



TBILISI HUMANITARIAN TEACHING UNIVERSITY

## Management Effectiveness Monitoring Mechanisms and Evaluation System

Approved:	Resolution # and Date
	By the Resolution N9 of 25.04.2019 of the Academic Council of Tbilisi Humanitarian Teaching University LLC
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## TBILISI HUMANITARIAN TEACHING UNIVERSITY

### **Article 1. General Provisions**

1.1. The presented document establishes the vision and approaches of the Tbilisi Humanitarian University LLC (hereinafter - THU) for the management effectiveness monitoring mechanisms and evaluation system.

1.2. The management effectiveness monitoring mechanism is oriented towards the fulfillment of the tasks defined by the university's mission and strategic development plan, provides an opportunity to monitor the effectiveness of management policy and the sustainable development of the institution.

1.3. The effectiveness of university management, which is achieved through the university's implementation of strategic goals and objectives, effective management of employee performance, a high degree of satisfaction of students, staff (academic/invited/administrative/supportive) and other interested parties, and the effectiveness of the institution's financial and economic activities, is subject to constant assessment.

1.4. Based on the above objectives, the document concerns the assessment and monitoring of the effectiveness of the institution's management, therefore, by jointly using the mechanisms and procedures for monitoring the effectiveness of management, the university must ensure the measurement, assessment and improvement of the effectiveness of the institution's management, which serves the successful achievement of the university's mission and strategy. Monitoring and assessment of the effectiveness of the university's management should be carried out through the measurement of quality education, research and their costs, relevant processes and results.

1.5. THU is managed in accordance with the organizational structure of the university. THU strives to effectively use quality assurance mechanisms and best practices in the educational space in the management process.

### **Article 2. Levels and types of monitoring**

2.1. The following levels of monitoring of management effectiveness are established at THU:

a) Institutional level, which implies an assessment of the results achieved by the university, an assessment of the effectiveness/efficiency of the activities of the organizational structure and governing bodies of the university.

b) Level of university structures, which imply observation of the activities of a structural unit, an analysis of the results achieved by it.

c) Level of stakeholders, which imply monitoring at the individual level of the university, which implies an assessment of the satisfaction, activities and achievements of university staff and students.

2.2. Types of monitoring are:

a) Performance monitoring - this type of monitoring focuses on academic and research achievements;

b) Compliance monitoring - this type of monitoring focuses on determining the extent to which both the university's pre-established standards and norms, as well as external regulations, are being met and what is the role of university entities in this regard; c) Diagnostic monitoring - this type of monitoring focuses on the educational process. Its goal is to determine the quality of the teaching, learning, and research processes at the university and what is the role of the entities participating in these processes in relation to achieving results.

### **Article 3. General principles and methods of assessing management effectiveness**

3.1. Effectiveness assessment should be:

3.1.1. Relevant - the assessment should reflect what the university is trying to achieve - and not what is easy to measure.

3.1.2. Characteristic - the assessment of the effectiveness of university management should take into account the national standards in the educational sphere, the structure of the university and the accountability of structural units.

3.1.3. Comparative - the implementation of the tasks planned in the strategic development and action plan by year.

3.1.4. Clearly defined - with a clear and unambiguous definition so that the data is collected and the criteria are easy to understand, with a minimum of explanations. Documentation of the assessment process should be clearly presented.

3.1.5. Timely - Documentation of management process evaluations should be produced regularly enough to allow progress to be seen and quickly enough so that the data is still valuable for decision-making.

3.1.6. Reliable and verifiable - The evaluation should use accurate data for the relevant needs. Measurement should be systematic and responsive to changes. Time-bound - The time frame for the implementation of the activity should be clearly presented.

3.2. The following methods are used to assess management effectiveness:

3.2.1. Analysis of normative documentation;

3.2.2. Results and analysis of monitoring of the implementation of strategic development and action plans;

- 3.2.3. Analysis of annual reports and self-assessments of the university administration and structural units;
- 3.2.4. Surveys and interviews of university personnel;
- 3.2.5. Surveys and interviews of students and graduates;
- 3.2.6. Conducting a financial audit.

#### **Article 4. Main directions of monitoring the effectiveness of management**

- a) Monitoring the implementation of the University's strategic development plan and action plan;
- b) Assessing the effectiveness of internal quality assurance mechanisms;
- c) Assessing the performance of structural units and time management;
- d) Assessing student and staff satisfaction;
- e) Monitoring financial and business processes;
- f) Assessing research activities;
- g) Monitoring services.

#### **Article 5. General description of the mechanism for monitoring and evaluating management effectiveness**

5.1. The procedure for monitoring and evaluating the activities of the University is an effective tool for analyzing the results achieved by the University and its main structural units, which allows for periodic assessment of whether the University is achieving the set strategic goals and results.

5.2. The following mechanisms are used to monitor and evaluate the management effectiveness of THU:

- a) Annual monitoring and evaluation of management effectiveness;
- b) Comprehensive planned assessment of management effectiveness;
- c) Comprehensive unplanned assessment of management effectiveness.

