

EFQM Self-assessment Model for Continuing Professional Education



DAETE [2] Project

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EU/US Atlantis Programme



DAETE [2] Project

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INTRODUCTION



This document is Version 1.0 (October 2009) of the DAETE matrix for self-assessment. This is the base version of document to be tested by the partners. It will be used to test the applicability of the DAETE matrix for all Continuing Professional Education (CPE) centres and programmes, including those outside of engineering. The original version of the EFQM self-evaluation matrix focused on management and was a result of the Project ALFA II-0180-A financed by the European Commission. The matrix was adopted in 2007 by the project DAETE - Development of Accreditation in Engineering Education and Training (daete.up.pt) financed by the Atlantis Program of the European Commission and of the US Department of Education FIPSE Program. During this project this tool was developed to Continuing Engineering Education. The matrix was also adopted in 2008 by the project UNI-QM (www.uniqm.net) financed by the European Commission. DAETE2 project (daete.up.pt) is a natural continuation of these projects.

The current tool is designed to establish guidelines for the quality evaluation of CPE and for the accreditation of programmes and other learning services. To continually develop this work the DAETE2 partners agree to work under the following principles:

- Diagnosis tool: The matrix is intended to be used for diagnosis and as a tool for continuous improvement, not

as a transformation tool.

- Level of the people that will use the matrix: The matrix will, if possible, be completed by the leaders of the institution, centre, and/or programme. In some instances, it may be appropriate for the institution or program to broaden participation in completing the self-assessment to address all aspects of the assessment.
- Different types of institutions: It is necessary to consider – and to include as much as possible – a wide variety of institutions and/or types of programs (e.g., diversity of topic areas, size, geographic region, etc.).
- Utilization and Applicability: Focus the utilization of the self-assessment model on continuing professional education across all academic disciplines and types of institutions, including applicability to online, face-to-face, and blended delivery programmes.

This book includes a detachable score sheet to record your results. You can download it from the DAETE2 project website: daete.up.pt. It is recommended to consult the project website to access the latest version of this tool, to obtain information on the benchmarking of your results and to discuss guidance for further developments.

THE EFQM MODEL AND THE STRUCTURE UNDERLYING IT

The EFQM model

The European Excellence Model, more commonly known by the acronym EFQM (European Foundation for Quality Management) and the foundation responsible for its development is a practical tool to help organisations achieve quality by measuring where they are on the path to Excellence.

The model is based on nine criteria which underpin the excellence of an organisation. The criteria include five Enablers and four Results. The enablers cover what an organisation does. The Results criteria cover what an organisation achieves.

The model illustrates that Leadership drives Policy and Strategy delivered through People Partnerships and Resources. The criteria determine the level of Customer satisfaction, People satisfaction and the impact on Society as a whole.

EFQM proposes self-assessment as a comprehensive, systematic and regular review of an organisation's activities and further proposes these results referenced against the EFQM Excellence Model.

At the heart of the model lies the logic known as RADAR which is made up of four elements: Results (which should be addressed for the Results criteria), Approach, Deployment,

Assessment and Review (which should be addressed for the Enabler criteria).

A brief history of the EFQM model and the self-assessment approach

The European Foundation for Quality Management (EFQM) was created in 1988 by 14 leading European businesses. The EFQM Excellence Model was formally launched in 1991 with the aim to make 'European Businesses more competitive through the application of TQM philosophy'.

The Model was initially used as a way of recognizing achievement, with self-assessment being undertaken by organisations that needed to show continuous improvement over time in order to apply for the European Quality Award. After its introduction, however, it was discovered that the Model and self-assessment were proving to be valuable for driving continuous improvement activity within organisations that were not planning on applying for the award. It was also observed that the Model was being applied in a wider range of organisations than the private sector for which it had originally been written. As a result of this, additional revisions of the Model were made. This included the Public and Voluntary Sector Model in 1999, which has since been refreshed and updated in 2003 and again in 2009.

The fundamental concepts of excellence

As the EFQM stands, “Outstanding practice in managing the organisation achieving results based on a set of fundamental concepts”. The eight Fundamental Concepts of Excellence underpinning the EFQM Excellence Model are:

- Customer Focus
- Results Orientation
- Leadership and Constancy of Purpose
- Management by Processes and Facts
- People Development and Involvement
- Continuous Learning, Innovation and Improvement
- Partnership Development & Corporate Social Responsibility

Model Adapted to University-based Continuing Professional Education

As mentioned, we are basing this work on a specific version of the EFQM model developed and modified during previous projects (ALFA II-0180-A and DAETE 1). The intention and purpose of adapting the original EFQM model to the continuing professional education sector is to make it more

accessible and useful. For this reason a tool was developed and adapted to the specific context of university-based continuing education or learning organisations. The project team believes the model has direct applicability to a wide range of professional programs, including online academic degree programs.

