

DEMOCRITUS UNIVERSITY OF THRACE
QUALITY ASSURANCE UNIT



IQAS PROCEDURE
D-3.2 PREPARATION OF THE ANNUAL GOAL SETTING



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1 PURPOSE

The procedure defines the manner in which the annual goal setting is formulated, approved and monitored.

2 IMPLEMENTATION STEPS

2.1 Institutional annual goal-setting formulation procedure.

RESPONSIBLE: Strategic Planning Unit (SPU), DUTH's Management

RECORDS:

E.3.2-0.1 Quality goal-setting form

Description:

SPU-DUTH communicates the approved annual strategic goals of the Institution to DUTH's academic and administrative units.

By May of the year preceding the implementation of the annual goal-setting:

The Schools, taking into account the Institution's strategic goals, prepare an annual School development plan proposal, and the administrative units draft an annual operational plan for the implementation of the Institution's strategic goals.

In this context, regarding the establishment of the quality goal-setting, QAU in collaboration with the academic and operational units in charge (table 1) and the respective Vice-Rectors, specify the indicators and goals by May and at a time set by DUTH's Management.

Table 1: Indicator and goal establishment responsibility

Vice-Rector	Academic or Operational Unit	Indicators and Goals Category	Critical Success Factors (indicatively)
Vice Rector for Academic Affairs, Student Affairs and Lifelong Learning	Department Chairs TLLC	Teaching work	<ul style="list-style-type: none"> • Learning process • Learning outcomes
Research and Innovation	ELKE PAKEK–DUTH	Research work	<ul style="list-style-type: none"> • Research performance • Funding • Innovation development • Research management

AUDITED DOCUMENT

Finance, Planning and Development	All units	Infrastructure – Services	<ul style="list-style-type: none"> • Infrastructure operability and safety • Restructuring of services
Research and Innovation & Finance, Planning and Development	All units	Funding and its allocation	<ul style="list-style-type: none"> • Absorption of funding • Improvement of the resources-to-student population ratio
Administrative Affairs	All units	Human Resources	<ul style="list-style-type: none"> • Staff education/training • Staff support

The QAU, based on the above, compiles the quality goal-setting in form E.3.2-01 and communicates it to SPU-DUTH.

By October:

SPU-DUTH collects the development plan proposals of the Institution's Schools and the operational plan proposals of the Institution's units and structures involved in the implementation of the Strategic Plan, evaluates them and aligns them with the Institution's approved strategic targets.

Taking into account the approved strategic goals and the aligned proposals of the Schools' development plans and the operational plans of the units and structures, it formulates an annual institutional goal-setting proposal. This proposal includes the annual objectives, the person responsible for implementation, the timeline for each goal, and the actions required for their achievement.

2.2 Institutional annual goal-setting approval procedure

BODIES INVOLVED: Governing Council, Rector, Senate, Deaneries, SPU

DECISION-MAKING AUTHORITY: Governing Council

RECORDS:

DESCRIPTION:

The approval of the Institutional annual goal-setting follows the same stages as described in the Strategic Plan approval procedure D3.1.

By November:

The Senate and the Deaneries express an opinion on the annual goal-setting proposal regarding matters pertaining to each School.

By December:

The Governing Council approves the Institutional annual goal-setting after taking into account the Rector's recommendation, SPU-DUTH's annual goal-setting proposal, the Senate's opinion and the Deaneries' opinion on matters pertaining to each School.

In concurrence with the Institution's annual goal-setting procedure, the Governing Council approves Schools' development plans and the operational plans of the Institution's units and structures.

In case of non-approval, the annual goal-setting is referred back to SPU-DUTH for correction and resubmission.

2.3 Procedure for monitoring the implementation of the Institution's annual goal-setting and Strategic Plan.

Responsible: Strategic Planning Unit

Monitoring of the implementation of the Strategic Plan is conducted through the Institution's annual goal-setting, in which the actions and means of implementation of the approved strategic goals are specified per academic and administrative unit of the Institution.

Steps:

1. Communication of the Institutional annual goal-setting, as approved by the Governing Council, to SPU-DUTH.
2. By December/January of the year of implementation of the annual goal-setting: SPU-DUTH updates and feeds its information system with the approved goals and data so as to enable monitoring of the progress of the Institution's annual goal-setting implementation.
3. By the end of June: SPU-DUTH conducts an interim review (6-month) of the implementation progress of the approved actions and goals of the Institution's annual goal-setting, updates the information system and communicates with academic and administrative units in the event that non-implementation of actions or non-achievement of goals is identified.
4. After the end of the calendar year (by the end of January), SPU-DUTH reviews the achievement of goals per academic and administrative unit of the Institution and, by the end of February, compiles an accomplishments report.

AUDITED DOCUMENT

5. In the event that non-achievement of the annual goal-setting is identified, SPU-DUTH compiles a proposal for the revision of the Strategic Plan.
6. Submission of the accomplishments report to the Governing Council.
7. Submission of a Strategic Plan revision proposal in the event that non-achievement of the annual goal-setting is identified.
8. Approval of the accomplishments report by the Governing Council.
9. Issuance of a decision by the Governing Council on the proposal for the amendment/revision of the Strategic Plan, following the Rector's recommendation.

3 SCHEDULE

The procedures for the formulation, approval and monitoring of the annual goal-setting are carried out annually.

4 RELATED DOCUMENTS

- Rector's Recommendation
- Senate's opinion on the annual goal-setting proposal
Deaneries' opinion on the annual goal-setting proposal regarding matters pertaining to each School

5 RECORDS

CODE	TITLE	DIGITAL RECORD	RETENTION PERIOD	FREQUENCY	INVOLVED BODIES	RESPONSIBLE FOR MAINTENANCE
E.3.2 - 0.1	Quality goal-setting form	✓	5 years	Annually	QAU Management	QAU
Output documents during the procedure of Institutional annual goal-setting formulation and approval						
	Institutional annual goal-setting proposal	✓	5 years	Annually	SPU Governing Council Senate Deaneries	SPU Governing Council

AUDITED DOCUMENT

	Institutional annual goal-setting	✓	indefinitely	Annually	G.C. Senate Deaneries SPU	SPU G.C.
	Annual goal-setting implementation accomplishments report	✓	indefinitely	Annually	SPU G.C. Senate Deaneries	SPU G.C.
Input documents for the procedure of Institutional annual goal-setting formulation and approval						
	Institutional Strategic Plan (approved)	✓	5 years	Every 4 years/ revision	SPU	SPU
	Senate's opinion on the annual goal-setting proposal	✓	5 years	Annually	SPU Senate G.C.	SPU Senate
	Deaneries' opinion on the annual goal-setting proposal regarding matters pertaining to each School	✓	5 years	Annually	SPU Deaneries G.C.	SPU Deaneries
	Schools' Development Plans	✓	5 years	Annually	SPU G.C. Deaneries	SPU Deaneries
	Operational plans of DUTH's units and structures critical for the implementation of the Strategic Plan			Annually	SPU G.C.	SPU G.C.

6 RESPONSIBILITIES

6.1 SPU is responsible for drafting and reviewing the present Procedure.

7 DEFINITIONS

There are no definitions regarding the present procedure.

8 WORK INSTRUCTIONS

9 FLOWCHART