5.3. Comprehensive planned assessment of management effectiveness is carried out once every 3 years and coincides with the completion period of the THU three-year action plan.

5.4. A complex unplanned assessment of management effectiveness can be initiated by:

- a) The meeting of partners

- b) The academic council
- c) The rector
- d) The head of the quality assurance service.

5.5. The decision to initiate a complex unplanned assessment of management effectiveness is made by the meeting of founders and/or the academic council.

5.6. For a complex planned/unplanned assessment of management effectiveness, a working (monitoring) group for management effectiveness assessment (hereinafter referred to as the working group/monitoring group) is created by order of the rector of the university.

5.7. In addition to university employees, outsiders may be invited to the working (monitoring) group in order to provide qualified assistance.

5.8. The rector of the university determines the head of the group, who makes a decision on the distribution of functions among the group members and the deadlines for the work to be performed. The Rector of the University is authorized to personally lead the working (monitoring) group.

5.9. The working (monitoring) group includes:

- a) Vice-Rector;
- b) Head of the Quality Assurance Service;
- b) Academic staff representing the faculty (one person nominated by each faculty);
- c) Students (one student from each faculty nominated by the faculty).

## **Article 6. Monitoring and Evaluation of the Implementation of the Strategic Development Plan and the Action Plan**

6.1. The Strategic Development Plan is a document developed with the participation of the university community, which provides the main guidelines for the development of the institution and the ways to achieve them. The Action Plan is a three-year document, which will be developed with the involvement of all structural units of the university and stakeholders, and will be discussed by all structural units. The Action Plan determines the activities planned for specific deadlines and targets, taking into account the strategic development plan and the current needs of the university.

6.2. The implementation monitoring stage involves controlling the issues envisaged by the university's strategic plan and the relevant action plan through predetermined indicators. This monitoring is carried out once a year.

6.3. The conclusion developed by the group regarding the implementation of the strategic plan/action plan is submitted for consideration to the Academic Council, which, if necessary, takes appropriate action, with or without the agreement of the partners' meeting;

6.4. Based on the assessment of the monitoring results, the following decisions are made:

- a) Determining the need for changes in the strategic development plan and/or action plan in accordance with the monitoring results;
- b) Implementing changes in the strategic/action plan taking into account the monitoring results;
- c) Implementing incentive measures;
- d) Implementing disciplinary measures.

6.5. The annual monitoring report of the THU Action Plan reflects the results achieved by implementing the tasks defined by the action plan and the facts of achieving the target indicators, which assesses the implementation of the previous year's action plan, the quality of implementation and results. Evaluation indicators can be both quantitative and qualitative. It should be easy to assess, clearly reflect the intended result.

6.6. During the monitoring of the implementation of the university's strategic/action plan, it is specifically assessed whether the structural unit has fulfilled the obligations imposed on it, whether it has used the resources that were planned to fulfill the task. At the end of each year, each structural unit, as well as other responsible structures/persons determined by the action plan, submits a report on the work they have done and the resources used.

## **Article 7. Evaluation of the effectiveness of the internal quality assurance mechanism**

7.1. Evaluating the effectiveness of the internal quality assurance mechanism involves assessing how effective the mechanisms operating at the university are and how they serve to introduce a culture of excellence.

7.2. The effectiveness of quality assurance mechanisms is evaluated at least once a year, after the end of the academic year.

7.3. The following may be used as evaluation mechanisms (types and tools):

- a) External evaluation results - evaluations of experts from the National Center for Education Quality Development in accordance with the authorization/accreditation standards.
- b) Formative evaluations of invited experts (local/international);
- c) Evaluation of the effectiveness of quality assurance mechanisms by stakeholders through a special survey.

7.4. The Academic Council reviews the results of the evaluation of the effectiveness of the quality assurance mechanism and makes decisions on measures to be taken to develop the quality assurance mechanism.

## **Article 8. Evaluation of own activities and time management by structural units**

8.1. Management effectiveness is assessed by the structural unit by fulfilling the tasks defined by the University's action plan, as well as the annual action plan of its own service, and within the framework of relevant performance indicators. The implementation of the University's internal regulations, rules and procedures and budget by structural units and faculties is subject to monitoring. In addition, it is assessed how effectively the time and volume of work planned by structural units at the beginning of the reporting period are distributed.

8.2. Monitoring the effectiveness of management of structural units is based on the principle of reporting. After the end of the reporting period, the heads of all structural units submit an annual report to the rector, after which the effectiveness is assessed.

8.3. For the purposes of monitoring the effectiveness of management at the university, in the context of the performance of the functions assigned to the structural units, it is important to monitor the work performed and progress of each employee at the individual level. The heads of structural units are focused on ensuring that the employees under their supervision achieve results, observing individual and team dynamics that affect the work environment. The head of the service analyzes the employee's achievements and the standards that have been set for him. When analyzing the work performed, it is taken into account what new things the employee has learned and how his knowledge and skills can be effectively used in the position occupied by the employee, as well as where his rotation/promotion can be made in the future.

8.4. The results of the management assessment of the performance of employees are reflected in the university's "Management Effectiveness Assessment Report", the review and response of which is provided by the university's rector and academic council.