The EFQM model divides organisational processes into nine criteria, each with sub-criteria. The model also addresses these criteria through five evolutionary stages. By achieving the aims set out in each stage organisations progress another step along the path to continuous quality improvement.

In the DAETE assessment, the various EFQM sub-criteria, especially those related to processes, have been adapted to the needs of organisations involved in continuing education management.

The different development levels are based on the EFQM's RADAR logic, through which an organisation's enablers, are evaluated for existence of well defined, developed and established processes in the majority of functional areas. Through regular monitoring the effectiveness of each activity is assessed, and the results are used to determine and implement improvements.

The five levels structure: rationale

As mentioned previously, five levels have been designed with the following characteristics:

► **Level 1: Quality depends solely on the individual (no processes)**

The activities depend on individual initiatives rather than globally programmed procedures in the organisation, unit or service. There are no defined associated assessment processes. Problems are rectified as they arise.

► **Level 2: Process awakening (basic processes)**

The responsibility for activities ceases to be individual and tends to become a shared responsibility of the entire department with some short term planning. There is some degree of process definition although there is no documentation. Performance is assessed occasionally.

► **Level 3: Vision through processes, professionalisation and a guarantee of quality (intermediate processes)**

There are established standards, procedures and directives known throughout the organisation, unit or service. The activities are carried out in accordance with these procedures. Activities are planned with established

medium-term objectives and defined indicators for their assessment.

► **Level 4: Systematic assessment and improvement of processes (sophisticated processes)**

Established procedures are systematically assessed for potential improvement. The organisation/programme strives to anticipate problems and complaints. There is a clearly visible orientation towards the customer. Activities are planned with well-defined medium and long-term objectives.

► **Level 5: Aiming for external excellence (excellent processes)**

There is an exchange of knowledge and experience throughout the entire organisation, both within the organisation and with professions outside the organisation including competitors. The formulation and improvement of the procedures of the organisation, unit or service conforms to industry standards, both internal and external. Experiences and best practices are shared with others. Partnerships and information exchanges exist with customers, suppliers, other centres, etc. The development and improvement of the sector is assessed and anticipated.

The Journey to Excellence

The route to excellence is paved with continuous improvement, self-assessment, good management practices and the discipline of planning. At the start, ask yourself, “does my organisation already have a plan for improvement?” If not, it is important to consider the following basics:

- **Assess where you are now.** One way to do this is to Self-Assess your organisation. The process of Self-Assessment can help your organisation understand and agree upon the current state.
- **Define your business priorities.** In order to align your organisation and your business strategy, you need to understand your present strengths and areas for improvement. The Fundamental Concepts of Excellence are the most tangible expression of Excellence. You can use these concepts to compare to your own organisation’s beliefs and strategies.
- **Identify what needs improving.** Your self-assessment can help provide a detailed map for the people in your organisation. It helps you to answer, “where do we need to improve?”
- **Identify how to improve.** Learn from others around you through benchmarking and research. Identify the good

practices of others. You can benchmark processes, organisations and/or metrics... but first, develop a benchmarking strategy that will help to direct your efforts.

In this report we will focus on a **self-assessment methodology**, as we consider that it has a huge potential to become a standard in continuing professional education. The self-assessment methodology will be deployed by using a self-assessment matrix, based on facts. Our experience with earlier versions of the self-evaluation process suggests the most accurate results are obtained when

1. those filling out the questionnaire know and are responsible for the organisation (program managers and management team are examples)
2. more than one person fills out the questionnaire and the discussion that follows produces the specific scores for the organisation.

The main paradigms underlying the EFQM model

The EFQM Excellence Model is a non-prescriptive framework based on 9 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 'Enablers' are improved using feedback from 'Results'.

We are going to achieve the final EFQM diagram by considering different approaches. First of all we are going to consider the **"Enablers and results" approach**. This model proposes that there are some important topics that must be considered in order to achieve some results. This could be also called the cause-effect paradigm underlying this model (See Figure 1).

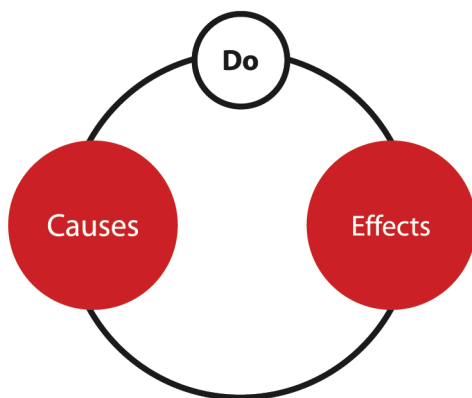


Figure 1. The causes and the effects

Causes are called "Enablers" and effects are called "Results". Next, we will see that the Enablers are classified into different categories as well as the Results.

As we will see later the Enablers are broken down into 5 criteria. The five 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.

