

# MANUAL FOR MONITORING AND EVALUATION OF STRATEGIC DOCUMENTS IN PUBLIC UNIVERSITIES OF KOSOVO



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## Contents

1. Introduction
2. Overview
  - 2.1. The current situation
  - 2.2. Why a Manual for Monitoring and Evaluation?
  - 2.3. Who does the Manual serve?
  - 2.4. Strategic planning at the governmental level
  - 2.5. Strategic planning at the higher education level
  - 2.6. Strategic planning at the public universities' level
  - 2.7. How are strategic documents monitored at the government level?
3. Monitoring and evaluation in the strategic planning cycle
4. Difference between Monitoring and Evaluation
5. How to do monitoring and evaluation?
6. Institutional monitoring structure
  - 6.1. Example of monitoring
7. How to evaluate a Strategic Plan
  - 7.1. Example of evaluation
8. Reporting
9. Appendices
  - 9.1. Examples of elements for monitoring reports
  - 9.2. Example questions for focus groups

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## Abbreviations

<b>AEI</b>	Agency for European Integration
<b>DHEST</b>	Department of Higher Education, Science and Technology
<b>DEIPCLA</b>	Department of European Integration, Policy Coordination and Legal Affairs
<b>EHEA</b>	European Higher Education Area
<b>ERA</b>	European Reform Agenda
<b>ERP</b>	Economic Reform Program
<b>EU</b>	European Union
<b>HEIs</b>	Higher Education Institutions
<b>IPS</b>	Integrated Planning System
<b>KAA</b>	Kosovo Accreditation Agency
<b>KPI</b>	Key Performance Indicators
<b>MEI</b>	Ministry of European Integration
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MESTI</b>	Ministry of Education, Science, Technology, and Innovation
<b>MF</b>	Ministry of Finance
<b>NPISAA</b>	National Programme for Implementation of the Stabilization and Association Agreement
<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>OPM</b>	Office of the Prime Minister
<b>PAR</b>	Public Administration Reform
<b>PCM</b>	Project Cycle Management
<b>PDCA</b>	Plan Do Check Act
<b>QA</b>	Quality Assurance
<b>RACI</b>	Responsible, Accountable, Consulted and Informed
<b>SAA</b>	Stabilization and Association Agreement
<b>SIGMA</b>	Support for Improvement in Governance and Management
<b>SPO</b>	Strategic Planning Office

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## PREFACE

*This Manual provides concrete directions to monitor and evaluate the implementation of strategic documents at universities in Kosovo. It is important to note that different practices exist. By using the Manual, public universities will have the opportunity to increase their capacities in the strategic planning cycle, with special emphasis on the field of monitoring and evaluating the implementation of their strategic documents. To contribute to capacity building, the necessary guidance and training will be provided for the most effective use of the Manual for public universities to internalize this document as an integral part of their monitoring and evaluation process.*

*Both the guidance and the training as to how to use the Manual are expected to have multiplier effects within public universities thus generating new capacities that will be able to use it effectively. The commitment of universities to internalize and use the Manual will be key to ensuring institutional sustainability in the area of monitoring and evaluating strategic documents and will be a first step towards an M&E culture where institutional contexts are guiding and M&E is fully incorporated in the quality assurance cycle.*

*The Manual is also expected to contribute to raising the overall quality of strategic documents in public universities. The higher the quality of the strategic documents, the easier it will be to monitor and evaluate their implementation, as well as the greater the contribution of the implementation of the strategic documents in i) improving the overall performance of public universities, ii) increasing the quality of university services, iii) contributing to the needs of the labour market as well as to the well-being of the citizens of Kosovo.*

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## 1. Introduction

Knowing that public universities in Kosovo face difficulties in assessing the levels of implementation of strategic documents, this Manual for Monitoring and Evaluation of Strategic Documents in Public Universities of Kosovo aims at closing the gaps in this area by raising thus the level of strategic planning in its entirety.

Establishing a sustainable system of monitoring and evaluation of strategic documents in Kosovo higher education is an important step to understanding more specifically whether and how much higher education in Kosovo is moving in a positive direction. Usually, to have effective monitoring and evaluation, the whole strategic planning chain must function. According to the master, Peter Drucker: “Strategic planning is a continuous process of systematically, and with the greatest possible knowledge of the future, making current decisions that involve risks; systematically organizing the activities required to execute these decisions and, through organized and systematic feedback, measuring the outcome of those decisions against expectations”.

Several training activities and as well as consultative meetings have taken place with public universities to address their needs in the field of strategic planning, notably monitoring and evaluation of the implementation of their strategic documents.

The Manual aims to provide the most effective monitoring possible to provide decision-makers with the tools and evidence to identify policy challenges, adjust policy implementation, and communicate policy outcomes in promptly and accessible. A monitoring system will improve operational planning and decision-making thus providing evidence to measure performance and help raise specific questions to identify delays and obstacles in the implementation of strategic documents. A monitoring system can also strengthen public accountability and information about the implementation of strategic documents and their effects on society.

Also, the Manual aims to help higher education in Kosovo by making it clear that evaluation is critical to understanding whether policies are contributing to improving higher education in line with labour market demands, increasing social welfare, and the long-term perspective of the country. An evaluation system helps public universities to make sure as to how policies work, why, for whom, and under what circumstances. An evaluation system certainly contributes to improving the links in the policy-making process. This is especially important in higher education in Kosovo where policy evaluation and their strategic use can support overall strategic planning, thus improving the links between policy interventions, objectives, and their impact on the higher education sector.

The Manual includes the main elements of monitoring and evaluation starting from the need for it, how to organize such an exercise which is more than necessary, the tools and actors responsible for the implementation of the Manual as well as the expectations of higher education from the implementation of the Manual. Again, the Manual is designed so that the process of monitoring and evaluation by higher education institutions is understood as a learning process, in other words as a process of continuous improvement.

Using the Manual will be a solid basis for Kosovo public universities to start building a structured, stable and sustainable process on how to organize monitoring and evaluation to measure the degree of implementation of strategic documents, thereby contributing to raising the quality of higher education in line with the needs, trends, and dynamics of the future.

The Manual contributes to a more efficient and effective implementation of the HEI Strategic Plans, thus it fits well with the higher education system in Kosovo to achieve adequate quality standards of institutions and programs in accordance with the objectives of the Bologna process and Declaration as stipulated in the Kosovo National Programme for Implementation of the Stabilisation and Association Agreement (NPISAA) 2022-2026. Article 107 of the SAA requires cooperation between

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## 2. Overview

This chapter will explain the current situation in public universities in terms of the monitoring and evaluation process, the reasons for the development of the Manual for Monitoring and Evaluation, who the Manual serves, the strategic planning system at the government level and in the higher education sector, strategic planning in public universities and for documents at the government level with which the planning, drafting and monitoring of strategic documents is done (the latter does not reach public universities (see sub-chapter 2.7. How are strategic documents monitored at the government level?).

### 2.1. The Current Situation

The unsatisfactory level of implementation of legislation and strategic documents remains, among other things, one of the main challenges of all institutions of Kosovo. Lack of political will and limited institutional capacity are among the main obstacles to the inadequate implementation of legislation and strategic documents. Significant shortcomings in monitoring and evaluating the implementation of legislation and strategic documents pose a challenge for Kosovo institutions, including the education sector. This has made the strategic planning cycle from planning to implementation, monitoring, and evaluation not work properly. Consequently, the overall quality of public services remains unsatisfactory, including university services. All of this has contributed to the low public trust in public institutions.

