Improving *Governance* Practices at Palestinian Higher Education Institutions

Good Governance Guidelines Handbook

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Abstract	

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Introduction

Governance models

University governance is a contested subject with many competing definitions and interpretations. In this chapter, a literature review on the topic is presented to lay a foundation for the UniGov practices and recommendations. For further reading, please refer to "Good governance in higher education" (Shattock, 2012), "Governing Universities Globally" (King, 2009), and "Universities through the looking glass" (Jaramillo, 2012).

About university governance

There's a long-standing interest in university governance. In 1213, the Chancellor issued a Magna Charter of the University of Paris, which was confirmed by the Pope in 1231. Nearly 800 years later university governance remains a controversial and evolving subject. Definitions of governance vary according to context, but **university governance is defined as the constitutional forms and processes through which universities govern their affairs**.

Teaching and research are the core business of universities; therefore, we have to believe that the organs of governance which coordinate, incentivize and sometimes direct these activities carry equal weight in the governance of the institution as a whole. This might lead us to see university governance, not from the top on the basis of who governs who, but as part of the **organizational law of the institution**, a concept defined by Kwickers as:

The administrative, economical and juridical aspects of:

– how an organisation – public or private – is internally structured and governed;

– how it develops strategy and policy and translates these into action;

– how it is legally embedded in its working environment and/or its operational systems;

– how it cooperates with external parties.

Several well-established and well-analysed historical models of university governance are presented next to lay a foundation for current models, described in the next chapters.

Foundational models: The Oxbridge model

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The Oxbridge model was derived from the mediaeval concept of a guild of masters, recognised as an academic corporation by the Pope. As early as in the thirteenth century, the masters were represented by a rector in dealing with external authorities. This structure was formed in Oxford and thence exported to Cambridge. Oxford has made significant steps to streamline its structures and has introduced some lay members into its governing body. Cambridge, on the other hand, has rejected a proposal to appoint lay members, including a lay member to chair its council, and has retained the Regent House, which comprises the whole academic staff of the University, as its supreme governing body.

The Scottish model

The Scottish model applies to Scottish universities founded in the fifteenth and sixteenth centuries. A rector, nominated by officers of the 'nations' into which the universities were divided, had considerable judicial and disciplinary powers but was subject to a chancellor appointed by the relevant bishop, while the teaching masters were organized into faculties led by deans.

In 1858, the Universities Act established a set of commissioners who remodelled all the Scottish universities' governance, introducing a court on which there was to be a majority of laymen and transferring to this body all those powers which were not specifically the concern of the faculties. This represented a radical shift of power away from the academic community. The rector became an elected position by the students, while each university was to be headed by a principal. These provisions have remained in some places to this day.

The civic university models

The constitution of the civic universities set the pattern for what was to become the dominant governance model both for UK and for Commonwealth universities for most of the century. Even in the 1900 charter and statutes Birmingham's council had the power '*to review and control or disallow any act of the Senate and give directions to be obeyed by the Senate*'. While in the nineteenth century the internal powers of court and council were virtually unqualified, the twentieth century saw their increasing qualification.

A typical set of charter and statutes from this period, which may be taken as a modernized version of the original civic university model, provided for a carefully weighted distribution of powers. At the apex was a court; this was shorn of the overall governing powers which had been provided in the original civic universities in recognition of their role in bringing the universities into being. The 1960s' court retained only the power to appoint a chancellor and to receive an annual report on the work of the university. The second tier was provided by a council, made up broadly of two-thirds lay and one-third academic members; student membership was generally not conceded until the early 1970s. The council's powers were typically defined in the charter as follows:

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There shall be a Council of the University … which subject to the provisions of this Charter and of the Statutes, shall be the executive governing body of the University and shall have custody and use of the Common Seal and shall be responsible for the management and administration of the revenue and property of the University and, subject to the powers of the Senate … shall have general control over the conduct of the affairs of the University and shall have all such other powers and duties as may be conferred upon it by the Statutes.

(University of Warwick)

A senate provided a third tier:

There shall be a Senate of the University . . . which shall, subject to the powers of the Council . . ., be responsible for the academic work of the University, both in teaching and in research, and for the regulation and superintendence of the education and discipline of the students of the University.

(University of Warwick)

Modern governance models: HEC

Higher Education Corporations (HECs) were first created by legislation in 1988 when polytechnics and other higher education institutions, were transferred from local authority control to be independent corporations. The HEC model was significantly different to the civic university model (and of course to the Oxbridge and ancient Scottish university models) in several important ways.

First, the corporate body was no longer co-terminus with the institution itself but was vested in the governing body alone. Thus, whereas in the civic university model the corporate body comprised the whole university and its members included inter alia the staff, students and graduates of the university on behalf of whom it was governed by courts, councils and senates, each with prescribed memberships and powers, in the HECs the governing body itself was the corporation.

Second, bicameralism as a legal concept was virtually dispensed with and a unicameral structure adopted. The polytechnics had weak academic boards. Governing bodies were given the responsibility for the determination of the educational character and mission of their institutions and academic boards were restricted to advising their governing bodies on academic developments and resource needs, not direct, but through the vice-chancellor, or advising on matters which had been referred to them by governing bodies. Governing bodies were restricted to 24 members with only two, or in some institutions, three academic members.

Thus, a typical post–1992 university governing body was responsible inter alia for:

(a) the determination of the educational character and mission of the University and the overseeing of its activities;

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(b) the effective and efficient use of resources, the solvency of the University and the safeguarding of its assets;

(c) the consideration and, if thought fit, approval of the annual estimates of income and expenditure prepared by the Rector (Vice-Chancellor).

(University of Westminster)

And for all matters to do with the appointment and employment conditions of staff. The academic board, on the other hand, while responsible for academic activities including 'academic standards' was, subject to the 'overall responsibilities' of the governing body and the responsibilities of the vice-chancellor for these matters, and its formal involvement in policy was restricted as follows:

(a) consideration of the development of the activities of the University and the resources needed to support them, and the provision of advice thereon to the Rector and to the Court of Governors;

(b) the provision of advice in such other matters as the Court of Governors or the Rector may refer to the Academic Council.

