



Strategic Planning & Evaluation

TU DELFT INTEGRATED PLANNING & EVALUATION CYCLE

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INTRODUCTION

Positioning

Since 2005, the institution-wide Planning & Evaluation Cycle (P&E cycle) has been used within TU Delft for purposes of strategic planning and evaluation. The P&E cycle consists of a set of instruments, processes and products, administrative dialog and agreements that enables the administration and management of TU Delft (Executive Board, Deans, Directors and Departmental Directors) to answer the core questions: 'Are we doing the right things?' (strategy and planning) and 'Are we doing things right?' (monitoring & evaluation). This overarching TU Delft cycle is an accepted working method within the academic community.

Core

The core of the P&E cycle consists of administrative consultation between the Executive Board (EB) and the faculties, as represented by the Dean, the management team and the manager of the University Corporate Office (UCO). The university strategic plan and the faculty long-range plans provide the framework for these discussions. The outcomes of the dialog are documented in administrative agreements between the EB and the Dean or the manager of the UCO. These agreements are monitored in order to ensure their realisation and to allow for adjustment, if needed.

Objective

The administrative consultation focuses on the discussion and documentation of realistic ambitions, objectives, strategy and policy (i.e. the 'what') of the individual faculties and the UCO, within the limits of the strategic plan and using the available financial resources (the 'how'). Finally, the progress of the realisation of the administrative agreements is discussed and evaluated.

Coordination

The P&E cycle is coordinated from within the TU Delft Administrative office. The bodies involved in the coordination are the team of faculty secretaries, chaired by the Secretary of the University, and the P&E supervisory group, chaired by the P&E cycle secretary.

Target group for description of the P&E cycle

This memorandum has been written for the following target groups: administrators within TU Delft; faculty and departmental secretaries; directors, managers and policy officers within the functional domains and other stakeholders.

1. EMBEDDING THE PLANNING & EVALUATION CYCLE

1. Higher education system

The coordination and accountability between TU Delft and the Ministry of Education, Culture and Science (OCW) operates through the coalition agreement, the system of educational and research financing, the long-range agreements with the State Secretary of Education, Culture and Science and the TU Delft Annual Report (see Figure 1). The strategic plan (Roadmap 2020 TU Delft), which includes the long-range agreements, plays a central role as the strategic framework for TU Delft.

2. Strategic planning & internal process management

Strategic planning and internal process management are two sides of the same coin. Strategic planning is oriented towards the 'what', while internal process management focuses on the 'how'. The P&E cycle brings these two processes together, adopting an approach that considers the character and the culture of the university organisation.

2.1. Character of the university organisation

The university is an open network organisation. The academic staff is connected to global scientific networks and thus also to the social and economic environment. Because of these complex networks, coordination and decision-making processes within the university are complicated. Moreover, as publicly financed organisations, universities are obligated to demonstrate proper accountability. This requires the proper management of the many internal processes that sustain the operations of the university.

2.2. Internal process management

Internal process management enables the institution's administration and management to take timely action to identify and manage risks that could jeopardise the achievement of its objectives. Internal process management entails a structured manner of working.