In the framework of the strategic planning cycle, monitoring and evaluating the implementation of strategic documents and legislation remains one of the main challenges of Kosovo institutions, an aspect that is almost underlined in local and international reports. This is mainly due to limited institutional capacities ranging from poor strategic policy planning to inadequate cooperation within and between institutions. As a result of this phenomenon, apart from the fact that it is difficult to measure the progress achieved, even more, difficult is the transparency and accountability to the citizens.

Given that Kosovo is the youngest country in Europe, it is logical that it could not immediately build an administration and public services according to EU standards and best practices. However, efforts had never stopped in this direction. In this context, since the declaration of independence of Kosovo, three Strategies for reform and further development of public administration have been developed. The first Strategy for Public Administration Reform included the period 2008-2010, the second from 2010 to 2013, and the third from 2015 to 2020. To ensure effective implementation of legislation and strategic documents, the institutions of Kosovo have designed the Strategy for Better Regulation 2017-2021.

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Following the entry into force of the Stabilization and Association Agreement (SAA) in April 2016, Kosovo had already entered into contractual relations with the EU and therefore had taken a series of steps to reform public administration according to EU standards and best practices. In this context, many issues have been and are being addressed, in which the institutions have had and still have difficulties. The issue of the system of planning, monitoring, and evaluation of the implementation of strategic documents, including legislation, has been among the main priorities, despite the limited progress to date.

Kosovo is in the early stages of building an Integrated Planning System (IPS). However, there are still significant setbacks in the process of monitoring and evaluating the implementation of legislation and strategic documents. The education sector is no exception to this rule. To address the difficulties of education in Kosovo, two strategic plans have been issued so far: the Strategic Education Plan in Kosovo 2011-2016 and 2017-2021. The Strategic Education Plan 2017-2021 lists seven main areas of interest: 1) Participation and inclusion, 2) Management of the education system, 3) Quality assurance, 4) Teacher development, 5) Teaching and learning, 6) Vocational education and training and adult education, and 7) Higher education.

However, in the Strategic Education Plan 2017-2021, insufficient attention has been paid to monitoring and evaluating the implementation of legislation and strategic documents. While, without being clear about what is or has not been implemented, it is very difficult to draw quality and sustainable projections for long-term orientation. Without a long-term quality orientation of education, it will be difficult if impossible to get out of the difficult situation in which education is in Kosovo.

More specifically, the cooperation of public universities and the Ministry of Education, Science, Technology, and Innovation (MESTI) in drafting strategic documents is not at the best possible level. In a word, the involvement of MESTI in setting the strategic priorities of public universities has room for improvement. While the involvement of MESTI in the monitoring and evaluation of strategic documents of public universities is almost non-existent.

## **2.2. Why a Manual for Monitoring and Evaluation?**

The reasons why the higher education system in Kosovo needs a Manual for monitoring and evaluating the implementation of strategic documents are as follows:

- There is limited institutional capacity to ensure effective monitoring and evaluation of the implementation of strategic documents not only by MESTI but also by public universities.
- Inadequate quality of monitoring and evaluation of the implementation of strategic documents by public universities.
- No adequate mechanism that guarantees effective monitoring and evaluation of the implementation of strategic documents starting from MESTI to public universities.
- Limited effects of strategic documents on the community and the labour market.

## **2.3. Who does the Manual serve?**

This Manual will serve higher education, more specifically public universities in Kosovo. Through it, public universities will be able to ensure adequate monitoring and evaluation of strategic documents, based on which they will then be able to better design not only for their future but for the whole higher education system in Kosovo.

Furthermore, the Manual will increase the capacity of public universities in providing monitoring and evaluation of strategic documents; it will increase the quality of strategic documents by making



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them more feasible and more related to sectoral, national policies, EU standards, and best practices; it will also increase the level of cooperation and coordination within public universities, as well as between higher education system and labour market needs.

The Manual also aims to serve public universities through the monitoring and evaluation process to achieve three main objectives:

1. **Ensuring informed decision-making** – To contribute to informed decision-making, thus providing evidence to measure performance and identify delays or obstacles to the implementation of strategic documents as well as to measure the degree of improvement of higher education.
2. **Strengthening accountability** – To strengthen the accountability over the use of resources across public universities and their internal management processes, or over the outputs of a given policy.
3. **Increasing transparency** – To provide citizens and stakeholders with information on whether the efforts made by public universities meet their expectations and contribute to a productive conversation among the different stakeholders, both internal and external to the university.

## 2.4. Strategic planning at the governmental level

Since 2017 Kosovo has developed the Strategy for Improving Policy Planning and Coordination in Kosovo 2017-2021. The purpose of this strategy was to create an Integrated Planning System (IPS). This strategy, which has already expired, provided for structures for integrated planning such as:

1. **Commission for Strategic Planning** chaired by the Prime Minister as a decision-making body.
2. **Steering Group for Strategic Planning** composed of senior officials of the Office of the Prime Minister, the Ministry of Finance, and the Ministry of European Integration (now Agency for European Integration); and
3. **Strategic Management Group** at the ministerial level.

However, frequent changes in government and a lack of political will have hindered the full and sustainable functioning of these structures.

According to the SIGMA/OECD Monitoring Report published in November 2021, it is stated that “the implementation of the Public Administration Reform (PAR) commitments from the four plans is low and has decreased since 2018. The implementation of the reforms depends heavily on donor support. Coordination of the reform agenda is functional at the political level, but not at the administrative level, and non-governmental stakeholders are not involved in the monitoring process.”

The SIGMA/OECD monitoring report further addresses the “major policy development challenges related to poor coordination between institutions and strategic documents, which means that policy planning is overly ambitious or unrealistic and leads to a significant number of initiatives that are transferred from one year to another. The alignment between domestic policies and those related to European integration is also weak”.

The Strategic Framework for PAR in Kosovo according to the SIGMA/OECD Monitoring Report speaks of two setbacks: “1) A well-functioning monitoring and reporting framework are only partially established, as the development of annual monitoring reports is unsustainable; 2) In the absence of valid planning documents for some aspects of the PAR, financial sustainability and cost quality cannot be assessed”.

So, in general, it is noticed that PAR not only suffers from delays in integrated planning and coordination, but delays are also evident in monitoring, reporting, and evaluation. It is precisely these difficulties, which hinder the proper orientation of external donations to the PAR. This kind of

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difficulty is facing all sectors, including the higher education system. Advancing reforms is largely dependent on external donors, while local ownership still leaves much to be desired.

It is worth noting that the monitoring of external donations by the Agency for European Integration –AEI- (Former Ministry of European Integration –MEI-) except for the quantitative aspect summarized in the annual reports that include all external donations at the national level, nothing has been done in terms of qualitative measurement of their contributions to public institutions of Kosovo. It should be noted that there are limited capacities among the EU Integration structures of Kosovo to evaluate donor contributions.

In this context, in the absence of local ownership, low capacity for planning, monitoring, and qualitative evaluation of external donations, it is difficult, if not impossible, to measure the impact of external donations on the development of Kosovo institutions, including higher education. So, just as Kosovo institutions have difficulties in monitoring and evaluating the implementation of strategic documents, they have the same difficulties in monitoring and evaluating external donations.