(University of Westminster)

New Public Management (NPM)

The new public management is an example of a governance model for higher education that is globally institutionalized. Although starting off as a form of management expertise and good practice promulgated particularly by private consultants, the NPM has evolved into a form of regulatory good practice for higher education (and other) public service systems. The techniques of the NPM reflect the processes of systemic and institutional reform generally being conducted throughout the world in response to globalization.

Broadly, the global template for university governance and management described as the NPM refers to the greater application of private sector instruments across a range of public services (not just higher education). This occurs in a context of reduced governmental scope and size, reshaped bureaucracies that generally demarcate operational from strategic functions, with the former often relocated to quasi-independent and independently managed agencies, the introduction of competition not only through internal markets but through the separation of the functions of procurement from operational implementation (with commissioning increasingly from the non-state sector and thorough public–private partnerships), and the more powerful use of performance management and evaluation techniques. However, we need to understand better the reasons and processes for the worldwide diffusion of such ideas and the increasing convergence of regulatory practices and institutional frameworks, not least as they influence higher education systems.

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System Diversity

As well as the NPM, systemic diversity in higher education is another global template, in large part reflecting the emulation around the globe of the world leader in university education – the USA – with its huge variety of providers. As we noted in the previous chapter, ministers, knowledge brokers, and both public and private policy researchers in bodies such as the G8, the OECD, the EU and other similar transnational organizations continually emphasize the importance for higher education systems of distinctive institutional missions catering for a variety of educational and social needs. However, despite the apparent clarity of such world views there is often ambiguity in national policymaking as to whether the objective of increased institutional diversity is predominantly one for the public part of the higher education system only or for the higher education system as a whole. If it is the latter, then regulatory provisions that enable the expansion of private – for-profit and not-for-profit – postsecondary provision as a challenge and competition for the public sector institutions would appear to be the appropriate policy instrument.

Private higher education has expanded around the globe and rapidly in recent years. For many of these reasons, bodies such as the World Bank and the OECD have welcomed the growth of private, particularly for-profit sectors of higher education across and within territorial borders, as both adding to system diversity in many countries and also generating increased competition, innovation and effectiveness. Such private provision helps governments to meet rising demand and a sense of entitlement for higher education from their populations by taking pressure off the public purse. High levels of funding support for higher education are usually beyond the means of many fiscally hard-pressed states, which are generally coping with inadequate taxation streams and insufficient expenditure capability, and privately funded providers from abroad are often welcomed as helping to cope with such issues and in helping to meet rising demand for higher education.

Universities and economic competitiveness

In recent years universities have come to be regarded as critical agents in the economic and social life of most advanced and developing societies. Following the consideration above of the worldwide notions of the new public management and systemic diversity, we might regard the strategic deployment of universities in pursuit of national economic competitive strategies as a third global template. The 'knowledge economy' is regarded by policymakers and others virtually everywhere as at the heart of a country's economic performance and as containing those parts of the economy that are the most dynamic, innovative and globally integrated. These sectors often employ the largest numbers with higher education degrees, and, in the global economy, knowledge has become the primary factor of production. Such assumptions clearly enhance the national importance of universities. Tertiary education is regarded by transnational bodies, such as the World Bank, as not only inculcating the broader powers of the mind that are necessary for all occupations in a rapidly integrating world economy, where high value is associated with

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brainpower and analytical skills, but also offering more occupationally specific training across many different fields. Moreover, the contemporary universalizing of the concept of lifelong learning reflects the increasing role of higher education institutions in providing learning at virtually all stages of the adult life-course to cope with rapid changes in skills and practices. In its training, research and informational roles, quite high levels of tertiary education are viewed by the World Bank and other international organizations as vital if countries are to adapt to the extensive changes associated with new communication technologies and rising computer power, and to respond to the challenges of innovation that the rapid compression of product cycles and the growth of the service industries in the global economy throw up. Such provision is especially important in an age of extensive educational and social mobility across borders. The advanced economies increasingly compete fiercely to attract highly skilled migrations of labour, in part to counteract the ageing and insufficient demographic replacement of their domestic skilled workers. Inadequate investments in higher education tend to hasten human capital flight or 'brain drain' from the less advanced societies, and further add to their exclusion from the dynamics of the world economy.

Magna carta

The Magna Charta Universitatum is a document that was signed by 388 rectors and heads of universities from all over Europe and beyond on 18 September 1988, the 900th anniversary of the University of Bologna. It contains the fundamental principles of academic freedom and institutional autonomy as a guideline for **good governance and self-understanding** of universities in the future. With this document the undersigned Rectors, on behalf of their Universities, undertook to do everything in their power to encourage each State, as well as supranational organisations concerned, to mould the policy sedulously on this Magna Charta, which expresses the universities' unanimous desire freely determined and declared. With this action, massive restructuring of European universities – the so-called Bologna process - started, which then took over two decades.

The specifics of Palestinian universities

A comprehensive report on university governance is given in "Universities through the looking glass" (Jaramillo, 2012). In order to highlight the importance of UniGov, a summary of the report is given in this chapter.

The report uses five dimensions that together paint a complete picture of governance: (1) Overall Context, Mission, and Goals; (2) Management Orientation; (3) Autonomy; (4) Accountability; and (5) Participation. Once the five dimensions of university governance were defined a set of indicators for each dimension was identified, and a detailed questionnaire developed from which governance indicators could be scored. A weighting system aggregated those indicators and translated the questionnaire to a scoring instrument to record the results by institution. A spider chart was used to provide a visual representation of each university's position on each of the five dimensions. The score on

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a dimension was interpreted as an indication of the university's situation vis-à-vis one of the global trends in governance practices. Most of the questions required "yes" or "no" answers to facilitate the scoring. Each dimension was scored on a scale of 1 to 5.

