2006

Education Criteria for Performance Excellence

ethics

leadership

recognition

BALDRIGE
National Quality Program

The Malcolm Baldrige National Quality Award

A Public-Private Partnership

Building active partnerships in the private sector—and among the private sector and all levels of government—is fundamental to the success of the Baldrige National Quality Program in improving national competitiveness. Private-sector support for the Program in the form of funds, volunteer efforts, and participation in information transfer continues to grow.

To ensure the continued growth and success of these partnerships, each of the following organizations plays an important role.

Foundation for the Malcolm Baldrige National Quality Award

The Foundation for the Malcolm Baldrige National Quality Award was created to foster the success of the Program. The Foundation's main objective is to raise funds to permanently endow the Award Program.

Prominent leaders from U.S. organizations serve as Foundation Trustees to ensure that the Foundation's objectives are accomplished. A broad cross section of organizations throughout the United States provides financial support to the Foundation.

National Institute of Standards and Technology

The U.S. Department of Commerce is responsible for the Baldrige National Quality Program and the Award. The National Institute of Standards and Technology (NIST), an agency of the Department's Technology Administration, manages the Program. NIST promotes U.S. economic growth by working with industry to develop and deliver the high-quality measurement tools, data, and services necessary for the nation's technology infrastructure. NIST also participates in a unique, government/private-sector partnership to accelerate the development of high-risk technologies that promise significant commercial and economic benefits. Through a network of technology extension centers and field offices serving all 50 states and Puerto Rico, NIST helps small- and medium-sized businesses access the information and expertise they need to improve their competitiveness in the global marketplace.

American Society for Quality

The American Society for Quality (ASQ) assists in administering the Award Program under contract to NIST. ASQ is dedicated to the ongoing development, advancement, and promotion of quality concepts, principles, and techniques. ASQ strives to be the world's recognized champion and leading authority on all issues related to quality. ASQ recognizes that continuous quality improvement will help the favorable positioning of American goods and services in the international marketplace.

Board of Overseers

The Board of Overseers advises the Department of Commerce on the Baldrige National Quality Program. The board is appointed by the Secretary of Commerce and consists of distinguished leaders from all sectors of the U.S. economy.

The Board of Overseers evaluates all aspects of the Program, including the adequacy of the Criteria and processes for determining Award recipients. An important part of the board's responsibility is to assess how well the Program is serving the national interest. Accordingly, the board makes recommendations to the Secretary of Commerce and to the Director of NIST regarding changes and improvements in the Program.

Board of Examiners

The Board of Examiners evaluates Award applications and prepares feedback reports. The Panel of Judges, part of the Board of Examiners, makes Award recommendations to the Director of NIST. The board consists of leading experts from U.S. businesses and education, health care, and non-profit organizations. NIST selects members through a competitive application process. For 2006, the board consists of about 540 members. Of these, 10 (who are appointed by the Secretary of Commerce) serve as Judges, and approximately 110 serve as Senior Examiners. The remainder serve as Examiners. All members of the board must take part in an Examiner Preparation Course.

In addition to reviewing applications, board members play a significant role in sharing information about the Program. Their membership in hundreds of professional, trade, community, and state organizations helps them disseminate this information.

Award Recipients

Award recipients are required to share information on their successful performance and quality strategies with other U.S. organizations. However, recipients are not required to share proprietary information, even if such information was part of their Award application. The principal mechanism for sharing information is The Quest for Excellence® Conference, held annually.

Award recipients in the 18 years of the Award have been extremely generous in their commitment to improving U.S. competitiveness and furthering the U.S. pursuit of performance excellence. They have shared information with hundreds of thousands of companies, education organizations, health care organizations, government agencies, and others. This sharing far exceeds expectations and Program requirements. Award recipients' efforts have encouraged many other organizations in all sectors of the U.S. economy to undertake their own performance improvement efforts.

The Baldrige National Quality Program

National Institute of Standards and Technology • Technology Administration • Department of Commerce

To: U.S. Education Community

From: Harry S. Hertz, Director
Baldrige National Quality Program

Subject: Take the Baldrige Challenge and Excel

The Baldrige Education Criteria for Performance Excellence are about students excelling! They also are about an organization that is high-performing, has high integrity, and is characterized by the ethical behavior of its students, faculty, and staff.

The Criteria help organizations respond to current challenges and address all the complexities of delivering today's results while preparing effectively for the future. The 2006 Education Criteria include 19 simple new questions, one for each of the Baldrige Criteria Items (see page 11). While the questions are simple, providing the answers is challenging and gets at the core of how your organization operates today and how you prepare for the future. How does your organization measure up?

Whether your organization is small or large; is involved in elementary, secondary, or higher education; or has one location or multiple sites, the Education Criteria provide a valuable framework that can help you measure performance and plan in an uncertain environment. The Criteria can help you align resources with approaches, such as Plan-Do-Study-Act, a Balanced Scorecard, and accreditation self-studies; improve student achievement, communication, productivity, and effectiveness; and achieve strategic goals.

How to begin that first Baldrige assessment? Take a few minutes and scan the questions in the Organizational Profile on pages 12 and 14. A discussion of the answers to these questions might be your first Baldrige assessment. For additional guidance, refer to our free booklet *Getting Started with the Baldrige Criteria for Performance Excellence*.

Do you need to know what your faculty and staff and your senior managers think? Do you believe you have been making progress but want to accelerate or better focus your efforts? Try using our simple *Are We Making Progress?* and *Are We Making Progress as Leaders?* questionnaires. Organized by the seven Baldrige Criteria Categories, they will help you check your progress toward meeting your organizational goals and can improve communication among your faculty and staff and your leadership team.

Even if you don't expect to win the Baldrige Award, submitting an Award application has valuable benefits. Every applicant receives a detailed feedback report based on an independent, external assessment conducted by a panel of specially trained and recognized experts.

The Criteria are in your hands . . . so is an incredible opportunity. Why not take advantage of that opportunity? When you turn these pages, you turn the corner toward performance excellence. If you want more information, contact me at nqp@nist.gov.

Need some useful tools to meet the Baldrige Challenge? Try using

- *Getting Started with the Baldrige Criteria for Performance Excellence*
- E-Baldrige Organizational Profile found on our Web site at
www.baldrige.nist.gov/eBaldrige/Step_One.htm
- *Are We Making Progress?* and *Are We Making Progress as Leaders?*

Contact the Baldrige National Quality Program or visit our Web site for these and other educational materials.

The Quest for Excellence® XVIII Conference

Each year, The Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, provides a forum for Baldrige Award recipients to share their exceptional performance practices with worldwide leaders in business, education, health care, and nonprofit organizations. The Quest for Excellence XVIII will showcase the year 2005 Award recipients.

For the last 17 years, executives, managers, and quality leaders have come to this conference to learn how these role model organizations have achieved performance excellence. CEOs and other leaders from the Award recipient organizations give presentations covering all seven Categories of the Baldrige Criteria, their journey to performance excellence, and their lessons learned. At this three-day conference designed to maximize learning and networking opportunities, attendees will be able to interact with Award recipients.

The Quest for Excellence XVIII Conference will be held April 23–26, 2006, at the Hilton Washington in Washington, D.C. For further information, contact the Baldrige Program by mail: Baldrige National Quality Program, NIST, Administration Building, Room A600, 100 Bureau Drive, Stop 1020, Gaithersburg, MD 20899-1020; telephone: (301) 975-2036; fax: (301) 948-3716; or e-mail: nqp@nist.gov. For a general overview of the Baldrige National Quality Program, visit its Web site: www.baldrige.nist.gov.

The Malcolm Baldrige National Quality Award

The Award crystal, composed of two solid crystal prismatic forms, stands 14 inches tall. The crystal is held in a base of black anodized aluminum with the Award recipient's name engraved on the base. A 22-karat gold-plated medallion is captured in the front section of the crystal. The medal bears the inscriptions "Malcolm Baldrige National Quality Award" and "The Quest for Excellence" on one side and the Presidential Seal on the other.

The President of the United States traditionally presents the Award at a special ceremony in Washington, D.C.
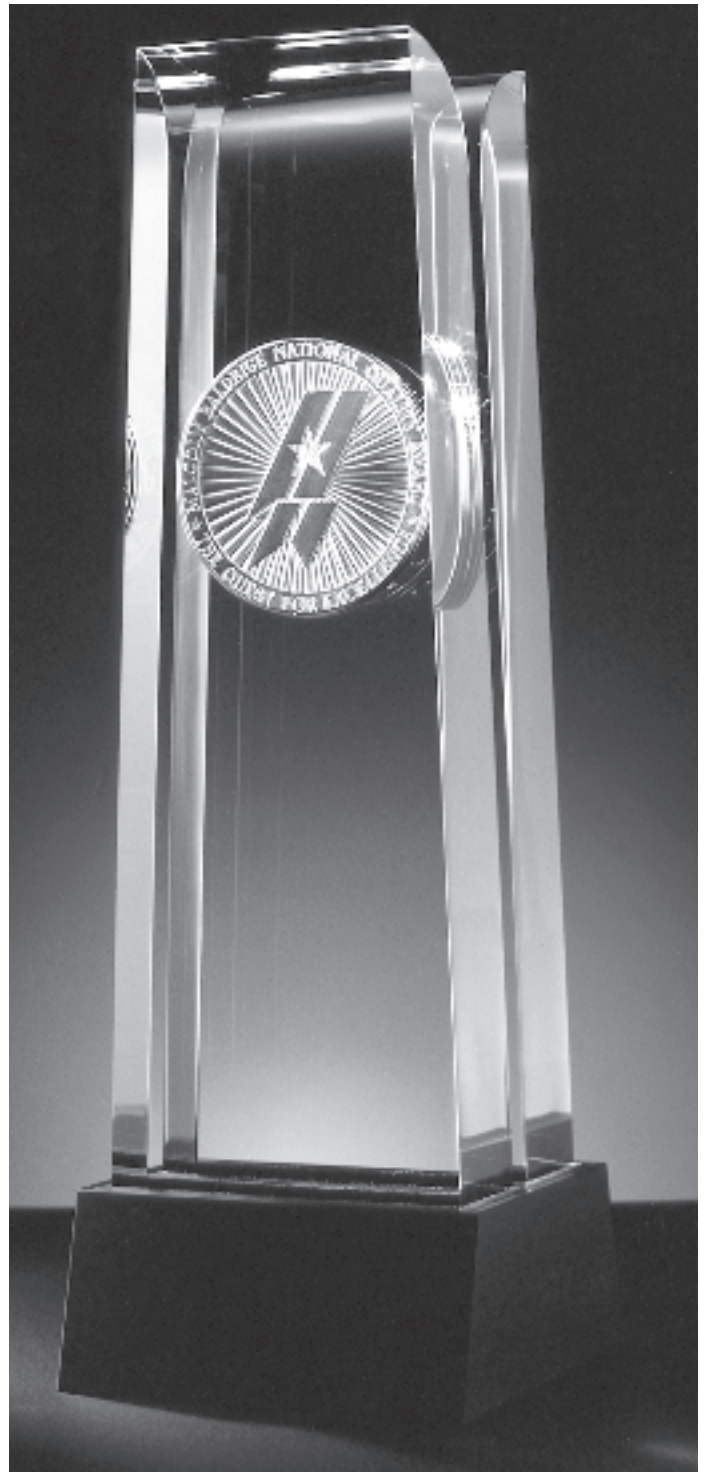
Crystal by Steuben

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CONTENTS

Business and health care organizations should use the appropriate Criteria booklets for their respective sectors. See pages 65–66 for ordering information.

If you plan to apply for the Award in 2006, you also will need the *Baldrige Award Application Forms*, which can be downloaded at www.baldrige.nist.gov/Award_Application.htm.

The first step in the Award application process is to provide the Eligibility Certification Package, which is due April 11, 2006. If you would like to recommend a senior member of your organization for the Board of Examiners, the package is due March 10, 2006.

Award Application Packages are due May 25, 2006, or May 11, 2006, if submitted on a CD.

We are easy to reach. Our Web site is www.baldrige.nist.gov.
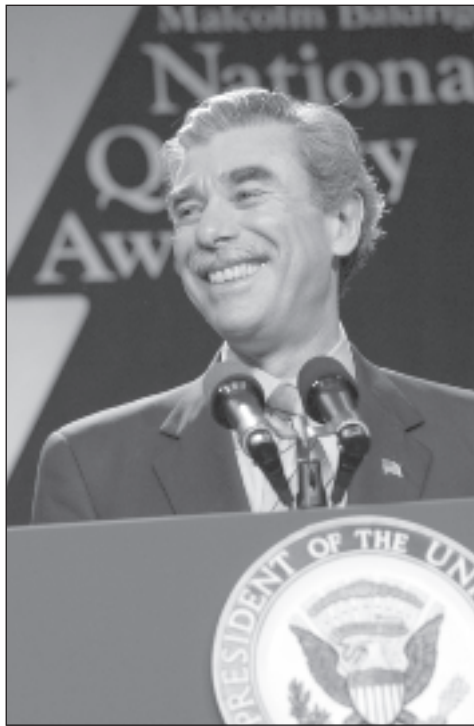
On July 20, 2005, the four 2004 Baldrige Award recipients— The Bama Companies, Inc. (Bama); Texas Nameplate Company, Inc. (TNC); Kenneth W. Monfort College of Business (Monfort); and Robert Wood Johnson University Hospital Hamilton (RWJ)—were honored. Clockwise from the upper right, the photographs show (1) the Award crystal; (2) U.S. Secretary of Commerce Carlos M. Gutierrez, Bama CEO Paula Marshall-Chapman, Bama Chairman of the Board and Founder/Owner Lilah Marshall, TNC President and CEO R. Dale Crownover, TNC Vice President and General Counsel John L. Darrouzet, U.S. Vice President Richard B. Cheney, Monfort Dean Joe Alexander, Monfort Assistant Dean Tim Jares, RWJ President and CEO Christy Stephenson, and RWJ Chief Operating Officer Deborah Cardello; (3) Vice President Cheney; (4) Vice President Cheney and the Award recipients; (5) and Secretary Gutierrez.

Criteria Purposes

The Criteria are the basis for conducting organizational self-assessments, for making Awards, and for giving feedback to applicants. In addition, the Criteria have three important roles:

- to help improve organizational performance practices, capabilities, and results

- to facilitate communication and sharing of best practices information among U.S. organizations of all types

- to serve as a working tool for understanding and managing performance and for guiding organizational planning and opportunities for learning

Education Criteria for Performance Excellence Goals

The Criteria are designed to help organizations use an integrated approach to organizational performance management that results in

- delivery of ever-improving value to students and stakeholders, contributing to education quality and organizational stability

- improvement of overall organizational effectiveness and capabilities

- organizational and personal learning

Core Values and Concepts

The Criteria are built on the following set of interrelated Core Values and Concepts:

- visionary leadership

- learning-centered education

- organizational and personal learning

- valuing faculty, staff, and partners

- agility

- focus on the future

- managing for innovation

- management by fact

- social responsibility

- focus on results and creating value

- systems perspective

These values and concepts, described below, are embedded beliefs and behaviors found in high-performing organizations. They are the foundation for integrating key performance and operational requirements within a results-oriented framework that creates a basis for action and feedback.

Visionary Leadership

Your organization's senior leaders should set directions and create a student-focused, learning-oriented climate; clear and visible values; and high expectations. The directions, values, and expectations should balance the needs of all your stakeholders. Your leaders should ensure the creation of strategies, systems, and methods for achieving performance excellence, stimulating innovation, building knowledge and capabilities, and ensuring organizational sustainability. The values and strategies should help guide all of your organization's activities and decisions. Senior leaders should inspire and motivate your entire workforce and should encourage all faculty and staff to contribute, to develop and learn, to be innovative, and to be creative. Senior leaders should be responsible to your organization's governance body for their actions and performance. The governance body should be responsible ultimately to all your stakeholders for the ethics, actions, and performance of your organization and its senior leaders.

Senior leaders should serve as role models through their ethical behavior and their personal involvement in planning, communications, coaching, development of future leaders, review of organizational performance, and faculty and staff recognition. As role models, they can reinforce ethics, values, and expectations while building leadership, commitment, and initiative throughout your organization.

In addition to their important role within the organization, senior leaders have other avenues to strengthen education. Reinforcing the learning environment in the organization might require building community support and aligning community and business leaders and community services with this aim.

Learning-Centered Education

In order to develop the fullest potential of all students, education organizations need to afford them opportunities to pursue a variety of avenues to success. Learning-centered education supports this goal by placing the focus of education on learning and the real needs of students. Such needs derive from market and citizenship requirements.

A learning-centered organization needs to fully understand these requirements and translate them into appropriate curricula and developmental experiences. For example, changes in technology and in the national and world economies have increased demands on employees to become knowledge workers and problem solvers, keeping pace with the rapid market changes. Most analysts conclude that to prepare students for this work environment, education organizations of all types need to focus more on students' active learning and on the development of problem-solving skills. Educational offerings also need to be built around effective learning, and effective teaching needs to stress promotion of learning and achievement.

Learning-centered education is a strategic concept that demands constant sensitivity to changing and emerging student, stakeholder, and market requirements and to the factors that drive student learning, satisfaction, and persistence. It demands anticipation of changes in the education market. Therefore, learning-centered education demands awareness of developments in technology and competitors' programs and offerings, as well as rapid and flexible responses to student, stakeholder, and market changes.

Key characteristics of learning-centered education include the following:

- High developmental expectations and standards are set for all students.

- Faculty understand that students may learn in different ways and at different rates. Student learning rates and styles may differ over time and may vary depending on subject matter. Learning may be influenced by support, guidance, and climate factors, including factors that contribute to or impede learning. Thus, the learning-centered organization needs to maintain a constant search for alternative ways to enhance learning. Also, the organization needs to develop actionable information on individual students that affects their learning.

- A primary emphasis on active learning is provided. This may require the use of a wide range of techniques, materials, and experiences to engage student interest. Techniques, materials, and experiences may be drawn from external sources, such as businesses, community services, or social service organizations.

- Formative assessment is used to measure learning early in the learning process and to tailor learning experiences to individual needs and learning styles.

- Summative assessment is used to measure progress against key, relevant external standards and norms regarding what students should know and should be able to do.

- Students and families are assisted in using self-assessment to chart progress and to clarify goals and gaps.

- There is a focus on key transitions, such as school-to-school and school-to-work.

Organizational and Personal Learning

Achieving the highest levels of organizational performance requires a well-executed approach to organizational and personal learning. Organizational learning includes both continuous improvement of existing approaches and significant change, leading to new goals and approaches. Learning needs to be embedded in the way your organization operates. This means that learning (1) is a regular part of daily work; (2) is practiced at personal, work unit, department, and organizational levels; (3) results in solving problems at their source ("root cause"); (4) is focused on building and sharing knowledge throughout your organization; and (5) is driven by opportunities to effect significant, meaningful change. Sources for learning include ideas from faculty and staff, education and learning research findings, students' and stakeholders' input, best practice sharing, and benchmarking.

Improvement in education requires a strong emphasis on effective design of educational programs, curricula, and learning environments. The overall design should include clear learning objectives, taking into account the individual needs of students. Design also must include effective means for gauging student progress. A central requirement of effective design is the inclusion of an assessment strategy. This strategy needs to emphasize the acquisition of formative information—information that provides an early indication of whether or not learning is taking place—to minimize problems that might arise if learning barriers are not promptly identified and addressed.

Faculty and staff success depends increasingly on having opportunities for personal learning and practicing new skills. Organizations invest in personal learning through education, training, and other opportunities for continuing growth and development. Such opportunities might include job rotation and increased pay for demonstrated knowledge and skills. Education and training programs may benefit from technologies, such as computer- and Internet-based learning and satellite broadcasts.

Personal learning can result in (1) more satisfied and versatile faculty and staff who stay with your organization, (2) organizational cross-functional learning, (3) the building of your organization's knowledge assets, and (4) an improved environment for innovation.

Thus, learning is directed not only toward better educational programs and services but also toward being more adaptive, innovative, flexible, and responsive to the needs of students, stakeholders, and the market, as well as giving your faculty and staff satisfaction and motivation to excel.

Valuing Faculty, Staff, and Partners

An organization's success depends increasingly on the diverse backgrounds, knowledge, skills, creativity, and motivation of all its faculty, staff, and partners, including volunteers, as appropriate.

Valuing faculty and staff means committing to their satisfaction, development, and well-being. Increasingly, this involves more flexible, high-performance work practices tailored to faculty and staff with varying workplace and home life needs. For staff, development might include classroom and on-the-job training, job rotation, and pay for demonstrated skills. For faculty, development means building not only discipline knowledge but also knowledge of student learning styles and of assessment methods. Faculty participation might include contributing to the organization's policies and working in teams to develop and execute programs and curricula. Increasingly, participation is becoming more student-focused and more multidisciplinary. Organization leaders should work to eliminate disincentives for groups and individuals to sustain these important, learning-focused professional development activities.

Major challenges in the area of valuing faculty and staff include (1) demonstrating your leaders' commitment to the success of your faculty and staff, (2) providing recognition that goes beyond the regular compensation system, (3) ensuring development and progression within your organization, (4) sharing your organization's knowledge so your faculty and staff can better serve your students and stakeholders and contribute to achieving your strategic objectives, (5) creating an environment that encourages creativity and innovation, and (6) creating a supportive environment for a diverse workforce.

Education organizations need to build internal and external partnerships to better accomplish overall goals. Internal partnerships might include cooperation among senior leaders, faculty, and staff. Partnerships with faculty and staff might entail faculty and staff development, cross-training, or new organizational structures, such as high-performance work teams. Internal partnerships also might involve creating network relationships among your work units to improve flexibility, responsiveness, and knowledge sharing.

External partnerships might be with other schools, suppliers, businesses, business associations, and community and social service organizations—all stakeholders and potential contributors. Strategic partnerships or alliances are increasingly important kinds of external partnerships. Such partnerships might offer entry into new markets or a basis for new programs or services. Also, partnerships might permit the blending of your organization's core competencies or leadership capabilities with the complementary strengths and capabilities of partners to address common issues.

Successful internal and external partnerships develop longer-term objectives, thereby creating a basis for mutual investment and respect. Partners should address the key requirements for success, means for regular communication, approaches to evaluating progress, and means for adapting to changing conditions. In some cases, joint education and training could offer a cost-effective method for employee development.

Agility

Success in today's ever-changing, globally competitive environment demands agility—a capacity for faster and more flexible responses to the needs of your students and stakeholders. Many organizations are learning that an explicit focus on and measurement of response times help drive the simplification of the organizational structure and work processes. Education organizations are increasingly being asked to respond rapidly to new or emerging social issues. Empowered faculty and staff are vital assets in responding to today's changing and demanding environment.

All aspects of time performance are becoming increasingly important and should be among your key process measures. Other important benefits can be derived from this focus on time; time improvements often drive simultaneous improvements in organization, quality, and cost.

Focus on the Future

In today's education environment, creating a sustainable organization requires understanding the short- and longer-term factors that affect your organization and the education market. Pursuit of education excellence requires a strong future orientation and a willingness to make long-term commitments to students and key stakeholders—your community, parents, employers, faculty and staff, suppliers, partners, and the public.

Your organization's planning should anticipate many factors, such as changes in educational requirements and instructional approaches, resource availability, students' and stakeholders' expectations, new partnering opportunities, faculty and staff development and hiring needs, technological developments, the evolving Internet environment, changes in demographics and in student and market segments, changes in community

and societal expectations and needs, and strategic moves by comparable organizations. Strategic objectives and resource allocations need to accommodate these influences. A major longer-term investment associated with your organization's improvement is the investment in creating and sustaining a mission-oriented assessment system focused on learning. This entails faculty education and training in assessment methods. In addition, the organization's leaders should be familiar with research findings and practical applications of assessment methods and learning style information. A focus on the future includes developing faculty and staff, accomplishing effective succession planning, creating opportunities for innovation, and anticipating public responsibilities and concerns.

Managing for Innovation

Innovation means making meaningful change to improve an organization's programs, services, processes, and operations and to create new value for the organization's stakeholders. Innovation should lead your organization to new dimensions of performance. Innovation is no longer strictly the purview of research; innovation is important for providing ever-improving educational value to students and for improving all educational and operational processes. Organizations should be led and managed so that innovation becomes part of the learning culture. Innovation should be integrated into daily work and should be supported by your performance improvement system.

Innovation builds on the accumulated knowledge of your organization and its faculty and staff. Therefore, the ability to rapidly disseminate and capitalize on this knowledge is critical to driving organizational innovation.

Management by Fact

Organizations depend on the measurement and analysis of performance. Such measurements should derive from the organization's needs and strategy, and they should provide critical data and information about key processes and results. Many types of data and information are needed for performance management. Performance measurement should focus on student learning, which requires a comprehensive and integrated fact-based system—one that includes input data, environmental data, performance data, comparative/competitive data, data on faculty and staff, cost data, and operational performance measurement. Measurement areas might include students' backgrounds, learning styles, aspirations, academic strengths and weaknesses, educational progress, classroom and program learning, satisfaction with instruction and services, extracurricular activities, dropout/matriculation rates, and postgraduation success. Examples of appropriate data segmentation include segmentation by student learning results, student demographics, and faculty and staff groups.

Analysis refers to extracting larger meaning from data and information to support evaluation, decision making, and improvement. Analysis entails using data to determine trends, projections, and cause and effect that might not otherwise be evident. Analysis supports a variety of purposes, such as planning, reviewing your overall performance, improving operations, accomplishing change management, and comparing your performance with organizations providing similar programs and services or with "best practices" benchmarks.

A major consideration in performance improvement and change management involves the selection and use of performance measures or indicators. *The measures or indicators you select should best represent the factors that lead to improved student, operational, financial, and ethical performance. A comprehensive set of measures or indicators tied to student, stakeholder, and organizational performance requirements represents a clear basis for aligning all processes with your organization's goals.* Through the analysis of data from your tracking processes, your measures or indicators themselves may be evaluated and changed to better support your goals.

Social Responsibility

An organization's leaders should stress responsibilities to the public, ethical behavior, and the need to practice good citizenship. Leaders should be role models for your organization in focusing on ethics and protection of public health, safety, and the environment. Protection of health, safety, and the environment includes your organization's operations. Planning should anticipate adverse impacts that might arise in facilities management, laboratory operations, and transportation. Effective planning should prevent problems, provide for a forthright response if problems occur, and make available information and support needed to maintain public awareness, safety, and confidence.

Organizations should not only meet all local, state, and federal laws and regulatory requirements, but they should treat these and related requirements as opportunities for improvement "beyond mere compliance." Organizations should stress ethical behavior in all stakeholder transactions and interactions. Highly ethical conduct should be a requirement of and should be monitored by the organization's governance body.

Practicing good citizenship refers to leadership and support—within the limits of an organization's resources—of publicly important purposes. Such purposes might include improving education in your community, pursuing environmental excellence, practicing resource conservation, performing community service, and sharing quality-related information. Leadership also entails influencing other organizations, private and public, to partner for these purposes.

Managing social responsibility requires the use of appropriate measures and leadership responsibility for those measures.