## 2.5. Strategic planning at the higher education level

MESTI is the main institution in the education sector in Kosovo. In terms of setting higher education policies and priorities as well as coordinating external donations that support this education sector, there are four main departments (three departments and one agency) within MESTI:

- **Department of Higher Education, Science and Technology (DHEST)** deals with planning and overseeing the development of the higher education system by drafting strategic plans and documents to provide projections for the higher education system in Kosovo; it aims also at creating the necessary infrastructural, institutional and financial basis for the development of science, scientific research, and promotion of modern technological developments and applications in the economy of Kosovo;
- **Kosovo Accreditation Agency (KAA)** deals with i) Accreditation of public and private institutions of higher education, ii) Accreditation of new institutions of higher education and their programs, iii) Accreditation of new programs in institutions accredited higher education, iv) Continuous quality control in accredited institutions and their programs;
- **Department of European Integration, Policy Coordination and Legal Affairs (DEIPCLA)** which, among other things, deals with the coordination of external donations in the education sector, then with the drafting of strategic documents of MESTI, thus ensuring compliance with other government documents; it also deals with legal approximation of Kosovo legislation with *acquis*.

According to the institutional hierarchy, it is the Strategic Planning Office (SPO) within the Office of the Prime Minister (OPM), which, among other things, coordinates and directs the strategic planning process at the governmental level and supports the ministries in the process of coordination and strategic planning.

The SPO also works with the Agency for European Integration (AEI) within the OPM (former Ministry of European Integration - MEI) and the Ministry of Finance (MF) to combine government priorities and policies with budget projections and European Integration related documents, the latter consisting of three main documents such as the National Program for the Implementation of

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the Stabilization and Association Agreement (NPISAA), the European Reform Agenda (ERA) and the Economic Reform Program (ERP). MESTI has to be coordinated with the SPO-OPM for any new policy drafts or strategic documents to ensure consistency between government and sectoral documents such as the education sector.

In practical terms, MESTI fails to adequately carry out and internalize the strategic planning process across public universities. Almost all strategic documents of public universities have been drafted and continue to be drafted even today without sufficient involvement by MESTI.

Apart from failing to regularly follow the planning process and policy coordination of public universities, MESTI (apart from its involvement in the accreditation process), does not participate in the process of monitoring and evaluating strategic documents of public universities. In other words, there is a lack of clear links of effective coordination and cooperation between MESTI and public universities, and consequently, it is difficult, if not impossible, to effectively measure the progress achieved in public universities in particular and in higher education in general.

## 2.6. Strategic planning at the public universities' level

**The Steering Councils** are responsible for drafting strategic documents for public universities by consulting in advance with MESTI as the main institution in the education sector in Kosovo. The Steering Councils of public universities in cooperation with MESTI ensure, at least in theory, that the priorities of public universities are in line with the policies of the higher education sector, national policies, and the European agenda in the field of higher education.

**The Senates** constitute the highest academic body in the public universities of Kosovo, which are responsible for the general strategic aspects related to the teaching process in general, teaching, scientific research, criteria for student admission, selection and promotion of academic staff, curriculum content, quality assurance, evaluation, etc.

**Rectors** with their cabinets consisting of **Pro-Rectors**, and also **Deans** are responsible for the management and mainstreaming the work of public universities.

It should be noted that public universities lack Strategic Planning Offices (SPOs) within their structures. The establishment of SPOs and their empowerment would ensure better planning, better drafting, as well as effective monitoring and evaluation of strategic documents. It is precisely this office that would maintain the link between public universities and MESTI, to ensure consistency between university projections with the priorities of the higher education sector, national policies, and the European integration process.

## 2.7. How are strategic documents monitored at the government level?

The Government of Kosovo has developed an Administrative Instruction and Manual for the Planning, Drafting and Monitoring of Strategic Documents, and their Action Plans. This Government Manual, for the implementation of which the Office for Strategic Planning (SPO) is in charge within the OPM, serves the line Ministries and is not specific to the work of public universities.

From the current practice of drafting strategic documents, it is seen that public universities do not refer to this Administrative Instruction and Manual. In short, the higher education sector in general and public universities, in particular, lack a specific manual for monitoring strategic documents, while the evaluation is not addressed in any of the government documents. For this reason, this Manual will be only for Monitoring and Evaluation of Strategic Documents, so it will be more specific according to the requirements of public universities.

### 3. Monitoring and evaluation in the strategic planning cycle

Monitoring and evaluation are part of the planning and control cycle. The planning and control cycle, includes three broad phases, i.e. (a) looking ahead and managing, (b) adjusting and (c) accountability. These can be operationalized in several activities throughout the year, as shown for example in Chart 1, using the University of Twente, the Netherlands, as an example.

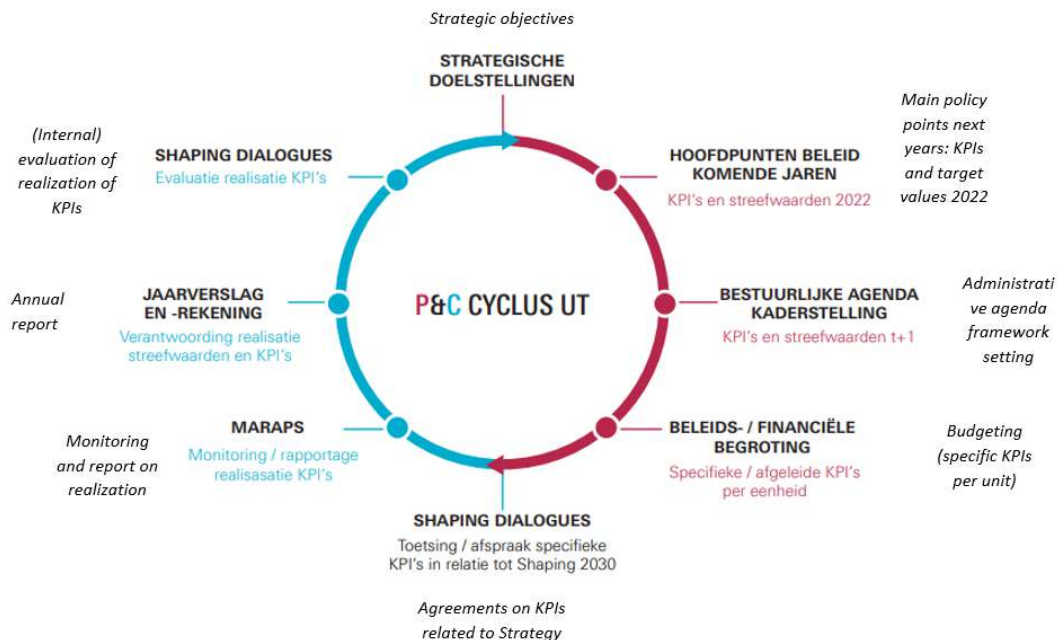


Chart 1. P&C cycle at the University of Twente, The Netherlands

Generally, the following links should be followed:

- **First**, an agreement is reached within the institution on the need to draft a strategic document to ensure the orientation and main lines for the future of the institution, based on which each institution will have to walk within those parameters of the strategic document;
- **Secondly**, the institutional structure for drafting the strategic document is created - the drafting structure should be as comprehensive as possible, starting with the representatives of institutions, civil society, and the business community;
- **Thirdly**, the general situation in the institution is analysed - all documents are analysed, starting from the national, sectoral ones, including various international documents related to the field, specifically EU documents, given that the country must achieve the best practices.
- **Fourth**, the strategic document is drafted - this includes all the necessary elements of a strategic document, starting from the vision to monitoring the implementation of that document;
- **Fifth**, monitoring/evaluation and reporting structures are defined - this is important to measure the progress achieved, identify challenges, and see the impact of the strategic document on the respective institution and the relevant sector;
- **Sixth**, the monitoring and evaluation of the implementation of the strategic document is done, thus generating the relevant reports - this is an ongoing process to ensure that the strategic document achieves the strategic objectives;
- **Seventh** comes the evaluation of the strategic document - to be more objective and see the level of current capacities it the evaluation might be done by an external party, issuing

a comprehensive evaluation report based on which then the institution could adapt its strategy towards a more prosperous future;

- **Eighth**, the evaluation report is sent for decision-making - based on the findings in the report, management then makes the necessary improvement decisions and orientations.