On the other hand, the results are broken down into 4 criteria. The four Results criteria help to determine 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 an organisation to show that it can:

- comprehensively measure what is important to

customers and others who receive a service from the organisation

- demonstrate continuous improvement against targets and results.

Next, it is important to consider the “**Learning approach and the PDCA cycle**”. In the previous diagram we should also consider that once that we have obtained some effects we can learn from those effects (See Figure 2).

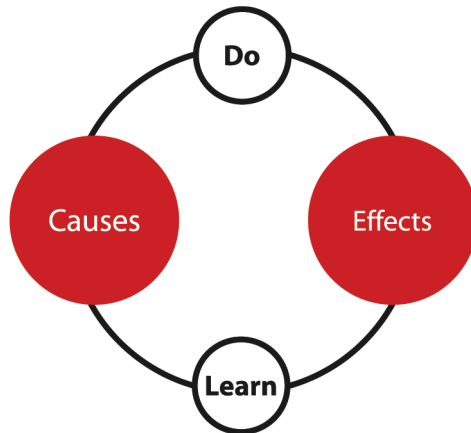


Figure 2. The learning process

In order to complete the previous diagram we are going to consider the **PDCA cycle** (See Figure 3) from Deming. This cycle is always present in this model. PDCA stands for Plan, Do, Check, Act:

- Plan: The cycle starts with planning things. On this phase objectives need to be fixed and deployment plans need to be developed.
- Do: Once everything has been planned, you start to do things that will produce specific results.
- Check and Act: In order to complete the cycle, the next step is to take the specific results obtained and to be check in order to see if they are coherent with what we previously planned. If they are not coherent or they are not what were expected some corrective action needs to be taken (Act phase) in order to guarantee that next time we achieve the objectives that we planned.

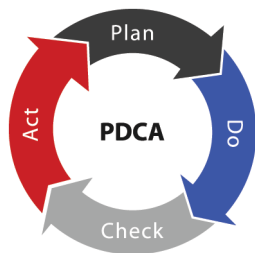


Figure 3. The PDCA cycle

Next, **look for concrete causes**. As mentioned, the model is based on eight fundamental concepts. Those concepts are deployed by 5 Enablers criteria and 4 Results criteria. This is illustrated on the next picture by using a cause-effect diagram (See Figure 4).

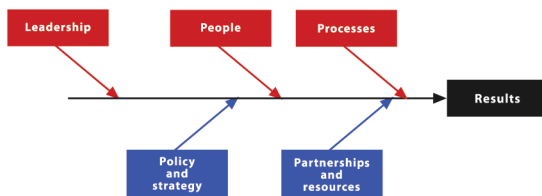
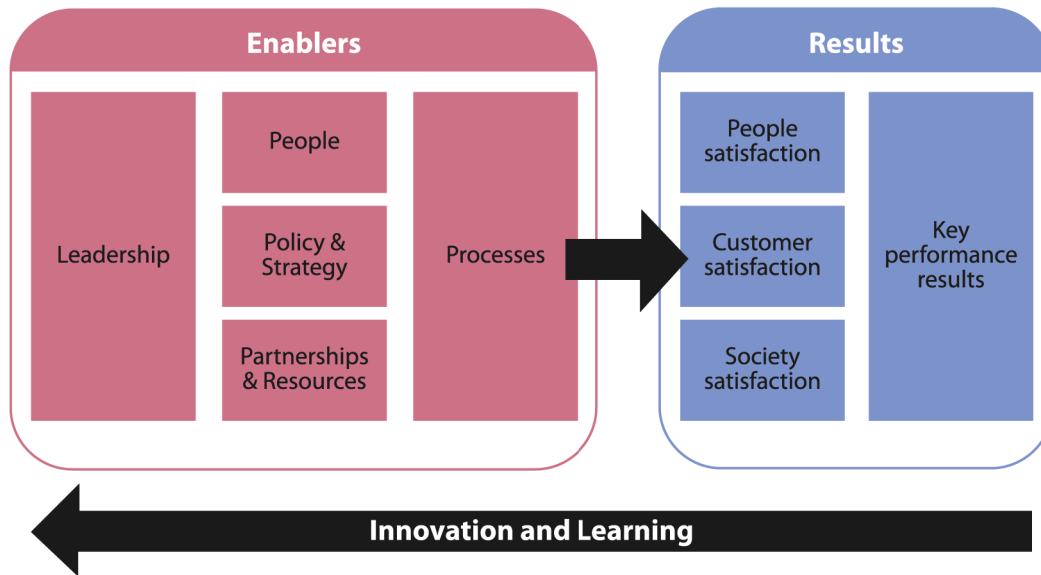


Figure 4. The EFQM cause-effect diagram

Finally, by putting everything together we obtain the EFQM diagram that represents the 5 Enablers criteria, the 4 Results criteria as well as the learning and innovative process of the Model (See Figure 5). By studying this diagram we can check that the Model is dynamic in nature and has many linkages. The links between each of the criteria of the Model suggest that it is interlinked and interdependent. The linkages are at four levels:

- Across the whole Model, drawing out and tracking key themes
- Between the Enablers and the Results, in terms of cause and effect
- Within the Results, by having leading and lagging indicators
- Across the Enablers, where improvement in one area is often dependant on the circumstances of another.