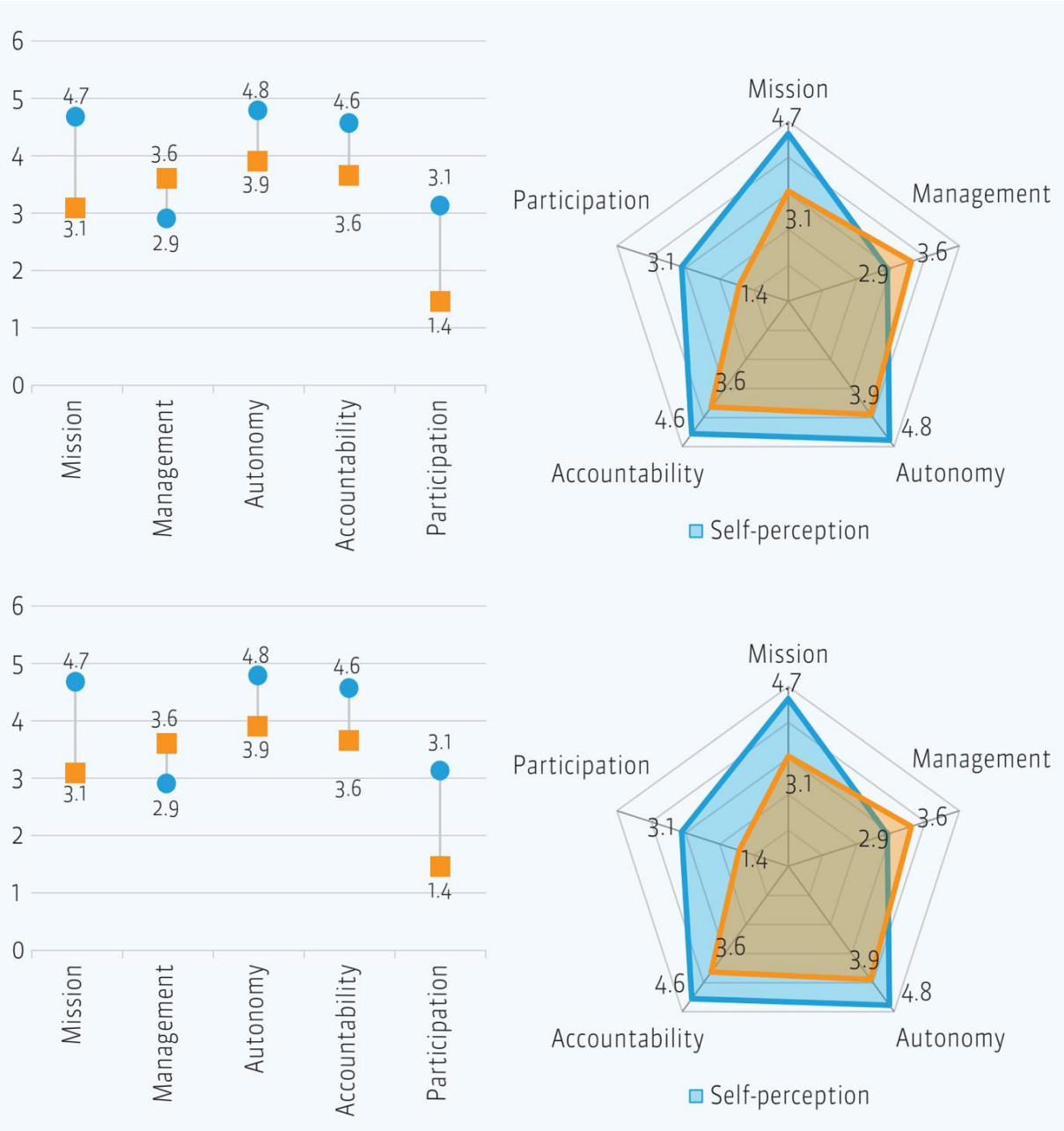

Figure: Average self-perception and questionnaire scores for Palestinian universities [The World Bank].

It can be seen that the self-perception score was higher in all dimensions except Management Orientation. Overall, universities perceived that they were more autonomous, defined clearer mission statements, and had higher levels of participation of stakeholders than they actually did. On the other hand, they had the perception that

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their management did not follow market-oriented practices. This was clarified at a workshop: respondents understood the question of institutional alignment with market-oriented practices to mean alignment with labour market needs (the degree to which programs produce employable graduates), whereas the question was meant to measure the extent to which the institution followed modern management principles internally. The way the self-perception question was posed led to different interpretations, and therefore the results of the self-perception were low in all countries.

Palestinian university leaders seemed to have a high level of autonomy to manage their institutions. They were mainly accountable to governing boards, and the state played no role in defining the university mission or goals. These are important elements in the definition of university autonomy. Universities in general seemed to have good mechanisms for accountability. There were important differences between public and private institutions, some of which did not follow the regional or international trends given that in Palestine, public universities are non-governmental.

One other aspect that stood out was that the state had a low profile in university management compared to other countries in the region. In this regard, Palestinian universities gave consistently positive responses to the issue of quality assurance (QA). All universities had an internal QA system, and there seemed to be a mixed perception about whether the government QA system is operational. Although all universities stated that there is an accreditation system in place, only 50 percent of institutions stated that there is a QA function carried by the government or an independent agency. Given that this is a key role that the state can promote, in particular when private provision is encouraged and regulations and standards are needed, it is important to follow up on the role the QA agency is playing and how is it serving the interests of Palestinian universities and students. Several best practice examples emerged from the benchmarking on Palestinian universities. Regarding accountability and evaluation of academic staff, standard procedures were followed by all institutions. More information on these reports and how they are prepared should be made available to others.

Given that the Palestinian Quality Assurance System seems to be following international best practices, the QA agency should also adhere to international standards. It is easier to build trust between agencies when there are some common standards to assess the authenticity and integrity of an accreditation agency. The U.S. Department of Education has benchmarks to guide its recognition processes of the numerous national, regional, and programmatic accrediting agencies. The following principles, drawn from those benchmarks and from good administrative practice, could be the basis of a QA framework. That is, to be successful, an accreditation agency must adopt the following core operating principles:

- The agency should be singular in purpose; i.e., involved only in QA and not in the design or delivery of educational programs;
- The agency should have sufficient intellectual and fiscal capacity; i.e., be solvent and appropriately staffed;

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- The agency should be separate and independent, not subject to direction or control in accreditation decisions by state funding agencies;
- The agency should be not-for-profit;
- The agency should be accepted by peer agencies, the academic community, employers, and relevant professionals;
- The agency should encourage public participation and transparency in governance;
- The agency should maintain accurate and open records of accreditation decisions; and
- The agency should be experienced and recognized for its work in the region, discipline, or programs of study.