Focus on Results and Creating Value

An organization's performance measurements need to focus on key results. Results should be used to create and balance

value for your students and for your key stakeholders—the community, parents, employers, faculty and staff, suppliers, partners, and the public. By creating value for students and stakeholders, your organization contributes to society and to improving overall education performance, and it builds loyalty. To meet the sometimes conflicting and changing aims that balancing value implies, organizational strategy explicitly should include key stakeholder requirements. This will help ensure that plans and actions meet differing stakeholder needs and avoid adverse impacts on any stakeholders. The use of a balanced composite of leading and lagging performance measures offers an effective means to communicate short- and longer-term priorities, monitor actual performance, and provide a clear basis for improving results.
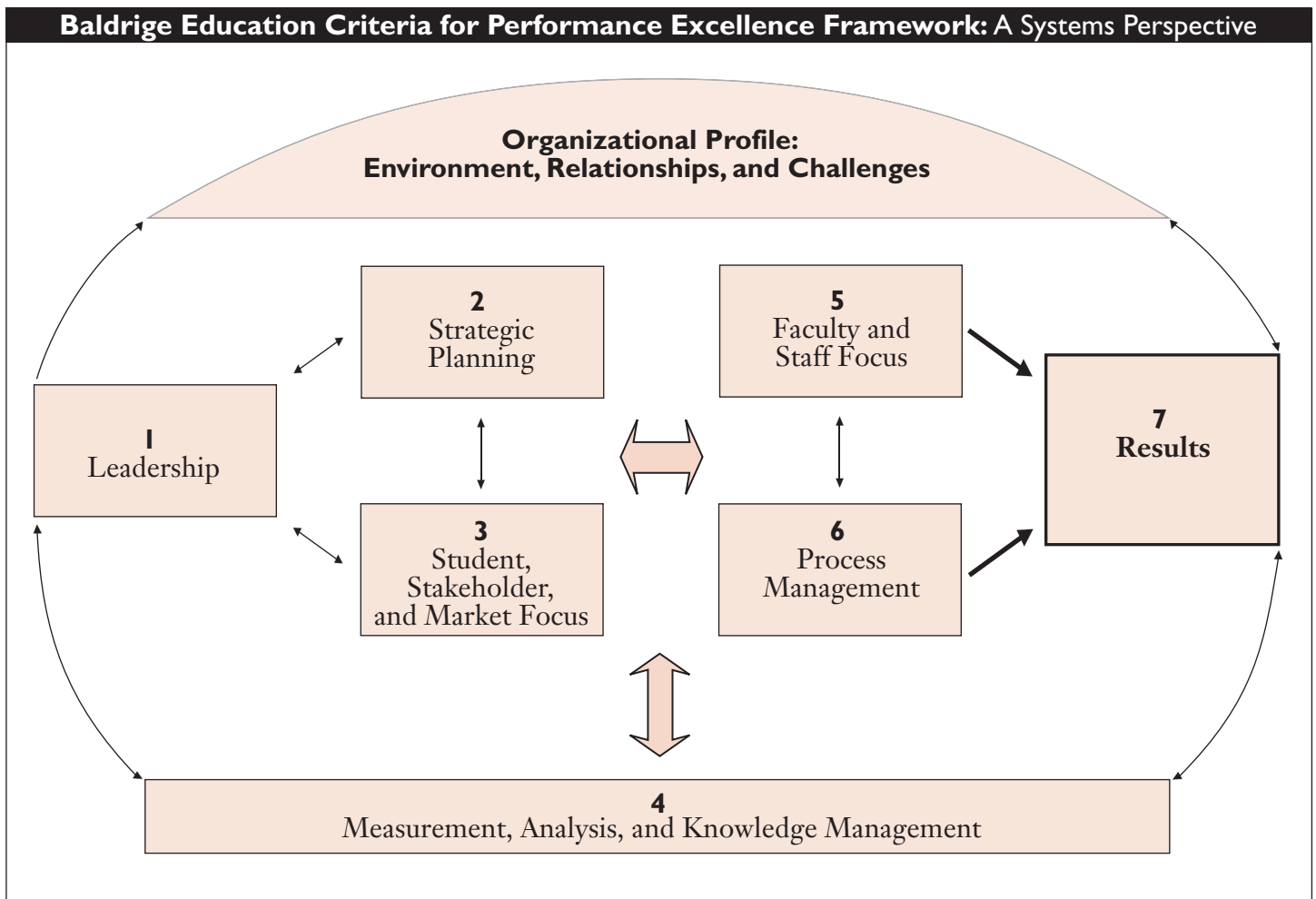
Systems Perspective

The Baldrige Criteria provide a systems perspective for managing your organization and its key processes to achieve results—performance excellence. The seven Baldrige Categories and the Core Values form the building blocks and the integrating mechanism for the system. However, successful management of overall performance requires organization-specific synthesis, alignment, and integration.

Synthesis means looking at your organization as a whole and builds on key educational requirements, including your strategic objectives and action plans. Alignment means using the key linkages among requirements given in the Baldrige Categories to ensure consistency of plans, processes, measures, and actions. Integration builds on alignment so that the individual components of your performance management system operate in a fully interconnected manner.

These concepts are depicted in the Baldrige framework below. A systems perspective includes your senior leaders' focus on strategic directions and on your students and stakeholders. It means that your senior leaders monitor, respond to, and manage performance based on your results. A systems perspective also includes using your measures, indicators, and organizational knowledge to build your key strategies. It means linking these strategies with your key processes and aligning your resources to improve overall performance and satisfy students and stakeholders.

Thus, a systems perspective means managing your whole organization, as well as its components, to achieve success.

Baldrige Education Criteria for Performance Excellence Framework: A Systems Perspective

Organizational Profile:
Environment, Relationships, and Challenges

2 Strategic Planning

5 Faculty and Staff Focus

1 Leadership

7 **Results**

3 Student, Stakeholder, and Market Focus

6 Process Management

4 Measurement, Analysis, and Knowledge Management

Education Criteria for Performance Excellence Framework

The Core Values and Concepts are embodied in seven Categories, as follows:

1 **Leadership**
2 **Strategic Planning**
3 **Student, Stakeholder, and Market Focus**
4 **Measurement, Analysis, and Knowledge Management**
5 **Faculty and Staff Focus**
6 **Process Management**
7 **Results**

The figure on page 5 provides the framework connecting and integrating the Categories.

From top to bottom, the framework has the following basic elements.

Organizational Profile

Your Organizational Profile (top of figure) sets the context for the way your organization operates. Your environment, key working relationships, and strategic challenges serve as an overarching guide for your organizational performance management system.

System Operations

The system operations are composed of the six Baldrige Categories in the center of the figure that define your operations and the results you achieve.

Leadership (Category 1), Strategic Planning (Category 2), and Student, Stakeholder, and Market Focus (Category 3) represent the leadership triad. These Categories are placed together to emphasize the importance of a leadership focus on strategy and on students and stakeholders. Senior leaders set your organizational direction and seek future opportunities for your organization.

Faculty and Staff Focus (Category 5), Process Management (Category 6), and Results (Category 7) represent the results triad. Your organization's faculty and staff and key processes accomplish the work of the organization that yields your overall performance results.

All actions point toward Results—a composite of student, stakeholder, market, budgetary, financial, and operational performance results, including faculty and staff, governance, and social responsibility results.

The horizontal arrow in the center of the framework links the leadership triad to the results triad, a linkage critical to organizational success. Furthermore, the arrow indicates the central relationship between Leadership (Category 1) and Results (Category 7). The two-headed arrows indicate the importance of feedback in an effective performance management system.

System Foundation

Measurement, Analysis, and Knowledge Management (Category 4) are critical to the effective management of your organization and to a fact-based, knowledge-driven system for improving performance. Measurement, analysis, and knowledge management serve as a foundation for the performance management system.

Criteria Structure

The seven Criteria Categories shown in the figure are subdivided into Items and Areas to Address.

Items

There are 19 Items, each focusing on a major requirement. Item titles and point values are given on page 11. The Item format is shown on page 57.

Areas to Address

Items consist of one or more Areas to Address (Areas). Organizations should address their responses to the specific requirements of these Areas.

KEY CHARACTERISTICS OF THE EDUCATION CRITERIA

1. The Criteria focus on results.

The Criteria focus on the key areas of organizational performance given below.

> **Organizational performance areas:**
>
> (1) student learning outcomes
>
> (2) student- and stakeholder-focused outcomes
>
> (3) budgetary, financial, and market outcomes
>
> (4) faculty and staff outcomes
>
> (5) organizational effectiveness outcomes, including key internal operational performance measures
>
> (6) leadership and social responsibility outcomes

The use of this composite of measures is intended to ensure that strategies are balanced—that they do not inappropriately trade off among important stakeholders, objectives, or short- and longer-term goals.

2. The Criteria are nonprescriptive and adaptable.

The Criteria are made up of results-oriented requirements. However, the Criteria *do not* prescribe

- how your organization should be structured;

- that your organization should or should not have departments for quality, planning, or other functions; or

- that different units in your organization should be managed in the same way.

These factors differ among organizations, and they are likely to change as needs and strategies evolve.

The Criteria are nonprescriptive for the following reasons:

(1) The focus is on results, not on procedures, tools, or organizational structure. Organizations are encouraged to develop and demonstrate creative, adaptive, and flexible approaches for meeting requirements. Nonprescriptive requirements are intended to foster incremental and major ("breakthrough") improvements, as well as basic change through innovation.

(2) The selection of tools, techniques, systems, and organizational structure usually depends on factors such as organization type and size, organizational relationships, your organization's stage of development, and faculty and staff capabilities and responsibilities.

(3) A focus on common requirements, rather than on common procedures, fosters understanding, communication, sharing, alignment, and integration, while supporting innovation and diversity in approaches.

3. The Criteria integrate key education themes.

The Education Criteria have been adapted to consider several important education concepts and the specific needs of education organizations. These include the following:

- The Education Criteria place a primary focus on teaching and learning because these are the principal goals of education organizations.

- While the Education Criteria stress a focus on student learning for all education organizations, individual organizational missions, roles, and programs will vary for different types of organizations (e.g., primary and secondary schools, trade schools, engineering schools, or teaching and research organizations).

- Students are the key customers of education organizations, but there may be multiple stakeholders (e.g., parents, employers, other schools, and communities).

- The concept of excellence includes three components: (1) a well-conceived and well-executed assessment strategy; (2) year-to-year improvement in key measures and indicators of performance, especially student learning; and (3) demonstrated leadership in performance and performance improvement relative to comparable organizations and to appropriate benchmarks.

4. The Criteria support a systems perspective to maintaining organization-wide goal alignment.

The systems perspective to goal alignment is embedded in the integrated structure of the Core Values and Concepts, the Organizational Profile, the Criteria, the Scoring Guidelines, and the results-oriented, cause-effect linkages among the Criteria Items.

Alignment in the Criteria is built around connecting and reinforcing measures derived from your organization's processes and strategy. These measures tie directly to student and stakeholder value and to overall performance. The use of measures thus channels different activities in consistent directions with less need for detailed procedures, centralized decision making, or overly complex process management. Measures thereby serve as both a communications tool and a basis for deploying consistent overall performance requirements. Such alignment ensures consistency of purpose while also supporting agility, innovation, and decentralized decision making.

A systems perspective to goal alignment, particularly when strategy and goals change over time, requires dynamic linkages among Criteria Items. In the Criteria,

action-oriented cycles of learning take place via feedback between processes and results.

The learning cycles have four, clearly defined stages:

(1) planning, including design of processes, selection of measures, and deployment of requirements

(2) executing plans

(3) assessing progress and capturing new knowledge, taking into account internal and external results

(4) revising plans based on assessment findings, learning, new inputs, new requirements, and opportunities for innovation

5. The Criteria support goal-based diagnosis.

The Criteria and the Scoring Guidelines make up a two-part diagnostic (assessment) system. The Criteria are a set of 19 performance-oriented requirements. The Scoring Guidelines spell out the assessment dimensions—Process and Results—and the key factors used to assess each dimension. An assessment thus provides a profile of strengths and opportunities for improvement relative to the 19 performance-oriented requirements and relative to process and performance maturity as determined by the Scoring Guidelines. In this way, assessment leads to actions that contribute to performance improvement in all areas, as described in the shaded box on page 7. This diagnostic assessment is a useful management tool that goes beyond most performance reviews and is applicable to a wide range of strategies, management systems, and types of organizations.

CHANGES FROM THE 2005 EDUCATION CRITERIA

The Education Criteria for Performance Excellence have evolved significantly over time to help organizations address a dynamic environment, focus on strategy-driven performance, and, most recently, address concerns about governance, ethics, and organizational sustainability. The Criteria have continually progressed toward a comprehensive, integrated systems perspective of overall organizational performance management.

Each year, the decision whether to revise the Criteria must balance two important considerations. On one hand, there is a need for Criteria that are at the leading edge of validated management practice to help users address the increasingly complex challenges they face; on the other hand, there is a desire for Criteria that are stable to allow users continuity in their performance assessments. In 2005, the Baldrige Criteria were significantly revised to address the focused demands on senior leaders, the need for long-term (as well as short-term) organizational sustainability, the great challenges of innovating organizations (not just technology), the difficulty of executing new processes and strategic plans, and the benefits of improved alignment of all aspects of your management system with your results measurements. Recognizing the challenges for organizations to address these opportunities, the decision was made to make no substantive revisions to the Criteria for 2006.

The most significant changes in the Education Criteria booklet for 2006 are summarized as follows:

- Each Criteria Item title now includes a simple question that encompasses the central concept of the Item.
- "Faculty and staff" has been added to the Glossary of Key Terms.

Minor wording improvements have been made throughout the Criteria booklet.

Criteria Item Titles

Each Criteria Item title now includes a simple question that addresses the basic requirements of the Item. This question identifies for Criteria users the most central concept or fundamental theme of the Item. Criteria users who have completed their Organizational Profile may choose to perform their first "complete" Baldrige assessment by responding to the 19 Item title questions, using the detailed content of the Criteria Item as an educational guide to understand the central concept more fully.

Glossary of Key Terms

The term "faculty and staff" has specific meaning and significance in a Baldrige assessment. The term has been defined to help users better understand all the people who may be included as faculty and staff for a Baldrige assessment.
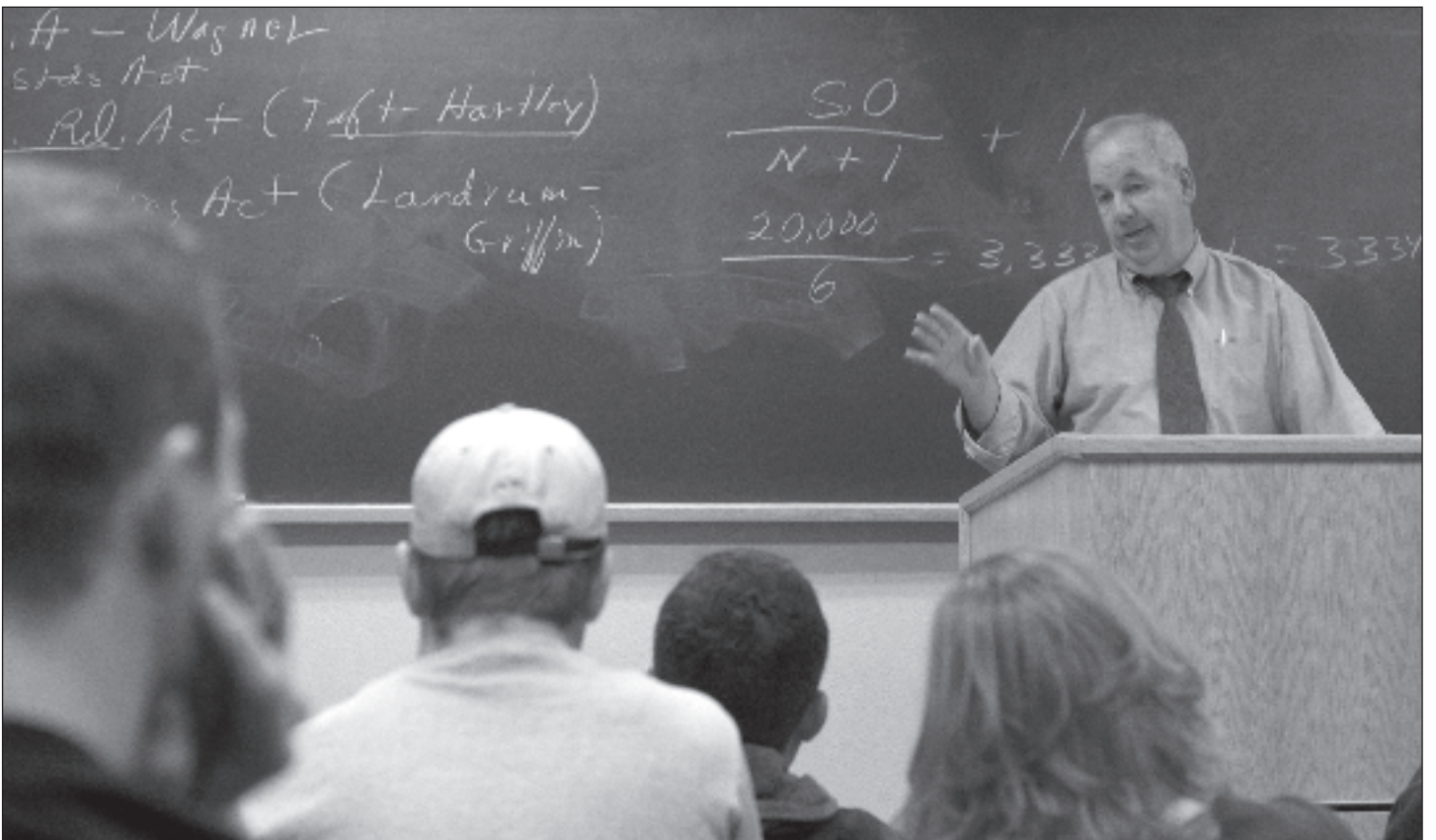
			Point Values
P	**Preface: Organizational Profile**		
	P.1	Organizational Description	
	P.2	Organizational Challenges	

2006 Categories and Items — **Point Values**

1	**Leadership**		**120**
	1.1	Senior Leadership	70
	1.2	Governance and Social Responsibilities	50
2	**Strategic Planning**		**85**
	2.1	Strategy Development	40
	2.2	Strategy Deployment	45
3	**Student, Stakeholder, and Market Focus**		**85**
	3.1	Student, Stakeholder, and Market Knowledge	40
	3.2	Student and Stakeholder Relationships and Satisfaction	45
4	**Measurement, Analysis, and Knowledge Management**		**90**
	4.1	Measurement, Analysis, and Review of Organizational Performance	45
	4.2	Information and Knowledge Management	45
5	**Faculty and Staff Focus**		**85**
	5.1	Work Systems	35
	5.2	Faculty and Staff Learning and Motivation	25
	5.3	Faculty and Staff Well-Being and Satisfaction	25
6	**Process Management**		**85**
	6.1	Learning-Centered Processes	45
	6.2	Support Processes and Operational Planning	40
7	**Results**		**450**
	7.1	Student Learning Outcomes	100
	7.2	Student- and Stakeholder-Focused Outcomes	70
	7.3	Budgetary, Financial, and Market Outcomes	70
	7.4	Faculty and Staff Outcomes	70
	7.5	Organizational Effectiveness Outcomes	70
	7.6	Leadership and Social Responsibility Outcomes	70
		TOTAL POINTS	**1,000**

> **Note:** The Scoring System used with the Criteria Items in a Baldrige assessment can be found on pages 53–56.

Importance of Beginning With Your Organizational Profile

Your Organizational Profile is critically important because

- it is the most appropriate starting point for self-assessment and for writing an application;

- it helps you identify potential gaps in key information and focus on key performance requirements and results;

- it is used by the Examiners and Judges in application review, including the site visit, to understand your organization and what you consider important; and

- it also may be used by itself for an initial self-assessment. If you identify topics for which conflicting, little, or no information is available, it is possible that the Organizational Profile can serve as your complete assessment, and you can use these topics for action planning.

P Preface: Organizational Profile

The *Organizational Profile* is a snapshot of your organization, the KEY influences on HOW you operate, and the KEY challenges you face.

P.1 Organizational Description: What are your key organizational characteristics?

Describe your organization's operating environment and your KEY relationships with students, STAKEHOLDERS, suppliers, and PARTNERS.

Within your response, include answers to the following questions:

a. Organizational Environment
  (1) What are your organization's main educational programs, offerings, and services? What are the delivery mechanisms used to provide your educational programs, offerings, and services to students?

  (2) What is your organizational culture? What are your stated PURPOSE, VISION, MISSION, and VALUES?

  (3) What is your FACULTY AND STAFF profile? What are your categories and types of FACULTY AND STAFF? What are their education levels? What are your organization's workforce and job DIVERSITY, organized bargaining units, use of contract employees, and special health and safety requirements?

  (4) What are your major technologies, equipment, and facilities?

  (5) What is the regulatory environment under which your organization operates? What are the mandated federal, state, and local standards, curricula, programs, and assessments; applicable occupational health and safety regulations; accreditation requirements; administrator and teacher certification requirements; and environmental and financial regulations? What are your district boundaries and service offering restrictions, as appropriate?

b. Organizational Relationships
  (1) What are your organizational structure and GOVERNANCE system? What are the reporting relationships between your GOVERNANCE board/policymaking body and your SENIOR LEADERS, as appropriate?

  (2) What are your KEY student SEGMENTS, STAKEHOLDER groups, and market SEGMENTS, as appropriate? What are their KEY requirements and expectations for your programs, offerings, services, and operations? What are the differences in these requirements and expectations among student SEGMENTS, STAKEHOLDER groups, and market SEGMENTS?

  (3) What role do suppliers and PARTNERS play in your learning-centered PROCESSES and KEY support PROCESSES? What role, if any, do they play in your organizational INNOVATION PROCESSES? What are your most important types of suppliers and PARTNERS? What are your most important requirements for your suppliers?

  (4) What are your KEY supplier, PARTNER, student, and STAKEHOLDER relationships and communication mechanisms?

N1. The term "organization," as used in the Education Criteria, refers to the unit being assessed. The unit might be a school, a school district, a postsecondary organization, or a major academic unit within a college or university.

N2. The terms "suppliers" and "partners," as used in the Education Criteria, refer to providers of student services such as social services, before-/after-school day care, external bookstores, and transportation; partners such as future employers of students; and suppliers of goods for operations such as computing, photocopying, and grounds maintenance.

N3. Delivery mechanisms for educational programs, offerings, and services to your students and stakeholders (P.1a[1]) might be provided directly or through partners or collaborators.

N4. Student segments, stakeholder groups, and market segments (P.1b[2]) might be based on educational programs, offerings, services, or features;

geography; volume; or other factors that are important to your organization to define related market characteristics.

N5. Student segment, stakeholder group, and market segment requirements (P.1b[2]) might include special accommodation, customized curricula, reduced class size, multilingual services, customized degree requirements, student advising, dropout recovery programs, administrative cost reductions, and electronic communication.

N6. Communication mechanisms (P.1b[4]) should be two-way and might be in person, via regular mail or e-mail, Web-based, or by telephone. For many organizations, these mechanisms may change as the requirements of your students, stakeholders, and education community change.

N7. For some education organizations, governance and reporting relationships (P.1b[1]) might include relationships with foundation funding sources.

For definitions of key terms presented throughout the Criteria and Scoring Guidelines text in SMALL CAPS/SANS SERIF, see the Glossary of Key Terms on pages 67–74.

Frequently, several questions are grouped under one number (e.g., P.1a[3]). These questions are related and do not require separate responses. These multiple questions serve as a guide in understanding the full meaning of the information being requested.

Item notes serve three purposes: (1) to clarify terms or requirements presented in an Item, (2) to give instructions on responding to the Item requirements, and (3) to indicate key linkages to other Items. In all cases, the intent is to help you respond to the Item requirements.

P.2 Organizational Challenges: What are your key organizational challenges?

Describe your organization's competitive environment, your KEY STRATEGIC CHALLENGES, and your system for PERFORMANCE improvement.

Within your response, include answers to the following questions:

a. Competitive Environment

(1) What is your competitive position? What is your relative size and growth in your education sector or markets served? What are the numbers and types of competitors and KEY collaborators for your organization?

(2) What are the principal factors that determine your success relative to your competitors and comparable organizations delivering similar services? What are any KEY changes taking place that affect your competitive situation, including opportunities for collaboration, as appropriate?

(3) What are your KEY available sources of comparative and competitive data from within the academic community? What are your KEY available sources of comparative data for applicable analogous PROCESSES outside the academic community? What limitations, if any, are there in your ability to obtain these data?

b. STRATEGIC CHALLENGES

What are your KEY education and LEARNING, operational, human resource, and community-related STRATEGIC CHALLENGES? What are your KEY STRATEGIC CHALLENGES associated with organizational SUSTAINABILITY?

c. PERFORMANCE Improvement System

HOW do you maintain an overall organizational focus on PERFORMANCE improvement, including organizational LEARNING? HOW do you achieve SYSTEMATIC evaluation and improvement of KEY PROCESSES?

Notes:

N1. Principal factors (P.2a[2]) might include differentiators such as academic program leadership, services, student-to-faculty ratio, student and stakeholder satisfaction, recruitment and retention of faculty and staff, geographic proximity, and program options.

N2. Strategic challenges (P.2b) might include rapid technological change; disruptive technologies that rapidly revolutionize or make obsolete existing processes or programs; reduced educational program introduction cycle times; student transitions; special programming needs; achievement gaps for segmented groups; time allotment for professional development, planning, instruction, and learning; restructuring of schools; costly tasks involved in reforming educational structures, instruction, curricula, and programming; entry into new markets or market segments; changing student and community demographics and

competition; changing or emerging student, stakeholder, or regulatory requirements; student persistence; an aging workforce; and faculty/staff retention.

N3. Performance improvement (P.2c) is an assessment dimension used in the Scoring System to evaluate the maturity of organizational approaches and deployment (see pages 53–56). This question is intended to help you and the Baldrige Examiners set an overall context for your approach to performance improvement.

N4. Overall approaches to process improvement (P.2c) might include implementing the Plan-Do-Study-Act process; completing accreditation self-studies; applying nationally validated systems to improve teaching performance; or performing independent institutional, departmental, or program assessments.

Page Limit

For Baldrige Award applicants, the Organizational Profile is limited to five pages. These pages are not counted in the overall application page limit. Typing and formatting instructions for the Organizational Profile are the same as for the application. These instructions are given in the *Baldrige Award Application Forms*, which can be downloaded at www.baldrige.nist.gov/Award_Application.htm.

I Leadership (120 pts.)

The *Leadership* Category examines HOW your organization's SENIOR LEADERS guide and sustain your organization. Also examined are your organization's GOVERNANCE and HOW your organization addresses its ethical, legal, and community responsibilities.

1.1 Senior Leadership: How do your senior leaders lead? (70 pts.)   Process

Describe HOW SENIOR LEADERS guide and sustain your organization. Describe HOW SENIOR LEADERS communicate with FACULTY AND STAFF and encourage high PERFORMANCE.

Within your response, include answers to the following questions:

a. VISION and VALUES

(1) How do SENIOR LEADERS set organizational VISION and VALUES? How do SENIOR LEADERS deploy your organization's VISION and VALUES through your LEADERSHIP SYSTEM, to all FACULTY AND STAFF, to KEY suppliers and PARTNERS, and to students and STAKEHOLDERS, as appropriate? How do their personal actions reflect a commitment to the organization's VALUES?

(2) How do SENIOR LEADERS promote an environment that fosters and requires legal and ETHICAL BEHAVIOR?

(3) How do SENIOR LEADERS create a SUSTAINABLE organization? How do SENIOR LEADERS create an environment for PERFORMANCE improvement, accomplishment of your MISSION and STRATEGIC OBJECTIVES, INNOVATION, and organizational agility? How do they create an environment for organizational and FACULTY AND STAFF LEARNING? How do they personally participate in succession planning and the development of future organizational leaders?

b. Communication and Organizational PERFORMANCE

(1) How do SENIOR LEADERS communicate with, empower, and motivate all FACULTY AND STAFF throughout the organization? How do SENIOR LEADERS encourage frank, two-way communication throughout the organization? How do SENIOR LEADERS take an active role in FACULTY AND STAFF reward and recognition to reinforce high PERFORMANCE and a focus on the organization, as well as on students and STAKEHOLDERS?

(2) How do SENIOR LEADERS create a focus on action to accomplish the organization's objectives, improve PERFORMANCE, and attain your VISION? How do SENIOR LEADERS include a focus on creating and balancing VALUE for students and other STAKEHOLDERS in their organizational PERFORMANCE expectations?

Notes:

N1. Organizational vision (1.1a[1]) should set the context for strategic objectives and action plans, which are described in Items 2.1 and 2.2.

N2. A sustainable organization (1.1a[3]) is capable of addressing current organizational needs and possesses the agility and strategic management to prepare successfully for its future organizational and market environment. In this context, the concept of innovation includes both technological and organizational innovation to succeed in the future.

N3. A focus on action (1.1b[2]) considers both the people and the "hard assets" (e.g., facilities, technology infrastructure) of the organization. It includes ongoing improvements for student learning that may be achieved through such actions as implementing major education initiatives, integrating new technology, refining teaching methods and the curriculum design and development process, or incorporating faculty and staff training and development initiatives. In addition, it includes the actions to accomplish the organization's strategic objectives.

N4. Your organizational performance results should be reported in Items 7.1–7.6.

Item responses are assessed by considering the Criteria Item requirements; your key organization factors presented in your Organizational Profile; and the maturity of your approaches, breadth of their deployment, and strength of your improvement process and results relative to the Scoring System. Refer to the Scoring System information on pages 53–56.

1.2 Governance and Social Responsibilities: How do you govern and address your social responsibilities? (50 pts.)

Describe your organization's GOVERNANCE system. Describe HOW your organization addresses its responsibilities to the public, ensures ETHICAL BEHAVIOR, and practices good citizenship.

Within your response, include answers to the following questions:

a. Organizational GOVERNANCE

    (1) How does your organization address the following KEY factors in your GOVERNANCE system:

- accountability for management's actions

- fiscal accountability

- transparency in operations and selection and disclosure policies for members of your GOVERNANCE board/policymaking body, as appropriate

- independence in internal and external audits

- protection of STAKEHOLDER and stockholder interests, as appropriate

    (2) How do you evaluate the PERFORMANCE of your SENIOR LEADERS, including the head of the organization? How do you evaluate the PERFORMANCE of members of the GOVERNANCE board/policymaking body, as appropriate? HOW do SENIOR LEADERS and the GOVERNANCE board/policymaking body use these PERFORMANCE reviews to improve both their personal leadership EFFECTIVENESS and that of your board and LEADERSHIP SYSTEM, as appropriate?

b. Legal and ETHICAL BEHAVIOR

    (1) How do you address any adverse impacts on society of your programs, offerings, services, and operations? How do you anticipate public concerns with current and future programs, offerings, services, and operations? How do you prepare for these concerns in a proactive manner, including using resource-sustaining PROCESSES, as appropriate? What are your KEY compliance PROCESSES, MEASURES, and GOALS for achieving and surpassing regulatory, safety, accreditation, and legal requirements, as appropriate? What are your KEY PROCESSES, MEASURES, and GOALS for addressing risks associated with your programs, offerings, services, and operations?