So, Monitoring and Evaluation constitute the last link of the strategic planning cycle, which starts immediately after the approval of a strategic document and the start of its implementation. Monitoring and evaluation can be internal and external. External is when done by an external entity (e.g., contractor or peers/external experts), while internal is when done by the institution or organization itself.

To have effective and successful monitoring/evaluation, a strategic document must contain all the necessary elements presented in the Logical Framework Matrix (Logframe) as follows:

**Table 1. Logical framework matrix**

Logical Framework Matrix (Logframe)				
Intervention Logic		Indicators	Sources of Verification	Assumptions/risks
Vision	1	8	9	
Mission				
Strategic Objectives	2	10	11	7
Specific Objectives	3	12	13	6
Activities	4	Resources	Budget	5
				Preconditions

The table above presents the logical and sequential steps to be followed throughout the drafting of a strategic document. Whereas, to ensure effective monitoring and evaluation, a strategic document should have clearly defined all of the following points:

1. A **short situational analysis** that justifies the Strategy.
2. **Mission and vision** that respond to the situation and level of development of higher education institutions and their goals. The vision is in the spirit of the mission and the strategic goals realize the vision. Therefore, the vision and mission must be logically and causally related to the objectives and activities of the Strategic Plan;
3. Clear **Strategic Objectives** arising from the real problems of higher education institutions. The following elements should be addressed:
  - The Strategic Objectives should be derived from the cause-and-effect analysis from where the causes and consequences they produce are identified. In this case those problems turn into objectives, more specifically in the means-results analysis and the objectives are

**Example of Strategic Objectives (University of Twente's Strategy, Shaping 2030, Annex 2)**

- 1) Shaping society: By 2030 UT has fully mobilised its strengths around key societal challenges. [...]
- 2) Shaping connections: By 2030 UT has transformed into a network of networks, teaming up with partners in science and society [...]
- 3) Shaping individuals: By 2030 we have the required flexibility to efficiently navigate the changing academic landscape and to act as a testing ground for innovations.

- considered to be based on real problems;
- There should be three to five Strategic Objectives. They must be ambitious but realistic and link directly to realizing the university's vision. The description should be (a) brief, (b) include the scope, (c) the long-term timing and (d) expected minimum results
  - Strategic Objectives and relate to sectoral, national, and European policies to support the approximation of Kosovar HEIs to EU standards or best practices.
4. **Specific Objectives** are also clear and measurable, which should be causally related to the Strategic Objectives and be short-term or medium-term. Each Specific Objective should contribute to the fulfilment of the respective Strategic Objective. Specific objectives should be measurable through indicators. It is the fulfilment of the indicators of one or more Specific Objectives that confirms the fulfilment of the Strategic Objective;
5. **Activities** taken to reach strategic and specific objectives. This is the "how". In the overall Vision, Mission and Strategy it will detail the actions needed to reach the objectives. In the implementation plan of activities there will be also the following elements: implementation deadline, implementation responsibilities, budget (including external donations if any), and expected output. Activities should first and foremost be sequentially interrelated and should not involve the day-to-day running of higher education institutions. Activities should include actions that speak to the achievement of specific objectives, i.e., to change for the better the situation in the institution or sector;

**Example of Specific Objectives related to Strategic Objective 1 (University of Twente's Strategy, Shaping 2030)**

Goals for 2023:

1. At least 30% of our education, research, innovation and support has a challenge-based signature, particularly in the field of sustainability.
2. In collaboration with regional educational partners, we facilitate the challenge-based education of 33.000 regional residents with a distance to the job market, with a view to bridging the gap between their skills and the available job opportunities.

**Example of activities related to Strategic Objective 1 and its specific objectives (University of Twente's Strategy, Shaping 2030)**

By 2023:

1. [...] realign all our Master's programmes with our vision, making them [...]. We will also launch a new, distinctive, and fully challenge-based cross-disciplinary Master's programme [...]
2. [...] create an Innovation and Education Lab. Here, we will work on [...]. We will attract new staff [...].
3. [...] developed 5 challenge-based, lifelong learning programmes, particularly in the field of [...]. Our success in training professionals can spin out of the university under a Private-Public Partnership (PPP) construction

A University Strategy will then include a brief implementation section. Here, the Strategy suggests steps for the realization of the ambitions it set out. The following points should be addressed:

6. **Potential risks and assumptions** that may hinder or favour the implementation of activities and consequently the fulfilment of strategic and specific objectives. Also, an integral part of the strategic document should be the Risk Management Plan, including those responsible for risk management and reporting;
7. **SMART indicators** should be defined for each Strategic and Specific Objective. Indicators should be linked to clear and time-bound targets;
8. **Sources of verification** confirm the fulfilment of strategic and specific indicators and objectives. This includes monitoring and evaluation reporting, based on which the fulfilment / non-fulfilment of strategic and specific objectives is confirmed;
9. **Inclusion** of strategic document activities into the annual work plans of higher education

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institutions. This is a precondition for everyone to have a clear role and responsibility towards the implementation of the strategic document. Only by doing so can adequate and effective implementation of strategic documents be ensured;

**10. Institutional structure** and clear deadlines **for monitoring and evaluating** the implementation of the strategic document. This is important because it ensures, among other things, adequate intra-institutional cooperation, an aspect with which all institutions in Kosovo still have difficulties as confirmed in the EU Reports on Kosovo.

If a strategic document follows all the logical and sequential steps of drafting the strategic document and if it contains all the ten points mentioned above, then that document can be considered well designed. Only such a design would enable effective monitoring and evaluation of the implementation of that strategic document. From the practice so far, it is noticed that none of the strategic documents of higher education contains all the ten points mentioned above. Consequently, there are regular difficulties in measuring the level of implementation of a strategic document in higher education institutions.

## 4. Difference between Monitoring and Evaluation

In everyday life, monitoring is often confused with evaluation. Although both are assessors of the level of implementation of a strategic plan, their content and orientations are different. As indicated, monitoring and evaluation are part of the planning and control cycle. This should link to the QA of the university and specifically it overlaps in part with the Plan-Do-Check-Act (PDCA) cycle. M&E contribute to realizing activities in light of a university's own mission.

**Monitoring** is the systematic process of monitoring and recording regularly the activities carried out in a strategic plan, to ensure that the implementation of activities is in line with the objectives of the planned budget. Monitoring considers the optimal use of resources and finances, to assist managers in rational decision making.