[16]

Figure 5. The EFQM model (© European Foundation for Quality Management)



DEFINING EACH CRITERION



Defining each criterion

Leadership

Excellent leaders develop and facilitate 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 direction of the organisation and inspire others to follow.

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 strategy.

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.

Partnerships and Resources

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

Processes

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

Customer Results

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

People Results

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

Society Results

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

Key Performance Results

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

EFQM Self-assessment MATRIX for Continuing
Professional Education



ENABLERS



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.

CRITERION 1: LEADERSHIP

SUB-CRITERION 1a: DEVELOPMENT OF VISION AND MISSION

The organisation has developed and articulated the mission, vision and values which act as a reference point within the culture of excellence of the institution.

Definition of levels

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

SUB-CRITERION 1b: CONTINUOUS IMPROVEMENT OF MANAGEMENT SYSTEMS

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

Definition of levels

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

SUB-CRITERION 1c: LEADERSHIP AND EXTERNAL RELATIONS

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

Definition of levels

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

SUB-CRITERION 1d: LEADERSHIP AND MOTIVATION

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

Definition of levels

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



CRITERION 2: POLICY AND STRATEGY

The organisation implements its mission and vision by having 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.



SUB-CRITERION 2a: MISSION, VISION, VALUES AND STRATEGIC PLANNING

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

Definition of levels

Level 1	Quality depends solely on the individual (no processes) The analysis of needs of the stakeholders is not based on a plan.
Level 2	Process awakening (basic processes) Some studies of the needs of stakeholders have been made. These studies are not systematic. The information obtained is only partially used in the organisation's operations.
Level 3	Vision through processes, professionalization and a guarantee of quality (intermediate processes) There is a formal non-systematic process which takes the needs and expectations of stakeholders into account in the creation of strategies for the organisation/programme.
Level 4	Systematic assessment and improvement of processes (sophisticated processes) There is a systematic methodology in place to observe and identify stakeholder needs. Meeting the objectives based on identified needs and expectations of stakeholders is systematically assessed and society is included as one stakeholder of the organisation.
Level 5	Aiming for external excellence (excellent processes) Systematic monitoring of needs and expectations of stakeholders results in changes in the organisation in accordance with the results to be achieved.

SUB-CRITERION 2b: FORMULATING STRATEGIC PLANNING

The assessment of performance indicators regarding customer satisfaction, staff, society and other core stakeholders is the basis of strategic planning.

Definition of levels

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

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

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

Definition of levels

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

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

The management of the organisation communicates the defined strategies and policies, as well as executes these strategies.

Definition of levels

Level 1	Quality depends solely on the individual (no processes) There is no clear and complete communication of policies and strategies. The planning of activities depends on personal inspiration and there is no consultation with other persons thus preventing the execution of coherent tactics. No strategic plan can be executed because it does not exist. There is no assessment of policies and strategy.
Level 2	Process awakening (basic processes) There is documentation available but there is no effort made to communicate or to share it. People consult colleagues regarding undefined situations without consulting policy or strategy because they do not identify with it. Employees must personally consult the management to get information about policy and strategy.
Level 3	Vision through processes, professionalization and a guarantee of quality (intermediate processes) A strategic planning process has been defined with due awareness of the competitive advantages available. The implementation process of this plan is characterised by tactics, actions, priorities, timetables for execution, responsibilities, methods and assessment periods with defined documents and follow-up indicators.
Level 4	Systematic assessment and improvement of processes (sophisticated processes) There is a dynamic and systematic process for the assessment and improvement of the Strategic Plan based on continuous analysis of indicators and the environment. The process is deployed with the coordinators and managers of the organisation.
Level 5	Aiming for external excellence (excellent processes) The Strategic Plan is completely aligned with the Vision and Mission of the organisation and the Institution. The Strategic Plan is implemented at all levels of the organisation and it is reviewed and improved in accordance with systematic procedures. The methodology employed for its development is a benchmark for other organisations.

Excellent organisations manage, develop and release the full potential of the staff at all levels. They promote fairness, equality, involvement and empowerment of the staff. They care for motivating the staff and for building commitment using their skills and knowledge.

CRITERION 3: PEOPLE

SUB-CRITERION 3a: HUMAN RESOURCE MANAGEMENT

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

Definition of levels

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

SUB-CRITERION 3b: COMPETENCE DEVELOPMENT OF THE STAFF

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

Definition of levels

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

SUB-CRITERION 3c: STAFF COMMITMENT AND INVOLVEMENT

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

Definition of levels

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

SUB-CRITERION 3d: INTERNAL COMMUNICATIONS

The organisation has effective processes of staff communication.