    (2) How does your organization promote and ensure ETHICAL BEHAVIOR in all your interactions? What are your KEY PROCESSES and MEASURES or INDICATORS for enabling and monitoring ETHICAL BEHAVIOR in your GOVERNANCE structure, throughout your organization, and in interactions with students, STAKEHOLDERS, and PARTNERS? How do you monitor and respond to breaches of ETHICAL BEHAVIOR?

c. Support of KEY Communities

    HOW does your organization actively support and strengthen your KEY communities? How do you identify KEY communities and determine areas of emphasis for organizational involvement and support? What are your KEY communities? HOW do your SENIOR LEADERS, your FACULTY AND STAFF, and your students contribute to improving these communities?

Notes:

N1. Societal responsibilities in areas critical to your organization's ongoing success also should be addressed in Strategy Development (Item 2.1) and in Process Management (Category 6). Key results, such as results of regulatory, safety, legal, and accreditation compliance or environmental improvements through use of "green" technology or other means, should be reported as Leadership and Social Responsibility Results (Item 7.6).

N2. Transparency in operations (1.2a[1]) should include your internal controls on governance processes. For organizations that serve as stewards of public funds, stewardship of those funds and transparency of operations are areas of emphasis.

N3. Leadership performance evaluation (1.2a[2]) might be supported by peer reviews, formal performance management reviews (5.1b), reviews by external advisory boards, and formal or informal faculty, staff, and other stakeholder feedback and surveys.

N4. Measures or indicators of ethical behavior (1.2b[2]) might include instances of ethical conduct breaches and responses, survey results on faculty and staff perceptions of organizational ethics, and ethics hotline use. They also might include evidence that policies, public disclosure of information, staff training, and monitoring systems are in place with respect to conflicts of interest, acceptable use of

technology, use of active funds, or appropriate selection of vendors. Other measures or indicators might include the integrity of testing, faculty and staff accreditation, and equal access to resources.

N5. In describing your organization's support of key communities in 1.2c, include the contribution of your senior leaders, faculty and staff, and students. Areas of community support appropriate for inclusion might include your efforts to strengthen local community services, community education, the environment, and practices of professional associations.

For additional description of this Item, see pages 39–40.

N6. The health and safety of faculty and staff are not addressed in Item 1.2; you should address these factors in Item 5.3.

N7. You should report in 1.2b(1), as appropriate, how you address the legal and regulatory requirements and standards that govern your fundraising activities.

2 Strategic Planning (85 pts.)

The *Strategic Planning* Category examines HOW your organization develops STRATEGIC OBJECTIVES and ACTION PLANS. Also examined are HOW your chosen STRATEGIC OBJECTIVES and ACTION PLANS are deployed and changed if circumstances require, and HOW progress is measured.

2.1 Strategy Development: How do you develop your strategy? (40 pts.)   Process

Describe HOW your organization establishes its strategy and STRATEGIC OBJECTIVES, including HOW you address your STRATEGIC CHALLENGES. Summarize your organization's KEY STRATEGIC OBJECTIVES and their related GOALS.

Within your response, include answers to the following questions:

a. Strategy Development PROCESS

   (1) HOW does your organization conduct its strategic planning? What are the KEY PROCESS steps? Who are the KEY participants? HOW does your PROCESS identify potential blind spots? What are your short- and longer-term planning time horizons? HOW are these time horizons set? HOW does your strategic planning PROCESS address these time horizons?

   (2) HOW do you ensure that strategic planning addresses the KEY factors listed below? HOW do you collect and analyze relevant data and information pertaining to these factors as part of your strategic planning PROCESS:

   • your organization's strengths, weaknesses, opportunities, and threats

   • early indications of educational reform and major shifts in technology, student and community demographics, markets, competition, or the regulatory environment

   • long-term organizational SUSTAINABILITY and continuity in emergencies

   • your ability to execute the strategic plan

b. STRATEGIC OBJECTIVES

   (1) What are your KEY STRATEGIC OBJECTIVES and your timetable for accomplishing them? What are your most important GOALS for these STRATEGIC OBJECTIVES?

   (2) HOW do your STRATEGIC OBJECTIVES address the challenges identified in response to P.2 in your Organizational Profile? HOW do you ensure that your STRATEGIC OBJECTIVES balance short- and longer-term challenges and opportunities? HOW do you ensure that your STRATEGIC OBJECTIVES balance the needs of all students and KEY STAKEHOLDERS?

Notes:

N1. "Strategy development" refers to your organization's approach (formal or informal) to preparing for the future. Strategy development might utilize various types of forecasts, projections, options, scenarios, or other approaches to envisioning the future for purposes of decision making and resource allocation. Strategy development might involve key suppliers, partners, students, and stakeholders.

N2. "Strategy" should be interpreted broadly. Strategy might be built around or lead to any or all of the following: addition or termination of services and programs; redirection of resources; modifications in instructional design; use of technology; changes in testing or adoption of standards; services to new, changing, and special student populations; geographic challenges; grants and endowments; research priorities; new partnerships and alliances; and new faculty and staff relationships.

N3. Your organization's strengths, weaknesses, opportunities, and threats (2.1a[2]) should address all factors that are key to your organization's future success, including the following, as appropriate: learning-centered education to ensure student achievement; your student and stakeholder needs, expectations, and opportunities; your competitive environment and your capabilities relative to competitors and comparable organizations; technological and other key innovations or changes that might affect your educational programs and services and how you operate, as well as the rate of that innovation; your human and other resource needs; your opportunities to redirect resources to higher-priority programs, offerings, services, or areas; financial, budgetary, societal, ethical, regulatory, technological, and other potential risks; changes in the local, national, or global economy; the needs, strengths, and weaknesses of partners and suppliers; and other factors unique to your organization.

N4. Your ability to execute the strategic plan (2.1a[2]) also should address your organizational agility based on contingency plans or if circumstances require a shift in plans and rapid execution of new or changed plans.

N5. Strategic objectives that address key challenges (2.1b[2]) might include rapid response, customization of educational offerings, partnerships, joint ventures, understanding a changing education market, rapid

innovation, and information management. Responses to Item 2.1 should focus on your specific challenges— those most important to your students' success and to strengthening your organization's overall performance.

N6. Item 2.1 addresses your overall organizational strategy, which might include changes in educational programs and services. However, the Item does not address educational program and service design; you should address these factors in Item 6.1, as appropriate.

2.2 Strategy Deployment: How do you deploy your strategy? (45 pts.)   `Process`

Describe HOW your organization converts its STRATEGIC OBJECTIVES into ACTION PLANS. Summarize your organization's ACTION PLANS and related KEY PERFORMANCE MEASURES or INDICATORS. Project your organization's future PERFORMANCE on these KEY PERFORMANCE MEASURES or INDICATORS.

Within your response, include answers to the following questions:

a. ACTION PLAN Development and DEPLOYMENT
  (1) How do you develop and deploy ACTION PLANS to achieve your KEY STRATEGIC OBJECTIVES? How do you allocate resources to ensure accomplishment of your ACTION PLANS? How do you ensure that the KEY changes resulting from your ACTION PLANS can be sustained?

  (2) How do you establish and deploy modified ACTION PLANS if circumstances require a shift in plans and rapid execution of new plans?

  (3) What are your KEY short- and longer-term ACTION PLANS? What are the KEY changes, if any, in your programs, offerings, and services; your anticipated or planned student and STAKEHOLDER markets; and how you will operate?

  (4) What are your KEY human resource plans that derive from your short- and longer-term STRATEGIC OBJECTIVES and ACTION PLANS?

  (5) What are your KEY PERFORMANCE MEASURES or INDICATORS for tracking progress on your ACTION PLANS? How do you ensure that your overall ACTION PLAN measurement system reinforces organizational ALIGNMENT? How do you ensure that the measurement system covers all KEY DEPLOYMENT areas, students, and STAKEHOLDERS?

b. PERFORMANCE PROJECTION
  For the KEY PERFORMANCE MEASURES or INDICATORS identified in 2.2a(5), what are your PERFORMANCE PROJECTIONS for both your short- and longer-term planning time horizons? How does your projected PERFORMANCE compare with the projected PERFORMANCE of your competitors and comparable organizations? How does it compare with KEY BENCHMARKS, GOALS, and past PERFORMANCE, as appropriate? If there are current or projected gaps in PERFORMANCE against your competitors or comparable organizations, HOW will you address them?

Notes:

N1. Strategy and action plan development and deployment are closely linked to other Items in the Criteria. The following are examples of key linkages:

- Item 1.1 for how your senior leaders set and communicate directions;

- Category 3 for gathering knowledge of students, stakeholders, and markets as input to your strategy and action plans and for deploying action plans;

- Category 4 for measurement, analysis, and knowledge management to support your key information needs, to support your development of strategy, to provide an effective basis for your performance measurements, and to track progress relative to your strategic objectives and action plans;

- Category 5 for your work system needs and faculty and staff education, training, and development needs, and for implementing human

resource-related changes resulting from action plans;

- Category 6 for process requirements resulting from your action plans; and

- Item 7.6 for specific accomplishments relative to your organizational strategy and action plans.

N2. Deployment of action plans (2.2a[1]) might include key partners, collaborators, and suppliers.

N3. Human resource plans (2.2a[4]) might include faculty, academic staff members, nonacademic staff members, contract employees, and volunteers.

For additional description of this Item, see pages 41–42.

N4. Measures and indictors of projected performance (2.2b) might include changes resulting from significant anticipated innovations in education programs, services, and technology; the redirection of resources; the effectiveness of research and services; the improved performance of administrative and other support functions; improvement in safety; and new legislative mandates or legal requirements.

3 Student, Stakeholder, and Market Focus (85 pts.)

The *Student, STAKEHOLDER, and Market Focus* Category examines HOW your organization determines the requirements, needs, expectations, and preferences of students, STAKEHOLDERS, and markets. Also examined is HOW your organization builds relationships with students and STAKEHOLDERS and determines the KEY factors that attract students and lead to student and STAKEHOLDER satisfaction and loyalty, student PERSISTENCE, increased educational services and programs, and organizational SUSTAINABILITY.

3.1 Student, Stakeholder, and Market Knowledge: How do you use student, stakeholder, and market knowledge? (40 pts.)

Process

Describe HOW your organization determines requirements, needs, expectations, and preferences of students, STAKEHOLDERS, and markets to ensure the continuing relevance of your educational programs, offerings, and services; to develop opportunities for new programs, services, and offerings; and to create an overall climate conducive to LEARNING and development for all students.

Within your response, include answers to the following questions:

a. Student, STAKEHOLDER, and Market Knowledge

(1) HOW do you identify the student and market SEGMENTS your educational programs will address? HOW do you determine which student and market SEGMENTS to pursue for current and future educational programs, offerings, and services? HOW do you include students currently served by other education providers and other potential students and markets in this determination?

(2) HOW do you listen and learn to determine students' and STAKEHOLDERS' KEY requirements, needs, and changing expectations (including educational program, offering, and service features) and their relative importance to these groups' decisions related to enrollment? HOW do your determination methods vary for different student SEGMENTS and STAKEHOLDER groups? HOW do you use relevant information and feedback from current, former, and future students and STAKEHOLDERS, including utilization of offerings, facilities, and services; PERSISTENCE; voluntary departure or transfer; and complaint data for purposes of planning educational programs, offerings, and services; marketing; making PROCESS improvements; and developing new services? HOW do you use this information and feedback to become more student- and STAKEHOLDER-focused and to better satisfy student and STAKEHOLDER needs and desires?

(3) HOW do you keep your listening and LEARNING methods current with educational service needs and directions, including changes in your education community?

Notes:

N1. Your responses to this Item should include the student segments, stakeholder groups, and market segments identified in P.1b(2).

N2. "Educational program, offering, and service features" (3.1a[2]) refers to all the important characteristics of programs, services, and offerings available throughout the period of time students attend your organization. This includes the period from students' initial decisions to enroll in your organization through the time of their departures. The focus should be on features that affect students' and stakeholders' preferences, loyalty, general and special needs, and other requirements. These features might include curricular focus, student placement following completion of the educational goal or training objective, faculty and staff composition, extracurricular activities, or tuition and other associated costs.

N3. Listening and learning (3.1a[2]) might include gathering and integrating survey data, focus group findings, Web-based data, and other data and information that affect students' and stakeholders' education decisions. Keeping your listening and learning methods current with educational service needs and directions (3.1a[3]) also might include use of newer technology, such as Web-based data gathering.

3.2 Student and Stakeholder Relationships and Satisfaction: How do you build relationships and grow student and stakeholder satisfaction and loyalty? (45 pts.)

<div align="right">Process</div>

Describe HOW **your organization builds relationships to attract, satisfy, and retain students and** STAKEHOLDERS **and to increase student and** STAKEHOLDER **loyalty. Describe also** HOW **your organization determines student and** STAKEHOLDER **satisfaction.**

Within your response, include answers to the following questions:

a. Student and STAKEHOLDER Relationship Building

(1) How do you build relationships to attract and retain students and STAKEHOLDERS, to enhance students' PERFORMANCE and to meet and exceed their expectations for LEARNING, to satisfy students and STAKEHOLDERS, and to foster new and continuing interactions and positive referrals?

(2) How do your KEY access mechanisms enable students and STAKEHOLDERS to seek information, pursue common purposes, and make complaints? What are your KEY access mechanisms? How do you determine KEY student and STAKEHOLDER contact requirements for each mode of access? How do you ensure that these contact requirements are deployed to all people and PROCESSES involved in maintaining these relationships?

(3) How do you manage student and STAKEHOLDER complaints? How do you ensure that complaints are resolved EFFECTIVELY and promptly? How do you minimize student and STAKEHOLDER dissatisfaction? How are complaints aggregated and analyzed for use in improvement throughout your organization and by your PARTNERS?

(4) How do you keep your APPROACHES to building relationships and providing student and STAKEHOLDER access current with educational service needs and directions?

b. Student and STAKEHOLDER Satisfaction Determination

(1) How do you determine student and STAKEHOLDER satisfaction, dissatisfaction, and loyalty? How do these determination methods differ among student SEGMENTS and STAKEHOLDER groups? How do you ensure that your measurements capture actionable information for use in exceeding students' and STAKEHOLDERS' expectations, securing their future interactions with your organization, and encouraging positive referrals, as appropriate? How do you use student and STAKEHOLDER satisfaction and dissatisfaction information for improvement?

(2) How do you follow up with students and KEY STAKEHOLDERS on the quality of programs, services, and offerings to receive prompt and actionable feedback?

(3) How do you obtain and use information on the satisfaction of your students and STAKEHOLDERS relative to their satisfaction with your competitors or other organizations delivering similar educational services and/or relative to academic BENCHMARKS?

(4) How do you keep your APPROACHES to determining satisfaction current with educational service needs and directions?

Notes:

N1. Building student and stakeholder relationships (3.2a) might include the development of partnerships or alliances (e.g., with businesses or other schools).

N2. Determining student and stakeholder satisfaction and dissatisfaction (3.2b) might include use of any or all of the following: surveys, formal and informal feedback, dropout rates, absenteeism, student conflict data, and complaints. Information might be gathered on the Internet, through personal contact or a third party, or by mail.

N3. Student and stakeholder satisfaction measurements (3.2b[1]) might include both a numerical rating scale and descriptors for each unit in the scale.

Actionable student and stakeholder satisfaction measurements provide useful information about specific educational program and service features, delivery, interactions, and transactions that affect student development and learning and students' and stakeholders' future actions (e.g., transfer or positive referral).

N4. Other organizations providing similar educational services (3.2b[3]) might include organizations that provide these services in other geographic areas to different populations of people.

N5. Your student and stakeholder satisfaction and dissatisfaction results should be reported in Item 7.2.

4 Measurement, Analysis, and Knowledge Management (90 pts.)

The *Measurement, ANALYSIS, and Knowledge Management* Category examines HOW your organization selects, gathers, analyzes, manages, and improves its data, information, and KNOWLEDGE ASSETS. Also examined is HOW your organization reviews its PERFORMANCE.

4.1 Measurement, Analysis, and Review of Organizational Performance: How do you measure, analyze, and review organizational performance? (45 pts.) `Process`

Describe HOW your organization measures, analyzes, aligns, reviews, and improves student and operational PERFORMANCE data and information at all LEVELS and in all parts of your organization.

Within your response, include answers to the following questions:

a. PERFORMANCE Measurement

(1) HOW do you select, collect, align, and integrate data and information, including evidence of student LEARNING, for tracking daily operations and for tracking overall organizational PERFORMANCE, including progress relative to STRATEGIC OBJECTIVES and ACTION PLANS? What are your KEY organizational PERFORMANCE MEASURES? HOW do you use these data and information to support organizational decision making and INNOVATION?

(2) How do you select and ensure the EFFECTIVE use of KEY comparative data and information from within and outside the academic community to support operational and strategic decision making and INNOVATION?

(3) How do you keep your PERFORMANCE measurement system current with educational service needs and directions? HOW do you ensure that your PERFORMANCE measurement system is sensitive to rapid or unexpected organizational or external changes?

b. PERFORMANCE ANALYSIS and Review

(1) How do you review organizational PERFORMANCE and capabilities? How do your SENIOR LEADERS participate in these reviews? What ANALYSES do you perform to support these reviews and to ensure that conclusions are valid? HOW do you use these reviews to assess organizational success, PERFORMANCE relative to competitors and comparable organizations, and progress relative to STRATEGIC OBJECTIVES and ACTION PLANS? How do you use these reviews to assess your organization's ability to rapidly respond to changing organizational needs and challenges in your operating environment?

(2) How do you translate organizational PERFORMANCE review findings into priorities for continuous and breakthrough improvement and into opportunities for INNOVATION? How are these priorities and opportunities deployed to FACULTY AND STAFF throughout your organization to enable EFFECTIVE support for their decision making? When appropriate, HOW are the priorities and opportunities deployed to your feeder and/or receiving schools and to your suppliers, PARTNERS, and collaborators to ensure organizational ALIGNMENT?

Notes:

N1. Performance measurement is used in fact-based decision making for setting and aligning organizational directions and resource use at the classroom, departmental, key process, school/college, and whole organization levels.

N2. Comparative data and information (4.1a[2]) are obtained by benchmarking and by seeking competitive comparisons. "Benchmarking" refers to identifying processes and results that represent best practices and performance for similar activities, inside or outside the academic community. Competitive comparisons relate your organization's performance to that of comparable organizations and/or student populations and competing organizations.

N3. Organizational performance reviews (4.1b[1]) should be informed by organizational performance measurement and guided by the strategic objectives and action plans described in Items 2.1 and 2.2. The reviews also might be informed by internal or external Baldrige assessments.

N4. Analysis includes examining trends; organizational, academic community, and technology projections; and comparisons, cause-effect relationships, and correlations intended to support your performance reviews, help determine root causes, and help set priorities for resource use. Accordingly, analysis draws on all types of data: student, student group, school program, stakeholder, market, operational, budgetary, financial, and comparative.

N5. The results of organizational performance analysis and review should contribute to your organizational strategic planning in Category 2.

N6. Your organizational performance results should be reported in Items 7.1–7.6.

4.2 Information and Knowledge Management: How do you manage organizational information and knowledge? (45 pts.)

Process

Describe HOW your organization ensures the quality and availability of needed data and information for FACULTY AND STAFF, students and STAKEHOLDERS, suppliers, PARTNERS, and collaborators. Describe HOW your organization builds and manages its KNOWLEDGE ASSETS.

Within your response, include answers to the following questions:

a. Data and Information Availability
   (1) HOW do you make needed data and information available? HOW do you make them accessible to FACULTY AND STAFF, students, STAKEHOLDERS, suppliers, PARTNERS, and collaborators, as appropriate?

   (2) HOW do you ensure that hardware and software are reliable, secure, and user-friendly?

   (3) HOW do you ensure the continued availability of data and information, including the availability of hardware and software systems, in the event of an emergency?

   (4) HOW do you keep your data and information availability mechanisms, including your software and hardware systems, current with educational service needs and directions and with technological changes in your operating environment?

b. Organizational Knowledge Management
   HOW do you manage organizational knowledge to accomplish the following:
   - the collection and transfer of FACULTY AND STAFF knowledge

   - the transfer of relevant knowledge from and to students, STAKEHOLDERS, suppliers, PARTNERS, and collaborators

   - the rapid identification, sharing, and implementation of best practices

c. Data, Information, and Knowledge Quality
   HOW do you ensure the following properties of your data, information, and organizational knowledge:
   - accuracy

   - integrity and reliability

   - timeliness

   - security and confidentiality

Notes:

N1. Data and information availability (4.2a) are of growing importance as the Internet and school Web sites are used increasingly for student-school and stakeholder-school interactions and as intranets become more important as a major source of organization-wide communications.

N2. Data and information access (4.2a[1]) might be via electronic or other means.

5 Faculty and Staff Focus (85 pts.)

The **FACULTY AND STAFF Focus** Category examines HOW your organization's WORK SYSTEMS and FACULTY AND STAFF LEARNING and motivation enable all FACULTY AND STAFF to develop and utilize their full potential in ALIGNMENT with your organization's overall objectives, strategy, and ACTION PLANS. Also examined are your organization's efforts to build and maintain a work environment and FACULTY AND STAFF support climate conducive to PERFORMANCE EXCELLENCE and to personal and organizational growth.

5.1 Work Systems: How do you enable faculty and staff to accomplish the work of your organization? (35 pts.)

Process

Describe HOW your organization's work and jobs enable all FACULTY AND STAFF and the organization to achieve HIGH PERFORMANCE. Describe HOW compensation, career progression, and related workforce practices enable FACULTY AND STAFF and the organization to achieve HIGH PERFORMANCE.

Within your response, include answers to the following questions:

a. Organization and Management of Work
   (1) HOW do you organize and manage work and jobs, including skills, to promote cooperation, initiative, EMPOWERMENT, INNOVATION, and your organizational culture? How do you ensure that the skill and experience levels of your workforce are equitably distributed (e.g., among individual schools or campuses)? How do you organize and manage work and jobs, including skills, to achieve the agility to keep current with educational service needs and to achieve your ACTION PLANS?

   (2) How do your WORK SYSTEMS capitalize on the diverse ideas, cultures, and thinking of your FACULTY AND STAFF and the communities with which you interact (your FACULTY AND STAFF hiring communities and your student and STAKEHOLDER communities)?

   (3) How do you achieve EFFECTIVE communication and skill sharing across departments, jobs, and locations?

b. FACULTY AND STAFF PERFORMANCE Management System
   How does your FACULTY AND STAFF PERFORMANCE management system, including feedback to FACULTY AND STAFF, support HIGH-PERFORMANCE WORK and contribute to the achievement of your ACTION PLANS? How does your FACULTY AND STAFF PERFORMANCE management system support a student and STAKEHOLDER focus? How do your compensation, recognition, and related reward and incentive practices reinforce HIGH-PERFORMANCE WORK and a student and STAKEHOLDER focus?

c. Hiring and Career Progression
   (1) How do you identify characteristics and skills needed by potential FACULTY AND STAFF?

   (2) How do you recruit, hire, and retain new FACULTY AND STAFF? How do you ensure FACULTY AND STAFF represent the diverse ideas, cultures, and thinking of your hiring community?

   (3) How do you accomplish EFFECTIVE succession planning for leadership and supervisory positions? How do you manage EFFECTIVE career progression for all FACULTY AND STAFF throughout the organization? How do you ensure FACULTY AND STAFF are appropriately certified or licensed?

Notes:

N1. "Faculty and staff" refers to your organization's permanent, temporary, and part-time personnel, as well as any contract employees supervised by your organization. Faculty and staff include team leaders, supervisors, faculty leaders, and administrators at all levels. Contract staff supervised by a contractor should be addressed in Category 6.

N2. "Your organization's work" refers to how your faculty and staff are organized or organize themselves in formal and informal, temporary, or longer-term units. This might include work teams, process teams, curriculum design teams, peer coaching teams, problem-solving teams, centers of excellence, research teams, cross-functional teams, and departments— self-managed or managed by supervisors.

"Jobs" refers to responsibilities, authorities, and tasks of individuals. In some work systems, jobs might be shared by a team.

N3. Compensation, recognition, and related reward and incentive practices (5.1b) include promotions and bonuses that might be based on performance, skills acquired, and other factors. In some educational systems, compensation is set by law or regulation. Reward and recognition systems still permit flexibility, since recognition can include monetary and nonmonetary, formal and informal, and individual and group mechanisms. Recognition systems for volunteers who contribute to the work of your organization should be included, as appropriate.

5.2 Faculty and Staff Learning and Motivation: How do you contribute to faculty and staff learning and motivate your faculty and staff? (25 pts.)

Describe HOW your organization's FACULTY AND STAFF education, training, and career development support the achievement of your overall objectives and contribute to HIGH PERFORMANCE. Describe HOW your organization's education, training, and career development build FACULTY AND STAFF knowledge, skills, and capabilities.

Within your response, include answers to the following questions:

a. FACULTY AND STAFF Education, Training, and Development

(1) HOW do FACULTY AND STAFF education and training contribute to the achievement of your ACTION PLANS? HOW do your FACULTY AND STAFF education, training, and development address your KEY needs associated with organizational PERFORMANCE measurement, PERFORMANCE improvement, and technological change? HOW does your education and training APPROACH balance short- and longer-term organizational objectives with FACULTY AND STAFF needs for development, ongoing LEARNING, and career progression?

(2) HOW do FACULTY AND STAFF education, training, and development address your KEY organizational needs associated with new employee orientation, DIVERSITY, ethical practices, and leadership development? HOW do FACULTY AND STAFF education, training, and development address your KEY organizational needs associated with FACULTY AND STAFF, workplace, and environmental safety?

(3) HOW do you seek and use input from FACULTY AND STAFF and their supervisors on education, training, and development needs? HOW do you incorporate your organizational LEARNING and KNOWLEDGE ASSETS into your education and training?

(4) HOW do you deliver education and training? HOW do you seek and use input from FACULTY AND STAFF and their supervisors in determining your delivery APPROACHES? HOW do you use both formal and informal delivery APPROACHES, including mentoring and other APPROACHES, as appropriate? HOW do you ensure that FACULTY AND STAFF are properly prepared to deliver your learning-centered processes?

(5) HOW do you reinforce the use of new knowledge and skills on the job and retain this knowledge for long-term organizational use? HOW do you SYSTEMATICALLY transfer knowledge from departing or retiring FACULTY AND STAFF?

(6) HOW do you evaluate the EFFECTIVENESS of education and training, taking into account individual and organizational PERFORMANCE?

b. Motivation and Career Development

HOW do you motivate FACULTY AND STAFF to develop and utilize their full potential? HOW does your organization use formal and informal mechanisms to help FACULTY AND STAFF attain job- and career-related development and LEARNING objectives? HOW do SENIOR LEADERS and supervisors help FACULTY AND STAFF attain job- and career-related development and LEARNING objectives?

Notes:

N1. Many organizations may have unique considerations relative to faculty and staff education, training, development, motivation, and career progression. If this is the case for your organization, your response to Item 5.2 should include how you address these considerations.

N2. Education and training (5.2a[1]) also may address requirements for high-quality professional development, as specified in the No Child Left Behind Act of 2001.

N3. Education and training delivery (5.2a[4]) might occur inside or outside your organization and involve on-the-job, classroom, computer-based, distance learning, or other types of delivery (formal or informal).

N4. Proper preparation of your faculty (5.2a[4]) might address subject matter expertise and an understanding of the cognitive, social-emotional, and ethical development of students. It also might address training in and experience with teaching strategies, facilitation skills, and learning assessment, as well as how to use learning research theory and how to report information and data on student progress.

5.3 Faculty and Staff Well-Being and Satisfaction: How do you contribute to faculty and staff well-being and grow faculty and staff satisfaction? (25 pts.)   `Process`

Describe HOW your organization maintains a work environment and FACULTY AND STAFF support climate that contribute to the well-being, satisfaction, and motivation of all FACULTY AND STAFF.

Within your response, include answers to the following questions:

a. Work Environment

(1) How do you ensure and improve workplace health, safety, security, and ergonomics in a proactive manner? HOW do FACULTY AND STAFF take part in these improvement efforts? What are your PERFORMANCE MEASURES or improvement GOALS for each of these KEY workplace factors? What are the significant differences in these workplace factors and PERFORMANCE MEASURES or targets if different FACULTY AND STAFF groups and work units have different work environments?

(2) How do you ensure workplace preparedness for disasters or emergencies?

b. FACULTY AND STAFF Support and Satisfaction

(1) How do you determine the KEY factors that affect FACULTY AND STAFF well-being, satisfaction, and motivation? How are these factors SEGMENTED for a diverse workforce and for different categories and types of FACULTY AND STAFF?

(2) How do you support your FACULTY AND STAFF via services, benefits, and policies? How are these tailored to the needs of a diverse workforce and different categories and types of FACULTY AND STAFF?

(3) What formal and informal assessment methods and MEASURES do you use to determine FACULTY AND STAFF well-being, satisfaction, and motivation? How do these methods and MEASURES differ across a diverse workforce and different categories and types of FACULTY AND STAFF? How do you use other INDICATORS, such as FACULTY AND STAFF retention, absenteeism, grievances, safety, and PRODUCTIVITY, to assess and improve FACULTY AND STAFF well-being, satisfaction, and motivation?