It keeps track of progress and controls the quality of the strategic plan against the set criteria and controls compliance with established standards. A monitoring report compares the current standings to the budget and ambitions for of that year (or monitoring period) and related to the expected results at year end. The information gathered in the monitoring process helps to analyse every aspect of the strategic plan, to evaluate efficiency, and to adjust inputs wherever essential.

More specifically, monitoring means an operational level activity performed by supervisors, a routine process that examines in detail the activities and progress of the strategic plan and detects deviations that occur during the implementation of the strategic plan; it is of an observational and preventive nature, in other words, it is a short-term process.

It is about gathering information about the success of the strategic plan, focusing on improving the overall efficiency of the strategic plan, removing obstacles, while the implementation of the strategic plan is in process, usually carried out by people who are directly involved in the process of implementing the strategic plan.

**Evaluation** is defined as an objective and rigorous analysis of a strategic plan that is being implemented or completed, to determine its relevance, effectiveness, impact, and sustainability, thus comparing the outcome with policies and standards in that sector. It is the process of passing on the judgment of value about the level of performance or the achievement of set objectives.

In short, evaluation is a process that critically evaluates, tests, and measures the design and

implementation of strategic plan activities, in the light of strategic objectives. It can be performed both qualitatively and quantitatively, to determine the difference between the actual result and the desired one.

Practically, evaluation means a process of periodic activities that concludes the importance and effectiveness of the strategic plan, is judgmental, is a long-term process, records not only information but also evaluates the results and impact of the strategic plan, underlines improving plan effectiveness strategic, by making comparisons with established policies and standards, can be performed by the organization's internal staff. i.e., by managers or can also be carried out by independent external parties, who can give their impartial views on the strategic plan.

The following table presents the elements that distinguish monitoring from the evaluation.

**Table 2. Elements of monitoring and evaluation**

	Monitoring	Evaluation
Who?	Responsibility for internal management- all levels	It is usually done with external input, to be more objective
When?	Ongoing	Periodic, medium-term, final, ex-post
Why?	Examines progress, improves efficiency, makes immediate decisions, updates plans	Lessons learned for future policies, improves effectiveness, accountability

*Source: EU PCM Guidelines 2004*

In the development strategies, monitoring and evaluation play different roles, in the sense that monitoring is an ongoing process, while evaluation is carried out periodically. Further, the focus of evaluation also distinguishes both, i.e., monitoring is about what is happening, and evaluation is about how well it has happened.

## 5. How to do monitoring and evaluation?

Both monitoring and evaluation can be internal or external. However, practice shows that more often than not monitoring is done internally. Evaluation is often done externally, especially when it relates to external (government) policies (e.g., performance-related funding agreements). It must be said that evaluation can also be internal, e.g., in preparation for external reviews (for example peer reviews). The focus of this section will be on organizing the monitoring process.

To have successful monitoring several steps need to be taken:

1. The strategic plan should have clear monitoring and reporting structures on the implementation of activities provided in the Action Plan, more specifically should have built an organization chart for monitoring with clear lines of coordination and reporting. The institutional structures that guide monitoring may include formal and informal elements:
  - Formal elements include, for example, the submission of documents that must be produced as specific moments in time, such as the framework for annual plans, the Annual plans from the university units (including investment plans), etc.
  - Informal arrangements might be specific groups set up to discuss progress in the strategy regularly. These could include thematic groups, and regular meetings of different university units with the university management to monitor progress and adapt plans if necessary



- 
2. It is important to decide who should be involved and in what role. Therefore, it is crucial to conduct a **stakeholder analysis**. There are several models that can be used. One is the so-called RACI model: who is Responsible (e.g., a thematic project lead), who is Accountable (e.g., the head of the unit and ultimately the university Steering Councils), who must be Consulted and/or stay informed (e.g., the university council or other consultative bodies)? This can be used also in the monitoring
  3. Monitoring structures should have a “secretariat” or “programme team” responsible for managing the different activities to implement the Strategy. This should be headed by a coordinator/manager who organizes data collection, processing, consolidation, and reporting;
  4. The Action Plan should have deadlines and a budget for each activity, with clear responsibilities for the implementation of relevant activities;
  5. The strategic plan should have provisions for setting up a Risk Management Plan with those responsible for minimizing potential risks that may occur during the implementation of the strategic plan. Those responsible for minimizing risks should report to monitoring structures;
  6. Monitoring structures are closely coordinated with those responsible for the implementation of activities and those for minimizing risks and receiving information based on the reporting deadlines provided in the Strategic Plan; Monitoring structures can be decentralized, i.e., organized within units (e.g., faculties), to monitor how different units are contributing to the realization of strategic goals. A regular reporting moment to the university Steering Councils is necessary and can be organized by the “secretariat” function.
  7. Each of those responsible for the implementation of activities and those for risk minimization cooperates closely with its units (offices, departments, faculties, etc.) to ensure the extent to which the implementation of the activities of the Action Plan has been achieved. underline the progress, difficulties and eventual risks to be addressed;
  8. Each person in charge of certain activities and those for risk minimization must report to the monitoring structures always according to the deadlines of the Strategic Plan. However, the responsible structures, in cases of certain difficulties, should raise issues beyond the deadlines that require immediate intervention;
  9. Each person in charge of certain activities should report whether the foreseen budget was sufficient to carry out the activities, how much the budget was spent, whether there were difficulties and why.
  10. Reporting structures should generate a monitoring report, which should first of all be short, well compressed, and with clear recommendations for decision-makers;
  11. Reporting structures should make comparisons of reporting periods to see how well the strategic plan is meeting its objectives;
  12. Decision-makers must act promptly following the reporting recommendations to ensure the smooth implementation of the strategic plan to fulfil the envisaged vision;
  13. This cycle that starts from those responsible for the implementation of activities, those for risk minimization, and passes through the reporting structures to the decision-makers, should be repeated continuously until the full implementation of the Strategic Plan.
  14. At the very end of all the periodic monitoring reports, the secretariat of the monitoring structures of the Strategic Plan compiles a general report that includes the progress achieved, the difficulties encountered, the lessons learned, and the recommendations for future projections.

If one wants to learn how far the objectives have been towards fulfilling the vision of the Strategic Plan, how much has been the impact of the strategic plan on improving the overall performance of the institution and why not the relevant sector, then an evaluation should be done in the Strategic Plan.

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## 6. Institutional monitoring structure

There are several modalities to set up monitoring structures to ensure an effective monitoring. No one modality is “the right one”. Examples could be:

- For each Strategic Objective, **a person** is assigned to continuously monitor the implementation of the Strategic Objective, including the monitoring of the difficulties and risks foreseen concerning its Strategic Objective. The Head of the Strategic Objective based on the Action Plan should coordinate the actions with those responsible for the implementation of the activities that belong to the respective Strategic Objective.
- For each Strategic Objective, **a team** is assigned to monitor the implementation of the Strategic Objective and to guide priorities. Team members can represent the different units. The team also monitors the continued relevance of actions to achieve the strategic goals, adapting the as needed. As a team, the roles and responsibilities can shift over time, depending on how priorities, evolve during the lifespan of the overall Strategic Plan is.
- Each unit (faculties, or support units such as facility management) establish a monitoring team to monitor contribution of that unit to achieving the strategic objectives. They present this to the Secretariat and programme manager to include in the consolidated monitoring report.