Definition of levels

	Quality depends solely on the individual (no processes)
Level 1	Communication among the staff and with the management is informal and random. This generates disinformation and does not promote the sharing of objectives and results in each work area. Either there are no reports, or if there are reports, they are not shared. Some of the staff work in isolation causing mistakes to be repeated.
	Process awakening (basic processes)
Level 2	There are channels of communication but they are not connected. The responsibilities and accountability for managing these channels are vague. The information is diligently collected but not distributed in all necessary directions. There are reports many of which are shared horizontally but not vertically.
	Vision through processes, professionalization and a guarantee of quality (intermediate processes)
Level 3	There is a communication system using modern Information and Communication Technologies (ICT), with people who are responsible for making it work and for updating it. There is a program of informative meetings at all levels. There are defined objectives, goals, deadlines, prerequisites of action, etc., which eliminate financial reports which are neither discussed nor known.
	Systematic assessment and improvement of processes (sophisticated processes)
Level 4	There is an optimisation of work teams through systematic dialogue and communication which allows experiences and best practises to be shared and improves the workplace environment. Ideas arise for ways to improve systems and forms of communication. Communication among the staff and with the management is respectful and honest and not strictly defined by the hierarchy.
	Aiming for external excellence (excellent processes)
Level 5	The channels of communication facilitate the creation of innovative proposals at all levels of the organisation, promoting visionary teams which are focussed on continuous improvement. There is an internal and external assessment of innovative ideas regardless of where they come from. The communication management model serves as a reference point for other organisation/programmes.



CRITERION 4:

PARTNERSHIPS AND RESOURCES

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



SUB-CRITERION 4a: EXTERNAL PARTNERSHIP MANAGEMENT

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

Definition of levels

	Quality depends solely on the individual (no processes)
Level 1	The continuing education activity of the organisation is totally independent from the rest of the institution. There are no existing policies or strategies for the organisation to establish external partnerships. The existing partnerships are the result only of casual agreements.
	Process awakening (basic processes)
Level 2	The organisation has policies and strategies to establish external partnerships. However these policies are not always in line with the strategic plan of the institution. Nobody is specifically responsible for the development and implementation of policies and strategies.
	Vision through processes, professionalization and a guarantee of quality (intermediate processes)
Level 3	External partnerships are systematically related to the policies and strategies of the organisation. Responsibility for the development and implementation of the policies and strategies within the organisation has been assigned. There is a passive participation in international networks.
	Systematic assessment and improvement of processes (sophisticated processes)
Level 4	The projects resulting from external partnerships are assessed to determine the results with regard to the planned objectives and established goals of the organisation. These results are used within the organisation to improve procedures and existing activities. New partnerships are continually sought after.
	Aiming for external excellence (excellent processes)
Level 5	Development projects are undertaken in collaboration with organisations in other institutions The successful results of external partnerships make the organisation a prestigious international reference for other organisations seeking this type of cooperation.

SUB-CRITERION 4b: ECONOMIC AND FINANCIAL MANAGEMENT

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

Definition of levels

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

SUB-CRITERION 4c: TECHNOLOGY MANAGEMENT

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

Definition of levels

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

SUB-CRITERION 4d: INFORMATION AND KNOWLEDGE MANAGEMENT

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

Definition of levels

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

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

CRITERION 5: PROCESSES

SUB-CRITERION 5a: DEMAND ANALYSIS

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

Definition of levels

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

SUB-CRITERION 5b: PROGRAMME DESIGN AND DELIVERY

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

Definition of levels

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

SUB-CRITERION 5c: ANALYSIS OF THE COMPETITION

The organisation monitors the products and customers of its competitors.

Definition of levels

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

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SUB-CRITERION 5d: COMMUNICATION AND MARKETING

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

Definition of levels

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

SUB-CRITERION 5e: INFRASTRUCTURE AND LOGISTICS

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

Definition of levels

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

SUB-CRITERION 5f: ADMINISTRATIVE AND FINANCIAL MANAGEMENT

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

Definition of levels

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

SUB-CRITERION 5g: QUALITY CONTROL

The customer satisfaction is assessed in all the fundamental areas involved in the service: and their effectiveness in: teaching, infrastructure, administrative services associated with the programme or learning services. Impacts of the programmes on learners, employers, and others are measured, monitored, and affect programme decisions.

