAEM Business Sector
	2	Prize	500	28	60 pages based on the SAEM Business Sector
	3	Certificate	250	21	40 pages based on the SAEM Business Sector
LOCAL GOVERNMENT	1	Award	1000	41	80 pages based on the SAEM Business Sector
	2	Prize	500	29	60 pages based on the SAEM Business Sector
	3	Certificate	250	21	40 pages based on the SAEM Business Sector

(<http://www.saef.co.za>)

3.6 Self-assessment

3.6.1 What is organisation self-assessment?

The HEFCE *Applying self-assessment against the EFQM excellence model in further and higher education* (2003:6) defines self-assessment as:

- “A comprehensive, systematic and regular review of an organisation’s activities and results referenced against a model of performance excellence.
- The self-assessment process allows the organisation to clearly identify its strengths and areas in which improvements can be made. Self-assessment is about **continuous performance improvement** of an organisation.
- The most critical phase of the process is **action planning** and **implementation.**”

3.6.2. The self-assessment process

The goals of Total Quality Management (TQM): customer satisfaction, continuous improvement and organisational excellence, are dynamic targets. They do not have a pre-fixed level. An organisation must, therefore, be able to assess its current total quality performance against its past performance. This requires a rigorous self-assessment process and a suitable TQM framework by which to do it. Thousands of organisations across the world now use self-assessment on a regular basis. Self-assessment is not only a means of measuring continuous improvement, it also provides an excellent opportunity for integrating TQM into normal business activity (Porter and Tanner 1996:6).

Quality models such as the EFQM and the Malcolm Baldrige define self-assessment as “a comprehensive, systematic and regular review of an organisation’s activities and results referenced against a model of business excellence” (Lascelles and Peacock 1996:11).

3.6.2 Self-assessment potential benefits list

The HEFCE *Applying Self-Assessment against the EFQM Excellence Model in Further and Higher Education (2003:3)* provide the following summary of the key benefits of using self-assessment:

- Clear identification of stakeholders and their requirements
- Engagement of students and other customer groups
- Identification of and improved engagement with partners
- Improvement of business planning, through the appropriate integration of self-assessment which leads to a greater clarity of focus and more resourceful and strategically focused plans
- Improvement activities which are planned, undertaken and reviewed
- Improved internal and external communication
- Sharing of good practice across organisations, and within organisations
- Systematic gathering of data to inform internal and external quality assessments
- A change in culture to one of openness, sharing and continuous learning, innovation and improvement

3.6.4 Self-assessment approaches

All the quality models have basically **five** approaches to be considered and they all have advantages and disadvantages. Self-assessment can be initiated in the organisation as a whole or an independent unit of the organisation. The culture and structure of the organisation as well as the benefits desired, will influence the particular approach that is adopted.

Whichever approach is used, the key point to remember is that self-assessment is about **continuous performance improvement** of an organisation. The most critical phase of the process is **action planning** and **implementation**. Having completed the self-assessment, the following responses should be considered:

- What identified **strengths** should be:
 - o **maintained** to maximum effect?
 - o **developed** and exploited even further?

- What identified areas for improvement do we acknowledge:
 - o And see as **paramount for us to address?**
 - o But will not pursue because they are *not core to our organisation?*

- How are we going to **monitor progress** against the agreed improvement actions?

The SAEF provides the following overview of the five approaches in the *Self-assessment Questionnaire and Workbook*:

3.6.4.1 An award simulation approach

This approach means that a self-assessment is conducted and the findings documented. The self-assessment may be for the whole organisation or an independent unit only. The format of the submission document is described in the SAEF documents. An internal process similar to that employed for the **Award application** is then established. **Trained assessors** conduct the assessment which is based on the written submission. For an independent unit, the assessors could originate from another division of the organisation. If the whole organisation is involved some **external assessors** could be used.

3.6.4.2 A pro forma approach

One way of reducing the amount of work in undertaking and documenting the self-assessment is to create **a set of pro formas**, for example, one page for each of the criterion parts, making 41 in total. The description of the *criterion* and *criterion parts* would be printed at the top of the page with areas to address beneath it. The rest of the page would be divided into sections for *strengths*, *areas for improvement* and *evidence*.

3.6.4.3 A workshop approach

The advantage of this approach is that it requires the active involvement of the management team of the unit performing the self-assessment.

The *management team* is responsible for gathering the data and presenting to peers the evidence gathered at a workshop. This provides the starting point for the management team to reach consensus. Experience has shown that two people, fully trained as assessors, are needed to facilitate the process. Ideally, one of the assessors should be from that part of the organisation being assessed and the other from another part of the organisation.

There are **five components** of the process:

- training
- data gathering
- scoring workshop
- agreeing on improvement actions
- reviewing progress against action plans

3.6.4.4 A questionnaire approach

SAEF has developed a comprehensive multi-choice questionnaire, “Determining performance Excellence: A Questionnaire Approach” which covers all aspects of the SAEF Model for Performance Excellence.

3.6.4.5 A matrix chart approach

This approach involves the creation of an organisation specific achievement matrix within the framework of the SAEF Model for Performance Excellence. It typically consists of a series of statements of achievement against a number of points on a scale 0-100% or similar.

3.7 Quality models and the Balanced Scorecard (BSC)

There has been much debate as to whether quality models and the Balanced Scorecard are mutually exclusive or if they work together to bring added value to an institution.

3.7.1 What is the BSC?

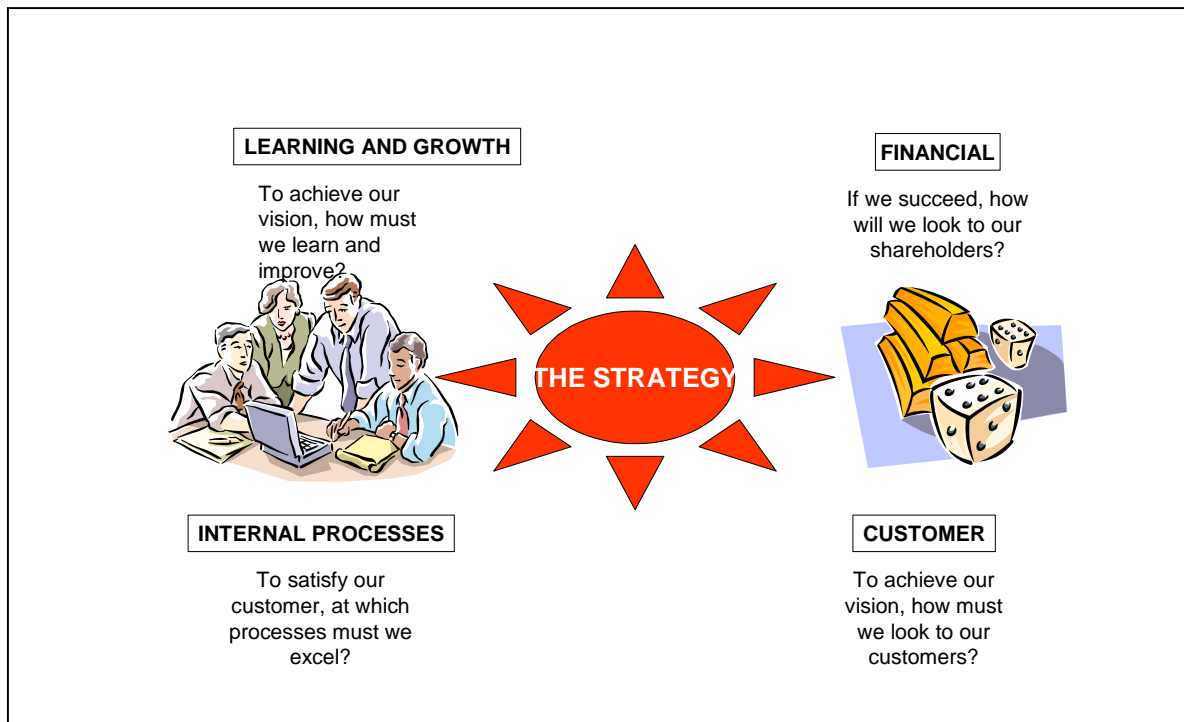
The BSC is a prescriptive framework. It is a system of linked objectives, targets and initiatives that collectively describe the strategy of an organisation and how that strategy can be achieved. As well as a framework, it is a process that an organisation uses to foster consensus, alignment and commitment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

Kaplan and Norton, the two founders of the BSC state that “traditional financial accounting measures like return-on-investment and earnings-per-share can give misleading signals for continuous improvement and innovation – activities that today's competitive environment demands. The traditional financial performance measures worked well for the industrial era, but they are out of step with the skills and competencies companies are trying to master today” (1998:125-127).

The BSC includes financial measures that tell the results of actions already taken. It complements those financial measures with operational measures on customer satisfaction, internal processes and the organisation's innovation and improvement activities – operational measures that are the drivers of future financial performance.

The BSC provides answers to four basic questions:

- How do customers see us? (customer perspective)
- What must we excel at? (internal perspective)
- Can we continue to improve and create value? (innovation and learning perspective)
- How do we look to shareholders? (financial perspective)

Fig 12: The Balanced Scorecard

(Kaplan R and Norton D 1992:7)

The BSC explicitly identifies the critical few drivers of success, which cut across an organisation and together drive the creation of shareholder value. It reflects the interests of the whole organisation starting with the strategy by examining the financial and shareholder requirements, the customers' needs, internal processes and enablers such as company culture, information and infrastructure. It forces a focused debate about the key drivers of success that will deliver the organisation's strategy and vision using the four perspectives of the model which represent the different facets of the organisation linked together by cause and effect.

An organisation's BSC identifies both financial and non-financial measures to assess strategic performance. It balances the short term with the longer-term strategic goals using both driver and outcome measurement. It enables a management team to manage performance pro-actively, the team learns continuously about its strategic performance and thus is in a position where it can adjust the strategy before end of year results are in. When used effectively, the BSC becomes the management team's on-going strategic agenda that is reviewed and discussed on an on-going dynamic basis.

What do organisations look to gain when adopting the BSC approach? They want to:

- Translate their strategy into focused, operational, measurable terms
- Make strategic implementation happen
- Focus management time and effort on key issues and create a basis for more consistent decision making
- Provide a management team with the means to coalesce around a common strategic agenda, gain focus, alignment and build consensus
- Enable a clear strategic link between organisational/operational units strategy and 'corporate' to create strategic continuity
- Define a platform to communicate strategic priorities across an organisation
- Provide a means for teams and individuals to know how they contribute to the success of the strategy, ultimately linking reward and compensation to performance
- Improve the bottom line by making better resource allocation and investment trade-offs
- Learn continuously from the organisation's performance to assess and redirect strategic goals systematically

Fig 13: Example of a completed BSC template

	Objective Statement of what must be achieved if the strategy is to be successful & the vision realised	Measure How success in achieving the objectives will be measured and tracked	Target The level of performance or rate of improvement needed over a specific time-scale	Initiative Key action programmes required to achieve objectives
Learning & innovation	Promote image of...	% satisfaction of new and existing clients	1998 60% 2000 90%	Marketing and communication strategy
Internal processes	Cross-sell products	% revenue from new products	1998 15 % 2000 50%	Train staff on new product offerings
Customer	Clients first choice brand	Client satisfaction index	1998 7/10 2000 9/10	Focus groups
Financial	Organic revenue growth	Revenue from existing businesses	1998 R110m 2000 R 150m	Re-packaging of existing products

3.7.2 Linking quality models to the BSC

According to a document by the EFQM, *Are the Renaissance Balance Scorecard and the EFQM Excellence Model mutually exclusive or do they work together to bring added value to a company* (1999:2), the Balanced Scorecard and the quality models seem to be very similar on the surface: similar aspirations, similar concepts, similar labels and boxes. Both approaches share a number of characteristics:

- are measurement based
- encourage a dialogue about performance improvement
- strive to act as catalysts for change and action
- based on principles of on-going review, learning and feedback
- long term success in implementing either model depends on management's ongoing commitment to improving on-going organisational performance
- both talk about cause and effect, enablers and results
- each follows a structured process often facilitated by third parties (assessors or consultants)

Whilst the BSC and quality models espouse common beliefs about what constitutes good management and support broadly similar views on how to drive performance within an organisation, the BSC and quality models come at it from different angles. Each approach has a distinct history, seeks to deliver different key benefits and supports a rather different dialogue about performance improvement with the stakeholders of a company.

The basic premise of all quality models is that "Excellent results with respect to organisational results, customer satisfaction, people satisfaction and impact on society are achieved through leadership driving policy and strategy, people, partnerships, partnerships and resources and processes."

Organisations use the quality models as an internal diagnostic tool regardless of any plans for entering for an award and thus was born the process that has become known as self-assessment.

The process of self-assessment is comprehensive, systematic and performed periodically, typically annually. Using self-assessment an organisation can identify its own strengths and areas for improvement and compare its overall performance to widely accepted levels of what constitutes “good practice”. The benefits of this all-encompassing approach include the creation of enthusiasm within the organisation at all levels to improve performance, the provision of a mechanism to share good practice internally and externally as well as the provision of a framework against which to learn and continuously improve performance.

Initially, using the self-assessment process, it was to get that “moment in time” picture of where the organisation stood. It gave them the opportunity to periodically look at themselves in the mirror to see if they liked what they saw. Phase two saw the start of the move from the excellence model as a management tool to its use as a management model. Organisations began to realise that for the outcomes of the process to have maximum value, it needed to be linked with their business planning process.

The fundamental difference between quality models and the BSC lies in that the BSC is designed to communicate and assess strategic performance, whereas the quality models and self-assessment process focus on encouraging the adoption of good management practice across the operations, processes and activities of the organisation.

For example, as part of assessing good management practice, the quality model would seek to establish how well a company manages the process of strategic planning by determining whether it is a formally established process, which is reviewed regularly and appropriately deployed at different levels. It would however, not seek to pass judgement on the quality of the strategy itself or assess the organisation’s performance in delivering the strategy.

Conversely, whilst the BSC would state the validity of the strategy and monitor the organisation’s performance against achieving it, it would not be its primary aim to assess the quality of the strategic planning process itself.

The self-assessment process provides a critical and comprehensive account of the **current** processes within an organisation. It gives a thorough assessment of a company's current strengths and areas for improvement and as a result provides a steer as to where the organisation might choose to focus some of its effort in the future.

Conversely, the BSC identifies performance objectives, which an organisation needs to achieve to reach its vision two or five years out. The BSC is **future** looking.

An organisation using the quality models will have a good and broad understanding of its own strengths and weaknesses at the process level. As a result of the assessment, an organisation will have an indication as to where it may need to improve significantly, where it performs adequately and where it excels against the ideal benchmark. However, it may not have a strong sense of where to invest as a strategic priority, or where the improvement will make the biggest impact in organisational performance and results. The BSC can be used at this point to provide the strategic focus needed to prioritise action and allocate resources. In this scenario, the BSC complements the self-assessment in providing a strategic prioritisation tool. By using both self-assessment and the BSC, an organisation can do the right things in the knowledge that they will be doing them well.

Lamotte and Carter conclude that self-assessment and the BSC can add a useful dimension to the other by leveraging the knowledge and insights that each of them brings to the organisation. Indeed, it is about enriching the management dialogue and process by providing additional sources of intelligence. In using the two, a management team can foster a deeper dialogue about performance supported by an end-to-end analysis of the organisation's performance from strategy to operations and process quality. Both models clearly have their place within the strategy and organisational planning spectrum.

3.8 Summary

In this chapter the three quality models were discussed. A detailed overview was provided of the United States Malcolm Baldrige National Quality Award (MBNQA), European Foundation for Quality Management (EFQM), and the South African Excellence Model (SAEM).

The award system for the various sectors was also explained. It was pointed out that the SAEM does not currently have a sector for higher education institutions, whereas the MBNQA and EFQM both have higher education sectors.

A comparison of the three models indicates that they are very similar, but the SAEM has two additional criteria.

In the following chapter the major quality developments in higher education will be discussed.

Specific reference will be made to the USA Malcolm Baldrige Award where criteria for the education sector have been formulated. These criteria are being extensively used by higher education institutions in the USA.

Reference will also be made to the UK Higher Education Funding Council for England (HEFCE) where two consortiums are using the EFQM with great success.

CHAPTER 4: QUALITY MODELS IN THE HIGHER EDUCATION SECTOR

4.1 Introduction

In responding to the external pressure to become more responsive and accountable to a diverse range of stakeholders, higher education institutions have tended to draw upon manufacturing-derived quality systems which are not altogether attuned to the unique cultural characteristics of higher education. More sophisticated, contingency-based quality management systems tailored to higher education need to be developed. Two examples are ISO 9000 and Total Quality Management, both of which are quality processes deriving from the manufacturing industry and which were adopted in some service industries, including further and higher education. However, it has become apparent that these, and other quality assurance approaches often do not realise their potential as well in higher education, as in other settings.

Brunyee in the *South African Journal on Higher Education* (Vol 14 No 2 2000:182) adds to the Barrett and Sexton view that: "It would be shortsighted not to accept the view that higher educational institutions can and should learn from the practices of the best non-educational enterprises."

Freed and Klugman (1997:x) are of the opinion that because of the resurgence American companies were enjoying with continuous improvement principles, a few pioneers were encouraged to advocate their use in higher education. Such a move is not unusual, as higher education practices tend to reflect those in business and industry; for example, many higher education institutions experimented with long-range planning in the 1970's and with strategic planning in the 1980's, echoing similar trends in the business world.

Despite the precedent set by higher education institutions borrowing from business and industry, the question of why the institutions chose continuous quality improvement ideas remains. The best answer is that these institutions were, and

still are, facing the same problems that business and industry had experienced. As competition from foreign products and a desire for better quality products gave American business impetus to become involved in quality improvement, competition from students from other institutions and the resulting desire to enhance the institution, provided the impetus for American higher education institutions to adopt the principles of continuous improvement.

Interest in continuous improvement exploded in 1991 and 1992. At that time administrators no longer asked whether quality principles were appropriate for their institution, but rather they asked how to make them relevant.

4.2 Quality assurance

Quality in higher education, according to Article 11 of the World Declaration on Higher Education (<http://www.unesco.or> accessed on 8/22/03) is defined as a multidimensional concept, which should embrace all its functions and activities: teaching and learning programmes, research and scholarship, staffing, students, buildings, faculties, equipment, services to the community and the academic environment.

Internal self-evaluation and external review, conducted openly by independent specialists, if possible with international expertise, are vital for enhancing quality. Independent national bodies should be established and comparative standards of quality, recognised at international level, should be defined. Attention should be paid to the specific institutional, national and regional contexts in order to take into account diversity and to avoid uniformity. Stakeholders should be an integral part of the institutional evaluation process.

Quality also requires that higher education should be characterised by its international dimension: exchange of knowledge, interactive networking, mobility of teachers and students and international research projects, while taking into account the national cultural values and circumstances.

“A definition that embraces all the different understandings and interpretations of the concept of quality assurance is that which is given by the UK Higher Education Quality Council which states that quality assurance is a term which encompasses all the policies, systems and processes directed at ensuring the maintenance and enhancement of the quality of education provision within an institution. A quality assurance system is thus the means by which an institution confirms that the conditions are in place for students to achieve the standards it has set” according to Jonathan in the *South African Journal on Higher Education* (Vol 14 No 2 2000:45).

Quality assurance should never be something which is done once and then put aside, but something that requires a continuous process of checking, reviewing and documenting.

Quality assurance is thus seen as having four components, namely:

- Everyone in the institution has a responsibility for *maintaining* the quality of the product or service
- Everyone in the institution has a responsibility for *enhancing* the quality of the product or service
- Everyone in the institution understands, takes and uses *ownership* of the systems which are in place for maintaining and enhancing quality (ie continual improvement)
- The institution satisfies itself that it has effective structures and mechanisms in place so that *continual quality improvement* can be guaranteed

4.3 The establishment of external quality assurance agencies

“Quality and standards have traditionally been an important part of academic tradition. The practices of external examining or peer review of research are prevalent in most higher education systems” says Fourie in the *South African Journal on Higher Education* (Vol 14 No 2, 1987:51).

Woodhouse in the *South African Journal on Higher Education* (Vol 14 No 2 1987:21) says that: “Many external quality assurance (EQA) agencies have been

established in higher education institutions, but few were established entirely voluntarily by the higher education institutions themselves. Most governments, however, have been applying pressure by establishing, or requiring the establishment of EQA agencies.

Each EQA agency specifies what it requires of its higher education institution. In general, higher education institutions have not been accustomed to carrying out comprehensive and systematic self-review.”

Woodhouse also refers to other quality systems that have not been specifically designed for higher education institutions that include: ISO 9000 and the USA’s Malcolm Baldrige National Quality Award. “Their flexibility makes them applicable to higher education institutions and there are special purpose Educational Criteria, but correspondingly the standards against which they assess are less precise.”

In South Africa, the Council on Higher Education (CHE) established the Higher Education Quality Committee (HEQC), which has statutory responsibility to conduct institutional audits as indicated in the Higher Education Act of 1997. Audits are the responsibility of the HEQC also in terms of being recognised by the South African Qualifications Authority (SAQA) as the Education and Training Quality Assurers (ETQA) for the higher education band.

4.4 The MBNAQ applied in a higher education context

As discussed in Chapter 3, the Malcolm Baldrige National Quality Award has since its establishment in 1987 played an important role in helping thousands of United States companies improve not only their products and services, their customers’ satisfaction and their bottom line, but also their overall performance (www.quality.nist.gov 2/6/03).

In 1999, both the education and health care categories were introduced. Since then, a total of 37 applications have been submitted in the education category and 25 in the health care category.

Education and health care are recognising that the Baldrige Award's tough performance excellence standards can help stimulate their improvement efforts as well. Just as it has for United States businesses, a Baldrige Award programme can help these organisations improve performance and foster communication, sharing of "best practices", and partnerships among schools, health care organisations, and businesses.

Any for-profit or not-for-profit public or private organisation that provides educational or health care services in the United States or its territories is eligible to apply for the award. That includes elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within a university; professional schools; community colleges; technical schools; and charter schools. In health care, it includes hospitals, HMOs, long-term-care facilities, health care practitioner offices, home health agencies, health insurance companies, or medical/dental laboratories.

As in the other three categories, applicants must show achievements and improvements in seven areas: leadership; strategic planning; customer and market focus (for education: student, stakeholder, and market focus; for health care: focus on patients, other customers, and markets); information and analysis; human resource focus (for education: faculty and staff focus; for health care: staff focus); process management; and business results (for both education and health care: organisational performance results).

Many education and health care organisations are using the Baldrige criteria to good effect. For example:

- The New Jersey Department of Education permits school systems to use the New Jersey Quality Achievement Award criteria – based on the Baldrige Award criteria – as an alternative to its state assessment criteria. Other states are considering a similar approach.
- The National Alliance of Business and the American Productivity and Quality Centre have developed the Baldrige In Education Initiative, a national programme to improve the management systems of education organisations and educational outcomes.

- In April 2000, the National Education Goals Panel (NEGP) held a nationwide teleconference, “Creating a Framework for High Achieving Schools,” to focus on the Baldrige criteria in education. In the foreword to a report issued in conjunction with the teleconference, then-Governor Tommy G Thompson of Wisconsin and 2000 chair for the NEGP, said the Baldrige criteria for education “can provide educators with a framework and strategies for improving their schools and helping all children to reach high standards”.
- At the teleconference, Bob Chase, president of the National Education Association (NEA), said, “The Baldrige process and what I call ‘new unionism’ are a quality match. Most crucially, NEA’s new unionism and the Baldrige process share the same bottom line, improving student achievement.”
- Dr Michael Wood, CEO, Mayo Foundation and Clinic, hosted a Baldrige Health Care Summit on June 29, 2000, involving 10 leading health care institutions in the United States.
- Special sessions on Baldrige in health care were held at the Institute for Health Care Improvement conferences in December 1999 and December 2000.
- Motorola University hosted 120 health care leaders for a one-week course on Baldrige and Quality Improvement in Health Care in February 2001.
- Richard Norling, CEO, Premier Inc., a leading distributor of health care supplies, served as president of the private-sector Baldrige Foundation during 2001.

The criteria are designed to help higher education institutions use an aligned approach to organisational performance management that results in:

- Delivery of ever-improving value to students and stakeholders, contributing to improved education quality.
- Improvement of overall organisational effectiveness and capabilities.
- Organisational and personal learning.

The criteria are built upon a set of interrelated core values and concepts. These values and concepts, described below, are embedded beliefs and behaviours found in high-performing organisations. They are the foundation for integrating key

business requirements within the results-oriented framework that creates a basis for action and feedback.

(Note: Tertiary institutions and higher education institutions are used synonymously.)

4.4.1 Contextualising the MBNQA fundamental concepts for the higher education sector

Visionary leadership

A higher education institution's senior leaders need to set directions and create a student-focused, learning-oriented climate, clear and visible directions, and high expectations. The directions, values, and expectations should balance the needs of all stakeholders. Leaders need to take part in the development of strategies, systems, and methods for achieving excellence in education, stimulating innovation, and building knowledge and capabilities. The values and strategies should help guide all activities and decisions of the institution. Senior leaders should inspire and motivate the entire faculty and staff and should encourage involvement, development and learning, innovation, and creativity by all faculty members and staff.

Through their ethical behaviour and personal roles in planning, communications, coaching, developing future leaders, review of organisational performance, and faculty and staff recognition, senior leaders should serve as role models, reinforcing values and expectations and building leadership, commitment, and initiative within the institution.

In addition to their important role within the institution, senior leaders have other avenues to strengthen education. Reinforcing the learning environment in the institution might require building community support and aligning community and business leaders and community services with this aim.

Learning-centred education

Learning-centred education places the focus of education on learning and the real needs of students. Such needs derive from the requirements of the marketplace and the responsibilities of citizenship. Changes in technology and in the national and world economies are creating increasing demands on employees to become knowledge workers and problem solvers, keeping pace with the rapid changes in the marketplace. Most analysts conclude that organisations of all types need to focus more on students' active learning and on the development of problem-solving skills.

Higher education institutions exist primarily to develop the fullest potential of all students, affording them opportunities to pursue a variety of avenues to success. A learning-centred organisation needs to fully understand and translate marketplace and citizenship requirements into appropriate curricula and developmental experiences. Education offerings need to be built around learning effectiveness. Teaching effectiveness needs to stress promotion of learning and achievement.

Key characteristics of learning-centred education are:

- setting high developmental expectations and standards for all students;
- understanding that students may learn in different ways and at different rates. Also, student learning rates and styles may differ over time and may vary depending upon subject matter. Learning may be influenced by support, guidance and climate factors, including factors that contribute to or impede learning. Thus, the learning-centred institution needs to maintain a constant search for alternative ways to enhance learning. Also, the institution needs to develop actionable information on individual students that bears upon their learning;
- providing a primary emphasis on active learning. This may require the use of a wide range of techniques, materials, and experiences to engage student interest. Techniques, materials, and experiences may be drawn from external sources such as businesses community services, or social service organisations;

- using formative assessment to measure learning early in the learning process and to tailor learning experiences to individual needs and learning styles;
- using summative assessment to measure progress against key, relevant external standards and norms regarding what students should know and be able to do;
- assisting students and families to use self-assessment to chart progress and to clarify goals and gaps; and
- focusing on key transitions such as school-to-school and school-to-work.

Organisational and personal learning

Achieving the highest levels of performance requires a well-executed approach to organisational and personal learning. Organisational and personal learning is a goal of visionary leaders. The term organisational learning refers to continuous improvement of existing approaches and processes and adaptation to change, leading to new goals and/or approaches. Learning needs to be embedded in the way an organisation, operates. The term embedded means that learning:

- (1) is a regular part of the daily work of all faculty, staff, and students;
- (2) is practiced at personal, work unit/department, and organisational levels;
- (3) results in solving problems at their source;
- (4) is focused on sharing knowledge throughout the organisation; and
- (5) is driven by opportunities to effect significant change and do better. Sources for learning include faculty and staff ideas, successful practices of other organisations, and educational and learning research findings.

Education improvement needs to place very strong emphasis on effective design of educational programmes, curricular and learning environments. The overall design should include clear learning objectives, taking into account the individual needs of students. Design must also include effective means for gauging student progress. A central requirement of effective design is the inclusion of an assessment strategy. This strategy needs to emphasise the acquisition of formative information – information that provides early indication of whether or not

learning is taking place – to minimise problems that might arise if learning barriers are not promptly identified and addressed.

Faculty and staff success depends increasingly on having opportunities for personal learning and producing new skills. Organisations invest in the personal learning of faculty and staff through education, training, and opportunities for continuing growth. Opportunities might include job rotation and increased pay for demonstrated knowledge and skills. Education and training programmes may benefit from advanced technologies, such as computer-based learning and satellite broadcasts.

Personal learning can result in:

- (1) more satisfied and versatile faculty and staff;
- (2) greater opportunity for organisational cross-functional learning;
- (3) an improved environment for innovation; and
- (4) a faster and more flexible response to the needs of students and stakeholders.

Valuing faculty, staff, and partners

An organisation's success depends increasingly on the knowledge, skills, innovative creativity and motivation of its faculty, staff, and partners.

Valuing faculty and staff means committing to their satisfaction, development, and well being. For faculty, development means building not only discipline knowledge, but also knowledge of student learning styles and of assessment methods. Faculty participation might include contributing to organisation policies and working in teams to develop and execute programmes and curricula. Increasingly, participation is becoming more student-focused and more multidisciplinary. Organisation leaders need to work to eliminate disincentives for groups and individuals to sustain these important, learning-focused professional development activities.

For staff, development might include classroom and on-the-job training, job rotation, and pay for demonstrated skills. Increasingly, training, education, development, and work organisations need to be tailored to a more diverse work force and to more flexible, high performance work practices.

Major challenges in the area of valuing faculty and staff include:

- (1) demonstrating your leaders' commitment to faculty and staff;
- (2) providing recognition opportunities that go beyond the normal compensation system;
- (3) providing opportunities for development and growth within your organisation;
- (4) sharing your organisation's knowledge so your faculty and staff can better serve students and stakeholders and contribute to achieving your strategic objectives; and
- (5) creating an environment that encourages creativity.

Higher education institutions should also seek to build internal and external partnerships to better accomplish their overall goals.

Internal partnerships might include those that promote co-operation among faculty and staff groups such as unions, departments, and work units. Agreements might be created involving employee development, cross-training, or new work organisations, such as high performance work teams. Internal partnerships might also involve creating network relationships among departmental units to improve flexibility and responsiveness. External partnerships might include those with other tertiary institutions, businesses, business associations, and community and social service organisations – all stakeholders and potential contributors.

Partnerships should seek to develop longer-term objectives, thereby creating a basis for mutual investments and respect. Partners should address objectives of the partnership, key requirements for success, means of regular communication, approaches to evaluating progress, and means for adapting to changing conditions.

Agility

An increasingly important measure of organisational effectiveness is a faster and more flexible response to the needs of your students and stakeholders. Many organisations are learning that explicit focus on and measurement of response times help to drive the simplification of work organisations and work processes. All aspects of time performance are becoming increasingly important and should be among key process measures. Other important benefits can be derived from this focus on time improvements and often drive simultaneous improvements in organisation, quality, and cost.

Focus on the future

Pursuit of education improvement requires a strong future orientation and a willingness to make long-term commitments to students and to all stakeholders – communities, employers, faculty, and staff. The institution should anticipate many types of changes in its strategic planning effort, including changes in education requirements, instructional approaches, resource availability, technology, and demographics. Short- and long-term plans, strategic objectives, and resource allocations need to reflect these influences. A major longer-term investment associated with the institution's improvement is the investment in creating and sustaining a mission-oriented assessment system focused on learning. This entails faculty education and training in assessment methods. It also entails organisational leadership becoming familiar with research findings and practical applications of assessment methods and learning style information.

Other major components of a future focus include developing faculty and staff, seeking opportunities for innovation, and fulfilling public responsibilities.

Managing for innovation

Innovation is making meaningful change to improve an organisation's services and processes and create new value for the organisation's stakeholders. Innovation should focus on leading the organisation to new dimensions of performance.

Innovation is no longer strictly the purview of research. Innovation is important for provision of ever improving educational value to students and overall improvement of support processes. Organisations should be structured in such a way that innovation becomes part of the culture and daily work.

Management by fact

Organisations depend upon the measurement and analysis of performance. Such measurements must derive from the organisation's mission and strategy and provide critical data and information to address all key requirements. A strong focus on student learning requires a comprehensive and integrated fact-based system – one that includes input data, environmental data, and performance data.

Analysis refers to extracting larger meaning from data and information to support evaluation and decision making within the organisation. Analysis entails using data to determine trends, projections, and cause and effect – that might not be evident without analysis. Data and analysis support a variety of purposes, such as planning, reviewing overall performance, improving operations, and comparing performance with comparable organisations or with “best practices” benchmarks.

A major consideration in performance improvement involves the selection and use of performance measures or indicators. *The measures or indicators selected should best represent the factors that lead to improved student, operational, and financial performance. A comprehensive set of measures or indicators tied to student, stakeholder, and organisational performance requirements represents a clear basis for aligning all acts with the organisation's goals.* Through the analysis of data from the tracking processes, the measures or indicators themselves may be evaluated and changed to better support such goals.

Public responsibility and citizenship

An organisation's leadership needs to stress the importance of the institution serving as a role model in its operations. This includes protection of public health, safety, and the environment; ethical business practices, and non-discrimination in

all that the organisation does. Planning related to public health, safety, and the environment should anticipate adverse impacts that might arise in facilities management, laboratory operations, and transportation. Ethical business practices need to take into account proper use of public and private funds. Non-discrimination should take into account factors such as student admissions, hiring practices, and treatment of all students and stakeholders.

Organisations should not only meet all local, state, and federal laws and regulatory requirements, they should treat these and related requirements as opportunities for continuous improvement “beyond mere compliance”. This requires the use of appropriate measures in managing performance.

Practicing good citizenship refers to leadership and support – within the limits of the organisation’s resources – of publicly important purposes. Such purposes might include improving education in the community, environmental excellence, community service, and sharing of quality-related information. An example of good citizenship might include influencing other organisations, private and public, to partner for these purposes.

Focus on results and creating value

An organisation’s performance measurements need to focus on key results. Results should be focused on creating and balancing value for students and all stakeholders. To meet the sometimes conflicting and changing aims that balancing value implies, organisational strategy needs to explicitly include all student and stakeholder requirements. This will help to ensure that actions and plans meet differing student and stakeholder needs and avoid adverse impact on students and/or stakeholders. The use of a balanced composite of leading and lagging performance measures offers an effective means to communicate short- and longer-term priorities, to monitor actual performance, and to provide a focus for improving results.

Systems perspective

The Baldrige criteria provide a systems perspective for managing the organisation and achieving performance excellence. The core values and the seven Baldrige categories form the building blocks of the system. However, successful management of the overall organisation requires synthesis and alignment. Synthesis means looking at the organisation as a whole and focusing on what is important. Alignment means concentrating on key organisational linkages among requirements given in the Baldrige Categories.

Alignment means that the senior leaders are focused on strategic directions and on students and stakeholders. It means that senior leaders monitor, respond to, and build on key results. Alignment means linking key strategies with key processes and aligning resources to improve overall performance and satisfy students and stakeholders.

Thus, a systems perspective means managing the whole organisation, as well as its components, to achieve performance improvement.

4.4.2 Lessons learnt from the MBNAQ

According to Hodgetts (1993:6), one lesson is that there is no best way to achieve world-class quality. Each Baldrige winner's quality system has been tailored to meet its specific needs. Each has combined technology, management skills, training and human resources policies to meet customer needs in unique and powerful ways.

A second lesson is that the principles of quality management can be applied broadly across organisations. All improvement activities now come under the rubric of "quality". At the same time, the meaning of the term *total quality management* itself has become very broad and difficult to define. In many ways, *quality management* is now simply synonymous with *good management*.

A third lesson is that quality is not just a goal that a company achieves, but an ongoing quest to continuously improve.

4.5 The EFQM applied in a higher education context

4.5.1 Contextualising the EFQM fundamental concepts for the higher education sector

Pupius (2000:3) illustrates how the EFQM Model applies in a higher education context by contextualising the criteria as follows:

- **Results orientation**

The keyword is 'balancing'. Emphasis would be put not just on academic outcomes or quality assurance results, but on results from student and staff experience surveys and surveys on impact on community.

- **Customer focus**

In education, customers would include students, employers, parents, businesses, local, regional and national agencies and research funding bodies. Loyalty would be measured in terms of propensity to recommend the institution.

- **Leadership and constancy of purpose**

This is about 'walking the talk' and 'living the values'. Leaders would be all academic staff who teach students and all administrative managers. The institution would develop a strategic vision and share this with all staff and students.

- **Management by processes and facts**

Institutions adopting these principles begin to identify, map and model key processes and how they relate to elements of the hierarchy e.g. Faculties and Departments. Each process would have an identified owner and standards and a measurement framework would be set in position.

- **People development and involvement**

Trust is an essential for effective process working. Involvement can be structured through improvement teams, review teams, process improvement etc.

- **Continuous learning, innovation and improvement**

The methodology embodies the principle of self-evaluation or self-assessment. The institution would learn from the feedback by reviewing impact of strategies and actions, trends in results, performance against target and by comparing with best-in-class through benchmarking.

- **Partnership development**

This would include partnership and collaboration with partner colleges, business and local organisations.

- **Public responsibility**

For an institution, this would include defining a role within the local community, region or country to enhance the social and economic well-being or the people.

4.5.3 EFQM – Benefits in higher education institutions

The HEFCE *EFQM Excellence Model Higher Education Version* (2003:3) summarises the benefits of the Model as follows:

- Development of a strategic tool that has the potential to deliver the corporate strategy and to enhance communication and understanding of overall direction.
- Alignment of leadership, policies and strategies with the results that are required.
- Measurement of actual performance against desired performance.
- Development of a methodology that is in alignment with the modernising government strategies in most European countries and the achievement of value-for-money services.
- Development of a rigorous and structured approach to organisation improvement using a self-assessment approach that is based on facts and evidence.
- Development of an approach that could aid the university to achieve a consistency of direction by providing a means to integrate various quality related initiatives such as ISO 9000.
- Development of a methodology for application at all levels in an institution from faculty or department, to whole institution. In particular, it can stimulate multi-disciplined team working, good project management practice and innovation.
- Application of a methodology that is predicated on the value of the customer focus and that will introduce the concept of process working as a means of enhancing cross-institution working.

In a paper delivered by Professor Philip Sullivan of De Montfort University he states that in a higher educational context the EFQM would bring unity of vision to a university, where previously there might have been separate priorities and agendas. Overall, the benefits of using the Model have been described as:

- A great way to bring together an organisation
- Focuses energy

- Gives all staff a voice
- Creates visible leadership at all levels
- Makes key processes and their results clear
- Highlights strengths and areas for improvement
- Clarifies policy and strategy
- Promotes management by fact
- Improves communication
- Reduces stress at work
- Prompts ethical behaviour
- Has stood the test of time, used by the best

Sullivan concludes that higher education can only gain from implementing the Model. There is a question of whether people realise that a rethink of the way universities manage themselves is necessary. Many might find a rethink threatening. But that need not be so: the Model borrows from the experience of America, insofar as when properly managed, it is an expression of the people, for the people, by the people. And in the best universities, “the people” are top to bottom, everyone has a voice.

In the HEFCE publication *Embracing Excellence in Education* (2003:5) the benefits of the Excellence Model are summarised as follows:

- It looks at all areas of the organisation – offering a holistic approach, which has been absent from many other management approaches that have been used previously.
- It provides a process of self-assessment against a non-prescriptive but detailed set of criteria yet is flexible as to when or how it is undertaken. The approach can be adapted to suit the requirements of the user, the size of organisational unit and the extent to which resources can be committed.
- The assessment process is based on factual evidence but the process can be defined at a time and pace to suit the individual organisation. A self-assessment can be completed in as little time as a day or with extensive evidence being collected which can take several weeks.

- It offers a means by which other initiatives such as 'Balanced Scorecard' can be held and knitted together in an integrated way.
- It offers a way in which a common focus can provide a new way of working that could be embedded into the organisation.
- It provides a balanced set of results indicators, not just financial, that focus on the need of the customer, the people in the organisations, the local community and other elements of society, the regulatory bodies and the funding providers.
- As the Model is used widely across Europe, and has been extensively tested in a range of sectors – private, public and voluntary – it offers benchmarking opportunities with other within and outside the sector, providing a common language to share good practice and develop both individual and organisational learning.
- It provides a framework through which the kernel of the organisation's issues could be surfaced, investigated and improved – continually.

4.5.4 EFQM – Growing use in the Public Sector

In the UK, the Higher Education Funding Council for England (HEFCE) commissioned a three-year project to test the introduction and embedding the EFQM Excellence Model and concepts of excellence in higher education.

It has been shown that the Excellence Model is wholly appropriate and beneficial within both Higher Education (HE) and Further Education (FE) contexts, leading to the development of enhanced management practices across both academic and administrative areas (Embracing Excellence in Education 2003:1).

It is clear, from the research undertaken, that the Excellence Model is a catalyst for change – providing a framework through which improvement and changes in current practice can be analysed, prioritised and understood.

Other management tools and techniques, such as the Balanced Scorecard can be used synergistically to support the development of particular improvement areas.

It is a non-prescriptive framework that enables any type of organisation to customise it for its own use. It provides a framework for organisational self-reflection and learning as well as providing a pointer to what an organisation can do to improve its overall performance and the services it provides to its key stakeholders.

4.5.5 The EFQM and the Higher Education Funding Council of England (HEFCE)

The EFQM Excellence Model is widely acknowledged in the United Kingdom and Europe as a powerful tool for improving efficiency and effectiveness of organisations through self-assessment, benchmarking and business planning.

The EFQM Excellence Model is being used increasingly to support Best Value and Best Quality Services initiatives in national and local government agencies. With increasing organisational complexity, the Model can promote a common language of excellence, efficiency and effectiveness across organisations. It enables organisations to take a balanced view of their strengths and where they can improve performance.

There are many indicators pointing towards the increased use of the Model in the public sector. In more than one way the HEFCE leads the higher education sector. The HEFCE's current strategic plan describes the EFQM Model as "An internationally recognized framework for high quality management practices".

(Note that reference is frequently made to HEFCE publications. Articles by Sheffield Hallam University are reports to the HEFCE and not necessarily the HEFCE view)

4.5.5.1 HEFCE projects

Adding weight to HEFCE's lead, HEFCE has funded two projects concerned with the EFQM Model as part of the Developing Good Management Practice Project.

The first project is, Good Management Project (GMP) 200, and the second is GMP 143.

4.5.5.1.1 Good Management Project (GMP) 200

Participants

This project is run by Bath Spa University College, De Montfort University, The Surrey Institute of Art and Design University College and Liverpool John Moores University

Aims

The project trails the applicability of the EFQM Excellence Model in academic departments. The project's expected outcomes are to improve management practice, to improve performance and make savings and to produce information for dissemination to the sector.

Projects

Workshops were held with academic departments and a six-stage approach was used:

1. Plan and prepare for self-assessment against the Excellence Model
2. Collect views, information and data on where we are now
3. Identify strengths and areas for improvement
4. Identify the priority opportunities
5. Develop and implement actions on these opportunities
6. Review and repeat

Findings show that the majority of participating staff found the project relevant and useful and that the EFQM Model is applicable to higher education (HEFCE Summary Report).

Lessons learnt

Prof Philip Sullivan, the project leader (2001:2-4) and a British Quality Foundation UK award assessor for the Model, indicates that the EFQM Excellence Model is a practical tool, which can help a university measure where it is in terms of areas for improvement and strengths: it will help people understand the gaps and then stimulate solutions. Underpinning the Model are some basic concepts, which translated into the context of higher education's core business of undergraduate study are:

- Excellence is dependent upon balancing and satisfying the needs of students, staff, feeder colleges, parents, governors, HEFCE research and business collaborators and other stakeholders
- Students in particular are the final arbiters of service quality. Their retention, loyalty, and a university's market share require a university to have a clear understanding of their needs
- Leaders at all levels must have a constancy of purpose, and create an environment in which all members of a university can excel
- A university's performance will be more effective when all its processes are understood and systematically managed: and decisions concerning improvement are made using reliable, measurable information
- Staff will give their best in a culture of trust, involvement and shared values
- The management of continuous learning, innovation, improvement and shared knowledge will help maximise the performance of a university
- A university works more effectively when its stakeholders and partners relationships are mutually beneficial
- The long term interest of a university is best served by adopting an ethical approach to society at large

4.5.5.1.2 Good Management Project (GMP) 143

Participants

The GMP143 project is run by a consortium known as the UK Consortium for Excellence in Higher Education. It is headed by Sheffield Hallam University and includes the Universities of Cranfield, Durham, Salford and Ulster along with Dearne Valley College.

The project comprises 250 000 Pounds over three years from the Higher Education Funding Council (HEFCE). This funding is being matched by the Consortium members collectively. The University of Ulster has been funded independently by the Northern Ireland Higher Education Funding Agency.

Aims

According to Pupius and Steed (2002: 2 & 3) the Consortium was established in May 2000 to evaluate the benefits of applying the EFQM Excellence Model to Higher Education institutions as a strategic tool for performance management and governance, strategic planning, developing key performance indicators for benchmarking, identifying good management practice and the achievement of sustainable improvement in all aspects of performance.

Projects

It is made up of four parts:

- Self-assessment projects: Six self-assessment projects with assessment taking place in a range of areas – schools, departments, research institutes, cross college, faculty wide and University wide.
- Mapping and research projects: Five projects which seek to address the relationship, synergy and gaps between the EFQM Excellence Model and other management tools, models, concepts and auditing frameworks that are used within and higher and further education environment.

- Benchmarking projects: Two benchmarking projects aim to compare the work that the Consortium are undertaking with educational institutions internationally who are exemplars of excellence, and with other private and public sector organisations within the UK who have won quality awards. This will allow the Consortium to develop, enhance and evolve its methodologies and approaches.
- Communication projects: The five communication projects include conferences each year of the programme, the development and maintenance of a programme web site and a final programme report.

EFQM – Lessons learnt

Pupius and Steed (2002:3) have summarised the key achievements, progress and key learning of the Consortium to date as follows:

- Whilst accepting the complexity of higher education institutions, the Excellence Model has the potential for significant impact. The research has shown that other management tools such as Investors in People, models such as the balanced Scorecard and HE/FE auditing frameworks can be used synergistically with the Excellence Model.
- As with any major management initiative, VC and senior management leadership commitment, drive and ownership to adopting these principles at a corporate level is essential if the Excellence Model is to assist in making break-through improvement and have an impact on the culture of the institution
- Self-assessment has highlighted the unconnected nature of many activities within universities – work is often undertaken in isolation, rather than being linked through core or common processes, a common way of working and 'being joined up'.
- In some areas, the work has exposed a lack of clarity about an institution's vision, mission and values.
- Stakeholder feedback mechanisms such as student and staff experience surveys are a prerequisite for excellence. In the context of Society results,

there is also scope to develop survey methods to assess impact of institutions on local communities.

- Communication (internal) is a critical process – how and what is communicated is a delicate balance.
- There has been an initial reaction to the jargon and managerial nature of the material, but when care is taken to explain the fundamental concepts underpinning the Excellence Model (for example Customer Focus, Results orientation and Leadership, it begins to take on the reality of a common language of organised common sense. The common language and shared learning has not necessarily existed before, with academic schools, central departments and research institutes learning and sharing experiences together. The importance of improving processes, working in partnership and having sound measurement frameworks, begins to be understood and the principles embraced without reluctance.
- Common themes for improvement are emerging across all pilot areas, for example, leadership and management development, process management and key performance indicator development.
- Colleagues naturally want to improve what they are doing – there is real willingness to embrace excellence.
- Self-assessment is beginning to be linked to business planning so that priorities in action plans can be incorporated into an annual operating plan for a business unit.
- Assessor training and self-assessment is leading to a greater understanding of the Excellence Model concepts. This in turn is leading to greater appreciation of organisational issues by a wider range of staff and how solutions can be found.
- Much of the knowledge/information already exists, it just needs to be captured, enhanced and co-ordinated. The Excellence Model provides a consistent, integrated and logical framework for this to happen.
- The key linking all these together is clear leadership, having a clear approach to process identification and management, clear communication channels and a set of key performance indicators or corporate scorecard.

- Benchmarking with the other consortium and European institutions is beginning to confirm these findings.

4.5.5.1.3 Conferences

Three conferences aptly titled “The Mirror of Truth” were held in June 2001, June 2002 and June 2003.

The 2003 conference was attended by the author and covered aspects including:

- Managing change - the leadership challenge
- Defining and achieving sustainable results
- Developing and implementing a partnership culture
- Unlocking the potential for enhancing excellence in teaching and learning (HEFCE The Mirror of Truth 3 Embedding Excellence in Education, 3 and 4 June programme)

Many case studies were presented on the quality models and how they had impacted on the specific higher education institution.

EFQM – Liverpool John Moores University (LJMU)

Professor Michael Brown, Vice-Chancellor and Chief Executive of LJMU discussed: *Applying the EFQM Excellence Model across the University. Why and with what results? The first six months.*

Professor Brown pointed out the excellence journey had actually started four years ago and that one did not get instant results in life. He emphasised that the EFQM Excellence Model is not THE answer – but it can be a very important PART of the answer to culture and leadership change.

The excellence journey at LJMU started because the following changes and solutions were sought:

- Culture
- Self-confidence and external focus

- Managerial and leadership professionalism
- Sense of direction and clear purpose

Professor Brown stressed that to embark on the excellence journey the following were requirements:

- Visible senior staff commitment
- Volunteer teams
- Expert support
- Time to do the task
- Diagonal slice team with a belief in the fact that changes will actually result
- Facts matter – not assertions (management by fact)
- Delivering on promises
- Plus
 - o Language matters
 - o Volunteers are needed
 - o It naturally builds teams
 - o You need to make the business real

Professor Brown provided some outcomes from the LJMU Engineering faculty excellence experience:

- Staff really work together to a common set of goals
- Staff believe they have a stake in changing things
- Staff are “given licence” to criticise constructively and find ways of improving matters themselves
- “Empowerment”/management by facts

The Engineering faculty pilot had created experienced and trusted ambassadors within the University and other pilots were also started. The model was playing a big part in also reshaping the structure, direction and leadership approach. Other changes that were running parallel with the Excellence model pilots were:

- Reviewing the mission, purpose and values - by consultation
- Restructuring the university – using consultation
- Appointment of senior staff to new structures

- Changing management systems to facilitate empowerment and accountability
- Leadership training for management team - using American consultants
- Development of strategic planning capacity and external stimulation to 'think outside the box'

Having put everything together in a framework, and having gained 'grassroots support', the excellence model provided the ideal framework. The model was adopted for the whole university to get the full planning and operational benefits. The governors were persuaded to accept the model and the following steps were taken:

- Appointment of a Director of Excellence
- Introductory training on EFQM excellence model for all senior staff - relating to the operation of the university
- Detailed "assessor training" for the most senior team
- Self-assessment
- Public feedback of results
- Action planning

Since then a strategic planning process has begun as well as a communication and committee structure review. Strategic and operational plans are also envisaged.