All those responsible for monitoring the Strategic Objectives should collect data according to the deadlines of the Action Plan, if necessary, on an ad hoc basis, and forward that data to the Secretariat and the programme manager (of the secretariat), which compiles consolidated reports. These reports should show the status of the activities for each objective, for example using colour coding (e.g., black: still to take up; orange: being addressed but not considered in this year’s annual plan; green being addressed and clearly defined in this year’s annual plan). Then the monitoring report should be discussed with the university Steering Council for review and approval<sup>1</sup>. The monitoring report feeds into the annual plans.

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<sup>1</sup> The Supervisory Board is tasked with supervising the board and the management of the University as a whole, ensuring compliance with the legal regulations and advising the Executive Board

## 6.1. Examples of monitoring

### Example 1. Monitoring table based on objectives, indicators, verification and risks

<i>Example of monitoring and reporting a Strategic Objective</i>			
Strategic Objective -Specific Objective	Indicators	Sources of Verification	Risks
<p><b>1.Strategic Objective:</b> Improving the general university infrastructure (January-December 2022)</p> <p><b>1.1. Specific Objectives:</b> Improving the legal infrastructure; <b>1.1.1. Activities:</b> drafting bylaws for quality, for scholarships, for registration, etc.</p> <p><b>1.2. Specific Objectives:</b> Improving the physical infrastructure; <b>1.2.1. Activities:</b> construction of lecture halls, libraries, laboratories</p> <p><b>1.3. Specific Objectives:</b> Improvement of digital infrastructure; <b>1.3.1. Activities:</b> installation of plagiarism software, e-library, e-services;</p>	<p>-approved bylaws;</p> <p>-finished objects;</p> <p>-completed databases and software;</p>	<p>Government Annual Report University Annual Report</p> <p>- bylaws on the university website;</p> <p>-technical acceptance reports;</p> <p>-reports of technical acceptance of databases and software;</p>	-COVID 19
<b>Reporting</b>			
<p><b>Monitoring reporting, including risks</b></p> <p>During the reporting period January-December 2022, in the framework of the Strategic Objective “Improvement of the general university infrastructure”, all activities foreseen in the Action Plan and the respective budget were completed. Implementing and monitoring structures have been adapted to the circumstances caused by the COVID-19 pandemic so there has been no delay in implementing the envisaged activities. Completed activities are: drafting bylaws on quality, scholarships, registration, construction of lecture halls, libraries, laboratories, installation of software for plagiarism, e-library, e-services. All foreseen indicators have been met and the annexes to the report are verifiable. All outputs extracted during this phase are in use thus contributing to the improvement of the overall work of the university. The outputs are in use by the university staff and are sustainable.</p>			

## Example 2. Monitoring table based on strategic objectives, specific objectives and activities

STRATEGIC GOAL 1: Shaping Society				UNIT X	ROLE OF UNIT
Goals 2030	What by 2023:	Interpretation/clarification*	How in shaping document	Status (0-4)	
Challenges as a guiding principle for education & research	At least 30% challenge-based signature, particularly in the field of sustainability.	At least 30% of our education, research, innovation and support has a challenge-based signature, particularly in the field of sustainability	[1a] Realigning all Master's programmes with vision; making them compelling. Discerning examples of how we envision our role in society, and incorporating the role of lifelong learning.	●	NO_____
			[1b] Launching new, distinctive master, showing UT's strengths in empowering society.	●	YES_____
	Challenge-based education of 33,000 regional residents with a distance to the job market.	Challenge-based education of 33,000 regional residents with a distance to the job market.	[2] Create an Innovation and Education Lab, including attracting new staff to coordinate interdisciplinary, challenged based activities across the university .	●	YES_____
			[3] Develop 5 challenge-based, LLL programs, specifically in the field of sustainability.	●	YES_____
A sustainable organization	Carbon footprint reduced with at least 15% (sustainable solutions on our campus)	We have successfully implemented sustainable solutions on our campus in the areas of food, water, waste, travel and energy use, thereby reducing our carbon footprint by at least 15%	[1] First step, increasing awareness by setting up a Green Hub Twente (also relates to Team-based working).	●	NO_____
			[2a] Reducing travelling by accustoming to digital conferencing.	●	NO_____
			[2b] No more use of air traffic for trips <800km	●	YES_____
			[3] Students and staff organise Campus Challenges, resulting in visible, sustainable and positive changes to the campus.	●	YES_____
	Team-based working (education, research & staff)	In at least two faculties, we have optimised educational and research structures to accommodate team-based working, which means that outcomes are based on team results rather than on individual results.	[4] Develop 6 tiny houses – as examples of future living and sustainable solutions co-created with society.	●	NO_____
			[5] Supporting two faculties in remodeling themselves as living labs for team-based working.	●	YES_____
	Refocus 20% of current support capacity on supporting new projects+C16:C18	At least 20% of our colleagues in support staff work in small, agile, strategic teams, supporting new forms of research and education in the faculties and institutes.	[6] Starting a project for prioritization in the organisation to reduce workload (= evaluating all ongoing projects, prioritise and possibly discontinue projects)	●	YES_____
[7] Invest in digital infrastructure to personalise our systems and to create a solid platform for automatisisation (first focusing on administrative processes).			●	YES_____	
●	Not started				
●	Started				
●	Well on the way (according to plan)				

Source: University of Twente Shaping 2030 Strategy

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## 7. How to evaluate a Strategic Plan?

To **evaluate a strategic document**, an Evaluation Plan should be developed, which would contain the following elements.

1. **Purpose of the evaluation** - Evaluation focuses on finding information that is useful for making decisions. To clarify the purpose of the evaluation we should start by identifying what we want to know in the short and long term. It is necessary to think specifically about the decisions that the institution is facing with the partners and when they should be taken. The main issues are:
  - o What should be learned from the evaluation?
  - o What decisions are expected to be made as a result of the evaluation? and
  - o When the decisions are to be taken?
  - o For whom is the evaluation? That is, the target audience: for example, an accrediting agency, an employer organization, prospective students etc.
2. **Who should conduct the evaluation** - an evaluation is often external but can also be done by an internal university body. It can include a mix of internal and external stakeholders; or be done by a consultancy. A stakeholder analysis (see also above) can help in defining whom to involve in the evaluation. Ultimately, evaluation should become part of regular institutional self-evaluation processes.
3. **Main evaluation questions** - In the evaluation process it is very important to know the main questions interested to answer regarding the implementation of the strategic plan. The number of questions that can be addressed depends largely on the time and resources available. So, it should be determined whether we are interested to know how much the quality of education has increased, how much this has been reflected in the needs of the labour market, how much cooperation with the community has increased, how much students are satisfied with the services of the institution, etc.
4. **Evaluation Criteria** – The evaluation of the Strategic Plan should be based on the following criteria:
  - **Relevance** - to what extent is the Strategic Plan in line with the priorities and policies of the target group, relevant sectors and national policies. Did the design of the strategic document respond to the situation, and the needs of the institution or the sector?
  - **Efficiency** - measuring outputs in qualitative and quantitative terms compared to the input given. This is an economic term that emphasizes that the Strategic Plan utilizes as few costly resources as possible to be able to achieve the desired results. This usually requires comparing approaches to achieve the same output, to see if the most efficient system possible has been utilized;
  - **Effectiveness** - Measuring the level of achievement of objectives from the Strategic Plan. Furthermore, it proves to what extent the objectives of the Strategic Plan have been met or how likely they are to be met, and what are the factors that may affect the fulfilment or non-fulfilment of the objectives;
  - **Impact** - positive changes that have occurred as a result of the implementation of the Strategic Plan, directly or indirectly, intentionally or unintentionally. This includes the impact and key effects resulting from activities based on social, economic, environmental, and other indicators. The evaluation should deal with the intended and unintended results and should include positive and negative changes in external factors;
  - **Sustainability** - evaluate whether the impact from various activities will continue after the Strategic Plan is implemented. Strategic Plans must be environmentally and financially sustainable. While evaluating a Strategic Plan, it should be taken into account to what extent the benefits from the implemented Strategic Plan will continue and what have been the main factors that have enabled the achievement or non-achievement of the sustainability of the Strategic Plan.