(4) How do you relate assessment findings to KEY organizational PERFORMANCE RESULTS to identify priorities for improving the work environment and FACULTY AND STAFF support climate?

Notes:

N1. Specific factors that might affect your faculty and staff well-being, satisfaction, and motivation (5.3b[1]) include effective faculty and staff problem or grievance resolution; safety factors; faculty and staff views of administrators, faculty leaders, or supervisors; faculty and staff training, development, and career opportunities; faculty and staff preparation for changes in technology or the work organization; the work environment and other work conditions; empowerment of faculty and staff by administrators, faculty leaders, and supervisors; information sharing by administrators, faculty leaders, and supervisors; workload; cooperation and teamwork; recognition; services and benefits; communications; job security; compensation; and equal opportunity.

N2. Approaches for faculty and staff support (5.3b[2]) might include providing counseling, career development and employability services, recreational or cultural activities, nonwork-related education, day care, job rotation or sharing, special leave for family responsibilities or community service, home safety training, flexible work hours and location, outplacement, and retirement benefits (including extended health care).

N3. Measures and indicators of well-being, satisfaction, and motivation (5.3b[3]) might include data on safety and absenteeism; the turnover rate segmented by types and categories of faculty and staff; charitable contributions from faculty and staff; grievances, strikes, and other job actions; insurance costs; workers' compensation claims; and results of surveys. Survey indicators of satisfaction might include faculty and staff knowledge of job roles, faculty and staff knowledge of organizational direction, and faculty and staff perception of empowerment and information sharing. Your results relative to such measures and indicators should be reported in Item 7.4.

N4. Identifying priorities (5.3b[4]) might draw on your faculty and staff results presented in Item 7.4 and might involve addressing faculty and staff problems based on their impact on your organizational performance results.

For additional description of this Item, see pages 47–48.

6 Process Management (85 pts.)

The *PROCESS MANAGEMENT* Category examines the KEY aspects of your organization's PROCESS management, including KEY learning-centered PROCESSES for your educational programs, offerings, and services that create student, STAKEHOLDER, and organizational VALUE. It also includes KEY support PROCESSES. This Category encompasses all KEY PROCESSES and all work units.

6.1 Learning-Centered Processes: How do you identify and manage your key processes? (45 pts.)

Process

Describe HOW your organization identifies and manages its KEY learning-centered PROCESSES for delivering student and STAKEHOLDER VALUE and maximizing student LEARNING and success.

Within your response, include answers to the following questions:

a. Learning-Centered PROCESSES

(1) HOW does your organization determine its KEY learning-centered PROCESSES? What are your organization's KEY learning-centered PROCESSES that deliver your educational programs and offerings and student services? How do these PROCESSES address students' educational, developmental, and well-being needs and maximize students' success?

(2) How do you determine KEY learning-centered PROCESS requirements, incorporating input from students, faculty, staff, STAKEHOLDERS, suppliers, PARTNERS, and collaborators, as appropriate? What are the KEY requirements for these PROCESSES? How do you anticipate and prepare for individual differences in student LEARNING rates and styles? How is information on student SEGMENTS and individual students developed and used to engage all students in ACTIVE LEARNING?

(3) How do you design these PROCESSES to meet all the KEY requirements? How do you incorporate new technology, organizational knowledge, and the potential need for agility into the design of these PROCESSES? How do you address sequencing and linkages among educational programs and offerings? How do you incorporate CYCLE TIME and other efficiency and effectiveness factors into the design of these PROCESSES? How do you implement these PROCESSES to ensure they meet design requirements?

(4) What are your KEY PERFORMANCE MEASURES or INDICATORS used for the control and improvement of your learning-centered PROCESSES? How does your day-to-day operation of these PROCESSES ensure meeting KEY PROCESS requirements? How are in-process MEASURES used in managing these PROCESSES? How do you incorporate a measurement plan that makes EFFECTIVE use of FORMATIVE and SUMMATIVE ASSESSMENT? How is student, STAKEHOLDER, FACULTY, STAFF, PARTNER, and collaborator input used in managing these PROCESSES, as appropriate?

(5) How do you improve your learning-centered PROCESSES to maximize student success; to improve educational programs, offerings, and student services; and to keep the PROCESSES current with educational needs and directions? HOW are improvements and lessons learned shared with other organizational units to drive organizational LEARNING and INNOVATION?

Notes:

N1. "Education" should be interpreted broadly. Educational programs and offerings may include courses, research, outreach, cooperative projects and programs, and overseas studies. Your key learning-centered processes are those most important to maximizing student success. They are the processes that involve the majority of your organization's faculty and staff and produce value for students and stakeholders. They include the processes through which your organization adds the greatest value to its programs, student services, and offerings. They also include the learning-centered processes most critical to adding value to the organization itself, resulting in student success and educational growth.

N2. Learning-centered processes differ greatly among organizations, depending on many factors. These factors include the nature of your programs, offerings, and student services; how they are designed and delivered; technology requirements; student, stakeholder, supplier, and partner relationships and involvement; the use of computer-assisted, distance, and Web-based learning; the availability of offerings at different locations and times to meet student needs; legislative mandates; the importance of research and development; and information and knowledge management. Responses to Item 6.1 should be based on the most critical requirements and learning-centered processes for your programs, offerings, and student services.

N3. Sequencing and linkages among educational programs and offerings (6.1a[3]) include not only relationships within a single discipline but also relationships among related disciplines. Linkages also may address your organization's mission-specific activities, such as basic and applied research and outreach.

N4. To provide as complete and concise a response as possible for your key learning-centered processes, you might want to use a tabular format identifying the key processes and the attributes of each as called for in questions 6.1a(1)–6.1a(5).

N5. The results of improvements in student performance should be reported in Item 7.1. The results of improvements in your educational programs, offerings, and student services should be reported in Item 7.5.

6.2 Support Processes and Operational Planning: How do you identify and manage your support processes and accomplish operational planning? (40 pts.)

`Process`

Describe HOW your organization manages its KEY PROCESSES that support your learning-centered PROCESSES. Describe your PROCESSES for budgetary and financial management and continuity of operations in an emergency.

Within your response, include answers to the following questions:

a. Support PROCESSES

   (1) How does your organization determine its KEY support PROCESSES? What are your KEY PROCESSES for supporting your learning-centered PROCESSES?

   (2) How do you determine KEY support PROCESS requirements, incorporating input from faculty, staff, students, STAKEHOLDERS, suppliers, PARTNERS, and collaborators, as appropriate? What are the KEY requirements for these PROCESSES?

   (3) How do you design these PROCESSES to meet all the KEY requirements? How do you incorporate new technology, organizational knowledge, and the potential need for agility into the design of these PROCESSES? How do you incorporate CYCLE TIME, PRODUCTIVITY, cost control, and other efficiency and EFFECTIVENESS factors into the design of these PROCESSES? How do you implement these PROCESSES to ensure they meet design requirements?

   (4) What are your KEY PERFORMANCE MEASURES or INDICATORS used for the control and improvement of your support PROCESSES? How does your day-to-day operation of KEY support PROCESSES ensure meeting KEY PERFORMANCE requirements? How are in-process MEASURES used in managing these PROCESSES? How is student, STAKEHOLDER, FACULTY, STAFF, supplier, PARTNER, and collaborator input used in managing these PROCESSES, as appropriate?

   (5) How do you minimize overall costs associated with inspections, tests, and PROCESS or PERFORMANCE audits of support PROCESSES, as appropriate? How do you prevent errors and rework?

   (6) How do you improve your support PROCESSES to achieve better PERFORMANCE, to reduce variability, and to keep the PROCESSES current with organizational needs and directions? How are improvements and lessons learned shared with other organizational units and PROCESSES to drive organizational LEARNING and INNOVATION?

b. Operational Planning

   (1) How does your organization ensure that adequate budgetary and financial resources are available to support your operations? How do you determine the resources needed to meet current budgetary and financial obligations? How do you ensure that adequate resources are available to support major new education initiatives, as appropriate? How do you assess the financial risks associated with your current operations and major new initiatives?

   (2) How do you ensure continuity of operations in the event of an emergency?

N1. Your key support processes (6.2a) are those that are considered most important for support of your organization's learning-centered processes that deliver your educational programs, offerings, and student services. These might include facilities management, legal, human resource, project management, and administration processes.

For additional description of this Item, see pages 49–50.

N2. An emergency (6.2b[2]) might be weather-related, utility-related, or due to a local or national emergency.

N3. Your budgetary and financial management results should be reported in Item 7.3. Other results related to your key support processes and operational planning should be reported in Item 7.5.

7 Results (450 pts.)

The **RESULTS** Category examines your organization's PERFORMANCE and improvement in all KEY areas—student LEARNING outcomes; student- and STAKEHOLDER-focused outcomes; budgetary, financial, and market PERFORMANCE; FACULTY AND STAFF outcomes; operational PERFORMANCE; and leadership and social responsibility. PERFORMANCE LEVELS are examined relative to those of competitors and other organizations providing similar programs and services.

7.1 Student Learning Outcomes: What are your student learning results? (100 pts.)

Results

Summarize your organization's KEY student LEARNING RESULTS. SEGMENT your RESULTS by student and market SEGMENTS, as appropriate. Include appropriate comparative data relative to competitors and to comparable organizations and student populations.

Provide data and information to answer the following questions:

a. Student LEARNING RESULTS

What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of student LEARNING and improvement in student LEARNING? How do these RESULTS compare with the PERFORMANCE of your competitors and comparable organizations and of other appropriate student and market SEGMENTS?

Notes:

N1. Results reported in this Item should include results from your primary assessments of student learning. These may include test results related to local, state, and national requirements or mandates, such as the No Child Left Behind Act. In addition, results should relate to the key student learning features identified as student and stakeholder requirements or expectations in P.1b(2), based on information gathered in Items 3.1 and 3.2. The measures or indicators should address factors that affect student and stakeholder preferences, such as those included in Item P.1, Note 5, and Item 3.1, Note 2.

N2. Results reported in Item 7.1 might be based on a variety of assessment methods that reflect the organization's overall mission and primary improvement

objectives and that together represent holistic appraisals of student learning. For some recently implemented measures and assessment methods, data might not yet be sufficient to demonstrate meaningful trends. Such data should be reported, because they provide useful information regarding the organization's current performance levels. Results may include data indicating performance of recent graduates.

N3. Demonstrations of improvement in student learning should be normalized to comparable student populations (i.e., performance indicators for students with similar characteristics). Methods for demonstrating improvement in student learning might involve longitudinal and cohort studies. Results covering three years or more are preferred.

7.2 Student- and Stakeholder-Focused Outcomes: What are your student- and stakeholder-focused performance results? (70 pts.)

Results

Summarize your organization's KEY student- and STAKEHOLDER-focused RESULTS, including student and STAKEHOLDER satisfaction and perceived value. SEGMENT your RESULTS by student SEGMENTS, STAKEHOLDER groups, and market SEGMENTS, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Student- and STAKEHOLDER-Focused RESULTS

(1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of students' and STAKEHOLDERS' satisfaction and dissatisfaction? How do these RESULTS compare with the student and stakeholder satisfaction levels of your competitors and other organizations providing similar programs and services?

(2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of student- and STAKEHOLDER-perceived VALUE, student PERSISTENCE, positive referral, and other aspects of building relationships with students and STAKEHOLDERS, as appropriate?

N1. Student and stakeholder satisfaction and dissatisfaction results reported in this Item should relate to the student segments, stakeholder groups, and market segments discussed in P.1b(2) and Item 3.1 and to the determination methods and data described in Item 3.2. Results data might include feedback from students and stakeholders and their overall assessment of education and operations. Examples of student and stakeholder satisfaction and dissatisfaction indicators are given in the Item 3.2 Notes.

N2. Measures and indicators of students' satisfaction with your programs and services relative to students' satisfaction with competitors and comparable

organizations (7.2a[1]) might include gains and losses of your students from or to other schools or alternative means of education, such as home schooling or corporate educational programs. Results also might include objective information and data from independent organizations and key stakeholders. Such objective information might include survey results, competitive awards, recognition, and ratings. The information and data should reflect comparative satisfaction (and dissatisfaction). Information on the comparative performance of your students should be included in Item 7.1.

7.3 Budgetary, Financial, and Market Outcomes: What are your budgetary, financial, and market results? (70 pts.)

Results

Summarize your organization's KEY budgetary, financial, and market PERFORMANCE RESULTS by student SEGMENTS, STAKEHOLDER groups, or market SEGMENTS, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Budgetary, Financial, and Market RESULTS
   (1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of budgetary and financial PERFORMANCE, including MEASURES of cost containment, as appropriate?

   (2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of market PERFORMANCE, including market share and new markets entered, as appropriate?

N1. Responses to 7.3a(1) might include measures such as instructional and general administration expenditures per student; income, expenses, reserves, and endowments; tuition and fee levels; cost per academic credit; annual grants and awards; cost avoidance or savings; performance to budget; program expenditures as a percentage of budget; annual budget increases or decreases; resources redirected to education from

other areas; scholarship growth; the percentage of budget for research; and the budget for public service. Measures should relate to the budgetary and financial management approaches described in Item 6.2.

N2. New markets entered (7.3a[2]) might include offering Web-based services or distance learning.

7.4 Faculty and Staff Outcomes: What are your faculty and staff results? (70 pts.)

Results

Summarize your organization's KEY faculty- and staff-related RESULTS, including WORK SYSTEM PERFORMANCE and FACULTY AND STAFF LEARNING, development, well-being, and satisfaction. SEGMENT your RESULTS to address the DIVERSITY of your workforce and the different types and categories of FACULTY AND STAFF, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. FACULTY AND STAFF RESULTS

(1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of WORK SYSTEM PERFORMANCE and EFFECTIVENESS?

(2) What are your current LEVELS and TRENDS in KEY MEASURES of FACULTY AND STAFF LEARNING and development?

(3) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of FACULTY AND STAFF well-being, satisfaction, and dissatisfaction?

Notes:

N1. Results reported in this Item should relate to activities described in Category 5. Your results should be responsive to key process needs described in Category 6 and to your organization's action plans and human resource plans described in Item 2.2.

N2. Appropriate measures and indicators of work system performance and effectiveness (7.4a[1]) might include collaboration and teamwork; knowledge and skill sharing across work functions, units, and locations; faculty and staff retention; and flexibility. Additional indicators of work system performance

might be simplification of jobs and job classifications, as well as job rotation.

N3. Appropriate measures and indicators of faculty and staff learning and development (7.4a[2]) might include innovation and suggestion rates, courses or educational programs completed, learning, on-the-job performance improvements, and cross-training rates.

N4. For appropriate measures of faculty and staff well-being and satisfaction (7.4a[3]), see the Item 5.3 Notes.

7.5 Organizational Effectiveness Outcomes: What are your organizational effectiveness results? (70 pts.)

Results

Summarize your organization's KEY operational PERFORMANCE RESULTS that contribute to opportunities for enhanced LEARNING and to the improvement of organizational EFFECTIVENESS. SEGMENT your RESULTS by program, service, and offering and by student and market SEGMENTS, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Organizational EFFECTIVENESS RESULTS

(1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the operational PERFORMANCE of your KEY learning-centered PROCESSES? Include school capacity to improve student PERFORMANCE, student development, the education climate, INDICATORS of responsiveness to student or STAKEHOLDER needs, supplier and PARTNER PERFORMANCE, and other appropriate MEASURES of EFFECTIVENESS and efficiency.

(2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the operational PERFORMANCE of your other KEY PROCESSES? Include PRODUCTIVITY, CYCLE TIME, supplier and PARTNER PERFORMANCE, and other appropriate MEASURES of EFFECTIVENESS and efficiency.

N1. Results reported in Item 7.5 should address your key operational requirements as presented in the Organizational Profile and in Items 6.1 and 6.2. Include results of mission-specific research and outreach processes, as appropriate. Include results not reported in Items 7.1–7.4.

N2. Results reported in Item 7.5 should provide key information for analysis and review of your organizational performance (Item 4.1) and should provide the operational basis for improved student learning outcomes (Item 7.1); student- and stakeholder-focused outcomes (Item 7.2); and budgetary, financial, and market outcomes (Item 7.3).

7.6 Leadership and Social Responsibility Outcomes: What are your leadership and social responsibility results? (70 pts.)

Results

Summarize your organization's KEY GOVERNANCE, SENIOR LEADERSHIP, and social responsibility RESULTS, including evidence of ETHICAL BEHAVIOR, fiscal accountability, legal compliance, and organizational citizenship. SEGMENT your RESULTS by work units, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Leadership and Social Responsibility RESULTS

(1) What are your RESULTS for KEY MEASURES or INDICATORS of accomplishment of your organizational strategy and ACTION PLANS?

(2) What are your RESULTS for KEY MEASURES or INDICATORS of ETHICAL BEHAVIOR and of STAKEHOLDER trust in the SENIOR LEADERS and GOVERNANCE of your organization? What are your RESULTS for KEY MEASURES or INDICATORS of breaches of ETHICAL BEHAVIOR?

(3) What are your KEY current findings and TRENDS in KEY MEASURES or INDICATORS of fiscal accountability, both internal and external, as appropriate?

(4) What are your RESULTS for KEY MEASURES or INDICATORS of regulatory, safety, accreditation, and legal compliance?

(5) What are your RESULTS for KEY MEASURES or INDICATORS of organizational citizenship in support of your KEY communities?

N1. For examples of measures of ethical behavior and stakeholder trust (7.6a[2]), see Item 1.2, Note 4.

N2. Responses to 7.6a(3) might include financial statement issues and risks, important internal and external auditor recommendations, and your senior leaders' response to these matters.

N3. Regulatory, safety, accreditation, and legal compliance results (7.6a[4]) should address requirements

described in 1.2b. Occupational health and safety results (e.g., OSHA-reportable incidents) related to faculty and staff should be reported in 7.4a(3).

N4. Organizational citizenship results (7.6a[5]) should address support of the key communities discussed in 1.2c.
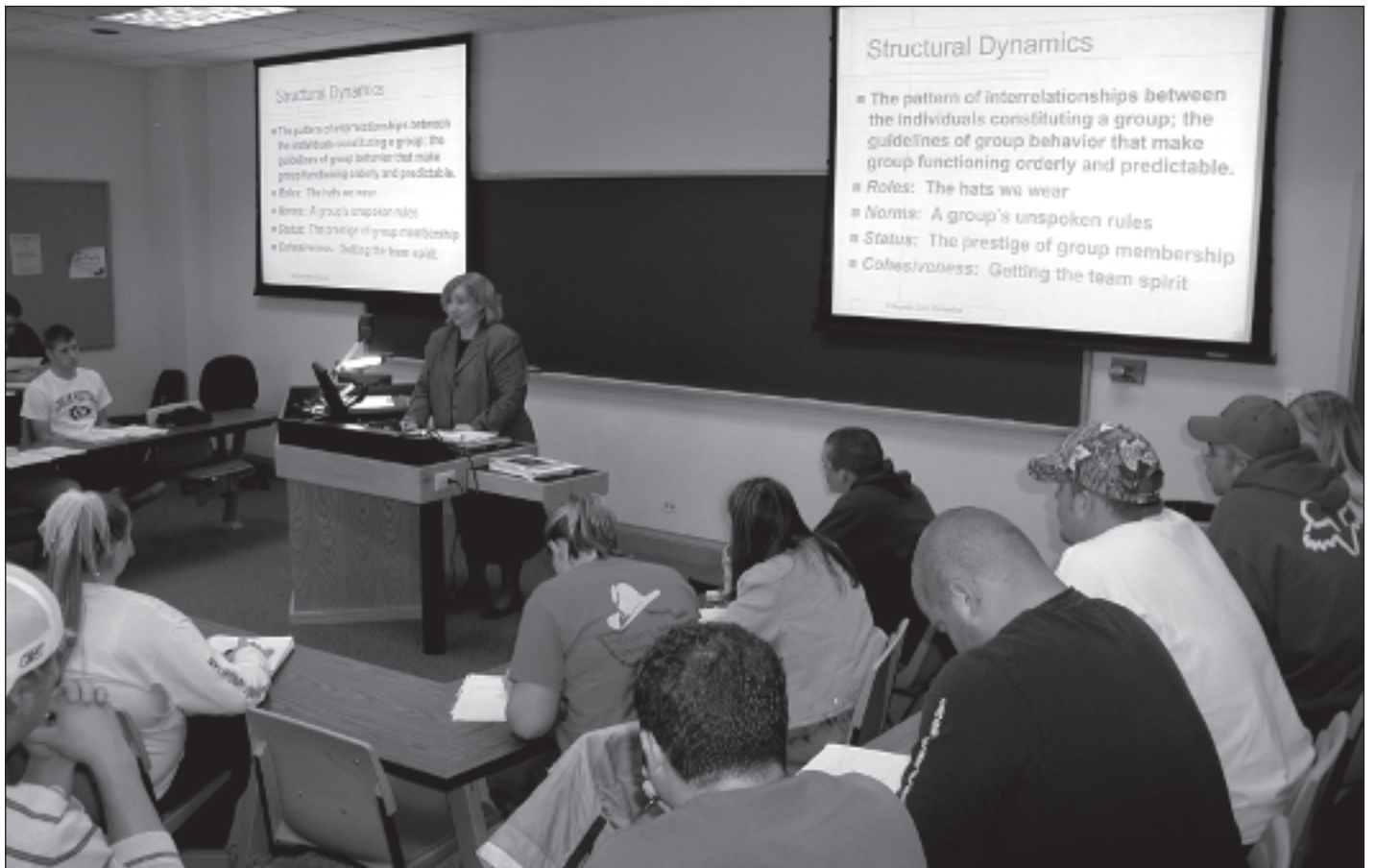
BALDRIGE APPLICATION SELF-ANALYSIS WORKSHEET (OPTIONAL)

(not to be submitted with your Baldrige application)

While insights gained from external Examiners or reviewers are always helpful, you know your organization better than they will. You are currently in an excellent position to identify your organization's key strengths and key opportunities for improvement (OFIs). Having just completed your responses to the Baldrige Criteria questions, you can accelerate your improvement journey by doing a self-analysis.

Use this optional worksheet to list your key strengths and key OFIs. Start by identifying one or two strengths and one or two OFIs for each Criteria Category. For those of high importance, establish a goal and a plan of action.

An electronic copy of this worksheet is available in Microsoft Word format at www.baldrige.nist.gov/Word_files/Optional_Worksheet_Ed.doc.

Criteria Category	Importance High, Medium, Low	For High-Importance Areas			
		Stretch (Strength) or Improvement (OFI) Goal	What Action Is Planned?	By When?	Who Is Responsible?
Category 1—Leadership					
Strength					
1.					
2.					
OFI					
1.					
2.					
Category 2—Strategic Planning					
Strength					
1.					
2.					
OFI					
1.					
2.					
Category 3—Student, Stakeholder, and Market Focus					
Strength					
1.					
2.					
OFI					
1.					
2.					

Criteria Category	Importance High, Medium, Low	For High-Importance Areas			
		Stretch (Strength) or Improvement (OFI) Goal	What Action Is Planned?	By When?	Who Is Responsible?
Category 4—Measurement, Analysis, and Knowledge Management					
Strength					
1.					
2.					
OFI					
1.					
2.					
Category 5—Faculty and Staff Focus					
Strength					
1.					
2.					
OFI					
1.					
2.					
Category 6—Process Management					
Strength					
1.					
2.					
OFI					
1.					
2.					
Category 7—Results					
Strength					
1.					
2.					
OFI					
1.					
2.					

Preface: Organizational Profile

The Organizational Profile provides an overview of your organization. The profile addresses your operating environment, your key organizational relationships, your competitive environment and strategic challenges, and your approach to performance improvement. Your Organizational Profile provides a context for understanding your organization and for guiding and prioritizing the information you present in response to the Criteria Items in Categories 1–7.

P.1 Organizational Description: What are your key organizational characteristics?

Purpose

This Item addresses the key characteristics and relationships that shape your organizational environment. It also addresses your organization's governance system. The aim is to set the context for your organization and for your responses to the Criteria requirements in Categories 1–7.

Comments

- The Organizational Profile provides your organization with critical insight into the key internal and external factors that shape your operating environment. These factors, such as the mission, vision, values, competitive environment, and strategic challenges, impact the way your organization is run and the decisions you make. As such, the Organizational Profile helps your organization better understand the context in which it operates; the key requirements for current and future organizational success and sustainability; and the needs, opportunities, and constraints placed on your organization's performance management system.

- Use of such terms as "purpose," "vision," "mission," and "values" varies depending on the organization, and some organizations may not use one or more of these terms. Nevertheless, you should have a clear understanding of the essence of your organization, why it exists, and where your senior leaders want to take it in the future. This clarity enables you to make and implement strategic decisions affecting the future of your organization.

- The regulatory environment in which you operate places requirements on your organization and impacts how you run it. Understanding this environment is key to making effective operational and strategic decisions. Further, it allows you to identify whether you are merely complying with the minimum requirements of applicable laws, regulations, and standards of practice or exceeding them, a hallmark of leading organizations.

- Leading organizations have well-defined governance systems with clear reporting relationships. It is important to clearly identify which functions are performed by senior

leaders and, as applicable, by your governance board/policymaking body. Independence and accountability frequently are key considerations in the governance structure.

- Suppliers may play critical roles in processes that are important to running the organization and to maintaining or achieving overall organizational performance success. Requirements for suppliers might include on-time or just-in-time delivery, flexibility, variable staffing, research and design capability, and customized services.

P.2 Organizational Challenges: What are your key organizational challenges?

Purpose

This Item addresses the competitive environment in which your organization operates and the key strategic challenges that your organization faces. It also addresses how you approach performance improvement and organizational learning. The aim is to understand your key organizational challenges and your system for maintaining a sustainable advantage.

Comments

- Knowledge of an organization's strengths, vulnerabilities, and opportunities for both improvement and growth is essential to the success and sustainability of the organization. With this knowledge, you can identify those educational programs, offerings, services, processes, and performance attributes that are unique to your organization; those that set you apart from other organizations; and those that help you to sustain your competitive advantage.

- Understanding who your competitors and collaborators are, how many you have, and their key characteristics is essential for determining what your competitive advantage is and what your collaborative opportunities are in your education sector or markets served. Leading organizations have an in-depth understanding of their current competitive and collaborative environment, including the factors that affect day-to-day performance and factors that could impact future performance.

- Sources of comparative and competitive data might include education journals and other publications; benchmarking activities; national, state, and local reports; conferences; local networks; and professional associations.

- Operating your organization in today's challenging and sometimes competitive environment means you are facing many strategic challenges that can affect your ability to sustain performance and maintain advantages such as academic program leadership, unique services, or optimal student-to-faculty ratio. These challenges might include

the anticipation of and adjustment for your operational costs; an expanding or decreasing student population; a decreasing local and state tax base or educational appropriation; changing demographics and competition, including charter schools; diminishing student persistence; the introduction of new or substitute programs, services, or offerings, possibly based on a disruptive technology; and state and federal mandates. In addition, your organization may face challenges related to the recruitment, hiring, and retention of qualified faculty, staff, and administrators.

- A particularly significant challenge, if it occurs to your organization, is being unprepared for a disruptive technology that threatens your competitive position or your market. Examples of such technologies include personal computers replacing typewriters, cell phones challenging traditional and pay phones, fax machines capturing business from overnight delivery services, and e-mail challenging all other means of correspondence. Today, organizations need to be scanning inside and outside their immediate environment to detect such challenges at the earliest possible point in time.

- One of the many issues facing organizations today is how to manage, use, and share their ever-increasing organizational knowledge. Leading organizations already benefit from the knowledge assets of their faculty, staff, students, stakeholders, suppliers, collaborators, and partners, who together drive organizational learning and improve performance. Some of the methods used to accomplish knowledge sharing are documentation, cross-training and related assignments, meetings to share lessons learned, and knowledge networks and other electronic means of information transfer.

Leadership (Category 1)

Leadership addresses how your senior leaders guide and sustain your organization, setting organizational vision, values, and performance expectations. Attention is given to how your senior leaders communicate with faculty and staff, develop future leaders, and create a learning environment that encourages ethical behavior and high performance. The Category also includes your organization's governance system, its legal and ethical responsibilities to the public, and how your organization supports its community.

1.1 Senior Leadership: *How do your senior leaders lead?*

Purpose

This Item examines the key aspects of your senior leaders' responsibilities. It examines how your senior leaders set and communicate the organization's vision and values. It focuses on your senior leaders' actions to create and sustain a high-performance organization and an environment conducive to learning, student development, and achievement.
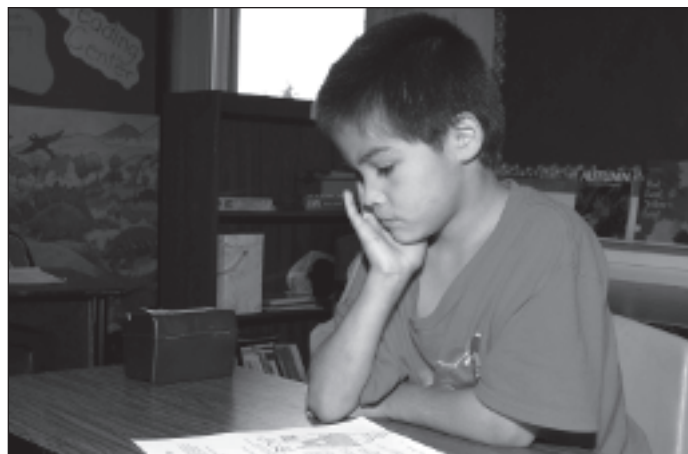
Comments

- Senior leadership's central role in setting values and directions, communicating, creating and balancing value for all students and stakeholders, and creating an organizational bias for action are the focus of this Item. Success requires a strong orientation to the future and a commitment to improvement, innovation, and organizational sustainability. Increasingly, this requires creating an environment for empowerment, agility, and organizational learning.