Definition of levels

Level 1	Quality depends solely on the individual (no processes) The monitoring of customer satisfaction depends on the individual initiative of the programme director or coordinator. The teachers carry out a survey at the end of the programme on their own initiative without the results having any relevance to improve quality.
Level 2	Process awakening (basic processes) There is a single questionnaire for the institution. The institution norms suggest the use of a common model. The responsibility for its execution and the management of the results depends on the coordinator of the programme or learning service. The processing and diffusion of the results are the responsibility of the coordinators.
Level 3	Vision through processes, professionalization and a guarantee of quality (intermediate processes) The institution has a centralised assessment process which is systematic and obligatory. The minimum criteria are defined for training quality. The results are sent to the coordinators and the teachers in order to be used according to those criteria. Information is centralised to be presented to the governing board. If any results evidently need improvement the institution takes ad.hoc. measures to resolve any particular problems which may arise.
Level 4	Systematic assessment and improvement of processes (sophisticated processes) Overall results allow comparisons to be made and the anomalies to be detected. The results of the individual assessment of programmes and courses are used to effect changes to improve the quality of subsequent programmes and courses. The programme design is updated systematically based on customer satisfaction information. The organisation is technically responsible for the assessment and improvement of the courses using the results of the assessments: A programme which does not improve its assessment is removed from the catalogue.
Level 5	Aiming for external excellence (excellent processes) There is an integral assessment model (pre, during and past). There is continuous improvement throughout the programmes and other learning services. The utility of the knowledge and skill imported is monitored for possible updating. The assessment results are made public. At the beginning of courses, learners are asked for their expectations of the programme or course. At the end of the activity, there is not only a survey and also the initial test is repeated to determine whether learner expectations are met. External experts assess the quality of the documentation.

SUB-CRITERION 5h: CERTIFICATION

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

Definition of levels

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

EFQM Self-assessment MATRIX for Continuing Professional Education

From Criterion 6 onwards, the focus of the assessment shifts from Enablers to Results. In the Results criteria we measure perceptions: what our staff, citizens, customers and society think of us. We also have internal performance indicators which show how well we are doing against the targets we may have set for ourselves – the outcomes. The assessment of results requires a different set of responses, so the responses from this point onwards are based on the Results Assessment Panel (see CAF scoring and Assessment panels).

RESULTS

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

CRITERION 6: CUSTOMER-ORIENTED RESULTS

Key implications

Elements are such as creating sustainable customer value, increasing customers' income, helping learners to develop and expand their skills and competencies.

SUB-CRITERION 6a: PROGRAMME CONTENT AND PROGRAMME CREATION

A measure of the customer's satisfaction with the organisation's programme content and in terms of job placement, job advancement, learning retention, knowledge transfer, and impact on the learners' employment and their employer's enhancement.

Definition of levels

Level 1	Uniform measures of course and programme satisfaction are not gathered.
Level 2	A uniform and consistent instrument and process is utilized to measure customer satisfaction with the educational course and programme content administered immediately after the learning and the results indicate dissatisfaction.
Level 3	Positive results are obtained from the measures.
Level 4	Customer satisfaction is positively correlated in long term measures.
Level 5	Employers give high recognition to learners who have completed the organisation's programmes. Programme content is highly sought and is a model for others.

SUB-CRITERION 6b: PROGRAMME DELIVERY

The measurement of the educational product delivery from the instructor to the students, including faculty teaching evaluations; course organisation, appropriate pedagogy, course materials (textbook, speaker notes, access to online materials/discussion groups, etc); and, technology (e.g., classroom projection, access to course materials to those with disabilities, outside the classroom learning facilitation, interfaces and support that are user centric).

Definition of levels

Level 1	No information is gathered regarding the delivery of education.
Level 2	Consistent measures of program delivery are gathered and customers show dissatisfaction with the current methods.
Level 3	The collected measures show satisfaction with the program delivery.
Level 4	The collected measures show a high level of satisfaction with program delivery. The organisation is creating new methods for program delivery that are developed for the target audience(s).
Level 5	The program delivery methods and the way in which the delivery methods are evaluated are being emulated by others.

SUB-CRITERION 6c: LEARNER SUPPORT SERVICES

Providing services to learners in the organisation's programmes are measured that improve the learner's learning and transfer of knowledge into the workplace (e.g., enrolment advising, employer/job placement, career advising, helpdesk activities, etc).

Definition of levels

Level 1	The organisation does not provide learner support services.
Level 2	The organisation provides informal and ad hoc responses to learner inquiries regarding services.
Level 3	The organisation has a few formalized learner support services.
Level 4	The organisation has dedicated staff for the handling of learner support services. There are learner support services and dedicated staff for handling the concerns of all learners with the organisation's programs.
Level 5	The kinds of learner support services and their quality are emulated by other organisations.

SUB-CRITERION 6d: LEARNING ENVIRONMENT

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

Definition of levels

Level 1	The organisation does not have a set of facility or technological standards that must be met to ensure the quality of the learning environment for its programmes.
Level 2	The organisation collects data regarding the learners' satisfaction with the learning environment, but they show dissatisfaction.
Level 3	The organisation collects data regarding the learners' satisfaction with the learning environment, and they show high level satisfaction.
Level 4	The organisation tightly integrates multiple learning environments (e.g., adding appropriate technology to space) to facilitate a rich learning environment.
Level 5	The learning environment used and selected by the organisation meet international standards appropriate for the mode of programme delivery (face to face, online, etc.).