5. **Timelines and Work Plan** - Determining the deadlines and Work Plan to conduct the evaluation. The following points should be reflected here: What are the priorities of the evaluation efforts? At what stages should the evaluation be undertaken? When are the evaluation phases expected to be completed? Who is responsible for meeting each deadline? Who will monitor the evaluation process to see if corrections are needed during such an undertaking?
6. **Evaluation data collection** - Planning the evaluation as early as possible makes it easier to start. Here, in addition to the reports on the implementation of the strategic plan, external evaluations of the institution should be collected, then sectoral and national strategic documents, EU-Kosovo documents, organization of various interviews, etc;
7. **Data collection methods to answer the main evaluation questions** – It should be determined how the data will be collected? Will a mixture of qualitative and quantitative methods be used for evaluation, and will existing data already available on the website be used alongside them? Then, evaluation data can be collected through surveys, focus groups, key people across institutions/organizations and websites. When choosing the method to collect data, both pros and cons should be considered to make the most effective decision. For example, surveys have the potential to reach large groups but can be expensive and response rate is crucial for meaningful results; focus groups can go more in depth, but are harder to use for accountability, etc.,
8. **Data Analysis** - Data analysis methods depend on how they are collected. Quantitative data require typical statistical analysis, so the expertise and software needed to perform these analyses must be available. While qualitative data analysis is less well known to most people, there are systematic and rigorous ways to analyse interviews and focus groups. Qualitative content analysis of these interviews is used to identify themes, patterns, and variations between different types of respondents;
9. **Evaluation Report** - It is very important where and to whom the evaluators report. Therefore, the report should be clear, have understandable results for the audience intended to be targeted by the evaluation report;

Before drafting the evaluation report, “close the circle” by returning to the starting question about the purpose of the evaluation, and in particular consider: (a) Who will prepare the report with the evaluation findings? (b) Who are the audiences for the evaluation report? (c) Will different “management summaries” of the evaluation report for different audiences be necessary? (d) What should the evaluation report contain?

There is no standard format for the content of an evaluation report. However, some elements are key to the content of the evaluation report. Therefore, to compile the evaluation report with the findings, the following questions should be considered:

- Who should follow the evaluation results?
- Who should make decisions based on the evaluation results?
- Who would be interested in the findings from the audience?
- How can the findings of the report be used to promote the work of the institution?
- How much time will each audience want to spend seeing the findings of the report?
- What is the best way to communicate with the audiences?
- A long and detailed report?
- A summary report?
- An update with some PowerPoint slides and adequate discussion time?
- What kind of presentation would be most interesting for each audience?
- Graphs and graphs?
- Stories and examples? Or a combination?
- What are the lessons learned?
- Recommendations.

## 7.1. Example of evaluation

### Example 3. Evaluation table based on objectives, indicators, verification and risks

<i>Example of evaluating and reporting a Strategic Objective</i>			
Strategic Objective -Specific Objective	Indicators	Sources of Verification	Risks
<p><b>1.Strategic Objective:</b> Improving the general university infrastructure (January-December 2022)</p> <p><b>1.1. Specific Objectives:</b> Improving the legal infrastructure; <b>1.1.1. Activities:</b> drafting bylaws for quality, for scholarships, for registration, etc.</p> <p><b>1.2. Specific Objectives:</b> Improving the physical infrastructure; <b>1.2.1. Activities:</b> construction of lecture halls, libraries, laboratories</p> <p><b>1.3. Specific Objectives:</b> Improvement of digital infrastructure; <b>1.3.1. Activities:</b> installation of plagiarism software, e-library, e-services;</p>	<p>-approved bylaws;</p> <p>-finished objects;</p> <p>-completed databases and software;</p>	<p>Government Annual Report University Annual Report</p> <p>-bylaws on the university website;</p> <p>-technical acceptance reports;</p> <p>-reports of technical acceptance of databases and software;</p>	-COVID 19
<b>Reporting</b>			
<b>Evaluation reporting, including risks</b>			
<p>During the reporting period January-December 2022, the Strategic Objective “Improvement of the overall university infrastructure” has contributed to fulfilling the mission and vision of the Public University in improving the overall performance of the university both in terms of internal and external functioning. service delivery. This positive change in the work of the University has also contributed to the improvement of the general situation of higher education foreseen in the Education Strategy of MESTI and Kosovo projections in raising the quality of education and its gradual adaptation to the needs of the market. work in Kosovo.</p>			

## 8. Reporting

Every institution or organization is different just as their strategic plans are different, therefore every institution or organization has its unique reporting system. Monitoring and evaluation reports can be produced and distributed according to the deadlines set for strategic planning reporting.

The semi-annual monitoring reports should be as compressed as possible, as focused, as short as possible, focusing on the progress achieved, more specifically on the activities carried out, those in progress, difficulties, observations, and recommendations correctly addressed.

Semi-annual and annual monitoring reports should have data comparable to reporting periods. These reports should then be shared with a wider audience, including the institutions involved, the business community, donors, and other stakeholders.

In cases where the implementation of the strategic plan is completed, in general, both monitoring and evaluation reports should have the following content:

1. **Title of monitoring or evaluation report** - includes the name of the strategic plan, reporting period, and date; The type of report should also be specified e.g., semi-annual, annual or final;
2. **Table of contents** - the titles are organized chronologically as listed in the report;
3. **Abbreviations** - all of them should be included so that the audience has a clearer report;
4. **Methodology** - what methodology and what tools were used for data collection and analysis. The method why it was selected, data collection, deadlines, and timelines should be described. Have all the necessary resources been identified and any difficulties encountered with the methodology followed?;
5. **Purpose of the report** - here is a longer description of the purpose of the monitoring or evaluation report, the audience of the report, and how the reporting results are intended to be used;
6. **Monitoring and evaluation questions** - This should list the questions that the implementation of the strategic plan had to answer, e.g., Has the cooperation with the community improved, how much has the strategic plan responded to the needs of the market, etc.?
7. **Details of the strategic plan** - here is a detailed description of the strategic plan, including data on objectives, activities, and outputs. Mention is made of implementing partners, local context, resources, and finances used. Specific problems and opportunities have arisen, and the institution had managed to overcome them. Changes made in the strategic plan can also be mentioned here (e.g., changes in the design of the strategic plan, indicators, targets, etc.).
8. **Findings, results, and lessons learned** - What were the main findings and results? Have the results contributed to the change of the situation according to the objectives set out in the strategic plan? Have the activities been implemented within the foreseen deadlines and the respective budget? Did the management of the institution show commitment to the implementation of the strategic plan? What are the lessons learned?
9. **Conclusions and recommendations** - here is a general assessment based on the findings and results. Here it should be shown how sustainable the results and achievements of the strategic plan are. The recommendations provide the necessary guidance for the next strategic plan.
10. **Who was involved in monitoring or evaluation** - This includes all those who participated in compiling the report.