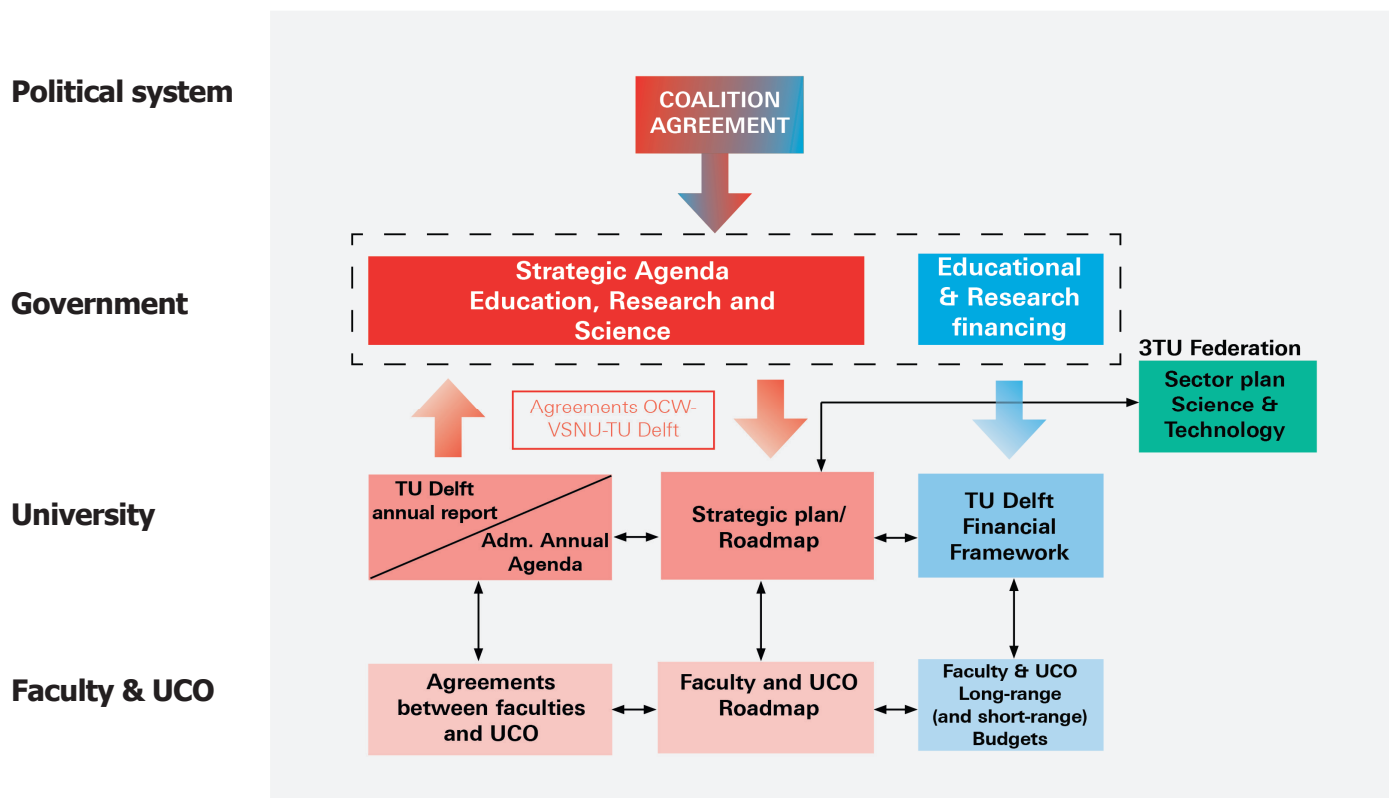


Figure 1: Higher Education System

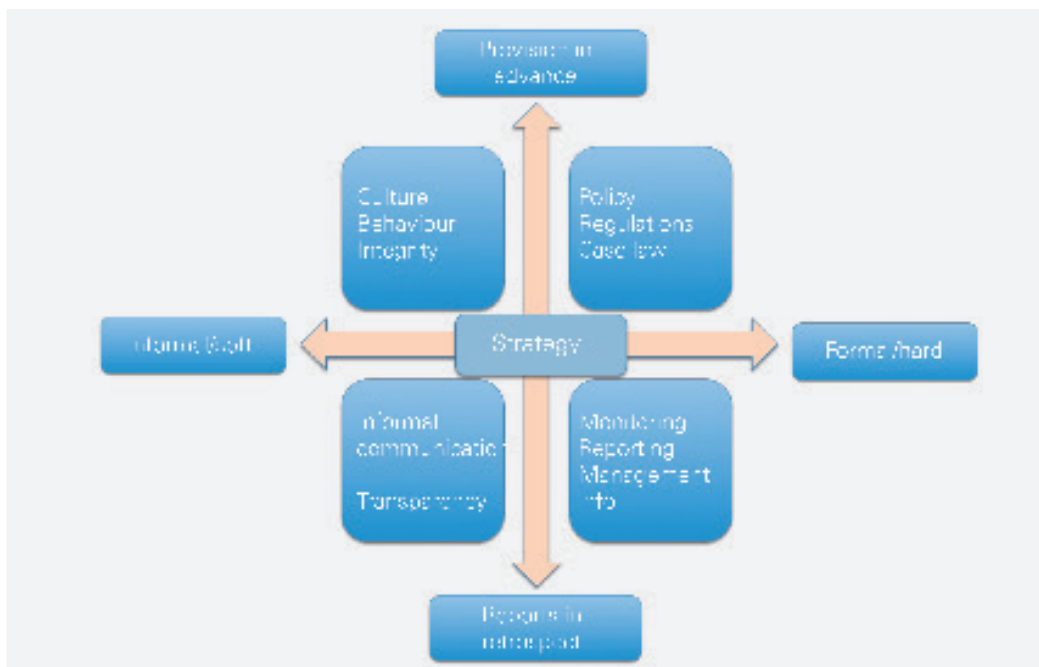


Figure 2: Four perspectives

It is supported by an array of instruments, systems and agreements, and it is driven by values, standards and rules. Internal process management brings order to the possibilities for coordination, thus supporting the organisation in the realisation of its strategic objectives.