Professor Brown concluded that the excellence model is a tool only – and the principles are more important than the details of the model!

Malcolm Baldrige: University of Wisconsin-Stout (UW-S)

Professor Robert Sedlak, Provost and Vice-Chancellor of UW-S in the USA, pointed out that UW-S were the recipients of the Malcolm Baldrige Quality Award in 2001.

The university committed itself to the core values of the Baldrige programme including visionary leadership, learning-centred education, organisational and personal learning and valuing faculty, staff and partners. It also consistently focused on six major themes:

- Focused, special mission
- Practical/utilitarian education
- Mission driven/market smart
- Partnerships with private sector
- Serving societal needs
- Innovation

Between 1990 to 1996, UW-S developed quality tools by adopting the Baldrige criteria, providing extensive training on TQM tools, establishing cross-functional TQM teams operating in over 20 areas. However, although UW-S was a historically data-driven organisation, planning was decentralised and fragmented.

The UW-S environment in the mid-1990's was characterised by budget cuts, the need to fund new technology infrastructure and pressure to be efficient, continually improve and be accountable. During this time, the university suffered from high levels of stress, poor faculty morale, lack of communication, declining levels of trust, no win-win decision making and suspicion.

The university realised that they had serious problems and resolved to address them. Management listened to the faculty and staff on what needed to be fixed and addressed their areas of concern to achieve buy-in. Enough time was committed to focus on these issues.

During this process, some revolutionary changes were brought about which included:

- Creating a new leadership system
- Creating a budget, planning and analysis unit
- Revamping annual budget and planning processes
- Initiating team building with senior leaders

- Improved communication

Regarding the leadership system, the governance structure provides stakeholder groups with a voice in UW-Stout policy and decision making and multi-directional communication via the faculty senate, senate of academic staff, student senate and five state unions representing classified staff. The Chancellor's Advisory Council (CAC) was created to; flatten the structure, provide a forum to achieve the mission and goals of the university, set directions and make recommendations to the Chancellor and maintain communication with/among all units of the university.

The CAC allows UW-S to:

- Enable campus-wide involvement and participation in strategy development and decision-making
- Plan and review performance
- Guide alignment and integration of short- and long-term actions
- Aid in assessment of results and improve performance
- Enhance organisational performance through team building

The CAC structure is effective because since 1996, agendas are directed to collaborative relationship building/team reformation and professional development in leadership, administration, management, and the university's strategic plan. Communication of data, goals, actions, measures and analysis is accomplished via newsletter, forums, meetings, letters, reports and the web.

Having implemented all these changes, the environment changed and trust became evident, people were feeling empowered and students initiated a self-imposed 5% annual increase in tuition. Successful teamwork lead to new projects, decision making became data-based with the result that UW-S started working together, listening to each other and valuing the opinion of all employees. There was an 88% employee satisfaction rate with new planning and budget prioritising initiatives. The percentage of budget allocated to instruction increased over the last five years. Student performance increased on average with 3% as well as

increased graduate success, and higher student, alumni, employer and stakeholder satisfaction.

4.6 Quality models

4.6.1 The benefits of introducing quality models in higher education

According to the HEFCE *Embracing Excellence in Education* (2003:5) it has been recognised that the model provides a number of key benefits which have been proven to be of value:

- It looks at all areas of the organisation – offering a holistic approach, which has been absent from many other management approaches that have been used previously.
- It provides a process of self-assessment against a non-prescriptive but detailed set of criteria, yet is flexible as to when or how this is undertaken. The approach can be adapted to suit the requirements of the user, the size of organisational unit and the extent to which resources can be committed.
- The assessment process is based on factual evidence but the process can be defined at a time and pace to suit the individual organisation. A self-assessment can be completed in as little as a day or with extensive evidence being collected which can take several weeks.
- It offers a means by which other initiatives such as “Balanced Scorecard’ can be held and knitted together in an integrated way.
- It offers a way in which a common focus can provide a new way of working that could be embedded into the organisation
- It provides a balanced set of results indicators, not just financial, that focus on the need of the customer, the people in the organisation, the local community and other elements of society, the regulatory bodies and the funding providers.
- As models are used widely across Europe and the USA, and have been extensively tested in a range of sectors – private, public and voluntary – it offers benchmarking opportunities with others within and outside the sector, providing a common language to share good practice and develop both individual and organisational learning.

- It provides a framework through which the kernel of the organisation's issues could be surfaced, investigated and improved – continually.

4.6.2 Benchmarking in higher education

Jackson and Lund (2000:4) state that although higher education institutions are essentially not-for-profit public service organisations, they must produce sufficient income to support and reinvest in the educational enterprise. Higher education institutions are in no doubt that they operate in a series of competitive markets - local, regional, national and global.

In the world of higher education, gaining competitive advantage is an important motivating factor, but **institutional reputation**, based on research standing, the public perception of the currency of awards and the employability of graduates, is also important.

In both the national and international market place, there are clearly competitive advantages in establishing and maintaining a reputation for high-quality education and research. Benchmarking is being used as a way of reinforcing peer groups and helping maintain and enhance institutional reputation.

Any one of the quality models could be used as a benchmarking tool in the higher education environment. Some South African higher education institutions would prefer to use the MBNQA Baldrige or the EFQM to benchmark themselves with overseas higher education institutions.

In terms of direct benchmarking, it would be difficult to directly benchmark the criteria and sub-criteria as they are all subtly different. What could be achieved, however, is a more general benchmarking of themes or 'approaches'. A look at processes and the process architecture of differing institutions using the different models could be considered eg the HR approaches, the development of performance management systems and indicators could be benchmarked.

The Sheffield Hallam Consortium in the UK looked at the MBNQA in the USA from a benchmarking perspective as they wanted to see how other higher education institutions have approached and implemented quality management, and some of the initiatives that were subsequently put in place like communication, leadership development, and performance management.

Benchmarking is not new to higher education. A number of studies have been undertaken and networks exist to share good practice. According to the HEFCE *Benchmarking Methods and Experiences* (2003:4), the Quality Assurance Association defines benchmarking as follows: “Benchmarking is a subject community making explicit the nature and standards of awards which carry the subject in their title or in which the subject is included in the programme leading to the award”.

In today’s highly competitive world, **benchmarking** goes beyond simply looking at product attributes. It is seen as a tool that allows organisations to measure and compare themselves with the best companies and work towards improving standards of practice and performance.

The key elements of benchmarking is a continuous, systematic process, involving internal and external measurement of products, services and processes, which lead to better practice and improved performance.

The process is useful for establishing realistic improvement goals that are not simply an extrapolation of last year’s performance. However, it is not sufficient in itself to simply establish realistic goals – they must be accomplished with knowledge of ‘how’ the goals have been reached, not just ‘what’ has been achieved (Smith *et al* 1999:55).

Czarnecki (1999:156) also defines benchmarking as a performance measurement tool used in conjunction with improvement initiatives; it measures comparative operating performance of companies and identifies “best practices”.

The International Benchmarking Clearinghouse (IBC) represents a consensus definition: “Benchmarking is a systematic and continuous measurement process: a process of continuously measuring and comparing an organisation’s business processes against business process leaders anywhere in the world to gain information which will help the organisation take action to improve its performance” (Watson 1993:3).

The HEFCE Benchmarking Method Experiences (2003:4) states that: “Benchmarking is not simply about performance measures: at its most effective it becomes a core business strategy to keep an organisation at the competitive edge. The essential elements of benchmarking are that the practice is:

- **Continuous**

Benchmarking should not be treated as a ‘one-off’ exercise: it should be incorporated into the regular planning cycle of the organisation and the management of key processes.

- **Systematic**

It is important to ensure that a consistent methodology is adopted by the organisation and that it is actually followed. It is equally important that processes are in place to ensure that good practice is shared across the organisation.

- **Implementation**

Benchmarking helps identify the gaps that exist between current performance and ‘Best Practice’ and also how ‘Best Practice’ performance has been achieved but in order for improvement to occur, a set of actions must be implemented.

- **Best practice**

It is not necessary to identify the absolute 'Best Practice' in the world in order for benchmarking to be successful. 'Good or Superior' practice is probably a more accurate phrase.

4.7 Summary

In this chapter the MBNQA was discussed as well as the contextualisation of the fundamental concepts for a higher education context. The concepts are designed to help higher education institutions use an aligned approach to organisational performance management that results in:

- Delivery of ever-improving value to students and stakeholders, contributing to improved education quality
- Improvement of overall organisational effectiveness and capabilities
- Organisational and personal learning

The MBNQA Criteria for Performance Excellence in higher education institutions provides a framework of initiatives that should be taken. This framework will be incorporated in the proposed framework of initiatives for the South African higher education sector, proposed in Chapter 7.

The EFQM criteria have also been contextualised by the UK Consortiums for Excellence in higher Education.

The HEFCE consortiums provide insights into how the EFQM Excellence model has been implemented and the lessons learnt, as well as the application of the model in an educational context and the benefits of the model in higher institutions.

The two-part national study by Freed, Klugman and Fife to find out if quality concepts were being practised by higher education institutions that claim to have adopted principles of continuous improvement, also provides some useful insights.

All these models and studies will be considered when proposing a framework for continuous improvement for higher education institutions in South Africa in Chapter 7.

CHAPTER 5: RESTATEMENT OF THE PROBLEM, RESEARCH OBJECTIVES AND HYPOTHESIS/PROPOSITIONS

5.1 Introduction

In all the preceding chapters, this thesis has pointed out that higher education institutions and organisations around the world have not been exempt from the demands and impact of a globalising political economy. As in the case of other organisations, universities have been undergoing dramatic reorganisation along principles which converge largely around the economic costs and benefits of higher education. Such reorganisation is occurring within a context that principally takes the global economy rather than the nation's state or national histories as its point of departure or yardstick.

The above trends are bringing universities in line with other social arrangements designed to position national economies for greater global competitiveness. The new policy framework for the restructuring of higher education in developed economies is functioning as a powerful and influential global paradigm, shaping higher education and policies and practices in many developing economies, despite huge social, economic and historical differences.

5.2 Restatement of the problem

The previous chapters emphasise that the new quality assurance dispensation will have to address the requirements of a complex and challenging environment where there is a growing demand for effective education and training within the context of local and global imperatives.

According to the introduction in the CHE Discussion Document, ***Quality Assurance in Higher Education*** (2003:Introduction): "Quality assurance in higher education in South Africa is neither new nor unfamiliar. A range of internal and external, formal and informal quality assurance arrangements have been in place

for many decades. The work of quality assurance agencies in the technikon and the university sectors, the requirements of professional councils, the external examiner system, departmental reviews and peer review panels for research funding are all examples of quality assurance systems and measures intended to safeguard the standards and quality of provision.

What is new in relation to quality assurance in South Africa is the need to respond to the rapidly changing landscape that now constitutes higher education. The changes include a shift towards a more integrated yet differentiated public sector, a growing private sector, increased work-based training at higher education levels, an outcomes and impact orientation that requires new or vastly changed evaluation systems, and a greater demand for demonstrating higher education responsiveness and relevance to social and economic reconstruction.

The new quality assurance system for higher education in South Africa will have to be a single integrated one that encompasses universities, technikons, agricultural colleges and a range of private providers. In addition, it has to relate the quality assurance of more academic types of programmes to the quality assurance systems of Sector Education and Training Authorities (ETA's) and professional council Education and Training Quality Assurers (ETQA') as increasing numbers of work-based education and training programmes are offered by both public and private providers of higher education".

The CHE's HEQC *Proposed criteria for the HEQC's first cycle of audits: 2004-2009* March 2003 Discussion Document, states that the audit does not seek to measure the actual quality of outputs in relation to teaching and learning, research and service learning. The audit seeks to:

- (i) Establish the nature and extent of the quality management system in place at the institution – what policies, systems, available resources, strategies and targets exist for the development and enhancement of quality in the core functions of higher education.
- (ii) Evaluate the effectiveness of the quality management system on the basis of evidence largely provided by the institution itself. The requirement to provide

indicators of success and evidence of effectiveness, takes the audit beyond a checklist of policies and procedures.

According to the Discussion Document the scope of the audits will cover the broad institutional arrangements for assuring the quality of teaching and learning, research and service learning programmes, as well as other specified areas. Governance, finances and other institutional operations will not be a focus, except in relation to their impact on the above areas.

However, all the previous chapters have stressed the importance for higher education institutions to adopt modern business principles that should underpin the management practices at higher education institutions. These will include the management approaches to business functions such as strategy formulation, finance, investment, risk management, human resources, labour relations, marketing and communication, procurement, quality assurance, client service, innovation, facilities and real estate and information technology.

Higher education institutions should therefore ensure that modern business approaches, practices and methodologies are used in conducting their business, and that these are constantly reviewed and improved to ensure total quality management, innovation and excellence.

In addition to the audits that focus on the academic issues of teaching and learning, research and service learning programmes, additional self-assessment on organisation issues is essential.

Organisational self-assessment in higher education is already widely practised in the USA and Europe. The self-assessment is based on quality models that have been tailor made for the higher education sector such as the MBNQA Education criteria and the HEFCE's two consortiums and their application of the EFQM.

The South African higher education sector is in need of a framework for assessing the quality of the institution, based on the concept that the institution will achieve better results by involving all people in continuous improvement of their processes.

Although it is acknowledged that higher institutions are unique, they are not so unique that no model used in the business sector, cannot be adapted and contextualised to suit the higher education environment. It is also acknowledged that no single model could address all the issues at higher education institutions.

It is therefore proposed that a **framework** be used referring to quality models that have been adapted for the higher education sector in the USA and Europe, as well as quality studies on higher education worldwide.

This framework will be based on the findings of the application of the SAEM at a higher education institution. The SAEM model combines the best of the United States (MBNQA), Europe (EFQM), Australia (Australian Quality Award), United Kingdom (United Kingdom Quality Award) and Japan (Deming Prize), but it incorporates a South African emphasis in accordance with national priorities.

It is a powerful management process that will allow higher education institutions to assess their levels of efficiency and effectiveness, identify gaps in their processes, and institute significant performance improvements to achieve higher levels of competitiveness.

The focus of the SAEM is self-assessment that comprises a comprehensive, systematic and regular review of a higher education institution's activities and results, referenced against a model of performance excellence. The self-assessment process will allow a higher education institution to clearly identify its strengths and areas in which improvements can be made.

Regarding the self-assessment approaches a combination of workshops and the SAEM public sector level 3 questionnaire will be used as this sector most closely resembles the higher education sector. As indicated in Chapter 1, the SAEF currently only makes provision for the following sectors:

- Business/Defence industry
- Public service
- SME

- Local government

Reference was also made to the fact that the SAEF introduced three levels instead of only one for each of these sectors to enable more South African organisations to apply for the award. At level 3, the starting level, organisations apply for an excellence certificate. At level 2, the more advanced level, organisations apply for an excellence prize and at level 3, the most advanced level, organisations apply for an award.

Of the three levels available, level 3, the starting level, was selected as it was assumed that higher education institutions are at the start of the continuous improvement journey.

5.3 Research objectives

The main objective of the study is to contextualise and integrate quality models and quality studies to provide a framework for continuous improvement in higher education institutions. This will comprise the following sub-objectives:

5.3.1 Research objective 1

To determine the shortcomings and contextualise the SAEM Public Sector, level 3 self-assessment questionnaire for the higher education sector.

5.3.2 Research objective 2

To provide a format for self-assessment workshops within the higher education context.

5.3.3 Research objective 3

To investigate if the self-assessment results can be used as part of the SWOT analysis phase during strategic planning and to link the strategic objectives to the Balanced Scorecard.

5.3.4 Research objective 4

To link a discipline, e.g. marketing and communication initiatives to the SAEM.

5.3.5 Research objective 5

To benchmark faculties and the support service departments.

5.3.6 Research objective 6

To propose continuous improvement initiatives for the higher education sector.

5.3.7 Research objective 7

To propose a framework of continuous improvement for the higher education sector referring to quality models and quality studies in higher education institutions.

5.4 Hypothesis

5.4.1 Research question 1

Is the SAEM Public Sector Level 3 questionnaire ideally suited to ensure continuous improvement at higher education institutions?

Hypothesis 1

The Public Sector Level 3 questionnaire needs to be adapted to be applicable for higher education institutions to ensure continuous improvement.

5.4.2 Research question 2

Is there a preferred format for a self-assessment workshop to ensure effective self-assessment results?

Hypothesis 2

There is a preferred format that can be used to ensure effective self-assessment workshop results.

5.4.3 Research question 3

Can the results of the self-assessment workshop be used as part of the SWOT analysis phase during strategic planning and can the strategic objectives be linked to the Balanced Scorecard?

Hypothesis 3

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.

5.4.4 Research question 4

Can a discipline e.g. marketing and communication initiatives, be linked to the SAEM?

Hypothesis 4

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.

5.4.5 Research question 5

Can faculties and support services be benchmarked using the results of the SAEM?

Hypothesis 5

The results of the SAEM can be used to benchmark faculties and support services in higher education institutions.

5.4.6 Research question 6

Are there continuous improvement initiatives that can be used for the higher education sector and plotted on the SAEM?

Hypothesis 6

There are generic continuous improvement initiatives used in other quality models that can be plotted on the SAEM.

5.4.7 Research question 7

Can the higher education self-assessment quality models used in the USA and UK, as well as other quality studies in higher education be used to propose a framework of continuous improvement for higher education in South Africa?

Hypothesis 7

The self-assessment quality models in the United States and the United Kingdom and other quality studies in higher education can be integrated to provide a framework for continuous improvement in the higher education sector in South Africa.

5.5 Research design

The focus of the model is self-assessment which comprises a comprehensive, systematic and regular review of a higher education institution's activities and results, referenced against a model of performance excellence. The self-

assessment process will allow a higher education institution to clearly identify its strengths and areas in which improvements can be made.

The SAEM, Level 3 for the public service self-assessment questionnaire will be contextualised for South African higher education institutions. The application of the self-assessment findings will also be linked to the strategy planning process and the business plan. The core values and concepts of the Baldrige National Quality Program on Education Criteria for Performance Excellence and the Higher Education Funding Council for England's Consortiums will also be incorporated. Various quality studies in higher education will also be investigated.

To achieve the specific research objectives set, a qualitative research design has been selected. This approach is particularly suited to the exploratory and descriptive design of the study, as it allows an in-depth investigation of the deficiencies in the current SAEM and the application of the SAEM within a strategic framework.

The research will be conducted in six phases:

Phase 1

Conduct a pre-workshop and discuss questionnaires to determine shortcomings of the workshop and SAEM, Level 3 Public Service questionnaire with a corporate group at a university.

Phase 2

Conduct workshops and complete questionnaires to determine shortcomings in the self-assessment workshop and SAEM, Level 3 Public Service questionnaire with faculties and departments and benchmark the faculties and service department

Phase 3

Conduct a strategy session in a faculty to determine if the self-assessment findings can be used during the SWOT phase in a strategic planning session. Link the strategic objectives to the balanced scorecard.

Phase 4

Analysis, comparison, personal interview and incorporation of the lessons learnt from the United Kingdom Consortium for Excellence in Higher Education as well as the Malcolm Baldrige Excellence in Education as well as other quality studies in higher education.

Phase 5

Revise and contextualise the questionnaire and self-assessment workshop for South African higher education institutions.

Phase 6

Provide a framework of continuous improvement at higher education institutions, incorporating all the knowledge gained during phases one to five.

5.6 Methodology

5.6.1 Research objective 1

To determine the shortcomings and contextualise the SAEM Public Sector, level 3 self-assessment questionnaire for the higher education sector.

To achieve this first objective, the means of exploration was workshops and a completion of an electronic questionnaire by means of keypads. The results were immediately available. The questions and comments from respondents, as well as

an analysis of the results were used to adapt the workshop and questionnaire to make it relevant in a higher education environment.

5.6.2 Research objective 2

To provide a format for self-assessment workshops within the higher education context.

To achieve this second objective, the means of exploration were workshops to determine the most effective way of conducting self-assessment workshops.

5.6.3 Research objective 3

Can the results of the self-assessment workshop be used as part of the SWOT analysis phase during strategic planning and can the objectives be linked to the Balanced Scorecard?

To achieve this third objective, the means of exploration was a follow-up strategy session workshop where the results of the self-assessment workshop were used during the SWOT phase and the objectives were linked to the Balanced Scorecard.

5.6.4 Research objective 4

To link a discipline, eg marketing and communication initiatives to the SAEM.

To achieve this fourth objective, the marketing and communication strategic objectives were broken down into sub-objectives. The marketing and communication plan was then linked to initiatives plotted on the SAEM.

5.6.5 Research objective 5

To benchmark faculties and the support service department.

To achieve this fifth objective, the results of the SAEM were used to compare the faculties and the support service department, prioritise the areas for improvement and strengths and determine trends.

5.6.6 Research objective 6

To link continuous improvement initiatives for the higher education sector to the SAEM.

To achieve this sixth objective, the lessons learnt and initiatives used in quality models in the UK and USA were analysed and the most important initiatives were linked to the SAEM.

5.6.7 Research objective 7

To propose a framework of continuous improvement for the higher education sector referring to quality models and quality studies in higher education institutions.

To achieve this seventh objective, a comprehensive analysis was done on the Malcolm Baldrige Education Criteria for Performance Excellence and the United Kingdom Consortium for Excellence in Higher Education as well as other quality studies.

The SAEF was informed on a regular basis of progress made with the thesis and a copy of the thesis was made available.

5.7 Unit of analysis

The unit of analysis consisted of academic and support staff in faculties, one service department, and a corporate group with representatives from faculties and service departments.

5.8 Time frame

The research was conducted from September 2001 to September 2002.

5.9 Population

The population was the University of Pretoria. There were 56 respondents

5.10 Sampling

5.10.1 Faculties

In the five selected faculties 10-15 respondents were selected who were representative of the various levels.

5.10.2 Support services

In the selected support service department 10-15 respondents were selected who were representative.

5.11 SAEM Level 3 public sector questionnaire design

The questionnaire was computerised and completed in a group situation. Each respondent was provided with a keypad. Questions were explained on a screen and respondents participated by answering questions on the keypad.

All information collected via the keypads was processed using the statistical techniques of the current SAEM questionnaire.

The Public Service Level 3 questionnaire was used. The format and content of the questionnaire were described in detail in Chapter 3.

5.12 Respondents

5.12.1 Faculties

The faculties were represented by the following respondents:

- Dean
- Heads of Schools
- Heads of Departments
- Professors
- Associate professors
- Senior lecturers
- Lecturers
- Student Admin
- Secretaries
- Admin

5.12.2 Support service department

Representatives from all sections within the support service department were selected.

5.13 Data capturing and tabulation

Fig 14: Keypad



(Seymore van Biljon)

An alpha numeric keypad was used and respondents were requested to score 1, 2, 3 or 4 according to the scoring definitions for enablers and results.

5.14 Results

5.14.1 Scoring of data

Data was scored according to the statistical techniques as used by SAEM.

Scoring of data – Level 1**1. Leadership**

Scale	1	2	3	4
Number of responses per scale (a)				
Factor (b)	0	33	67	100
Value (a x b)				
= Total				

%
 achievement Weighted
 points Your
 actual
 points

Total divided by 11	=		of	100	=	
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2. Strategy and Planning

Scale	1	2	3	4
Number of responses per scale (a)				
Factor (b)	0	33	67	100
Value (a x b)				
= Total				

%
 achievement Weighted
 points Your
 actual
 points

Total divided by 4	=		of	100	=	
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3. Customer and market focus

Scale	1	2	3	4
Number of responses per scale (a)				
Factor (b)	0	33	67	100
Value (a x b)				
= Total				

	% achievement	of	Weighted points	=	Your actual points
Total divided by 5		of	100	=	

4. People management

Scale	1	2	3	4
Number of responses per scale (a)				
Factor (b)	0	33	67	100
Value (a x b)				
= Total				

	% achievement	of	Weighted points	=	Your actual points
Total divided by 9		of	100	=	

5. Resources and Information management

Scale	1	2	3	4
Number of responses per scale (a)				
Factor (b)	0	33	67	100
Value (a x b)				
= Total				

	% achievement	of	Weighted points	=	Your actual points
Total divided by 11		of	100	=	

6. Processes

Scale	1	2	3	4
Number of responses per scale (a)				
Factor (b)	0	33	67	100
Value (a x b)				
= Total				

	%		Weighted		Your	
	achievement		points		actual	
					points	
Total divided by 8	=		of	100	=	

7. Social responsibility

Scale	1	2	3	4
Number of responses per scale (a)				
Factor (b)	0	33	67	100
Value (a x b)				
= Total				

	%		Weighted		Your	
	achievement		points		actual	
					points	
Total divided by 4	=		of	100	=	

8. Customer satisfaction

Scale	1	2	3	4
Number of responses per scale (a)				
Factor (b)	0	33	67	100
Value (a x b)				
= Total				

	%		Weighted		Your
	achievement		points		actual
					points
Total divided by 2	=		of	100	=

9. People satisfaction

Scale	1	2	3	4
Number of responses per scale (a)				
Factor (b)	0	33	67	100
Value (a x b)				
= Total				

	%		Weighted		Your
	achievement		points		actual
					points
Total divided by 3	=		of	100	=

10. Supplier and Partnership performance

Scale	1	2	3	4
Number of responses per scale (a)				
Factor (b)	0	33	67	100
Value (a x b)				
= Total				

	%		Weighted		Your
	achievement		points		actual
					points
Total divided by 10	=		of	100	=

11. Results

Scale	1	2	3	4
Number of responses per scale (a)				
Factor (b)	0	33	67	100
Value (a x b)				
= Total				

	% achievement	Weighted points	Your actual points
Total divided by 6 =	<input type="text"/>	of 100 =	<input type="text"/>

Scoring of data – Level 2

Once the results of all of the 11 sub-sections were calculated, the following statistical process was used to weight the results:

Difference = Criteria Weighted Points – Criteria Total Points Scored

5.14.1.1 Weighted points

The following Criteria and Weighted Points were used per sub-section.

Criteria	Weighted Points
Enabler Criteria	
Leadership	25
Policy and Strategy	17
Customer and Stakeholder Focus	15
People Management	23
Resources and Information Management	15
Processes	30
Total for Enabler Criteria	125
Results Criteria	
Social Responsibility	15
Customer and Stakeholder Satisfaction	43
People Satisfaction	22
Supplier and Partnership Performance	7
Organisation Results	38
Total for Results Criteria	125

5.14.1.2 Differences

These differences were then ranked to determine the focus in priority.

Within each of these subsections, the areas for improvement and areas of strength were determined as follows:

- All scores ≤ 2 were categorised as **areas for improvement**
- All scores ≥ 3 were categorised as **strengths**

5.15 Reporting

After each workshop a printout was made of the results, as well as graphs.

5.16 Summary

This chapter stated that the main objective of the study was to provide a strategic framework by contextualising the SAEM Level 3 public service questionnaire for higher education institutions and providing a framework for self-assessment that would enable these institutions to:

- Assess their levels of efficiency and effectiveness.
- Identify gaps in their processes.
- Institute significant performance improvements to achieve higher levels of competitiveness within a strategic framework.

A number of research propositions and hypotheses were formulated to cover the main areas included in the research instruments. These research propositions and hypotheses also provide the basis for integrating the best of the Malcolm Baldrige Criteria for Higher Education and the United Kingdom Consortium for Excellence in higher Education models.

In the next chapter the research results and analysis will be provided.

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

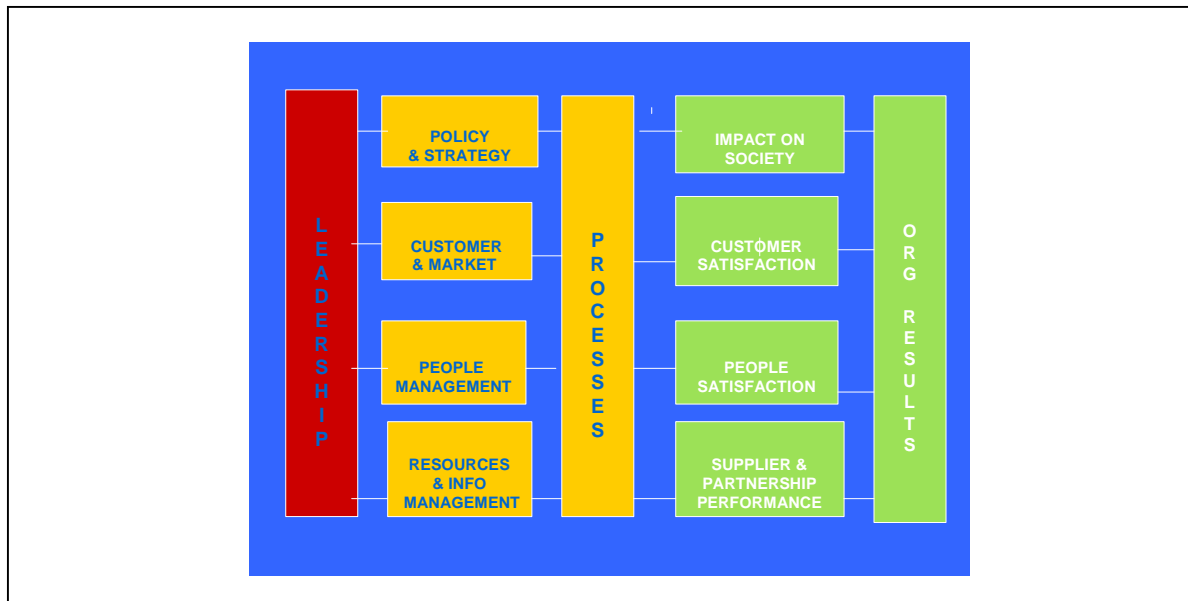


Table 7: Criteria 1 – Leadership

SAEM public sector level 3 questionnaire	Proposed questionnaire
Criterion 1: Leadership	Criterion 1: Leadership 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
1a How leaders visibly demonstrate their commitment to a culture of Performance Excellence . 1a.1 Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation ?	1a How leaders* visibly demonstrate their commitment to a culture of continuous improvement Do the leaders in my institution *: 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 employees, clients and stakeholders?
1a.5 Do the leaders in my organisation actively become involved in transformation processes?	1a.5 Become actively and personally involved in transformation processes?
1b How do leaders support improvement and involvement?	1b 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 customers, partners and supplier chains to understand and respond to mutual interests?	1b.3 Become involved with clients, stakeholders* and suppliers* 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

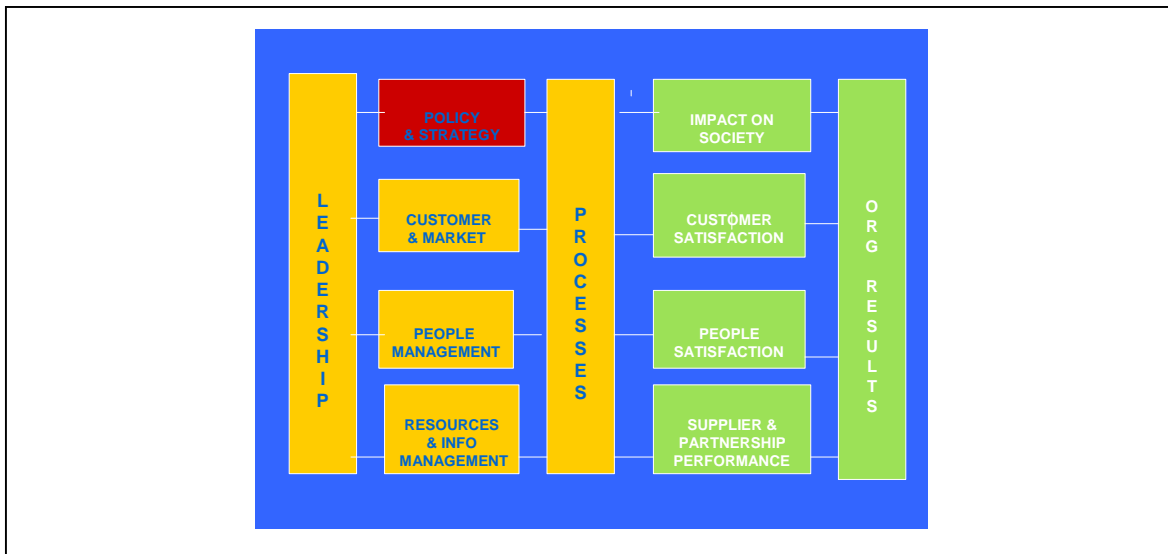


Table 8: Criterion 2 – Policy and Strategy

Criterion 2: Policy and Strategy	Criterion 2: Policy and strategy
	<p>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</p>
<p>2a How policy and strategy are developed, communicated and implemented. 2a.1 Does my organisation develop policy and strategy based upon:</p> <ul style="list-style-type: none"> ○ performance indicators? ○ customer and stakeholder requirements? ○ organisation's peoples capabilities? ○ supplier and partner capabilities? ○ government initiatives, directions and standards? 	<p>2a How policy and strategy are developed, communicated and implemented and how the institution identifies, aggregates, analyses and uses information 2a.1 How does my institution: Develop policy and strategy based upon:</p> <ul style="list-style-type: none"> ○ performance indicators/strategic drivers? ○ client and stakeholder requirements? ○ institution's people capabilities? ○ supplier and stakeholder capabilities?

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

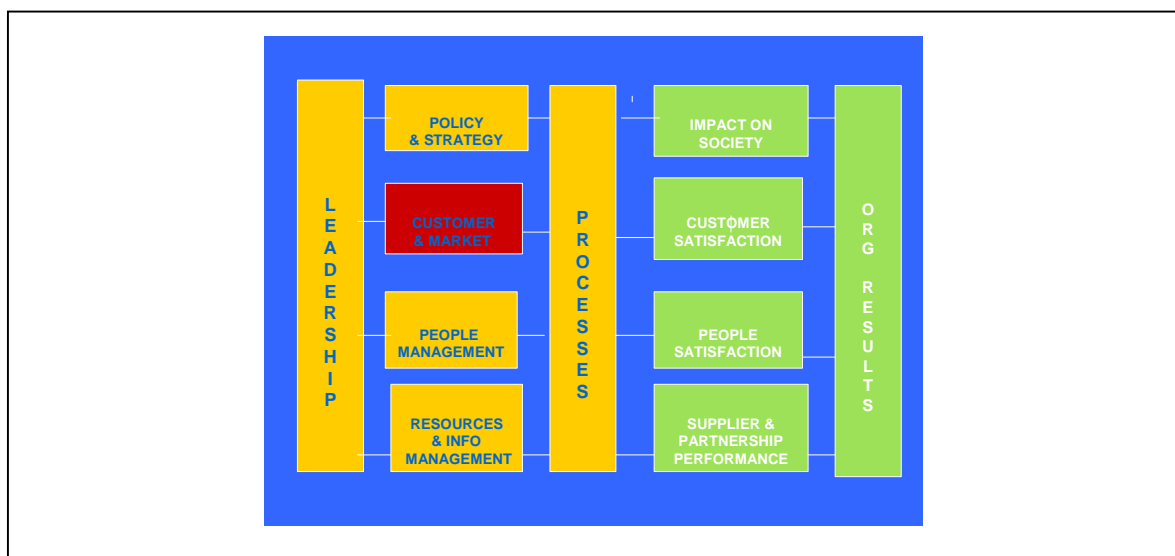


Table 9: Criterion 3 – Customer and Stakeholder Focus

Criterion 3: Customer and Stakeholder Focus	Criterion 3: Client and stakeholder focus How the institution: <ul style="list-style-type: none"> • determines the needs, requirements and expectations of clients and stakeholders • enhances relationships and determines • satisfaction of clients and stakeholders.
	3b How client and stakeholder satisfaction is determined. Does my institution: 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

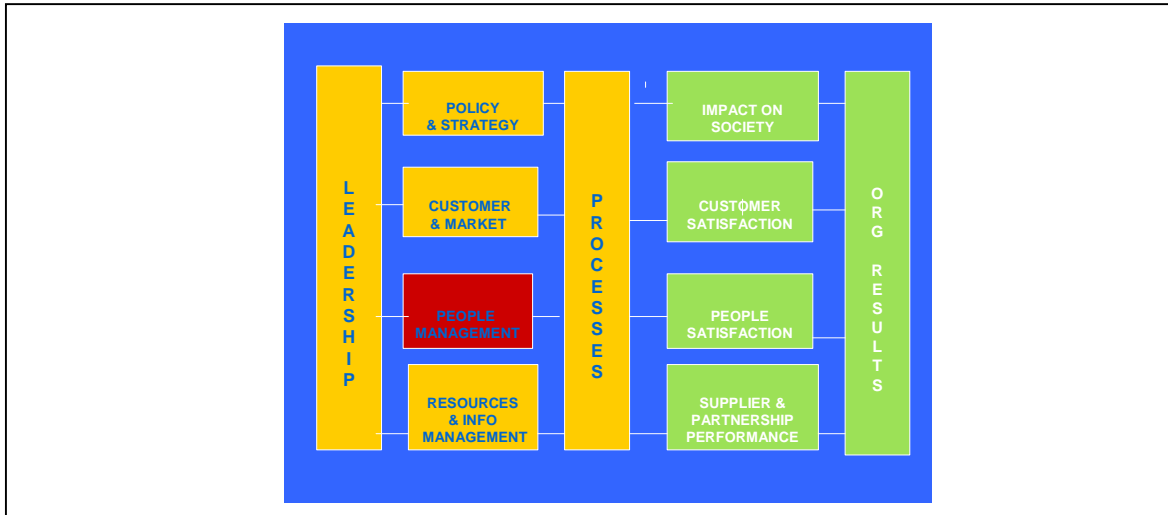


Table 10: Criterion 4 – People Management

<p>Criterion 4: People Management</p>	<p>Criterion 4: People management 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 people resources plan with policy, strategy and values</p>	<p>4 a 1 Align the human 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

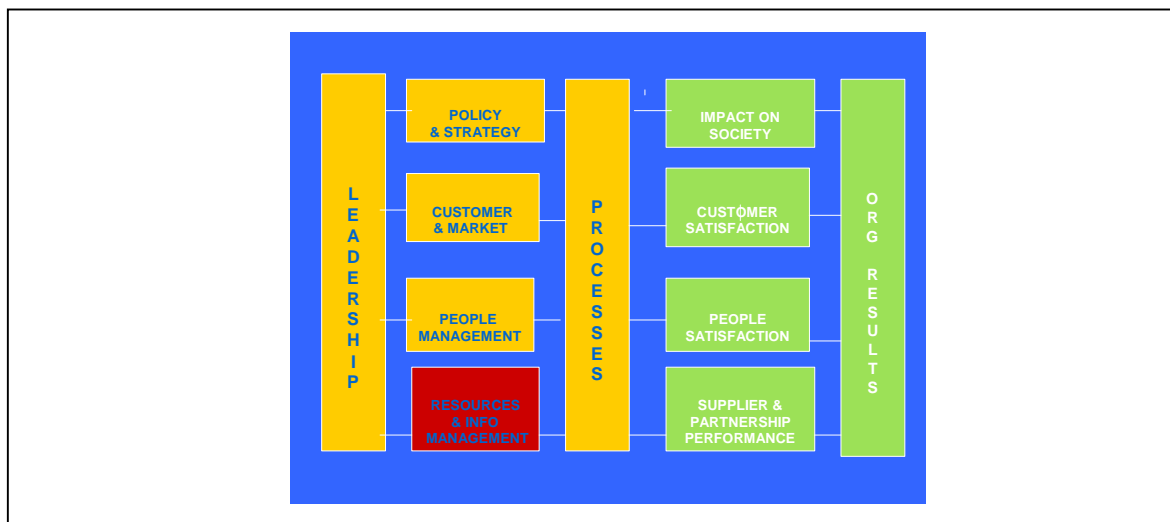


Table 11: Criterion 5 – Resources and information management

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

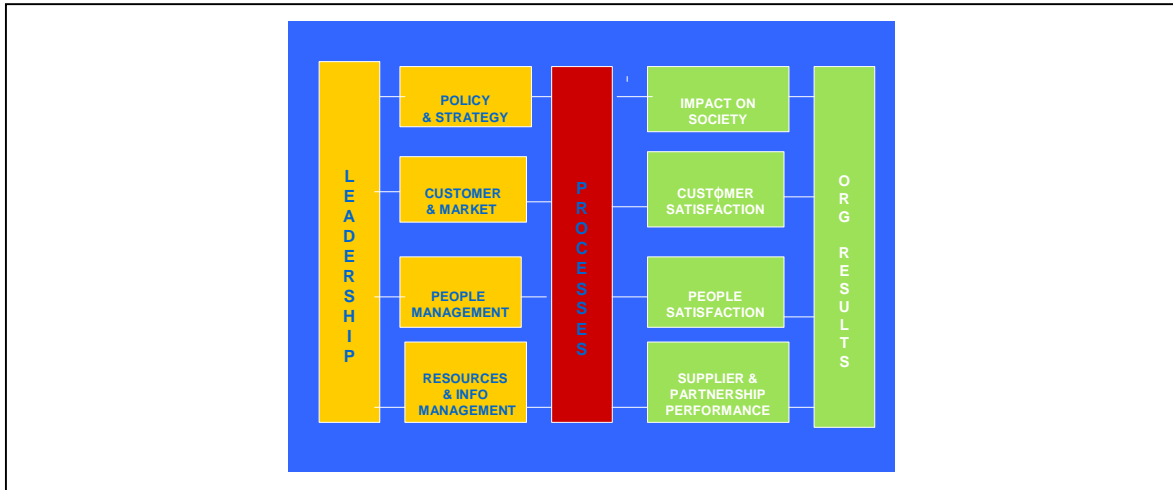


Table 12: Criterion 6 – Processes

Criterion 6: Processes	Criterion 6: Processes
	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
6a.2 Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?	6a.2 Incorporate changing client and stakeholder requirements into product and service processes?
6b.2 Does my organisation encourage the innovation and creative talents of employees in process improvement?	6b.2 Encourage the innovation and creative talents of staff in process improvement?

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

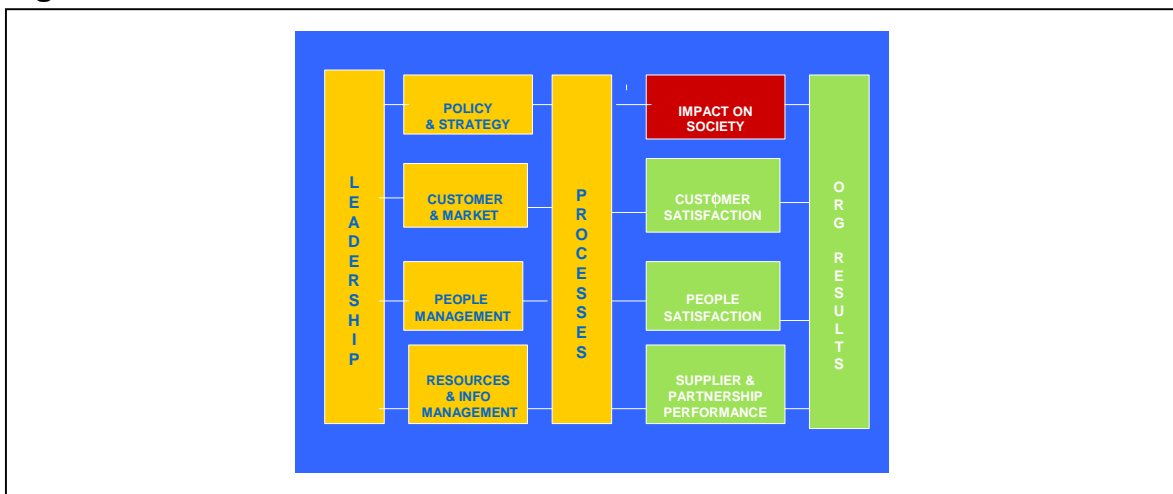


Table 13: Criterion 7 – Social Responsibility

Criterion 7: Social Responsibility	Criterion 7: impact on society
	<p>What an institution achieves in relation to local, national and international society at large. This includes the perception of the institution's approach to:</p> <ul style="list-style-type: none"> - quality of life - environment and the conservation of global resources - institution's own internal measures of effectiveness - its relations with other authorities and bodies which affect and regulate its business
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

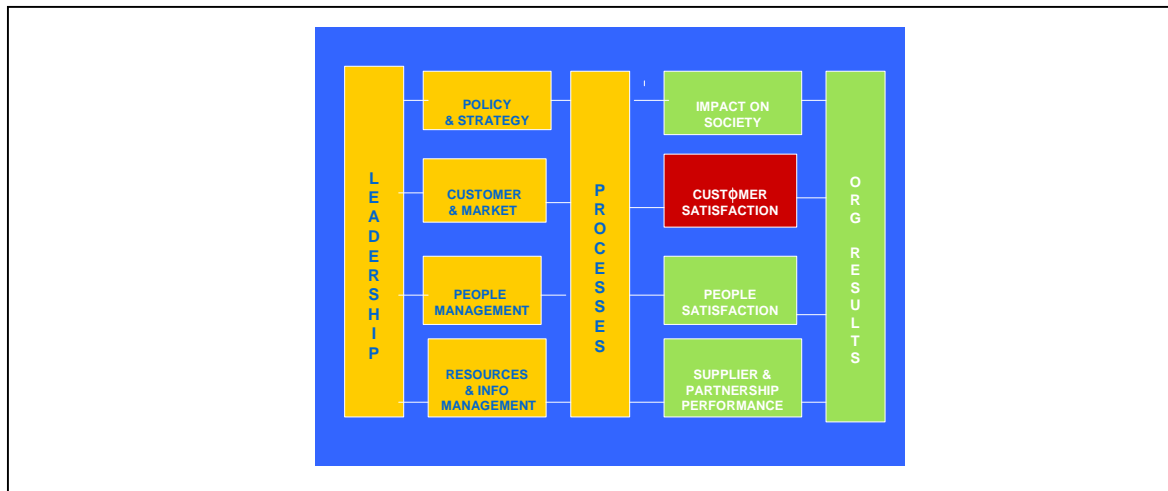


Table 14: Criterion 8 – Customer and Stakeholder Satisfaction

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>8 Measurements relating to the satisfaction of the organisation's customers and stakeholders.</p> <p>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"> ○ fairness and courtesy ○ integrity ○ level of customer satisfaction and dissatisfaction ○ communication ○ awards and accolades received. 	<p>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</p> <p>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"> ○ fairness and courtesy ○ integrity ○ level of client satisfaction and dissatisfaction ○ communication ○ awards and accolades received.