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## 9. Appendices

### 9.1. Examples of elements for monitoring reports

*Key phases in the planning and control are the Planning report, the internal monitoring report, and the public Annual report and an evaluation*

*The Annual report, for example at the University of Twente, provides an annual account of the policy pursued and the realization of its plans. It is directly related to the strategy. This report is often accompanied by “Facts and Figures” containing the most important topics from the previous year in combination with some key figures from the annual report.*

*Individual Units may be responsible for monitoring specific priority areas.*

*Below we present elements of a monitoring report extracted from three examples*

- 1) *Annual plan template (for units) – the annual plan is based on priority areas identified to realize a university’s strategy. Subsequent monitoring will look at the activities planned and cover the same areas.*
- 2) *Example: possible template for monitoring report*
- 3) *Example: Table of contents of the UT’s management Report, which reflects on the organizational and financial developments of the past 3 months. In this 3-monthly monitoring report, the current standing is compared to the budget and ambitions for 2022 and related to the expected results at year end.*
- 4) *Other examples: links to*
  - a. *the University of Twente’s annual reports*
  - b. *a monitoring report on a specific thematic area (equality), presented by the University of Cardiff (UK)*

## 1) UNIVERSITY XYZ: ANNUAL PLAN TEMPLATE FOR UNIVERSITY UNITS

### Template annual plan 2023

#### 1. Introduction

This template is meant as a guide for the units of the universities in how to structure their annual plan for next year. The Strategy is the framework for the upcoming years. The Strategy will guide any important decisions. Focus on those concrete initiatives being implemented and planned for the upcoming period.

#### 2. Summary

Maximum of one A4 sized page.

#### 3. (Unit) initiatives/projects contribution to the Strategy

Use the goal matrix (see example 2)

In this paragraph the unit presents concrete initiatives and projects for that year, as they relate to the Strategy. Each initiative should be described as to how it contributes to

- a) The overall goals
- b) The priorities set as part of the internal consultations

In particular, for each initiative or project the following information needs to be provided:

- The concrete initiative/project
- Status: The milestones within these initiatives
- What to observe/measure in reality (what will be the desired end state)
- Needed resources. If the initiative has several sequential sub-projects, specified for the first project and if possible, some indication for the follow up projects
- Risks and dependencies that might influence the timing of the results to be realized.

*The following table is guiding*

Project/Initiative xxx:				
This project/initiative contributes to:				
Links to the following priority:				
Crossover collaboration with:				
Milestones:				
o				
KPI's:				
o				
Risks:				
o				
Resources:				
o				

#### 4. Topic-specific elements

This is progress that needs to be reported to an external party (for example for accreditation purposes). Here, think of areas such as Quality Agreements; Sector plans on education and research; etc.

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## **5. Staff and recruitment**

Plans for the following year to strengthen the recruitment and well-being of staff.

## **6. Budget 2023**

In this paragraph the unit can specify and give a short explanation on their budget, financial result, investments, etc.

## 2) POSSIBLE TEMPLATE MONITORING REPORT

Prishtina, .... 2022

### Table of Content

#### Abbreviations

##### 1. Executive Summary (max. 1 page)

Under this section you describe in the affirmative way the main achievements during the reporting period, and any major difficulty (if any).

##### 2. Activities undertaken during the reporting period

###### 2.1. Strategic Objective and Specific Objectives

Here you describe all activities implemented under this Strategic Objective. The better you describe the implementation of activities, the better to understand the content of what has been already done. If data available, please make comparisons of the e.g., first annual monitoring reporting with the second one, and so on, use figures, data, statistics, etc. In principle all outputs delivered under this Strategic Objective should be attached as Annexes at the end of this report.

From then on you comment whether the relevant indicator (e.g., “legislation drafted and approved”) is already fulfilled. If the indicator is fulfilled, then you have to describe whether it is in use and what would be the contribution of it to the relevant field. If it is partially or not fulfilled, please explain the reasons.

At the end there should be mentioned difficulties encountered during the implementation of activities under the above-mentioned component and what was the impact of it.

Please do not limit yourself with the number of pages for this section. You can put as many pages as necessary. However, the more you meaningfully compress it, the better to understand the report.

Please continue with the same logic about the other Strategic Objectives.

##### 3. Risk Contingency Plan

The table below should be updated in every reporting period with the necessary mitigation measures in order to keep in the right track the implementation of Strategic Plan related activities towards achievement of Specific and Strategic Objectives.

Risk	Probability			Mitigation measure
	low	medium	high	

##### 4. Conclusions and recommendations

Under this section are to be highlighted the concluding remarks of the reporting period indicating whether the Strategic Plan is on the right track and what may hamper the overall implementation and orientation. Recommendations should be clear and well addressed.

E.g., the Office of International Relations should....

##### 5. Annexes:

You first put under this section the Overall Work Plan, then the outputs delivered as a confirmation for the activities implemented.

### 3) MANAGEMENT REPORT (REGULAR MONITORING)

Management summary .....	3
1. Shaping2030.....	5
2. Education .....	9
3. Research.....	14
4. Human Resources .....	19
5. Investments.....	22
6. Finance .....	25
Appendix 1: Results 2022 per Unit .....	31
Appendix 2: Overview capital expenditures .....	32
Appendix 3: Turnover and contribution margin .....	33
Appendix 4: Progress Real Estate Plan 2022.....	34
Appendix 5: Management summary per Unit.....	35
Faculties .....	35
Service departments .....	40

**Example summary table for management – each chapter should detail the data, including using charts and comparative analyses.**

UNIVERSITY INDICATOR	Ambition 2022	Forecast	Compared to budget 2022
Students – Bachelor influx			
Students – Master influx			
Students – Well-being			
PhD degrees			
PDENg degrees			
Staff – well-being			
Vacancies – growth staff			
Turnover – external funding			
Contribution margin			
Financial result 2022 (only regular)			
Financial result 2022 (including one-offs)			

**Source: University of Twente, the Netherlands**

### 4) OTHER EXAMPLE DOCUMENTS (LINKS)

Annual reports (in Dutch only) of the University of Twente can be found at: <https://www.utwente.nl/organisatie/feiten-en-cijfers/jaarverslag/>

*Note: annual reports are usually publicly available for all Dutch universities*

Cardiff University Strategic Equality Plan Annual Report (annual monitoring report): <https://www.cardiff.ac.uk/public-information/equality-and-diversity/strategic-equality-plan/annual-monitoring-report>

*Details the progress of the Strategic Equality Plan between the dates of 1 April 2020 and 31 March 2021.*

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## 9.2. Example questions for focus groups

The questionnaire intends to assess the change at the work of university as a result of the implementation of the Strategic Plan.

Questions are the following:

1. Did the Strategic Plan contribute to the learning outcomes and subject content?
2. Did the Strategic Plan contribute to further study or employment?
3. Do you find the study programmes intellectually stimulating?
4. Have you found the range of teaching and learning methods used on the study programmes to be appropriate?
5. Is there effective support and guidance for independent/self-directed study?
6. Are the programmes well organised and running smoothly?
7. Are the university services vis-a-vis students and the public improved?
8. What are the areas for improvement, e.g., legal infrastructure, digitalisation, etc.?
9. How much has advanced the cooperation with business community?
10. What are the challenges ahead?