2.3. Four perspectives

The approach and the quality of internal process management form an important part of the administrative agenda. To this end, the range of coordinating instruments is arranged in four groups¹:

- Culture, behaviour and integrity. Which core values make up the culture of the organisation? One example is the delivery of high scientific quality in terms of scientific integrity.
- Communication. Which formal and informal consultations are used for discussing strategic plans, risks and uncertainties?
- Policy and regulations. Which policy assumptions and

regulations exist for assessing the performance of activities and avoiding risks?

- Monitoring and reporting. Which quantitative and qualitative administrative information and information systems are used for monitoring the progress of strategic plans? Are we on the right track, or are adjustments needed?

This approach allows the administration and management of TU Delft to attend to hard coordinating instruments (e.g. rules and monitoring reports), as well as to softer aspects (e.g. values and dialog). Strategic planning and internal process management are thus explained and discussed from four different perspectives, which together facilitate constructive and efficient administrative discussion.

¹ This four-way categorisation was inspired by the 'Levers of Control' model developed by Robert Simons in 1995

2. DESCRIPTION OF THE PLANNING & EVALUATION CYCLE

Since 2005, TU Delft has been using the P&E cycle as its core strategic planning process. In addition to objectives and ambitions, administrators discuss the quality of internal process management and make agreements with regard to improvement. In this way, the P&E cycle forms the framework that enables the university's administration and management to formulate goals, identify risks, monitor processes and make timely adjustments.

Figure 3 provides a schematic overview of the most important parts of the P&E cycle. The strategic plan (Roadmap 2020) constitutes the framework document that provides direction for formulating the faculty long-range and short-range plans.

The planning component further consists of the financial framework, the budget and the administrative agreements. The cycle concludes with an evaluation component consisting of monthly financial reports, quarterly reports and the annual reporting process.

The largely abstract objectives are translated into concrete tasks for each staff member, depending upon function and position in the organisation. Staff members bear individual responsibility in this regard, and they can be held accountable for it. The Result and Development cycle is thus an important element of the P&E cycle, which allows translation from the abstract 'what' to the concrete 'how'.

1. Objectives of the P&E cycle

With the P&E cycle, the administration and management of TU Delft strives:

- To offer a concrete framework and consistency for the clarification of ambitions and objectives and for the development of strategy and policy within specified financial conditions;
- To offer a structured process for planning and realisation, thus ensuring that strategy and policy are carried out consistently and coherently;
- To prepare and discuss the performance agreements that TU Delft makes with the Ministry of Education, Culture and Science (external) and to establish corresponding administrative agreements between the Executive Board and the faculties (internal);
- To monitor and evaluate the progress of administrative agreements;
- To promote administrative dialog and to increase the learning effect between the institution and its faculties, within faculties and between departments and functional areas; to realise continuous learning and improvement: as an organisation, are we doing the right things, are we doing things right, should we do something differently and how can we improve?