Managing governance practices

Governance is an ongoing process. To ensure effective performance and be responsive to social and economic changes in its environment, the university must continuously improve its activities, including governance. The continuous improvement process can be represented by Deming cycle, a management method for continuous adaptation and improvement. The method uses a simplified view of a process as a cycle or spiral consisting of a sequence of four steps: Plan, Do, Check, Act (PDCA). The method stems engineering field but has found use as more general tool for continuous improvement of business and enterprise processes. The method is presented in Figure 1.

The (PLAN) represents a preparation phase in which the current state is analysed, and directions of change are identified. Understanding current state, also called "**as-is**" state, is important since it represents a starting point of change management. To develop an improvempent plan next to the insight into the current state a formulation of desired state, also called "**to-be**" state, is a prerequisite. The desired state represents the state we want to achieve in the future. Perhaps we want to improve on some current deficiencies, or we set higher standards we want to achieve. It is often useful to describe the desired state in terms of set goals.

One of the specific techniques for examining the organisation and the competitive environment is commonly called Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis. Strengths are internal traits of the organisation that refer to the best capabilities of the employees, the areas in which advantages over competitors exist, or the areas in which resources are the most concentrated. Weaknesses include areas in which the organisation is deficient and either want to improve its capabilities or avoid actions which would require these abilities. With a similar intention as SWOT analysis in mind, a special diagnostic tool adapted to HEI governance was developed within the

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UniGov project. It analyses HEI in the context of different management techniques, organization, mission, aspirations, etc.

Followed by gap analysis the results of a diagnostic tool and to-be state are used to identify areas where actions should be undertaken. A root cause and similar techniques can be used in order to address weaknesses and to develop activities that will result in improvements. With such insights, HEI can develop a long-term strategic plan, i.e. action plan and roadmap that is sustainable over time yet flexible enough to adapt to internal and external challenges and trends. Consensus of all stakeholders in the development of a long-term strategy is crucial for motivation and success of activities.

If the strategic plan addresses the what and why of activities, the implementation plan addresses the who, where, when, and how. Implementation is the process that turns strategies and plans into actions in order to achieve the desired to-be state. However, implementation can fail because of inappropriate strategy or poor execution. Some common reasons how or why execution falls are over-estimation of resources and abilities, under-estimation of time, personnel, or financial requirements, failure to coordinate, ineffective attempts to gain the support of others or resistance, failure to follow the plan, loss of senior management focus and continued sponsorship, inability to predict reactions from competitors, over-estimation of resource competence, poor communications, failure to manage change, lack of focus etc.

It is important to show the completion and success of implementation. One of the ways the organisation can show success is through measurement (CHECK). HEI can develop Key Performance Indicators (KPI) that evaluates the success of activities (such as projects, programs and other initiatives) in which it engages. KPI should be analysed and evaluated. If the implementation deviates from the set goals, measures are needed (ACT) both in plans and in the implementation itself.

It is recommended that complete process of governance improvement is guided by an external consultant specialized for strategic planning, which is unburden by the internal problems of the HEI, easier perceives the whole picture and guides complete process. Further text additionally describes key activities of the PDCA cycle as demonstrated in Figure 1.

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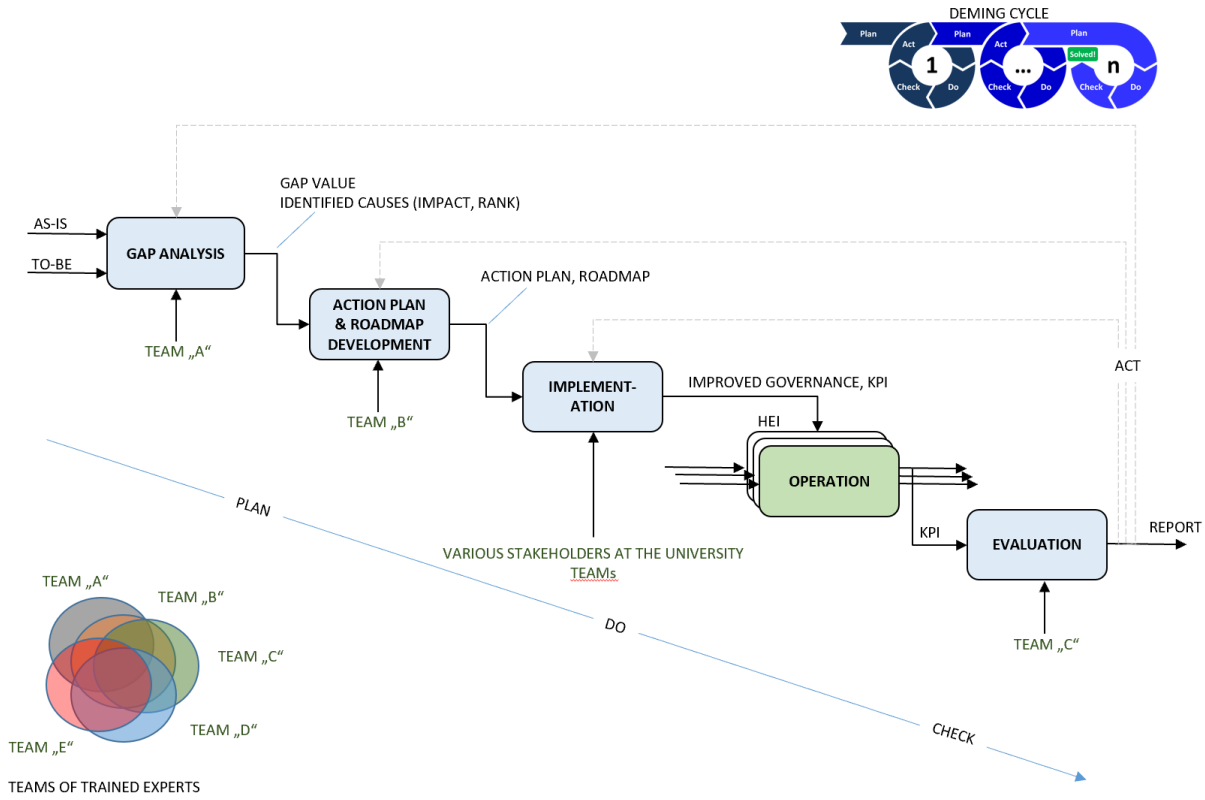

Figure 1: Governance improvement roadmap

Gap analysis

A gap analysis is an examination of the differences between existing and desired HEI governance. Figure 2 shows the course of execution of a gap analysis. At the beginning the existing (as-is) state and the desired (to-be) state should be determined.