- In highly respected organizations, senior leaders are committed to the development of the organization's future leaders and to the reward and recognition of faculty and staff performance. Senior leaders personally participate in the development of the future leaders, in succession planning, and in faculty and staff recognition opportunities and events. Development activities for future leaders might include personal mentoring or participation in leadership development courses.

1.2 Governance and Social Responsibilities: *How do you govern and address your social responsibilities?*

Purpose

This Item examines key aspects of your organization's governance system. It also examines how your organization fulfills its public responsibilities, how your senior leaders ensure you behave legally and ethically, and how your senior leaders and faculty and staff encourage and practice good citizenship, working effectively with key communities to extend your organization's service opportunities.

Comments

- The organizational governance requirement is intended to address the need for a responsible, informed, and accountable governance or advisory body that can protect the interests of key stakeholders. It should have independence in review and audit functions. It also should have a performance evaluation function that monitors organizational and senior leaders' performance.

- An integral part of performance management and improvement is proactively addressing (1) the need for ethical behavior; (2) legal, regulatory, safety, and accreditation requirements; and (3) risk factors. Addressing these areas requires establishing appropriate measures or indicators that senior leaders track in their performance reviews. Your organization should be sensitive to issues of public concern, whether or not these issues are currently embodied in laws and regulations. Role model organizations look for opportunities to exceed requirements and to excel in areas of legal and ethical behavior.

- This Item addresses the use of resource-sustaining processes. These processes might include the use of "green" technologies, the storage of hazardous materials, energy conservation, and the recycling of materials, as appropriate.

- Social responsibility implies going beyond a compliance orientation. Good citizenship opportunities are available to organizations of all sizes. These opportunities might include encouraging and supporting the community service of your faculty and staff.

- Examples of organizational community involvement include efforts by the organization, senior leaders, and faculty and staff to strengthen and/or improve community services, the environment, athletic associations, and professional associations. Community involvement also might include students, giving them the opportunity to develop social and citizenship values and skills.

Strategic Planning (Category 2)

Strategic Planning addresses strategic and action planning, deployment of plans, how plans are changed if circumstances require a change, and how accomplishments are measured and sustained. The Category stresses that learning-centered education, long-term organizational sustainability, and your competitive environment are key strategic issues that need to be integral parts of your organization's overall planning.

The Baldrige Criteria emphasize three key aspects of organizational excellence. These aspects are important to strategic planning:

- Learning-centered education is a strategic view of education. The focus is on the drivers of student learning, student persistence, student and stakeholder satisfaction, new markets, and market share—key factors in educational success and organizational sustainability. Learning-centered education focuses on the real needs of students, including those derived from market requirements and citizenship responsibilities.

- Operational performance improvement contributes to short- and longer-term productivity growth and cost containment. Building operational capability—including speed, responsiveness, and flexibility—represents an investment in strengthening your organizational fitness.

- Organizational and personal learning are necessary strategic considerations in today's fast-paced environment. The Criteria emphasize that improvement and learning need to be embedded in work processes. The special role of strategic planning is to align work processes and learning initiatives with your organization's strategic directions, thereby ensuring that improvement and learning prepare you for and reinforce organizational priorities.

The Strategic Planning Category examines how your organization

- determines its key strengths, weaknesses, opportunities, and threats and its ability to execute your strategy.

- optimizes the use of resources, ensures the availability of well-prepared faculty and staff, and bridges short- and longer-term requirements that may entail capital expenditures, technology development or acquisition, or development of partnerships or collaborations (e.g., with feeder schools, receiving schools, or local businesses).

- ensures that deployment will be effective—that there are mechanisms to communicate requirements and achieve alignment on three levels: (1) the organization and the senior leader level; (2) the key process level; and (3) the work unit, school, class, or individual level.

The requirements in the Strategic Planning Category encourage strategic thinking and acting—to develop a basis for a distinct leadership position in your market. *These requirements do not imply formalized plans, planning systems, departments, or specific planning cycles.* They also do not imply that all your improvements could or should be planned in advance. An effective improvement system combines improvements of many types and degrees of involvement. This requires clear strategic guidance, particularly when improvement alternatives, including major change, compete for limited resources. The requirements in the Category emphasize a future-oriented basis for decisions and priorities.

2.1 Strategy Development: *How do you develop your strategy?*

Purpose

This Item examines how your organization sets strategic directions and develops your strategic objectives to guide and strengthen the performance of your organization and students and their future success.

Comments

■ This Item calls for basic information on the planning process and for information on all the key influences, risks, challenges, and other requirements that might affect your organization's future opportunities and directions—taking as long term a view as appropriate and possible from the perspectives of your organization and market. This approach is intended to provide a thorough and realistic context for the development of a student-, stakeholder-, and market-focused strategy to guide ongoing decision making, resource allocation, and overall management.

■ This Item is intended to cover all types of education organizations, market situations, strategic issues, planning approaches, and plans. The requirements explicitly call for a future-oriented basis for action but do not imply planning departments, specific planning cycles, or a specified way of visualizing the future. Even if your organization is seeking to create an entirely new program, structure, or situation, it is still necessary to set and to test the objectives that define and guide critical actions and performance.

■ This Item emphasizes how the organization develops a competitive leadership position in its educational offerings, which usually depends on operational effectiveness. A competitive leadership position requires a view of the future that includes not only the market in which your organization competes but also how it competes. *How it competes* presents many options and requires that you understand your organization's and your competitors' strengths and weaknesses. Although no specific time horizons are included, the thrust of this Item is a sustained competitive leadership position.

■ An increasingly important part of strategic planning is projecting the future competitive and collaborative environment. Such projections help to detect and reduce competitive threats, to shorten reaction time, and to identify opportunities. Depending on student and stakeholder needs, external factors (e.g., changing requirements brought about by education mandates, instructional technology, or changing demographics), and internal factors (e.g., faculty and staff capabilities and needs), organizations might use a variety of modeling, scenarios, or other techniques and judgments to anticipate the competitive and collaborative environment.

■ While many organizations are increasingly adept at strategic planning, plan execution is still a significant challenge. This is especially true given market demands to be agile and to be prepared for unexpected change, such as disruptive technologies that can upset an otherwise fast-paced but more predictable market. This Item and Item 2.2 highlight the need to place a focus not only on developing your plans but also on your capability to execute them.

2.2 Strategy Deployment: *How do you deploy your strategy?*

Purpose

This Item examines how your organization converts your strategic objectives into action plans to accomplish the objectives. It also examines how your organization assesses progress relative to these action plans. The aim is to ensure that your strategies are successfully deployed for goal achievement.

Comments

■ This Item asks how your action plans are developed and deployed. Accomplishment of action plans requires allocating resources and specifying key performance requirements, measures, and indicators for such areas as faculty/staff development plans and the use of learning technologies. Of central importance is how you achieve alignment and consistency—for example, via key learning strategies and key measurements. Also, alignment and consistency are intended to provide a basis for setting and communicating priorities for ongoing improvement activities—part of the daily work of all work units. In addition, performance measures are critical for tracking performance.

■ Key changes in your programs, offerings, and services might include Web-based or distance learning initiatives, integrated within or separate from your current educational offerings and programs. Key changes in your anticipated or planned student and stakeholder markets might include different admission requirements, attendance area changes, or new populations served.

■ Action plans should include human resource plans that are aligned with and support your overall strategy.

- Examples of possible human resource plan elements are
  - education and training initiatives, including those that increase skills for assessment practices and increase knowledge of student learning styles, as well as developmental assignments to prepare future leaders and training programs on new technologies important to your future success;
  - initiatives to promote greater labor-management cooperation, such as union partnerships;
  - creation or redesign of individual development and learning plans;
  - redesign of work organization or jobs for staff members to increase their empowerment and decision making;
  - initiatives to foster knowledge sharing and cross-functional interactions throughout the organization;
  - creation of opportunities through the redesign of processes for faculty and staff to learn and use skills that go beyond current job assignments;
  - formation of partnerships with the business community to support faculty or staff development;
  - introduction of distance learning or other technology-based learning approaches; or
  - introduction of performance improvement initiatives.

- Projections and comparisons in this Item are intended to improve your organization's ability to understand and track dynamic, competitive performance factors. Through this tracking process, your organization should be better prepared to take into account its rate of improvement and change relative to that of competitors and comparable organizations and relative to its own targets or stretch goals. Such tracking serves as a key diagnostic tool.

- In addition to improvement relative to past performance and the projected performance of competitors or comparable organizations, projected performance might include changes resulting from innovations in education delivery, addition or termination of programs, Web-based or distance learning initiatives, introduction of new technologies, service or program innovations, or other strategic thrusts.

Student, Stakeholder, and Market Focus (Category 3)

Student, Stakeholder, and Market Focus addresses how your organization seeks to understand your current and future students and stakeholders and your markets, with a focus on meeting students' and stakeholders' requirements, needs, and expectations; delighting students and stakeholders; and building loyalty. The Category stresses relationships as an important part of an overall listening, learning, and performance excellence strategy. Although many of the needs of stakeholders must be translated into educational services for students, the stakeholders themselves have needs that organizations also must accommodate. A key challenge frequently may be to balance differing needs and expectations of students and stakeholders. Your student and stakeholder satisfaction and dissatisfaction results provide vital information for understanding your students, stakeholders, and markets. In many cases, such results and trends provide the most meaningful information, not only on your students' and stakeholders' views but also on their actions and behaviors—student persistence and positive referrals—and how these views and behaviors may contribute to the sustainability of your organization in the education community.

3.1 Student, Stakeholder, and Market Knowledge: How do you use student, stakeholder, and market knowledge?

Purpose

This Item examines your organization's key processes for gaining knowledge about your current and future students, stakeholders, and markets, with the aim of offering relevant and effective programs and services; understanding emerging student and stakeholder requirements, needs, and expectations; and keeping pace with market changes and changing methods of delivering educational services.

Comments

- Maintaining awareness of student and stakeholder requirements and expectations is critical to improve educational services and to support related planning. Student requirements, as addressed in this Item, should take into account information not only from students but also from stakeholders (e.g., families, employers, and other education organizations), as appropriate. Student requirements should be interpreted in a holistic sense to include knowledge, application of knowledge, problem solving, learning skills, interpersonal skills, character development, critical thinking skills, conflict resolution, and citizenship.

- Knowledge of student segments, stakeholder groups, and market segments allows your organization to tailor listening and learning strategies and offerings; to support

and tailor your marketing strategies; to develop new educational programs, services, and offerings; and to ensure organizational sustainability.

- The determination of future requirements and expectations of students and stakeholders should take into account the following: demographic data and trends; changing requirements of graduates in the workplace or other schools; changing local, state, national, and global requirements; and education alternatives for prospective students. Changing requirements of graduates should reflect requirements set by stakeholders, taking into account paths followed by your organization's graduates. These requirements might include qualification standards, licensure requirements, workplace skills such as teamwork, and admission requirements.

- A variety of listening and learning strategies commonly are used. Selection depends on the type and size of the organization and other factors. Some examples are

  - tracking demographic, societal, economic, technological, competitive, and other factors that may bear on student and stakeholder requirements, expectations, preferences, or alternatives

  - seeking to understand in detail students' and stakeholders' expectations and requirements and how they are likely to change

  - holding focus groups with students and/or stakeholders

  - using critical incidents, such as complaints, to understand key education and support service attributes from the point of view of students, stakeholders, faculty, and staff

  - interviewing students and stakeholders to determine the reasons students drop out or choose to enroll elsewhere

  - analyzing major factors affecting students and stakeholders relative to organizations providing similar educational services

3.2 Student and Stakeholder Relationships and Satisfaction: How do you build relationships and grow student and stakeholder satisfaction and loyalty?

Purpose

This Item examines your organization's processes for building student and stakeholder relationships and determining student and stakeholder satisfaction, with the aim of enhancing student learning and the organization's ability to deliver its services, satisfy students and stakeholders, develop new opportunities, and foster continuing interactions and positive referrals.

Comments

- This Item emphasizes how you obtain actionable information from students and stakeholders. Information that

is actionable can be tied to key programs, services, and processes and be used to determine value, cost and revenue implications, as well as overall implications for setting improvement goals and priorities for change.

- Four key aspects of student and stakeholder relationships are addressed: (1) determining and deploying contact requirements, (2) maintaining effective relationships and partnerships to pursue common purposes, (3) using key measures and indicators to monitor the effectiveness of key relationships, and (4) resolving complaints promptly and effectively.

- The complaint management process might include performing analyses and setting priorities for improvement projects based on their impact on student learning. Complaint aggregation, analysis, and root cause determination should lead to effective elimination of the causes of complaints and to the establishment of priorities for overall organizational improvement. Successful outcomes require effective deployment of complaint-related information throughout the organization.

- In determining student and stakeholder satisfaction, a key aspect is the comparative satisfaction of these groups with competitors and organizations delivering similar educational services or alternative offerings. Such information might be derived from available published data or independent studies. The purpose of this comparison is to develop information that can be used for improving the delivery of educational, student, and support services and for creating an overall climate conducive to learning for all students.

- Changing educational service needs and directions might include changing modes of student and stakeholder access, such as the Internet. In such cases, key contact requirements might include online security and access to personal online assistance.

Measurement, Analysis, and Knowledge Management (Category 4)

The Measurement, Analysis, and Knowledge Management Category is the main point within the Criteria for all key information about effectively measuring, analyzing, and reviewing performance and managing organizational knowledge to drive improvement in student and operational performance. In the simplest terms, Category 4 is the "brain center" for the alignment of your organization's programs and offerings with its strategic objectives. Central to such use of data and information are their quality and availability. The Category addresses knowledge management and all basic performance-related information and comparative information, as well as how such information is analyzed and used to optimize organizational performance.

4.1 Measurement, Analysis, and Review of Organizational Performance: How do you measure, analyze, and review organizational performance?

Purpose

This Item examines your organization's selection, management, and use of data and information for performance measurement, analysis, and review in support of organizational planning and performance improvement. The Item serves as a central collection and analysis point in an integrated performance measurement and management system that relies on data and information related to student and operational performance, stakeholders, and budget issues. The aim of measurement, analysis, and review is to guide your organization's process management toward the achievement of key organizational results and strategic objectives and to anticipate and respond to rapid or unexpected organizational or external changes.

Comments

- Alignment and integration are key concepts for successful implementation of your performance measurement system. They are viewed in terms of extent and effectiveness of use to meet your organizational performance assessment needs. Alignment and integration include how measures are aligned throughout your organization and how they are integrated to yield organization-wide data and information. Alignment and integration also include how performance measurement requirements are deployed by your senior leaders to track work group or educational program performance on key measures targeted for organization-wide significance or improvement.

- The use of comparative data and information is important to all organizations. The major premises for use are (1) your organization needs to know where it stands relative to comparable organizations within and outside the academic community and to best practices, (2) comparative information and information obtained from benchmarking often provide the impetus for significant ("breakthrough") improvement or change that might signal changes taking place in educational practices, and (3) comparing performance information frequently

leads to a better understanding of your processes and their performance. Comparative information also may support organizational analysis and decisions relating to core competencies, alliances, and outsourcing.

- Your effective selection and use of comparative data and information require (1) determination of needs and priorities, (2) criteria for seeking appropriate sources for comparisons—from within and outside your academic community and markets, and (3) use of data and information to promote major, nonincremental ("breakthrough") improvements in areas most critical to your organization's strategy.

- The organizational review called for in this Item is intended to cover all areas of performance. This includes not only how well you currently are performing but also how well you are moving toward the future. It is anticipated that the review findings will provide a reliable means to guide both improvement and opportunities for innovation that are tied to your organization's key objectives, success factors, and measures. Therefore, an important component of your organizational review is the translation of the review findings into an action agenda sufficiently specific for deployment throughout your organization and to your students, key stakeholders, suppliers, partners, and collaborators.

- Analyses that your organization conducts to gain an understanding of performance and needed actions may vary widely depending on your type of organization, size, relationship to other organizations providing similar services, and other factors. Examples of possible analyses include

  - how the improvement of programs, offerings, and services correlates with key student and stakeholder indicators, such as satisfaction and retention

  - trends in key indicators of student motivation, such as absenteeism, dropout rates, and use of education facilities

  - test performance trends for students, segmented by student segments, as appropriate

  - the relationship between in-school outcomes or performance and longer-range outcomes—in other schools or in the workplace, for example

  - activity-level cost trends in organizational operations

  - student utilization of learning technologies and facilities versus assessment of student performance

  - the relationship between student background variables and outcomes

  - the relationship between students' allocation of time to activities and projects and their academic performance

  - the percentage of students attaining industry-based or profession-based skill certification

- the percentage of students completing advanced placement courses by graduation

- cost and budgetary implications of student- or stakeholder-related problems and effective problem resolution

- financial benefits derived from improvements in faculty and staff safety, absenteeism, and turnover

- benefits and costs associated with education and training, including electronic learning opportunities for faculty and staff

- the relationship between knowledge management and innovation

- how the ability to identify and meet faculty and staff requirements correlates with faculty and staff retention, motivation, and well-being

- cost and budgetary implications of faculty- and staff-related problems and effective problem resolution

- allocation of resources among alternative improvement projects based on cost and benefit implications and improvement potential

- cost and financial implications of new educational programs, services, and market entry and changing educational and operational needs and their impact on organizational sustainability.

■ Individual facts and data do not usually provide an effective basis for setting organizational priorities. This Item emphasizes that close alignment is needed between your analysis and your organizational performance review and between your analysis and your organizational planning. This ensures that analysis is relevant to decision making and that decision making is based on relevant data and information.

■ Action depends on understanding cause-effect connections among processes and between processes and results or outcomes. Programmatic and operational changes may have many resource implications. Organizations have a critical need to provide an effective analytical basis for decisions because resources for improvement are limited and cause-effect connections often are unclear.

4.2 *Information and Knowledge Management:* *How do you manage organizational information and knowledge?*

Purpose

This Item examines how your organization ensures the availability of high-quality, timely data and information for all your key users—faculty, staff, students, stakeholders, suppliers, partners, and collaborators. It also examines how your organization builds and manages its knowledge assets. The aim is to improve organizational efficiency, effectiveness, and innovation.

Comments

■ Managing information can require a significant commitment of resources as the sources of data and information grow dramatically. The ability to ensure reliability and availability in a user-friendly format is challenged by the expanding use of electronic information within organizations' operations; as part of organizational knowledge networks; from the Internet, intranet, and school Web sites; and in communications between students and their school, as well as between stakeholders and the school.

■ Data and information are especially important in grade-to-grade, school-to-school, and school-to-work transitions and in partnerships with businesses, social services, and the community. Your responses to this Item should take into account this use of data and information and should recognize the need for rapid data validation and reliability assurance, given the increasing use of electronic data transfer.

■ Organizations should carefully plan how they will continue to provide data and information in the event of either a natural or man-made disaster. These plans should consider the needs of the organization's students, stakeholders, faculty and staff, suppliers, partners, and collaborators. The plans also should be coordinated with the organization's overall plan for operational continuity (Item 6.2).

■ The focus of an organization's knowledge management is on the knowledge that people need to do their work; improve processes, programs, offerings, and services; keep current with changing educational service needs and directions; and develop innovative solutions that add value for the student, the stakeholder, and the organization.
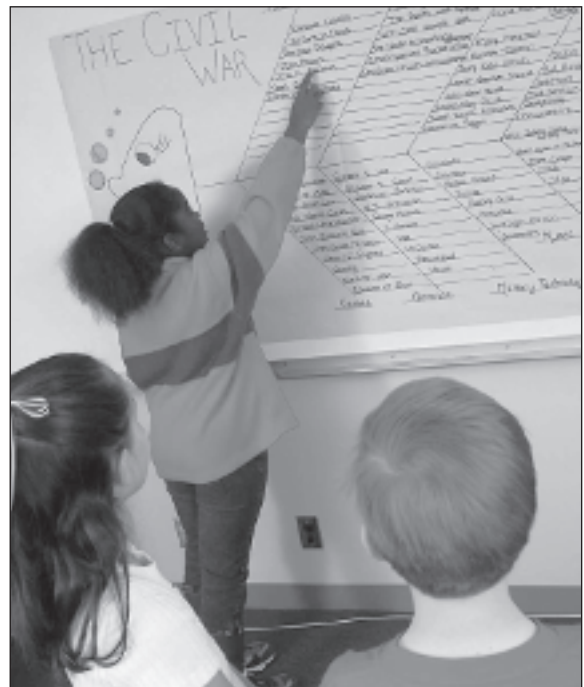
Faculty and Staff Focus (Category 5)

Faculty and Staff Focus addresses key human resource practices—those directed toward creating and maintaining a high-performance workplace with a strong focus on students and learning and toward developing faculty and staff to enable them and your organization to adapt to change. The Category covers faculty and staff development and management requirements in an integrated way (i.e., aligned with your organization's strategic objectives and action plans). Your faculty and staff focus includes your work environment and your faculty and staff support climate.

To reinforce the basic alignment of workforce management with overall strategy, the Criteria also cover human resource planning as part of overall planning in the Strategic Planning Category (Category 2).

5.1 *Work Systems: How do you enable faculty and staff to accomplish the work of your organization?*

Purpose

This Item examines your organization's systems for work and jobs; communication; and faculty and staff hiring, performance management, compensation, recognition, and career progression, with the aim of enabling and encouraging all faculty and staff to contribute effectively and to the best of their ability. These systems are intended to foster student achievement and high performance, to result in individual and organizational learning, and to enable adaptation to change, contributing to organizational sustainability.

Comments

- High-performance work is characterized by a focus on student achievement, flexibility, innovation, knowledge and skill sharing, alignment with organizational objectives, and the ability to exercise discretion and make effective decisions to respond to changing educational service needs and requirements of your students, stakeholders, and markets. The focus of this Item is on a workforce capable of achieving high performance. In addition to enabled faculty and staff and proper work system design, high-performance work requires ongoing education and training, as well as information systems that ensure proper information flow.

- Work and job factors for your consideration include cross-training; job rotation; use of teams (including self-directed teams and, in some cases, involving paraprofessionals and adjunct faculty); and changes in classroom design. Also important is effective communication across functions and work units to ensure a focus on student and stakeholder requirements and to ensure an environment of encouragement, trust, knowledge sharing, and mutual respect.

- Compensation and recognition systems should be matched to your faculty and staff work systems. To be effective, compensation and recognition might be tied to

demonstrated skills, administrator/supervisor evaluations, or student evaluations of teachers' classroom performance.

- Compensation and recognition approaches also might include rewards for exemplary team or unit performance and presentations and participation at professional meetings and conferences. Compensation and recognition might be linked to student and stakeholder satisfaction and the achievement of organizational strategic objectives or other organizational performance objectives.

- The requirements of high-performance work, coupled with faculty and staff shortages, necessitate attention to succession planning, recruitment strategies, and hiring profiles. This should include and capitalize on diversity factors. Faculty and staff hiring and career progression planning should consider both internal and external candidates, with a focus on the future sustainability and growth of the organization. Consideration should be given to appropriate certification and licensure and to equitable distribution of staff among organizational units, such as schools or campuses.

5.2 *Faculty and Staff Learning and Motivation: How do you contribute to faculty and staff learning and motivate your faculty and staff?*

Purpose

This Item examines your organization's faculty and staff education and training. It also examines your organization's systems for motivation and faculty and staff career development, with the aim of meeting the ongoing needs of faculty and staff and a high-performance workplace.

Comments

- Education and training address the knowledge and skills faculty and staff need to meet their overall work and personal and professional objectives and the organization's need for leadership development of faculty and staff. Education and training needs might vary greatly, depending on many factors—especially specific faculty and staff responsibilities. These needs might include gaining knowledge about assessment practices, learning styles, and
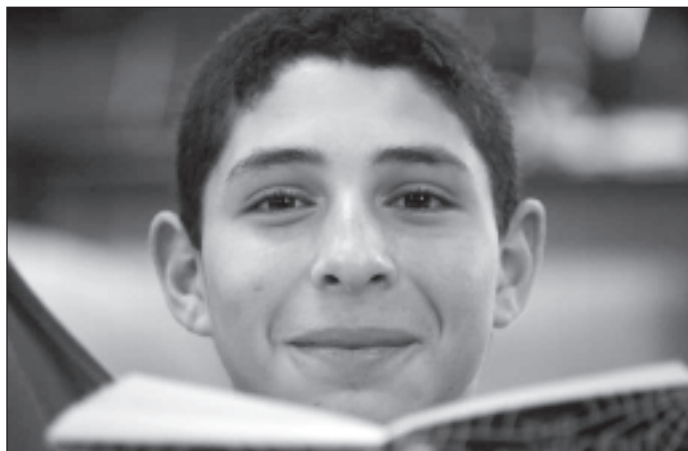
effective methods for working with students from other cultures who have limited English proficiency. They also might include gaining skills in knowledge sharing, communications, interpreting and using data, using new technology, process analysis, and evaluating and understanding student behavior and character development, as well as other training that affects faculty and staff effectiveness and safety.

- This Item emphasizes the importance of the involvement of faculty and staff and their supervisors in the design of training, including clear identification of specific needs. This involves job analysis (i.e., understanding the types and levels of skills required and the timeliness of training). Determining specific education and training needs might include the use of organizational assessment or faculty and staff self-assessment to determine and/or compare skill levels for progression within the organization or elsewhere. Education and training also include appropriate orientation of new faculty and staff.

- Education and training delivery might occur inside or outside your organization and could involve on-the-job, classroom, computer-based, or distance learning, as well as other types of delivery. Training also might occur through developmental assignments within or outside your organization. This includes the use of developmental assignments such as sabbatical leave, internships, or job shadowing within or outside the organization to enhance faculty and staff career opportunities and employability.

- Effective performance management also includes the evaluation of education and training. Such evaluation might take into account evaluation by administrators, faculty and staff, and peers of the value received through education and training relative to needs identified in their design. Evaluation also might address factors such as the effectiveness of education and training delivery, its impact on work unit and organizational performance, and costs of delivery alternatives.

- An organization's knowledge management system should provide the mechanism for sharing the knowledge of faculty and staff and the organization to ensure that high-performance work is maintained through transitions. Each organization should determine what knowledge is critical for its operations and should then implement systematic processes for sharing this information. This is particularly important for implicit knowledge (i.e., knowledge personally retained by your faculty and staff).

- To help faculty and staff realize their full potential, many organizations use individual development plans prepared with each person that address his or her career and learning objectives.

- Factors inhibiting motivation should be understood and addressed by your organization. Further understanding of

these factors could be developed through faculty and staff surveys or exit interviews with departing faculty and staff.

5.3 Faculty and Staff Well-Being and Satisfaction: *How do you contribute to faculty and staff well-being and grow faculty and staff satisfaction?*

Purpose
This Item examines your organization's work environment, your faculty and staff support climate, and how you determine faculty and staff satisfaction, with the aim of fostering the well-being, satisfaction, and motivation of all faculty and staff while recognizing their diverse needs. It also examines your organization's capabilities for handling emergencies or disasters, with the aim of faculty and staff protection and workplace safety.

Comments
- Most education organizations, regardless of size, have many opportunities to contribute to faculty and staff well-being, satisfaction, and motivation. Some examples of services, facilities, activities, and other opportunities are personal and career counseling; career development and employability services; recreational or cultural activities; formal and informal recognition; nonwork-related education; day care; special leave for family responsibilities and community service; flexible work hours and benefits packages; outplacement services; and retiree benefits, including extended health care and access to faculty and staff services.

- All organizations, regardless of size, are required to meet minimum regulatory standards for workplace safety; however, high-performing organizations have processes in place to ensure that they not only meet these minimum standards but go beyond a compliance orientation. This includes designing proactive processes, with input from faculty and staff directly involved in the work, to ensure a safe working environment.

- Since the safety and health of faculty and staff depend significantly on specific work environments and responsibilities, it is important to view environmental factors separately and to segment measures and data accordingly, addressing the principal safety and health issues associated with each work unit.

- Many factors might affect faculty and staff well-being and satisfaction, and these factors are likely to differ greatly among faculty and staff groups. The organization might need to consider factors such as effective resolution of faculty and staff problems and grievances; faculty and staff development and career opportunities; faculty and staff preparation for changes in technology or organizational structure; the work environment and leadership support; workload; effective communication, cooperation, and teamwork; job security; compensation; equality of

opportunity; appreciation of the differing needs of diverse faculty and staff groups; and the capacity to provide required services to students.

- In addition to direct measures of faculty and staff satisfaction and well-being through formal or informal surveys, some other indicators include safety, absenteeism, turnover, grievances, Occupational Safety and Health Administration (OSHA) reportables, and workers' compensation claims.