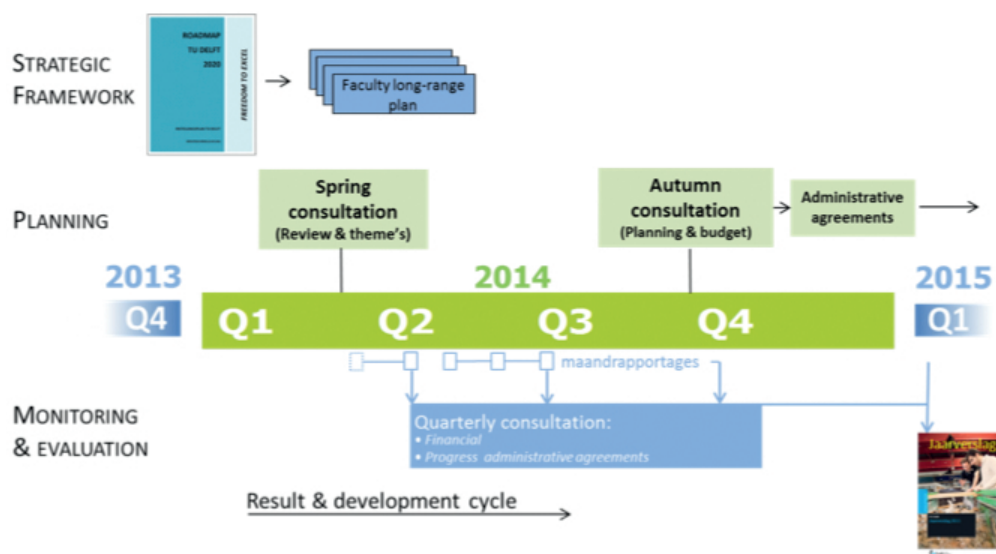


Figure 3: Broad outline of strategic planning at TU Delft

2. Administrative consultation

At the core of the TU Delft Integrated Planning & Evaluation cycle is the administrative consultation between the Executive Board, the Dean, the management teams of all faculties and the University Corporate Office (UCO). This consultation takes place twice each year: in spring and in autumn.

2.4. Spring consultation

In the spring consultation, the results and performance of the previous year are addressed (review), and the Board discusses the faculty strategy concerning several current topics with the Dean and the management team.

The Executive Board sets the agenda, in consultation with the deans and directors, obviously allowing room for areas to which the faculty would like to pay specific attention.

2.5. Autumn consultation

In the autumn consultation the Board discusses the faculty's administrative agenda and plan of work for the coming year with the Dean and the management team. The Dean presents the faculty's agenda and plan of work in relation to the budget for that year.

2.6. Quarterly consultation

At the close of each quarter, the Board member charged with business operations discusses the current status with the Dean. These discussions are intended to achieve consensus regarding adjustments that are necessary to the achievement of the administrative agreements and the budget. The following topics are always included on the agenda:

- The progress of the administrative agreements
- The faculty budget, realisation and financial prognosis (forecast)
- Developments in personnel figures

Additional discussions are held monthly (or at other times), if needed. The final quarterly discussion (Q4) focuses on closing the books for the previous year and evaluating it, and it serves as input for the next subsequent spring consultation.

The faculty reports on the substantive and financial state of

affairs, with explanation. The Administrative Office cooperates with the Finance office to analyse these reports, adding points to be discussed in the quarterly consultation.

2.7. Preparation & coordination

The administrative consultations are prepared and coordinated by the secretary of the P&E cycle from within the TU Delft Administrative Office. Support is provided by the faculties, as well as by the UCO.

2.7.1. Faculty Secretarial Team (FST)

The faculty secretary is the primary contact for the official preparation of the administrative consultation on behalf of the faculty. The faculty secretary is responsible for coordination within the faculty (see also Figure 4). Specific activities are as follows:

- Participating/collaborating with regard to setting the agenda for the administrative consultation
- Coordinating substantive input and preparation from within the various faculty divisions (e.g. E&SA, HR, Finance) with regard to the administrative consultation
- Coordinating production processes, progress reports and administrative agreements

2.7.2. Supervisory group for the P&E cycle

The supervisory group for the P&E cycle is responsible for support and coordination from within the university offices and the UCO (see also Figure 4).

The supervisory group consists of representatives from various university offices (including Strategy Development, Finance and Education & Student Affairs), along with two faculty secretaries.

The coordination of the P&E cycle is thus arranged broadly within the organisation (in cooperation with the FST), and material expertise is delivered. Specific duties include:

- Contributing to the improvement and reinforcement of the P&E cycle
- Providing specific expertise from the universities (e.g. information for the concretisation of the administrative dialog)
- Contributing to products for the P&E cycle (e.g. reports, indicators, formats and agenda notes)

3. PRODUCTS

3.1. Strategy & planning

3.1.1. Strategic plan

The strategy of TU Delft is established in the strategic plan that Executive Board adopts and publishes once every six years²; the plan is revised every three years. The plan describes the content and the institution's strategic policy priorities for the duration of the plan. The plan addresses the resolutions for the primary processes and business operations.