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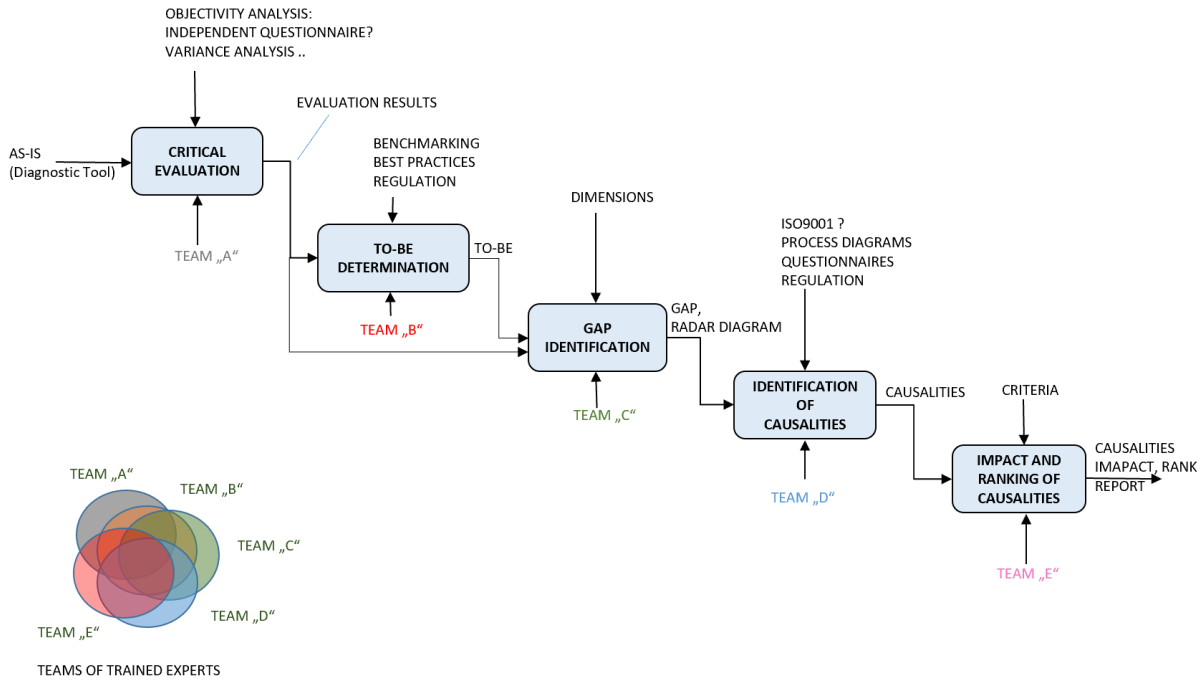

Figure 2: Gap analysis process

As-Is

The existing HEI governance is evaluated through the diagnostic tool developed in the UniGov project. The diagnostic tool includes strategic activities of each HEI (TEACHING, RESEARCH and THIRD MISSION) and different dimensions (AUTONOMY, ACCOUNTABILITY, MANAGEMENT TECHNIQUES and PARTICIPATION) and subdimensions characterising the issue of governance. There are various groups and individuals, i.e. stakeholders, that can affect or are affected by governance and other activities of a university. Within the UniGov project groups of relevant university stakeholders were identified to be included in the diagnostic tool. The diagnostic tool enables investigation of the issue of governance and identification of the preliminary training needs at the level of dimensions and subdimensions. It is important that the diagnostic tool is as objective as possible.

To-be

The “to-be” state can be derived employing benchmarking, best practices, regulations, recognized opportunities and/or other sources of inspiration to form a vision of the HEI in the future.

Benchmarking can address three areas of activities: Process benchmarking is all about better understanding of processes, comparing performance against internal and external

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benchmarks, and finding ways to optimise and improve your processes. The idea is that, by understanding how top HEI complete a process, some HEI find ways to make own processes more efficient, faster and more effective. Strategic benchmarking compares strategies, business approaches and business models in order to strengthen own strategic planning and determine own strategic priorities. Performance benchmarking involves collecting information on how well HEI is doing in terms of outcomes and comparing these outcomes internally or externally. As benchmarking address different areas of activities, one key goal is always in mind: to identify gaps in performance and uncover opportunities to improve, whether that means making processes more efficient, reducing costs, increasing profits, boosting customer satisfaction, or whatever. For benchmarking a HEI can choose either to compare to other in the country or region or choose a specific HEI system as described in introduction of this document. The results of the diagnostic tool also expose underperforming areas of governance where changes are needed and indicate the desired end state.

When considering the best practices, we should have in mind that they cannot be transferred from one cultural or organisational context to another, without an analysis of how they are perceived in the HEI that intend to take them over.

Gap identification

Based on the "as-is" and "to-be" states gap(s) can be identified. The next step is to analyse them. The aim is to find causalities that are the cause of the gap and possible approaches/activities to close the gap. Also, it is often reasonable to evaluate the importance of all the identified gaps and focus on allocating majority of the resources to areas of the highest priority.