Process Management (Category 6)

Process Management is the focal point within the Education Criteria for all key processes. Built into the Category are the central requirements for efficient and effective process management: effective education design and delivery; a focus on student learning; linkage to students, stakeholders, suppliers, partners, and collaborators and a focus on learning-centered processes that create value for students and other key stakeholders; budgetary and financial performance; and evaluation, continuous improvement, and organizational learning. As appropriate to an organization's mission, key support processes might include conducting research and providing outreach or service to key communities.

Agility, operational efficiencies tied to changes in revenue, and cycle time reduction are increasingly important in all aspects of process management and organizational design. In the simplest terms, "agility" refers to your ability to adapt quickly, flexibly, and effectively to changing requirements. Depending on the nature of your organization's strategy and markets, agility might mean rapid change from a particular course offering to another, rapid response to changing demands, or the ability to produce a wide range of customized services. Agility also increasingly involves decisions to outsource, agreements with key suppliers, and novel partnering arrangements. Flexibility might demand special strategies, such as implementing unique curricula; sharing facilities, faculty, and staff; and providing specialized training. Operational efficiencies tied to changes in revenue and cycle time reduction often involve agile process management strategies. It is crucial to utilize key measures for tracking all aspects of your overall process management.

6.1 Learning-Centered Processes: *How do you identify and manage your key processes?*

Purpose

This Item examines your organization's key learning-centered processes for your educational programs and offerings and student services, with the aim of creating value for students and other key stakeholders and improving your organization's educational effectiveness.

Comments

- This Item calls for information on the management and improvement of key learning-centered processes for the

design and delivery of educational programs, services, and offerings. The information required includes a description of the key processes, their specific requirements, and how performance relative to these requirements is determined and maintained. Increasingly, these requirements might include the need for agility—speed and flexibility—to adapt to change.

- "Educational programs and offerings" refers to all activities that engage students in learning or that contribute to scientific or scholarly investigation, including courses, degree programs, research, outreach, community service, cooperative projects, and overseas studies. Design of programs and offerings requires the identification of critical points (the earliest points possible) in the teaching and learning process for measurement, observation, or intervention.

- "Student services" refers to those offerings considered most important to student matriculation and success. These might include services related to counseling, advising, and tutoring students; libraries and information technology; and student recruitment, enrollment, registration, placement, financial aid, and housing. They also might include food services, security, health services, transportation, and book stores. The key services to be included in Item 6.1 are distinctive to your organization. Given the diverse nature of these processes, the requirements and performance characteristics might vary significantly for different processes; however, coordination and integration of design requirements may help ensure effective linkage and performance.

- "Education delivery" refers to instructional approaches (i.e., modes of teaching and organizing activities and experiences so that effective learning takes place). Coordination of design and delivery processes should involve representatives of all work units and individuals who take part in delivery and whose performance affects overall education outcomes. This might include groups such as faculty in feeder and receiving programs; academic staff members; faculty from different departments, disciplines, or levels; and social service, advising, or counseling staff members.

- Achieving expected student learning frequently requires setting performance levels or standards against which to gauge progress and to guide decision making in the design and delivery of programs. Preparing for individual differences in students requires understanding those differences and associated strategies to capitalize on strengths and overcome obstacles in styles and rates of learning. Instructional techniques for active learning provide an opportunity for students and student segments to analyze, synthesize, and evaluate information as part of the learning process.

- Your design approaches could differ appreciably depending on many factors, including your organization's mission; your market segments; the methods of delivery; and students' ages, experiences, and capabilities. Other factors that might need to be considered in design include the capability and variability of faculty and staff, differences among students, long-term student performance, and student and stakeholder expectations.

- Efficiency and effectiveness factors, such as addressing sequencing and linkages among programs and offerings, should take into account the various stakeholders in the educational process. Transfer of learning from past design projects, as well as among and across grade levels, disciplines, and institutions, can improve the design and delivery process and contribute to reduced cycle time in future efforts.

- This Item calls for information on the incorporation of new technology, which could include communicating with students and giving them continuous (24/7) access; sharing information with faculty, staff, other stakeholders, partners, and collaborators; and providing automated information transfer.

- A measurement plan includes observations and measures or indicators that are used to provide timely information to help students and faculty improve learning. Key process cycle times in some organizations may be a year or longer, which may create special challenges in measuring day-to-day progress and identifying opportunities for reducing cycle times where appropriate. Formative and summative assessments need to be tailored to the educational offerings and program goals and might range from purely individualized to group-based assessments. In addition to these assessments, your observations, measures, and indicators might include enrollment and participation figures, student evaluations of courses and instructors, success rates, attendance rates, dropout rates, information from student counselors, advanced study rates, complaints, feedback from students and families, and formal classroom observation by faculty leaders. Among the key factors to be addressed in assessment are ensuring appropriate comparisons among students and the relevance of assessment criteria to your mission and objectives. Differences among students must be a critical consideration in the evaluation of key educational processes. In addition, assessment optimally should be related to the knowledge and skill requirements of offerings, and assessment should provide students and others with key information about what students know and are able to do.

- Specific reference is made to in-process measures and to student, faculty, staff, stakeholder, partner, and collaborator input. These measures and interactions require the identification of critical points in your learning processes for measurement, observation, or interaction. These activities should occur at the earliest points possible in the process to minimize problems, failure, and costs. Achieving desired performance frequently requires setting in-process performance levels or standards to guide decision making. When sufficient learning does not occur, corrective action is required. Proper corrective action involves changes at the source (root cause) of the problem. Such corrective action should minimize the likelihood of this type of variation occurring again or elsewhere in your organization. Differences among students must be considered in evaluating how well the educational process is performing. This might entail allowing for specific or general contingencies, depending on student differences and needs.

- Improving processes to achieve better performance means not only providing better educational value for the student but also better operational performance from your other stakeholders' perspectives. A variety of improvement approaches might be used, depending on the educational program and many student-specific factors. These approaches include (1) using information from students, families, feeder schools, receiving schools, employers, and governing bodies; (2) benchmarking practices of other organizations; (3) using assessment results; (4) conducting peer evaluations; (5) using research on learning, assessment, and instructional methods; (6) collecting information on the use of new learning technology; and (7) sharing successful strategies across your organization to drive learning and innovation. Process improvement approaches might utilize financial data to evaluate alternatives and set priorities. In some cases, improvement of educational processes might entail a complete redesign of the content or delivery of programs, offerings, and services.

6.2 *Support Processes and Operational Planning: How do you identify and manage your support processes and accomplish operational planning?*

Purpose

This Item examines your organization's key support processes and your operational planning with respect to financial management and planning for the continuity of operations. The aim is to improve your overall operational performance.

Comments

- Your support processes are those that support your organization's design and delivery of educational programs and offerings and student services. The support process requirements usually do not depend significantly on the characteristics of educational programs and offerings or student services. Support process design requirements usually depend significantly on your internal requirements, and they must be coordinated and integrated to ensure efficient and effective linkage and performance. Support processes might include processes for finance and accounting; plant and facilities management; legal, human resource, and marketing services; information services; public relations; central receiving; purchasing; management of suppliers and partners; and secretarial and other administrative services.

- This Item calls for information on how your organization evaluates and improves the performance of your key support processes and shares information with other organizational units to drive learning and innovation. Four approaches frequently used are (1) process analysis and research, (2) benchmarking, (3) use of alternative technology, and (4) use of information from customers of the processes. Together, these approaches offer a wide range of possibilities, including minor modification and complete redesign ("re-engineering") of processes.

- To ensure adequate financial resources are available to support current operations and new initiatives and to assess their financial risks, many types of analyses can be performed, including the analysis of cash flows and of current liabilities versus current and projected budgets. The specific types of analyses will vary from organization to organization. These analyses should help your organization assess the financial viability of your current operations and the potential viability of and risks associated with your new initiatives.

- Efforts to ensure the continuity of operations in an emergency should consider all facets of your organization's operations that are needed to provide programs, services, or offerings to students and other stakeholders. You should consider both your learning-centered processes and your key support processes in your planning. The specific level of service that you will need to provide will be guided by your organization's mission and your students' and other stakeholders' needs and requirements. Your continuity of operations efforts also should be coordinated with your efforts to ensure data and information availability (Item 4.2) and workplace preparedness (Item 5.3).

Results (Category 7)

The Results Category provides a results focus that encompasses your students' learning; student and stakeholder satisfaction; your overall budgetary, financial, and market performance; your performance in creating a positive,

productive, learning-centered, and supportive work environment; your leadership system and social responsibility; and results of all key processes and process improvement activities. Through this focus, the Criteria's purposes—superior value of offerings as viewed by your students, stakeholders, and markets; superior organizational performance as reflected in your operational, human resource, legal, ethical, and financial indicators; and organizational and personal learning—are maintained. Category 7 thus provides "real-time" information (measures of progress) for evaluation and improvement of educational programs, offerings, and services and the organization's processes, in alignment with your overall organizational strategy. Item 4.1 calls for analysis and review of organizational performance results data and information to determine your overall organizational performance and set priorities for improvement.

7.1 Student Learning Outcomes: *What are your student learning results?*
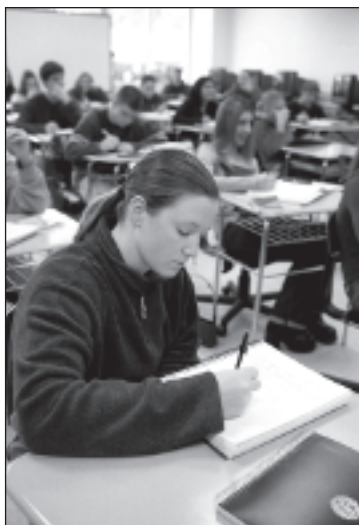
Purpose

This Item examines your organization's student learning results, with the aim of demonstrating the effectiveness of educational programs and activities.

Comments

- This Item addresses the principal student learning results based on mission-related factors and assessment methods. This Item is critical for your organizational assessment because it focuses on improvement by the organization over time and on achievement levels relative to those of competitors and comparable organizations or student populations. Proper use of this Item depends on appropriate normalization of data to compensate for initial differences in student populations.

- The following considerations are critical to understanding this Item: (1) student learning should reflect holistic and mission-related results; (2) current levels and trends should be reported and used for comparisons with other organizations providing similar services or with other student populations, as well as to demonstrate year-to-year improvement; and (3) data should be segmented by student segments to permit an analysis of trends and comparisons that demonstrates the organization's sensitivity to educational improvement for all students.

- Student learning results should reflect not only what students know but also what they have learned as a result of the educational program, what they are able to do, and how well they are able to function. Results should consider external requirements derived from your markets and from other organizations providing similar services. Appropriate for inclusion are formative and summative assessment results—both curriculum-based and criterion-referenced—that address key learning goals and overall performance requirements. Additionally, assessments

should be embedded and ongoing, allowing for prompt feedback.

- Although better admission criteria might contribute to improved education for all students, improved student learning based entirely on changing students' entry-level qualifications should not be reported in Item 7.1. However, improvement trends in student admission qualifications are appropriate for inclusion in Organizational Effectiveness Outcomes (Item 7.5). Improvement in student learning beyond that which could be attributed to entry-level qualifications is appropriate for inclusion in Item 7.1, along with other measures and indicators of improvement trends and comparisons.

- Determining the correlation between education design and delivery and student learning is a critical management tool for (1) defining and focusing on key instructional requirements; (2) identifying educational service differentiators; and (3) determining cause-and-effect relationships between your educational service attributes and various factors, including evidence of student and stakeholder satisfaction; student persistence, graduation, and course completion; and positive referral. The correlation might reveal emerging or changing requirements, changing markets, or the potential obsolescence of educational offerings.

7.2 Student- and Stakeholder-Focused Outcomes: What are your student- and stakeholder-focused performance results?

Purpose

This Item examines your organization's student- and stakeholder-focused results, with the aim of demonstrating how well your organization has been satisfying students' and stakeholders' key needs and expectations and has encouraged loyalty, student persistence, and positive referrals, as appropriate.

Comments

- This Item focuses on all relevant data to determine and help predict your organization's performance as viewed by your students and stakeholders. Relevant data and information include student and stakeholder satisfaction and dissatisfaction; gains and losses of students; positive referrals; complaints, complaint management, and effective complaint resolution; student- and stakeholder-perceived value; student assessment of the accessibility and availability of educational programs and offerings;

and awards, ratings, and recognition from independent rating organizations.

- Effectively used, satisfaction results provide important indicators of organizational effectiveness and improvement. Effective use entails understanding the key dimensions of satisfaction and dissatisfaction, recognizing that satisfaction and dissatisfaction with educational services and performance might differ among student segments and stakeholder groups, and recognizing that satisfaction and dissatisfaction might change over time. The underlying purpose of the Item is to ensure that satisfaction levels provide a useful tool in assessing key climate factors that contribute to or inhibit education. Satisfaction results are thus principally enablers, not ends in themselves. Together, the results reported in Item 7.2 should help guide action leading to improved student performance, recognizing that the action might address climate, curricula, faculty development, and many other factors. The Item should not be interpreted as emphasizing "popularity" or other short-term, noneducational aims.

7.3 Budgetary, Financial, and Market Outcomes: What are your budgetary, financial, and market results?

Purpose

This Item examines your organization's key budgetary, financial, and market results, with the aim of understanding your management and effective use of financial resources and your market challenges and opportunities.

Comments

- This Item addresses those factors that best reflect the organization's financial, budgetary, and market performance. Measures of budgetary and financial performance might include instructional and general administration expenditures per student; income, expenses, and reserves; the tax rate; tuition and fee levels; cost per academic credit; annual grants or awards; program expenditures as a percentage of budget; annual budget increases or decreases; resources redirected to education from other areas; scholarship growth; the percentage of budget for research; and the budget for public service. Market performance measures could include market share, measures of growth or loss of students or programs, new educational services entered, entry into Web-based and distance learning markets, and market position. Measures also might include utilization of new educational program offerings; the number of students transferring into or out of the organization, including into or from alternative educational services such as home schooling, charter schools, or vouchers; and new or expanded delivery methods, as appropriate. Comparative data for these measures might include performance relative to comparable organizations, competing organizations, and appropriate benchmarks from within and outside the academic community.

7.4 *Faculty and Staff Outcomes:* *What are your faculty and staff results?*

Purpose
This Item examines your organization's faculty and staff results, with the aim of demonstrating how well your organization has been creating and maintaining a productive, learning-centered, and caring work environment for all faculty and staff.

Comments
■ Results measures reported for work system performance might include improvement in job classification, job rotation or job sharing, work design, and local decision making. Results reported might include input data, such as the extent of training, but the main emphasis should be on data that show effectiveness or outcomes. An example of such an outcome measure might be student learning enhancements or cost savings resulting from the redesign of work processes by work teams.

■ Results reported might include generic or organization-specific factors. Generic factors might include safety, absenteeism, turnover, satisfaction, and complaints (grievances). For some measures, such as absenteeism and turnover, local or regional comparisons might be appropriate. Organization-specific factors are those you assess for determining your work system performance and your faculty and staff well-being and satisfaction. These factors might include the extent of training or cross-training or the extent and success of self-direction.

7.5 *Organizational Effectiveness Outcomes:* *What are your organizational effectiveness results?*

Purpose
This Item examines your organization's other key operational performance results not reported in Items 7.1–7.4, with the aim of achieving organizational effectiveness and process efficiency.

Comments
■ The Item encourages your organization to develop and include unique and innovative measures to track key processes and performance in important areas. All key areas of organizational and operational performance should be evaluated by measures that are relevant and important to your organization.

■ Results should reflect key process performance measures, including those that influence student learning and student and stakeholder satisfaction. Measures of productivity and operational effectiveness, including timeliness in all key areas—educational and student services and support areas—are appropriate for inclusion. Results of compliance and improvement in areas such as athletic programs could be reported. Also appropriate for inclusion are improvements in safety; effectiveness of research, outreach, and services; innovations; utilization of facilities by community organizations; improved performance of administrative and other support functions, such as purchasing; cost containment; and redirection of resources from other areas to education.

7.6 *Leadership and Social Responsibility Outcomes:* *What are your leadership and social responsibility results?*

Purpose
This Item examines your organization's key results in the areas of leadership and societal responsibilities, with the aim of maintaining a fiscally sound, ethical organization that is a good citizen in its communities.

Comments
■ Because of a lack of appropriate measures, a key challenge for many organizations is measuring their progress in accomplishing their strategic objectives. Frequently, these progress measures can be discerned by first defining the results that would indicate end-goal success in achieving the strategic objective and then using that measure to define intermediate measures.

■ Independent of an increased national focus on issues of governance, ethics, and leadership accountability, it is important for organizations to practice and demonstrate high standards of overall conduct. Governance bodies and senior leaders should track relevant performance measures on a regular basis and emphasize this performance in stakeholder communications.

■ Key measures or indicators of fiscal accountability, stakeholder trust, and ethical behavior might include the integrity of testing; student and stakeholder safety; faculty and staff accreditation; equal access to resources, programs, and facilities; and appropriate use of funds.

■ Results reported should include environmental, legal, safety, accreditation, and regulatory compliance and noteworthy achievements in these areas, as appropriate. Results also should include indicators of support for key communities and other public purposes.

■ If your organization has received sanctions or adverse actions under law, regulation, or contract during the past three years, the incidents and their current status should be summarized.

SCORING SYSTEM

The scoring of responses to Criteria Items (Items) and Award applicant feedback are based on two evaluation dimensions: (1) Process and (2) Results. Criteria users need to furnish information relating to these dimensions. Specific factors for these dimensions are described below. Scoring Guidelines are given on pages 54–55.

Process

"Process" refers to the methods your organization uses and improves to address the Item requirements in Categories 1–6. The four factors used to evaluate process are Approach, Deployment, Learning, and Integration (A-D-L-I).

"Approach" refers to
- the methods used to accomplish the process
- the appropriateness of the methods to the Item requirements
- the effectiveness of your use of the methods
- the degree to which the approach is repeatable and based on reliable data and information (i.e., systematic)

"Deployment" refers to the *extent* to which
- your approach is applied in addressing Item requirements relevant and important to your organization
- your approach is applied consistently
- your approach is used by all appropriate work units

"Learning" refers to
- refining your approach through cycles of evaluation and improvement
- encouraging breakthrough change to your approach through innovation
- sharing refinements and innovations with other relevant work units and processes in your organization

"Integration" refers to the *extent* to which
- your approach is aligned with your organizational needs identified in other Criteria Item requirements
- your measures, information, and improvement systems are complementary across processes and work units
- your plans, processes, results, analyses, learning, and actions are harmonized across processes and work units to support organization-wide goals

Results

"Results" refers to your organization's *outputs and outcomes* in achieving the requirements in Items 7.1–7.6. The four factors used to evaluate results are
- your current level of performance
- rate (i.e., slope of trend data) and breadth (i.e., how widely deployed and shared) of your performance improvements

- your performance relative to appropriate comparisons and/or benchmarks
- linkage of your results measures (often through segmentation) to important student and stakeholder; program, offering, and service; market; process; and action plan performance requirements identified in your Organizational Profile and in Process Items

Item Classification and Scoring Dimensions

Items are classified according to the kinds of information and data you are expected to furnish relative to the two evaluation dimensions given above.

The two types of Items are designated as

1. Process   **Process**
2. Results   **Results**

In Process Items, Approach-Deployment-Learning-Integration are linked to emphasize that descriptions of approach should always indicate the deployment—consistent with the *specific requirements* of the Item. As processes mature, their description also should indicate how cycles of learning, as well as integration with other processes and work units, occur. Although the Approach-Deployment-Learning-Integration factors are linked, feedback to Award applicants reflects strengths and opportunities for improvement in any or all of these factors.

Results Items call for data showing performance levels, improvement rates, and relevant comparative data for key measures and indicators of organizational performance. Results Items also call for data on breadth of performance improvements. This is directly related to deployment and organizational learning; if improvement processes are widely shared and deployed, there should be corresponding results. A score for a Results Item is thus a composite based on overall performance, taking into account the rate and breadth of improvements and their importance to the Item requirements and your organization or mission. (See next paragraph.)

"Importance" as a Scoring Consideration

The two evaluation dimensions described previously are critical to evaluation and feedback. However, another critical consideration in evaluation and feedback is the *importance* of your reported processes and results to your key organizational factors. The areas of greatest importance should be identified in your Organizational Profile and in Items such as 2.1, 2.2, 3.1, 5.1, and 6.1. Your key student and stakeholder requirements, competitive environment, key strategic objectives, and action plans are particularly important.

Assignment of Scores to Your Responses

The following guidelines should be observed in assigning scores to Item responses.

- All Areas to Address should be included in your Item response. Also, responses should reflect what is important to your organization.

- In assigning a score to an Item, first decide which scoring range (e.g., 50 percent to 65 percent) is most descriptive of the organization's achievement level as presented in the Item response. "Most descriptive of the organization's achievement level" can include some gaps in one or more of the A-D-L-I (process) factors *or* results factors for the chosen scoring range. An organization's achievement level is based on a holistic view of either the four process or four results factors in aggregate and not on a tallying or averaging of independent assessments against each of the four factors. Assigning the actual score *within* the chosen range requires evaluating whether the Item response is closer to the statements in the next higher or next lower scoring range.

- A Process Item score of 50 percent represents an approach that meets the overall requirements of the Item, that is deployed consistently and to most work units covered by the Item, that has been through some cycles of improvement and learning, and that addresses the key organizational needs. Higher scores reflect greater achievement, demonstrated by broader deployment, significant organizational learning, and increased integration.

- A Results Item score of 50 percent represents a clear indication of improvement trends and/or good levels of performance with appropriate comparative data in the results areas covered in the Item and *important* to the organization or its mission. Higher scores reflect better improvement rates and/or levels of performance, better comparative performance, and broader coverage and integration with the requirements of your organization or mission.

SCORING GUIDELINES

For Use With Categories 1–6

| SCORE	PROCESS
0% or 5%	■ No SYSTEMATIC APPROACH is evident; information is ANECDOTAL. (A) ■ Little or no DEPLOYMENT of an APPROACH is evident. (D) ■ An improvement orientation is not evident; improvement is achieved through reacting to problems. (L) ■ No organizational ALIGNMENT is evident; individual areas or work units operate independently. (I)
10%, 15%, 20%, or 25%	■ The beginning of a SYSTEMATIC APPROACH to the BASIC REQUIREMENTS of the Item is evident. (A) ■ The APPROACH is in the early stages of DEPLOYMENT in most areas or work units, inhibiting progress in achieving the BASIC REQUIREMENTS of the Item. (D) ■ Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L) ■ The APPROACH is ALIGNED with other areas or work units largely through joint problem solving. (I)
30%, 35%, 40%, or 45%	■ An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the BASIC REQUIREMENTS of the Item, is evident. (A) ■ The APPROACH is DEPLOYED, although some areas or work units are in early stages of DEPLOYMENT. (D) ■ The beginning of a SYSTEMATIC APPROACH to evaluation and improvement of KEY PROCESSES is evident. (L) ■ The APPROACH is in early stages of ALIGNMENT with your basic organizational needs identified in response to the other Criteria Categories. (I)
50%, 55%, 60%, or 65%	■ An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the OVERALL REQUIREMENTS of the Item, is evident. (A) ■ The APPROACH is well DEPLOYED, although DEPLOYMENT may vary in some areas or work units. (D) ■ A fact-based, SYSTEMATIC evaluation and improvement PROCESS and some organizational LEARNING are in place for improving the efficiency and EFFECTIVENESS of KEY PROCESSES. (L) ■ The APPROACH is ALIGNED with your organizational needs identified in response to the other Criteria Categories. (I)
70%, 75%, 80%, or 85%	■ An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the MULTIPLE REQUIREMENTS of the Item, is evident. (A) ■ The APPROACH is well DEPLOYED, with no significant gaps. (D) ■ Fact-based, SYSTEMATIC evaluation and improvement and organizational LEARNING are KEY management tools; there is clear evidence of refinement and INNOVATION as a result of organizational-level ANALYSIS and sharing. (L) ■ The APPROACH is INTEGRATED with your organizational needs identified in response to the other Criteria Items. (I)
90%, 95%, or 100%	■ An EFFECTIVE, SYSTEMATIC APPROACH, fully responsive to the MULTIPLE REQUIREMENTS of the Item, is evident. (A) ■ The APPROACH is fully DEPLOYED without significant weaknesses or gaps in any areas or work units. (D) ■ Fact-based, SYSTEMATIC evaluation and improvement and organizational LEARNING are KEY organization-wide tools; refinement and INNOVATION, backed by ANALYSIS and sharing, are evident throughout the organization. (L) ■ The APPROACH is well INTEGRATED with your organizational needs identified in response to the other Criteria Items. (I)

2006 Education Criteria for Performance Excellence

Scoring Guidelines

For Use With Category 7

| SCORE	RESULTS
0% or 5%	■ There are no organizational PERFORMANCE RESULTS or poor RESULTS in areas reported. ■ TREND data are either not reported or show mainly adverse TRENDS. ■ Comparative information is not reported. ■ RESULTS are not reported for any areas of importance to your KEY MISSION or organizational requirements.
10%, 15%, 20%, or 25%	■ A few organizational PERFORMANCE RESULTS are reported; there are some improvements and/or early good PERFORMANCE LEVELS in a few areas. ■ Little or no TREND data are reported. ■ Little or no comparative information is reported. ■ RESULTS are reported for a few areas of importance to your KEY MISSION or organizational requirements.
30%, 35%, 40%, or 45%	■ Improvements and/or good PERFORMANCE LEVELS are reported in many areas addressed in the Item requirements. ■ Early stages of developing TRENDS are evident. ■ Early stages of obtaining comparative information are evident. ■ RESULTS are reported for many areas of importance to your KEY MISSION or organizational requirements.
50%, 55%, 60%, or 65%	■ Improvement TRENDS and/or good PERFORMANCE LEVELS are reported for most areas addressed in the Item requirements. ■ No pattern of adverse TRENDS and no poor PERFORMANCE LEVELS are evident in areas of importance to your KEY MISSION or organizational requirements. ■ Some TRENDS and/or current PERFORMANCE LEVELS—evaluated against relevant comparisons and/or BENCHMARKS—show areas of good to very good relative PERFORMANCE. ■ Organizational PERFORMANCE RESULTS address most KEY student, STAKEHOLDER, market, and PROCESS requirements.
70%, 75%, 80%, or 85%	■ Current PERFORMANCE is good to excellent in most areas of importance to the Item requirements. ■ Most improvement TRENDS and/or current PERFORMANCE LEVELS are sustained. ■ Many to most reported TRENDS and/or current PERFORMANCE LEVELS—evaluated against relevant comparisons and/or BENCHMARKS—show areas of leadership and very good relative PERFORMANCE. ■ Organizational PERFORMANCE RESULTS address most KEY student, STAKEHOLDER, market, PROCESS, and ACTION PLAN requirements.
90%, 95%, or 100%	■ Current PERFORMANCE is excellent in most areas of importance to the Item requirements. ■ Excellent improvement TRENDS and/or sustained excellent PERFORMANCE LEVELS are reported in most areas. ■ Evidence of education sector and BENCHMARK leadership is demonstrated in many areas. ■ Organizational PERFORMANCE RESULTS fully address KEY student, STAKEHOLDER, market, PROCESS, and ACTION PLAN requirements.

Steps Toward Mature Processes
An Aid for Scoring Process Items

(1) Reacting to Problems
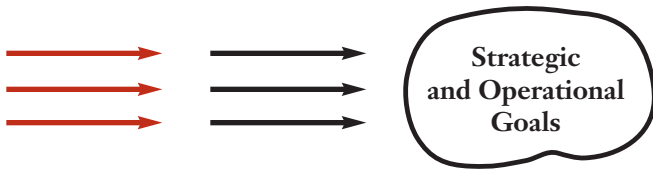
Strategic and Operational Goals
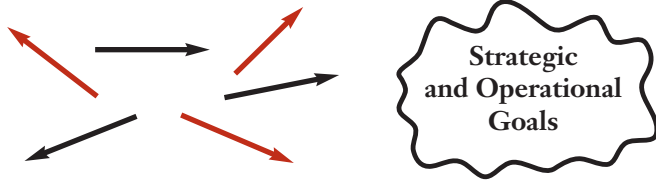
Operations are characterized by activities rather than by processes, and they are largely responsive to immediate needs or problems. Goals are poorly defined.

(2) Early Systematic Approaches

Strategic and Operational Goals
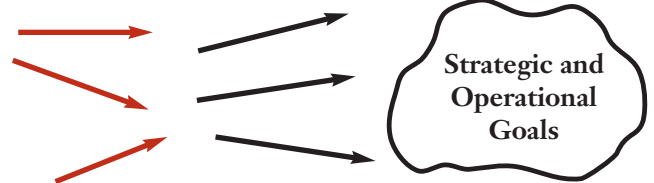
The organization is at the beginning stages of conducting operations by processes with repeatability, evaluation and improvement, and some early coordination among organizational units. Strategy and quantitative goals are being defined.

(3) Aligned Approaches

Strategic and Operational Goals

Operations are characterized by processes that are repeatable and regularly evaluated for improvement, with learnings shared and with coordination among organizational units. Processes address key strategies and goals of the organization.