The strategic plan is partly the result of a university-wide discussion on the strategic course of TU Delft, which has led to a coherent whole of strategic priorities that are intended to strengthen the institutional profile of TU Delft in the future. The content consists of the following:

- The institution's mission and vision; ambition and objectives (or challenges); strategy and broad policy outlines regarding primary and supporting processes; specified financial conditions
- An underlying environmental and SWOT analysis
- The ambition of and justification for the long-range agreements that TU Delft has made with the State Secretary, accompanied by administrative indicators and performance agreements
- A link to faculty long-range plans, the Annual Administrative Agenda, possibly with other policy developments

3.1.2. Faculty long-range plan

Each faculty and the UCO prepare a long-range plan (LRP) within the framework of the strategic plan. The LRP describes the future perspective of the faculty, composed of the following elements:

- The relevant faculty's mission and vision; ambition and objectives (or challenges); strategy and broad policy outlines regarding primary and supporting processes, within the specified financial conditions.
- An underlying SWOT analysis; the realisation and target values of the P&C indicators; the prognoses from the faculty's Financial Long-Range Budget.
- A link to the institution's annual administrative agenda, in the form of administrative agreements, accompanied by

target values for administrative indicators (including the performance agreements).

The planning horizon for the long-range plans is six years. The plans are revised every three years.

Both the strategic plan and the faculty long-range plans are strategic and tactical in nature. They form the framework for the substantive administrative dialog on the ambitions, objectives, strategies and policy of the individual faculties and of the institution as a whole.

3.1.3. Financial framework

The financial framework elaborates the distribution of available government-funding resources (government contribution and tuition fees) across the administrative units (faculties and the UCO) for the coming budget year.

The Cabinet's Spring Memorandum bears an important influence on the available resources. In addition, TU Delft may decide to reserve resources for future investments (e.g. scientific innovation). In 2013, the Executive Board decided to introduce the Budget Allocation System. The Budget Allocation System is an adapted system used to elaborate the distribution of resources, with the primary goal of achieving continuity in financing based on substantive incentives. Each faculty adopts an internal allocation system that largely follows the Budget Allocation System.

3.1.4. Budget

The financial effects of the working plans of the faculties and the UCO are reflected in the budget. The institutional budget is prepared for one accounting year, and it is subject to approval by the Supervisory Board. A three-year long-range view is also outlined during the budget phase.

Discussion and approval of the budgets of the faculties and the University Corporate Office take place during the autumn administrative consultation, in close relation to the discussion of the policy resolutions that have been established in the administrative agreements

3.1.5. Administrative agreements

Based on administrative consultation, the Executive Board prepares annual administrative agreements with the Dean

²Statutory obligation: see Article 2.2 of the Higher Education and Scientific Research Act (WHW).

and the management team of the faculty and the manager of the University Corporate Office. The agreements are made relative to the status of the current Long-Range Plan. More specifically, the administrative agreements determine the operational agenda for the coming planning year, composed of the following elements:

- The most important faculty objectives and challenges with regard to the primary processes and business operations for the coming planning year
- Realisation and target values for the administrative indicators
- An overview of the most important risks and problem areas
- A financial long-range budget
- Any institution-wide topics or faculty-specific comments (see Annex I for a format for the administrative agreements)

3.2. Monitoring & evaluation

Qualitative and quantitative management information is needed for the factual justification of realistic objectives and achieved results. This management information supports both internal administrative consultation and the proper accountability to external stakeholders (including the performance agreements with the Ministry of Education, Culture and Science).

The Steering Committee for Administrative Information Facilities (SBI) advises the EB with regard to management information that will be needed in the medium term in order to support the continued effective organisation of the P&E cycle. Management information is compiled from various sources. In addition to administrative indicators, TU Delft uses information from sources including benchmarks, rankings and recommendation reports based on external studies.

3.2.1. Administrative indicators

In consultation with the faculties and upon the recommendation of the SBI, the Executive Board has established a set of administrative indicators (see Annex 1 for an overview of this set). This set of administrative indicators serves as a carrier of useful guiding information for the realisation of the strategic objectives. The indicators

are not static. New insights, policy and accounting obligations require adaptations and adjustments to the set of indicators. The SBI advises the Executive Board in this regard.

3.2.2. Monthly financial reports

During the current accounting year, monthly monitoring and reporting is performed with regard to whether the administrative units have remained within the budget framework and whether the administrative agreements are being achieved. In addition, attention is paid to expectations regarding the realisation of the current accounting year (forecast). The monthly reports from the administrative units are merged into a monthly report for the institution and submitted to the Executive Board.

The financial monthly report from the previous month is published on the 10th working day of the month. This monthly report consists of the following components: assets and expenses from government, indirect and contract funding; forecast versus realisation; cash flow and personnel figures. The report is accompanied by explanations for aspects in which major deviations have been identified.