Identification of causalities can employ Root Cause Analysis (RCA) to almost any situation. It aims performance improvement measures at root causes which are more effective than treating the symptoms or factors that may contribute to a problem. To be effective, RCA must be performed systematically with conclusions that are backed by documented evidence. There is usually more than one potential root cause for any given problem. To be effective, the analysis must establish all known causal relationships between the root cause(s) and the defined problem. If the root causes are not straightforward, it is important to assure that the right expertise, knowledge and staff is included. Impact and a ranking of causalities should be carried out according to particular HEI criteria and importance.

An action plan that can be implemented, monitored, and continuously improved over time should be created to eliminate the disparities discovered in root cause analysis. If the actions required to close the gaps are simple, the gap analysis document can also be used to track them to completion. If the steps are more complex, the information can be used to manage a project to close them or be divided among responsible parties or teams.

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Action plan and roadmap development

After completion of the gap analysis, the gap value, identified causes and their ranking should be known and well understood. With such insights, HEI can start developing a long-term action plans and roadmaps that are sustainable over time yet flexible enough to adapt to internal and external challenges and trends. Consensus of all stakeholders is crucial for the motivation and success of activities.

One of methods that supports complete process from the gap identification to development of activities and roadmaps is strategic planning. There is a lot of literature and consulting agencies that can guide HEI through the complete process.

Strategy plan

Strategic planning is a process similar to previously discussed through the Figures 1 and 2. A result of this process is a strategy plan, see Figure 3 and Figure 3Figure 4, a document that shows the organization goals/objectives, the actions needed to achieve these objectives and all other critical elements developed during the planning exercise. It is typically expressed in form of a balanced scorecard. Whatever we are doing from the diagnostic tool, SWOT analysis, developing to-be destination statement and strategic plan, always we should have in mind to identify all stakeholders and to include them in discussions and development. This is very important in order to achieve consensus and motivation for the implementation of changes and finally for the success of strategy.

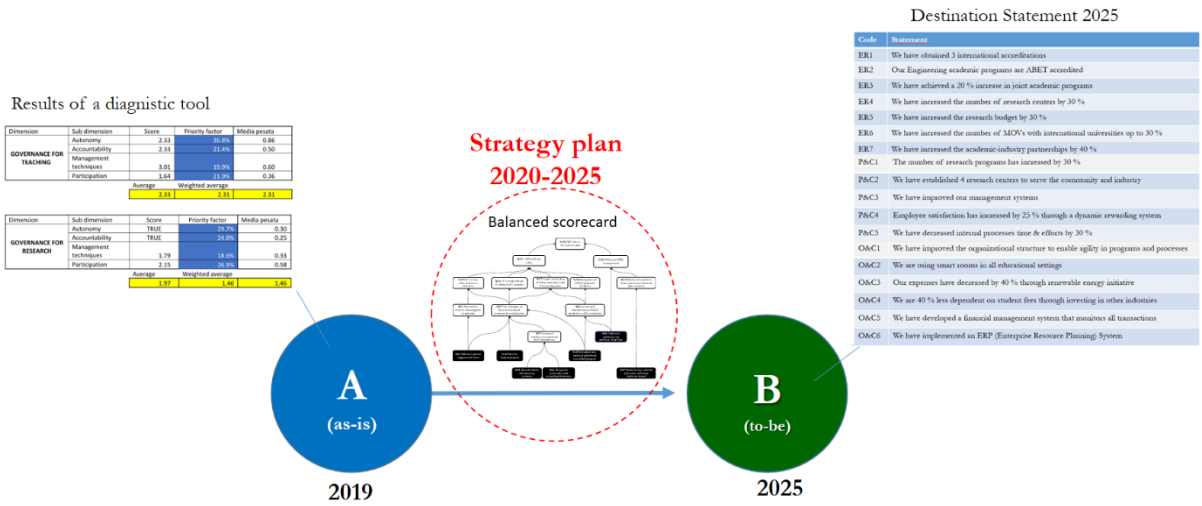

Figure 3: Strategy plan should bring HEI from as-is to to-be state

An example strategic plan is graphically demonstrated in Figure 1Figure 4. It shows activities (black boxes), objectives (white boxes) that will be achieved through the

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activities, their relation (arrows) and one of the main objectives (green box) that HEI wish to achieve.

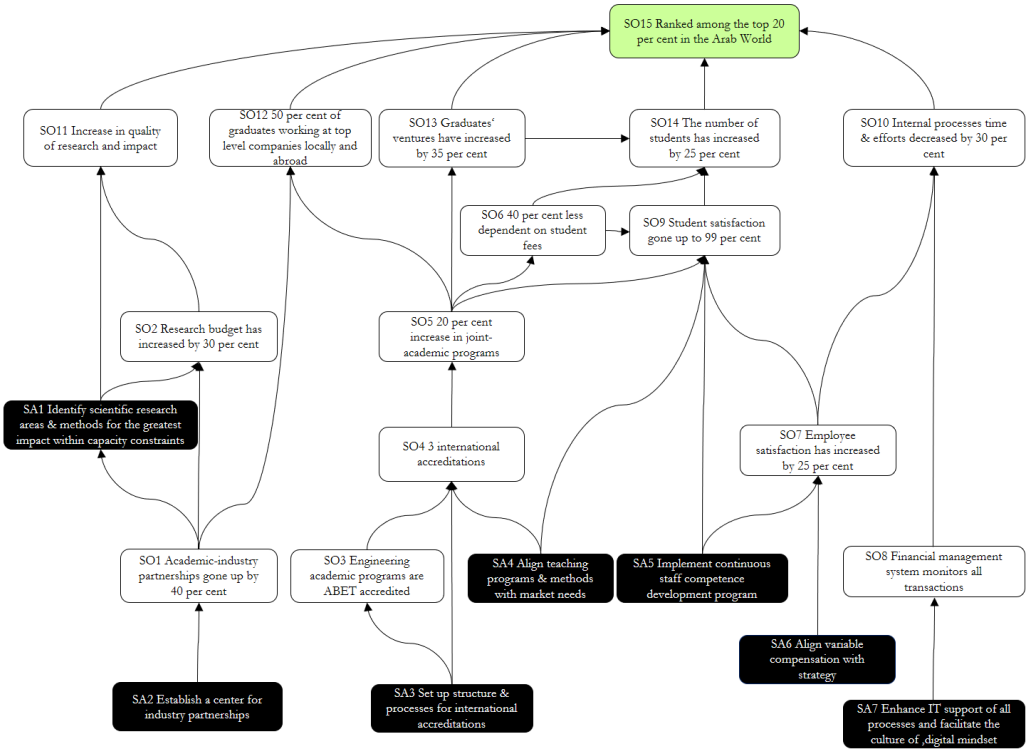
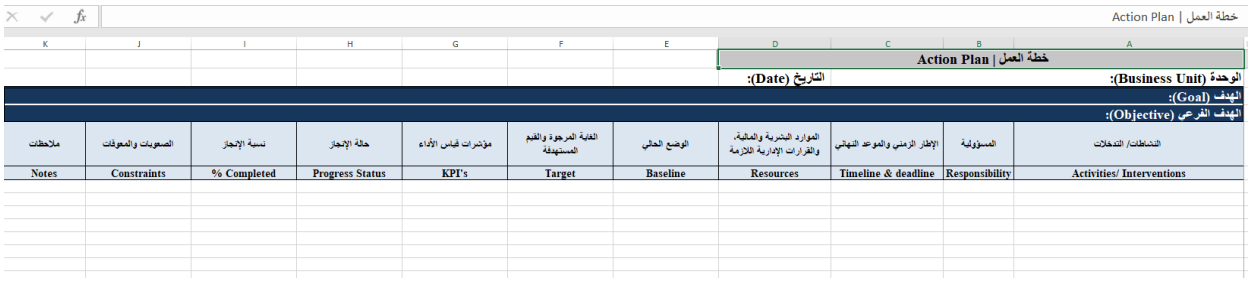