## **Article 9. Student and Staff Satisfaction Assessment**

9.1. The University is focused on meeting the needs and expectations of students and staff. The purpose of the student and staff satisfaction survey is to identify challenges in the internal university environment. The implementation of the satisfaction survey procedure and analysis of the results are provided by the University's Quality Assurance Service. Analysis of the survey results will help the University ensure the implementation of effective management processes, which in turn will have a positive impact on the institutional development of the University;

9.2. The results of the staff assessment are reviewed and evaluated by the Quality Assurance Service in cooperation with the Human Resources Management Service.

## **Article 10. Monitoring of financial and business processes**

10.1. The University is assessed in terms of the purposefulness, adequacy and compliance of financial resources. For the purposes of assessing the financial indicator, the expenses incurred and the income received by the University are considered. Unforeseen expenses of the University during the current year are identified and possible risks are determined, which should be taken into account in the budget of the next year. The analysis of the financial/economic efficiency of the University helps the institution to implement a sustainable financial policy.

10.2. The University's financial and business processes are constantly monitored; the relevant risks are identified and analyzed by the University's Finance Service, which is directly accountable to the University Rector.

10.3. The evaluation of the University's financial and business processes can be carried out periodically through internal or external audits.

## **Article 11. Evaluation of Research Activities**

11.1. The scientific and research activities of the University are based on the legislation of Georgia, the mission, vision and values of the University. Based on academic freedom, the University aims to promote the development of the scientific and creative potential of academic staff - mainly the implementation of applied and fundamental research, which will be oriented towards the expansion of existing knowledge and the creation of new ones, ensuring the creation and sharing of new knowledge in society, national and international scientific circles.

11.2. The evaluation of the scientific/research activities of the staff is carried out on the basis of an assessment of the quality of scientific activities and a survey on the productivity of the staff, in accordance with the Quality Assurance Policy Document, by the Quality Assurance Service in coordination with the Research and Development Center.

## **Article 11. Monitoring of Services**

11.1. The monitoring and annual evaluation of the services offered by the University is carried out by the Quality Assurance Service, in active coordination and cooperation with relevant persons, based on the Quality Assurance Policy Document.

11.2. At the end of the calendar year, an analysis of the achievement of target indicators is carried out, which is an integral part of monitoring.

## **Article 12. Management effectiveness assessment tools, process and use of results**

12.1. The monitoring cycle includes the following stages:

- a) Monitoring and evaluation planning
- b) Monitoring and evaluation
- c) Analysis of monitoring and evaluation results and recommendations
- d) Implementation and development of a management effectiveness monitoring and evaluation system

12.2. The university management effectiveness assessment system includes the stages of planning, implementation, reporting and feedback:

- a) The assessment planning stage involves determining the issues to be assessed and the necessary resources, as well as developing appropriate questionnaires and reports.
- b) The assessment implementation stage involves collecting information on the issues identified at the planning stage, processing and preparing the collected information for analysis, analyzing the processed information and developing conclusions.
- c) The assessment reporting stage involves a systematic reflection of the results and recommendations obtained during the assessment process and in the report.
- d) The evaluation feedback stage involves presenting the report (results, conclusions) developed as a result of the evaluation to interested and competent persons, discussing relevant issues with them in order to correct problems and further improve processes.

12.3. The evaluation of management effectiveness at the university is carried out using a four-level system:

- a) Fully relevant - the set goals and objectives are fully achieved.
- b) Largely relevant - the set goals and objectives are largely achieved, there are minor shortcomings in management effectiveness that require correction.
- c) Partially relevant - the set goals and objectives are partially achieved, there are shortcomings in management effectiveness that require timely correction through active intervention.
- d) Not relevant - the set goals and objectives are not achieved, there are significant shortcomings in management effectiveness that require implementation of substantial and fundamental changes.

12.4. Based on the results of the assessment, in terms of its consideration in management efficiency, such measures as organizational changes, personnel promotion, the use of incentive measures towards them and the proposal of measures oriented towards increasing qualifications may be used.

12.5. After the monitoring process is completed, a “Management Efficiency Assessment Report” is prepared during the assessment process, which includes an analysis of the monitoring results, their discussion, and identification of identified shortcomings, strengths and opportunities for improvement. The assessment results must necessarily include recommendations, which in turn must describe the shortcomings, the objectives of the recommendation and the appropriate changes to be implemented. The assessment results must also include an indication of those structural units of the university whose competence falls within the scope of taking into account individual recommendations and/or taking care of their improvement and implementation.

### **Article 13. Final Provisions**

13.1. Coordination of the management effectiveness monitoring and evaluation system at the University and development of recommendations for its proper functioning are the competence of the working (monitoring) group.

13.2. The Rector of the University is responsible for the use of the results of the management effectiveness monitoring process, which makes decisions on appropriate interventions based on the assessment of the composition and determination of appropriate recommendations and proposals by the Academic Council.

13.3. The results of the management effectiveness monitoring are also presented to the Meeting of Partners/Founders for information.