3.2.3. Quarterly reports

The faculties and the UCO compile quarterly reports on their progress with regard to the administrative agreements in relation to the financial status, accompanied by explanations. The discussion points for the quarterly consultations are determined and placed on the agenda based on the quarterly reports.

3.2.4. Comptroller's letter

In addition to the quarterly reports, the Finance office prepares a quarterly comptroller's letter regarding the financial position of TU Delft, with the fourth quarter comptroller's letter covering the entire year. The following topics (accompanied by substantive explanation) are addressed in the comptroller's letter:

- Exploitation results from all administrative units (faculties, UCO, institutes and affiliated parties)
- Cash flow – liquidity

- Personnel staffing
- Forecast for TU Delft and all administrative units
- Special aspects (e.g. proceeds from work performed for third parties, personnel expenses for unit personnel and for personnel employed by third parties)

The Comptroller's letter forms the input that is used as a foundation for the discussion of financial progress (forecast) and expectations of TU Delft, including affiliated parties (The Holding), which takes place in the Executive Board and the Audit Committee of the Supervisory Board.

3.2.5. Annual account

The annual account provides an annual overview of the financial situation of TU Delft. It consists of a balance, a calculation of the results over the previous year (including explanations), the cash-flow overview and an accountant's statement. An abbreviated version of the annual account is included and published in the annual report.

3.2.6. Annual Report

Each year, the TU Delft publishes an annual report, thereby giving account to the Ministry of Education, Culture and Welfare with regard to its resolutions and results³ in general, and particularly with regard to the long-range agreements. In the report, TU Delft reviews developments in the organisation, education, research and in the area of knowledge valorisation. The annual report goes into greater depth on the contributions of the supporting processes and the financial reporting (annual account)..

3.2.7. Other sources of information

Other sources are also used in preparation for the administrative consultation. Examples include information on specific policy topics from the various functional domains, including Logistical Quality, Research Visitations, Educational Accreditations, existing reports and other reports (e.g. SB, EB, Operational Committee, Annual Administrative Agenda, TU Delft Annual Report, Faculty Annual Report, Education and Research statistics)