Figure 4: An example of a strategy plan for achieving one of the objectives

Implementation

At implementation we address the who, where, when, and how will perform the activities. Without implementation, planning and strategies have no sense. Figure 5 shows an example of implementation template for some action. The main fields are: task (intervention/objective), list of activities (what needs to be done), impact level for activities, responsibility (who will do it), timeline, resources (budget, people), decision making needed, baseline, target, KPI, progress and notes. A detailed template of Project implementation plan with instructions for filling the required fields is also in the appendix to this document.



Action Plan | خطة العمل

Action Plan | خطة العمل

الوحدة (Business Unit): التاريخ (Date):

الهدف (Goal):

الهدف الفرعي (Objective):

ملاحظات	الصعوبات والمعوقات	نسبة الإنجاز	حالة الإنجاز	مؤشرات قياس الأداء	الغاية المرجوة والقيم المستهدفة	الوضع الحالي	الموارد البشرية والمالية، والقرارات الإدارية اللازمة	الإطار الزمني والموعد النهائي	المسؤولية	النشاطات/ التدخلات
Notes	Constraints	% Completed	Progress Status	KPI's	Target	Baseline	Resources	Timeline & deadline	Responsibility	Activities/ Interventions

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Figure 5: An example of an action plan for some objective

At this point we will list some pitfalls where implementation can fail. Implementation should be discussed in the strategic planning process in order to provide proper resources, define KPI and reasonable timelines. If there is no proper method to track the progress (KPI), it can easily happen that we measure what's easy and not what's important. The most common reason an implementation fails is lack of ownership. If people don't have a stake and responsibility, it'll be business as usual for all but a frustrated few. Next problems are in lack of communication, where employees don't understand instructions. Accountability and high visibility help drive change. This means that each measure, objective, data source, and initiative must have an owner. Although accountability may provide strong motivation for improving performance, employees must also have the authority, responsibility, and tools necessary to impact relevant measures. Otherwise, they may resist involvement and ownership.

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Appendix I: Implementation handbook

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uniGOV

<Improving Governance Practices at Palestinian Higher Education Institutions>

PROJECT IMPLEMENTATION TEMPLATE

Version *<1.0>*

<June/01/2019>

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VERSION HISTORY

[Provide information on how the development and distribution of the Project Implementation Plan was controlled and tracked. Use the table below to provide the version number, the author implementing the version, the date of the version, the name of the person approving the version, the date that particular version was approved, and a brief description of the reason for creating the revised version.]

Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	*<Author name>*	*<mm/dd/yy>*	*<name>*	*<mm/dd/yy>*	*<reason>*

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1 Introduction

1.1 Purpose

[This subsection of the Project Implementation Plan describes the purpose of the project and identifies the system and its changes to be implemented.

For example: By using the diagnostic tool and strategic planning, HEI found that the research should be strengthen ..]

1.2 System Overview

1.2.1 System Description

[This subsection of the Project Implementation Plan provides an overview of the processes the system is intended to support.

For example: If the system is research at HEI, provide a description of processes, sources and users. Include any stakeholders, identification numbers, titles, abbreviations to describe the system.]

1.2.2 Assumptions and Constraints

[This subsection of the Project Implementation Plan describes the assumptions made regarding the development and execution of this document as well as the applicable constraints. Some items to consider when identifying the assumptions and constraints are:

- *Schedule*
- *Budget*
- *Resource availability and skill sets,*
- *Software and other technology to be reused or purchased,*
- *Constraints]*

1.2.3 System Organization

[This subsection of the Project Implementation Plan provides a description of the system structure and the major system components essential to its implementation.

In the case of HEI research example: It should describe departments and laboratories, relations etc. Charts, diagrams, and graphics may be included as necessary to provide a clear picture of the system.]

2 Management Overview

[This section of the Project Implementation Plan provides a description of how the implementation will be managed and identifies the major tasks involved.]

2.1 Description of Implementation

[This subsection of the Project Implementation Plan provides a description of the planned deployment and implementation approach. Include whether the system will be implemented using a phased approach or an "instant-on" approach.]

2.2 Points-of-Contact

[This subsection of the Project Implementation Plan identifies the System Proponent, the name of the responsible organization(s), titles, and telephone numbers of the staff who serve as points of contact for the system implementation. These points-of-contact should include the Business Sponsor, Program Manager, Project Manager, Quality Assurance Manager, Configuration Management Manager, Security Officer, Database Administrator, or other managers and representatives with responsibilities relating to the system implementation. The site implementation representative for each field installation or implementation site should also be included, if appropriate.]