SUB-CRITERION 6e: LOGISTICAL SUPPORT FOR PROGRAMMES

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

Definition of levels

Level 1	Measurements of customer satisfaction are not gathered.
Level 2	Measurements of customer satisfaction with the organisation's support for programs are gathered but show unsatisfactory results.
Level 3	Measurements of customer satisfaction with the organisation's support for programs are gathered and show a high level of satisfaction.
Level 4	Customer satisfaction with the logistical support for programs demonstrates the creation of new and unique support processes.
Level 5	Processes for operating educational programs and the measures of their performance are models that others are emulating.

SUB-CRITERION 6f: CUSTOMER SERVICE

Measuring the educational experience of the customers in the program through all phases of the organisation's processes, including recruitment, registration, assistance while in attendance at learning activities, program retention, and job placement (e.g., measurements might include response times to return contact to the learner, proactive guidance to the learner despite not being requested, etc.).

Definition of levels

Level 1	Measurements regarding customer experiences are not gathered.
Level 2	Measurements of the customer experiences are gathered but show unsatisfactory levels of staff dealing with the customer.
Level 3	Measurements of the customer experiences are gathered and show high satisfaction levels of organisation's staff dealing with the customer.
Level 4	Customer service is embedded in all phases of the organisation and with all staff.
Level 5	The organisation's customer service attitudes, techniques and processes serve as models that others are emulating.

The organisation measures in a systematic way results and measures the satisfaction of the staff that achieve these results.



CRITERION 7: STAFF ORIENTED RESULTS



Key implications

The staff of the organisation are all the employees and others who directly or indirectly serve customers.

These CRITERIA should address the results of the work and satisfaction of all the people in the organisation and should link to the human resource management criteria.

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

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

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

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

Assessment: Consider evidence of results relating to.

SUB-CRITERION 7a: STAFF SATISFACTION

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

Definition of levels

Level 1	Staff satisfaction is not measured and / or no information is available.
Level 2	Staff satisfaction is measured and show negative trends and / or results do not meet relevant targets.
Level 3	Staff satisfaction shows improving trends and / or most of the relevant targets are met.
Level 4	Staff satisfaction shows substantial progress and / or all the relevant targets are met.
Level 5	Staff satisfaction is excellent and sustained results are achieved. All the relevant targets are met. Positive comparisons with relevant organisations for all the key results are made.

SUB-CRITERION 7b: QUALITY OF STAFF

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

Definition of levels

Level 1	Quality of the staff is not measured.
Level 2	The performance of the staff is below average and there is evidence that the majority of the staff do not support the organisation's goals.
Level 3	The performance of the majority of the staff meets the minimum requirements of their positions.
Level 4	The performance of the majority of the staff is above the expected level and the staff work effectively at collaborating to achieve the organisation's goals.
Level 5	The staff of the organisation serves as a model for other organisations by operating at a highly effective work level based on collaboration, knowledge sharing and team learning, regularly exceeding the expectations of their positions and consistently achieving the organisation's goals.

The organisation has defined its social role and responsibilities among CE educational providers in society. These criteria answer the question, what is the organisation achieving in satisfying the needs and the expectations of the local, regional, national and international community.

For university providers of CPE programmes this means especially being a disseminator of research based knowledge, and a developer and trainer of innovative concepts of knowledge creation, knowledge transfer and practical applications for the use in working life. Special focus includes, on the one hand, foresight and new work life applications of research and, on the other hand, sustainable development, i.e. quality of life, environment and preservation of global resources.

This criterion includes the organisation's relations with authorities and bodies, which affect and regulate its business.

CRITERION 8: SOCIETY ORIENTED RESULTS

Key implications

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

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

The measures cover both measures of perception and – where available – quantitative indicators.

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

SUB-CRITERION 8a: IMAGE

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

Definition of levels

Level 1	There is no recognition or image of the organisation.
Level 2	There is some recognition or image of the organisation. The image of the organisation is good in industry and government and they occasionally seek advice.
Level 3	The image of the organisation is good in all fields and it participates in many collaborative development activities in society.
Level 4	The organisation influences the development policies of society.
Level 5	The image of the organisation is very good as an initiator of important developments in society.

SUB-CRITERION 8b: SOCIAL RESPONSABILITY

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

Definition of levels

Level 1	Social responsibility is not recognised as a part of the work and role of the organisation.
Level 2	There is some social responsibility recognised in the work and role of the organisation.
Level 3	Social responsibility is recognised as part of the work and role of the organisation.
Level 4	Social responsibility is recognised as a vital part of the work and role of the organisation. The organisation is often involved in development of society.
Level 5	The organisation is very good as an initiator of important developments in society.