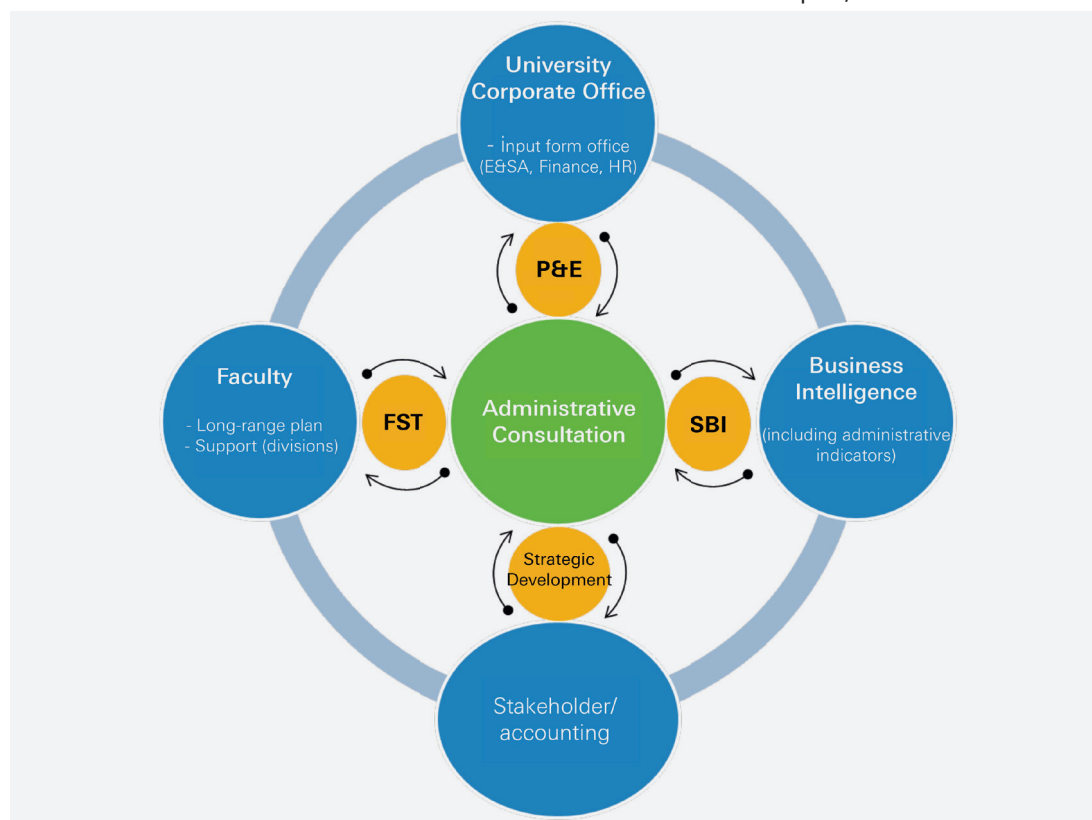


Figure 4: Relationships & products of administrative consultation

4. EMPLOYEE PARTICIPATION IN THE P&E CYCLE

4.1. Institutional level

Neither the P&E cycle nor its organisation constitutes a statutory obligation according to the Higher Education and Scientific Research Act (WHW). The strategic plan, which forms the foundation for the faculty long-range plans, is a part of the act (Art. 2.2. WHW). The General Assembly of Councils (GV) of the Works Council (OR) and the Student Council (SR) has a right of approval for the strategic plan, including the broad outlines of the financial policy and major interim changes to the strategic plan.

4.2. Faculty level

The following apply to the participation of the Faculty Student Council and the faculty Personnel Committee:

- At a minimum, consultation with the Dean with regard to the faculty long-range plan
- Advisory powers with regard to topics included in the faculty long-range plan and for which these powers have been granted to the Faculty Student Council and the faculty Personnel Committee (e.g. in the educational policy plan, as part of the faculty long-range plan and major changes in student facilities)

PERIOD	ACTIVITY		PARTIES INVOLVED
	PLANNING	EVALUATION	
January		Quarterly discussion Q4 & book closing for the year	VPEO, Dean
March		Annual accounting procedure	EB, all university offices and faculties
April		Quarterly discussion Q1	VPEO, Dean
April/May	Administration Spring consultation		EB, SD, E&SA Finance & HR, Faculties and UCO
June	Adoption of Financial Framework		EB, Finance office
August/September	First discussion of draft budget in the EB		EB, Finance office
August/September		Quarterly discussion Q2	VPEO, Dean
September/October	Administration Autumn consultation		EB, SD, E&SA Finance & HR, Faculties and UCO
October		Quarterly discussion Q3	VPEO, Dean
Early November	Definitive budgets of faculties and UCO		Faculties/UCO
Mid-November	EB Budget decision		EB, Finance office
Mid-December	Budget approval by the SB		SB, EB

Schematic overview of the periodisation of the annual P&E cycle



ANNEX 1

Format for administrative agreements

QUALITATIVE	QUANTITATIVE																																																																																														
Education <ul style="list-style-type: none"> - Performance agreements - Study-success measures - Educational innovation (online) - (Faculty) Graduate School - Quality assurance 	<table border="1"> <thead> <tr> <th style="background-color: #e0f2f1;">External indicators (OCW performance indicators)</th> <th colspan="2" style="background-color: #e0f2f1;">Realisation</th> <th colspan="5" style="background-color: #e0f2f1;">Target values</th> </tr> <tr> <th style="background-color: #e0f2f1;"></th> <th style="background-color: #e0f2f1;">2010</th> <th style="background-color: #e0f2f1;">2011</th> <th style="background-color: #e0f2f1;">2012</th> <th style="background-color: #e0f2f1;">2013</th> <th style="background-color: #e0f2f1;">2014</th> <th style="background-color: #e0f2f1;">2015</th> <th style="background-color: #e0f2f1;">2020</th> </tr> </thead> <tbody> <tr><td style="background-color: #e0f2f1;">Excellence</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td style="background-color: #e0f2f1;">Bachelor's dropout rate</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td style="background-color: #e0f2f1;">Programme switch</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td style="background-color: #e0f2f1;">Bachelor's pass rate</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td style="background-color: #e0f2f1;">Lecturer quality</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td style="background-color: #e0f2f1;">Education intensity</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td style="background-color: #e0f2f1;">Indirect costs</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table>							External indicators (OCW performance indicators)	Realisation		Target values						2010	2011	2012	2013	2014	2015	2020	Excellence								Bachelor's dropout rate								Programme switch								Bachelor's pass rate								Lecturer quality								Education intensity								Indirect costs																							
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Business operations <ul style="list-style-type: none"> - Campus & Facilities - People and work 																																																																																															
Finances <ul style="list-style-type: none"> - Long-range budget - Support & justification for claims 																																																																																															
Implementation <ul style="list-style-type: none"> - P&E cycle/management control - Risk analysis and risk management 																																																																																															
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ANNEX 2