Criteria

- The criterion is clearly defined

Criterion parts

- None

Areas to address

- None

Criteria 9

Fig 23: Criteria 9

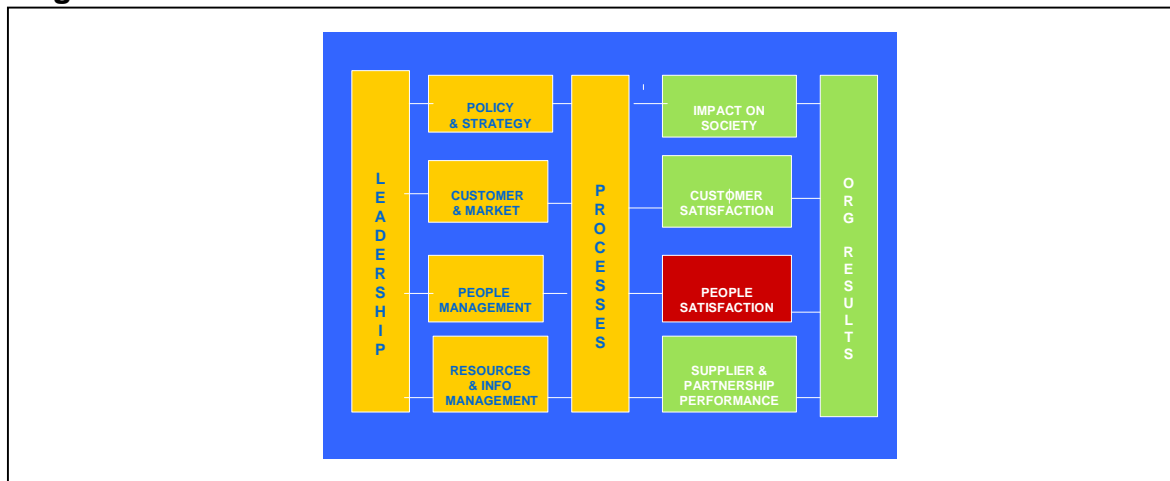


Table 15: Criterion 9 – People Satisfaction

Criterion 9: People Satisfaction	Criterion 9: People satisfaction
	<p>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</p>

Criteria

- The criterion is clearly defined

Criterion parts

- None

Areas to address

- None

Criteria10

Fig 24: Criteria10

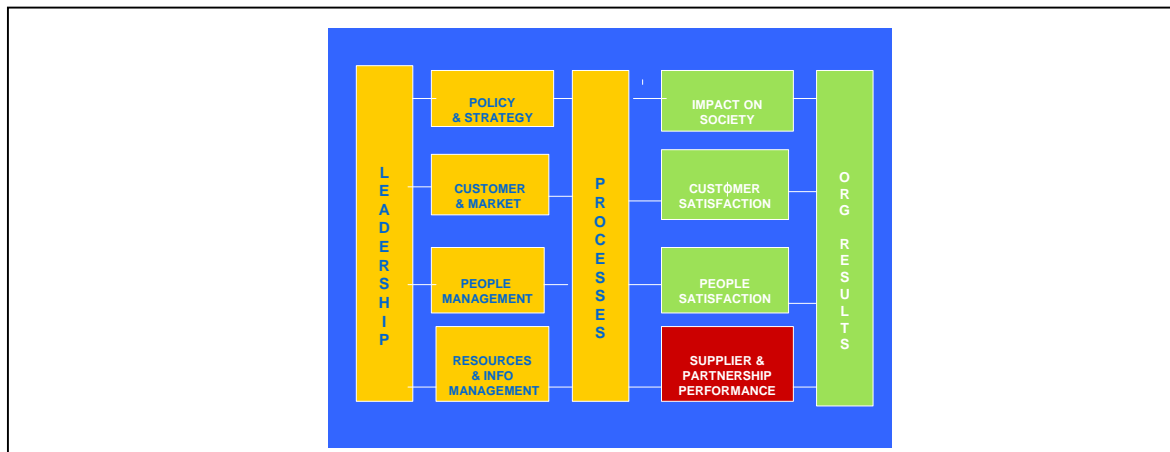


Table 16: Criterion 10 – Suppliers and Partnership Performance

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

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

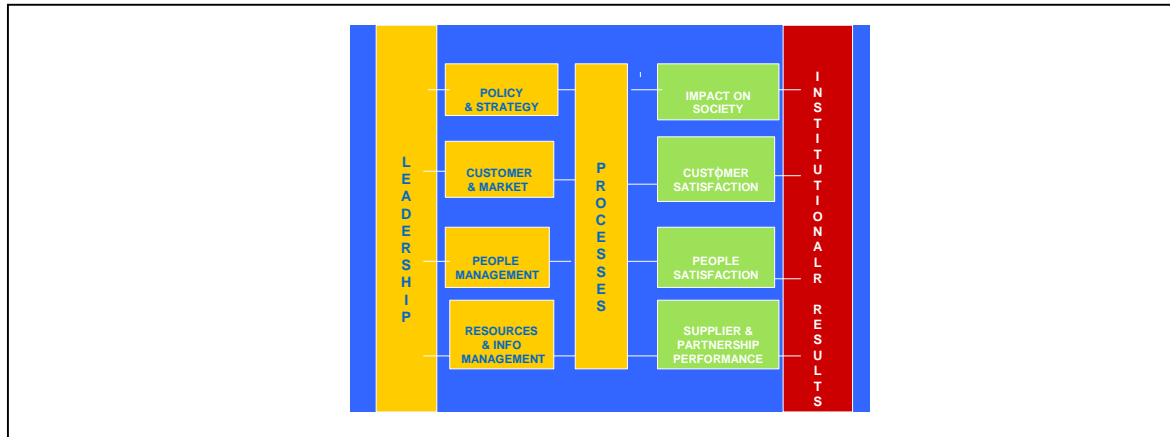


Table 17: Criterion 11 – Organisation Results

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

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

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

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

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

6.3.2.6 Scoring

6.3.2.6.1 Enablers

Fig 26: Enablers

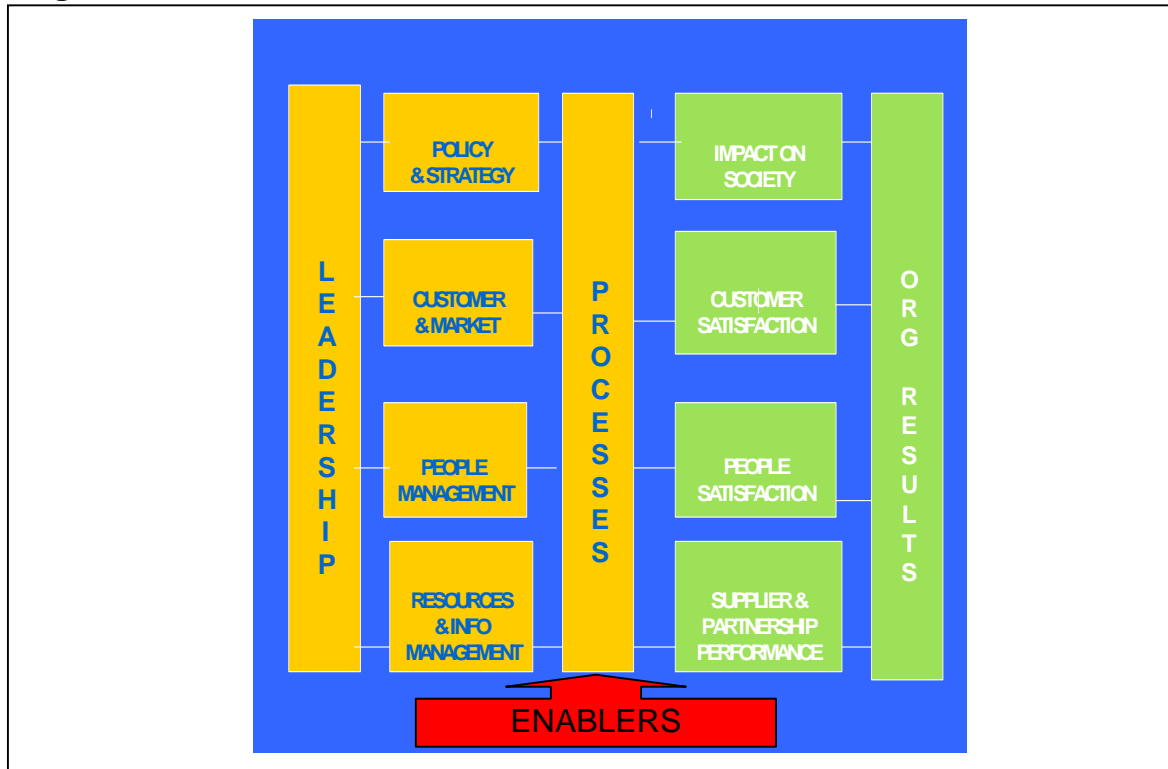


Table 19: Scoring the SAEM enablers

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

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

6.3.6.2.1 Results

Fig 27: Results

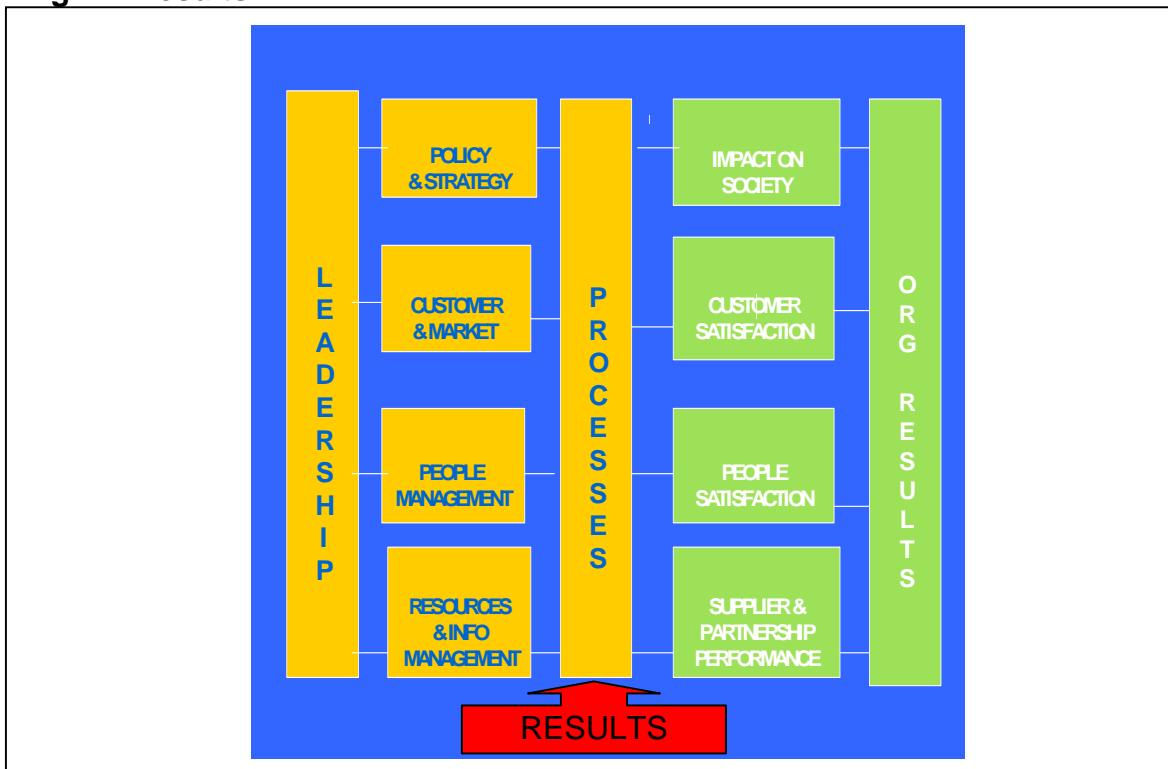


Table 20: Scoring the SAEM results

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

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

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**

RESULTS	A	B	C
CORPORATE	Actual score	Weighted points	Difference
Leadership	7	25	18
Strategy	5	17	12
Customer	3	15	12
People	6	23	17
Resources	5	15	10
Processes	9	30	21
TOTAL FOR ENABLERS	34	125	91
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
TOTAL FOR RESULTS	46	125	79
TOTAL FOR ORGANISATION	80	250	170

Fig 28: Actual score

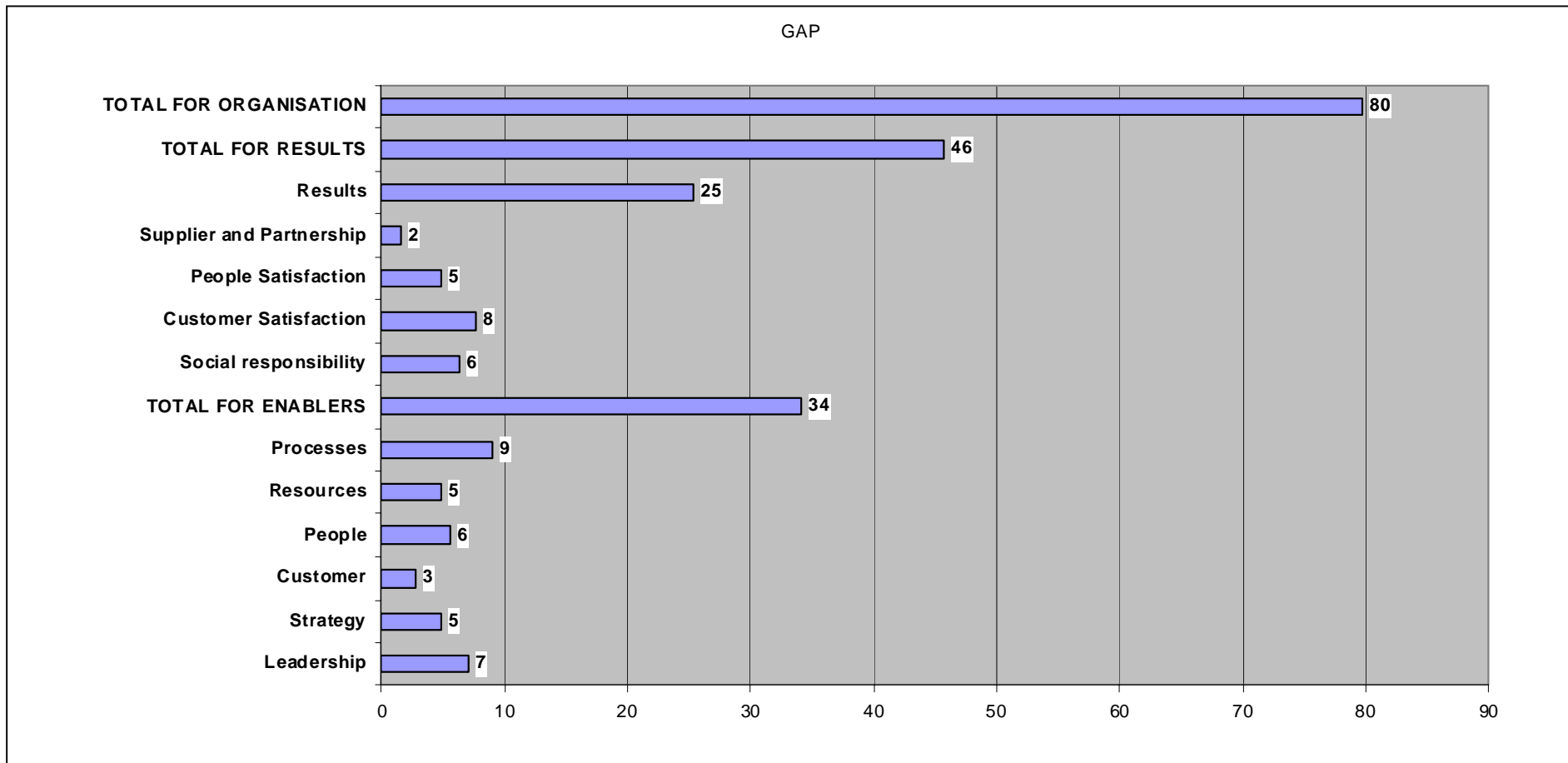
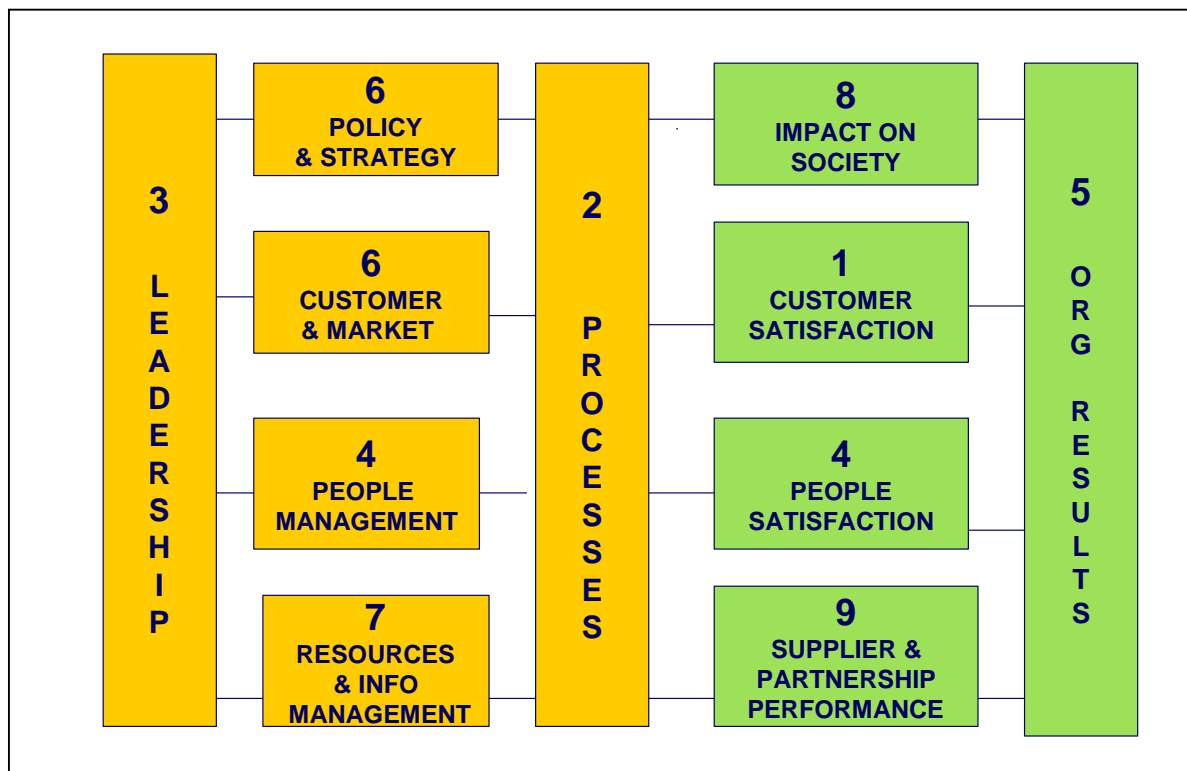


Table 22: Difference ranking between the actual score against the weighted points

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**

RESULTS	A	B	C
	Actual points	Weighted points	Difference
Leadership	13	25	12
Strategy	5	17	12
Customer	6	15	9
People	6	23	17
Resources	6	15	9
Processes	11	30	19
TOTAL FOR ENABLERS	47	125	78
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
TOTAL FOR RESULTS	46	125	79
TOTAL FOR FACULTY	93	250	157

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

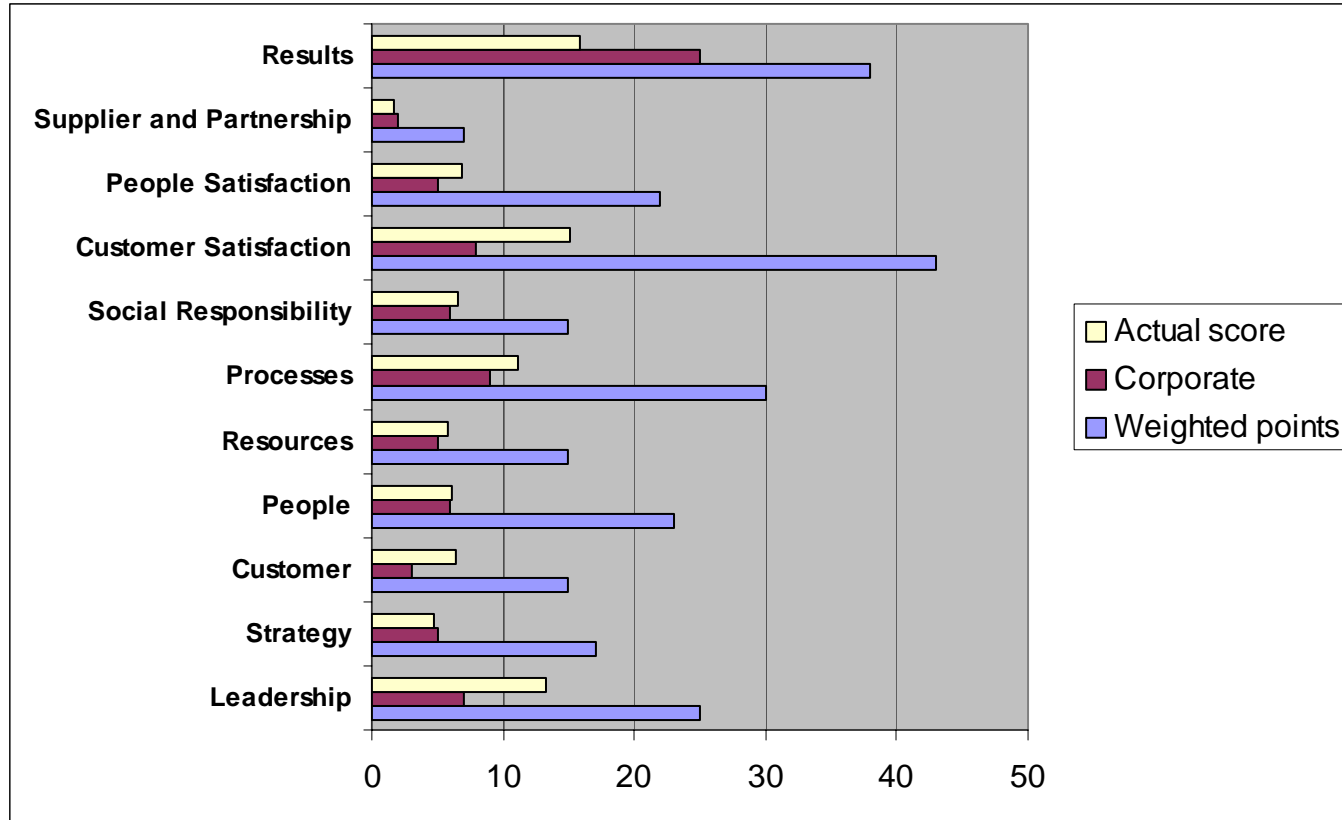
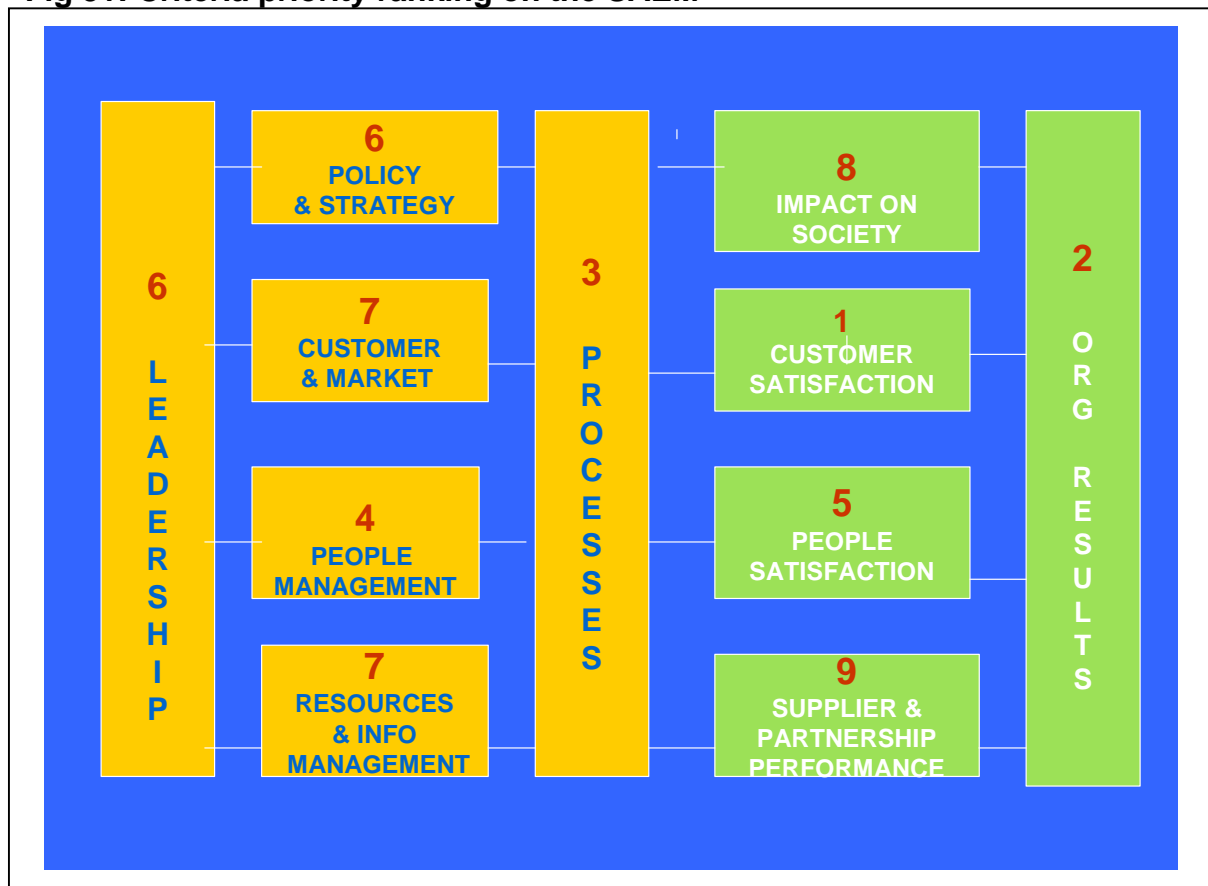


Table 24: Difference ranking between the actual score against the weighted points

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**

RESULTS	A	B	C
Faculty B	Total points scored	Weighted points	Difference
Leadership	15	25	10
Strategy	10	17	7
Customer	8	15	7
People	13	23	10
Resources	7	15	8
Processes	15	30	15
TOTAL FOR ENABLERS	67	125	58
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
TOTAL FOR RESULTS	59	125	66
TOTAL FOR ORGANISATION	126	250	124

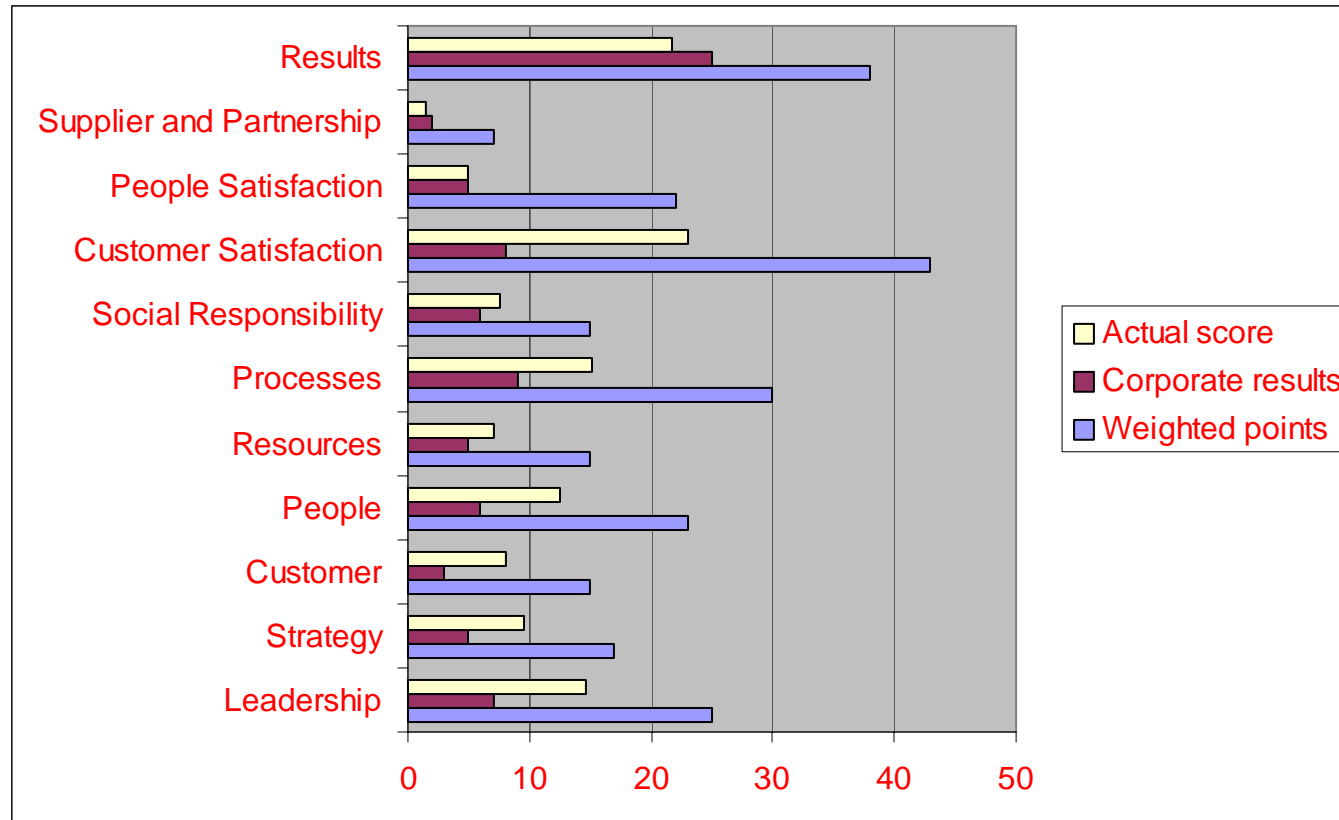
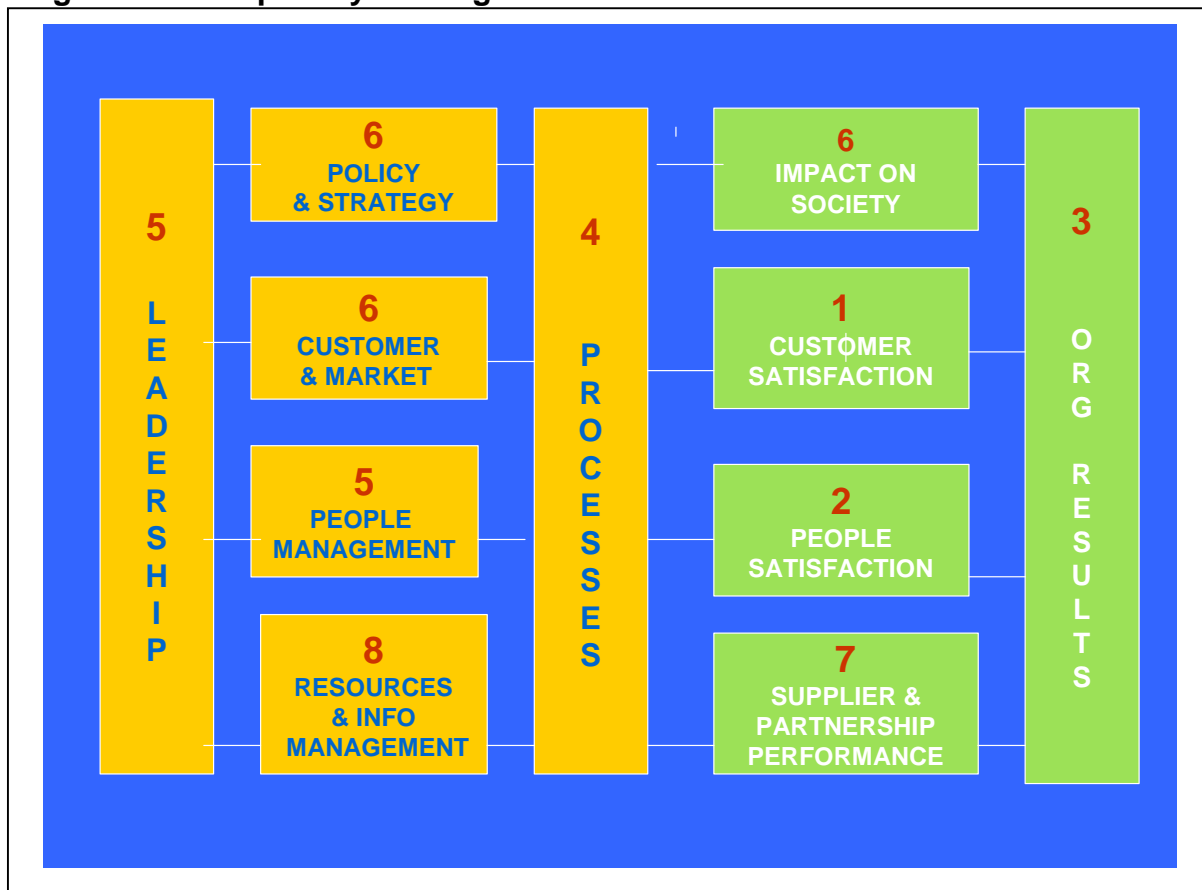
Fig 32: Actual score against the corporate score and weighted points

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**

RESULTS	A	B	C
Faculty C	Total points scored	Weighted points	Difference
Leadership	10	25	15
Strategy	6	17	11
Customer	7	15	8
People	9	23	14
Resources	8	15	7
Processes	15	30	15
TOTAL FOR ENABLERS	53	125	72
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
TOTAL FOR RESULTS	66	125	59
TOTAL FOR FACULTY	120	250	130

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

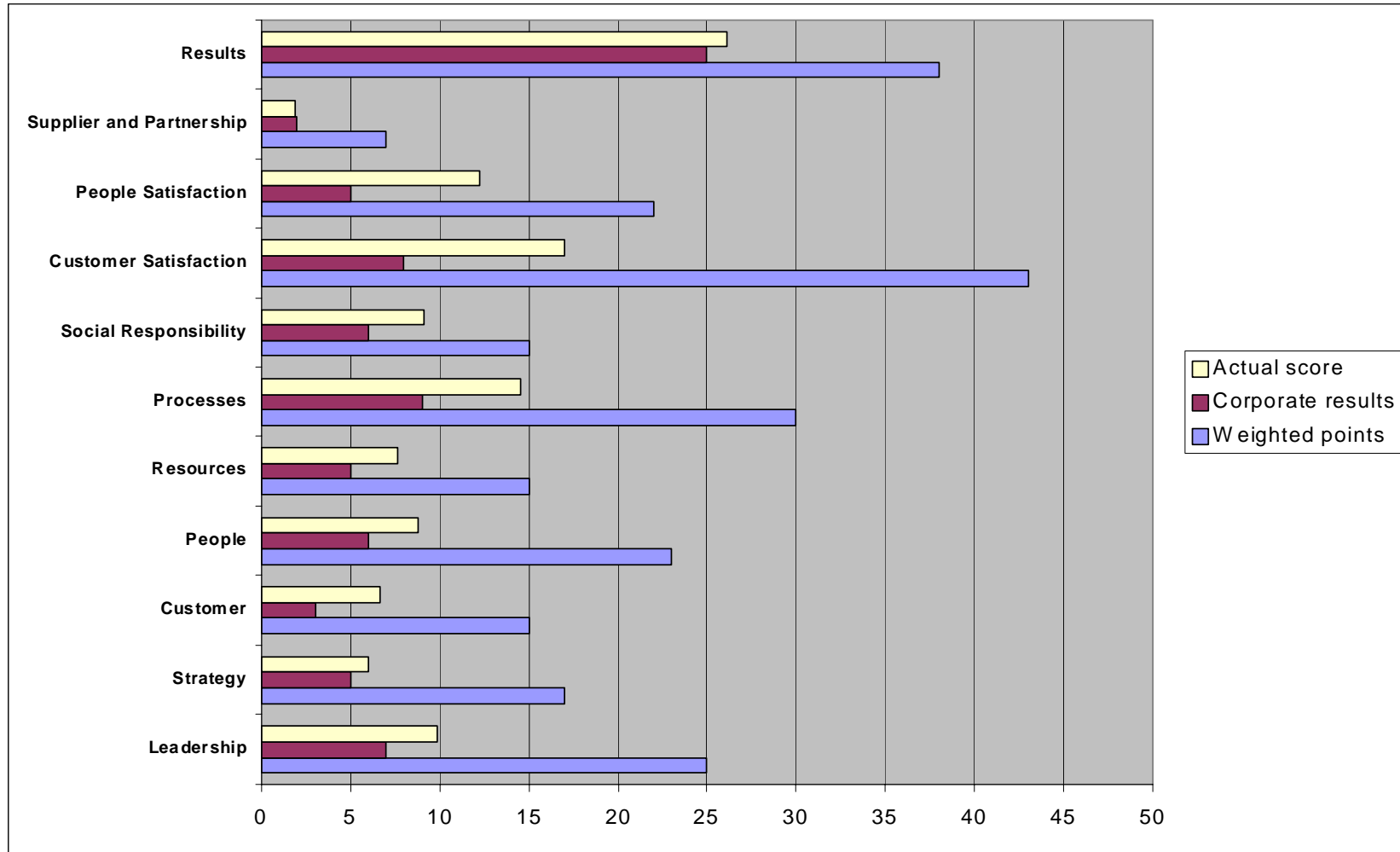
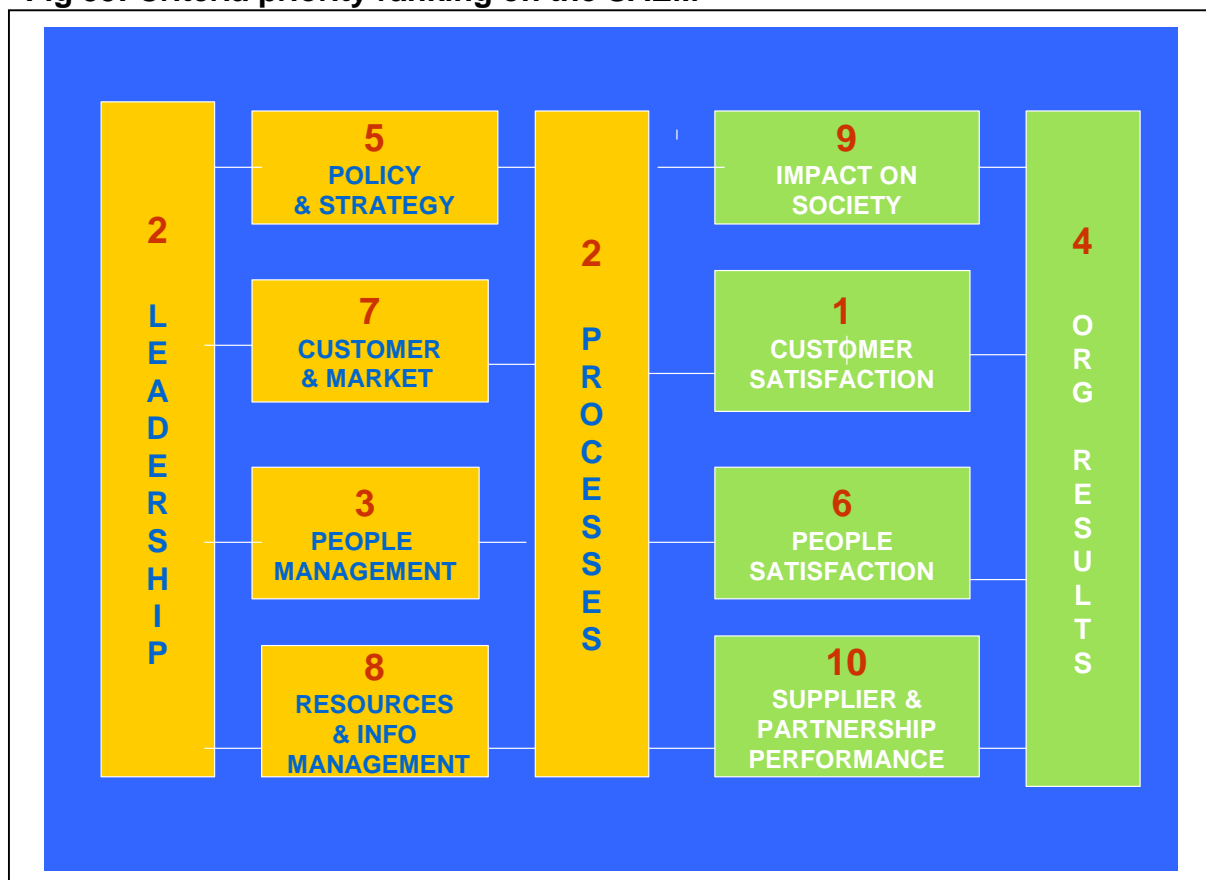


Table 28: Difference ranking between the actual score against the weighted points

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**

RESULTS	A	B	C
Faculty D	Total points scored	Weighted points	Difference
Leadership	9	25	16
Strategy	7	17	10
Customer	5	15	10
People	7	23	16
Resources	6	15	9
Processes	11	30	19
TOTAL FOR ENABLERS	45	125	80
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
TOTAL FOR RESULTS	57	125	68
TOTAL FOR FACULTY	112	250	148

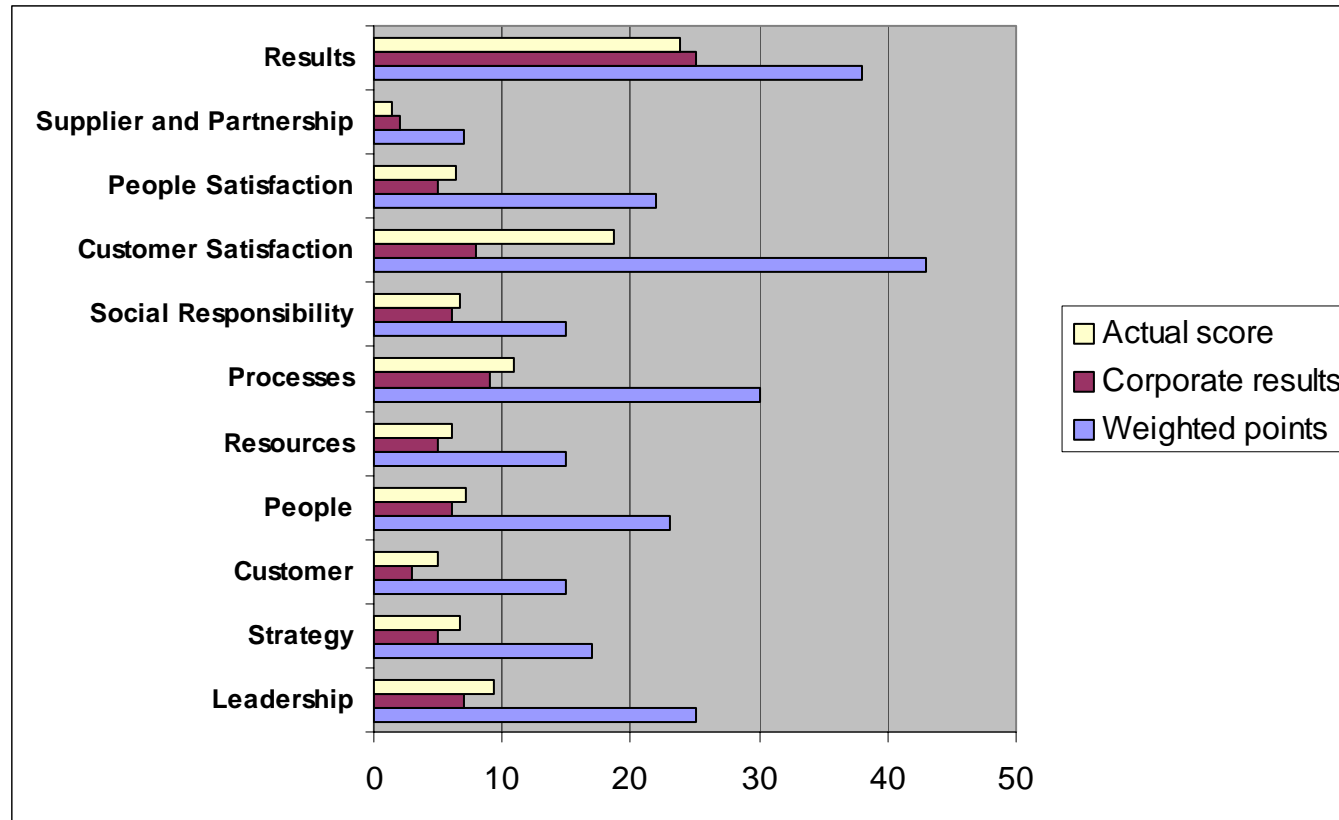
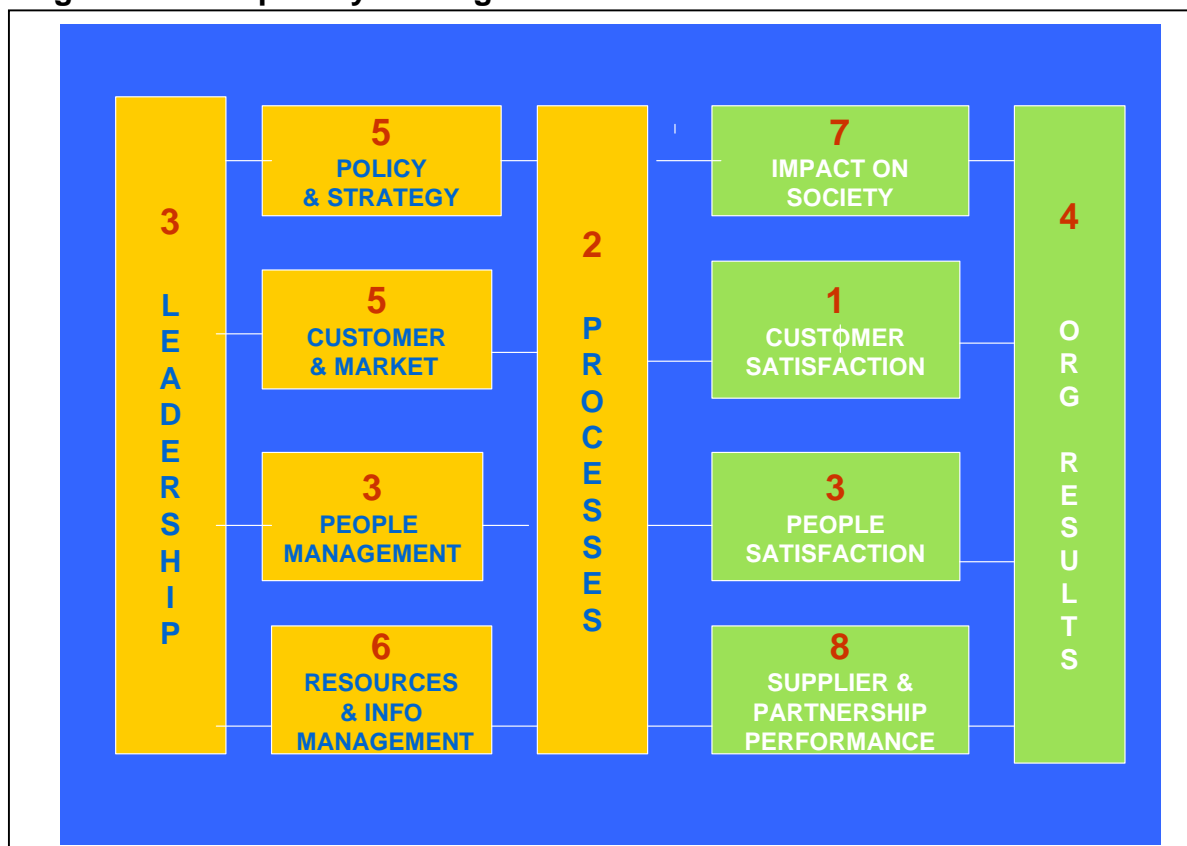
Fig 36: Actual score against the corporate score and weighted points

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**

RESULTS	A	B	C
Faculty E	Total points scored	Weighted points	Difference
Leadership	12	25	13
Strategy	8	17	9
Customer	6	15	9
People	9	23	14
Resources	8	15	7
Processes	14	30	16
TOTAL FOR ENABLERS	57	125	69
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
TOTAL FOR RESULTS	53	125	72
TOTAL FOR FACULTY	110	250	140

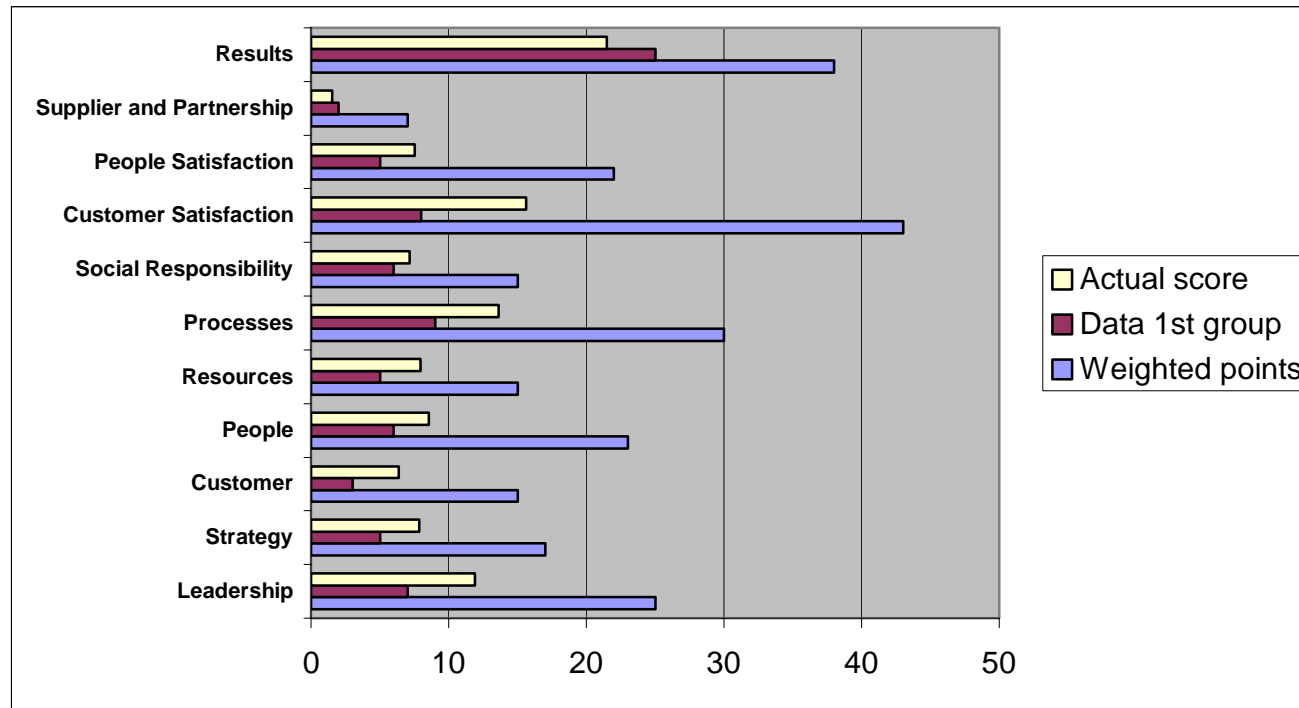
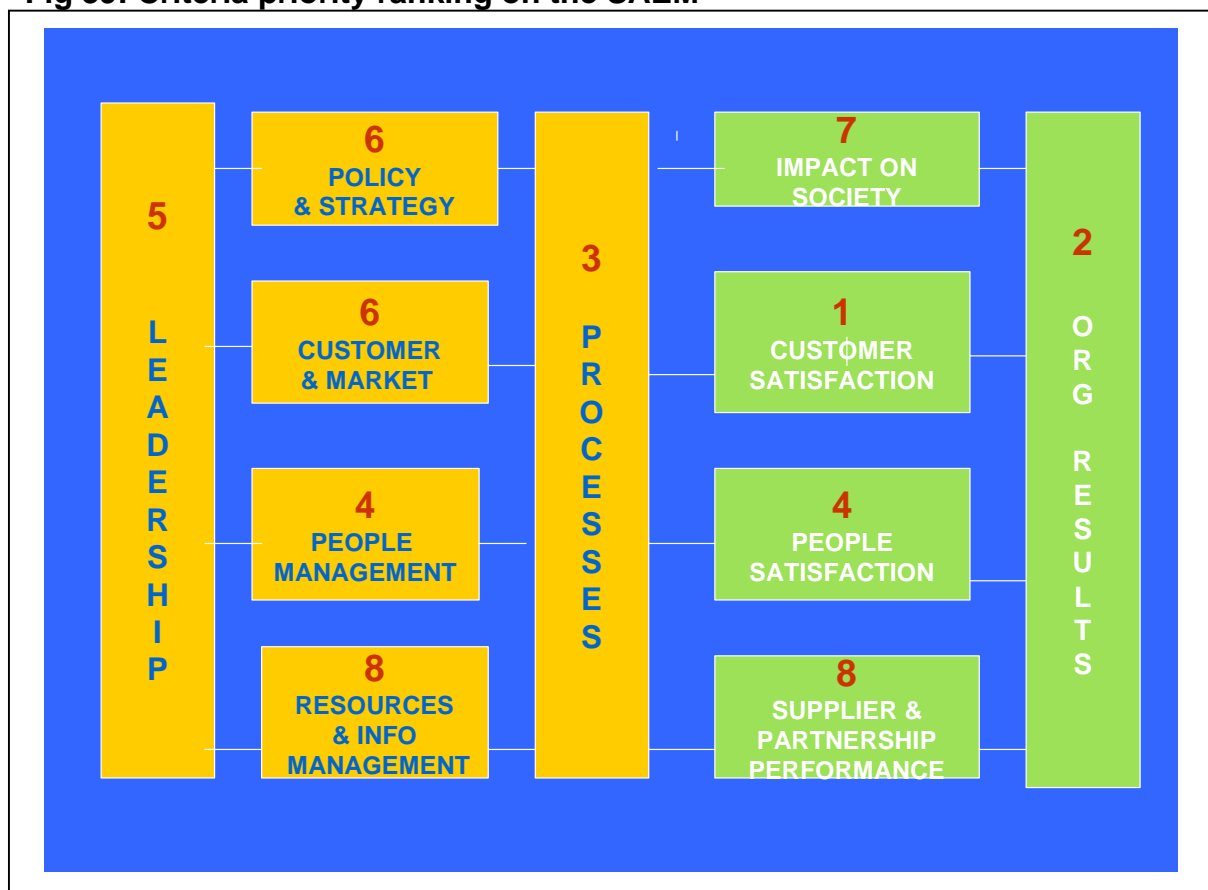
Fig 38: Actual score against the corporate score and weighted points

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**

RESULTS	A	B	C
Department A – UP	Total points scored	Weighted points	Difference
Leadership	15	25	10
Strategy	9	17	8
Customer	8	15	7
People	11	23	12
Resources	7	15	8
Processes	17	30	13
TOTAL FOR ENABLERS	67	125	58
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
TOTAL FOR RESULTS	64	125	61
TOTAL FOR ORGANISATION	131	250	119