(4) Integrated Approaches
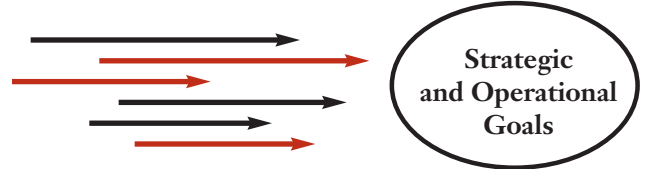
Strategic and Operational Goals

Operations are characterized by processes that are repeatable and regularly evaluated for change and improvement in collaboration with other affected units. Efficiencies across units are sought and achieved through analysis, innovation, and sharing. Processes and measures track progress on key strategic and operational goals.

2006 EDUCATION CRITERIA RESPONSE GUIDELINES

The guidelines given in this section are offered to assist Criteria users in responding most effectively to the requirements of the 19 Criteria Items. Writing an application for the Baldrige Award involves responding to these requirements in 50 or fewer pages.

The guidelines are presented in three parts:

(1) General Guidelines regarding the Criteria booklet, including how the Items are formatted

(2) Guidelines for Responding to Process Items

(3) Guidelines for Responding to Results Items

General Guidelines

1. Read the entire Criteria booklet.

The main sections of the booklet provide a full orientation to the Criteria, including how responses are to be evaluated for self-assessment or by Award Examiners. You should become thoroughly familiar with the following sections:

■ Education Criteria for Performance Excellence (pages 12–34)
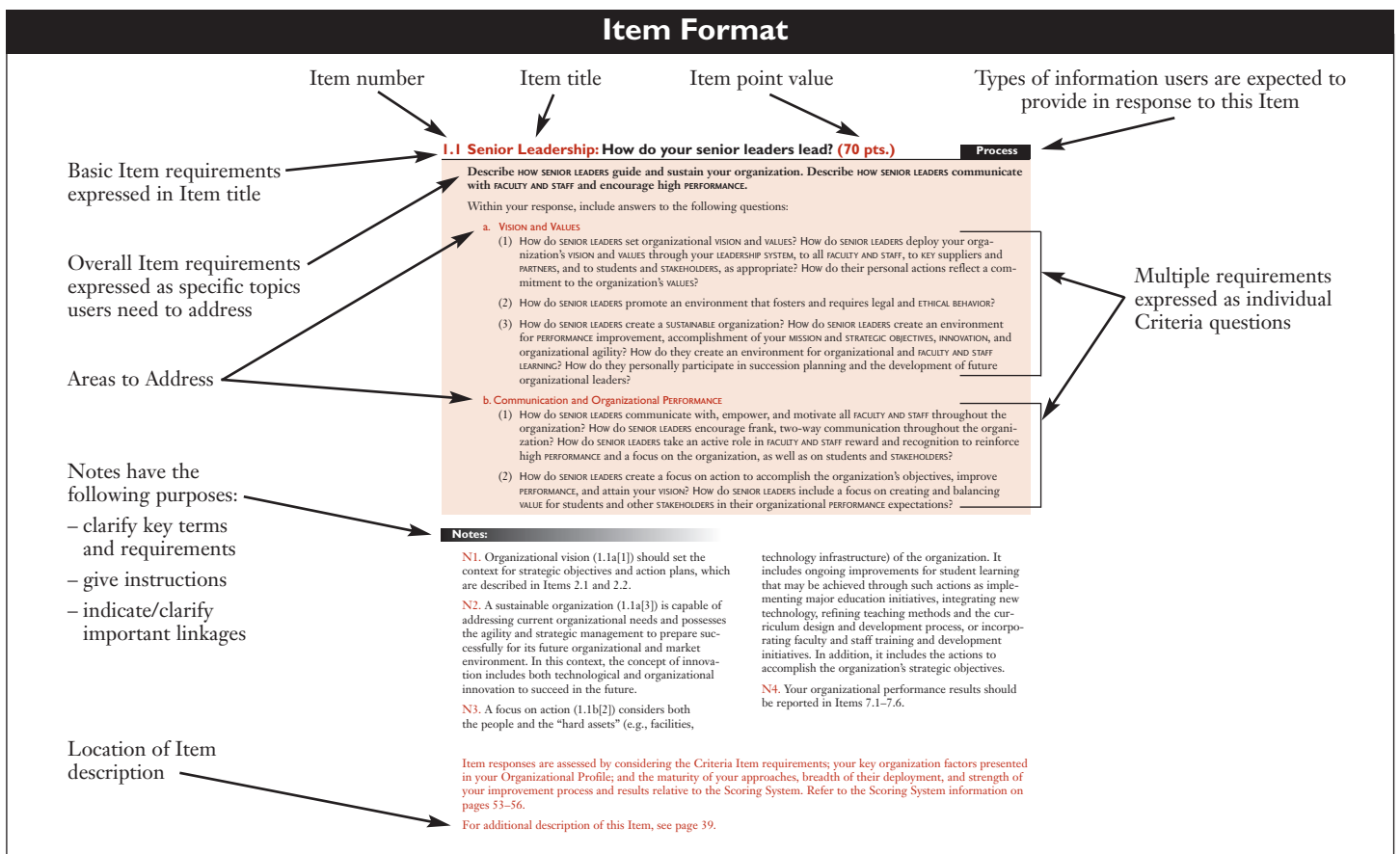
■ Scoring System (pages 53–56)

■ Glossary of Key Terms (pages 67–74)

■ Category and Item Descriptions (pages 38–52)

2. Review the Item format and understand how to respond to the Item requirements.

The Item format (see figure below) shows the different parts of Items, the role of each part, and where each part is placed. It is especially important to understand the multiple requirements contained in the Areas to Address. The Item Notes are an aid to help you understand the Areas to Address. Each Item and Area to Address is described in greater detail in the Category and Item Descriptions section (pages 38–52).

Each Item is classified as either **Process** or **Results**, depending on the type of information required. Guidelines for responding to Process Items are given on pages 58–59. Guidelines for responding to Results Items are given on pages 59–60.

Item requirements are presented in question format. Some of the requirements in the Areas to Address include multiple questions. Responses to an Item should contain responses that address all questions; however, each question need not be answered separately. Responses to multiple questions within a single Area to Address may

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Item Format

Item number

Item title

Item point value

Types of information users are expected to provide in response to this Item

1.1 Senior Leadership: How do your senior leaders lead? (70 pts.) | Process

Basic Item requirements expressed in Item title

Describe HOW SENIOR LEADERS guide and sustain your organization. Describe HOW SENIOR LEADERS communicate with FACULTY AND STAFF and encourage high PERFORMANCE.

Within your response, include answers to the following questions:

Overall Item requirements expressed as specific topics users need to address

a. VISION and VALUES

(1) How do SENIOR LEADERS set organizational VISION and VALUES? How do SENIOR LEADERS deploy your organization's VISION and VALUES through your LEADERSHIP SYSTEM, to all FACULTY AND STAFF, to KEY suppliers and PARTNERS, and to students and STAKEHOLDERS, as appropriate? How do their personal actions reflect a commitment to the organization's VALUES?

(2) How do SENIOR LEADERS promote an environment that fosters and requires legal and ETHICAL BEHAVIOR?

(3) How do SENIOR LEADERS create a SUSTAINABLE organization? How do SENIOR LEADERS create an environment for PERFORMANCE improvement, accomplishment of your MISSION and STRATEGIC OBJECTIVES, INNOVATION, and organizational agility? How do they create an environment for organizational and FACULTY AND STAFF LEARNING? How do they personally participate in succession planning and the development of future organizational leaders?

Areas to Address

Multiple requirements expressed as individual Criteria questions

b. Communication and Organizational PERFORMANCE

(1) How do SENIOR LEADERS communicate with, empower, and motivate all FACULTY AND STAFF throughout the organization? How do SENIOR LEADERS encourage frank, two-way communication throughout the organization? How do SENIOR LEADERS take an active role in FACULTY AND STAFF reward and recognition to reinforce high PERFORMANCE and a focus on the organization, as well as on students and STAKEHOLDERS?

(2) How do SENIOR LEADERS create a focus on action to accomplish the organization's objectives, improve PERFORMANCE, and attain your VISION? How do SENIOR LEADERS include a focus on creating and balancing VALUE for students and other STAKEHOLDERS in their organizational PERFORMANCE expectations?

Notes have the following purposes:

– clarify key terms and requirements

– give instructions

– indicate/clarify important linkages

Notes:

N1. Organizational vision (1.1a[1]) should set the context for strategic objectives and action plans, which are described in Items 2.1 and 2.2.

N2. A sustainable organization (1.1a[3]) is capable of addressing current organizational needs and possesses the agility and strategic management to prepare successfully for its future organizational and market environment. In this context, the concept of innovation includes both technological and organizational innovation to succeed in the future.

N3. A focus on action (1.1b[2]) considers both the people and the "hard assets" (e.g., facilities,

technology infrastructure) of the organization. It includes ongoing improvements for student learning that may be achieved through such actions as implementing major education initiatives, integrating new technology, refining teaching methods and the curriculum design and development process, or incorporating faculty and staff training and development initiatives. In addition, it includes the actions to accomplish the organization's strategic objectives.

N4. Your organizational performance results should be reported in Items 7.1–7.6.

Location of Item description

Item responses are assessed by considering the Criteria Item requirements; your key organization factors presented in your Organizational Profile; and the maturity of your approaches, breadth of their deployment, and strength of your improvement process and results relative to the Scoring System. Refer to the Scoring System information on pages 53–56.

For additional description of this Item, see page 39.

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1. Understand the meaning of "how."

Process Items include questions that begin with the word "how." *Responses should outline your key process information that addresses approach, deployment, learning, and integration (see page 53).* Responses lacking such information, or merely providing an example, are referred to in the Scoring Guidelines as "anecdotal information."

2. Understand the meaning of "what."

Two types of questions in Process Items begin with the word "what." The first type of question requests basic information on key processes and how they work. Although it is helpful to include *who* performs the work, merely stating *who* does not permit diagnosis or feedback. The second type of question requests information on *what* your key findings, plans, objectives, goals, or measures are. These latter questions set the context for showing alignment and integration in your performance management system. For example, when you identify key strategic objectives, your action plans, faculty and staff development plans, some of your performance measures, and some results reported in Category 7 are expected to relate to the stated strategic objectives.

be grouped, as appropriate to your organization. These multiple questions serve as a guide in understanding the full meaning of the information being requested.

3. Start by preparing the Organizational Profile.

The Organizational Profile is the most appropriate starting point. The Organizational Profile is intended to help everyone—including organizations using the Criteria for self-assessment, application writers, and reviewers—to understand what is most relevant and important to your organization and to its mission and performance. The questions to address in responding to the Organizational Profile are on pages 12–14. The Organizational Profile is described in greater detail on pages 38–39.

Guidelines for Responding to Process Items

Although the Criteria focus on key organizational performance results, these results by themselves offer little *diagnostic* value. For example, if some results are poor or are improving at rates slower than your competitors' or comparable organizations', it is important to understand *why* this is so and *what* might be done to accelerate improvement.

The purpose of Process Items is to permit diagnosis of your organization's *most important* processes—the ones that yield fast-paced organizational performance improvement and contribute to key outcomes or performance results. Diagnosis and feedback depend heavily on the content and completeness of your Item responses. For this reason, it is important to respond to these Items by providing your *key* process information. Guidelines for organizing and reviewing such information follow.

3. Write and review response(s) with the following guidelines and comments in mind.

- Show that approaches are *systematic*.

  Systematic approaches are repeatable and use data and information to enable learning. In other words, approaches are systematic if they build in the opportunity for evaluation, improvement, innovation, and sharing, thereby permitting a gain in maturity.

- Show deployment.

  Deployment information should summarize how your approaches are implemented in different parts of your organization. Deployment can be shown compactly by using tables.

- Show evidence of learning.

  Processes should include evaluation and improvement cycles, as well as the potential for breakthrough change. Process improvements should be shared with other appropriate units of the organization to enable organizational learning.

- Show integration.

  Integration shows alignment and harmonization among processes, plans, measures, and actions that generate organizational effectiveness and efficiencies.

- Show focus and consistency.

  There are four important considerations regarding focus and consistency: (1) the Organizational Profile should make clear what is important; (2) the Strategic Planning Category, including the strategic objectives and action plans, should highlight areas of greatest focus and describe how deployment is accomplished; (3) descriptions of organizational-level analysis and review (Item 4.1) should show how your organization analyzes and reviews performance information to set priorities; and (4) the Process Management Category should highlight processes that are key to your overall performance. *Showing focus and consistency in the Process Items and tracking corresponding measures in the Results Items should improve organizational performance.*

- Respond fully to Item requirements.

  Missing information will be interpreted as a gap in your process. All Areas to Address should be addressed. Individual questions within an Area to Address may be addressed individually or together.

4. Cross-reference when appropriate.

As much as possible, each Item response should be self-contained. However, responses to different Items might be mutually reinforcing. It is then appropriate to refer to the other responses rather than to repeat information. In such cases, key process information should be given in the Item requesting this information. For example, faculty and staff education and training should be described in detail in Item 5.2. Discussions about education and training elsewhere in your application would then reference but not repeat details given in your Item 5.2 response.

5. Use a compact format.

Applicants should make the best use of the 50 application pages permitted. Applicants are encouraged to use flowcharts, tables, and "bullets" to present information concisely.

6. Refer to the Scoring Guidelines.

Considerations in the evaluation of Process Item responses include the Criteria Item requirements and the maturity of your approaches, breadth of deployment, extent of learning, and integration with other elements of your performance management system, as described in the Scoring Guidelines (page 54). Therefore, you need to consider both the Criteria and the Scoring Guidelines.

Guidelines for Responding to Results Items

The Education Criteria place a major emphasis on results. The following information, guidelines, and example relate to effective and complete reporting of results.

1. Focus on the most critical organizational performance results.

Results reported should cover the most important requirements for your organization's success, highlighted in your Organizational Profile and in the Strategic Planning; Student, Stakeholder, and Market Focus; and Process Management Categories.

2. Note the meaning of the four key requirements from the Scoring Guidelines for effective reporting of results data:

- *performance* levels that are reported on a meaningful measurement scale
- *trends* to show directions of results and rates of change
- *comparisons* to show how results compare with those of other, appropriately selected organizations
- *breadth and importance of results* to show that all important results are included and segmented (e.g., by important student and stakeholder; faculty and staff; process; and educational program, service, and offering groups)

3. Include trend data covering actual periods for tracking trends.

No minimum period of time is specified for trend data. Trends might span five years or more for some results. Time intervals between data points should be meaningful for the specific measure(s) reported. For important results, new data should be included even if trends and comparisons are not yet well established.

4. Use a compact format—graphs and tables.

Many results can be reported compactly by using graphs and tables. Graphs and tables should be labeled for easy interpretation. Results over time or compared with others should be "normalized" (i.e., presented in a way, such as use of ratios, that takes into account various size factors). For example, reporting absenteeism trends in terms of unexcused absences per 100 students would be more meaningful than reporting total unexcused absences if the student population has varied over the time period or if you are comparing your results to those of organizations differing in the number of students.

5. Integrate results into the body of the text.

Discussion of results and the results themselves should be close together in an Award application. *Trends that show a significant positive or negative change should be explained.* Use
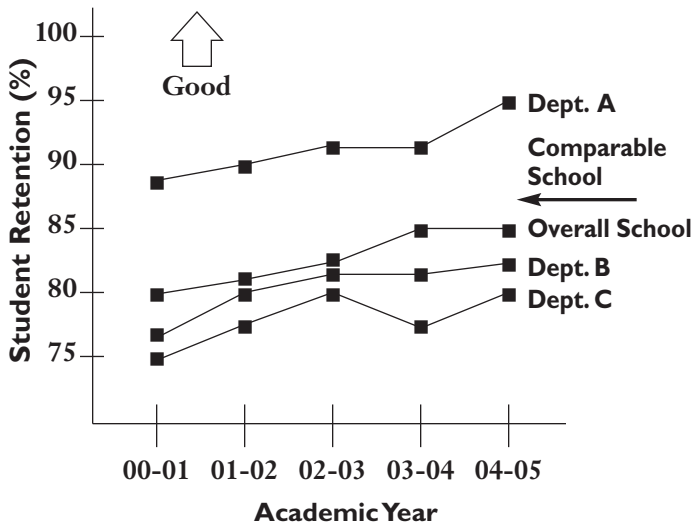
Figure 7.2-3 Student Persistence

figure numbers that correspond to Items. For example, the third figure for Item 7.2 would be Figure 7.2-3. (See the example in the figure above.)

The graph shown above illustrates data an organization might present as part of a response to Item 7.2, Student- and Stakeholder-Focused Outcomes. In the Organizational Profile, the organization has indicated student persistence as a key success requirement.

The graph illustrates a number of characteristics of clear and effective results reporting.

- A figure number is provided for reference to the graph in the text.
- Both axes and units of measure are clearly labeled.

- Trend lines report data for a key success requirement—student persistence.
- Results are presented for several years.
- An arrow indicates that an upward trend is good for this measure.
- Appropriate comparisons are clearly shown.
- The school shows, using a single graph, that its three departments separately track persistence rates.

To help interpret the Scoring Guidelines (page 55), the following comments on the graphed results would be appropriate:

- The current overall school performance level shows a generally improving trend. The current level is good but still slightly below the comparable school.
- Department A is the current performance leader—showing sustained excellent performance and a positive trend.
- Department B shows a lower level of performance but a generally improving trend.
- Although Department C has the overall lowest student retention rate, with the exception of the 2003-2004 school year, there is a generally improving trend. (The single point drop in student retention should be explained briefly.)

6. Refer to the Scoring Guidelines.

Considerations in the evaluation of Results Item responses include the Criteria Item requirements and the significance of the results trends, actual performance levels, relevant comparative data, alignment with important elements of your performance management system, and strength of the improvement process relative to the Scoring Guidelines. Therefore, you need to consider both the Criteria and the Scoring Guidelines (page 55).

APPLYING FOR THE MALCOLM BALDRIGE NATIONAL QUALITY AWARD

The Malcolm Baldrige National Quality Award is an annual Award to recognize U.S. organizations for performance excellence.

Award Purpose

The Award promotes

- awareness of performance excellence as an increasingly important element in competitiveness
- information sharing of successful performance strategies and the benefits derived from using these strategies

Award Participation

The Award eligibility categories include

- manufacturing businesses
- service businesses
- small businesses
- education organizations
- health care organizations

Copies of the Business and Health Care Criteria booklets are available, and ordering information can be found on pages 65–66.

Up to three Awards may be given in each category each year. Depending on the number of employees, up to five subunits of a single parent may apply for the Award during the same Award cycle.

To participate in the Award process, an organization must submit an application package that addresses the Education Criteria for Performance Excellence (pages 12–34).

Application Requirements

Applying for the Award is a two-step process. A brief description of these steps is provided on page 62. Detailed

FEES FOR THE 2006 AWARD CYCLE

Award Category	Eligibility Fee	Application Fee*	Supplemental Section Fee (if applicable)**	Site Visit Fee Usual Range (if applicable)***
Manufacturing	$150	$5,000	$2,000	$20,000–$35,000
Service	$150	$5,000	$2,000	$20,000–$35,000
Small Business	$150	$2,000	$1,000	$10,000–$17,000
Education Nonprofit	$150	$ 500	$ 250	$ 1,500
Education For-profit >500 faculty/staff	$150	$5,000	$2,000	$20,000–$35,000
Education For-profit 500 or fewer faculty/staff	$150	$2,000	$1,000	$10,000–$17,500
Health Care >500 staff	$150	$5,000	$2,000	$20,000–$35,000
Health Care 500 or fewer staff	$150	$2,000	$1,000	$10,000–$17,500

* An additional processing fee of $1,250 is required for applications submitted on a CD.

** Supplemental sections are **not** applicable for applicants with (a) a single performance system that supports all of their product and/or service lines and (b) products and services that are essentially similar in terms of customers and/or users, technology, types of employees, and planning.

*** **Site Visit Review Fee**
This fee is paid only by applicants receiving site visits. The fee is set when visits are scheduled and is dependent on a number of factors, including the number of sites to be visited, the number of Examiners assigned, and the duration of the visit.

The site visit fee for applicants with more than 500 employees in the manufacturing, service, for-profit education, and health care sectors usually ranges between $20,000 and $35,000. The site visit fee for small businesses, for-profit education organizations with 500 or fewer faculty/staff, and health care organizations with 500 or fewer staff is approximately one-half that rate. In 2006, the site visit fee for nonprofit education organizations is $1,500. The site visit fee for all organizations is due to ASQ two weeks after completion of the site visit.

information on the requirements and contents of the Eligibility Certification Package and the Application Package, due dates, and fees is provided in the *Baldrige Award Application Forms*, which can be downloaded at www.baldrige.nist.gov/Award_Application.htm.

Step 1, Eligibility Certification Package

Organizations filing an Eligibility Certification Package may nominate one senior member of their staff to serve on the Board of Examiners. Organizations that wish to reserve a place on the board for a staff member must submit their Eligibility Certification Packages by March 10, 2006. If an organization chooses not to nominate someone to the board, the due date for the Eligibility Certification Package is April 11, 2006.

Step 2, Application Package

The Application Package may be submitted in either CD/PDF format or on paper.

If submitted in CD/PDF format, the Application Package must be postmarked no later than May 11, 2006. If submitted on paper, 25 copies of the Application Package must be postmarked no later than May 25, 2006.

Application Review

Applications are reviewed and evaluated by members of the Board of Examiners, who adhere to strict rules regarding conflict of interest, using the following process:

Stage 1 - independent review and evaluation by at least six members of the board

Stage 2 - consensus review and evaluation for applicants that score well in Stage 1

Stage 3 - site visits to applicants that score well in Stage 2

Judges' review and recommendations of Award recipients

Feedback to Applicants

Each Award applicant receives a feedback report at the conclusion of the review process. The feedback report is a written assessment by an evaluation team of leading U.S. experts.

The feedback report contains an applicant-specific listing of strengths and opportunities for improvement based on the Criteria. Used by companies, education organizations, and health care organizations as part of their strategic planning processes, the feedback report helps organizations focus on their customers and improve overall performance. Feedback is one of the most important parts of the Baldrige Award process; it provides a pathway for improvement.

Feedback reports are mailed at various times during the Award cycle, based on the stage of review an application reaches in the evaluation process. Strict confidentiality is observed at all times and in every aspect of application review and feedback.

Award Recipients

Award recipients may publicize and advertise their Awards. Recipients are expected to share information about their successful performance strategies with other U.S. organizations.

Eligibility Certification Packages with a nomination to the Board of Examiners due—March 10, 2006

Eligibility Certification Packages without a nomination to the Board of Examiners due—April 11, 2006

Award Application Packages submitted on a CD due—May 11, 2006

Award Application Packages submitted on paper due—May 25, 2006

If your organization is applying in either the business or health care category, refer to the appropriate sector-specific Criteria booklet and the *Baldrige Award Application Forms*. (See pages 65–66.)

SUMMARY OF EDUCATION ELIGIBILITY AND RESTRICTIONS

Important Facts About Applying for the Award

- Criteria contained in this booklet should be used only for the education eligibility category. Applicants in the business (manufacturing, service, and small business) and health care eligibility categories should use the *Criteria for Performance Excellence* and the *Health Care Criteria for Performance Excellence* booklets, respectively.

- The following is a summary of the eligibility rules for the education category. Summaries of the eligibility rules for the business and health care categories are in their respective Criteria booklets. For-profit education or health care organizations may apply under the service or small business categories, as appropriate, using these Criteria or under the health care or education categories, using their respective Criteria. If there is a question on eligibility, check the complete eligibility rules in the *Baldrige Award Application Forms* or call the Baldrige National Quality Program Office at (301) 975-2036.

- Whatever your Award eligibility category, you will need the *Baldrige Award Application Forms* before proceeding. You can download the document from our Web site at www.baldrige.nist.gov/Award_Application.htm.

The following is a summary of the eligibility rules for the education category. Summaries of the eligibility rules for the business and health care categories are in their respective Criteria booklets.

Basic Eligibility

Public Law 100-107 includes provisions to expand or modify the list of Award categories. Beginning with the 1999 Award cycle, two new eligibility categories—education and health care—were added. Participation is open to for-profit and nonprofit public and private organizations, government organizations, and some subunits—including U.S. subunits of foreign organizations—that provide educational services in the United States and its territories.

Eligibility is intended to be as open as possible. For example, eligible education organizations include elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within universities; professional schools; community colleges; and technical schools. However, departments within schools or colleges are ineligible.

Eligibility of Subunits

A subunit is a unit or division of a larger organization. The larger organization that owns, holds, or has organizational or financial control of a subunit is the "parent." A parent is the highest level of an organization that would be eligible to apply for the Award. To be eligible, the subunit must be self-sufficient enough to be examined in all seven Criteria Categories, and it must be a discrete entity that is readily distinguishable from other parts of the parent organization. It cannot be primarily a support function (e.g., student advising units, counseling units, food services, health services, housing, libraries, safety divisions, finance and accounting, human resources, public relations, purchasing).

Other Restrictions on Eligibility

Location: An applicant is eligible only if the operational practices associated with all of its major organizational functions are examinable in the United States or its territories. For eligibility purposes, overseas U.S. military installations and embassies do not constitute U.S. territories. If some of an applicant's activities are performed outside its immediate organization (e.g., by overseas components, a parent organization, or other subunits), the applicant must ensure that

- in the event of a site visit, the appropriate personnel and materials will be available for examination in the United States to document operational practices in all major organizational functions; and

- in the event the applicant receives the Award, the applicant will be able to share information on the seven Criteria Categories at The Quest for Excellence Conference and at its U.S. facilities. Sharing beyond The Quest for Excellence Conference is on a voluntary basis.

Multiple-Application Restrictions: A subunit and its parent may not both apply for Awards in the same year. In some cases, more than one subunit of a parent may apply. If the parent organization, including all of its subunits, has

- 0–1,000 employees, one applicant per parent per eligibility category may apply

- 1,001–20,000 employees, two applicants per parent per eligibility category may apply

- more than 20,000 employees, two applicants per parent per eligibility category for the first 20,000, plus one per 20,000 or fraction thereof above 20,000 per parent per category, may apply

In no case can more than five applications (all Award categories combined) be submitted from the same parent organization in the same year.

Future Eligibility Restrictions: If an organization or a subunit that has over 50 percent of the total employees of the parent receives an Award, the organization and all its subunits are ineligible to apply for another Award for a period of five years. If a subunit receives an Award, that subunit and all its subunits are ineligible to apply for another Award for a period of five years. After five years, Award recipients are eligible to reapply for the Award or to apply "for feedback only."

Eligibility Forms

Potential applicants must certify their eligibility prior to applying for the Award. Potential applicants for the 2006 Award are encouraged to submit their Eligibility Certification Packages as soon as possible but no later than April 11, 2006. In order to reserve a place on the Board of Examiners for a member of your organization's senior staff, the package must be submitted no later than March 10, 2006. The forms and necessary information are contained in the *Baldrige Award Application Forms*.

How to Obtain Copies of Baldrige National Quality Program Materials

Note: If you are planning to apply for the Award, you will need the *Baldrige Award Application Forms* in addition to the Criteria booklet.

Individual Orders

Individual copies of the Criteria booklets may be obtained free of charge from

> Baldrige National Quality Program
> National Institute of Standards and Technology
> Administration Building, Room A600
> 100 Bureau Drive, Stop 1020
> Gaithersburg, MD 20899-1020
> Telephone: (301) 975-2036
> Fax: (301) 948-3716
> E-mail: nqp@nist.gov

In addition, the Criteria booklets and the *Baldrige Award Application Forms* may be downloaded from our Web site at www.baldrige.nist.gov/Criteria.htm and www.baldrige.nist.gov/Award_Application.htm, respectively.

Bulk Orders

Multiple copies of the *2006 Criteria for Performance Excellence* booklets may be ordered in packets of 10 for $39.95 plus shipping and handling from the American Society for Quality (ASQ).

> 2006 Business Criteria—Item Number T1510
> 2006 Education Criteria—Item Number T1511
> 2006 Health Care Criteria—Item Number T1512

How to Order

ASQ offers four convenient ways to order:

- For fastest service, call toll free (800) 248-1946 in the United States and Canada (in Mexico, dial toll free 95-800-248-1946). Have item numbers, your credit card or purchase order number, and (if applicable) ASQ member number ready.

- Or fax your completed order form to ASQ at (414) 272-1734.

- Or mail your order to ASQ Customer Care Center, P.O. Box 3005, Milwaukee, WI 53201-3066.

- Or order online by accessing ASQ's Web site at www.asq.org.

Payment

Your payment options include check, money order, U.S. purchase order, VISA, MasterCard, or American Express. Payment must be made in U.S. currency; checks and money orders must be drawn on a U.S. financial institution. All international orders must be prepaid. Please make checks payable to ASQ.

Shipping Fees

The following shipping and processing schedule applies to all orders within the United States and Canada.

Order Amount	U.S. Charges	Canadian Charges
Up to $34.99	$ 4.25	$ 9.25
$35.00–$99.99	6.50	11.50
Over $100.00	12.50*	17.50*

- There is a shipping and processing charge of 25 percent of the total order amount for shipments outside the United States and Canada.

- Orders shipped within the continental United States and Canada where UPS service is available will be shipped by UPS.

- Please allow one to two weeks for delivery. International customers, please allow six to eight weeks for delivery.

- Your credit card will not be charged until your items are shipped. Shipping and processing are charged one time, up front, for the entire order.