TU Delft administrative indicators

OCW PERFORMANCE INDICATORS	
Indicator	Definition
Excellence	Students in the Bachelor's level Honours Programs as a percentage of all first-year Bachelor's degree students (first-year programme) at TU Delft.
Dropout rate for the first year of the Bachelor's programme	Students (first-year institution) not re-registering for a degree programme at TU Delft in the subsequent academic year, as a percentage of all first-year degree students (first year institution)
Switch after first year of the Bachelor's programme	Students re-registering for another Bachelor's programme at TU Delft in the subsequent academic year, as a percentage of all students in the institution with a first-year diploma
Bachelor's pass rate	Percentage of students completing a Bachelor's degree within four years, based on the number of students re-registering after the first year
Number of lecturers with BTQ	Permanent staff members with teaching duties who have BTQ certification (or demonstrable equivalent qualifications), as a percentage of all permanent staff members with teaching duties
Intensity of teaching	Number of programmed contact hours and other structured hours in the first year of the Bachelor's programme for all degree programmes, divided by the number of degree programmes
Indirect costs	Generic permanent overhead staff (in FTE, excluding educational and research support), as a percentage of total permanent staff.
EDUCATIONAL INDICATORS	
Bachelor's degree intake	Number of first-year Bachelor's degree students (first year institution)
Master's degree intake	Number of first-year Master's degree students (first year institution)
Population of Bachelor's degree students	Number of Bachelor's degree students at reference moment
Population of Master's degree students	Number of Master's degree students at reference moment.
Population of the bridging programme	Number of degree students in the bridging programme at the reference moment
Bachelor's degrees	Number of Bachelor's degrees conferred in an academic year
Master's degrees	Number of Master's degrees conferred in an academic year
Share of students with a positive binding recommendation on continuation of studies (BSA)	Percentage of students with a first-year diploma (first-year programme) with a positive final BSA
Share of nominal first-year students (P-in-1)	First-year degree students (first-year institution) earning all of the credits (ECS) for the first year at TU Delft within one year, as a percentage of all first-year degree students.
Average number of ECS/First year of the Bachelor's programme	Average number of credits (ECS) earned by first-year degree students (first-year institution; joiners from pre-university education)
Master's pass rate	Percentage of students completing a Master's degree at TU Delft within three years of starting the Master's programme

RESEARCH INDICATORS	
Doctorates	Number of doctorates completed at TU Delft within a calendar year
PDEng degrees	Number of design diplomas reported to the KIVI by the faculties
PhD completion rates	Percentage of students completing a doctorate within five years, as a percentage of intake within a given calendar year
ISI publications	Number of publications in ISI journals.
Population of PhD candidates	Number of PhD students following a PhD programme at TU Delft.
PERSONNEL INDICATORS	
PDEng Population	Number (FTE) of PDEng students following a PDEng programme at TU Delft
Post-docs	Number (FTE) of salaried and unsalaried (or salaried elsewhere) post-docs.
Size of permanent Faculty+	Aantal (Fte) bezoldigde vaste UD, UHD, HL en tenure trackers in fte zoals geregistreerd door HR in Peoplesoft.
OVWP (OW & OZ)	Number of (FTE) salaried permanent assistant professors, associate professors, professors and tenure-track staff, as registered by HR in Peoplesoft
Share of women in highest ranks of academic personnel	Percentage of women salaried by TU Delft within the academic staff, based on numbers, in salary scale 15 or higher (incl. professor scales)
FINANCIAL INDICATORS	
Operational results	Balance (K) of total operational assets, total operational expenses; financial assets and expenses; and exceptional assets and expenses
Cash flow	Changes (K) in interim receipts and expenditures during a specified period
Net equity	Difference (K) between holdings and debts at a specified time
Government funding	Allocation (K) of government funding resources based on the internal budget allocation system, + allocation of government funding strategic resources + yield from internal settlements
Government funding, including lump sum	Allocation (K) of government funding resources based on the internal budget allocation system
Indirect funding	Assets (K) from research projects of KNAW, NWO and their affiliated foundations (e.g. STW, SRON, SON).
Contract funding	All funding (K) not originating from government or indirect financiers
Core expenses	Specific expenses (K) related to government funding: personnel expenses, accommodation expenses, equipment/inventory and other expenses.