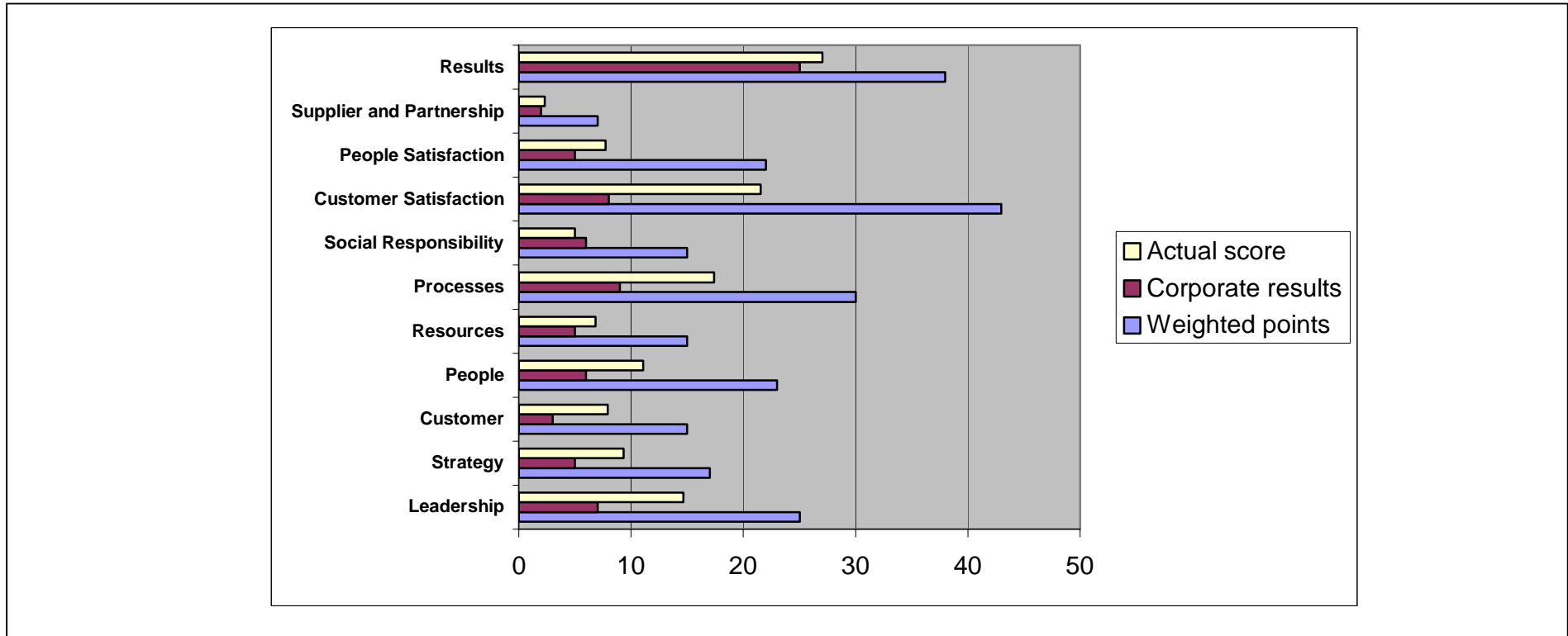
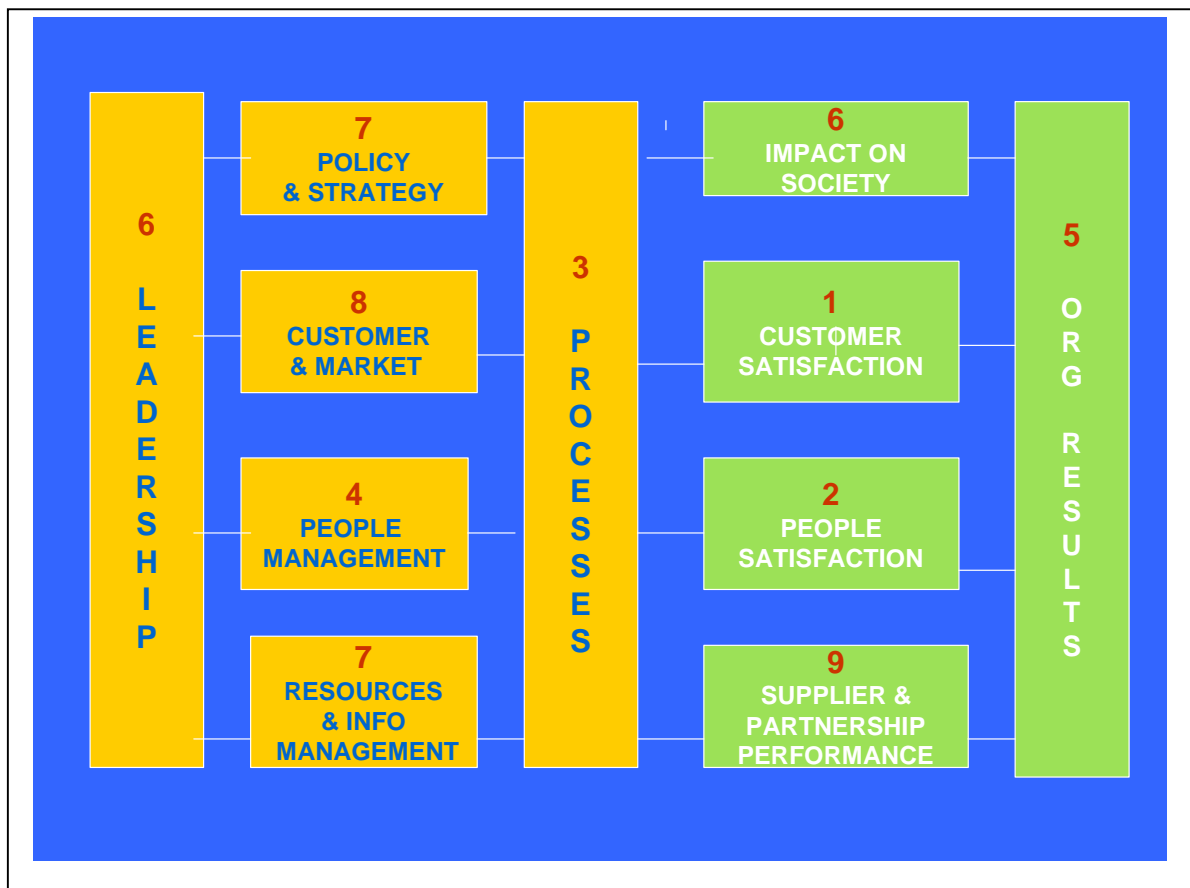
Fig 40: Actual score against the corporate score and weighted points

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



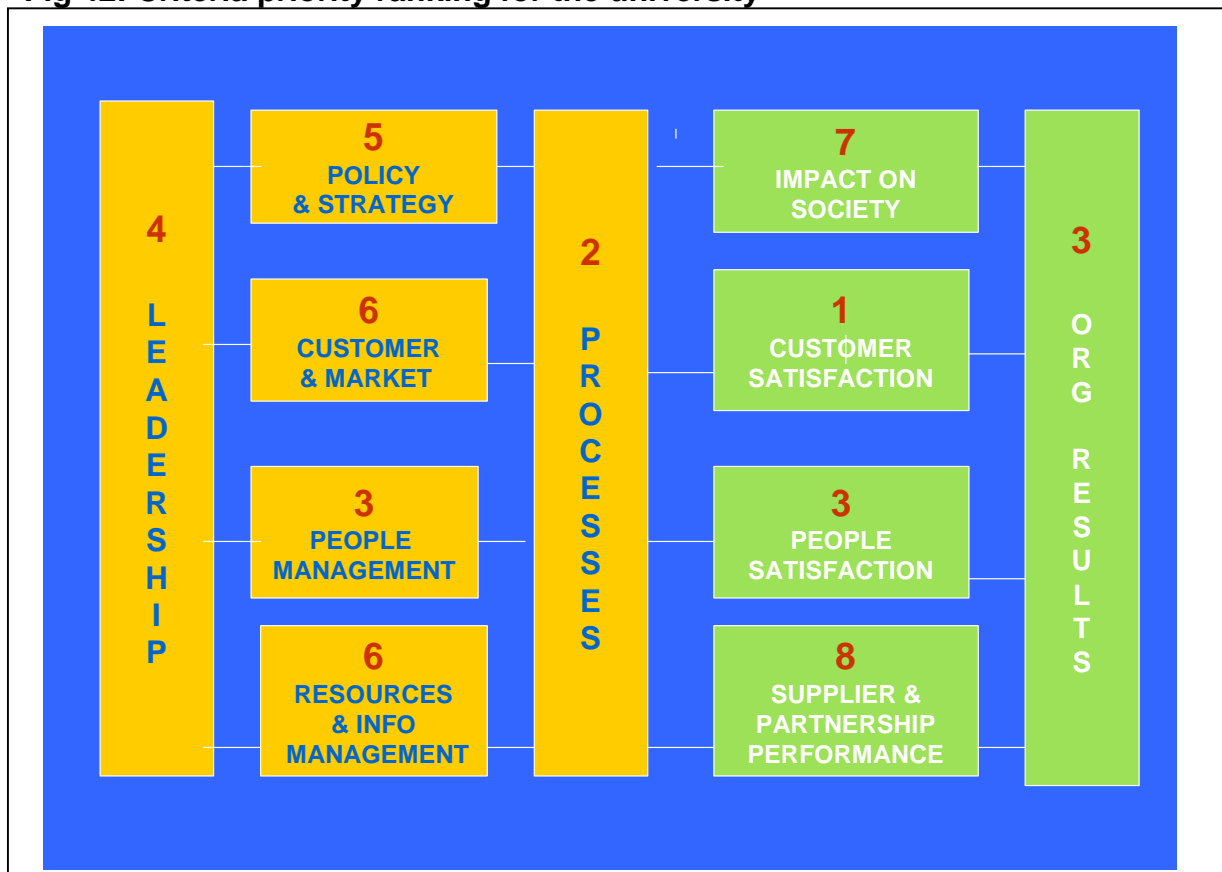
University results

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
TOTAL FOR ENABLERS	34	47	67	53	45	56	67	51		125	
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
TOTAL FOR RESULTS	46	46	59	66	57	54	64	55		125	
TOTAL	80	93	126	120	102	110	131	106		250	

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

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

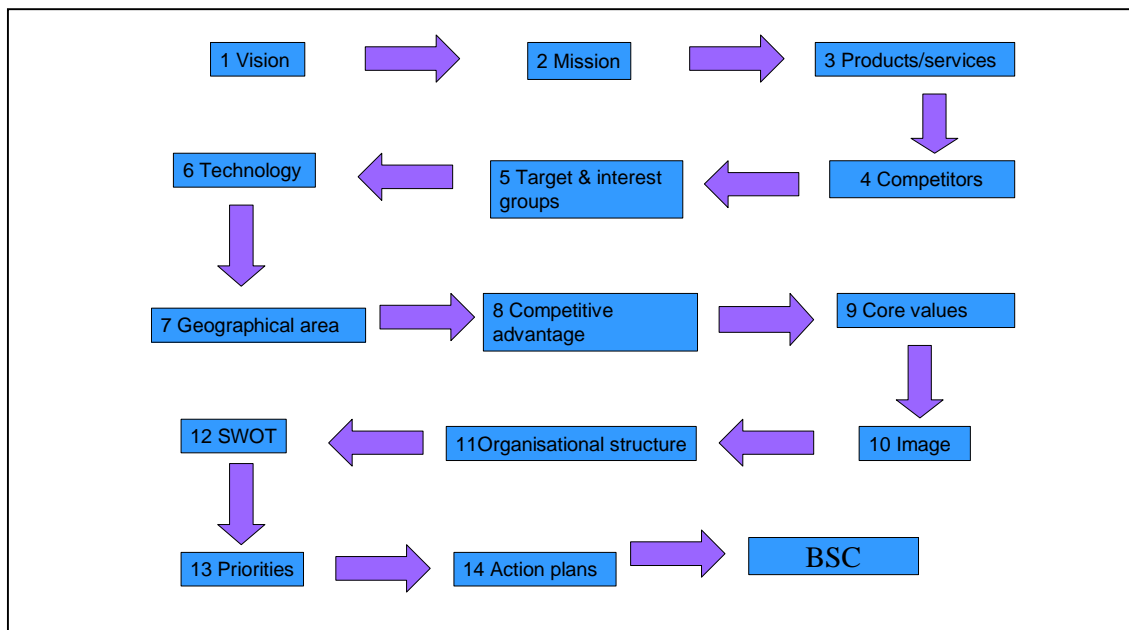
Fig 43: Strategic framework



(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"> e.g. Personal time management Faculty wide mentorship Continuous research output (rolling) Explore opportunities for inter-disciplinary research 	Academic staff	Continuous
1.2 Stimulate publications in international journals	<ul style="list-style-type: none"> Continuous networking 	HOD's Research Committee	Continuous
1.3 Develop staff capacity	<ul style="list-style-type: none"> Recruit postgraduate candidates Create promotion possibilities Continuous mentoring 	Dean HOD Promotor	Continuous

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

Table 39: Expand and improve programmes

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

Table 40: Address staff issues

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

Table 41: Establish and promote a value system

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

Objective	Key action	Resp	Date
4.3 Promote integrity & ethics among students:	<ul style="list-style-type: none"> • Departments to provide Student Administration with a list of all students who write sick tests. A database will be created • Dean visits all year groups and discusses ethics, sick tests etc 	Departments Student Administration Dean	Continuous
4.4 Values within the framework of Supreme Constitution & HEA	<ul style="list-style-type: none"> • The importance and impact of Constitutional influence must be reflected in all courses 	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"> • Training of staff/retention of staff • Simplification of registration process • Uniformity of policy & procedures • Establish effective liaison with Client Service Centre • Improve communication between student administration and parents • Student questionnaires 	Dean Student Administration	Continuous
5.2 Maintain and improve student/staff relationships	<ul style="list-style-type: none"> • Availability e.g. voice mail etc • Clarify communication channels with students (refer study guides) 	All staff	Continuous
5.3 Improve student life	<ul style="list-style-type: none"> • Promote Students House 	Faculty Committee and students	Continuous
5.4 Assist students with career development	<ul style="list-style-type: none"> • Career workshop for final years • Interviews with law firms • Training for academic associates and tutors • Prize giving function • Talks by practitioners • Bursary schemes available 	Marketing and Communication	Continuous

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

Table 43: Improved image of the Faculty

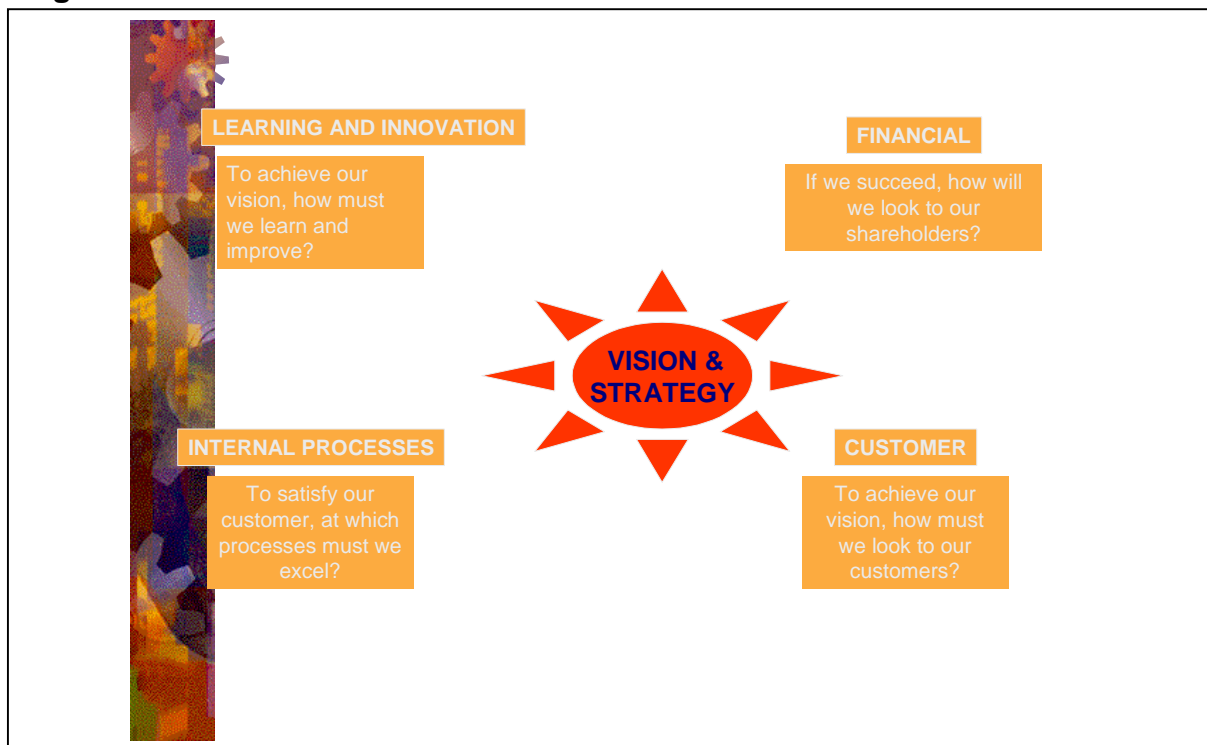
Objective	Key action	Resp	Date
6.1 Improve diversity and quality of prospective students	<ul style="list-style-type: none"> • Increase M score • Letter to prospective students • Welcoming of students • Visits to schools • Marketing Services; Prospective Students 	Dean Marketing and Communication	Continuous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

6.4.5. Linking the SAEM to the BSC

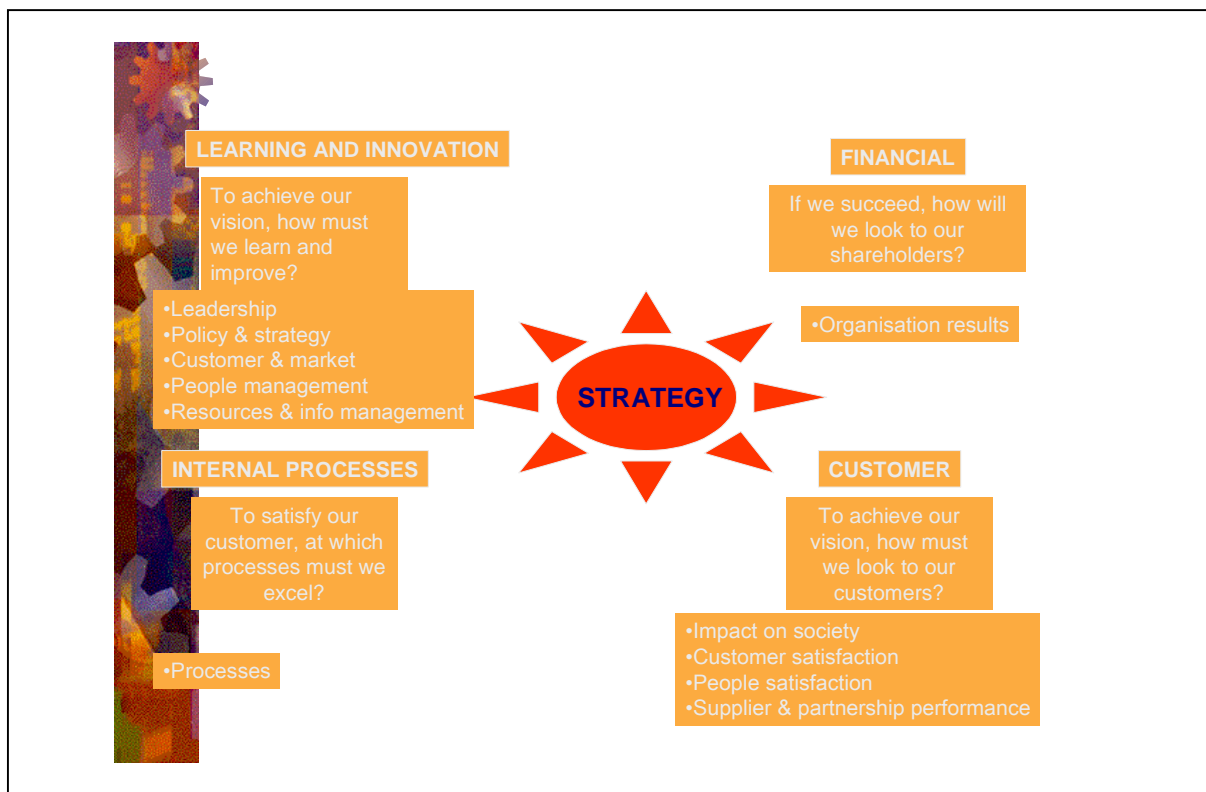
As discussed in Chapter 3, the BSC is a prescriptive framework. It is a system of linked objectives, targets and initiatives that collectively describe the strategy of an institution and how that strategy can be achieved. As well as a framework, it is a process that an institution uses to foster consensus, 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

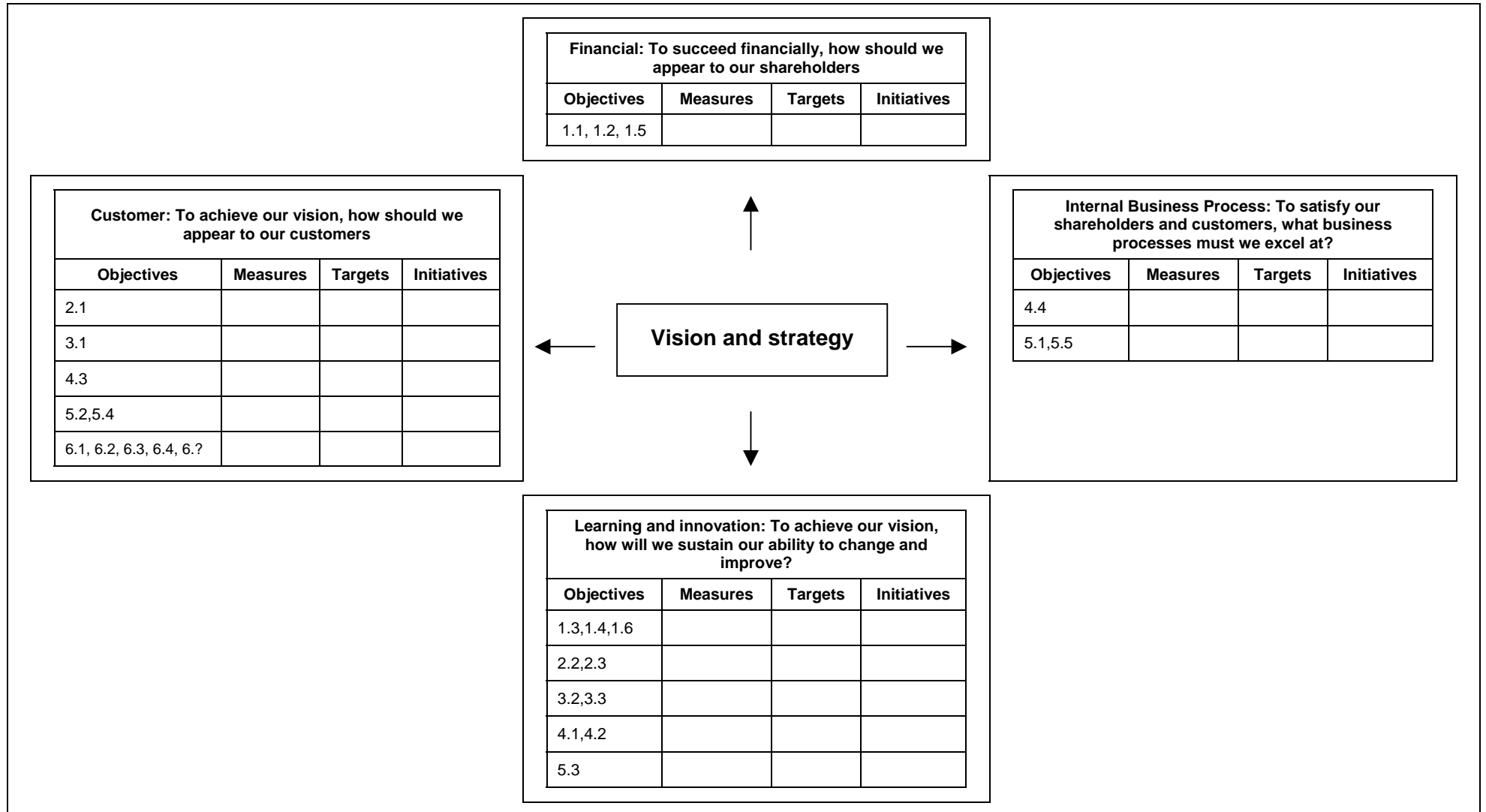
RANKING	CRITERIA	DIFFERENCE
1	Customer satisfaction	27
2	Results	17
3	Processes	16
4	People and people satisfaction	14
5	Leadership	13
6	Strategy and customers	9
7	Social responsibility	8
8	Supplier and partnership and resources	5

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)

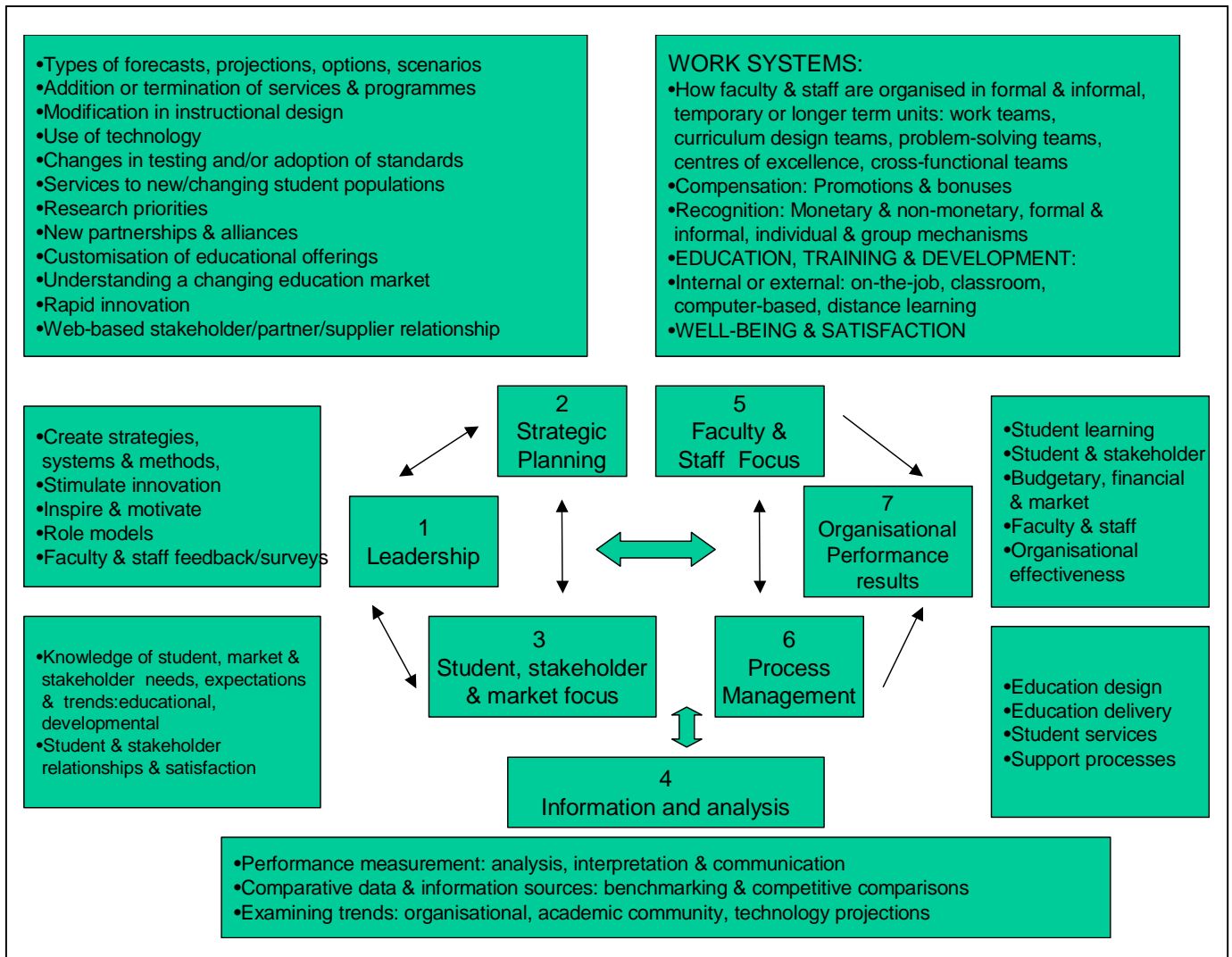
6.5 Phase 4 – Integration of quality models

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:

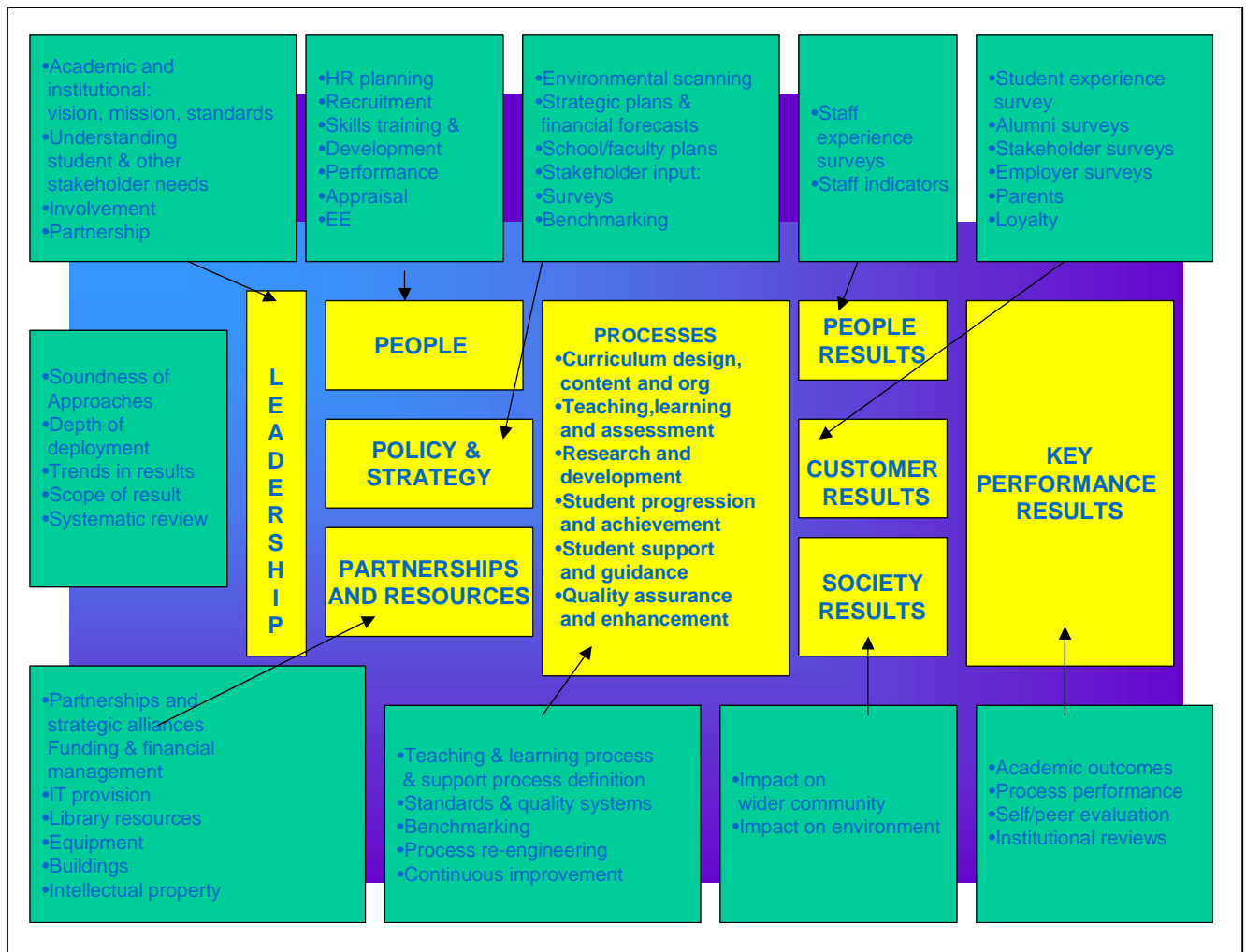
Fig 49: Linking the Malcolm Baldrige Education Criteria to the Malcolm Baldrige National Quality Awards



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.

CHAPTER 7: CONCLUSIONS, RECOMMENDATIONS AND PROPOSALS FOR FUTURE RESEARCH

7.1 Introduction

In the previous chapter the six phases and the results were discussed. In the final chapter of this thesis, the discussion focuses on the main conclusions, recommendations and proposals for future research.

7.2 General conclusions

7.2.1 The changing higher education landscape

The first three chapters referred to the challenges of globalisation and market competition facing higher education institutions worldwide. These challenges have put enormous pressure on higher education institutions to devise new ways of managing what have become more diverse and complex institutions. Specific reference was also made to the new legislative framework in South Africa and the merging of higher education institutions from 36 to 21 that will be comprised of 11 universities, 4 comprehensive institutions and 5 technikons.

What follows in Table 45 is a summary of the higher education trends/issues/challenges indicated by specialists referred to in Chapters 1 to 3.

Table 45: Trends/issues/challenges facing the higher education sector

Specialist/s	Trends/issues/challenges	Country
Cloete	<ul style="list-style-type: none"> • Diversify income streams • Reconfigure institutional missions • Forge new kinds of relationships 	South Africa
Singh	<ul style="list-style-type: none"> • Demonstrate efficiency, effectiveness and value for money • Declining investments of public funds • Dominance of managerial and entrepreneurial approaches 	South Africa

Specialist/s	Trends/issues/challenges	Country
	<ul style="list-style-type: none"> • Privatisation of higher education 	
Freed and Klugman	<ul style="list-style-type: none"> • Change management practices • Culture off quality improvement 	United States
Gumport	<ul style="list-style-type: none"> • Industry approach 	United States
Van Vught	<ul style="list-style-type: none"> • Challenges: <ul style="list-style-type: none"> ○ from other knowledge producers ○ students and employers ○ other education providers ○ new technologies 	Netherlands
Fehnel	<p>Increased:</p> <ul style="list-style-type: none"> ○ diversity in types of institutions and types of programmes and services on offer ○ reliance on partnerships and alliances ○ spectrum of interaction between co-operation and competition ○ reliance on private funding ○ innovation in teaching, learning, research, institutional management and supporting services 	United States
Clark	<ul style="list-style-type: none"> • Entrepreneurial university 	United States
Gibbons	<ul style="list-style-type: none"> • From knowledge production to knowledge configuration • Innovative and entrepreneurial: <ul style="list-style-type: none"> ○ Research ○ Teaching and learning ○ Knowledge transfer 	United States
Currie	<ul style="list-style-type: none"> • Enterprise university 	Australia
KPMG	<ul style="list-style-type: none"> • Corporate governance and risk management 	South Africa
Consortium for Excellence in higher education	<ul style="list-style-type: none"> • Clash between collegiality and managerialism • Competition • Increased demands from employers • Life-long learning 	United Kingdom

It is the researcher's opinion that academic self-assessment in conjunction with institutional self-assessment, based on a quality model that has been adapted for the higher education sector, will ensure continuous improvement. The institutional

self-assessment process should take cognisance of all the issues facing higher education institutions and ensure that they are addressed in the strategic plan.

7.2.2 The need for quality assurance in higher education

All the above **challenges** facing the higher education sector, have forced the sector to adopt continuous improvement principles. Both Freed and Klugman are of the opinion that as the problems facing higher education have grown, more institutions have adopted quality principles and practices, and they predict the trend will continue.

The main challenges facing higher education institutions are therefore:

- Change in the scale of higher education
 - o Internationalisation
 - o Global competitiveness
- Change in the university organisation
 - o Increase in number of higher education providers
 - o Size of institutions
 - o Mode of delivery
- Public accountability
 - o Answerable to the broader society
 - o Focus on good management
- Stakeholder expectations
 - o Customer expectations
- Competition for public funds

Prof Duma Malaza, Director of Quality Assurance at the University of Pretoria, also points out other trends including the growth in number of quality assurance agencies since the 1970's and the internationalisation of quality assurance comprising the UNESCO Global Forum on Quality Assurance, Accreditation and the Recognition of Qualifications, the World Bank Policy Framework for higher education and the International Network for Quality Assurance Agencies in Higher Education (INQAAHE – 1991).

7.2.3 Unique characteristics of higher education institutions

This thesis has acknowledged the fundamental differences and distinguishing features between higher education institutions and other organisations. However, higher education institutions also possess characteristics similar to most forms of organisations and therefore management principles also apply.

Cloete *et al* stated that the distinguishing features of higher education institutions present a challenge to the exercise of effective leadership in higher education.

It is the combination of various characteristics that have given higher education institutions their unique and paradoxical characteristic of being the engine of innovative ideas and practices on the one hand, whilst on the other also being extremely resistant to change.

Gibbons stated that it has long been recognised that higher education institutions, particularly universities, are among the most stable and change resistant social institutions to have existed during the past 500 years.

According to Prof Malaza, the **academic culture** in higher education institutions will be an important factor in quality assurance. The basic elements of academic freedom include the freedom of teachers to inquire into any subject that evokes their intellectual concern; to present their findings to their students, colleagues and others; to publish their data and conclusions without control or censorship; and to teach in the manner they consider professional. For students, the basic elements include the freedom to study subjects that concern them and to form conclusions for themselves and express their opinions.

The justification for academic freedom thus defined lies not in the comfort or convenience of teachers and students but in the benefits to society; i.e. the long-term interests of a society are best served when the educational process leads to the advancement of knowledge, and knowledge is best advanced when inquiry is free from restraints by the state, by the church or other institutions, or by specialist groups.

These are tensions between the ideal and the imperatives facing higher education institutions.

Prof Malaza points out that a university can be viewed in three ways that will influence values and judgements on continuous improvement:

- University as an **institution**: For students and staff, values are driven by the principles of individual and institutional autonomy and academic freedom
- University as an **enterprise**: For administrators, values are driven by the principles of effectiveness and efficiency
- University as an **agency**: For government and other external stakeholders, values are driven by principles of expectations of delivery

7.2.4 The fundamental concepts of quality models interpreted for the higher education sector

Chapter 1 defined the concept of **continuous improvement** as: “the overall way of working that results in balanced stakeholder satisfaction (customer, employees, partners, society, shareholders), so increasing the probability of long term success as an organisation”.

In an educational context, this means balancing the needs of students, staff, funding and regulatory bodies as well as those of local communities.

In recent versions of quality models, excellence is also defined as outstanding practice in managing the organisation and achieving results based on a set of **fundamental concepts**.

Throughout the thesis, reference was made to the **fundamental concepts** underlying the three quality models analysed. Scrutinising the visions and missions of South African higher education institutions, it would seem that they adhere to a combination of the following fundamental concepts or values as summarised in Table 46:

Table 46: Quality models – comparison of fundamental concepts

Malcolm Baldrige	EFQM	SAEM	South African Higher Education sector
Visionary leadership	Leadership and constancy of purpose	Leadership and constancy of purpose	x
Customer driven excellence	Customer focus	Customer focus	x
Organisational and personal learning	People development and involvement	People development and involvement	x
Valuing employers and partners	Partnership development	Partnership development	x
Agility			x
Focus on the future			x
Managing for innovation	Continuous learning, innovation and improvement	Continuous learning, innovation and improvement	x
Management by fact	Management by processes and facts	Management by processes and facts	x
Public responsibility and citizenship	Corporate social responsibility	Social responsibility	x
Focus on results and creating value	Results orientation	Results orientation	x
Systems perspective			x

In the following table, the fundamental concepts have been interpreted for the higher education sector.

Table 47: Quality models – fundamental concepts interpreted for the higher education sector

Fundamental concepts	Interpretation for higher education
Leadership and constancy of purpose	Clearly demonstrating visionary and inspirational leadership, which is transparent and open, with a constancy and unity of purpose which is shared by everyone in the institution
Customer focus	Anticipating, balancing and meeting the current and future needs of students, staff and stakeholders, through developing and setting a balanced range of appropriate indicators or targets, tracking performance, benchmarking, and taking appropriate action based on this comprehensive range of information
People development and involvement	Developing, involving and engaging staff, maximising their contribution in a positive way, with shared values and a culture of trust, openness and empowerment
Partnership development	Developing meaningful and mutually beneficial relationships, both internally and externally, in order to gain added value for partners, and support the achievement of both strategic and operational objectives
Agility	The ability to act quickly to the changing demands of students and stakeholders in terms of speed of response and flexibility to deliver
Focus on the future	Understanding the short- and longer-term factors that affect the organisation and the education sector and planning to take account of these
Continuous learning, innovation and improvement	Stimulating, encouraging, managing, sharing and acting on learning and experiences, making changes using innovation and creativity, and enabling continuous improvement to add value in a consistent way
Management by processes and facts	Understanding and systematically managing all activities through a set of interdependent and interrelated systems and processes, with decisions based on sound and reliably evidenced information
Social responsibility	Understanding, appreciating and considering the way in which the institution interacts with and impacts on the local and wider society, from both a practical and ethical perspective
Results orientation	Focusing clearly on and understanding students and other customers, their needs, expectations and values, keeping in consideration and valuing their contribution, and the contribution of other stakeholder groups

Fundamental concepts	Interpretation for higher education
Systems perspective	Successful management of the institution requires synthesis and alignment. Synthesis means looking at the organisation as a whole and focusing on what is important. Alignment means linking key strategies with key processes and aligning resources to improve overall performance and satisfy students and stakeholders.

(HEFCE, *EFQM Excellence Model Higher Education Version 2003*, 2003:5)

In chapter 3, emphasis was placed on self-assessment as a key driver for improving performance in an organisation. It is also a key concept of all the quality models. The majority of organisations that employ the models use it as a way of finding out where they are now, considering where they want to improve, and then making decisions on how to get there.

The five self-assessment approaches were discussed in Chapter 3. The HEFCE in *Applying self-assessment against the EFQM excellence model* (2003:8) indicates that the different approaches also vary in terms of requirement of resource and skill, and outcomes from the process undertaken. Table 48 indicates some of these differences, although all are subject to change if the assessment processes are enhanced, developed or combined in any way.

Table 48: Maturity of organisation vs effort required for self-assessment

Mature organisation	Appropriate questionnaire	Proforma supported by peer validation	Award simulation
Developing organisation	Questionnaire and workshop Matrix and workshop	Pro-forma Facilitated workshop	Pilot award simulation Pro-forma and workshop
Starting on the excellence journey	Elementary questionnaire Standard matrix	Standard questionnaire	Very detailed questionnaire or tailored matrix
	Low effort	Medium effort	High effort

(HEFCE – *Applying self-assessment against the EFQM excellence model in further and higher education* 2003:8)

If it can be assumed that higher education institutions are **developing organisations**, due to globalisation challenges and that they require **low effort** due to time and financial constraints, then a questionnaire and workshop is one of the preferred self-assessment approaches as proposed in 7.3.1 and 7.3.2.

Cognisance is taken of the fact all five self-assessment methods have benefits, as well as risks and issues as do the other three self-assessment methods. The benefits, risks and issues of the questionnaire and workshop methods are summarised as follows:

Questionnaire method

According to the HEFCE (2003:10-11) *Applying Self-Assessment against the EFQM Excellence Model in further and Higher Education*, the questionnaire method is deemed by the EFQM, as one of the least labour intensive, providing an existing questionnaire is used. Electronic versions which are available can make the collation of data quick and easy. Depending on the breadth and depth of the questionnaire, it can collect information on a very wide range of issues. Given a full distribution, it can obtain the views from everyone in the organisation.

The proposed higher education sector questionnaire in 7.3.2.1, has the following benefits, risks and issues as summarised in Table 49.

Table 49: Benefits, risks and issues of proposed higher education sector questionnaire

Benefits	Risks and issues
Quick and easy to apply	Prioritisation of strengths and areas for improvement cannot be ascertained
Can involve all the organisation's people	Accuracy of feedback is dependent upon the phrasing of the original questions
Supports communication efforts	There may be questionnaire fatigue within the organisation
Can be used in conjunction with other methods	Expectations can be raised and unfulfilled if timely, appropriate actions do not occur

Benefits	Risks and issues
The questions asked can be customised to suit the organisation	Questionnaires tell you what people think, not why they think it
Enables the organisation to receive feedback which can be segmented by function and by level	Does not allow for direct comparison with scoring profiles of other quality models
Can give a good visual reference if results are graphed	Scores can be derived, but can only be used realistically as trend data, rather than real scores

(HEFCE – Applying self-assessment against the EFQM excellence model in further and higher education 2003:10)

Workshop method

The workshop method can have five distinct phases:

- The development of understanding and shared purpose
- The gathering of information across the criteria of the Model
- Scoring the evidence gathered
- Identification and prioritisation of improvement actions
- Review

This is the most flexible of the methods, and is dependent on the time and resources within the organisation and skill of the facilitator. It is possible to undertake a self-assessment in one or two workshop sessions which are carefully planned, managed, and facilitated. Usually these phases will be undertaken throughout the session, although the review process may need to follow later in order to check progress against actions.

The proposed workshop format in 7.4.1.2 has the following benefits, risks and issues as summarised in Table 50.

Table 50: Benefits, risks and issues of proposed workshop

Benefits	Risks and issues
An excellent way to familiarise teams with the model	It is less robust than some of the other methods, as the information is based mainly on the opinion of those in the workshop
Supports team building	Requires expert facilitation, preparation, planning and management
An agreed list of strengths and areas for improvement is produced which helps drive improvement actions	Evidence of assessment, review and deployment can be difficult to assess
Allows for discussion and agreement regarding the strengths and areas for improvement, allowing a common view to be agreed	Can result in unrealistic, often over generous scoring
Encourages ownership and motivation towards taking the outcomes forward and ensure improvement actions are undertaken	

(HEFCE – Applying self-assessment against the EFQM excellence model in further and higher education 2003:11)

7.2.5 International trends in quality assurance and the South African Quality Assurance Framework

Based on observation on international trends in quality assurance, models in most countries include the following elements:

- A national co-ordinating body or bodies (six in the USA)
- A national framework that promotes development and self-reflection
- Institutional self-evaluation within a fitness for purpose approach
- External evaluation by academic peers; and
- Published reports

In the first two chapters reference was made to the South African Quality Assurance Framework, specifically the legislative framework requiring higher education institutions to comply with the SAQA Act (Act no 58 of 1995) and the

HEQC that has statutory responsibility to conduct institutional audits as indicated in the Higher Education Act of 1997.

It was pointed out that the quality assurance framework and criteria of the HEQC is based on a multi-faceted definition of quality comprising:

- Fitness of purpose based on national goals, priorities and targets
- Fitness for purpose in relation to a specified mission with a national framework that encompasses differentiation and diversity
- Value for money
- Transformation

The **fitness for purpose approach** is perhaps the best suited regarding quality and continuous improvement considering the unique characteristics of higher education institutions. This approach has a fundamental questioning of the “mission” and “purpose” of the institution and all operational unity in terms of:

Table 51: Questioning of the “mission” and “purpose” of the institution and all operational unity

Mission	What are we trying to do?
Structures and process	Why and how are we trying to do it?
Responsibility and accountability	Who is doing it?
Feedback improvement	How do the system and the people involved improve?

7.2.6 Which quality model for the higher education sector?

The three quality models were discussed and analysed in chapters 3 and 4, and Table 52 provides a comparison of the three quality models:

Table 52: Comparison of the three quality models

Malcolm Baldrige	EFQM	SAEM
1 Leadership	1 Leadership	1 Leadership
2 Strategic planning	2 People	2 Policy and strategy
3 Customer and market focus	3 Policy and strategy	3 Customer and market focus
4 Information and analysis	4 Partnerships and resources	4 People management
5 Human resource focus	5 Processes	5 Resources and information management
6 Process management	6 People results	6 Processes
7 Business results	7 Customer results	7 Impact on society
	8 Society results	8 Customer satisfaction
	9 Key performance results	9 People satisfaction
		10 Supplier and partnership performance
		11 Business results

Any of these models can be used in a higher education environment. Some institutions would prefer to use the MBNQA or the EFQM to benchmark themselves with overseas higher education institutions. In terms of direct benchmarking, it would be difficult to directly benchmark the criterion and sub-criterion as they are all subtly different. What could be achieved, however, is a more general benchmarking of themes or ‘approaches’. A look at processes and the process architecture of differing institutions using the different models could be considered eg the HR approaches, the development of performance management systems and indicators could be benchmarked.

The Sheffield Hallam Consortium looked at the Baldrige from a benchmarking perspective as they wanted to see how other higher education institutions have approached and implemented quality management, and some of the initiatives that

were subsequently put in place like communication, leadership development, and performance management.

7.3 Research conclusions and recommendations

The main objective of the thesis was to: “contextualise and integrate quality models to provide a framework for continuous improvement in higher education institutions”. The main objective also comprised seven sub-objectives and the conclusions and recommendations are provided in 7.3.1 to 7.8.1.

7.3.1 Phase 1: Proposed self-assessment quality workshops for higher education institutions

7.3.1.1 Conclusions

Prior to the completion of a self-assessment questionnaire, a workshop should be held to explain all the quality concepts and ensure that the respondents all share the same understanding. It is important for the concepts to be explored and interpreted by individuals and then contextualised in individual terms, if the context of higher education institution systems, processes and understanding of their individual and collective situation is to be reflected accurately. Specific concepts like leaders, clients, stakeholders, process should be clearly defined.

7.3.1.2 Recommendations

When introducing quality principles in the higher education sector, it is important to share and understand the concepts fully. Putting the emphasis on the fundamental concepts in a positive way, which is not interpreted as challenging any of the existing values that may already be apparent in the institution, can be a helpful introduction to the SAEM.

To move straight into an explanation of the SAEM itself can create confusion and can lead to issues around the language of the SAEM. On a practical level, it leads to an academic analysis of the SAEM itself, its validity and evidence base,

providing a digression which hinders consideration of the principles on which it is based.

7.3.1.2.1 Proposed self-assessment methodology

It is proposed that the self-assessment methodology should comprise workshops and questionnaires.

7.3.1.2.2 Proposed self-assessment quality workshop

A two-hour workshop should provide an overview of:

- Issues facing higher education institutions
- International excellence models
- Excellence models in higher education
- The SAEM

7.3.2 Phase 2 and 5: Proposed Higher Education Sector Level 3 questionnaire and benchmarking format

7.3.2.1 Conclusions

The SAEM Public Sector Level 3 questionnaire, if adapted, can be used in the Southern African higher education sector. In adapting the questionnaire, the following issues need to be addressed:

7.3.2.1.1 Questionnaire format

- Applying terminology that is used in higher education
- Defining terminology
- Defining criteria
- Clarifying criterion parts
- Clarifying areas to address

7.3.2.1.2 Scoring format

- The four-point scale as proposed by the SAEF should be used.