SUB-CRITERION 8c: IMPACT

The organisation has a positive impact on interacting with all stakeholders on the local, regional, national, and international communities.

Definition of levels

Level 1	No impact.
Level 2	Some impact.
Level 3	Moderate impact.
Level 4	Consistent impact. There is significant impact on several activity fields.
Level 5	The organisation is a recognised developer and initiator of concepts and models how the University serves society.

SUB-CRITERION 8d: SUSTAINABILITY

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

Definition of levels

Level 1	What's sustainability?
Level 2	Some environmental and sustainability awareness. Some active individuals in the staff involved in sustainability activities.
Level 3	Sustainability being a part of the organisation's processes and programs.
Level 4	The organisation has received awards and/or certification stating that it meets sustainability requirements.
Level 5	The organisation is a recognised developer and initiator of concepts and models in sustainability.

The organisation is achieving good outcomes in relation to its mandate and specified objectives and in satisfying the needs and expectations of everyone with a financial interest or other stakeholders. Use data for at least the last three years to define the trend.

CRITERION 9: KEY PERFORMANCE RESULTS

Key implications

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

The results relate to measurement of the organisation's performance with regard to achievement of goals and the outcomes of key activities (effectiveness) as well as the internal functioning of the organisation. Furthermore they involve measurements of the performance of the organisation in making a rational and economic use of their financial resources (economy) and in making an efficient use of financial resources.

SUB-CRITERION 9a: FINANCIAL

Key Financial Results	Level 1	Level 2	Level 3	Level 4	Level 5
	No results are measured and / or no information is available	Results are measured and show negative trends and / or results do not meet relevant targets	Results show improving trends and / or most of the relevant targets are met	Results show substantial progress and / or all the relevant targets are met	Excellent and sustained results are achieved. All the relevant targets are met. Positive comparisons with relevant organisations for all the key results are made
1) Revenue per student learning hour					
2) Revenue per learner contact hour					
3) Revenue per member of staff					
4) Annual surplus generated by the organisation					
5) Annual surplus generated per member of the organisation's staff					

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SUB-CRITERION 9b: ACADEMIC

* For questions 3 and 5 if the organisation does not include these in the strategy then do not answer and do not include in the grading.

Key Academic Results	Level 1	Level 2	Level 3	Level 4	Level 5
	No results are measured and / or no information is available	Results are measured and show negative trends and / or results do not meet relevant targets	Results show improving trends and / or most of the relevant targets are met	Results show substantial progress and / or all the relevant targets are met	Excellent and sustained results are achieved. All the relevant targets are met. Positive comparisons with relevant organisations for all the key results are made
1) Total number of student learning hours					
2) Number of student learning hours per member of staff					
3) Number of awarded a) degrees, b) diplomas and c) certificates *					
4) Completion rate (in average) for all programs					
5) Number of papers, conference contributions, books, research reports, etc.. *					

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SUB-CRITERION 9c: QUALITY

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

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

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GLOSSARY



Academic audit - It is the control, made by academics external to the organisation, of the content and delivery on a scientific basis.

CEE - Continuing Engineering Education.

Certificates - Official documents provided by educational institutions ensuring the acquisition of some knowledge and/or competencies.

Completion rates - Ratio between successful participants and enrolled participants of a CEE program.

Contact hours - Number of synchronous hours between learner and teacher.

Continuing Education - CE - Continuing Education.

Costs - Expenses per year of all kinds including taxes, overheads, rentals, room rent, consultants, subcontracts, salaries, books, fringe benefits food, etc.

Degrees - Titles at various levels conferred by HE institutions as the result of completing a program of study leading eventually to professional qualifications.

Diplomas - Academic certificate awarded by an educational institution that guarantees that the recipient has successfully completed a course of study.

ECTS - European Credit Transfer System - It is a system to credit learner work across HE institutions.
http://ec.europa.eu/education/programmes/socrates/ects/index_en.html

EFQM - European Foundation for Quality Management.
www.efqm.org

FTE - Full Time Equivalent - Unit of measure in terms of time spent by any person when compared another that is full time.

ICT - Information and Communication Technologies.

Institution - HE organisation or university within which the CE organisation exists.

Knowledge management - It is the range of practices used by organisations to identify, to create, to represent and to distribute knowledge for reuse, awareness and learning (Wikipedia).

Net Income - Revenue minus costs per year.

Organisations - Any unit offering courses, whether credit or noncredit, online or face to face, long or short courses, and big or small units. In Europe they are more often called Centres and in the US more often called Programmes.

People - Staff (see further definition of staff below).

Revenue - Money that is received per year, including all kinds like grants, donations, fees, and institutional support.

SLH - Student (Participant) Learning Hours - number of hours spent by the student while learning, including contact hours.

Staff - All employees of the organisation whose primary function is something other than teaching.

Student days - Days that are spent, in average, by each learner working on an educational programme.



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