Add additional lines as needed to the table. If the applicable team members are listed in the Project Management Plan, reference the appropriate section within that document.]

Role	Name	Contact Number
Business Sponsor		
Project/Program Manager		
Government Project Officer		
System Developer or System Maintainer		
Quality Assurance Manager		
Configuration Management Manager		
Security Officer		
Database Administrator		
Site Implementation Representative		
... Representative		

Table 2.2 – Points-of-Contact

2.3 Major Tasks

[This subsection of the Project Implementation Plan provides descriptions of the major system implementation tasks. Add as many subsections as necessary to this subsection to describe all the major tasks. The tasks described in this subsection are not site-specific, but generic or overall project tasks that are required to implement and validate the system.

If several implementation approaches are being reviewed, then identify the advantages, disadvantages, risks, issues, estimated time frames, and estimated resource requirements for each option considered. These options could include:

- *Incremental implementation or phased approach*
- *Parallel execution*
- *One-time conversion and switchover*
- *Any combinations of the above.*

Include the following information for the description of each major task, if appropriate:

- *What the task will accomplish*
- *Resources required to accomplish the task*
- *Key person(s) responsible for the task*
- *Criteria for successful completion of the task (e.g., "user acceptance")*

Examples of major tasks are the following:

- *Provide overall planning and coordination for the implementation*
- *Provide appropriate training for personnel*
- *Ensure that all manuals applicable to the implementation effort are available when needed*
- *Provide all needed technical assistance*
- *Schedule any special computer processing required for the implementation*
- *Perform site surveys before implementation*
- *Ensure that all prerequisites have been fulfilled before the implementation date*
- *Provide personnel for the implementation team*
- *Acquire special hardware or software*
- *Perform data conversion before loading data into the system*
- *Prepare site facilities for implementation*

Consider addressing the changes that may be necessary once the system has been implemented. These changes may include, but are not limited to, personnel and technology equipment alignment, and contractor support.]

2.4 Implementation Schedule

[This subsection of the Project Implementation Plan provides a schedule of activities to be accomplished. Show the required tasks (described in Subsection 2.3, Major Tasks) in chronological order, with the beginning and end dates of each task. If MS Project is used to plan the implementation, include the project Gantt chart. Include any milestones from the projects that are dependent on this project and vice-versa.]

2.5 Security and Privacy

[This subsection of the Project Implementation Plan includes an overview of the system security and requirements that must be followed during implementation. If the system contains personal data, describe how Privacy Act concerns will be addressed.]

3 Implementation Support

[This section of the Project Implementation Plan describes the support hardware, software, facilities, and materials required for the implementation, as well as the documentation, necessary personnel and training requirements, outstanding issues and implementation impacts to the current environment. The information provided in this section is not site-specific. If there are additional support requirements not covered by the subsequent sections, others may be added as needed.]

3.1 Hardware, Software, Facilities, and Materials

[This subsection of the Project Implementation Plan lists all support hardware, software, facilities, and materials required for the implementation This may include computers, servers, peripheral equipment, diagnostic equipment, other non-computer equipment as well as any network and data communication requirements. The description should include the specific models, versions, configuration settings, and the equipment owner. Also include information about manufacturer support, licensing, and usage and ownership rights, and maintenance agreement details.

If this information is recorded in another document or system, such as the Configuration Management Plan or tool, identify that item here. Otherwise, refer to the Hardware Inventory table in Appendix D.

For example, if a web-enabled database is to be implemented, identify the application and web servers that will provide network access. If the hardware is site-specific, list it in Section 4, Implementation Requirements by Site.]

3.2 Documentation

[This subsection of the Project Implementation Plan lists any additional documentation needed to support the deliverable system. Include any security or privacy protection considerations associated with the systems use. If created, make reference to the Software User Documentation Guide for user documentation.]

3.3 Personnel

[This subsection of the Project Implementation Plan describes committed and proposed staffing requirements. Describe the training, if any, to be provided for the implementation staff.]

3.3.1 Staffing Requirements

[This subsection of the Project Implementation Plan describes the number of personnel, length of time needed, types of skills, skill levels, expertise, and any necessary security clearances for the staff required during the implementation period. If particular staff members have been selected or proposed for the implementation, identify their roles and responsibilities.]

3.3.2 Training of Implementation Staff

[This subsection of the Project Implementation Plan addresses the training, if any, necessary to ***prepare staff for implementing the system****;*

List the courses that will be provided, a course sequence, and a proposed schedule. If appropriate, identify which courses particular types of staff should attend by job position description.

If one or more commercial vendors will provide training, identify them, the course name(s), and a description of the course content.

If Center staff will provide the training, provide the course name(s) and an outline of the content of each course. Identify the resources, support materials, and proposed instructors required to teach the course(s).]

3.5 Implementation Impact

[This subsection of the Project Implementation Plan describes how the system's implementation is expected to impact the network infrastructure, support staff, user community, etc. Include any references to Service Level Agreements which describe the performance requirements, availability, security requirements, expected response times, system backups, expected transaction rates, initial storage requirements with expected growth rate, as well as help desk support requirements.

If impacts are site-specific, provide this information in Section 4, Implementation Requirements by Site.]

3.6 Performance Monitoring

*[This subsection of the Project Implementation Plan describes the **performance monitoring tool, techniques and how it will be used to help determine if the implementation is successful**.]*

APPENDIX A: Project Implementation Plan Approval

The undersigned acknowledge that they have reviewed the ***<Project Name>*** **Implementation Plan** and agree with the information presented within this document. Changes to this **Project Implementation Plan** will be coordinated with, and approved by, the undersigned, or their designated representatives.

Signature: _____ Date: _____

Print Name: _____

_____

Title: _____

Role: Project Manager

APPENDIX B: REFERENCES

[Insert the name, version number, description, and physical location of any documents referenced in this document. Add rows to the table as necessary.]

The following table summarizes the documents referenced in this document.

Document Name	Description	Location
<Document Name and Version Number>	*<Document description>*	*<URL or location where document is located>*