7.3.2.1.3 Scoring the enablers and results

Scores 1-4 for the enablers, need to be defined as well as scores 1-4 for the results.

7.3.2.2 Recommendations

7.3.2.2.1 Proposed questionnaire format

The adapted SAEM public sector level 3 self-assessment questionnaire is provided in **Appendix 2 – Proposed Higher Education Level 3 Questionnaire**

Table 53: Proposed scoring

SAEM level 3 – Public service				SAEM level 3 – Higher education			
Scoring the enablers and results				Scoring the enablers and results			
1	2	3	4	0	1	2	3
Not started	Some progress	Good progress	Fully achieved	Not started	Some progress	Good progress	Fully achieved

Table 54: Proposed enabler scoring

Areas of improvement are scores of 0 and 1	
Score 0 (not started)	<ul style="list-style-type: none"> • Someone may have some good ideas, but nothing has happened yet
Score 1 (some progress)	<ul style="list-style-type: none"> • Some evidence of soundly based, systematic approaches and prevention based systems • Subject to occasional review • Some areas of integration into normal operations
Strengths are scores of 2 and 3	
Score 2 (good progress)	<ul style="list-style-type: none"> • Evidence of soundly based, systematic approaches and prevention based systems • Subject to regular review with respect to institutional effectiveness • Integration into normal operations and planning well established

Score 3 (fully achieved)	<ul style="list-style-type: none"> • Clear evidence of soundly based, systematic approach and prevention based systems • Clear evidence of refinement and improved institutional effectiveness through review cycles • Approach has become totally integrated into normal working patterns • Could be used as a role model for other institutions
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Table 55: Proposed results scoring

Areas of improvement are scores of 0 and 1	
Score 0 (no measurements)	<ul style="list-style-type: none"> • No data available. No results or information at all
Score 1 (some measurements)	<ul style="list-style-type: none"> • Some results show positive trends and /or satisfactory performance • Some favourable comparisons with own targets
Strengths are scores of 2 and 3	
Score 2 (3-year trend)	<ul style="list-style-type: none"> • Many results show positive trend and/or sustained good continued performance over at least three years • Favourable comparisons with own targets in many cases • Favourable comparisons with external organisations in many areas
Score 3 (excellent 3- year trend)	<ul style="list-style-type: none"> • Most results show strong positive trends and/or sustained excellent performance over at least three years • Favourable comparisons with own targets in most cases • Favourable comparisons with external organisations in many areas • Many results are caused by approach

IMPORTANT NOTE: Descriptive evidence in the form of charts, graphs and/or tables that demonstrate relevant trends should be included as attachments when answering this particular section of the questionnaire.

7.3.2.3 Proposed format to benchmark faculties and service departments

7.3.2.3.1 Conclusions

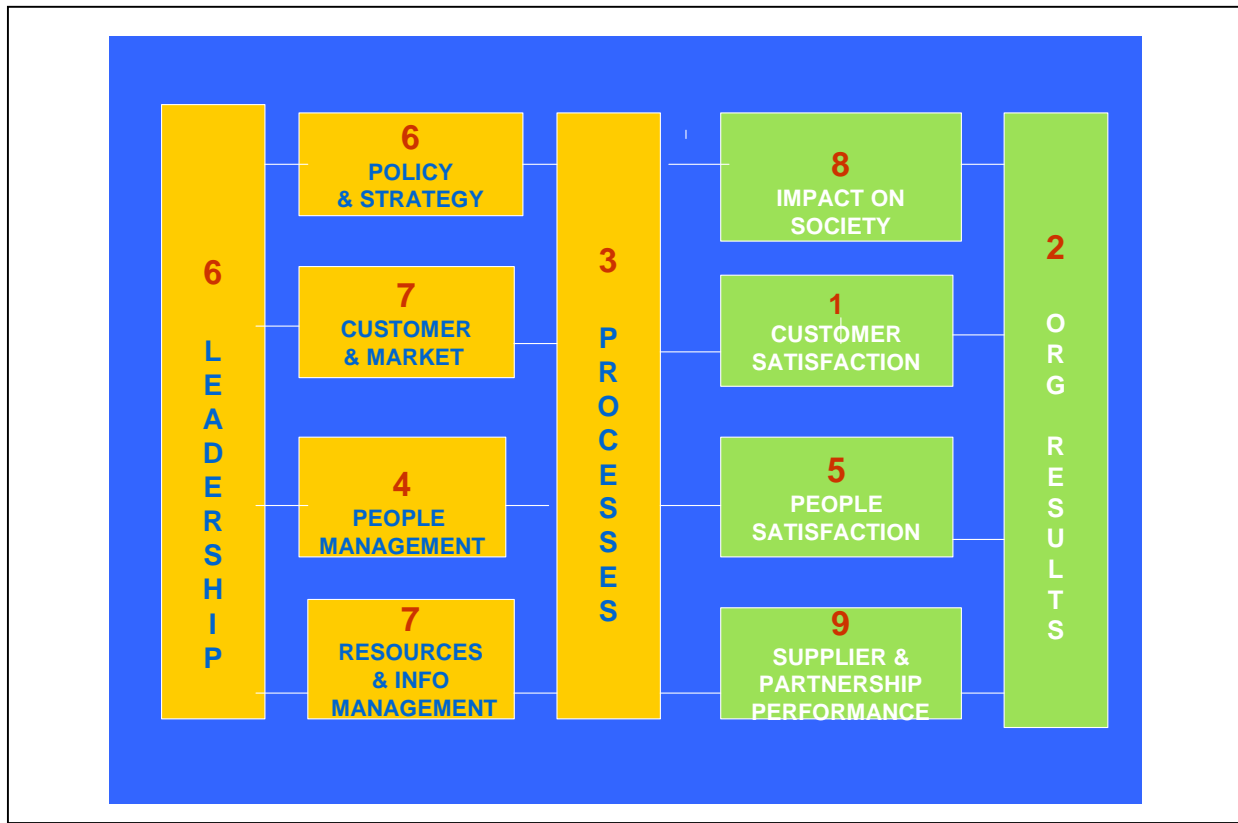
The results of SAEM can be used to benchmark faculties and service departments in a higher education institution. The results can also be used to benchmark institutions in the higher education sector in Southern Africa as well as benchmarking with the EFQM and the Malcolm Baldrige awards to determine best practices.

The summary of the SAEM results provides an opportunity to compare rankings of faculty and departmental criteria and to determine which criteria are most in need of addressing the areas to improve.

7.3.2.3.2 Recommendations – Proposed benchmarking format

It is proposed that the criteria where there is the biggest difference between the **actual score** and the **weighted score** be ranked on the SAEM as follows:

Fig 51: Ranking of the criteria where there is the biggest difference between the actual score and the weighted score on the SAEM



7.3.3 Phase 3: Self-assessment results linked to the SWOT strategy and the BSC

7.3.3.1 Conclusions

Positioning self-assessment as part of an integral planning approach, ensures that the **real** strengths and areas for improvement are addressed in the strategic objectives. Using self-assessment as part of the planning process can lead to a greater clarity of focus and more resourceful and strategically focused plans. Furthermore, linking the strategic objectives to the BSC, ensures that the objectives are quantified and measured.

7.3.3.2 Recommendations

It is proposed that a strategy session provide a programme comprising an overview relevant to the specific unit/school/department/faculty. The programme will also comprise a strategic framework and process as set out in Table 56.

Table 56: Proposed strategy programme

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

It is proposed that the following strategic framework (Fig 52) be used during the strategy session as it is applicable to higher education institutions.

Fig 52: Proposed strategic framework



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

It is proposed that the strategic process (Fig 53) be followed as it is applicable to higher education institutions.

Fig 53: Proposed strategic process

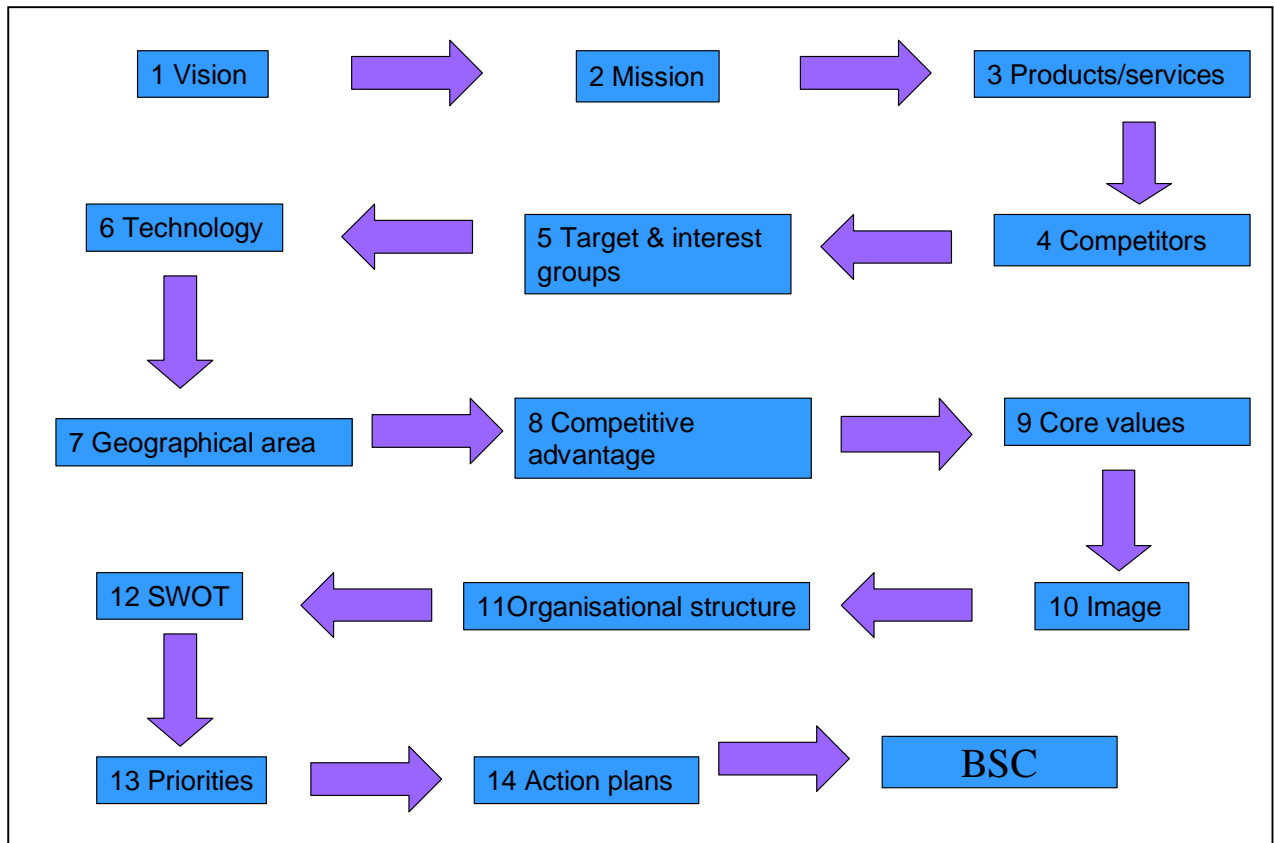


Table 57: Proposed format for listing strategic objectives

Objective	Key actions	Resp	Date

Table 58: Proposed format for ranking the criteria

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 54: Proposed format to link faculty/department strategic objectives to the BSC

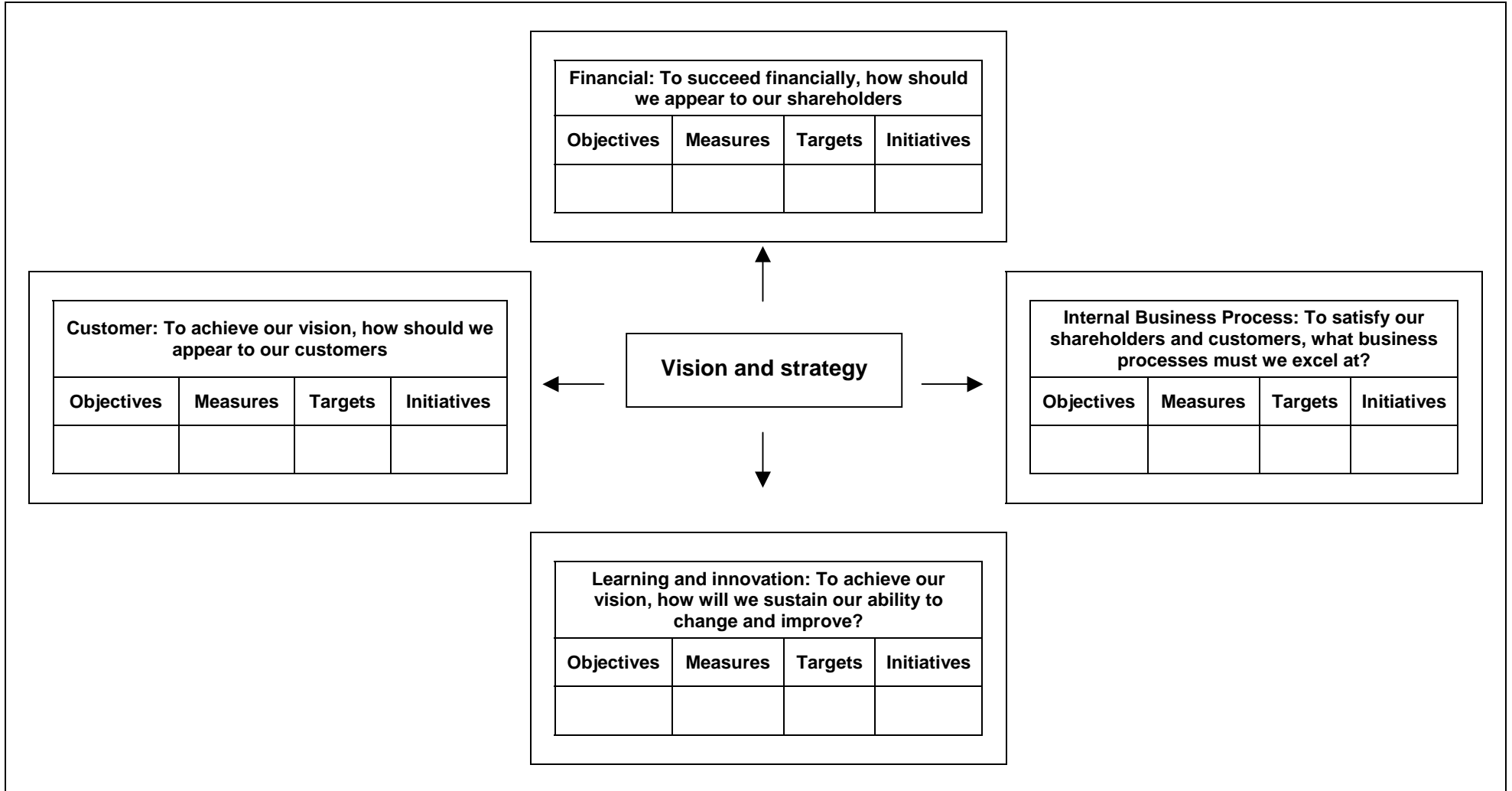
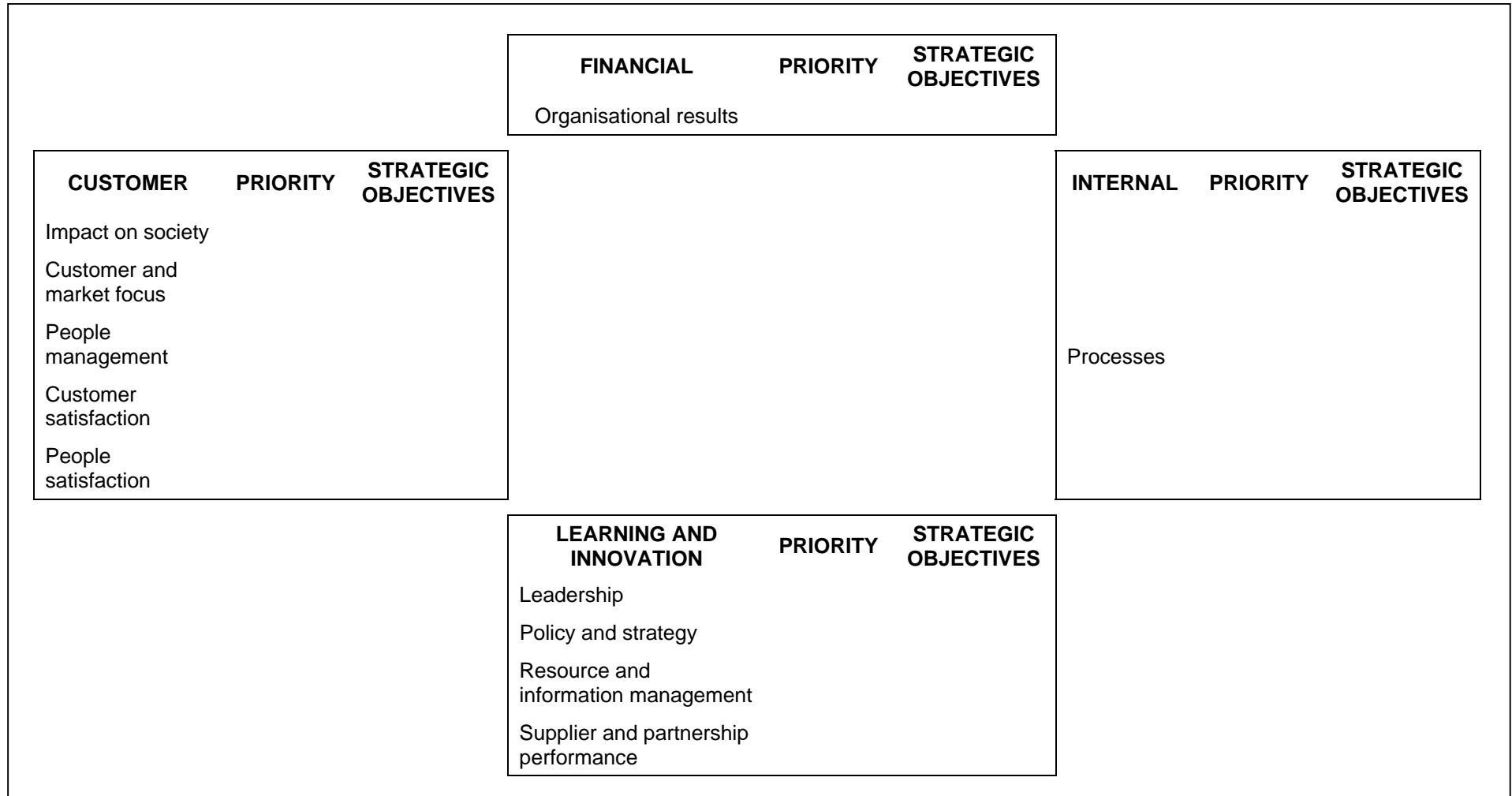


Fig 55: Proposed format to plot SAEM priorities and strategic objectives on the BSC



7.3.3.3 Proposed linking of disciplines for example marketing and communication to quality models

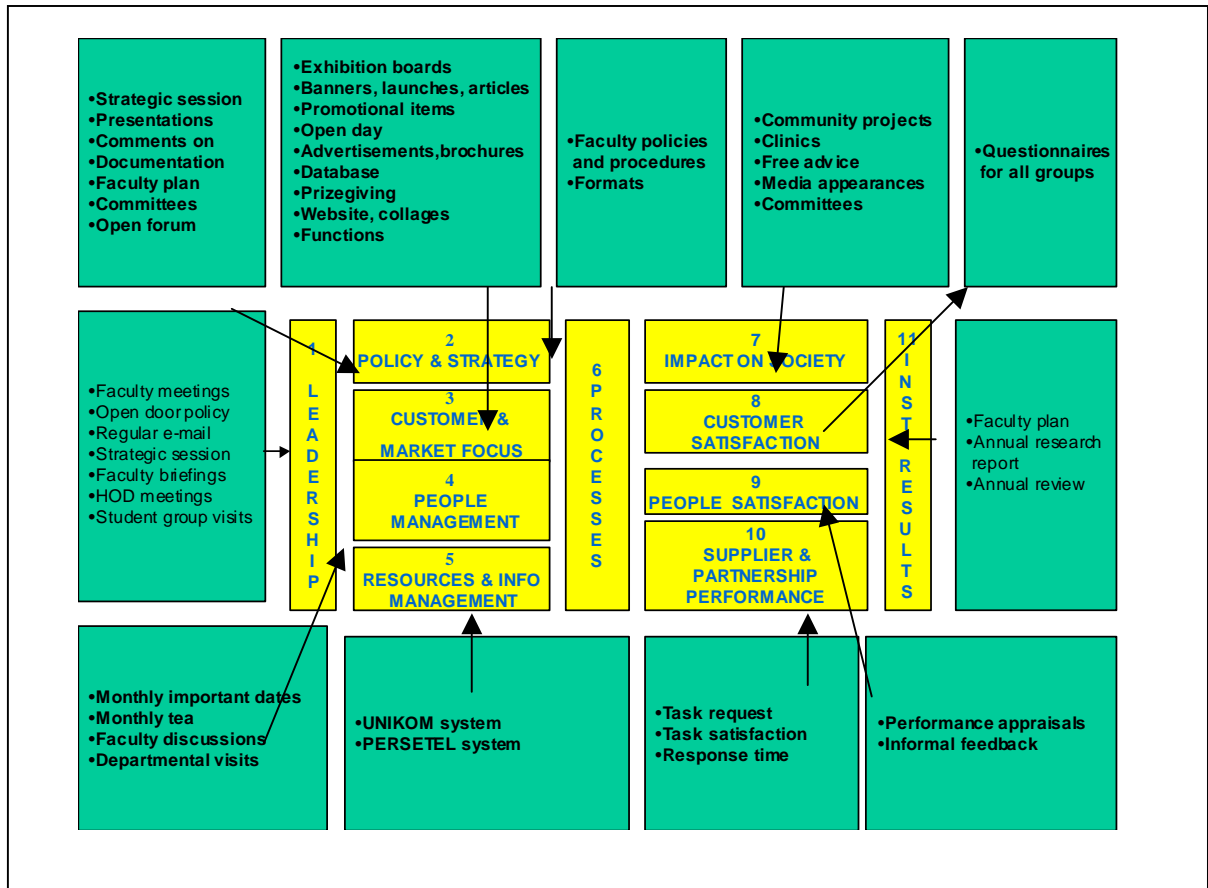
7.3.3.3.1 Conclusions

The initiatives of the various disciplines for example Marketing and communication, HR, Finance, and IT can be linked to the SAEM. This will ensure that all the initiatives are geared at addressing the areas for improvement according to the priority criteria. For example, if Criteria 1 (Leadership) is ranked as the top criteria priority, the disciplines can ensure that their initiatives are prioritised to address this issue.

Each of the strategic objectives could be broken down into the objective, key action, responsibility and date. These key marketing and communication activities could be detailed into the various types of communication for example functions, publications, electronic communication, advertisements, liaison, and research according to a year plan.

7.3.3.2 Recommendations

Fig 56: Proposed format to link marketing and communication initiatives to the SAEM



7.3.2 Phase 4: Proposed linking of continuous improvement initiatives for the higher education sector to quality models

7.3.3.1 Conclusions

It is clear from the lessons learnt from the Malcolm Baldrige Award and the EFQM, that higher education institutions need to have certain non-negotiable issues in place to ensure continuous improvement.

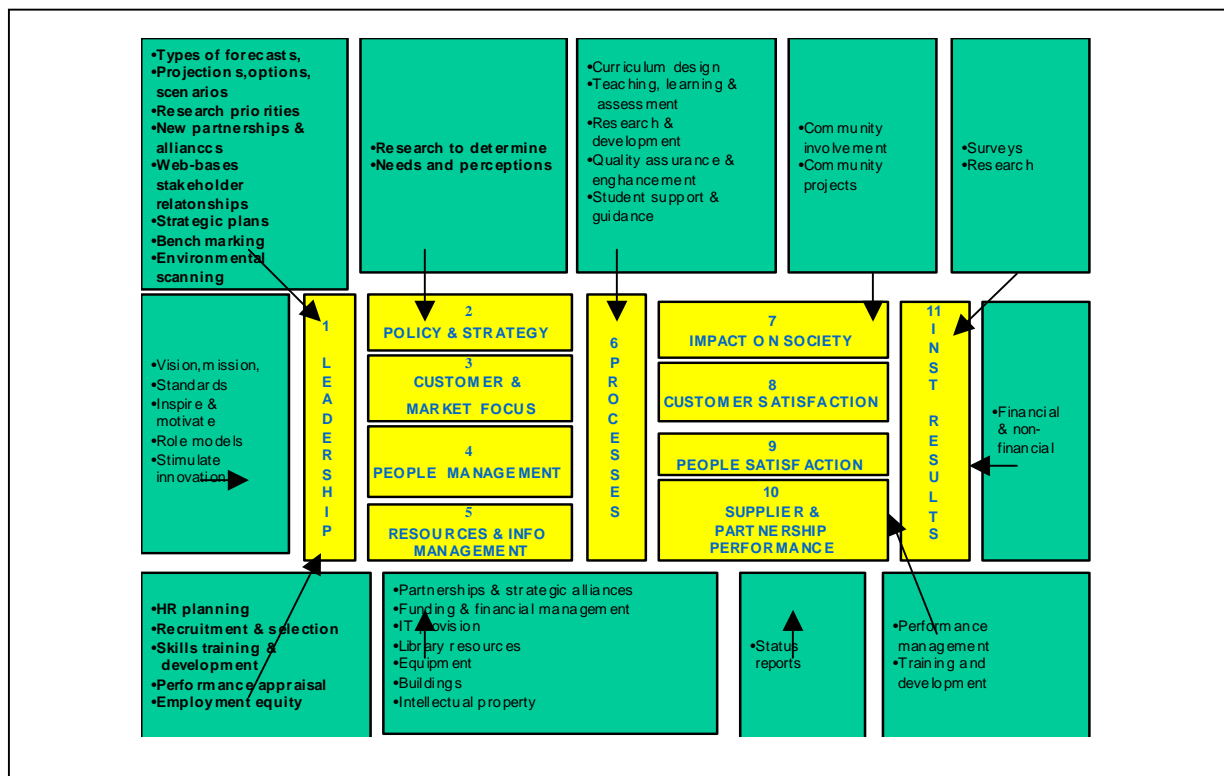
Regarding each of the criteria, certain initiatives have emerged that need to be considered in the Southern African higher education sector. These initiatives are described in 7.7.2.1.

7.3.3.2 Recommendations

7.3.3.2.1 A framework for linking continuous improvement initiatives for the higher education sector to the SAEM

Based on the lessons learnt from Malcolm Baldrige and the EFQM, certain initiatives should be considered as guidelines when considering initiatives to address criteria

Fig 57: A framework for linking continuous improvement initiatives for the higher education sector to the SAEM



7.3.5. Phase 6: A framework for continuous improvement for the higher education sector, based on quality models

7.3.5.1. Conclusions

All South African higher education institutions are required to apply for accreditation as stipulated by the HEQC. Although most institutions have been

using **academic self-assessment** methodology for many years, very few, if any have embarked on the journey of **institutional self-assessment**.

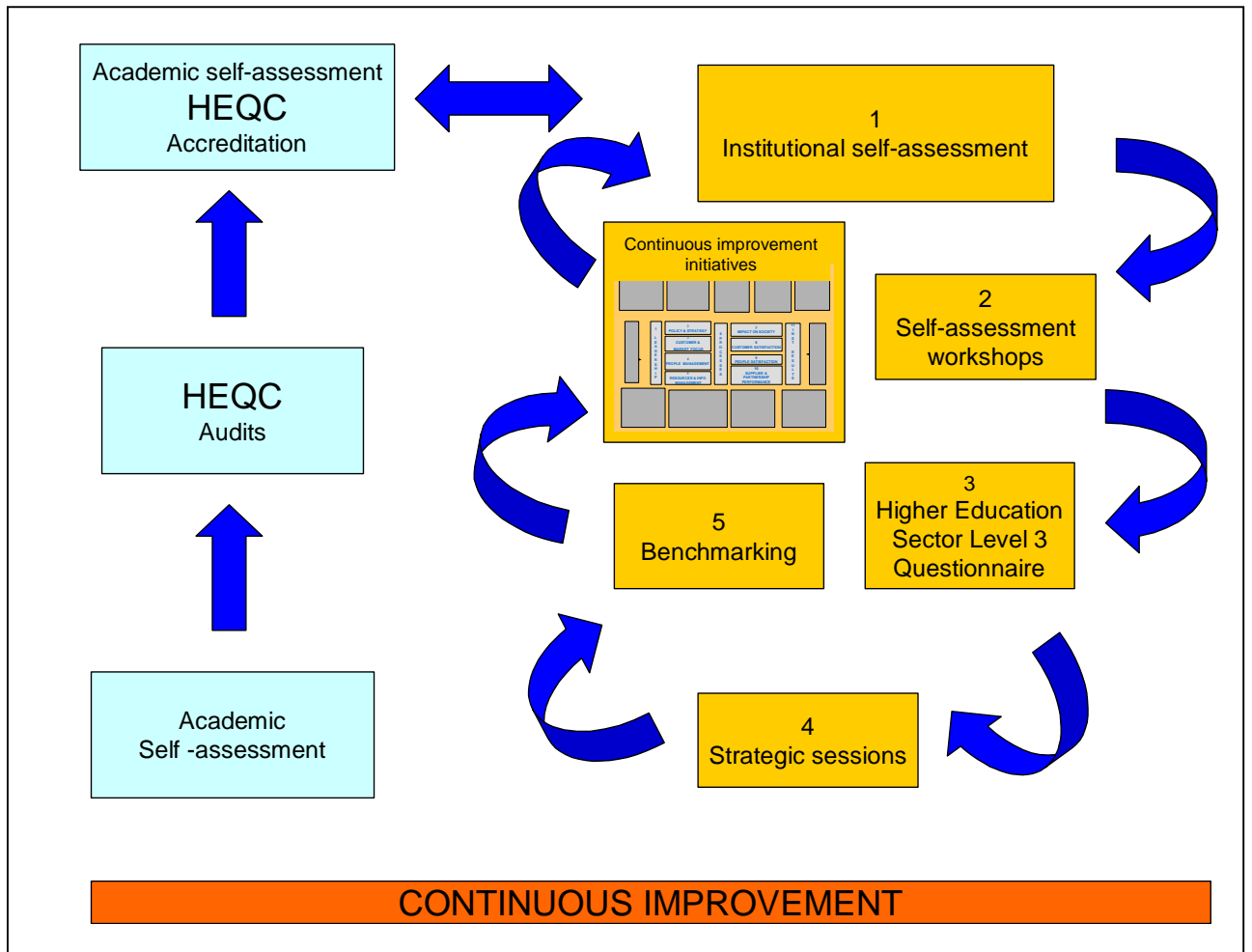
Institutional self-assessment is a process and comprises a combination of self-assessment methodologies. It is proposed that a **self-assessment workshop** be conducted prior to the completion of the **SAEM higher education questionnaire**. At the strategic session, it is proposed that the findings of the questionnaire be verified and that the **proposed strategy programme, strategic framework, process** and the **proposed formats for listing strategic objectives, ranking the criteria, linking objectives to the BSC and plotting SAEM priorities and strategic objectives on the BSC**, be used.

It is also proposed that the findings of the self-assessment process be used to **benchmark** faculties, departments at higher education institutions, but that higher institutions also be benchmarked in Southern Africa and then with other quality models worldwide to share best practices.

This whole process is proposed in the framework in Fig 58.

7.3.5.2 Recommendations

Fig 58: A proposed framework for continuous improvement in the higher education sector



7.4 Proposals for future research

Given the number of role players in the South African Higher Education sector, the possibilities of commissioned research, theses and dissertations on the topic of continuous improvement, and particularly institutional self-assessment, is virtually limitless.

7.4.1 Department of Education research

The Department of Education (DoE), has given the responsibility for quality assurance to the Council on Higher Education (CHE), who in turn have appointed the Higher Education Quality Committee (HEQC) to manage the quality assurance activities of all public and private providers operating in the higher education band.

The first cycle of HEQC audits start in 2004-2009 to measure the actual quality of the outputs to teaching and learning, research and service learning. If the general objectives of the audits are met, higher education institutions will be able to assure themselves, their stakeholders and the HEQC, that their policies, systems and processes for the development, maintenance and enhancement of quality in all its educational offerings are functioning effectively.

These audits, however, will not necessarily measure institutional quality criteria as provided in the quality models. The HEQC could consider complimenting their audits with self-assessment quality models that have been adapted by higher education institutions in the United States and the United Kingdom. This will allow benchmarking of South African higher institutions with higher institutions worldwide.

7.4.2 South African higher education institutions, faculty and departmental research

Higher education institutions, faculties and departments could only benefit by using a quality model and the self-assessment process to research where they are

now, considering where they want to improve and then making decisions on how to get there.

7.4.3 Researching disciplines in higher education institutions

The disciplines like Human Resources, Finances, Marketing and Communication, IT, and Facilities management can use quality models to research where their areas for improvement and strengths are, and align them to the overall strategy of the institution to ensure that they add value to the institution.

7.4.4 Benchmark research

Higher education institutions, faculties and departments can use quality models to benchmark themselves within the institution, with other South African higher education institutions as well as international higher education institutions.

7.5 Concluding remarks

The higher education sector worldwide is being challenged with issues it has never faced before. Although it is acknowledged that these institutions are unique, there is also growing acceptance that general management principles need to be adopted if these institutions are to survive the 21st century.

Academic and institutional quality will be what sets the institutions apart from each other. The commitment to continuous improvement will become a necessity, not an option, for survival.

The continuous improvement journey is a long and arduous one as borne out by this thesis, the lessons learnt from other organisations and higher education institutions worldwide. However, if institutions are willing to commit resources and focus on long-term objectives, they will discover that it is worthwhile in the long run.

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APPENDIX 1:
SAEM PUBLIC SECTOR LEVEL 3 QUESTIONNAIRE

Criterion 1: Leadership		Not started	Some progress	Good progress	Fully achieved
1a.	How leaders visibly demonstrate their commitment to a culture of Performance Excellence.				
1a.1	Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?				
1a.2	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?				
1a.3	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?				
1a.4	Do the leaders in my organisation review and improve the effectiveness of their own leadership?				
1a.5	Do the leaders in my organisation actively become involved in transformation processes?				
1a.6	Do the leaders in my organisation address public responsibilities and practice good citizenship?				

Criterion 1: Leadership		Not started	Some progress	Good progress	Fully achieved
1b.	How do leaders support improvement and involvement.				
1b.1	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?				
1b.2	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?				
1b.3	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?				
1c.	How leaders recognise and appreciate people's efforts and achievements.				
1c.1	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?				
1c.2	Do the leaders in my organisation recognise individuals and teams outside the organisation (for example, customers, suppliers and partners)?				

Criterion 2: Policy and Strategy		Not started	Some progress	Good progress	Fully achieved
2a.	How policy and strategy are developed, communicated and implemented.				
2a.1	Does my organisation develop policy and strategy based upon: <ul style="list-style-type: none"> ○ performance indicators? ○ customer and stakeholder requirements? ○ organisation's peoples capabilities? ○ supplier and partner capabilities? ○ government initiatives, directions and standards? 				
2a.2	Does my organisation communicate policy and strategy to its people?				
2b.	How policy and strategy are regularly reviewed, updated and improved?				
2b.1	Does my organisation review performance requirements and key performance measures?				
2b.2	Does my organisation track performance relative to plans?				

Criterion 3: Customer and Stakeholder Focus		Not started	Some progress	Good progress	Fully achieved
3a.	How customer and stakeholder needs are determined and used.				
3a.1	Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?				
3a.2	Does my organisation evaluate, process and act on information received?				
3a.3	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?				
3b.	How customer and stakeholder satisfaction is determined.				
3b.1	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?				
3b.2	Does my organisation resolve complaints promptly and effectively?				

Criterion 4: People Management		Not started	Some progress	Good progress	Fully achieved
4a.	How people capabilities are developed and reviewed.				
4a.1	Does my organisation align the people resources plan with policy, strategy and values?				
4a.2	Does my organisation orientate new employees?				
4a.3	Does my organisation develop people through work experience?				
4a.4	Does my organisation acknowledge and manage cultural diversity within the workforce?				
4b.	How people are involved, empowered and recognition is ensured.				
4b.1	Does my organisation involve all its people (as individuals and teams) in continuous improvement activities?				
4b.2	Does my organisation empower people to take action and evaluate the effectiveness?				
4b.3	Does my organisation achieve effective up, down and lateral communication?				

Criterion 4: People Management		Not started	Some progress	Good progress	Fully achieved
4b.4	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?				
4c.	How people are cared for.				
4c.1	Does my organisation include well-being factors in improvement activities - for example, health and safety?				

Criterion 5: Resources and Information Management		Not started	Some progress	Good progress	Fully achieved
5a.	How financial resources are managed.				
5a.1	Does my organisation use financial management to support policy and strategy?				
5a.2	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?				
5a.3	Does my organisation analyse and review organisation performance against budget?				
5b.	How information resources are managed.				
5b.1	Does my organisation structure and manage information to support policy and strategy?				
5b.2	Does my organisation evaluate and keep current with changing customer and stakeholder needs?				
5b.3	Does my organisation ensure everyone has appropriate information to do their work?				

Criterion 5: Resources and Information Management		Not started	Some progress	Good progress	Fully achieved
5c.	How materials and other resources are managed.				
5c.1	Does my organisation make best use of buildings, equipment and other resources?				
5c.2	Does my organisation manage tender processes and contracts effectively?				
5c.3	Does my organisation identify, evaluate and use alternative and emerging technologies?				
5c.4	Does my organisation manage and optimise material inventories?				
5c.5	Does my organisation improve supplier and partner relationships?				

Criterion 6: Processes		Not started	Some progress	Good progress	Fully achieved
6a.	How processes (key to the success of the organisation) are identified and systematically managed.				
6a.1	Does my organisation identify key processes? 				
6a.2	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes? 				
6a.3	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements? 				
6a.4	Does my organisation establish process ownership, responsibility and accountability? 				
6a.5	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management? 				
6b.	How processes are reviewed and targets are set for improvement.				
6b.1	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough? 				

Criterion 6: Processes		Not started	Some progress	Good progress	Fully achieved
6b.2	Does my organisation encourage the innovation and creative talents of employees in process improvement?				
6b.3	Does my organisation manage and support new or process changes through testing, communication and review?				

Criterion 7: Social Responsibility		Not started	Some progress	Good progress	Fully achieved
7.	Measurements of the organisation's impact on the local society.				
7.1	Does my organisation have results (supporters by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?				
7.2	Does my organisation have results (supported by numbers) that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?				
7.3	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?				
7.4	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?				

Criterion 8: Customer and Stakeholder Satisfaction		Not started	Some progress	Good progress	Fully achieved
8.	Measurements relating to the satisfaction of the organisation's customers and stakeholders.				
8.1	Does my organisation have results (supported by numbers) that show trends in relation to improved overall image? Areas to consider are: <ul style="list-style-type: none"> ○ fairness and courtesy ○ integrity ○ level of customer satisfaction and dissatisfaction ○ communication ○ awards and allocates received. 				
8.2	Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are: <ul style="list-style-type: none"> ○ accessibility of service ○ responsiveness and flexibility in meeting customer needs ○ defect ,error and waste ○ reliability and sustainability of service ○ cost of service ○ response time ○ percentage of complaints resolved on first contact ○ documentation simplicity, convenience and accuracy 				

Criterion 9: People Satisfaction		Not started	Some progress	Good progress	Fully achieved
9.	Measurements relating to the satisfaction of the organisation's people.				
9.1	<p>Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ ethical conduct ○ safe and pleasant working environment ○ equal opportunities ○ training and development ○ recognition and appreciation of individuals and teams. 				
9.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ absenteeism ○ grievances ○ staff turnover ○ strikes and disputes ○ accident levels ○ use of facilities provided by the organisation (for example, recreation, crèche) 				
9.3	<p>Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accuracy of personnel administration ○ communication effectiveness ○ speed of response to enquiries 				

Criterion 10: Suppliers and Partnership Performance		Not started	Some progress	Good progress	Fully achieved
10.	Measurements relating to the performance of the organisation's suppliers and partners.				
10.1	Does my organisation have results (supported by numbers) that show trends in integrity?				
10.2	Does my organisation have results (supported by numbers) that show trends in reliability?				
10.3	Does my organisation have results (supported by numbers) that show trends in performance levels?				
10.4	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?				
10.5	Does my organisation have results (supported by numbers) that show trends enhancement of supplier and partner knowledge?				
10.6	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?				

Criterion 10: Suppliers and Partnership Performance		Not started	Some progress	Good progress	Fully achieved
10.7	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?				
10.8	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?				
10.9	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?				
10.10	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?				

Criterion 11: Organisation Results		Not started	Some progress	Good progress	Fully achieved
11a.	Financial measurements of the organisation's performance.				
11a.1	Does my organisation have results (supported by numbers) that show trends in areas such as: <ul style="list-style-type: none"> ○ gross margins? ○ net surplus (for example, trading services)? ○ Sales (for example, electricity and water)? 				
11a.2	Does my organisation have results (supported by numbers) that show trends in balance sheet items including <ul style="list-style-type: none"> ○ long term borrowing? ○ total sales? ○ working capital (including inventory turnover)? 				
11a.3	Does my organisation have results (supported by numbers) that show trends in cash flow items including <ul style="list-style-type: none"> ○ operating cash flow? 				
11a.4	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as: <ul style="list-style-type: none"> ○ outstanding debtors (for example, non-payment and credit control)? ○ return on funds? 				

Criterion 11: Organisation Results		Not started	Some progress	Good progress	Fully achieved
11b.	Additional measurements of the organisation's performance.				
11b.1	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?				
11b.2	Does my organisation have results (supported by numbers) that show trends in key processes relating to areas such as: <ul style="list-style-type: none"> ○ defect rate? ○ productivity? ○ service time? 				
11b.3	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as: <ul style="list-style-type: none"> ○ accessibility? ○ relevance? ○ timeliness? 				
11b.4	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as: <ul style="list-style-type: none"> ○ inventory turnover? ○ price? ○ response time? 				

Criterion 11: Organisation Results		Not started	Some progress	Good progress	Fully achieved
11b.5	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as: <ul style="list-style-type: none"> ○ maintenance costs? ○ utilisation? 				
11b.6	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as: <ul style="list-style-type: none"> ○ impact on service efficiency? 				

APPENDIX 2:

Proposed Higher Education Sector Level 3 Questionnaire

Criterion 1: Leadership		1	2	3	4
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		Not started	Some progress	Good progress	Fully achieved
1a.	How leaders visibly demonstrate their commitment to a culture of continuous improvement. Do the leaders in my institution:				
1a.1	Set institution direction and seek future opportunities for the institution?				
1a.2	Act as role models for the institution's values and expectations, leading by example?				
1a.3	Make themselves accessible, listen and respond to the institution's staff, clients and stakeholders?				
1a.4	Review and improve the effectiveness of their own leadership?				
1a.5	Become actively and personally involved in transformation activities?				
1a.6	Address public responsibilities and practice good citizenship?				
1b.	How leaders support improvement and involvement by providing appropriate resources and assistance. How they are involved with clients, stakeholders and suppliers. Do the leaders in my institution:				
1b.1	Fund continuous learning, facilitation and improvement activities?				
1b.2	Use appraisal and promotion systems to support improvement and involvement?				
1b.3	Become involved with clients, stakeholders and suppliers to understand and respond to mutual interests?				
1c.	How leaders recognise and appreciate people's efforts and achievements. Do the leaders in my institution:				
1c.1	Recognise individuals and teams at all levels within the organisation?				
1c.2	Recognise individuals and teams outside the organisation (for example, clients, suppliers and partners)?				

Criterion 2: Policy and strategy		1	2	3	4
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		Not started	Some progress	Good progress	Fully achieved
2a.	How policy and strategy are developed, communicated and implemented and how the institution identifies, aggregates, analysis and uses information How does my institution:				
2a.1	Develop policy and strategy based upon: <ul style="list-style-type: none"> o legislative requirements? o performance indicators/strategic drivers? o client and stakeholder requirements? o institution's people capabilities? o supplier and partner capabilities? o government initiatives, directions and standards? 				
2a.2	Communicate policy and strategy to its employees?				
2b.	How policy and strategy are regularly reviewed, updated and improved. Does my institution:				
2b.1	Review performance requirements and key performance measures?				
2b.2	Track performance relative to plans?				

Criterion 3: Client and stakeholder focus		1	2	3	4
How the institution: <ul style="list-style-type: none"> determines the needs, requirements and expectations of clients and stakeholders enhances relationships and determines satisfaction of clients and stakeholders. 		Not started	Some progress	Good progress	Fully achieved
3a.	How client and stakeholder needs are determined and used. Does my institution:				
3a.1	Evaluate and improve its approach to listening and learning from clients and stakeholders?				
3a.2	Evaluate, process and act on information received?				
3a.3	Determine and review client and stakeholder contact requirements and deploy the requirements to all staff?				
3b.	How client and stakeholder satisfaction is determined. Does my institution:				
3b.1	Follow up with clients and stakeholders on products and services to receive prompt and actionable feedback?				
3b.2	Resolve complaints promptly and effectively?				

Criterion 4: People management		1	2	3	4
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		Not started	Some progress	Good progress	Fully achieved
4a.	How people capabilities are developed and reviewed. Does my institution:				
4a.1	Align the human resources plan with policy, strategy and values?				
4a.2	Orientate new employees?				
4a.3	Develop people through work experience?				
4a.4	Acknowledge and manage cultural diversity within the workforce?				
4b.	How people are involved, empowered and recognition is ensured. Does my institution:				
4b.1	Involve all its people (as individuals and teams) in continuous improvement activities?				
4b.2	Empower people to take action and evaluate their effectiveness?				
4b.3	Achieve effective up, down and lateral communication?				
4b.4	Design and apply innovative systems to sustain involvement, empowerment and achievement?				
4c.	How people are cared for. Does my institution:				
4c.1	Include well-being factors in improvement activities – for example, health and safety?				

Criterion 5: Resources and information management		1	2	3	4
How the institution manages and uses resources and information effectively and efficiently.		Not started	Some progress	Good progress	Fully achieved
5a.	How financial resources are managed. Does my institution:				
5a.1	Use financial management to support policy and strategy?				
5a.2	Improve financial parameters, such as cash flow, income and expenditure?				
5a.3	Analyse and review institutional performance against budget?				
5b.	How information resources are managed. Does my institution:				
5b.1	Structure and manage information to support policy and strategy?				
5b.2	Evaluate and keep current with changing client and stakeholder needs?				
5b.3	Ensure everyone has appropriate information to do their work?				
5c.	How materials and other resources are managed. Does my institution:				
5c.1	Make best use of buildings, equipment and other resources?				
5c.2	Manage tender processes and contracts effectively?				
5c.3	Identify, evaluate and use alternative and emerging technologies?				
5c.4	Manage and optimise material inventories? (eg asset management)				
5c.5	Improve supplier and partner relationships?				

Criterion 6: Processes		1	2	3	4
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		Not started	Some progress	Good progress	Fully achieved
6a.	How processes (key to the success of the institution) are identified and systematically managed. Does my institution:				
6a.1	Identify key processes?				
6a.2	Incorporate changing client and stakeholder requirements into product and service processes?				
6a.3	Design product, service and delivery processes to meet quality standards and operational performance requirements?				
6a.4	Establish process ownership, responsibility and accountability?				
6a.5	Use established systems, for example, self-assessment, quality, environmental, health and safety systems in process management?				
6b.	How processes are reviewed and targets are set for improvement. Does my institution:				
6b.1	Continuously identify and prioritise methods of improvement, both incremental and breakthrough?				
6b.2	Encourage the innovation and creative talents of employees in process improvement?				
6b.3	Manage and support new or process changes through testing, communication and review?				

Criterion 7: Impact on society		1	2	3	4
What an institution achieves in relation to local, national and international society at large. This includes the perception of the institution's approach to: <ul style="list-style-type: none"> ○ quality of life ○ environment and the conservation of global resources ○ institution's own internal measures of effectiveness ○ its relations with other authorities and bodies which affect and regulate its business 		Not started	Some progress	Good progress	Fully achieved
7.	Measurements of the institution's impact on the local society. Does my institution have results (supported by numbers) that show trends in relation to:				
7.1	Improved performance as a responsible government authority, for example equal opportunity practices?				
7.2	Promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?				
7.3	Handling of changes in employment levels? (mergers, retrenchments etc)				
7.4	Receiving accolades and awards?				

Criterion 8: Client and stakeholder satisfaction		1	2	3	4
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? eg what does measurable student feedback show? What image do students have of the institution?		Not started	Some progress	Good progress	Fully achieved
8.	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 Does my institution have results (supported by numbers) that show trends in relation to:				
8.1	Improved overall image?: <ul style="list-style-type: none"> ○ fairness and courtesy ○ integrity ○ level of client satisfaction and dissatisfaction ○ communication ○ awards and accolades received. 				
8.2	Its products and services: <ul style="list-style-type: none"> ○ accessibility of service ○ responsiveness and flexibility in meeting customer needs ○ defect ,error and waste ○ reliability and sustainability of service ○ cost of service ○ response time ○ percentage of complaints resolved on first contact ○ documentation simplicity, convenience and accuracy 				

Criterion 9: People satisfaction		1	2	3	4
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		Not started	Some progress	Good progress	Fully achieved
9.	Measurements relating to the satisfaction of the institution’s people. Does my institution have results eg surveys, structured appraisals, focus groups (supported by numbers) that show trends in relation to:				
9.1	Motivation and involvement: <ul style="list-style-type: none"> ○ ethical conduct ○ safe and pleasant working environment ○ equal opportunities ○ training and development ○ recognition and appreciation of individuals and teams 				
9.2	Satisfaction and well-being: <ul style="list-style-type: none"> ○ absenteeism ○ grievances ○ staff turnover ○ strikes and disputes ○ accident levels ○ use of facilities provided by the organisation (for example, recreation, crèche) 				
9.3	Services provided to the organisation’s people: <ul style="list-style-type: none"> • accuracy of personnel administration • communication effectiveness • speed of response to enquiries 				

Criterion 10: Supplier and partnership performance		1	2	3	4
What an institution is doing to ensure that suppliers and partners are providing optimum service		Not started	Some progress	Good progress	Fully achieved
10.1	<p>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:</p> <ul style="list-style-type: none"> • integrity • reliability • performance levels • cost reduction due to performance audit • enhancement of supplier and partner knowledge • continuous improvement in product and service quality? • speed of response to client complaints? • added value of partnerships? • equity principles (for example, employment practices and SMME's)? 				

Criterion 11: Institutional results		1	2	3	4
Considers what a higher education institution is achieving against its stated planned performance. Measured performance may include non-financial and financial results		Not started	Some progress	Good progress	Fully achieved
11a.	Financial measurements of the institution's performance.				
11a.1	Does my institution have results (supported by numbers) that show trends in <ul style="list-style-type: none"> ○ income ○ expenditure ○ contribution to overheads? ○ surplus funds 				
11a.2	Additional measurements of the institution's performance. Results (supported by numbers) that show trends in academic products such as: <ul style="list-style-type: none"> ○ number of programmes/modules ○ number of programme/module enrolments ○ number of new programmes/modules instituted ○ number of programmes/modules phased out ○ number of envisaged new programmes/modules ○ potentially uneconomical modules/programmes ○ number of undergraduates models iro pass rate < 70% ○ student pass rate ○ student drop out rate ○ quality of new first year students – M-score ○ success rate (EFTE's to PFTE's) ○ number of modules presented on Web CT Under and postgraduate numbers including <ul style="list-style-type: none"> ○ honours ○ masters ○ doctorates ○ number of new first years ○ number of first time first years Research outputs <ul style="list-style-type: none"> ○ accredited research output per C1 ○ NRF rated researchers ○ nature and extent of research output Other relevant issues such as <ul style="list-style-type: none"> ○ Space utilisation 				

**APPENDIX 3:
USER RESPONSES**

1. Corporate

LEADERSHIP		1.a.1	1.a.2	1.a.3	1.a.4	1.a.5	1.a.6	1.b.1	1.b.2	1.b.3	1.c.1	1.c.2
		Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	Do the leaders in my organisation actively become involved in transformation processes?	Do the leaders in my organisation address public responsibilities and practice good citizenship?	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?	Do the leaders in my organisation recognise individuals and teams outside the organisation (for example, customers, suppliers and partners)?
1	#2-000001001	2	1	3	1	3	3	3	2	2	3	2
2	#2-000001002	2	1	3	1	2	3	3	1	3	2	3
3	#2-000001003	1	1	1	1	2	2	1	1	2	1	2
4	#2-000001004	2	2	1	2	2	2	3	3	2	2	3
5	#2-000001005	3	3	1	2	3	1	3	2	1	2	2
6	#2-000001006	2	2	2	2	2	3	2	1	2	2	2
7	#2-000001007	2	1	2	1	1	2	3	1	2	1	1
8	#2-000001008	1	2	1	1	1	2	1	1	1	2	2
9	#2-000001009	2	2	2	1	2	2	2	1	2	1	2
10	#2-00000100A	3	1	1	1	2	2	1	2	1	1	1
11	#2-00000100B	2	1	3	1	2	3	1	3	2	1	2
12	#2-00000100C	2	1	1	1	1	0	3	2	3	3	2
13	#2-00000100D	2	1	1	2	2	2	3	2	3	2	3

STRATEGY AND PLANNING		2.a.1	2.a.2	2.b.1	2.b.2
		Does my organisation develop policy and strategy based upon:	Does my organisation communicate policy and strategy to its people?	Does my organisation review performance requirements and key performance measures?	Does my organisation track performance relative to plans?
1	#2-000001001	2	1	2	1
2	#2-000001002	3	4	2	1
3	#2-000001003	2	2	1	1
4	#2-000001004	2	2	2	2
5	#2-000001005	3	2	2	2
6	#2-000001006	2	2	1	2
7	#2-000001007	2	3	2	2
8	#2-000001008	1	1	1	1
9	#2-000001009	3	2	1	1
10	#2-00000100A	2	2	1	1
11	#2-00000100B	2	3	3	1
12	#2-00000100C	2	3	2	3
13	#2-00000100D	3	1	1	1

CUSTOMER AND MARKET FOCUS		3.a.1	3.a.2	3.a.3	3.b.1	3.b.2
		Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?	Does my organisation evaluate, process and act on information received?	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?	Does my organisation resolve complaints promptly and effectively?
1	#2-000001001	2	2	1	2	1
2	#2-000001002	2	2	2	1	2
3	#2-000001003	1	2	1	1	2
4	#2-000001004	2	2	1	1	1
5	#2-000001005	2	2	2	1	1
6	#2-000001006	2	1	1	1	2
7	#2-000001007	2	2	2	2	2
8	#2-000001008	1	1	1	1	1
9	#2-000001009	2	1	1	2	1
10	#2-00000100A	1	1	1	1	1
11	#2-00000100B	2	1	1	2	2
12	#2-00000100C	2	2	2	3	2
13	#2-00000100D	2	2	1	2	2

PEOPLE MANAGEMENT		4.a.1	4.a.2	4.a.3	4.a.4	4.b.1	4.b.2	4.b.3	4.b.4	4.c.1
		Does my organisation align the people resources plan with policy, strategy and values?	Does my organisation orientate new employees?	Does my organisation develop people through work experience?	Does my organisation acknowledge and manage cultural diversity within the workforce?	Does my organisation involve all its people in continuous improvement activities?	Does my organisation empower people to take action and evaluate the effectiveness?	Does my organisation achieve effective up, down and lateral communication?	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	Does my organisation include well-being factors in improvement activities – for example, health and safety?
1	#2-000001001	3	1	3	3	1	1	2	2	3
2	#2-000001002	2	1	2	1	1	2	1	2	1
3	#2-000001003	1	1	2	1	1	1	1	1	2
4	#2-000001004	2	3	2	3	2	2	2	2	2
5	#2-000001005	3	2	2	2	2	3	2	3	3
6	#2-000001006	2	2	3	2	2	2	2	2	2
7	#2-000001007	2	1	2	3	1	2	1	2	2
8	#2-000001008	1	2	1	2	1	1	1	1	2
9	#2-000001009	1	1	2	1	1	1	1	1	1
10	#2-00000100A	1	3	2	2	2	1	2	1	1
11	#2-00000100B	2	1	2	2	2	1	1	1	1
12	#2-00000100C	1	2	3	1	2	2	2	2	1
13	#2-00000100D	1	2	3	1	1	2	1	2	3

RESOURCES		5.a.1	5.a.2	5.a.3	5.b.1	5.b.2	5.b.3	5.c.1	5.c.2	5.c.3
		Does my organisation use financial management to support policy and strategy?	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?	Does my organisation analyse and review organisation performance against budget?	Does my organisation structure and manage information to support policy and strategy?	Does my organisation evaluate and keep current with changing customer and stakeholder needs?	Does my organisation ensure everyone has appropriate information to do their work?	Does my organisation make best use of buildings, equipment and other resources?	Does my organisation manage tender processes and contracts effectively?	Does my organisation identify, evaluate and use alternative and emerging technologies?
1	#2-000001001	1	1	1	2	2	2	2	1	1
2	#2-000001002	1	2	2	3	3	3	3	2	3
3	#2-000001003	1	1	1	2	2	2	1	2	1
4	#2-000001004	3	2	2	2	2	3	1	2	3
5	#2-000001005	3	2	3	2	2	2	3	3	2
6	#2-000001006	2	3	1	2	2	2	2	2	2
7	#2-000001007	2	3	3	2	2	3	3	3	3
8	#2-000001008	2	1	1	1	1	1	2	1	1
9	#2-000001009	2	2	1	2	1	1	1	1	2
10	#2-00000100A	2	2	1	2	2	1	3	3	3
11	#2-00000100B	3	3	2	1	2	1	3	2	3
12	#2-00000100C	2	2	1	2	3	2	1	2	2
13	#2-00000100D	2	3	2	2	3	2	3	2	2

PROCESSES		6.a.1	6.a.2	6.a.3	6.a.4	6.a.5	6.b.1	6.b.2	6.b.3	6.a.1
		Does my organisation identify key processes?	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	Does my organisation establish process ownership, responsibility and accountability?	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?	Does my organisation encourage the innovation and creative talents of employees in process improvement?	Does my organisation manage and support new or process changes through testing, communication and review?	Does my organisation identify key processes?
1	#2-000001001	2	3	3	3	2	2	3	2	2
2	#2-000001002	2	3	3	3	2	2	1	1	2
3	#2-000001003	2	2	1	2	3	2	1	1	2
4	#2-000001004	2	2	2	3	3	2	2	1	2
5	#2-000001005	3	2	2	3	3	2	3	2	3
6	#2-000001006	1	2	2	2	2	2	2	1	1
7	#2-000001007	2	2	3	2	2	3	2	2	2
8	#2-000001008	1	1	1	1	1	1	1	1	1
9	#2-000001009	2	2	2	1	1	2	1	1	2
10	#2-00000100A	2	1	1	1	2	1	1	2	2
11	#2-00000100B	2	1	1	1	2	3	1	3	2
12	#2-00000100C	2	2	2	3	2	3	1	2	2
13	#2-00000100D	2	3	2	3	2	2	1	1	2

SOCIAL RESPONSIBILITY		7.1	7.2	7.3	7.4
		Does my organisation have results (supported by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	Does my organisation have results that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?
1	#2-000001001	3	2	3	2
2	#2-000001002	2	3	2	3
3	#2-000001003	2	3	2	3
4	#2-000001004	2	3	1	3
5	#2-000001005	2	3	3	2
6	#2-000001006	3	3	2	2
7	#2-000001007	3	3	3	2
8	#2-000001008	1	2	2	2
9	#2-000001009	2	3	2	2
10	#2-00000100A	2	1	2	2
11	#2-00000100B	2	3	2	3
12	#2-00000100C	2	2	2	2
13	#2-00000100D	1	1	2	2

CUSTOMER SATISFACTION		8.1	8.2
		Does my organisation have results (supported by numbers) that show trends in relation to improved overall image? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:
1	#2-000001001	1	1
2	#2-000001002	1	2
3	#2-000001003	1	1
4	#2-000001004	2	1
5	#2-000001005	2	2
6	#2-000001006	2	1
7	#2-000001007	2	3
8	#2-000001008	1	2
9	#2-000001009	1	2
10	#2-00000100A	1	1
11	#2-00000100B	3	2
12	#2-00000100C	1	1
13	#2-00000100D	2	1

PEOPLE SATISFACTION		9.1	9.2	9.3
		Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:
1	#2-000001001	2	1	1
2	#2-000001002	2	1	1
3	#2-000001003	1	1	1
4	#2-000001004	2	3	3
5	#2-000001005	2	2	3
6	#2-000001006	2	1	1
7	#2-000001007	2	2	2
8	#2-000001008	2	2	2
9	#2-000001009	1	1	2
10	#2-00000100A	2	1	2
11	#2-00000100B	2	2	1
12	#2-00000100C	1	1	2
13	#2-00000100D	2	1	2

SUPPLIER AND PARTNERSHIP		10.01	10.02	10.03	10.04	10.05	10.06	10.07	10.08	10.09
		Does my organisation have results (supported by numbers) that show trends in integrity?	Does my organisation have results (supported by numbers) that show trends in reliability?	Does my organisation have results (supported by numbers) that show trends in performance levels?	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	Does my organisation have results (supported by numbers) that show trends enhancement of supplier and partner knowledge?	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?
1	#2-000001001	3	2	2	1	2	3	2	1	3
2	#2-000001002	3	2	2	2	2	2	1	1	2
3	#2-000001003	1	1	1	1	1	1	1	1	1
4	#2-000001004	2	2	2	2	2	2	3	2	2
5	#2-000001005	1	1	1	2	1	2	1	2	2
6	#2-000001006	2	2	2	2	2	1	2	1	1
7	#2-000001007	2	3	3	2	3	3	3	2	2
8	#2-000001008	1	2	1	1	1	1	2	1	1
9	#2-000001009	2	2	1	1	1	1	1	1	1
10	#2-00000100A	2	2	1	2	2	2	2	2	2
11	#2-00000100B	2	2	2	1	2	1	2	2	2
12	#2-00000100C	1	1	1	1	1	1	2	1	1
13	#2-00000100D	1	2	1	1	1	2	2	1	2

RESULTS		11.a.1	11.a.2	11.a.3	11.a.4	11.b.1	11.b.2	11.b.3	11.b.4	11.b.5
		Does my organisation have results (supported by numbers) that show trends in areas such as:	Does my organisation have results (supported by numbers) that show trends in balance sheet items including:	Does my organisation have results (supported by numbers) that show trends in cash flow items including:	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as:	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?	Does my organisation have results that show trends in key processes relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as:
1	#2-000001001	4	3	2	3	2	2	3	1	1
2	#2-000001002	3	3	3	3	2	2	1	2	2
3	#2-000001003	3	2	2	1	1	2	1	2	2
4	#2-000001004	3	3	2	3	2	2	3	2	3
5	#2-000001005	3	3	2	3	2	2	2	2	2
6	#2-000001006	2	2	2	2	1	1	1	1	1
7	#2-000001007	3	3	3	3	3	3	3	3	3
8	#2-000001008	1	1	1	1	1	1	1	1	2
9	#2-000001009	4	3	3	3	2	2	1	2	2
10	#2-00000100A	3	3	3	3	2	1	2	2	2
11	#2-00000100B	3	3	3	3	2	1	1	3	2
12	#2-00000100C	4	2	3	3	2	2	2	2	2
13	#2-00000100D	3	3	3	3	3	2	2	2	3

2. Faculty A

LEADERSHIP		1.a.1	1.a.2	1.a.3	1.a.4	1.a.5	1.a.6	1.b.1	1.b.2	1.b.3	1c.1
		Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	Do the leaders in my organisation actively become involved in transformation processes?	Do the leaders in my organisation address public responsibilities and practice good citizenship?	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?
1	#11-000001001	3	3	2	3	4	3	2	3	3	2
2	#11-000001002	3	3	1	2	3	3	1	2	2	2
3	#11-000001003	2	3	3	3	4	3	2	3	2	2
4	#11-000001004	3	3	2	3	3	3	2	3	3	2
5	#11-000001005	1	2	3	1	3	2	2	1	2	1
6	#11-000001006	2	2	3	2	2	3	3	1	3	1
7	#11-000001007	3	3	3	2	3	4	2	1	3	2
8	#11-000001008	3	3	3	3	3	3	3	3	3	3
9	#11-000001009	3	3	3	3	3	4	3	3	4	3

STRATEGY AND PLANNING		2.a.1	2.a.2	2.b.1	2.b.2
		Does my organisation develop policy and strategy based upon:	Does my organisation communicate policy and strategy to its people?	Does my organisation review performance requirements and key performance measures?	Does my organisation track performance relative to plans?
1	#11-000001001	2	3	3	3
2	#11-000001002	2	2	2	2
3	#11-000001003	1	1	1	1
4	#11-000001004	2	1	2	2
5	#11-000001005	1	2	1	1
6	#11-000001006	2	1	1	1
7	#11-000001007	3	2	1	1
8	#11-000001008	3	2	2	2
9	#11-000001009	3	2	3	2

CUSTOMER AND MARKET FOCUS		3.a.1	3.a.2	3.a.3	3.b.1	3.b.2	2.a.1
		Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?	Does my organisation evaluate, process and act on information received?	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?	Does my organisation resolve complaints promptly and effectively?	Does my organisation develop policy and strategy based upon:
1	#11-000001001	3	3	2	3	3	2
2	#11-000001002	2	2	3	3	2	2
3	#11-000001003	2	2	2	1	2	1
4	#11-000001004	3	2	2	1	2	2
5	#11-000001005	2	2	3	3	1	1
6	#11-000001006	2	2	2	1	1	2
7	#11-000001007	3	2	3	1	3	3
8	#11-000001008	2	2	2	2	2	3
9	#11-000001009	3	3	3	3	4	3

PEOPLE MANAGEMENT		4.a.1	4.a.2	4.a.3	4.a.4	4.b.1	4.b.2	4.b.3	4.b.4	4.c.1	4.a.1
		Does my organisation align the people resources plan with policy, strategy and values?	Does my organisation orientate new employees?	Does my organisation develop people through work experience?	Does my organisation acknowledge and manage cultural diversity within the workforce?	Does my organisation involve all its people in continuous improvement activities?	Does my organisation empower people to take action and evaluate the effectiveness?	Does my organisation achieve effective up, down and lateral communication?	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	Does my organisation include well-being factors in improvement activities - for example, health and safety?	Does my organisation align the people resources plan with policy, strategy and values?
1	#11-000001001	3	2	2	1	1	2	2	3	1	3
2	#11-000001002	2	1	2	1	2	1	1	1	1	2
3	#11-000001003	2	2	3	1	1	1	2	2	2	2
4	#11-000001004	2	1	2	3	2	3	1	2	2	2
5	#11-000001005	1	1	2	1	1	1	1	1	1	1
6	#11-000001006	1	1	1	2	1	1	1	1	1	1
7	#11-000001007	3	2	2	3	1	2	2	1	2	3
8	#11-000001008	3	1	3	2	2	3	3	1	1	3
9	#11-000001009	3	3	3	3	3	3	3	2	2	3

RESOURCES AND INFORMATION MANAGEMENT		5.a.1	5.a.2	5.a.3	5.b.1	5.b.2	5.b.3	5.c.1	5.c.2	5.c.3	5.c.4
		Does my organisation use financial management to support policy and strategy?	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?	Does my organisation analyse and review organisation performance against budget?	Does my organisation structure and manage information to support policy and strategy?	Does my organisation evaluate and keep current with changing customer and stakeholder needs?	Does my organisation ensure everyone has appropriate information to do their work?	Does my organisation make best use of buildings, equipment and other resources?	Does my organisation manage tender processes and contracts effectively?	Does my organisation identify, evaluate and use alternative and emerging technologies?	Does my organisation manage and optimise material inventories?
1	#11-000001001	2	3	3	3	2	3	3	3	3	3
2	#11-000001002	2	2	1	2	1	1	1	2	2	3
3	#11-000001003	1	2	2	3	2	3	3	2	3	2
4	#11-000001004	2	2	3	3	2	2	2	2	3	2
5	#11-000001005	1	2	1	1	1	2	1	2	1	1
6	#11-000001006	1	1	1	2	2	2	2	1	2	2
7	#11-000001007	2	3	3	2	3	2	3	1	2	2
8	#11-000001008	3	2	3	3	3	1	2	2	3	2
9	#11-000001009	3	3	2	3	3	2	2	2	4	3

PROCESSES		6.a.1	6.a.2	6.a.3	6.a.4	6.a.5	6.b.1	6.b.2	6.b.3
		Does my organisation identify key processes?	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	Does my organisation establish process ownership, responsibility and accountability?	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?	Does my organisation encourage the innovation and creative talents of employees in process improvement?	Does my organisation manage and support new or process changes through testing, communication and review?
1	#11-000001001	3	3	3	3	2	2	2	2
2	#11-000001002	2	3	3	3	2	3	2	2
3	#11-000001003	1	2	2	2	1	2	2	2
4	#11-000001004	2	2	3	3	2	1	2	2
5	#11-000001005	2	1	1	2	1	1	1	1
6	#11-000001006	1	2	2	2	1	2	1	2
7	#11-000001007	2	3	2	2	1	2	2	2
8	#11-000001008	3	3	2	3	1	3	3	2
9	#11-000001009	3	3	2	3	2	4	3	2

SOCIAL RESPONSIBILITY		7.1	7.2	7.3	7.4
		Does my organisation have results (supported by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	Does my organisation have results that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?
1	#11-000001001	3	3		
2	#11-000001002	2	2	2	3
3	#11-000001003	2	3	1	3
4	#11-000001004	2	2	3	3
5	#11-000001005	1	1	2	2
6	#11-000001006	2	2	1	1
7	#11-000001007	2	2	2	3
8	#11-000001008	2	2	2	3
9	#11-000001009	3	4	2	3

CUSTOMER SATISFACTION		8.1	8.2
		Does my organisation have results (supported by numbers) that show trends in relation to improved overall image? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:
1	#11-000001001	3	3
2	#11-000001002	3	2
3	#11-000001003	1	1
4	#11-000001004	2	2
5	#11-000001005	2	1
6	#11-000001006	1	1
7	#11-000001007	3	2
8	#11-000001008	2	2
9	#11-000001009	3	3

PEOPLE SATISFACTION		9.1	9.2	9.3
		Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:
1	#11-000001001	3	3	3
2	#11-000001002	1	1	2
3	#11-000001003	2	1	1
4	#11-000001004	1	1	1
5	#11-000001005	2	1	1
6	#11-000001006	1	1	1
7	#11-000001007	3	3	2
8	#11-000001008	2	2	2
9	#11-000001009	3	4	4

SUPPLIER AND PARTNERSHIP PERFORMANCE		10.01	10.02	10.03	10.04	10.05	10.06	10.07
		Does my organisation have results (supported by numbers) that show trends in integrity?	Does my organisation have results (supported by numbers) that show trends in reliability?	Does my organisation have results (supported by numbers) that show trends in performance levels?	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	Does my organisation have results (supported by numbers) that show trends enhancement of supplier and partner knowledge?	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?
1	#11-000001001	3	3	2	2	2	3	3
2	#11-000001002	2	2	3	1	2	2	2
3	#11-000001003	1	1	1	1	1	1	1
4	#11-000001004	1	1	1	1	1	1	1
5	#11-000001005	1	1	1	1	1	1	1
6	#11-000001006	1	1	1	1	1	1	1
7	#11-000001007	3	3	1	2	2	2	2
8	#11-000001008	1	1	2	3	2	3	3
9	#11-000001009	3	3	3	3	2	3	3

RESULTS		11.a.1	11.a.2	11.a.3	11.a.4	11.b.1	11.b.2	11.b.3	11.b.4	11.b.5	11.b.6
		Does my organisation have results (supported by numbers) that show trends in areas such as:	Does my organisation have results (supported by numbers) that show trends in balance sheet items including:	Does my organisation have results (supported by numbers) that show trends in cash flow items including:	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as:	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?	Does my organisation have results that show trends in key processes relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as:
1	#11-000001001	3	1	2	3	3	2	2	1	2	1
2	#11-000001002	3	3	3	2	2	2	3	2	3	3
3	#11-000001003	1	1	1	1	1	1	1	1	1	1
4	#11-000001004	2	1	1	2	1	1	1	1	2	2
5	#11-000001005	2	2	2	1	1	1	1	1	1	1
6	#11-000001006	1	1	1	1	1	1	1	1	1	1
7	#11-000001007	2	1	2	1	1	1	1	1	2	1
8	#11-000001008	3	2	3	3	2	2	2	3	3	3
9	#11-000001009	2	2	4	2	2	2	2	3	4	3

3.3 Faculty B

LEADERSHIP		1.a.1	1.a.2	1.a.3	1.a.4	1.a.5	1.a.6	1.b.1	1.b.2	1.b.3	1.c.1
		Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	Do the leaders in my organisation actively become involved in transformation processes?	Do the leaders in my organisation address public responsibilities and practice good citizenship?	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?
1	#15-000001001	3	3	2	3	3	3	2	3	3	2
2	#15-000001002	3	3	2	2	3	3	4	2	3	2
3	#15-000001003	3	2	2	2	3	2	3	2	3	3
4	#15-000001004	2	2	3	2	3	1	4	3	4	2
5	#15-000001005	3	3	3	3	4	4	4	3	4	3
6	#15-000001006	3	3	2	2	3	3	4	2	3	3
7	#15-000001007	3	4	2	3	4	3	3	2	3	3
8	#15-000001008	2	3	2	2	3	2	4	3	1	2
9	#15-000001009	3	3	3	2	3	2	4	3	3	2
10	#15-00000100A	3	2	3	2	2	2	4	4	2	1
11	#15-00000100B	3	3	4	3	3	4	3	3	3	3

STRATEGY AND PLANNING		2.a.1	2.a.2	2.b.1	2.b.2
		Does my organisation develop policy and strategy based upon:	Does my organisation communicate policy and strategy to its people?	Does my organisation review performance requirements and key performance measures?	Does my organisation track performance relative to plans?
1	#15-000001001	3	3	2	2
2	#15-000001002	3	3	3	2
3	#15-000001003	2	2	2	2
4	#15-000001004	2	3	4	3
5	#15-000001005	3	4	4	3
6	#15-000001006	2	1	2	2
7	#15-000001007	4	2	2	1
8	#15-000001008	3	2	3	3
9	#15-000001009	3	4	3	3
10	#15-00000100A	1	4	3	3
11	#15-00000100B	3	3	3	3

CUSTOMER AND MARKET FOCUS		3.a.1	3.a.2	3.a.3	3.b.1	3.b.2
		Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?	Does my organisation evaluate, process and act on information received?	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?	Does my organisation resolve complaints promptly and effectively?
1	#15-000001001	3	3	2	2	2
2	#15-000001002	3	3	2	2	2
3	#15-000001003	2	3	2	3	2
4	#15-000001004	2	3	3	4	3
5	#15-000001005	3	4	3	2	4
6	#15-000001006	2	3	2	2	3
7	#15-000001007	2	3	2	3	3
8	#15-000001008	3	3	1	2	3
9	#15-000001009	3	3	2	1	3
10	#15-00000100A	2	3	2	2	4
11	#15-00000100B	3	3	2	2	4

PEOPLE MANAGEMENT		4.a.1	4.a.2	4.a.3	4.a.4	4.b.1	4.b.2	4.b.3	4.b.4	4.c.1	4.a.1
		Does my organisation align the people resources plan with policy, strategy and values?	Does my organisation orientate new employees?	Does my organisation develop people through work experience?	Does my organisation acknowledge and manage cultural diversity within the workforce?	Does my organisation involve all its people in continuous improvement activities?	Does my organisation empower people to take action and evaluate the effectiveness?	Does my organisation achieve effective up, down and lateral communication?	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	Does my organisation include well-being factors in improvement activities - for example, health and safety?	Does my organisation align the people resources plan with policy, strategy and values?
1	#15-000001001	3	3	3	3	3	2	3	3	2	3
2	#15-000001002	2	2	3	3	3	2	2	3	1	2
3	#15-000001003	2	2	3	3	2	2	2	2	2	2
4	#15-000001004	4	3	2	3	4	3	2	4	1	4
5	#15-000001005	4	4	4	3	4	4	2	4	3	4
6	#15-000001006	2	2	3	3	2	2	1	2	1	2
7	#15-000001007	2	1	3	2	2	2	2	2	3	2
8	#15-000001008	3	3	3	3	3	3	2	2	1	3
9	#15-000001009	3	4	3	3	3	2	3	4	2	3
10	#15-00000100A	3	3	3	4	2	3	2	3	1	3
11	#15-00000100B	3	3	4	3	3	3	2	3	2	3

RESOURCES AND INFORMATION MANAGEMENT		5.a.1	5.a.2	5.a.3	5.b.1	5.b.2	5.b.3	5.c.1	5.c.2	5.c.3	5.c.4
		Does my organisation use financial management to support policy and strategy?	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?	Does my organisation analyse and review organisation performance against budget?	Does my organisation structure and manage information to support policy and strategy?	Does my organisation evaluate and keep current with changing customer and stakeholder needs?	Does my organisation ensure everyone has appropriate information to do their work?	Does my organisation make best use of buildings, equipment and other resources?	Does my organisation manage tender processes and contracts effectively?	Does my organisation identify, evaluate and use alternative and emerging technologies?	Does my organisation manage and optimise material inventories?
1	#15-000001001	3	2	3	2	3	3	2	3	3	2
2	#15-000001002	3	2	2	2	3	3	3	2	3	2
3	#15-000001003	3	2	2	3	2	3	3	2	3	2
4	#15-000001004	3	1	4	2	3	2	3	1	3	2
5	#15-000001005	3	3	4	3	3	4	3	2	3	3
6	#15-000001006	2	2	1	1	1	1	2	2	1	1
7	#15-000001007	3	2	1	2	3	3	3	1	3	3
8	#15-000001008	3	1	3	1	2	3	2	2	2	1
9	#15-000001009	3	2	2	3	2	3	2	3	3	2
10	#15-00000100A	4	2	3	2	2	3	4	2	3	2
11	#15-00000100B	3	3	2	3	3	2	3	3	3	2

PROCESSES		6.a.1	6.a.2	6.a.3	6.a.4	6.a.5	6.b.1	6.b.2	6.b.3	6.a.1	6.a.2
		Does my organisation identify key processes?	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	Does my organisation establish process ownership, responsibility and accountability?	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?	Does my organisation encourage the innovation and creative talents of employees in process improvement?	Does my organisation manage and support new or process changes through testing, communication and review?	Does my organisation identify key processes?	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?
1	#15-000001001	2	3	3	2	1	2	3	2	2	3
2	#15-000001002	3	2	3	3	2	2	3	2	3	2
3	#15-000001003	3	3	2	2	2	2	3	2	3	3
4	#15-000001004	3	2	4	2	3	3	2	3	3	2
5	#15-000001005	4	3	4	2	2	3	3	2	4	3
6	#15-000001006	1	1	2	1	1	2	2	1	1	1
7	#15-000001007	2	3	3	1	2	2	2	2	2	3
8	#15-000001008	3	3	3	2	1	2	3	2	3	3
9	#15-000001009	4	2	3	3	3	3	4	3	4	2
10	#15-00000100A	2	3	3	4	4	3	2	3	2	3
11	#15-00000100B	3	3	3	3	2	3	3	3	3	3

SOCIAL RESPONSIBILITY		7.1	7.2	7.3	7.4
		Does my organisation have results (supported by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	Does my organisation have results that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?
1	#15-000001001	3	3	2	2
2	#15-000001002	2	3	3	2
3	#15-000001003	3	3	2	2
4	#15-000001004	3	4	2	1
5	#15-000001005	3	4	3	3
6	#15-000001006	2	3	1	2
7	#15-000001007	2	3	2	3
8	#15-000001008	2	2	2	2
9	#15-000001009	3	3	3	4
10	#15-00000100A	3	2	2	2
11	#15-00000100B	2	3	2	3

CUSTOMER SATISFACTION		8.1	8.2
		Does my organisation have results (supported by numbers) that show trends in relation to improved overall image? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:
1	#15-000001001	2	3
2	#15-000001002	3	2
3	#15-000001003	3	3
4	#15-000001004	3	3
5	#15-000001005	3	3
6	#15-000001006	1	2
7	#15-000001007	0	3
8	#15-000001008	2	2
9	#15-000001009	3	2
10	#15-00000100A	3	2
11	#15-00000100B	2	3

PEOPLE SATISFACTION		9.1	9.2	9.3
		Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:
1	#15-000001001	1	1	1
2	#15-000001002	3	2	2
3	#15-000001003	2	2	2
4	#15-000001004	1	1	1
5	#15-000001005	3	1	2
6	#15-000001006	1	1	1
7	#15-000001007	1	2	2
8	#15-000001008	1	1	1
9	#15-000001009	2	2	3
10	#15-00000100A	2	2	2
11	#15-00000100B	2	2	2

3.4 Faculty C

LEADERSHIP		1.a.1	1.a.2	1.a.3	1.a.4	1.a.5	1.a.6	1.b.1	1.b.2	1.b.3	1.c.1
		Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	Do the leaders in my organisation actively become involved in transformation processes?	Do the leaders in my organisation address public responsibilities and practice good citizenship?	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?
1	#19-000001001	3	2	3	2	3	2	2	2	2	3
2	#19-000001002	3	3	2	2	1	1	1	3	3	3
3	#19-000001003	2	1	1	2	2	2	1	1	1	2
4	#19-000001004	2	2	2	2	2	2	1	2	2	2
5	#19-000001005	3	2	2	1	2	3	2	1	2	2
6	#19-000001006	3	2	3	3	3	3	2	2	2	2
7	#19-000001007	3	2	3	2	2	2	3	3	3	2
8	#19-000001008	3	2	2	3	3	3	1	3	1	2

STRATEGY AND PLANNING		2.a.1	2.a.2	2.b.1	2.b.2
		Does my organisation develop policy and strategy based upon:	Does my organisation communicate policy and strategy to its people?	Does my organisation review performance requirements and key performance measures?	Does my organisation track performance relative to plans?
1	#19-000001001	3	2	2	2
2	#19-000001002	3	2	1	1
3	#19-000001003	2	1	2	2
4	#19-000001004	3	2	3	2
5	#19-000001005	2	3	2	1
6	#19-000001006	3	2	2	2
7	#19-000001007	2	3	2	3
8	#19-000001008	3	1	1	1

CUSTOMER AND MARKET FOCUS		3.a.1	3.a.2	3.a.3	3.b.1	3.b.2
		Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?	Does my organisation evaluate, process and act on information received?	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?	Does my organisation resolve complaints promptly and effectively?
1	#19-000001001	3	3	3	3	3
2	#19-000001002	2	2	2	2	3
3	#19-000001003	1	2	1	2	2
4	#19-000001004	2	3	2	3	2
5	#19-000001005	2	3	2	3	2
6	#19-000001006	3	3	2	2	2
7	#19-000001007	3	3	3	3	2
8	#19-000001008	3	1	2	2	1

PEOPLE MANAGEMENT		4.a.1	4.a.2	4.a.3	4.a.4	4.b.1	4.b.2	4.b.3	4.b.4	4.c.1	4.a.1
		Does my organisation align the people resources plan with policy, strategy and values?	Does my organisation orientate new employees?	Does my organisation develop people through work experience?	Does my organisation acknowledge and manage cultural diversity within the workforce?	Does my organisation involve all its people in continuous improvement activities?	Does my organisation empower people to take action and evaluate the effectiveness?	Does my organisation achieve effective up, down and lateral communication?	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	Does my organisation include well-being factors in improvement activities - for example, health and safety?	Does my organisation align the people resources plan with policy, strategy and values?
1	#19-000001001	4	2	3	4	3	2	3	2	3	4
2	#19-000001002	3	2	4	2	2	1	2	2	3	3
3	#19-000001003	2	3	3	3	1	1	1	2	1	2
4	#19-000001004	3	2	2	3	2	2	2	2	3	3
5	#19-000001005	3	1	3	1	2	1	2	2	1	3
6	#19-000001006	1	1	3	2	2	1	2	2	1	1
7	#19-000001007	3	3	4	2	2	2	3	3	2	3
8	#19-000001008	1	1	2	3	2	1	2	2	1	1

RESOURCES AND INFORMATION MANAGEMENT		5.a.1	5.a.2	5.a.3	5.b.1	5.b.2	5.b.3	5.c.1	5.c.2	5.c.3	5.c.4
		Does my organisation use financial management to support policy and strategy?	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?	Does my organisation analyse and review organisation performance against budget?	Does my organisation structure and manage information to support policy and strategy?	Does my organisation evaluate and keep current with changing customer and stakeholder needs?	Does my organisation ensure everyone has appropriate information to do their work?	Does my organisation make best use of buildings, equipment and other resources?	Does my organisation manage tender processes and contracts effectively?	Does my organisation identify, evaluate and use alternative and emerging technologies?	Does my organisation manage and optimise material inventories?
1	#19-000001001	4	4	3	2	3	3	4	3	2	3
2	#19-000001002	3	3	3	2	2	2	4	2	3	3
3	#19-000001003	3	3	3	2	1	1	4	2	1	3
4	#19-000001004	3	3	3	3	3	1	4	2	2	2
5	#19-000001005	3	3	3	3	2	2	4	2	2	2
6	#19-000001006	2	2	2	2	2	2	4	2	2	3
7	#19-000001007	4	2	2	2	3	2	3	1	3	2
8	#19-000001008	2	2	3	2	2	2	4	2	2	3

PROCESSES		6.a.1	6.a.2	6.a.3	6.a.4	6.a.5	6.b.1	6.b.2	6.b.3	6.a.1	6.a.2
		Does my organisation identify key processes?	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	Does my organisation establish process ownership, responsibility and accountability?	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?	Does my organisation encourage the innovation and creative talents of employees in process improvement?	Does my organisation manage and support new or process changes through testing, communication and review?	Does my organisation identify key processes?	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?
1	#19-000001001	3	3	3	2	3	3	3	3	3	3
2	#19-000001002	3	3	3	2	3	4	3	1	3	3
3	#19-000001003	2	2	2	3	2	2	2	2	2	2
4	#19-000001004	3	3	3	2	2	3	3	2	3	3
5	#19-000001005	3	2	3	2	2	2	2	2	3	2
6	#19-000001006	3	2	3	2	2	3	2	2	3	2
7	#19-000001007	4	2	2	3	3	2	3	2	4	2
8	#19-000001008	2	2	3	1	1	3	3	1	2	2

SOCIAL RESPONSIBILITY		7.1	7.2	7.3	7.4
		Does my organisation have results (supported by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	Does my organisation have results that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?
1	#19-000001001	3	3	4	3
2	#19-000001002	2	3	3	1
3	#19-000001003	2	4	4	3
4	#19-000001004	3	3	3	3
5	#19-000001005	2	4	2	2
6	#19-000001006	2	2	3	2
7	#19-000001007	2	3	3	2
8	#19-000001008	4	4	3	3

CUSTOMER SATISFACTION		8.1	8.2
		Does my organisation have results (supported by numbers) that show trends in relation to improved overall image? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:
1	#19-000001001	3	3
2	#19-000001002	3	2
3	#19-000001003	2	2
4	#19-000001004	2	2
5	#19-000001005	2	3
6	#19-000001006	2	1
7	#19-000001007	1	3
8	#19-000001008	2	2

PEOPLE SATISFACTION		9.1	9.2	9.3
		Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:
1	#19-000001001	3	3	3
2	#19-000001002	3	3	3
3	#19-000001003	3	3	3
4	#19-000001004	3	3	3
5	#19-000001005	2	2	3
6	#19-000001006	1	2	3
7	#19-000001007	2	3	3
8	#19-000001008	1	3	3

SUPPLIER AND PARTNERSHIP PERFORMANCE		10.01	10.02	10.03	10.04	10.05	10.06	10.07	10.08	10.09	10.10
		Does my organisation have results (supported by numbers) that show trends in integrity?	Does my organisation have results (supported by numbers) that show trends in reliability?	Does my organisation have results (supported by numbers) that show trends in performance levels?	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	Does my organisation have results (supported by numbers) that show trends in enhancement of supplier and partner knowledge?	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?
1	#19-000001001	2	2	3	2	3	2	3	3	3	1
2	#19-000001002	1	1	1	1	2	1	1	2	1	1
3	#19-000001003	2	2	2	3	2	1	1	2	2	2
4	#19-000001004	1	1	1	2	1	2	3	3	3	3
5	#19-000001005	2	2	2	1	2	2	3	3	1	1
6	#19-000001006	1	1	1	1	1	2	2	2	1	2
7	#19-000001007	3	3	2	2	3	2	3	3	3	1
8	#19-000001008	1	1	1	1	1	1	1	2	2	2

RESULTS		11.a.1	11.a.2	11.a.3	11.a.4	11.b.1	11.b.2	11.b.3	11.b.4	11.b.5	11.a.1
		Does my organisation have results (supported by numbers) that show trends in areas such as:	Does my organisation have results (supported by numbers) that show trends in balance sheet items including:	Does my organisation have results (supported by numbers) that show trends in cash flow items including:	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as:	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?	Does my organisation have results that show trends in key processes relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in areas such as:
1	#19-000001001	3	3	3	2	3	2	2	2	3	3
2	#19-000001002	3	3	2	1	2	2	2	2	2	3
3	#19-000001003	4	3	2	1	3	2	2	2	3	4
4	#19-000001004	3	3	2	1	3	2	2	2	2	3
5	#19-000001005	3	3	3	1	2	2	1	2	2	3
6	#19-000001006	3	3	2	1	2	1	1	2	2	3
7	#19-000001007	4	3	3	1	2	1	2	1	2	4
8	#19-000001008	4	1	2	1	3	2	2	2	3	4

3.5 Faculty D

LEADERSHIP		1.a.1	1.a.2	1.a.3	1.a.4	1.a.5	1.a.6	1.b.1	1.b.2	1.b.3	1.c.1
		Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	Do the leaders in my organisation actively become involved in transformation processes?	Do the leaders in my organisation address public responsibilities and practice good citizenship?	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?
1	#27-000001001	3	2	3	2	1	1	0	3	2	1
2	#27-000001002	2	3	2	1	2	2	2	3	1	2
3	#27-000001003	1	2	3	1	2	1	2	1	3	1
4	#27-000001004	2	1	2	2	2	1	3	3	1	2
5	#27-000001005	2	2	2	2	2	2	2	2	2	1
6	#27-000001006	4	3	4	3	2	4	4	1	4	4
7	#27-000001007	1	2	2	2	3	2	2	2	2	2
8	#27-000001008	2	2	2	1	1	2	2	1	2	2
9	#27-000001009	3	2	2	3	1	2	0	2	2	2
10	#27-00000100A	2	3	3	2	3	3	3	2	3	2

STRATEGY AND PLANNING		2.a.1	2.a.2	2.b.1	2.b.2
		Does my organisation develop policy and strategy based upon:	Does my organisation communicate policy and strategy to its people?	Does my organisation review performance requirements and key performance measures?	Does my organisation track performance relative to plans?
1	#27-000001001	2	2	2	3
2	#27-000001002	2	1	2	3
3	#27-000001003	2	1	3	2
4	#27-000001004	2	1	1	2
5	#27-000001005	2	2	2	1
6	#27-000001006	2	3	3	3
7	#27-000001007	2	2	3	3
8	#27-000001008	2	2	3	2
9	#27-000001009	3	3	3	3
10	#27-00000100A	1	1	2	3

CUSTOMER AND MARKET FOCUS		3.a.1	3.a.2	3.a.3	3.b.1	3.b.2
		Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?	Does my organisation evaluate, process and act on information received?	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?	Does my organisation resolve complaints promptly and effectively?
1	#27-000001001	1	2	3	3	2
2	#27-000001002	2	2	1	2	1
3	#27-000001003	4	2	3	2	1
4	#27-000001004	1	1	1	1	1
5	#27-000001005	1	2	2	2	1
6	#27-000001006	3	3	2	1	1
7	#27-000001007	4	3	3	2	3
8	#27-000001008	2	3	2	2	3
9	#27-000001009	2	2	1	2	2
10	#27-00000100A	2	2	2	1	3

PEOPLE MANAGEMENT		4.a.1	4.a.2	4.a.3	4.a.4	4.b.1	4.b.2	4.b.3	4.b.4	4.c.1	4.a.1
		Does my organisation align the people resources plan with policy, strategy and values?	Does my organisation orientate new employees?	Does my organisation develop people through work experience?	Does my organisation acknowledge and manage cultural diversity within the workforce?	Does my organisation involve all its people in continuous improvement activities?	Does my organisation empower people to take action and evaluate the effectiveness?	Does my organisation achieve effective up, down and lateral communication?	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	Does my organisation include well-being factors in improvement activities - for example, health and safety?	Does my organisation align the people resources plan with policy, strategy and values?
1	#27-000001001	2	1	4	1	1	3	3	1	1	2
2	#27-000001002	1	2	1	1	1	1	1	2	3	1
3	#27-000001003	1	1	1	3	1	2	2	1	2	1
4	#27-000001004	1	1	2	2	2	3	1	1	2	1
5	#27-000001005	1	1	2	1	1	1	1	1	2	1
6	#27-000001006	3	1	3	4	1	3	3	3	1	3
7	#27-000001007	1	1	3	1	2	3	3	3	3	1
8	#27-000001008	3	4	3	2	2	2	2	2	3	3
9	#27-000001009	2	1	1	2	4	3	3	2	3	2
10	#27-00000100A	3	3	2	2	2	2	1	2	1	3

RESOURCES AND INFORMATION MANAGEMENT		5.a.1	5.a.2	5.a.3	5.b.1	5.b.2	5.b.3	5.c.1	5.c.2	5.c.3	5.c.4
		Does my organisation use financial management to support policy and strategy?	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?	Does my organisation analyse and review organisation performance against budget?	Does my organisation structure and manage information to support policy and strategy?	Does my organisation evaluate and keep current with changing customer and stakeholder needs?	Does my organisation ensure everyone has appropriate information to do their work?	Does my organisation make best use of buildings, equipment and other resources?	Does my organisation manage tender processes and contracts effectively?	Does my organisation identify, evaluate and use alternative and emerging technologies?	Does my organisation manage and optimise material inventories?
1	#27-000001001	3	2	1	1	2	1	2	2	4	3
2	#27-000001002	3	2	2	1	3	1	2	1	3	3
3	#27-000001003	1	2	1	2	3	1	2	1	4	2
4	#27-000001004	3	3	2	2	1	2	1	2	3	3
5	#27-000001005	2	1	1	2	2	2	2	2	2	2
6	#27-000001006	4	3	4	4	3	2	2	3	3	2
7	#27-000001007	3	2	1	2	2	3	2	2	3	3
8	#27-000001008	3	2	3	2	2	3	3	2	2	2
9	#27-000001009	2	2	3	2	2	1	3	1	2	4
10	#27-00000100A	3	2	1	2	1	2	3	3	3	2

PROCESSES		6.a.1	6.a.2	6.a.3	6.a.4	6.a.5	6.b.1	6.b.2	6.b.3
		Does my organisation identify key processes?	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	Does my organisation establish process ownership, responsibility and accountability?	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?	Does my organisation encourage the innovation and creative talents of employees in process improvement?	Does my organisation manage and support new or process changes through testing, communication and review?
1	#27-000001001	1	2	3	3	1	1	2	1
2	#27-000001002	2	2	2	2	1	1	1	1
3	#27-000001003	2	3	3	1	2	2	1	2
4	#27-000001004	1	1	2	2	3	3	2	2
5	#27-000001005	2	2	3	2	2	1	1	2
6	#27-000001006	4	3	2	3	3	1	3	3
7	#27-000001007	3	3	2	3	2	2	2	3
8	#27-000001008	2	2	2	2	2	2	2	2
9	#27-000001009	3	2	2	3	3	2	3	
10	#27-00000100A	1	2	2	3	1	2	3	

SOCIAL RESPONSIBILITY		7.1	7.2	7.3	7.4
		Does my organisation have results (supported by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	Does my organisation have results that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?
1	#27-000001001	2	2	2	2
2	#27-000001002	1	1	2	1
3	#27-000001003	4	3	3	3
4	#27-000001004	3	3	1	3
5	#27-000001005	2	2	2	2
6	#27-000001006	1	4	4	3
7	#27-000001007	1	2	2	3
8	#27-000001008	2	2	2	3
9	#27-000001009	2	2	2	3
10	#27-00000100A	3	3	3	3

CUSTOMER SATISFACTION		8.1	8.2
		Does my organisation have results (supported by numbers) that show trends in relation to improved overall image? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:
1	#27-000001001	2	2
2	#27-000001002	3	2
3	#27-000001003	3	1
4	#27-000001004	3	1
5	#27-000001005	2	2
6	#27-000001006	2	2
7	#27-000001007	3	2
8	#27-000001008	3	2
9	#27-000001009	3	3
10	#27-00000100A	3	2

PEOPLE SATISFACTION		9.1	9.2	9.3
		Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:
1	#27-000001001	2	1	1
2	#27-000001002	1	1	1
3	#27-000001003	1	1	1
4	#27-000001004	3	2	3
5	#27-000001005	1	3	2
6	#27-000001006	2	3	2
7	#27-000001007	3	1	2
8	#27-000001008	2	2	2
9	#27-000001009	3	2	2
10	#27-00000100A	2		

SUPPLIER AND PARTNERSHIP PERFORMANCE		10.01	10.02	10.03	10.04	10.05	10.06	10.07	10.08	10.09	10.10
		Does my organisation have results (supported by numbers) that show trends in integrity?	Does my organisation have results (supported by numbers) that show trends in reliability?	Does my organisation have results (supported by numbers) that show trends in performance levels?	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	Does my organisation have results (supported by numbers) that show trends in enhancement of supplier and partner knowledge?	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?
1	#27-000001001	1	1	1	1	1	1	1	1	1	1
2	#27-000001002	1	1	1	1	1	1	1	1	1	1
3	#27-000001003	2	2	2	1	1	1	1	1	1	4
4	#27-000001004	3	3	1	1	1	1	2	1	2	1
5	#27-000001005	2	2	2	1	1	1	1	1	1	1
6	#27-000001006	1	1	1	3	1	3	3	3	2	2
7	#27-000001007	2	2	2	1	2	2	2	2	2	1
8	#27-000001008	2	2	2	1	2	2	2	1	1	2
9	#27-000001009	3	2	3	2	2	2	2	2	2	1
10	#27-00000100A	1	2	2	1	1	2	3	3	2	2

RESULTS		11.a.1	11.a.2	11.a.3	11.a.4	11.b.1	11.b.2	11.b.3	11.b.4	11.b.5	11.b.6
		Does my organisation have results (supported by numbers) that show trends in areas such as:	Does my organisation have results (supported by numbers) that show trends in balance sheet items including:	Does my organisation have results (supported by numbers) that show trends in cash flow items including:	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as:	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?	Does my organisation have results that show trends in key processes relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as:
1	#27-000001001	3	2	3	4	2	1	2	1	1	2
2	#27-000001002	3	3	2	2	1	1	1	1	2	1
3	#27-000001003	4	1	2	1	3	3	4	1	3	1
4	#27-000001004	3	3	3	3	1	3	3	2	3	3
5	#27-000001005	2	2	2	2	2	2	2	2	2	1
6	#27-000001006	3	3	3	1	2	1	2	3	3	3
7	#27-000001007	2	1	2	1	1	3	3	1	1	2
8	#27-000001008	3	2	3	2	2	2	2	2	3	2
9	#27-000001009	3	2	1	2	2	3	2	1	2	2
10	#27-00000100A	3	2	1	3	2	3	2	2	2	2

3.6 Faculty E

LEADERSHIP		1.a.2	1.a.3	1.a.4	1.a.5	1.a.6	1.b.1	1.b.2	1.b.3	1.c.1	1.c.2	1.a.2	1.a.3	1.a.4	1.a.5
		Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	Do the leaders in my organisation actively become involved in transformation processes?	Do the leaders in my organisation address public responsibilities and practice good citizenship?	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?	Do the leaders in my organisation recognise individuals and teams outside the organisation (for example, customers, suppliers and partners)?	Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?
1	#7-000001001	2	3	2	1	3	2	3	1	3	2	2	2	3	2
2	#7-000001002	3	3	2	2	2	3	3	1	2	1	2	3	3	2
3	#7-000001003	3	3	3	2	2	2	3	3	2	3	2	3	3	3
4	#7-000001004	3	2	2	2	2	2	3	2	3	2	3	3	2	2
5	#7-000001005	3	3	2	3	2	3	2	2	2	3	2	3	3	2
6	#7-000001006	3	3	2	3	2	3	3	4	2	2	2	3	3	2
7	#7-000001007	3	3	4	2	3	3	4	2	3	2	2	3	3	4
8	#7-000001008	2	3	4	2	2	3	4	2	2	2	2	2	3	4
9	#7-000001009	3	2	3	2	1	2	1	1	2	2	2	3	2	3
10	#7-00000100A	3	2	3	2	1	3	4	2	2	2	2	3	2	3
11	#7-00000100B	3	3	4	3	3	3	3	2	2	2	2	3	3	4

STRATEGY AND PLANNING		2.a.1	2.a.2	2.b.1	2.b.2
		Does my organisation develop policy and strategy based upon:	Does my organisation communicate policy and strategy to its people?	Does my organisation review performance requirements and key performance measures?	Does my organisation track performance relative to plans?
1	#7-000001001	3	2	1	2
2	#7-000001002	3	2	2	2
3	#7-000001003	2	3	2	2
4	#7-000001004	2	3	3	2
5	#7-000001005	2	2	2	3
6	#7-000001006	3	3	3	3
7	#7-000001007	3	2	4	2
8	#7-000001008	2	2	2	2
9	#7-000001009	2	3	3	3
10	#7-00000100A	2	2	3	2
11	#7-00000100B	3	2	2	2

CUSTOMER AND MARKET FOCUS		3.a.1	3.a.2	3.a.3	3.b.1	3.b.2
		Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?	Does my organisation evaluate, process and act on information received?	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?	Does my organisation resolve complaints promptly and effectively?
1	#7-000001001	2	1	2	2	1
2	#7-000001002	2	2	2	2	1
3	#7-000001003	2	2	2	3	3
4	#7-000001004	2	3	3	2	3
5	#7-000001005	3	3	3	4	3
6	#7-000001006	2	2	1	3	4
7	#7-000001007	2	2	2	3	3
8	#7-000001008	2	2	2	2	3
9	#7-000001009	2	3	2	2	3
10	#7-00000100A	1	2	2	2	3
11	#7-00000100B	2	2	2	2	2

PEOPLE MANAGEMENT		4.a.1	4.a.2	4.a.3	4.a.4	4.b.1	4.b.2	4.b.3	4.b.4	4.c.1
		Does my organisation align the people resources plan with policy, strategy and values?	Does my organisation orientate new employees?	Does my organisation develop people through work experience?	Does my organisation acknowledge and manage cultural diversity within the workforce?	Does my organisation involve all its people in continuous improvement activities?	Does my organisation empower people to take action and evaluate the effectiveness?	Does my organisation achieve effective up, down and lateral communication?	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	Does my organisation include well-being factors in improvement activities - for example, health and safety?
1	#7-000001001	2	1	2	3	2	3	2	2	1
2	#7-000001002	2	1	3	2	2	3	1	2	1
3	#7-000001003	2	2	3	3	2	3	2	2	2
4	#7-000001004	4	3	3	1	2	2	3	2	2
5	#7-000001005	2	3	3	2	1	3	3	2	1
6	#7-000001006	1	3	3	1	2	2	2	3	2
7	#7-000001007	3	2	3	2	2	1	3	2	3
8	#7-000001008	2	2	4	2	1	3	2	2	1
9	#7-000001009	2	2	1	1	1	2	2	2	2
10	#7-00000100A	2	2	3	2	2	2	2	3	1
11	#7-00000100B	3	2	3	2	2	2	2	2	1

RESOURCES AND INFORMATION MANAGEMENT		5.a.1	5.a.2	5.a.3	5.b.1	5.b.2	5b.3	5c.1	5c.2	5c.3	5c.4	5c.5
		Does my organisation use financial management to support policy and strategy?	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?	Does my organisation analyse and review organisation performance against budget?	Does my organisation structure and manage information to support policy and strategy?	Does my organisation evaluate and keep current with changing customer and stakeholder needs?	Does my organisation ensure everyone has appropriate information to do their work?	Does my organisation make best use of buildings, equipment and other resources?	Does my organisation manage tender processes and contracts effectively?	Does my organisation identify, evaluate and use alternative and emerging technologies?	Does my organisation manage and optimise material inventories?	Does my organisation improve supplier and partner relationships?
1	#7-000001001	3	3	2	2	3	3	3	2	3	2	2
2	#7-000001002	3	3	3	2	1	2	2	3	3	2	3
3	#7-000001003	3	3	2	2	2	3	2	2	2	2	2
4	#7-000001004	2	2	2	3	2	3	3	3	3	2	3
5	#7-000001005	3	4	3	3	3	3	2	3	4	4	2
6	#7-000001006	3	3	3	2	3	2	2	3	3	3	3
7	#7-000001007	3	3	3	3	2	3	3	3	3	2	2
8	#7-000001008	3	2	2	2	1	2	3	2	3	2	2
9	#7-000001009	2	3	2	2	2	2	4	4	3	2	3
10	#7-00000100A	3	3	2	2	3	2	3	3	2	2	3
11	#7-00000100B	3	3	3	3	3	2	2	3	2	3	3

PROCESSES		6.a.1	6.a.2	6.a.3	6.a.4	6.a.5	6.b.1	6.b.2	6.b.3
		Does my organisation identify key processes?	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	Does my organisation establish process ownership, responsibility and accountability?	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?	Does my organisation encourage the innovation and creative talents of employees in process improvement?	Does my organisation manage and support new or process changes through testing, communication and review?
1	#7-000001001	2	2	2	1	1	2	2	1
2	#7-000001002	2	1	2	3	1	1	2	3
3	#7-000001003	2	1	1	2	1	3	3	2
4	#7-000001004	2	3	2	3	3	2	3	2
5	#7-000001005	3	3	2	2	2	3	3	3
6	#7-000001006	3	3	3	4	3	3	3	3
7	#7-000001007	3	2	2	3	2	2	3	3
8	#7-000001008	2	3	2	3	2	2	3	2
9	#7-000001009	3	2	3	2	2	3	1	2
10	#7-00000100A	3	2	3	3	1	3	3	2
11	#7-00000100B	3	3	2	3	2	3	3	3

SOCIAL RESPONSIBILITY		7.1	7.2	7.3	7.4
		Does my organisation have results (supported by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	Does my organisation have results that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?
1	#7-000001001	3	3	3	3
2	#7-000001002	3	3	2	3
3	#7-000001003	2	1	2	1
4	#7-000001004	3	3	2	3
5	#7-000001005	3	3	2	4
6	#7-000001006	2	3	1	3
7	#7-000001007	2	3	2	3
8	#7-000001008	2	2	2	2
9	#7-000001009	2	1	2	3
10	#7-00000100A	2	2	2	3
11	#7-00000100B	3	3	2	3

CUSTOMER SATISFACTION		8.1	8.2
		Does my organisation have results (supported by numbers) that show trends in relation to improved overall image? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:
1	#7-000001001	3	1
2	#7-000001002	3	2
3	#7-000001003	2	1
4	#7-000001004	3	1
5	#7-000001005	3	2
6	#7-000001006	1	3
7	#7-000001007	2	2
8	#7-000001008	3	2
9	#7-000001009	2	2
10	#7-00000100A	2	2
11	#7-00000100B	3	1

PEOPLE SATISFACTION		9.1	9.2	9.3
		Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:
1	#7-000001001	2	3	2
2	#7-000001002	2	1	2
3	#7-000001003	1	2	1
4	#7-000001004	2	3	2
5	#7-000001005	2	2	2
6	#7-000001006	1	1	1
7	#7-000001007	2	3	1
8	#7-000001008	2	3	3
9	#7-000001009	2	3	2
10	#7-00000100A	2	2	2
11	#7-00000100B	2	3	3

SUPPLIER AND PARTNERSHIP PERFORMANCE		10.01	10.02	10.03	10.04	10.05	10.06	10.07	10.08	10.09	10.10
		Does my organisation have results (supported by numbers) that show trends in integrity?	Does my organisation have results (supported by numbers) that show trends in reliability?	Does my organisation have results (supported by numbers) that show trends in performance levels?	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	Does my organisation have results (supported by numbers) that show trends in enhancement of supplier and partner knowledge?	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?
1	#27-000001001	1	1	1	1	1	1	1	1	1	1
2	#27-000001002	1	1	1	1	1	1	1	1	1	1
3	#27-000001003	2	2	2	1	1	1	1	1	1	4
4	#27-000001004	3	3	1	1	1	1	2	1	2	1
5	#27-000001005	2	2	2	1	1	1	1	1	1	1
6	#27-000001006	1	1	1	3	1	3	3	3	2	2
7	#27-000001007	2	2	2	1	2	2	2	2	2	1
8	#27-000001008	2	2	2	1	2	2	2	1	1	2
9	#27-000001009	3	2	3	2	2	2	2	2	2	1
10	#27-00000100A	1	2	2	1	1	2	3	3	2	2

Results		11.a.1	11.a.2	11.a.3	11.a.4	11.b.1	11.b.2	11.b.3.	11.b.4	11.b.5	11.b.6.
		Does my organisation have results (supported by numbers) that show trends in areas such as:	Does my organisation have results (supported by numbers) that show trends in balance sheet items including:	Does my organisation have results (supported by numbers) that show trends in cash flow items including:	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as:	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?	Does my organisation have results that show trends in key processes relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as:
1	#7-000001001	3	2	3	3	1	3	1	3	1	1
2	#7-000001002	2	2	2	3	3	2	2	1	2	2
3	#7-000001003	1	1	1	1	1	1	1	1	1	1
4	#7-000001004	1	2	1	1	1	2	1	1	1	1
5	#7-000001005	3	3	3	3	2	3	3	2	3	2
6	#7-000001006	4	3	4	3	2	4	4	1	1	1
7	#7-000001007	3	3	3	2	2	2	2	1	2	2
8	#7-000001008	3	3	1	1	2	2	2	1	1	1
9	#7-000001009	2	2	2	1	2	3	2	1	1	3
10	#7-00000100A	3	3	3	3	2	3	2	2	3	2
11	#7-00000100B	3	3	3	2	2	1	1	2	1	2

3.7 Department A

LEADERSHIP		1.a.1	1.a.2	1.a.3	1.a.4	1.a.5	1.a.6	1.b.1	1.b.2	1.b.3	1.c.1	1.c.2
		Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	Do the leaders in my organisation actively become involved in transformation processes?	Do the leaders in my organisation address public responsibilities and practice good citizenship?	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?	Do the leaders in my organisation recognise individuals and teams outside the organisation (for example, customers, suppliers and partners)?
1	#23-000001001	4	3	3	1	2	2	3	1	4	3	3
2	#23-000001002	3	3	3	2	4	2	4	2	4	3	3
3	#23-000001003	4	2	3	2	4	2	2	2	3	2	2
4	#23-000001004	3	2	3	2	2	2	3	2	3	1	2
5	#23-000001005	3	3	2	3	3	4	3	1	3	2	2
6	#23-000001006	3	3	3	3	4	3	3	3	3	4	4
7	#23-000001007	3	3	2	3	3	3	3	2	3	2	2
8	#23-000001008	2	2	3	2	2	3	3	2	3	2	3
9	#23-000001009	3	4	4	3	4	3	4	2	4	4	4
10	#23-00000100A	3	2	3	2	3	3	3	2	3	3	3
11	#23-00000100B	3	3	3	2	3	2	3	2	3	3	3
12	#23-00000100C	2	3	3	2	4	3	2	2	4	2	2

STRATEGY AND PLANNING		2.a.1	2.a.2	2.b.1	2.b.2
		Does my organisation develop policy and strategy based upon:	Does my organisation communicate policy and strategy to its people?	Does my organisation review performance requirements and key performance measures?	Does my organisation track performance relative to plans?
1	#23-000001001	4	3	2	2
2	#23-000001002	4	4	4	4
3	#23-000001003	3	3	2	3
4	#23-000001004	3	2	3	2
5	#23-000001005	3	2	2	1
6	#23-000001006	2	2	2	2
7	#23-000001007	3	3	3	2
8	#23-000001008	3	3	2	3
9	#23-000001009	4	2	2	3
10	#23-00000100A	3	3	2	3
11	#23-00000100B	2	2	2	3
12	#23-00000100C	3	3	2	2

CUSTOMER AND MARKET FOCUS		3.a.1	3.a.2	3.a.3	3.b.1	3.b.2
		Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?	Does my organisation evaluate, process and act on information received?	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?	Does my organisation resolve complaints promptly and effectively?
1	#23-000001001	3	3	2	3	2
2	#23-000001002	4	3	3	4	2
3	#23-000001003	3	2	2	3	2
4	#23-000001004	2	2	2	2	3
5	#23-000001005	3	3	2	3	2
6	#23-000001006	3	3	3	3	3
7	#23-000001007	1	2	2	3	2
8	#23-000001008	2	2	2	2	3
9	#23-000001009	3	3	3	4	3
10	#23-00000100A	3	2	2	3	2
11	#23-00000100B	2	2	3	2	3
12	#23-00000100C	3	3	3	2	3

PEOPLE MANAGEMENT		4.a.1	4.a.2	4.a.3	4.a.4	4.b.1	4.b.2	4.b.3	4.b.4	4.c.1	4.a.1	4.a.2	4.a.3
		Does my organisation align the people resources plan with policy, strategy and values?	Does my organisation orientate new employees?	Does my organisation develop people through work experience?	Does my organisation acknowledge and manage cultural diversity within the workforce?	Does my organisation involve all its people in continuous improvement activities?	Does my organisation empower people to take action and evaluate the effectiveness?	Does my organisation achieve effective up, down and lateral communication?	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	Does my organisation include well-being factors in improvement activities - for example, health and safety?	Does my organisation align the people resources plan with policy, strategy and values?	Does my organisation orientate new employees?	Does my organisation develop people through work experience?
1	#23-000001001	2	4	4	3	3	2	2	3	1	2	4	4
2	#23-000001002	3	2	3	3	3	4	3	3	2	3	2	3
3	#23-000001003	2	3	3	2	2	3	2	1	1	2	3	3
4	#23-000001004	2	3	3	3	2	2	2	2	2	2	3	3
5	#23-000001005	2	2	3	2	2	2	2	2	1	2	2	3
6	#23-000001006	3	2	3	3	3	3	2	3	2	3	2	3
7	#23-000001007	3	2	2	2	2	2	2	2	2	3	2	2
8	#23-000001008	2	3	3	2	3	2	3	3	3	2	3	3
9	#23-000001009	4	2	3	3	2	3	2	3	2	4	2	3
10	#23-00000100A	3	3	3	3	3	2	3	3	2	3	3	3
11	#23-00000100B	2	2	2	2	2	2	3	2	2	2	2	2
12	#23-00000100C	2	2	3	3	2	2	2	3	2	2	2	3

RESOURCES AND INFORMATION MANAGEMENT		5.a.1	5.a.2	5.a.3	5.b.1	5.b.2	5.b.3	5.c.1	5.c.2	5.c.3	5.c.4	5.c.5
		Does my organisation use financial management to support policy and strategy?	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?	Does my organisation analyse and review organisation performance against budget?	Does my organisation structure and manage information to support policy and strategy?	Does my organisation evaluate and keep current with changing customer and stakeholder needs?	Does my organisation ensure everyone has appropriate information to do their work?	Does my organisation make best use of buildings, equipment and other resources?	Does my organisation manage tender processes and contracts effectively?	Does my organisation identify, evaluate and use alternative and emerging technologies?	Does my organisation manage and optimise material inventories?	Does my organisation improve supplier and partner relationships?
1	#23-000001001	2	2	2	2	3	2	3	3	4	2	4
2	#23-000001002	3	3	3	3	4	3	3	3	3	2	3
3	#23-000001003	1	1	1	2	3	2	2	2	4	1	3
4	#23-000001004	3	2	1	2	2	3	3	2	3	2	3
5	#23-000001005	1	1	1	1	2	2	2	2	2	2	3
6	#23-000001006	3	2	1	2	3	3	3	2	3	3	4
7	#23-000001007	2	3	2	3	2	2	3	3	3	2	3
8	#23-000001008	2	2	2	2	3	2	2	2	3	2	3
9	#23-000001009	3	3	1	2	3	3	3	2	4	2	3
10	#23-00000100A	2	2	2	3	3	3	2	3	3	2	3
11	#23-00000100B	2	2	2	2	2	2	2	1	2	2	2
12	#23-00000100C	2	3	1	2	3	2	2	1	3	2	2

PROCESSES		6.a.1	6.a.2	6.a.3	6.a.4	6.a.5	6.b.1	6.b.2	6.b.3
		Does my organisation identify key processes?	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	Does my organisation establish process ownership, responsibility and accountability?	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?	Does my organisation encourage the innovation and creative talents of employees in process improvement?	Does my organisation manage and support new or process changes through testing, communication and review?
1	#23-000001001	4	3	3	2	1	3	3	3
2	#23-000001002	4	4	4	4	2	4	4	3
3	#23-000001003	4	3	2	4	1	3	3	3
4	#23-000001004	2	2	2	2	2	2	2	2
5	#23-000001005	3	3	2	3	2	1	2	3
6	#23-000001006	4	4	4	3	2	3	3	3
7	#23-000001007	3	2	3	3	2	3	2	2
8	#23-000001008	2	3	3	2	2	3	3	2
9	#23-000001009	4	4	4	3	3	4	4	4
10	#23-00000100A	3	3	3	3	2	3	3	2
11	#23-00000100B	2	2	2	2	1	2	2	3
12	#23-00000100C	3	3	2	2	1	3	3	3

SOCIAL RESPONSIBILITY		7.1	7.2	7.3	7.4
		Does my organisation have results (supported by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	Does my organisation have results that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?
1	#23-000001001	2	1	3	1
2	#23-000001002	2	2	2	3
3	#23-000001003	2	1	2	3
4	#23-000001004	2	1	2	3
5	#23-000001005	1	1	1	2
6	#23-000001006	3	1	3	1
7	#23-000001007	2	2	2	2
8	#23-000001008	2	2	3	2
9	#23-000001009	2	1	3	2
10	#23-00000100A	2	2	3	3
11	#23-00000100B	1	1	1	2
12	#23-00000100C	3	2	3	3

CUSTOMER SATISFACTION		8.1	8.2
		Does my organisation have results (supported by numbers) that show trends in relation to improved overall image? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:
1	#23-000001001	3	2
2	#23-000001002	3	2
3	#23-000001003	3	2
4	#23-000001004	3	2
5	#23-000001005	3	2
6	#23-000001006	3	3
7	#23-000001007	3	2
8	#23-000001008	2	3
9	#23-000001009	3	3
10	#23-00000100A	3	2
11	#23-00000100B	2	1
12	#23-00000100C	3	2

PEOPLE SATISFACTION		9.1	9.2	9.3
		Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:	Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:
1	#23-000001001	2	1	1
2	#23-000001002	2	3	3
3	#23-000001003	1	1	2
4	#23-000001004	2	2	3
5	#23-000001005	1	1	1
6	#23-000001006	3	2	3
7	#23-000001007	2	2	2
8	#23-000001008	2	3	3
9	#23-000001009	3	3	3
10	#23-00000100A	3	2	
11	#23-00000100B	1	1	
12	#23-00000100C	2	2	

SUPPLIER AND PARTNERSHIP PERFORMANCE		10.01	10.02	10.03	10.04	10.05	10.06	10.07	10.08	10.09	10.10
		Does my organisation have results (supported by numbers) that show trends in integrity?	Does my organisation have results (supported by numbers) that show trends in reliability?	Does my organisation have results (supported by numbers) that show trends in performance levels?	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	Does my organisation have results (supported by numbers) that show trends in enhancement of supplier and partner knowledge?	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?
1	#23-000001001	2	2	3	2	2	3	2	2	3	2
2	#23-000001002	2	2	2	1	1	4	2	2	1	1
3	#23-000001003	2	2	2	1	1	3	1	2	1	1
4	#23-000001004	2	2	3	2	2	3	2	2	3	3
5	#23-000001005	1	2	1	1	1	2	1	1	1	1
6	#23-000001006	3	3	3	2	3	3	2	3	2	3
7	#23-000001007	2	3	2	2	1	2	2	2	2	1
8	#23-000001008	3	2	2	2	3	3	3	2	2	2
9	#23-000001009	2	2	2	2	2	3	2	3	2	1
10	#23-00000100A	2	2	2	2	2	2	2	3	3	2
11	#23-00000100B	1	2	1	1	1	1	1	1	1	2
12	#23-00000100C	2	2	2	2	2	2	2	3	2	2

RESULTS		11.a.1	11.a.2	11.a.3	11.a.4	11.b.1	11.b.2	11.b.3	11.b.4	11.b.5	11.b.6
		Does my organisation have results (supported by numbers) that show trends in areas such as:	Does my organisation have results (supported by numbers) that show trends in balance sheet items including:	Does my organisation have results (supported by numbers) that show trends in cash flow items including:	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as:	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?	Does my organisation have results that show trends in key processes relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as:	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as:
1	#23-000001001	2	2	3	3	3	2	2	2	3	2
2	#23-000001002	3	3	3	3	2	2	1	2	2	1
3	#23-000001003	2	1	2	2	3	2	3	2	2	2
4	#23-000001004	2	2	2	2	2	2	3	3	2	2
5	#23-000001005	2	2	3	3	1	2	2	2	2	1
6	#23-000001006	2	3	3	3	3	1	3	2	2	3
7	#23-000001007	2	2	2	3	2	2	2	2	1	1
8	#23-000001008	2	2	3	3	3	2	3	3	3	2
9	#23-000001009	2	3	3	2	4	2	3	3	3	4
10	#23-00000100A	2	2	2	2	3	3	3	3	3	2
11	#23-00000100B	1	2	2	2	2	1	2	2	2	1
12	#23-00000100C	2	2	3	2	3	2	3	2	2	3

**APPENDIX 4:
SUMMARY OF AREAS FOR IMPROVEMENT AND
STRENGTHS**

Corporate – Summary of areas for improvement and strengths

1. LEADERSHIP	
AREAS FOR IMPROVEMENT	STRENGTHS
1.a.1	
1.a.2	
1.a.3	
1.a.4	
1.a.5	
1.a.6	
	1.b.1
1.b.2	
1.b.3	
1.c.1	
1.c.2	

2. STRATEGY AND PLANNING	
AREAS FOR IMPROVEMENT	STRENGTHS
2.a.1	
2.a.2	
2.b.1	
2.b.2	

3. CUSTOMER AND MARKET FOCUS	
AREAS FOR IMPROVEMENT	STRENGTHS
3.a.1	
3.a.2	
3.a.3	
3.b.1	
3.b.2	

4. PEOPLE MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
4.a.1	
4.a.2	
4.a.3	
4.a.4	
4.b.1	
4.b.2	
4.b.3	
4.b.4	
4.c.1	

5. RESOURCES AND INFORMATION MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
5.a.1	
5.a.2	
5.a.3	
5.b.1	
5.b.2	
5.b.3	
	5.c.1
5.c.2	
	5.c.3
5.c.4	
5.c.5	

6. PROCESSES	
AREAS FOR IMPROVEMENT	STRENGTHS
6.a.1	
6.a.2	
6.a.3	
	6.a.4
6.a.5	
6.b.1	
6.b.2	
6.b.3	

7. SOCIAL RESPONSIBILITY	
AREAS FOR IMPROVEMENT	STRENGTHS
7.1	
	7.2
7.3	
7.4	

8. CUSTOMER SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
8.1	
8.2	

9. PEOPLE SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
9.1	
9.2	
9.3	

10. SUPPLIER AND PARTNERSHIP PERFORMANCE	
AREAS FOR IMPROVEMENT	STRENGTHS
10.01	
10.02	
10.03	
10.04	
10.05	
10.06	
10.07	
10.08	
10.09	
10.1	

11. RESULTS	
AREAS FOR IMPROVEMENT	STRENGTHS
	11.a.1
	11.a.2
	11.a.3
	11.a.4
11.b.1	
11.b.2	
11.b.3	
11.b.4	
11.b.5	
11.b.6	

Corporate – Detail of areas for improvement and strengths

Criterion 1: Leadership		Areas for improvement	Strengths
1a.	How leaders visibly demonstrate their commitment to a culture of Performance Excellence.		
1a.1	Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?	x	
1a.2	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?	x	
1a.3	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	x	
1a.4	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	x	
1a.5	Do the leaders in my organisation actively become involved in transformation processes?	x	
1a.6	Do the leaders in my organisation address public responsibilities and practice good citizenship?	x	
1b.	How do leaders support improvement and involvement:		
1b.1	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?		x
1b.2	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?	x	
1b.3	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?	x	
1c.	How leaders recognise and appreciate people's efforts and achievements.		
1c.1	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?	x	
1c.2	Do the leaders in my organisation recognise individuals and teams outside the organisation (for example, customers, suppliers and partners)?	x	

Criterion 2: Policy and Strategy		Areas for improvement	Strengths
2a.	How policy and strategy are developed, communicated and implemented.		
2a.1	Does my organisation develop policy and strategy based upon: <ul style="list-style-type: none"> ○ legislative requirements? ○ performance indicators? ○ customer and stakeholder requirements? ○ organisation's peoples capabilities? ○ supplier and partner capabilities? ○ government initiatives, directions and standards? 	x	
2a.2	Does my organisation communicate policy and strategy to its people?	x	
2b.	How policy and strategy are regularly reviewed, updated and improved?	x	
2b.1	Does my organisation review performance requirements and key performance measures?		
2b.2	Does my organisation track performance relative to plans?	x	

Criterion 3: Customer and Stakeholder Focus		Areas for improvement	Strengths
3a.	How customer and stakeholder needs are determined and used.		
3a.1	Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?	x	
3a.2	Does my organisation evaluate, process and act on information received?	x	
3a.3	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	x	
3b.	How customer and stakeholder satisfaction is determined.		
3b.1	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?	x	
3b.2	Does my organisation resolve complaints promptly and effectively?	x	

Criterion 4: People Management		Areas for improvement	Strengths
4a.	How people capabilities are developed and reviewed.		
4a.1	Does my organisation align the people resources plan with policy, strategy and values?	x	
4a.2	Does my organisation orientate new employees?	x	
4a.3	Does my organisation develop people through work experience?	x	
4a.4	Does my organisation acknowledge and manage cultural diversity within the workforce?	x	
4b.	How people are involved, empowered and recognition is ensured.		
4b.1	Does my organisation involve all its people (as individuals and teams) in continuous improvement activities?	x	
4b.2	Does my organisation empower people to take action and evaluate the effectiveness?	x	
4b.3	Does my organisation achieve effective up, down and lateral communication?	x	
4b.4	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	x	
4c.	How people are cared for.		
4c.1	Does my organisation include well-being factors in improvement activities - for example, health and safety?	x	

Criterion 5: Resources and Information Management		Areas for improvement	Strengths
5a.	How financial resources are managed.		
5a.1	Does my organisation use financial management to support policy and strategy?	x	
5a.2	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?	x	
5a.3	Does my organisation analyse and review organisation performance against budget?	x	
5b.	How information resources are managed.		
5b.1	Does my organisation structure and manage information to support policy and strategy?	x	
5b.2	Does my organisation evaluate and keep current with changing customer and stakeholder needs?	x	
5b.3	Does my organisation ensure everyone has appropriate information to do their work?	x	
5c.	How materials and other resources are managed.		
5c.1	Does my organisation make best use of buildings, equipment and other resources?		x
5c.2	Does my organisation manage tender processes and contracts effectively?	x	
5c.3	Does my organisation identify, evaluate and use alternative and emerging technologies?		x
5c.4	Does my organisation manage and optimise material inventories?	x	
5c.5	Does my organisation improve supplier and partner relationships?	x	

Criterion 6: Processes		Areas for improvement	Strengths
6a.	How processes (key to the success of the organisation) are identified and systematically managed.		
6a.1	Does my organisation identify key processes?	x	
6a.2	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?	x	
6a.3	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	x	
6a.4	Does my organisation establish process ownership, responsibility and accountability?		x
6a.5	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	x	
6b.	How processes are reviewed and targets are set for improvement.		
6b.1	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?	x	
6b.2	Does my organisation encourage the innovation and creative talents of employees in process improvement?	x	
6b.3	Does my organisation manage and support new or process changes through testing, communication and review?	x	

Criterion 7: Social Responsibility		Areas for improvement	Strengths
7.	Measurements of the organisation's impact on the local society.		
7.1	Does my organisation have results (supporters by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	x	
7.2	Does my organisation have results (supported by numbers) that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?		x
7.3	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	x	
7.4	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?	x	

Criterion 8: Customer and Stakeholder Satisfaction		Areas for improvement	Strengths
8.	Measurements relating to the satisfaction of the organisation's customers and stakeholders.		
8.1	<p>Does my organisation have results (supported by numbers) that show trends in relation to improved overall image?</p> <p>Areas to consider are:</p> <ul style="list-style-type: none"> ○ fairness and courtesy ○ integrity ○ level of customer satisfaction and dissatisfaction ○ communication ○ awards and accolades received 	x	
8.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to its products and services?</p> <p>Areas to consider are:</p> <ul style="list-style-type: none"> ○ accessibility of service ○ responsiveness and flexibility in meeting customer needs ○ defect ,error and waste ○ reliability and sustainability of service ○ cost of service ○ response time ○ percentage of complaints resolved on first contact ○ documentation simplicity, convenience and accuracy 	x	

Criterion 9: People Satisfaction		Areas for improvement	Strengths
9.	Measurements relating to the satisfaction of the organisation's people.		
9.1	<p>Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ ethical conduct ○ safe and pleasant working environment ○ equal opportunities ○ training and development ○ recognition and appreciation of individuals and teams 	x	
9.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ absenteeism ○ grievances ○ staff turnover ○ strikes and disputes ○ accident levels ○ use of facilities provided by the organisation (for example, recreation, crèche) 	x	
9.3	<p>Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accuracy of personnel administration ○ communication effectiveness ○ speed of response to enquiries 	x	

Criterion 10: Suppliers and Partnership Performance		Areas for improvement	Strengths
10.	Measurements relating to the performance of the organisation's suppliers and partners.		
10.1	Does my organisation have results (supported by numbers) that show trends in integrity?	x	
10.2	Does my organisation have results (supported by numbers) that show trends in reliability?	x	
10.3	Does my organisation have results (supported by numbers) that show trends in performance levels?	x	
10.4	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	x	
10.5	Does my organisation have results (supported by numbers) that show trends enhancement of supplier and partner knowledge?	x	
10.6	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	x	
10.7	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?	x	
10.8	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?	x	
10.9	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?	x	
10.10	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?	x	

Criterion 11: Organisation Results		Areas for improvement	Strengths
11a.	Financial measurements of the organisation's performance.		
11a.1	Does my organisation have results (supported by numbers) that show trends in areas such as: <ul style="list-style-type: none"> ○ gross margins? ○ net surplus (for example, trading services)? ○ Sales (for example, electricity and water)? 		x
11a.2	Does my organisation have results (supported by numbers) that show trends in balance sheet items including <ul style="list-style-type: none"> ○ long term borrowing? ○ total sales? ○ working capital (including inventory turnover)? 		x
11a.3	Does my organisation have results (supported by numbers) that show trends in cash flow items including <ul style="list-style-type: none"> ○ operating cash flow? 		x
11a.4	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as: <ul style="list-style-type: none"> ○ outstanding debtors (for example, non-payment and credit control)? ○ return on funds? 		x
11b.	Additional measurements of the organisation's performance.		
11b.1	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?	x	
11b.2	Does my organisation have results (supported by numbers) that show trends in key processes relating to areas such as: <ul style="list-style-type: none"> ○ defect rate? ○ productivity? ○ service time? 	x	

Criterion 11: Organisation Results		Areas for improvement	Strengths
11b.3	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as: <ul style="list-style-type: none"> ○ accessibility? ○ relevance? ○ timeliness? 	x	
11b.4	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as: <ul style="list-style-type: none"> ○ inventory turnover? ○ price? ○ response time? 	x	
11b.5	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as: <ul style="list-style-type: none"> ○ maintenance costs? ○ utilisation? 	x	
11b.6	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as: <ul style="list-style-type: none"> ○ impact on service efficiency? 	x	

Faculty A – Summary of areas for improvement and strengths

1. LEADERSHIP	
AREAS FOR IMPROVEMENT	STRENGTHS
	1.a.1
	1.a.2
	1.a.3
	1.a.4
	1.a.5
	1.a.6
1.b.1	
	1.b.2
	1.b.3
1.c.1	
	1.c.2

2. STRATEGY AND PLANNING	
AREAS FOR IMPROVEMENT	STRENGTHS
2.a.1	
2.a.2	
2.b.1	
2.b.2	

3. CUSTOMER AND MARKET FOCUS	
AREAS FOR IMPROVEMENT	STRENGTHS
3.a.1	
3.a.2	
3.a.3	
	3.b.1
3.b.2	

4. PEOPLE MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
	4.a.1
4.a.2	
4.a.3	
4.a.4	
4.b.1	
4.b.2	
4.b.3	
4.b.4	
4.c.1	

5. RESOURCES AND INFORMATION MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
5.a.1	
5.a.2	
	5.a.3
	5.b.1
5.b.2	
5.b.3	
5.c.1	
5.c.2	
	5.c.3
5.c.4	
5.c.5	

6. PROCESSES	
AREAS FOR IMPROVEMENT	STRENGTHS
6.a.1	
	6.a.2
6.a.3	
	6.a.4
6.a.5	
6.b.1	
6.b.2	
6.b.3	

7. SOCIAL RESPONSIBILITY	
AREAS FOR IMPROVEMENT	STRENGTHS
7.1	
7.2	
7.3	
	7.4

8. CUSTOMER SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
	8.1
8.2	

9. PEOPLE SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
9.1	
9.2	
9.3	

10. SUPPLIER AND PARTNERSHIP PERFORMANCE	
AREAS FOR IMPROVEMENT	STRENGTHS
10.01	
10.02	
10.03	
10.04	
10.05	
10.06	
10.07	
10.08	
10.09	
10.1	

11. RESULTS	
AREAS FOR IMPROVEMENT	STRENGTHS
11.a.1	
11.a.2	
11.a.3	
11.a.4	
11.b.1	
11.b.2	
11.b.3	
11.b.4	
11.b.5	
11.b.6	

Faculty A – Detail of areas for improvement and strengths

Criterion 1: Leadership		Areas for improvement	Strengths
1a.	How leaders visibly demonstrate their commitment to a culture of Performance Excellence.		
1a.1	Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?		x
1a.2	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?		x
1a.3	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?		x
1a.4	Do the leaders in my organisation review and improve the effectiveness of their own leadership?		x
1a.5	Do the leaders in my organisation actively become involved in transformation processes?		x
1a.6	Do the leaders in my organisation address public responsibilities and practice good citizenship?		x
1b.	How do leaders support improvement and involvement.		
1b.1	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?	x	
1b.2	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?		x
1b.3	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?		x
1c.	How leaders recognise and appreciate people's efforts and achievements.		
1c.1	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?	x	
1c.2	Do the leaders in my organisation recognise individuals and teams outside the organisation (for example, customers, suppliers and partners)?		x

Criterion 2: Policy and Strategy		Areas for improvement	Strengths
2a.	How policy and strategy are developed, communicated and implemented.		
2a.1	Does my organisation develop policy and strategy based upon: <ul style="list-style-type: none"> ○ legislative requirements? ○ performance indicators? ○ customer and stakeholder requirements? ○ organisation's peoples capabilities? ○ supplier and partner capabilities? ○ government initiatives, directions and standards? 	x	
2a.2	Does my organisation communicate policy and strategy to its people?	x	
2b.	How policy and strategy are regularly reviewed, updated and improved?		
2b.1	Does my organisation review performance requirements and key performance measures?	x	
2b.2	Does my organisation track performance relative to plans?	x	

Criterion 3: Customer and Stakeholder Focus		Areas for improvement	Strengths
3a.	How customer and stakeholder needs are determined and used.		
3a.1	Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?	x	
3a.2	Does my organisation evaluate, process and act on information received?	x	
3a.3	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	x	
3b.	How customer and stakeholder satisfaction is determined.		
3b.1	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?		
3b.2	Does my organisation resolve complaints promptly and effectively?	x	

Criterion 4: People Management		Areas for improvement	Strengths
4a.	How people capabilities are developed and reviewed.		
4a.1	Does my organisation align the people resources plan with policy, strategy and values?		x
4a.2	Does my organisation orientate new employees?	x	
4a.3	Does my organisation develop people through work experience?	x	
4a.4	Does my organisation acknowledge and manage cultural diversity within the workforce?		
4b.	How people are involved, empowered and recognition is ensured.		
4b.1	Does my organisation involve all its people (as individuals and teams) in continuous improvement activities?	x	
4b.2	Does my organisation empower people to take action and evaluate the effectiveness?	x	
4b.3	Does my organisation achieve effective up, down and lateral communication?	x	
4b.4	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	x	
4c.	How people are cared for.		
4c.1	Does my organisation include well-being factors in improvement activities – for example, health and safety?	x	

Criterion 5: Resources and Information Management		Areas for improvement	Strengths
5a.	How financial resources are managed.		
5a.1	Does my organisation use financial management to support policy and strategy?	x	
5a.2	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?	x	
5a.3	Does my organisation analyse and review organisation performance against budget?		x
5b.	How information resources are managed.		
5b.1	Does my organisation structure and manage information to support policy and strategy?		x
5b.2	Does my organisation evaluate and keep current with changing customer and stakeholder needs?	x	
5b.3	Does my organisation ensure everyone has appropriate information to do their work?	x	
5c.	How materials and other resources are managed.		
5c.1	Does my organisation make best use of buildings, equipment and other resources?	x	
5c.2	Does my organisation manage tender processes and contracts effectively?	x	
5c.3	Does my organisation identify, evaluate and use alternative and emerging technologies?		x
5c.4	Does my organisation manage and optimise material inventories?	x	
5c.5	Does my organisation improve supplier and partner relationships?	x	

Criterion 6: Processes		Areas for improvement	Strengths
6a.	How processes (key to the success of the organisation) are identified and systematically managed.		
6a.1	Does my organisation identify key processes?	x	
6a.2	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?		x
6a.3	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	x	
6a.4	Does my organisation establish process ownership, responsibility and accountability?		x
6a.5	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	x	
6b.	How processes are reviewed and targets are set for improvement.		
6b.1	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?	x	
6b.2	Does my organisation encourage the innovation and creative talents of employees in process improvement?	x	
6b.3	Does my organisation manage and support new or process changes through testing, communication and review?	x	

Criterion 7: Social Responsibility		Areas for improvement	Strengths
7.	Measurements of the organisation's impact on the local society.		
7.1	Does my organisation have results (supporters by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	x	
7.2	Does my organisation have results (supported by numbers) that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?	x	
7.3	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	x	
7.4	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?		x

Criterion 8: Customer and Stakeholder Satisfaction		Areas for improvement	Strengths
8.	Measurements relating to the satisfaction of the organisation's customers and stakeholders.		
8.1	<p>Does my organisation have results (supported by numbers) that show trends in relation to improved overall image?</p> <p>Areas to consider are:</p> <ul style="list-style-type: none"> ○ fairness and courtesy ○ integrity ○ level of customer satisfaction and dissatisfaction ○ communication ○ awards and accolades received 		x
8.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to its products and services?</p> <p>Areas to consider are:</p> <ul style="list-style-type: none"> ○ accessibility of service ○ responsiveness and flexibility in meeting customer needs ○ defect ,error and waste ○ reliability and sustainability of service ○ cost of service ○ response time ○ percentage of complaints resolved on first contact ○ documentation simplicity, convenience and accuracy 	x	

Criterion 9: People Satisfaction		Areas for improvement	Strengths
9.	Measurements relating to the satisfaction of the organisation's people.		
9.1	Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are: <ul style="list-style-type: none"> ○ ethical conduct ○ safe and pleasant working environment ○ equal opportunities ○ training and development ○ recognition and appreciation of individuals and teams 	x	
9.2	Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are: <ul style="list-style-type: none"> ○ absenteeism ○ grievances ○ staff turnover ○ strikes and disputes ○ accident levels ○ use of facilities provided by the organisation (for example, recreation, crèche) 	x	
9.3	Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are: <ul style="list-style-type: none"> ○ accuracy of personnel administration ○ communication effectiveness ○ speed of response to enquiries 	x	

Criterion 10: Suppliers and Partnership Performance		Areas for improvement	Strengths
10.	Measurements relating to the performance of the organisation's suppliers and partners.		
10.1	Does my organisation have results (supported by numbers) that show trends in integrity?	x	
10.2	Does my organisation have results (supported by numbers) that show trends in reliability?	x	
10.3	Does my organisation have results (supported by numbers) that show trends in performance levels?	x	
10.4	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	x	
10.5	Does my organisation have results (supported by numbers) that show trends enhancement of supplier and partner knowledge?	x	
10.6	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	x	
10.7	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?	x	
10.8	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?	x	
10.9	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?	x	
10.10	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?	x	

Criterion 11: Organisation Results		Areas for improvement	Strengths
11a.	Financial measurements of the organisation's performance.		
11a.1	Does my organisation have results (supported by numbers) that show trends in areas such as: <ul style="list-style-type: none"> o gross margins? o net surplus (for example, trading services)? o Sales (for example, electricity and water)? 	x	
11a.2	Does my organisation have results (supported by numbers) that show trends in balance sheet items including <ul style="list-style-type: none"> o long term borrowing? o total sales? o working capital (including inventory turnover)? 	x	
11a.3	Does my organisation have results (supported by numbers) that show trends in cash flow items including <ul style="list-style-type: none"> o operating cash flow? 	x	
11a.4	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as: <ul style="list-style-type: none"> o outstanding debtors (for example, non-payment and credit control)? o return on funds? 	x	
11b.	Additional measurements of the organisation's performance.		
11b.1	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?	x	
11b.2	Does my organisation have results (supported by numbers) that show trends in key processes relating to areas such as: <ul style="list-style-type: none"> o defect rate? o productivity? o service time? 	x	

Criterion 11: Organisation Results		Areas for improvement	Strengths
11b.3	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as: <ul style="list-style-type: none"> ○ accessibility? ○ relevance? ○ timeliness? 	x	
11b.4	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as: <ul style="list-style-type: none"> ○ inventory turnover? ○ price? ○ response time? 	x	
11b.5	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as: <ul style="list-style-type: none"> ○ maintenance costs? ○ utilisation? 	x	
11b.6	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as: <ul style="list-style-type: none"> ○ impact on service efficiency? 	x	

Faculty B – Summary of areas for improvement and strengths

1. LEADERSHIP	
AREAS FOR IMPROVEMENT	STRENGTHS
	1.a.1
	1.a.2
1.a.3	
1.a.4	
	1.a.5
	1.a.6
	1.b.1
	1.b.2
	1.b.3
	1.c.1
	1.c.2

2. POLICY AND STRATEGY	
AREAS FOR IMPROVEMENT	STRENGTHS
	2.a.1
	2.a.2
	2.b.1
	2.b.2

3. CUSTOMER AND MARKET FOCUS	
AREAS FOR IMPROVEMENT	STRENGTHS
	3.a.1
	3.a.2
3.a.3	
3.b.1	
	3.b.2

4. PEOPLE MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
	4.a.1
	4.a.2
	4.a.3
	4.a.4
	4.b.1
4.b.2	
4.b.3	
	4.b.4
	4.c.1

5. RESOURCES AND INFORMATION MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
	5.a.1
5.a.2	
5.a.3	
5.b.1	
	5.b.2
	5.b.3
	5.c.1
5.c.2	
	5.c.3
5.c.4	
	5.c.5

6. PROCESSES	
AREAS FOR IMPROVEMENT	STRENGTHS
	6.a.1
	6.a.2
	6.a.3
6.a.4	
6.a.5	
6.b.1	
	6.b.2
6.b.3	

7. SOCIAL RESPONSIBILITY	
AREAS FOR IMPROVEMENT	STRENGTHS
	7.1
	7.2
7.3	
7.4	

8. CUSTOMER SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
	8.1
	8.2

9. PEOPLE SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
9.1	
9.2	
9.3	

10. SUPPLIER AND PARTNERSHIP PERFORMANCE	
AREAS FOR IMPROVEMENT	STRENGTHS
10.01	
10.02	
10.03	
10.04	
10.05	
10.06	
10.07	
10.08	
10.09	
10.1	

11. RESULTS	
AREAS FOR IMPROVEMENT	STRENGTHS
	11.a.1
11.a.2	
	11.a.3
	11.a.4
11.b.1	
11.b.2	
11.b.3	
11.b.4	
11.b.5	
11.b.6	

Faculty B – Details of areas for improvement and strengths

Criterion 1: Leadership		Areas for improvement	Strengths
1a.	How leaders visibly demonstrate their commitment to a culture of Performance Excellence.		
1a.1	Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?		x
1a.2	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?		X
1a.3	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	x	
1a.4	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	x	
1a.5	Do the leaders in my organisation actively become involved in transformation processes?		x
1a.6	Do the leaders in my organisation address public responsibilities and practice good citizenship?		x
1b.	How do leaders support improvement and involvement.		
1b.1	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?		x
1b.2	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?		x
1b.3	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?		x
1c.	How leaders recognise and appreciate people's efforts and achievements.		
1c.1	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?		x
1c.2	Do the leaders in my organisation recognise individuals and teams outside the organisation (for example, customers, suppliers and partners)?		x

Criterion 2: Policy and Strategy		Areas for improvement	Strengths
2a.	How policy and strategy are developed, communicated and implemented.		
2a.1	Does my organisation develop policy and strategy based upon: <ul style="list-style-type: none"> ○ legislative requirements? ○ performance indicators? ○ customer and stakeholder requirements? ○ organisation's peoples capabilities? ○ supplier and partner capabilities? ○ government initiatives, directions and standards? 		x
2a.2	Does my organisation communicate policy and strategy to its people?		x
2b.	How policy and strategy are regularly reviewed, updated and improved?		x
2b.1	Does my organisation review performance requirements and key performance measures?		
2b.2	Does my organisation track performance relative to plans?		x

Criterion 3: Customer and Stakeholder Focus		Areas for improvement	Strengths
3a.	How customer and stakeholder needs are determined and used.		
3a.1	Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?		x
3a.2	Does my organisation evaluate, process and act on information received?		x
3a.3	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	x	
3b.	How customer and stakeholder satisfaction is determined.		
3b.1	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?	x	
3b.2	Does my organisation resolve complaints promptly and effectively?		x

Criterion 4: People Management		Areas for improvement	Strengths
4a.	How people capabilities are developed and reviewed.		
4a.1	Does my organisation align the people resources plan with policy, strategy and values?		x
4a.2	Does my organisation orientate new employees?		x
4a.3	Does my organisation develop people through work experience?		x
4a.4	Does my organisation acknowledge and manage cultural diversity within the workforce?		x
4b.	How people are involved, empowered and recognition is ensured.		
4b.1	Does my organisation involve all its people (as individuals and teams) in continuous improvement activities?		x
4b.2	Does my organisation empower people to take action and evaluate the effectiveness?	x	
4b.3	Does my organisation achieve effective up, down and lateral communication?	x	
4b.4	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?		x
4c.	How people are cared for.		
4c.1	Does my organisation include well-being factors in improvement activities – for example, health and safety?	x	

Criterion 5: Resources and Information Management		Areas for improvement	Strengths
5a.	How financial resources are managed.		
5a.1	Does my organisation use financial management to support policy and strategy?		x
5a.2	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?	x	
5a.3	Does my organisation analyse and review organisation performance against budget?	x	
5b.	How information resources are managed.		
5b.1	Does my organisation structure and manage information to support policy and strategy?	x	
5b.2	Does my organisation evaluate and keep current with changing customer and stakeholder needs?		x
5b.3	Does my organisation ensure everyone has appropriate information to do their work?		x
5c.	How materials and other resources are managed.		
5c.1	Does my organisation make best use of buildings, equipment and other resources?		x
5c.2	Does my organisation manage tender processes and contracts effectively?	x	
5c.3	Does my organisation identify, evaluate and use alternative and emerging technologies?		x
5c.4	Does my organisation manage and optimise material inventories?	x	
5c.5	Does my organisation improve supplier and partner relationships?		x

Criterion 6: Processes		Areas for improvement	Strengths
6a.	How processes (key to the success of the organisation) are identified and systematically managed.		
6a.1	Does my organisation identify key processes?		x
6a.2	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?		x
6a.3	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?		x
6a.4	Does my organisation establish process ownership, responsibility and accountability?	x	
6a.5	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	x	
6b.	How processes are reviewed and targets are set for improvement.		
6b.1	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?	x	
6b.2	Does my organisation encourage the innovation and creative talents of employees in process improvement?		x
6b.3	Does my organisation manage and support new or process changes through testing, communication and review?	x	

Criterion 7: Social Responsibility		Areas for improvement	Strengths
7.	Measurements of the organisation's impact on the local society.		
7.1	Does my organisation have results (supporters by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?		x
7.2	Does my organisation have results (supported by numbers) that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?		x
7.3	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	x	
7.4	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?	x	

Criterion 8: Customer and Stakeholder Satisfaction		Areas for improvement	Strengths
8.	Measurements relating to the satisfaction of the organisation's customers and stakeholders.		
8.1	<p>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"> ○ fairness and courtesy ○ integrity ○ level of customer satisfaction and dissatisfaction ○ communication ○ awards and allocates received 		x
8.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accessibility of service ○ responsiveness and flexibility in meeting customer needs ○ defect ,error and waste ○ reliability and sustainability of service ○ cost of service ○ response time ○ percentage of complaints resolved on first contact ○ documentation simplicity, convenience and accuracy 		x

Criterion 9: People Satisfaction		Areas for improvement	Strengths
9.	Measurements relating to the satisfaction of the organisation's people.		
9.1	<p>Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ ethical conduct ○ safe and pleasant working environment ○ equal opportunities ○ training and development ○ recognition and appreciation of individuals and teams. 	x	
9.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ absenteeism ○ grievances ○ staff turnover ○ strikes and disputes ○ accident levels ○ use of facilities provided by the organisation (for example, recreation, crèche) 	x	
9.3	<p>Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accuracy of personnel administration ○ communication effectiveness ○ speed of response to enquiries 	x	

Criterion 10: Suppliers and Partnership Performance		Areas for improvement	Strengths
10.	Measurements relating to the performance of the organisation's suppliers and partners.		
10.1	Does my organisation have results (supported by numbers) that show trends in integrity?	x	
10.2	Does my organisation have results (supported by numbers) that show trends in reliability?	x	
10.3	Does my organisation have results (supported by numbers) that show trends in performance levels?	x	
10.4	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	x	
10.5	Does my organisation have results (supported by numbers) that show trends enhancement of supplier and partner knowledge?	x	
10.6	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	x	
10.7	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?	x	
10.8	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?	x	
10.9	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?	x	
10.10	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?	x	

Criterion 11: Organisation Results		Areas for improvement	Strengths
11a.	Financial measurements of the organisation's performance.		
11a.1	Does my organisation have results (supported by numbers) that show trends in areas such as: <ul style="list-style-type: none"> o gross margins? o net surplus (for example, trading services)? o Sales (for example, electricity and water)? 		x
11a.2	Does my organisation have results (supported by numbers) that show trends in balance sheet items including <ul style="list-style-type: none"> o long term borrowing? o total sales? o working capital (including inventory turnover)? 	x	
11a.3	Does my organisation have results (supported by numbers) that show trends in cash flow items including <ul style="list-style-type: none"> o operating cash flow? 		x
11a.4	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as: <ul style="list-style-type: none"> o outstanding debtors (for example, non-payment and credit control)? o return on funds? 		x
11b.	Additional measurements of the organisation's performance.		
11b.1	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?	x	
311b.2	Does my organisation have results (supported by numbers) that show trends in key processes relating to areas such as: <ul style="list-style-type: none"> o defect rate? o productivity? o service time? 	x	

Criterion 11: Organisation Results		Areas for improvement	Strengths
11b.3	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as: <ul style="list-style-type: none"> ○ accessibility? ○ relevance? ○ timeliness? 	x	
11b.4	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as: <ul style="list-style-type: none"> ○ inventory turnover? ○ price? ○ response time? 	x	
11b.5	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as: <ul style="list-style-type: none"> ○ maintenance costs? ○ utilisation? 	x	
11b.6	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as: <ul style="list-style-type: none"> ○ impact on service efficiency? 	x	

Faculty C – Summary of areas for improvement and strengths

1. LEADERSHIP	
AREAS FOR IMPROVEMENT	STRENGTHS
	1.a.1
1.a.2	
1.a.3	
1.a.4	
1.a.5	
1.a.6	
1.b.1	
	1.b.2
1.b.3	
1.c.1	
	1.c.2

2. STRATEGY AND PLANNING	
AREAS FOR IMPROVEMENT	STRENGTHS
	2.a.1
2.a.2	
2.b.1	

3. CUSTOMER AND MARKET FOCUS	
AREAS FOR IMPROVEMENT	STRENGTHS
	3.a.1
	3.a.2
3.a.3	
	3.b.1
3.b.2	

4. PEOPLE MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
	4.a.1
4.a.2	
	4.a.3
	4.a.4
4.b.1	
4.b.2	
4.b.3	
4.b.4	
4.c.1	

5. RESOURCES AND INFORMATION MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
	5.a.1
	5.a.2
	5.a.3
5.b.1	
5.b.2	
5.b.3	
	5.c.1
5.c.2	
5.c.3	
	5.c.4
	5.c.5

6. PROCESSES	
AREAS FOR IMPROVEMENT	STRENGTHS
	6.a.1
6.a.2	
	6.a.3
6.a.4	
6.a.5	
	6.b.1
	6.b.2
6.b.3	

7. SOCIAL RESPONSIBILITY	
AREAS FOR IMPROVEMENT	STRENGTHS
7.1	
	7.2
	7.3
	7.4

8. CUSTOMER SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
8.1	
8.2	

9. PEOPLE SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
9.1	
9.2	
9.3	

10. SUPPLIER AND PARTNERSHIP PERFORMANCE	
AREAS FOR IMPROVEMENT	STRENGTHS
10.01	
10.02	
10.03	
10.04	
10.05	
10.06	
	10.07
	10.08
	10.09
10.1	

11. RESULTS	
AREAS FOR IMPROVEMENT	STRENGTHS
	11.a.1
	11.a.2
11.a.3	
11.a.4	
	11.b.1
11.b.2	
11.b.3	
11.b.4	
11.b.5	
	11.b.6

Faculty C – Detail of areas for improvement and strengths

Criterion 1: Leadership		Areas for improvement	Strengths
1a.	How leaders visibly demonstrate their commitment to a culture of Performance Excellence.		
1a.1	Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?		x
1a.2	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?	x	
1a.3	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	x	
1a.4	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	x	
1a.5	Do the leaders in my organisation actively become involved in transformation processes?	x	
1a.6	Do the leaders in my organisation address public responsibilities and practice good citizenship?	x	
1b.	How do leaders support improvement and involvement.		
1b.1	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?		
1b.2	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?		x
1b.3	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?	x	
1c.	How leaders recognise and appreciate people's efforts and achievements.		
1c.1	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?	x	
1c.2	Do the leaders in my organisation recognise individuals and teams outside the organisation (for example, customers, suppliers and partners)?		x

Criterion 2: Policy and Strategy		Areas for improvement	Strengths
2a.	How policy and strategy are developed, communicated and implemented.		
2a.1	Does my organisation develop policy and strategy based upon: <ul style="list-style-type: none"> ○ legislative requirements? ○ performance indicators? ○ customer and stakeholder requirements? ○ organisation's peoples capabilities? ○ supplier and partner capabilities? ○ government initiatives, directions and standards? 		x
2a.2	Does my organisation communicate policy and strategy to its people?	x	
2b.	How policy and strategy are regularly reviewed, updated and improved?		
2b.1	Does my organisation review performance requirements and key performance measures?	x	
2b.2	Does my organisation track performance relative to plans?	x	

Criterion 3: Customer and Stakeholder Focus		Areas for improvement	Strengths
3a.	How customer and stakeholder needs are determined and used.		
3a.1	Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?		x
3a.2	Does my organisation evaluate, process and act on information received?		x
3a.3	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	x	
3b.	How customer and stakeholder satisfaction is determined.		
3b.1	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?		x
3b.2	Does my organisation resolve complaints promptly and effectively?	x	

Criterion 4: People Management		Areas for improvement	Strengths
4a.	How people capabilities are developed and reviewed.		
4a.1	Does my organisation align the people resources plan with policy, strategy and values?		x
4a.2	Does my organisation orientate new employees?	x	
4a.3	Does my organisation develop people through work experience?		x
4a.4	Does my organisation acknowledge and manage cultural diversity within the workforce?		x
4b.	How people are involved, empowered and recognition is ensured.		
4b.1	Does my organisation involve all its people (as individuals and teams) in continuous improvement activities?	x	
4b.2	Does my organisation empower people to take action and evaluate the effectiveness?	x	
4b.3	Does my organisation achieve effective up, down and lateral communication?	x	
4b.4	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	x	
4c.	How people are cared for.		
4c.1	Does my organisation include well-being factors in improvement activities - for example, health and safety?	x	

Criterion 5: Resources and Information Management		Areas for improvement	Strengths
5a.	How financial resources are managed.		
5a.1	Does my organisation use financial management to support policy and strategy?		x
5a.2	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?		x
5a.3	Does my organisation analyse and review organisation performance against budget?		x
5b.	How information resources are managed.		
5b.1	Does my organisation structure and manage information to support policy and strategy?	x	
5b.2	Does my organisation evaluate and keep current with changing customer and stakeholder needs?	x	
5b.3	Does my organisation ensure everyone has appropriate information to do their work?	x	
5c.	How materials and other resources are managed.		
5c.1	Does my organisation make best use of buildings, equipment and other resources?		x
5c.2	Does my organisation manage tender processes and contracts effectively?	x	
5c.3	Does my organisation identify, evaluate and use alternative and emerging technologies?	x	
5c.4	Does my organisation manage and optimise material inventories?		x
5c.5	Does my organisation improve supplier and partner relationships?	x	

Criterion 6: Processes		Areas for improvement	Strengths
6a.	How processes (key to the success of the organisation) are identified and systematically managed.		
6a.1	Does my organisation identify key processes?		x
6a.2	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?	x	
6a.3	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?		x
6a.4	Does my organisation establish process ownership, responsibility and accountability?	x	
6a.5	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	x	
6b.	How processes are reviewed and targets are set for improvement.		
6b.1	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?		x
6b.2	Does my organisation encourage the innovation and creative talents of employees in process improvement?		x
6b.3	Does my organisation manage and support new or process changes through testing, communication and review?	x	

Criterion 7: Social Responsibility		Areas for improvement	Strengths
7.	Measurements of the organisation's impact on the local society.		
7.1	Does my organisation have results (supporters by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	x	
7.2	Does my organisation have results (supported by numbers) that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?		x
7.3	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?		x
7.4	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?		x

Criterion 8: Customer and Stakeholder Satisfaction		Areas for improvement	Strengths
8.	Measurements relating to the satisfaction of the organisation's customers and stakeholders		
8.1	<p>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"> ○ fairness and courtesy ○ integrity ○ level of customer satisfaction and dissatisfaction ○ communication ○ awards and allocates received 	x	
8.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accessibility of service ○ responsiveness and flexibility in meeting customer needs ○ defect, error and waste ○ reliability and sustainability of service ○ cost of service ○ response time ○ percentage of complaints resolved on first contact ○ documentation simplicity, convenience and accuracy 	x	

Criterion 9: People Satisfaction		Areas for improvement	Strengths
9.	Measurements relating to the satisfaction of the organisation's people.		
9.1	<p>Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ ethical conduct ○ safe and pleasant working environment ○ equal opportunities ○ training and development ○ recognition and appreciation of individuals and teams 	x	
9.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ absenteeism ○ grievances ○ staff turnover ○ strikes and disputes ○ accident levels ○ use of facilities provided by the organisation (for example, recreation, crèche) 	x	
9.3	<p>Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accuracy of personnel administration ○ communication effectiveness ○ speed of response to enquiries 	x	

Criterion 10: Suppliers and Partnership Performance		Areas for improvement	Strengths
10.	Measurements relating to the performance of the organisation's suppliers and partners.		
10.1	Does my organisation have results (supported by numbers) that show trends in integrity?	x	
10.2	Does my organisation have results (supported by numbers) that show trends in reliability?	x	
10.3	Does my organisation have results (supported by numbers) that show trends in performance levels?	x	
10.4	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	x	
10.5	Does my organisation have results (supported by numbers) that show trends enhancement of supplier and partner knowledge?	x	
10.6	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	x	
0.7	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?		x
10.8	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?		x
10.9	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?		x
10.10	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?	x	

Criterion 11: Organisation Results		Areas for improvement	Strengths
11a.	Financial measurements of the organisation's performance.		
11a.1	Does my organisation have results (supported by numbers) that show trends in areas such as: <ul style="list-style-type: none"> ○ gross margins? ○ net surplus (for example, trading services)? ○ Sales (for example, electricity and water)? 		x
11a.2	Does my organisation have results (supported by numbers) that show trends in balance sheet items including: <ul style="list-style-type: none"> ○ long term borrowing? ○ total sales? ○ working capital (including inventory turnover)? 	X	
11a.3	Does my organisation have results (supported by numbers) that show trends in cash flow items including <ul style="list-style-type: none"> ○ operating cash flow? 	x	
11a.4	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as: <ul style="list-style-type: none"> ○ outstanding debtors (for example, non-payment and credit control)? ○ return on funds? 		X
11b.	Additional measurements of the organisation's performance.		
11b.1	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?		x
11b.2	Does my organisation have results (supported by numbers) that show trends in key processes relating to areas such as: <ul style="list-style-type: none"> ○ defect rate? ○ productivity? ○ service time? 	x	

Criterion 11: Organisation Results		Areas for improvement	Strengths
11b.3	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as: <ul style="list-style-type: none"> ○ accessibility? ○ relevance? ○ timeliness? 	x	
11b.4	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as: <ul style="list-style-type: none"> ○ inventory turnover? ○ price? ○ response time? 	x	
11b.5	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as: <ul style="list-style-type: none"> ○ maintenance costs? ○ utilisation? 	x	
11b.6	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as: <ul style="list-style-type: none"> ○ impact on service efficiency? 		x

Faculty D – Summary of areas for improvement and strengths

1. LEADERSHIP	
AREAS FOR IMPROVEMENT	STRENGTHS
1.a.1	
1.a.2	
1.a.3	
1.a.4	
1.a.5	
1.a.6	
1.b.1	
1.b.2	
1.b.3	
1.c.1	
1.c.2	

2. STRATEGY AND PLANNING	
AREAS FOR IMPROVEMENT	STRENGTHS
2.a.1	
2.a.2	
	2.b.1
	2.b.2

3. CUSTOMER AND MARKET FOCUS	
AREAS FOR IMPROVEMENT	STRENGTHS
3.a.1	
3.a.2	
3.a.3	
3.b.1	
3.b.2	

4. PEOPLE MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
4.a.1	
4.a.2	
	4.a.3
4.a.4	
4.b.1	
	4.b.2
	4.b.3
4.b.4	
	4.c.1

5. RESOURCES AND INFORMATION MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
	5.a.1
5.a.2	
5.a.3	
5.b.1	
5.b.2	
5.b.3	
5.c.1	
5.c.2	
	5.c.3
5.c.4	
5.c.5	

6. PROCESSES	
AREAS FOR IMPROVEMENT	STRENGTHS
6.a.1	
6.a.2	
6.a.3	
	6.a.4
6.a.5	
6.b.1	
6.b.2	
6.b.3	

7. SOCIAL RESPONSIBILITY	
AREAS FOR IMPROVEMENT	STRENGTHS
7.1	
7.2	
7.3	
	7.4

8. CUSTOMER SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
	8.1
8.2	

9. PEOPLE SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
9.1	
9.2	
9.3	

10. SUPPLIER AND PARTNERSHIP PERFORMANCE	
AREAS FOR IMPROVEMENT	STRENGTHS
10.01	
10.02	
10.03	
10.04	
10.05	
10.06	
10.07	
10.08	
10.09	
10.1	

11. RESULTS	
AREAS FOR IMPROVEMENT	STRENGTHS
	11.a.1
11.a.2	
	11.a.3
11.a.4	
11.b.1	
	11.b.2
11.b.3	
11.b.4	
	11.b.5
11.b.6	

Faculty D – Detail of areas for improvement and strengths

Criterion 1: Leadership		Areas for improvement	Strengths
1a.	How leaders visibly demonstrate their commitment to a culture of Performance Excellence.		
1a.1	Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?	x	
1a.2	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?	x	
1a.3	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	x	
1a.4	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	x	
1a.5	Do the leaders in my organisation actively become involved in transformation processes?	x	
1a.6	Do the leaders in my organisation address public responsibilities and practice good citizenship?	x	
1b.	How do leaders support improvement and involvement.		
1b.1	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?	x	
1b.2	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?	x	
1b.3	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?	x	
1c.	How leaders recognise and appreciate people's efforts and achievements.		
1c.1	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?	x	
1c.2	Do the leaders in my organisation recognise individuals and teams outside the organisation (for example, customers, suppliers and partners)?	x	

Criterion 2: Policy and Strategy		Areas for improvement	Strengths
2a.	How policy and strategy are developed, communicated and implemented.		
2a.1	Does my organisation develop policy and strategy based upon: <ul style="list-style-type: none"> ○ legislative requirements? ○ performance indicators? ○ customer and stakeholder requirements? ○ organisation's peoples capabilities? ○ supplier and partner capabilities? ○ government initiatives, directions and standards? 	x	
2a.2	Does my organisation communicate policy and strategy to its people?	x	
2b.	How policy and strategy are regularly reviewed, updated and improved?		
2b.1	Does my organisation review performance requirements and key performance measures?		x
2b.2	Does my organisation track performance relative to plans?		X

Criterion 3: Customer and Stakeholder Focus		Areas for improvement	Strengths
3a.	How customer and stakeholder needs are determined and used.		
3a.1	Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?	x	
3a.2	Does my organisation evaluate, process and act on information received?	x	
3a.3	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	x	
3b.	How customer and stakeholder satisfaction is determined.	x	
3b.1	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?		
3b.2	Does my organisation resolve complaints promptly and effectively?	x	

Criterion 4: People Management		Areas for improvement	Strengths
4a.	How people capabilities are developed and reviewed.		
4a.1	Does my organisation align the people resources plan with policy, strategy and values?	x	
4a.2	Does my organisation orientate new employees?	x	
4a.3	Does my organisation develop people through work experience?		x
4a.4	Does my organisation acknowledge and manage cultural diversity within the workforce?	x	
4b.	How people are involved, empowered and recognition is ensured.		
4b.1	Does my organisation involve all its people (as individuals and teams) in continuous improvement activities?	x	
4b.2	Does my organisation empower people to take action and evaluate the effectiveness?		x
4b.3	Does my organisation achieve effective up, down and lateral communication?		x
4b.4	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	x	
4c.	How people are cared for.		
4c.1	Does my organisation include well-being factors in improvement activities – for example, health and safety?		x

Criterion 5: Resources and Information Management		Areas for improvement	Strengths
5a.	How financial resources are managed.		
5a.1	Does my organisation use financial management to support policy and strategy?		x
5a.2	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?	x	
5a.3	Does my organisation analyse and review organisation performance against budget?	x	
5b.	How information resources are managed.		
5b.1	Does my organisation structure and manage information to support policy and strategy?	x	
5b.2	Does my organisation evaluate and keep current with changing customer and stakeholder needs?	x	
5b.3	Does my organisation ensure everyone has appropriate information to do their work?	x	
5c.	How materials and other resources are managed.		
5c.1	Does my organisation make best use of buildings, equipment and other resources?	x	
5c.2	Does my organisation manage tender processes and contracts effectively?	x	
5c.3	Does my organisation identify, evaluate and use alternative and emerging technologies?		x
5c.4	Does my organisation manage and optimise material inventories?	x	
5c.5	Does my organisation improve supplier and partner relationships?	x	

Criterion 6: Processes		Areas for improvement	Strengths
6a.	How processes (key to the success of the organisation) are identified and systematically managed.		
6a.1	Does my organisation identify key processes?	x	
6a.2	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?	x	
6a.3	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	x	
6a.4	Does my organisation establish process ownership, responsibility and accountability?		x
6a.5	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	x	
6b.	How processes are reviewed and targets are set for improvement.		
6b.1	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?	x	
6b.2	Does my organisation encourage the innovation and creative talents of employees in process improvement?	x	
6b.3	Does my organisation manage and support new or process changes through testing, communication and review?	x	

Criterion 7: Social Responsibility		Areas for improvement	Strengths
7.	Measurements of the organisation's impact on the local society.		
7.1	Does my organisation have results (supporters by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	x	
7.2	Does my organisation have results (supported by numbers) that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?	x	
7.3	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	x	
7.4	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?		x

Criterion 8: Customer and Stakeholder Satisfaction		Areas for improvement	Strengths
8.	Measurements relating to the satisfaction of the organisation's customers and stakeholders.		
8.1	<p>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"> ○ fairness and courtesy ○ integrity ○ level of customer satisfaction and dissatisfaction ○ communication ○ awards and allocates received 		x
8.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accessibility of service ○ responsiveness and flexibility in meeting customer needs ○ defect ,error and waste ○ reliability and sustainability of service ○ cost of service ○ response time ○ percentage of complaints resolved on first contact ○ documentation simplicity, convenience and accuracy 	x	

Criterion 9: People Satisfaction		Areas for improvement	Strengths
9.	Measurements relating to the satisfaction of the organisation's people.		
9.1	<p>Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ ethical conduct ○ safe and pleasant working environment ○ equal opportunities ○ training and development ○ recognition and appreciation of individuals and teams 	x	
9.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ absenteeism ○ grievances ○ staff turnover ○ strikes and disputes ○ accident levels ○ use of facilities provided by the organisation (for example, recreation, crèche) 	x	
9.3	<p>Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accuracy of personnel administration ○ communication effectiveness ○ speed of response to enquiries 	x	

Criterion 10: Suppliers and Partnership Performance		Areas for improvement	Strengths
10.	Measurements relating to the performance of the organisation's suppliers and partners.		
10.1	Does my organisation have results (supported by numbers) that show trends in integrity?	x	
10.2	Does my organisation have results (supported by numbers) that show trends in reliability?	x	
10.3	Does my organisation have results (supported by numbers) that show trends in performance levels?	x	
10.4	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	x	
10.5	Does my organisation have results (supported by numbers) that show trends enhancement of supplier and partner knowledge?	x	
10.6	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	x	
10.7	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?	x	
10.8	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?	x	
10.9	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?	x	
10.10	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?	x	

Criterion 11: Organisation Results		Areas for improvement	Strengths
11a.	Financial measurements of the organisation's performance.		
11a.1	Does my organisation have results (supported by numbers) that show trends in areas such as: <ul style="list-style-type: none"> ○ gross margins? ○ net surplus (for example, trading services)? ○ Sales (for example, electricity and water)? 		x
11a.2	Does my organisation have results (supported by numbers) that show trends in balance sheet items including <ul style="list-style-type: none"> ○ long term borrowing? ○ total sales? ○ working capital (including inventory turnover)? 	x	
11a.3	Does my organisation have results (supported by numbers) that show trends in cash flow items including <ul style="list-style-type: none"> ○ operating cash flow? 		x
11a.4	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as: <ul style="list-style-type: none"> ○ outstanding debtors (for example, non-payment and credit control)? ○ return on funds? 	x	
11b.	Additional measurements of the organisation's performance.		
11b.1	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?	x	
11b.2	Does my organisation have results (supported by numbers) that show trends in key processes relating to areas such as: <ul style="list-style-type: none"> ○ defect rate? ○ productivity? ○ service time? 		x

Criterion 11: Organisation Results		Areas for improvement	Strengths
11b.3	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as: <ul style="list-style-type: none"> ○ accessibility? ○ relevance? ○ timeliness? 	x	
11b.4	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as: <ul style="list-style-type: none"> ○ inventory turnover? ○ price? ○ response time? 	x	
11b.5	Does my organisation have results (supported by numbers) that show trends in asset relating to areas such as: <ul style="list-style-type: none"> ○ maintenance costs? ○ utilisation? 		x
11b.6	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as: <ul style="list-style-type: none"> ○ impact on service efficiency? 	x	

Faculty E – Summary of areas for improvement and strengths

1. LEADERSHIP	
AREAS FOR IMPROVEMENT	STRENGTHS
	1.a.1
	1.a.2
1.a.3	
1.a.4	
1.a.5	
	1.a.6
	1.b.1
1.b.2	
1.b.3	
1.c.1	
1.c.2	

2. STRATEGY AND PLANNING	
AREAS FOR IMPROVEMENT	STRENGTHS
2.a.1	
2.a.2	
2.b.1	
2.b.2	

3. CUSTOMER AND MARKET FOCUS	
AREAS FOR IMPROVEMENT	STRENGTHS
3.a.1	
3.a.2	
3.a.3	
3.b.1	
	3.b.2

4. PEOPLE MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
4.a.1	
4.a.2	
	4.a.3
4.a.4	
4.b.1	
	4.b.2
4.b.3	
4.b.4	
4.c.1	

5. RESOURCES AND INFORMATION MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
	5.a.1
	5.a.2
5.a.3	
5.b.1	
	5.b.2
5.b.3	
	5.c.1
	5.c.2
	5.c.3
5.c.4	
	5.c.5

6. PROCESSES	
AREAS FOR IMPROVEMENT	STRENGTHS
	6.a.1
	6.a.2
6.a.3	
	6.a.4
6.a.5	
	6.b.1
	6.b.2
	6.b.3

7. SOCIAL RESPONSIBILITY	
AREAS FOR IMPROVEMENT	STRENGTHS
7.1	
	7.2
7.3	
	7.4

8. CUSTOMER SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
	8.1
8.2	

9. PEOPLE SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
9.1	
9.2	
9.3	

10. SUPPLIER AND PARTNERSHIP PERFORMANCE	
AREAS FOR IMPROVEMENT	STRENGTHS
10.01	
10.02	
10.03	
10.04	
10.05	
10.06	
10.07	
10.08	
10.09	
10.1	

11. RESULTS	
AREAS FOR IMPROVEMENT	STRENGTHS
	11.a.1
	11.a.2
	11.a.3
	11.a.4
11.b.1	
	11.b.2
11.b.3	
11.b.4	
11.b.5	
11.b.6	

Faculty E – Detail of areas for improvement and strengths

Criterion 1: Leadership		Areas for improvement	Strengths
1a.	How leaders visibly demonstrate their commitment to a culture of Performance Excellence.		
1a.1	Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?		x
1a.2	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?		x
1a.3	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	x	
1a.4	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	x	
1a.5	Do the leaders in my organisation actively become involved in transformation processes?	x	
1a.6	Do the leaders in my organisation address public responsibilities and practice good citizenship?		x
1	How do leaders support improvement and involvement.		
1b.1	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?		x
1b.2	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?	x	
1b.3	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?	x	
1c.	How leaders recognise and appreciate people's efforts and achievements.		
1c.1	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?	x	
1c.2	Do the leaders in my organisation recognise individuals and teams outside the organisation (for example, customers, suppliers and partners)?	x	

Criterion 2: Policy and Strategy		Areas for improvement	Strengths
2a.	How policy and strategy are developed, communicated and implemented.		
2a.1	Does my organisation develop policy and strategy based upon: <ul style="list-style-type: none"> ○ legislative requirements? ○ performance indicators? ○ customer and stakeholder requirements? ○ organisation's peoples capabilities? ○ supplier and partner capabilities? ○ government initiatives, directions and standards? 	x	
2a.2	Does my organisation communicate policy and strategy to its people?	x	
2b.	How policy and strategy are regularly reviewed, updated and improved?		
2b.1	Does my organisation review performance requirements and key performance measures?	x	
2b.2	Does my organisation track performance relative to plans?	x	

Criterion 3: Customer and Stakeholder Focus		Areas for improvement	Strengths
3a.	How customer and stakeholder needs are determined and used.		
3a.1	Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?	x	
3a.2	Does my organisation evaluate, process and act on information received?	x	
3a.3	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	x	
3b.	How customer and stakeholder satisfaction is determined.		
3b.1	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?	x	
3b.2	Does my organisation resolve complaints promptly and effectively?		x

Criterion 4: People Management		Areas for improvement	Strengths
4a.	How people capabilities are developed and reviewed.		
4a.1	Does my organisation align the people resources plan with policy, strategy and values?	x	
4a.2	Does my organisation orientate new employees?	X	
4a.3	Does my organisation develop people through work experience?		x
4a.4	Does my organisation acknowledge and manage cultural diversity within the workforce?	X	
4b.	How people are involved, empowered and recognition is ensured.		
4b.1	Does my organisation involve all its people (as individuals and teams) in continuous improvement activities?	x	
4b.2	Does my organisation empower people to take action and evaluate the effectiveness?		x
4b.3	Does my organisation achieve effective up, down and lateral communication?	x	
4b.4	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	x	
4c.	How people are cared for.		
4c.1	Does my organisation include well-being factors in improvement activities - for example, health and safety?	x	

Criterion 5: Resources and Information Management		Areas for improvement	Strengths
5a.	How financial resources are managed.		
5a.1	Does my organisation use financial management to support policy and strategy?		x
5a.2	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?		x
5a.3	Does my organisation analyse and review organisation performance against budget?	x	
5b.	How information resources are managed.		
5b.1	Does my organisation structure and manage information to support policy and strategy?	x	
5b.2	Does my organisation evaluate and keep current with changing customer and stakeholder needs?		x
5b.3	Does my organisation ensure everyone has appropriate information to do their work?	x	
5c.	How materials and other resources are managed.		
5c.1	Does my organisation make best use of buildings, equipment and other resources?		x
5c.2	Does my organisation manage tender processes and contracts effectively?		x
5c.3	Does my organisation identify, evaluate and use alternative and emerging technologies?		x
5c.4	Does my organisation manage and optimise material inventories?	x	
5c.5	Does my organisation improve supplier and partner relationships?		x

Criterion 6: Processes		Areas for improvement	Strengths
6a.	How processes (key to the success of the organisation) are identified and systematically managed.		
6a.1	Does my organisation identify key processes?		x
6a.2	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?		x
6a.3	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	x	
6a.4	Does my organisation establish process ownership, responsibility and accountability?		x
6a.5	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	x	
6b.	How processes are reviewed and targets are set for improvement.		
6b.1	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?		x
6b.2	Does my organisation encourage the innovation and creative talents of employees in process improvement?		x
6b.3	Does my organisation manage and support new or process changes through testing, communication and review?		x

Criterion 7: Social Responsibility		Areas for improvement	Strengths
7.	Measurements of the organisation's impact on the local society.		
7.1	Does my organisation have results (supporters by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	x	
7.2	Does my organisation have results (supported by numbers) that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?		x
7.3	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	x	
7.4	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?		x

Criterion 8: Customer and Stakeholder Satisfaction		Areas for improvement	Strengths
8.	Measurements relating to the satisfaction of the organisation's customers and stakeholders.		
8.1	<p>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"> ○ fairness and courtesy ○ integrity ○ level of customer satisfaction and dissatisfaction ○ communication ○ awards and allocates received. 		x
8.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accessibility of service ○ responsiveness and flexibility in meeting customer needs ○ defect, error and waste ○ reliability and sustainability of service ○ cost of service ○ response time ○ percentage of complaints resolved on first contact ○ documentation simplicity, convenience and accuracy 	x	

Criterion 9: People Satisfaction		Areas for improvement	Priorities
9.	Measurements relating to the satisfaction of the organisation's people.		
9.1	<p>Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ ethical conduct ○ safe and pleasant working environment ○ equal opportunities ○ training and development ○ recognition and appreciation of individuals and teams. 	x	
9.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ absenteeism ○ grievances ○ staff turnover ○ strikes and disputes ○ accident levels ○ use of facilities provided by the organisation (for example, recreation, crèche) 	x	
9.3	<p>Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accuracy of personnel administration ○ communication effectiveness ○ speed of response to enquiries 	x	

Criterion 10: Suppliers and Partnership Performance		Areas for improvement	Strengths
10.	Measurements relating to the performance of the organisation's suppliers and partners.		
10.1	Does my organisation have results (supported by numbers) that show trends in integrity?	x	
10.2	Does my organisation have results (supported by numbers) that show trends in reliability?	x	
10.3	Does my organisation have results (supported by numbers) that show trends in performance levels?	x	
10.4	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	x	
10.5	Does my organisation have results (supported by numbers) that show trends enhancement of supplier and partner knowledge?	x	
10.6	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	x	
10.7	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?	x	
10.8	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?	x	
10.9	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?	x	
10.10	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?	x	

Criterion 11: Organisation Results		Areas for improvement	Strengths
11a.	Financial measurements of the organisation's performance.		
11a.1	Does my organisation have results (supported by numbers) that show trends in areas such as: <ul style="list-style-type: none"> ○ gross margins? ○ net surplus (for example, trading services)? ○ Sales (for example, electricity and water)? 		x
11a.2	Does my organisation have results (supported by numbers) that show trends in balance sheet items including <ul style="list-style-type: none"> ○ long term borrowing? ○ total sales? ○ working capital (including inventory turnover)? 		x
11a.3	Does my organisation have results (supported by numbers) that show trends in cash flow items including <ul style="list-style-type: none"> ○ operating cash flow? 		x
11a.4	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as: <ul style="list-style-type: none"> ○ outstanding debtors (for example, non-payment and credit control)? ○ return on funds? 		x
11b.	Additional measurements of the organisation's performance.		
11b.1	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?	x	
11b.2	Does my organisation have results (supported by numbers) that show trends in key processes relating to areas such as: <ul style="list-style-type: none"> ○ defect rate? ○ productivity? ○ service time? 		x

Criterion 11: Organisation Results		Areas for improvement	Strengths
11b.3	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as: <ul style="list-style-type: none"> ○ accessibility? ○ relevance? ○ timeliness? 	x	
11b.4	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as: <ul style="list-style-type: none"> ○ inventory turnover? ○ price? ○ response time? 	x	
11b.5	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as: <ul style="list-style-type: none"> ○ maintenance costs? ○ utilisation? 	x	
11b.6	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as: <ul style="list-style-type: none"> ○ impact on service efficiency? 	x	

Department A – Summary of areas for improvement and strength

1. LEADERSHIP	
AREAS FOR IMPROVEMENT	STRENGTHS
	1.a.1
	1.a.2
	1.a.3
1.a.4	
	1.a.5
	1.a.6
	1.b.1
1.b.2	
	1.b.3
1.c.1	
	1.c.2

2. STRATEGY AND PLANNING	
AREAS FOR IMPROVEMENT	STRENGTHS
	2.a.1
	2.a.2
2.b.1	
	2.b.2

3. CUSTOMER AND MARKET FOCUS	
AREAS FOR IMPROVEMENT	STRENGTHS
	3.a.1
	3.a.2
3.a.3	
	3.b.1
	3.b.2

4. PEOPLE MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
4.a.1	
4.a.2	
	4.a.3
	4.a.4
4.b.1	
4.b.2	
4.b.3	
	4.b.4
4.c.1	

5. RESOURCES AND INFORMATION MANAGEMENT	
AREAS FOR IMPROVEMENT	STRENGTHS
5.a.1	
5.a.2	
5.a.3	
5.b.1	
	5.b.2
5.b.3	
	5.c.1
5.c.2	
	5.c.3
5.c.4	
	5.c.5

6. PROCESSES	
AREAS FOR IMPROVEMENT	STRENGTHS
	6.a.1
	6.a.2
6.a.3	
	6.a.4
6.a.5	
	6.b.1
	6.b.2
	6.b.3

7. SOCIAL RESPONSIBILITY	
AREAS FOR IMPROVEMENT	STRENGTHS
7.1	
7.2	
	7.3
	7.4

8. CUSTOMER SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
	8.1
8.2	

9. PEOPLE SATISFACTION	
AREAS FOR IMPROVEMENT	STRENGTHS
9.1	
9.2	
9.3	

10. SUPPLIER AND PARTNERSHIP PERFORMANCE	
AREAS FOR IMPROVEMENT	STRENGTHS
10.01	
10.02	
10.03	
10.04	
10.05	
	10.06
10.07	
10.08	
10.09	
10.1	

11. RESULTS	
AREAS FOR IMPROVEMENT	STRENGTHS
11.a.1	
11.a.2	
	11.a.3
	11.a.4
	11.b.1
11.b.2	
	11.b.3
11.b.4	
11.b.5	
11.b.6	

Department A – Detail of areas for improvement and strengths

Criterion 1: Leadership		Areas for improvement	Strengths
1a.	How leaders visibly demonstrate their commitment to a culture of Performance Excellence.		
1a.1	Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?		x
1a.2	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?		x
1a.3	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?		x
1a.4	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	x	
1a.5	Do the leaders in my organisation actively become involved in transformation processes?		x
1a.6	Do the leaders in my organisation address public responsibilities and practice good citizenship?		x
1b.	How do leaders support improvement and involvement.		
1b.1	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?		x
1b.2	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?	x	
1b.3	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?		x
1c.	How leaders recognise and appreciate people's efforts and achievements.		
1c.1	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?	x	
1c.2	Do the leaders in my organisation recognise individuals and teams outside the organisation (for example, customers, suppliers and partners)?		x

Criterion 2: Policy and Strategy		Areas for improvement	Strengths
2a.	How policy and strategy are developed, communicated and implemented.		
2a.1	Does my organisation develop policy and strategy based upon: <ul style="list-style-type: none"> ○ legislative requirements? ○ performance indicators? ○ customer and stakeholder requirements? ○ organisation's peoples capabilities? ○ supplier and partner capabilities? ○ government initiatives, directions and standards? 		x
2a.2	Does my organisation communicate policy and strategy to its people?		x
2b.	How policy and strategy are regularly reviewed, updated and improved?		
2b.1	Does my organisation review performance requirements and key performance measures?	x	
2b.2	Does my organisation track performance relative to plans?		x

Criterion 3: Customer and Stakeholder Focus		Areas for improvement	Strengths
3a.	How customer and stakeholder needs are determined and used.		
3a.1	Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?		x
3a.2	Does my organisation evaluate, process and act on information received?		x
3a.3	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	x	
3b.	How customer and stakeholder satisfaction is determined.		
3b.1	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?		x
3b.2	Does my organisation resolve complaints promptly and effectively?		x

Criterion 4: People Management		Areas for improvement	Strengths
4a.	How people capabilities are developed and reviewed.		
4a.1	Does my organisation align the people resources plan with policy, strategy and values?	x	
4a.2	Does my organisation orientate new employees?	x	
4a.3	Does my organisation develop people through work experience?		x
4a.4	Does my organisation acknowledge and manage cultural diversity within the workforce?		x
4	How people are involved, empowered and recognition is ensured.		
4b.1	Does my organisation involve all its people (as individuals and teams) in continuous improvement activities?	x	
4b.2	Does my organisation empower people to take action and evaluate the effectiveness?	x	
4b.3	Does my organisation achieve effective up, down and lateral communication?	x	
4b.4	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?		x
4c.	How people are cared for.		
4c.1	Does my organisation include well-being factors in improvement activities - for example, health and safety?	x	

Criterion 5: Resources and Information Management		Areas for improvement	Strengths
5a.	How financial resources are managed.		
5a.1	Does my organisation use financial management to support policy and strategy?	x	
5a.2	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?	x	
5a.3	Does my organisation analyse and review organisation performance against budget?	x	
5b.	How information resources are managed.		
5b.1	Does my organisation structure and manage information to support policy and strategy?	x	
5b.2	Does my organisation evaluate and keep current with changing customer and stakeholder needs?		x
5b.3	Does my organisation ensure everyone has appropriate information to do their work?	x	
5c.	How materials and other resources are managed.		
5c.1	Does my organisation make best use of buildings, equipment and other resources?		x
5c.2	Does my organisation manage tender processes and contracts effectively?	x	
5c.3	Does my organisation identify, evaluate and use alternative and emerging technologies?		x
5c.4	Does my organisation manage and optimise material inventories?	x	
5c.5	Does my organisation improve supplier and partner relationships?		x

Criterion 6: Processes		Areas for improvement	Strengths
6a.	How processes (key to the success of the organisation) are identified and systematically managed.		
6a.1	Does my organisation identify key processes?		x
6a.2	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?		x
6a.3	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	x	
6a.4	Does my organisation establish process ownership, responsibility and accountability?		x
6a.5	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	x	
6b.	How processes are reviewed and targets are set for improvement.		
6b.1	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?		x
6b.2	Does my organisation encourage the innovation and creative talents of employees in process improvement?		x
6b.3	Does my organisation manage and support new or process changes through testing, communication and review?		x

Criterion 7: Social Responsibility		Areas for improvement	Strengths
7.	Measurements of the organisation's impact on the local society.		
7.1	Does my organisation have results (supporters by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	x	
7.2	Does my organisation have results (supported by numbers) that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?	x	
7.3	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?		x
7.4	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?		x

Criterion 8: Customer and Stakeholder Satisfaction		Areas for improvement	Strengths
8.	Measurements relating to the satisfaction of the organisation's customers and stakeholders.		
8.1	<p>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"> ○ fairness and courtesy ○ integrity ○ level of customer satisfaction and dissatisfaction ○ communication ○ awards and allocates received 	x	
8.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accessibility of service ○ responsiveness and flexibility in meeting customer needs ○ defect ,error and waste ○ reliability and sustainability of service ○ cost of service ○ response time ○ percentage of complaints resolved on first contact ○ documentation simplicity, convenience and accuracy 		x

Criterion 9: People Satisfaction		Areas for improvement	Strengths
9.1	<p>Measurements relating to the satisfaction of the organisation's people.</p> <p>Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ ethical conduct ○ safe and pleasant working environment ○ equal opportunities ○ training and development ○ recognition and appreciation of individuals and teams 	x	
9.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ absenteeism ○ grievances ○ staff turnover ○ strikes and disputes ○ accident levels ○ use of facilities provided by the organisation (for example, recreation, crèche) 	x	
9.3	<p>Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accuracy of personnel administration ○ communication effectiveness ○ speed of response to enquiries 	x	

Criterion 10: Suppliers and Partnership Performance		Areas for improvement	Strengths
10.	Measurements relating to the performance of the organisation's suppliers and partners.		
10.1	Does my organisation have results (supported by numbers) that show trends in integrity?	x	
10.2	Does my organisation have results (supported by numbers) that show trends in reliability?	x	
10.3	Does my organisation have results (supported by numbers) that show trends in performance levels?	x	
10.4	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	x	
10.5	Does my organisation have results (supported by numbers) that show trends enhancement of supplier and partner knowledge?	x	
10.6	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?		x
10.7	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?	x	
10.8	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?	x	
10.9	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?	x	
10.10	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?	x	

Criterion 11: Organisation Results		Areas for improvement	Strengths
11a.	Financial measurements of the organisation's performance.		
11a.1	Does my organisation have results (supported by numbers) that show trends in areas such as: <ul style="list-style-type: none"> ○ gross margins? ○ net surplus (for example, trading services)? ○ Sales (for example, electricity and water)? 	x	
11a.2	Does my organisation have results (supported by numbers) that show trends in balance sheet items including <ul style="list-style-type: none"> ○ long term borrowing? ○ total sales? ○ working capital (including inventory turnover)? 	x	
11a.3	Does my organisation have results (supported by numbers) that show trends in cash flow items including <ul style="list-style-type: none"> ○ operating cash flow? 		x
11a.4	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as: <ul style="list-style-type: none"> ○ outstanding debtors (for example, non-payment and credit control)? ○ return on funds? 		x
11b.	Additional measurements of the organisation's performance.		
11b.1	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?		x
11b.2	Does my organisation have results (supported by numbers) that show trends in key processes relating to areas such as: <ul style="list-style-type: none"> ○ defect rate? ○ productivity? ○ service time? 	x	

Criterion 11: Organisation Results		Areas for improvement	Strengths
11b.3	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as: <ul style="list-style-type: none"> ○ accessibility? ○ relevance? ○ timeliness? 		x
11b.4	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as: <ul style="list-style-type: none"> ○ inventory turnover? ○ price? ○ response time? 	x	
11b.5	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as: <ul style="list-style-type: none"> ○ maintenance costs? ○ utilisation? 	x	
11b.6	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as: <ul style="list-style-type: none"> ○ impact on service efficiency? 	x	

**APPENDIX 5:
PRIORITIES – AREAS FOR IMPROVEMENT AND
STRENGTHS**

Faculty E – Priorities: Areas for improvement and strengths

After the workshop had been conducted in the Faculty, a follow-up workshop was held with the Dean and Heads of departments to prioritise the areas for improvements and strengths. The group was requested to prioritise each **area for improvement** in the sub-criteria

Criterion 1: Leadership		Areas for improvement	Strengths	Priorities
1a.	How leaders visibly demonstrate their commitment to a culture of Performance Excellence.			
1a.1	Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?		x	
1a.2	Do the leaders in my organisation act as role models for the organisation's value and expectations, leading by example?		x	
1a.3	Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?	x		
1a.4	Do the leaders in my organisation review and improve the effectiveness of their own leadership?	x		x
1a.5	Do the leaders in my organisation actively become involved in transformation processes?	x		
1a.6	Do the leaders in my organisation address public responsibilities and practice good citizenship?		x	
1b.	How do leaders support improvement and involvement.			
1b.1	Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?		x	
1b.2	Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?	x		x
1b.3	Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?	x		

Criterion 1: Leadership		Areas for improvement	Strengths	Priorities
1c.	How leaders recognise and appreciate people's efforts and achievements.			
1c.1	Do the leaders in my organisation recognise individuals and teams at all levels within the organisation?	x		x
1c.2	Do the leaders in my organisation recognise individuals and teams outside the organisation (for example, customers, suppliers and partners)?	x		

Criterion 2: Policy and Strategy		Areas for improvement	Strengths	Priorities
2a.	How policy and strategy are developed, communicated and implemented.			
2a.1	Does my organisation develop policy and strategy based upon: <ul style="list-style-type: none"> ○ legislative requirements? ○ performance indicators? ○ customer and stakeholder requirements? ○ organisation's peoples capabilities? ○ supplier and partner capabilities? ○ government initiatives, directions and standards? 	x		
2a.2	Does my organisation communicate policy and strategy to its people?	x		x
2b.	How policy and strategy are regularly reviewed, updated and improved?			
2b.1	Does my organisation review performance requirements and key performance measures?	x		x
2b.2	Does my organisation track performance relative to plans?	x		

Criterion 3: Customer and Stakeholder Focus		Areas for improvement	Strengths	Priorities
3a.	How customer and stakeholder needs are determined and used.			
3a.1	Does my organisation evaluate and improve its approach to listening and learning from customers and stakeholders?	x		x
3a.2	Does my organisation evaluate, process and act on information received?	x		
3a.3	Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?	x		

Criterion 3: Customer and Stakeholder Focus		Areas for improvement	Strengths	Priorities
3b.	How customer and stakeholder satisfaction is determined.			
3b.1	Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?	x		x
3b.2	Does my organisation resolve complaints promptly and effectively?	x		

Criterion 4: People Management		Areas for improvement	Strengths	Priorities
4a.	How people capabilities are developed and reviewed.			
4a.1	Does my organisation align the people resources plan with policy, strategy and values?	x		x
4a.2	Does my organisation orientate new employees?	x		
4a.3	Does my organisation develop people through work experience?		x	
4a.4	Does my organisation acknowledge and manage cultural diversity within the workforce?	x		
4b.	How people are involved, empowered and recognition is ensured.			
4b.1	Does my organisation involve all its people (as individuals and teams) in continuous improvement activities?	x		x
4b.2	Does my organisation empower people to take action and evaluate the effectiveness?		x	
4b.3	Does my organisation achieve effective up, down and lateral communication?	x		
4b.4	Does my organisation design and apply innovative systems to sustain involvement, empowerment and achievement?	x		
4c.	How people are cared for.			
4c.1	Does my organisation include well-being factors in improvement activities – for example, health and safety?	x		x

Criterion 5: Resources and Information Management		Areas for improvement	Strengths	Priorities
5a.	How financial resources are managed.			
5a.1	Does my organisation use financial management to support policy and strategy?		x	
5a.2	Does my organisation improve financial parameters, such as cash flow, profitability, costs and margins and assets?		x	
5a.3	Does my organisation analyse and review organisation performance against budget?	x		x
5b.	How information resources are managed.			
5b.1	Does my organisation structure and manage information to support policy and strategy?	x		x
5b.2	Does my organisation evaluate and keep current with changing customer and stakeholder needs?		x	
5b.3	Does my organisation ensure everyone has appropriate information to do their work?	x		
5c.	How materials and other resources are managed.			
5c.1	Does my organisation make best use of buildings, equipment and other resources?		x	
5c.2	Does my organisation manage tender processes and contracts effectively?		x	
5c.3	Does my organisation identify, evaluate and use alternative and emerging technologies?		x	
5c.4	Does my organisation manage and optimise material inventories?	x		x
5c.5	Does my organisation improve supplier and partner relationships?		x	

Criterion 6: Processes		Areas for improvement	Strengths	Priorities
6a.	How processes (key to the success of the organisation) are identified and systematically managed.			
6a.1	Does my organisation identify key processes?		x	
6a.2	Does my organisation incorporate changing customer and stakeholder requirements into product and service processes?		x	
6a.3	Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?	x		x
6a.4	Does my organisation establish process ownership, responsibility and accountability?		x	
6a.5	Does my organisation use established systems, for example, NOSA, quality, environmental, health and safety systems in process management?	x		
6b.	How processes are reviewed and targets are set for improvement.			
6b.1	Does my organisation continuously identify and prioritise methods of improvement, both incremental and breakthrough?		x	
6b.2	Does my organisation encourage the innovation and creative talents of employees in process improvement?		x	
6b.3	Does my organisation manage and support new or process changes through testing, communication and review?		x	

Criterion 7: Social Responsibility		Areas for improvement	Strengths	Priorities
7.	Measurements of the organisation's impact on the local society.			
7.1	Does my organisation have results (supporters by numbers) that show trends in relation to improved performance as a responsible government authority, for example equal opportunity practices?	x		x
7.2	Does my organisation have results (supported by numbers) that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?		x	
7.3	Does my organisation have results (supported by numbers) that show trends in relation to handling of changes in employment levels?	x		
7.4	Does my organisation have results (supported by numbers) that show trends in relation to receiving accolades and awards?		x	

Criterion 8: Customer and Stakeholder Satisfaction		Areas for improvement	Strengths	Priorities
8.	Measurements relating to the satisfaction of the organisation's customers and stakeholders.			
8.1	<p>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"> ○ fairness and courtesy ○ integrity ○ level of customer satisfaction and dissatisfaction ○ communication ○ awards and allocates received. 		x	
8.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to its products and services? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accessibility of service ○ responsiveness and flexibility in meeting customer needs ○ defect, error and waste ○ reliability and sustainability of service ○ cost of service ○ response time ○ percentage of complaints resolved on first contact ○ documentation simplicity, convenience and accuracy 	x		x

Criterion 9: People Satisfaction		Areas for improvement	Strengths	Priorities
9.	Measurements relating to the satisfaction of the organisation's people.			
9.1	<p>Does my organisation have results (supported by numbers) that show trends in relation to the motivation and involvement of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ ethical conduct ○ safe and pleasant working environment ○ equal opportunities ○ training and development ○ recognition and appreciation of individuals and teams. 	x		x
9.2	<p>Does my organisation have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ absenteeism ○ grievances ○ staff turnover ○ strikes and disputes ○ accident levels ○ use of facilities provided by the organisation (for example, recreation, crèche) 	x		
9.3	<p>Does my organisation have results (supported by numbers) that show trends in relation to services provided to its people? Areas to consider are:</p> <ul style="list-style-type: none"> ○ accuracy of personnel administration ○ communication effectiveness ○ speed of response to enquiries 	x		

Criterion 10: Suppliers and Partnership Performance		Areas for improvement	Strengths	Priorities
10.	Measurements relating to the performance of the organisation's suppliers and partners.			
10.1	Does my organisation have results (supported by numbers) that show trends in integrity?	x		
10.2	Does my organisation have results (supported by numbers) that show trends in reliability?	x		
10.3	Does my organisation have results (supported by numbers) that show trends in performance levels?	x		
10.4	Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audit?	x		
10.5	Does my organisation have results (supported by numbers) that show trends enhancement of supplier and partner knowledge?	x		
10.6	Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?	x		x
10.7	Does my organisation have results (supported by numbers) that show trends in ability to respond to organisational needs?	x		
10.8	Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?	x		
10.9	Does my organisation have results (supported by numbers) that show trends in added value of partnerships?	x		
10.10	Does my organisation have results (supported by numbers) that show trends in application of equity principles (for example, employment practices and SMME's)?	x		

Criterion 11: Organisation Results		Areas for improvement	Strengths	Priorities
11a.	Financial measurements of the organisation's performance.			
11a.1	Does my organisation have results (supported by numbers) that show trends in areas such as: <ul style="list-style-type: none"> o gross margins? o net surplus (for example, trading services)? o Sales (for example, electricity and water)? 		x	
11a.2	Does my organisation have results (supported by numbers) that show trends in balance sheet items including <ul style="list-style-type: none"> o long term borrowing? o total sales? o working capital (including inventory turnover)? 		x	
11a.3	Does my organisation have results (supported by numbers) that show trends in cash flow items including <ul style="list-style-type: none"> o operating cash flow? 		x	
11a.4	Does my organisation have results (supported by numbers) that show trends in other relevant areas such as: <ul style="list-style-type: none"> o outstanding debtors (for example, non-payment and credit control)? o return on funds? 		x	
11b.	Additional measurements of the organisation's performance.			
11b.1	Does my organisation have results (supported by numbers) that show trends in overall performance improvement relating to service levels?	x		x

Criterion 11: Organisation Results		Areas for improvement	Strengths	Priorities
11b.2	Does my organisation have results (supported by numbers) that show trends in key processes relating to areas such as: <ul style="list-style-type: none"> ○ defect rate? ○ productivity? ○ service time? 		x	
11b.3	Does my organisation have results (supported by numbers) that show trends in information relating to areas such as: <ul style="list-style-type: none"> ○ accessibility? ○ relevance? ○ timeliness? 	x		
11b.4	Does my organisation have results (supported by numbers) that show trends in suppliers and materials relating to areas such as: <ul style="list-style-type: none"> ○ inventory turnover? ○ price? ○ response time? 	x		
11b.5	Does my organisation have results (supported by numbers) that show trends in assets relating to areas such as: <ul style="list-style-type: none"> ○ maintenance costs? ○ utilisation? 	x		
11b.6	Does my organisation have results (supported by numbers) that show trends in technology relating to areas such as: <ul style="list-style-type: none"> ○ impact on service efficiency? 	x		