* *If actual shipping charges exceed $12.50 ($17.50 Canadian), ASQ will invoice the customer for the additional expense.*

Baldrige Educational Materials

Each year, the Baldrige National Quality Program develops materials for training members of the Board of Examiners and for sharing information on the successful performance excellence strategies of the Award recipients. The following items are samples of the educational materials that are available.

Case Study Packets

Case study packets contain a case study and five additional documents: an executive summary, the related *Criteria for Performance Excellence* booklet, the case study scorebook, the case study feedback report, and a blank *Baldrige Scorebook*. The case studies, when used with the Criteria, are valuable resources to Award applicants and other users of the Criteria. They illustrate the Award application and review process and provide examples of how to respond to the Criteria requirements and format an application. Together, the case study packet documents furnish information on scoring, the examination processes, and much more. A variety of case study packets are available. The 2002, 2003, 2004, and 2005 case study packets are available only online. Case study packets from prior years are available online and in hard copy. For ordering information, see the next page.

2005 Business Case Study Packet: Landmark Dining, Inc. (based on the *2005 Criteria for Performance Excellence*)

Available in e-format (PDF version) at www.baldrige.nist.gov/Landmark.htm

2004 Education Case Study Packet: Sandy Hill School District (based on the *2004 Education Criteria for Performance Excellence*)

Available in e-format (PDF version) at www.baldrige.nist.gov/Sandy_Hill.htm

2003 Business Case Study Packet: GeoOrb Polymers, North America (based on the *2003 Criteria for Performance Excellence*)

Available in e-format (PDF version) at www.baldrige.nist.gov/GeoOrb.htm

2002 Health Care Case Study Packet: CapStar Health System (based on the *2002 Health Care Criteria for Performance Excellence*)

Available in e-format (PDF version) at www.baldrige.nist.gov/CapStar.htm

2000 Education Case Study Packet: Coyote Community College (based on the *2000 Education Criteria for Performance Excellence*)

Item Number T1090: $49.95 plus shipping and handling

Also available in e-format (PDF version) at www.baldrige.nist.gov/Coyote.htm

Award Recipients DVD

The Award recipients DVD is a valuable resource for gaining a better understanding of performance excellence and quality achievement. The DVD provides background information on the Baldrige National Quality Program, highlights from the annual Award ceremony, and interviews with representatives from the Award recipients' organizations. Information on the 2005 Award recipients DVD is provided below.

2005—Item Number T1513 $35.00
          (Available May 2006)

How to Order Educational Materials

To order a case study packet developed prior to 2002, bulk orders of the 2006 Criteria booklets, or the Award recipients DVD, contact

ASQ Customer Care Center
P.O. Box 3005
Milwaukee, WI 53201-3066
Telephone: (800) 248-1946
Fax: (414) 272-1734
E-mail: asq@asq.org
Web site: www.asq.org

The Baldrige National Quality Program welcomes your comments on the Criteria or any of the Baldrige Award processes. Please address your comments to

2006 Education Criteria for Performance Excellence
Baldrige National Quality Program
National Institute of Standards and Technology
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

or   E-mail: nqp@nist.gov

or   Web site: www.baldrige.nist.gov

Glossary of Key Terms

This Glossary of Key Terms defines and briefly describes terms used throughout the Education Criteria booklet that are important to performance management. As you may have noted, key terms are presented in SMALL CAPS/SANS SERIF every time they appear in the Categories and Scoring Guidelines sections of this Criteria booklet.

Action Plans

The term "action plans" refers to specific actions that respond to short- and longer-term strategic objectives. Action plans include details of resource commitments and time horizons for accomplishment. Action plan development represents the critical stage in planning when strategic objectives and goals are made specific so that effective, organization-wide understanding and deployment are possible. In the Criteria, deployment of action plans includes creating aligned measures for all departments and work units. Deployment also might require specialized training for some faculty and staff or recruitment of personnel.

An example of a strategic objective for an education organization might be to achieve student performance in the top quartile of the state's schools on a normalized test that is given annually. Action plans could entail determining in which subjects students have had the lowest scores, understanding skill deficiencies in those subjects, and developing curricula that enable students to master those skills. Deployment might include faculty training in instructional and assessment methods. Organizational-level analysis and review likely would emphasize student learning, budgetary performance, and student and stakeholder satisfaction.

See also the definition of "strategic objectives" on page 73.

Active Learning

The term "active learning" refers to interactive instructional techniques that engage students in such higher-order thinking tasks as analysis, synthesis, and evaluation. Students engaged in active learning might use resources beyond the faculty, such as libraries, Web sites, interviews, or focus groups, to obtain information. They may demonstrate their abilities to analyze, synthesize, and evaluate through projects, presentations, experiments, simulations, internships, practicums, independent study projects, peer teaching, role playing, or written documents. Students involved in active learning often organize their work, research information, discuss and explain ideas, observe demonstrations or phenomena, solve problems, and formulate questions of their own. Active learning is often combined with cooperative or collaborative learning in which students work interactively in teams that promote interdependence and individual accountability to accomplish a common goal. In addition, active learning may address multiple intelligences.

Alignment

The term "alignment" refers to consistency of plans, processes, information, resource decisions, actions, results, and analysis to support key organization-wide goals. Effective alignment requires a common understanding of purposes and goals. It also requires the use of complementary measures and information for planning, tracking, analysis, and improvement at three levels: the organizational level/senior leader level; the key process level; and the program, school, class, or individual level.

See also the definition of "integration" on page 70.

Analysis

The term "analysis" refers to an examination of facts and data to provide a basis for effective decisions. Analysis often involves the determination of cause-effect relationships. Overall organizational analysis guides the management of processes toward achieving key organizational performance results and toward attaining strategic objectives.

Despite their importance, individual facts and data do not usually provide an effective basis for actions or setting priorities. Effective actions depend on an understanding of relationships, derived from analysis of facts and data.

Anecdotal

The term "anecdotal" refers to process information that lacks specific methods, measures, deployment mechanisms, and evaluation/improvement/learning factors. Anecdotal information frequently uses examples and describes individual activities rather than systematic processes.

An anecdotal response to how senior leaders deploy performance expectations might describe a specific occasion when a senior leader visited all of the organization's facilities. On the other hand, a systematic process might describe the communication methods used by all senior leaders to deliver performance expectations on a regular basis to all faculty and staff, the measures used to assess the effectiveness of the methods, and the tools and techniques used to evaluate and improve the communication methods.

Approach

The term "approach" refers to the methods used by an organization to address the Baldrige Criteria Item requirements. Approach includes the appropriateness of the methods to the Item requirements and the effectiveness of their use.

Approach is one of the dimensions considered in evaluating Process Items. For further description, see the Scoring System on pages 53–56.

Basic Requirements

The term "basic requirements" refers to the topic Criteria users need to address when responding to the most central concept of an Item. Basic requirements are the fundamental theme of that Item (e.g., your approach for strategy development in Item 2.1). In the Criteria, the basic requirements of each Item are presented as the Item title question. This presentation is illustrated in the Item format shown on page 57.

Benchmarks

The term "benchmarks" refers to processes and results that represent best practices and performance for similar activities, inside or outside the education community. Organizations engage in benchmarking to understand the current dimensions of world-class performance and to achieve discontinuous (nonincremental) or "breakthrough" improvement.

Benchmarks are one form of comparative data. Other comparative data organizations might use include appropriate data collected by a third party (frequently averages for other organizations), data on the performance of comparable education organizations and competitors, and comparisons with similar organizations in the same geographic area or that provide similar programs, offerings, and services in other geographic areas.

Cycle Time

The term "cycle time" refers to the time required to fulfill commitments or to complete tasks. Time measurements play a major role in the Criteria because of the great importance of responsiveness and of time performance to improving competitiveness and overall performance. "Cycle time" refers to all aspects of time performance. Cycle time improvement might include the time to respond to changing student and stakeholder needs, design time for new programs and processes, and other key measures of time.

Deployment

The term "deployment" refers to the *extent* to which an approach is applied in addressing the requirements of a Baldrige Criteria Item. Deployment is evaluated on the basis of the breadth and depth of application of the approach to relevant work units throughout the organization.

Deployment is one of the dimensions considered in evaluating Process Items. For further description, see the Scoring System on pages 53–56.

Diversity

The term "diversity" refers to valuing and benefiting from personal differences. These differences address many variables, including race, religion, color, gender, national origin, disability, sexual orientation, age, education, geographic origin, and skill characteristics, as well as differences in ideas, thinking, academic disciplines, and perspectives.

The Baldrige Criteria refer to the diversity of your faculty and staff hiring communities and student and stakeholder communities. Capitalizing on both provides enhanced opportunities for high performance; student and stakeholder, faculty and staff, and community satisfaction; and student, stakeholder, faculty, and staff loyalty.

Education Delivery

The term "education delivery" refers to the deployment of instructional approaches—modes of teaching and organizing activities and experiences so that effective learning takes place. Education delivery may include active learning, cooperative or collaborative learning, distance education, distributed learning, online tutorials, guided discussion lists, video streaming, teleconferencing, or self-paced learning. See also the definition of "active learning" on page 67.

Effective

The term "effective" refers to how well a process or a measure addresses its intended purpose. Determining effectiveness requires (1) the evaluation of how well the approach is aligned with the organization's needs and how well the approach is deployed or (2) the evaluation of the outcome of the measure used.

Empowerment

The term "empowerment" refers to giving faculty and staff the authority and responsibility to make decisions and take actions. Empowerment results in decisions being made closest to students and stakeholders, where work-related knowledge and understanding reside.

Empowerment is aimed at enabling faculty and staff to respond to students' educational needs, to improve processes, and to improve student learning and the organization's performance results. Empowered faculty and staff require information to make appropriate decisions; thus, an organizational requirement is to provide that information in a timely and useful way.

Ethical Behavior

The term "ethical behavior" refers to how an organization ensures that all its decisions, actions, and stakeholder interactions conform to the organization's moral and professional principles. These principles should support all applicable laws and regulations and are the foundation for the organization's culture and values. They define "right" and "wrong."

Senior leaders should act as role models for these principles of behavior. The principles apply to all individuals involved

in the organization, from faculty and staff to members of the governing body, and need to be communicated and reinforced on a regular basis. Although there is no universal model for ethical behavior, senior leaders should ensure that the organization's mission and vision are aligned with its ethical principles. Ethical behavior should be practiced with all students and stakeholders, faculty and staff, partners, suppliers, and the organization's local community.

While some organizations may view their ethical principles as boundary conditions restricting behavior, well-designed and clearly articulated ethical principles should empower people to make effective decisions with great confidence.

Faculty and Staff

The term "faculty and staff" refers to all people who contribute to the delivery of an organization's programs, offerings, and services, including paid employees (e.g., permanent, part-time, temporary, and contract employees supervised by the organization) and volunteers, as appropriate. Faculty and staff include team leaders, supervisors, and managers at all levels.

Formative Assessment

The term "formative assessment" refers to frequent or ongoing evaluation during courses, programs, or learning experiences that gives an early indication of what students are learning, as well as their strengths and weaknesses. Formative assessment often is used as a diagnostic tool for students and faculty, providing information with which to make real-time improvements in instructional methods, materials, activities, techniques, and approaches. Approaches to formative assessment might include daily, weekly, or midterm projects; portfolios; journals; observations of the learning process and learning outcomes; discussion groups; performances; self-assessments; or examinations that occur during courses, when students and faculty can benefit from the information and improve.

Goals

The term "goals" refers to a future condition or performance level that one intends to attain. Goals can be both short-term and longer-term. Goals are ends that guide actions. Quantitative goals, frequently referred to as "targets," include a numerical point or range. Targets might be projections based on comparative or competitive data. The term "stretch goals" refers to desired major, discontinuous (nonincremental) or "breakthrough" improvements, usually in areas most critical to your organization's future success.

Goals can serve many purposes, including

- clarifying strategic objectives and action plans to indicate how you will measure success

- fostering teamwork by focusing on a common end

- encouraging "out-of-the-box" thinking to achieve a stretch goal

- providing a basis for measuring and accelerating progress

Governance

The term "governance" refers to the system of management and controls exercised in the stewardship of your organization. It includes the responsibilities of your governing body (e.g., board of education, board of trustees/overseers) and the senior leaders of your organization; in some private education institutions, it also may include owners/shareholders. A combination of federal, state, and municipal regulations, charters, by-laws, and policies documents the rights and responsibilities of each of the parties and describes how your organization will be directed and controlled to ensure (1) accountability to stakeholders, (2) transparency of operations, and (3) fair treatment of all stakeholders. Governance processes may include the approval of strategic direction, policy creation and enforcement, the monitoring and evaluation of senior leaders' performance, the establishment of senior leaders' compensation and benefits, succession planning, financial auditing, and risk management. Ensuring effective governance is important to stakeholders' and the larger society's trust and to organizational effectiveness.

High-Performance Work

The term "high-performance work" refers to work processes used to systematically pursue ever-higher levels of overall organizational and individual performance, including quality, productivity, innovation rate, and cycle time performance. High-performance work results in improved programs and services for students and stakeholders.

Approaches to high-performance work vary in form, function, and incentive systems. High-performance work frequently includes cooperation among senior leaders, administrators, faculty, and staff, which may involve workforce bargaining units; cooperation among work units, often involving teams; self-directed responsibility and the empowerment of faculty and staff; faculty and staff input to planning; individual and organizational skill building and learning; learning from other organizations; flexibility in job design and work assignments; a flattened organizational structure, where decision making is decentralized and decisions are made closest to the students and stakeholders; and effective use of performance measures, including comparisons. Many high-performance work systems use monetary and nonmonetary incentives based on factors such as organizational performance, team and individual contributions, and skill building. Also, high-performance work usually seeks to align the organization's structure, work, jobs, faculty and staff development, and incentives.

How

The term "how" refers to the processes that an organization uses to accomplish its mission requirements. In responding to "how" questions in the Process Item requirements, process descriptions should include information such as approach (methods and measures), deployment, learning, and integration factors.

Innovation

The term "innovation" refers to making meaningful change to improve programs, services, processes, or organizational effectiveness and to create new value for students and stakeholders. Innovation involves the adoption of an idea, process, technology, or product that is either new or new to its proposed application.

Successful organizational innovation is a multistep process that involves development and knowledge sharing, a decision to implement, implementation, evaluation, and learning. Although innovation is often associated with technological innovation, it is applicable to all key organizational processes that would benefit from change, whether through breakthrough improvement or change in approach or outputs. It could include fundamental changes in organizational structure to more effectively accomplish the organization's work.

Integration

The term "integration" refers to the harmonization of plans, processes, information, resource decisions, actions, results, and analyses to support key organization-wide goals. Effective integration goes beyond alignment and is achieved when the individual components of a performance management system operate as a fully interconnected unit.

See also the definition of "alignment" on page 67.

Integration is one of the dimensions considered in evaluating Process Items. For further description, see the Scoring System on pages 53–56.

Key

The term "key" refers to the major or most important elements or factors, those that are critical to achieving your intended outcome. The Baldrige Criteria, for example, refer to key challenges, key plans, key processes, and key measures—those that are most important to your organization's success. They are the essential elements for pursuing or monitoring a desired outcome.

Knowledge Assets

The term "knowledge assets" refers to the accumulated intellectual resources of your organization. It is the knowledge possessed by your organization and its faculty and staff in the form of information, ideas, learning, understanding, memory, insights, cognitive and technical skills, and capabilities. Faculty and staff, curricula, software, databases, documents, guides, and policies and procedures are repositories of an organization's knowledge assets. Knowledge assets are held not only by an organization but reside within its students and stakeholders, suppliers, and partners as well.

Knowledge assets are the "know how" that your organization has available to use, to invest, and to grow. Building and managing its knowledge assets are key components for the organization to create value for your students and stakeholders and to help sustain competitive advantage.

Leadership System

The term "leadership system" refers to how leadership is exercised, formally and informally, throughout the organization; it is the basis for and the way that key decisions are made, communicated, and carried out. It includes structures and mechanisms for decision making; selection and development of senior leaders, administrators, department heads, and faculty leaders; and reinforcement of values, ethical behavior, directions, and performance expectations.

An effective leadership system respects the capabilities and requirements of faculty and staff and other stakeholders, and it sets high expectations for performance and performance improvement. It builds loyalties and teamwork based on the organization's vision and values and the pursuit of shared goals. It encourages and supports initiative and appropriate risk taking, subordinates organizational structure to purpose and function, and avoids chains of command that require long decision paths. An effective leadership system includes mechanisms for the leaders to conduct self-examination, receive feedback, and improve.

Learning

The term "learning" refers to new knowledge or skills acquired through evaluation, study, experience, and innovation. In addition to their focus on student learning, the Education Criteria address two other kinds of learning: organizational and personal. Organizational learning is achieved through research and development; evaluation and improvement cycles; ideas and input from faculty, staff, students, and other stakeholders; best practice sharing; and benchmarking. Personal learning (pertaining to faculty and staff) is achieved through education, training, and developmental opportunities that further individual growth.

To be effective, these types of learning should be embedded in the way an organization operates. In addition, they contribute to a competitive advantage for the organization and its faculty and staff. See also the related Core Values and Concepts of organizational and personal learning (page 2) and learning-centered education (page 1), as well as the definition of "active learning" on page 67.

Learning is one of the dimensions considered in evaluating Process Items. For further description, see the Scoring System on pages 53–56.

Levels

The term "levels" refers to numerical information that places or positions an organization's results and performance on a meaningful measurement scale. Performance levels permit evaluation relative to past performance, projections, goals, and appropriate comparisons.

Measures and Indicators

The term "measures and indicators" refers to numerical information that quantifies input, output, and performance dimensions of processes, programs, offerings, services, and the overall organization (outcomes). Measures and indicators might be simple (derived from one measurement) or composite.

The Criteria do not make a distinction between measures and indicators. However, some users of these terms prefer the term "indicator" (1) when the measurement relates to performance but is not a direct measure of such performance (e.g., the number of complaints is an indicator of dissatisfaction but not a direct measure of it) and (2) when the measurement is a predictor ("leading indicator") of some more significant performance (e.g., a gain in student performance or satisfaction might be a leading indicator of student persistence).

Mission

The term "mission" refers to the overall function of an organization. The mission answers the question, "What is this organization attempting to accomplish?" The mission might define students, stakeholders, or markets served; distinctive competencies; or technologies used.

Multiple Requirements

The term "multiple requirements" refers to the individual questions Criteria users need to answer within each Area to Address. These questions constitute the details of an Item's requirements. They are presented in black text under each Item's Area(s) to Address. This presentation is illustrated in the Item format shown on page 57.

Overall Requirements

The term "overall requirements" refers to the topics Criteria users need to address when responding to the central theme of an Item. Overall requirements address the most significant features of the Item requirements. In the Criteria, the overall requirements of each Item are presented in one or more introductory sentences printed in bold. This presentation is illustrated in the Item format shown on page 57.

Partners

The term "partners" refers to those key organizations or individuals who are working in concert with your organization to achieve a common goal or to improve performance.

Typically, partnerships are formal arrangements for a specific aim or purpose, such as to achieve a strategic objective or deliver a specific program, service, or offering. Partners might include other schools, employers and workplaces, social service organizations, private foundations, and parents, as appropriate, with which your organization has cooperative relationships to facilitate effective learning for students. For example, partners might include schools with which "feeder" relationships exist, into or out of your school. Partnerships with social service organizations might involve helping students make these transitions.

Formal partnerships are usually for an extended period of time and involve a clear understanding of the individual and mutual roles and benefits for the partners.

Performance

The term "performance" refers to output results and their outcomes obtained from processes, programs, and services that permit evaluation and comparison relative to goals, standards, past results, and other organizations. Performance can be expressed in nonfinancial and financial terms.

The Baldrige Education Criteria address four types of performance: (1) program and service; (2) student- and stakeholder-focused; (3) budgetary, financial, and market; and (4) operational.

"Program and service performance" refers to performance relative to measures and indicators of program and service characteristics important to students and stakeholders. Examples include the effectiveness of curriculum and instruction, assessment of student learning, participation in professional development opportunities, and student placement following program completion.

"Student- and stakeholder-focused performance" refers to performance relative to measures and indicators of student and stakeholder perceptions, reactions, and behaviors. Examples include admissions, retention, complaints, and survey results. Student- and stakeholder-focused performance generally relates to the organization as a whole.

"Budgetary, financial, and market performance" refers to performance relative to measures of cost containment, budget utilization, and market share. Examples include instructional and general administration expenditures per student; income, expenses, reserves, endowments, and annual grants/awards; program expenditures as a percentage of budget; annual budget increases or decreases; resources redirected to education from other areas; scholarship growth; the percentage of budget for research; and the budget for public service.

"Operational performance" refers to faculty and staff, leadership, organizational, and ethical performance relative to effectiveness, efficiency, and accountability measures and indicators. Examples include cycle time, productivity, accreditation, faculty and staff turnover, faculty and staff

cross-training rates, regulatory compliance, fiscal account-ability, and community involvement. Operational performance might be measured at the organizational/senior leader level; the key process level; and the program, school, class, or individual level.

Performance Excellence

The term "performance excellence" refers to an integrated approach to organizational performance management that results in (1) delivery of ever-improving value to students and stakeholders, contributing to improved education quality and student learning, as well as to organizational stability; (2) improvement of overall organizational effectiveness and capabilities; and (3) organizational and personal learning. The Baldrige Education Criteria for Performance Excellence provide a framework and an assessment tool for understanding organizational strengths and opportunities for improvement and thus for guiding planning efforts.

Performance Projections

The term "performance projections" refers to estimates of future performance. Projections may be inferred from past performance, may be based on the performance of comparable or competitive organizations that must be met or exceeded, may be predicted based on changes in a dynamic education market, or may be goals for future performance. Projections integrate estimates of your organization's rate of improvement and change, and they may be used to indicate where breakthrough improvement or change is needed. Thus, performance projections serve as a key management planning tool.

Persistence

The term "persistence" refers to the continued attendance by students (from term-to-term, semester-to-semester, grade-to-grade, or class-to-class) toward the completion of an educational goal or training objective.

Process

The term "process" refers to linked activities with the purpose of producing a program or service for students and/or stakeholders within or outside the organization. Generally, processes involve combinations of people, machines, tools, techniques, and materials in a defined series of steps or actions. In some situations, processes might require adherence to a specific sequence of steps, with documentation (sometimes formal) of procedures and requirements, including well-defined measurement and control steps.

In service situations such as education, particularly when those served are directly involved in the service, process is used in a more general way (i.e., to spell out what must be done, possibly including a preferred or expected sequence). If a sequence is critical, the service needs to include

information to help those served understand and follow the sequence. Such service processes also require guidance to the providers of those services on handling contingencies related to the possible actions or behaviors of those served.

In knowledge work, such as teaching, strategic planning, research, development, and analysis, process does not necessarily imply formal sequences of steps. Rather, process implies general understandings regarding competent performance, such as timing, options to be included, evaluation, and reporting. Sequences might arise as part of these understandings.

In the Baldrige Scoring System, process achievement level is assessed. This achievement level is based on four factors that can be evaluated for each of an organization's key processes: Approach, Deployment, Learning, and Integration. For further description, see the Scoring System on pages 53–56.

Productivity

The term "productivity" refers to measures of the efficiency of resource use.

Although the term often is applied to single factors, such as staffing, machines, materials, and capital, the productivity concept applies as well to the total resources used in meeting the organization's objectives. The use of an aggregate measure of overall productivity allows a determination of whether the net effect of overall changes in a process—possibly involving resource tradeoffs—is beneficial.

Purpose

The term "purpose" refers to the fundamental reason that an organization exists. The primary role of purpose is to inspire an organization and guide its setting of values. Purpose is generally broad and enduring. Two organizations providing different educational services could have similar purposes, and two organizations providing similar educational services could have different purposes.

Results

The term "results" refers to outputs and outcomes achieved by an organization in addressing the requirements of a Baldrige Criteria Item. Results are evaluated on the basis of current performance; performance relative to appropriate comparisons; the rate, breadth, and importance of performance improvements; and the relationship of results measures to key organizational performance requirements. For further description, see the Scoring System on pages 53–56.

Segment

The term "segment" refers to a part of an organization's overall base related to students; stakeholders; markets; programs, offerings, and services; or faculty and staff. Segments typically have common characteristics that can be

grouped logically. In Results Items, the term refers to disaggregating results data in a way that allows for meaningful analysis of an organization's performance. It is up to each organization to determine the specific factors that it uses for segmentation.

Understanding segments is critical to identifying the distinct needs and expectations of different student, stakeholder, market, faculty, and staff groups and to tailoring programs, offerings, and services to meet their needs and expectations. Student segmentation might reflect such factors as the educational service delivery (e.g., classroom or Web-based) or students' career interests, learning styles, living status (e.g., residential versus commuter), mobility, or special needs. For those education organizations that must respond to the annual requirements of the No Child Left Behind (NCLB) Act, segmentation might include the NCLB-designated accountability subgroups (i.e., a student's race or ethnicity, economically disadvantaged status, limited proficiency in English, and classification as in need of special education). Faculty and staff segmentation might be based on geography, skills, needs, work assignments, or job classifications.

Senior Leaders

The term "senior leaders" refers to those with the main responsibility for managing the overall organization. Senior leaders might include administrators, department heads, and/or faculty leaders. In many organizations, senior leaders include the head of the organization and his or her direct reports.

Stakeholders

The term "stakeholders" refers to all groups that are or might be affected by an organization's actions and success. Examples of key stakeholders might include parents, parent organizations, faculty, staff, governing boards, alumni, employers, other schools, funding entities, taxpayers, suppliers, partners, and local and professional communities. Although students are commonly thought of as stakeholders, for purposes of emphasis and clarity, the Criteria refer to students and stakeholders separately.

Strategic Challenges

The term "strategic challenges" refers to those pressures that exert a decisive influence on an organization's likelihood of future success. These challenges frequently are driven by an organization's future competitive position relative to other providers of similar programs, services, or offerings. While not exclusively so, strategic challenges generally are externally driven. However, in responding to externally driven strategic challenges, an organization may face internal strategic challenges.

External strategic challenges may relate to student, stakeholder, or market needs or expectations; changes in

educational programs or offerings; technological changes; or budgetary, financial, societal, and other risks or needs. Internal strategic challenges may relate to an organization's capabilities or its faculty, staff, and other resources.

See the definition of "strategic objectives" that immediately follows for the relationship between strategic challenges and the strategic objectives an organization articulates to address key challenges.

Strategic Objectives

The term "strategic objectives" refers to an organization's articulated aims or responses to address major change or improvement, competitiveness or social issues, and organizational advantages. Strategic objectives generally are focused both internally and externally and relate to significant student, stakeholder, market, program, service, or technological opportunities and challenges (strategic challenges). Broadly stated, they are what an organization must achieve to remain or become competitive and ensure long-term sustainability. Strategic objectives set an organization's longer-term directions and guide resource allocations and redistributions.

See the definition of "action plans" on page 67 for the relationship between strategic objectives and action plans and for an example of each.

Summative Assessment

The term "summative assessment" refers to longitudinal analysis of the learning and performance of students and alumni. Summative assessments tend to be formal and comprehensive, and they often cover global subject matter. Such assessments may be conducted at the conclusion of a course or program and could be compared to the results of pretesting to determine gains and to clarify the causal connections between educational practices and student learning. They may be used for purposes of determining final grades, placement, and promotion, as well as for licensure or certification.

Sustainability

The term "sustainability" refers to your organization's ability to address current educational needs and to have the agility and strategic management to prepare successfully for your future educational, market, and operating environment. Both external and internal factors need to be considered. The specific combination of factors might include sectorwide and organization-specific components.

In addition to responding to changes in the educational, market, and operating environment, sustainability also has a component related to preparedness for real-time or short-term emergencies.

Systematic

The term "systematic" refers to approaches that are well-ordered, repeatable, and use data and information so learning is possible. In other words, approaches are systematic if they build in the opportunity for evaluation, improvement, and sharing, thereby permitting a gain in maturity. For use of the term, see the Scoring Guidelines on pages 54–55.

Trends

The term "trends" refers to numerical information that shows the direction and rate of change for an organization's results. Trends provide a time sequence of organizational performance.

A minimum of three data points generally is needed to begin to ascertain a trend. More data points are needed to define a statistically valid trend. The time period for a trend is determined by the cycle time of the process being measured. Shorter cycle times demand more frequent measurement, while longer cycle times might require longer time periods before meaningful trends can be determined.

Examples of trends called for by the Criteria include data related to student learning results; the performance of education design and delivery processes and student services; student, stakeholder, faculty, and staff satisfaction and dissatisfaction results; budgetary, financial, and market performance; and operational performance, such as cycle time, support process, supplier/partner, and safety performance.

Value

The term "value" refers to the perceived worth of a program, service, process, asset, or function relative to cost and to possible alternatives.

Organizations frequently use value considerations to determine the benefits of various options relative to their costs, such as the value of various educational offerings and service combinations to students or stakeholders. Organizations need to understand what different student and stakeholder groups value and then deliver value to each group. This frequently requires balancing value for students and other stakeholders, such as businesses, faculty, staff, and the community.

Value Creation

The term "value creation" refers to processes that produce benefit for students and stakeholders and for your organization. They are the processes most important to "running your organization"—those that involve the majority of faculty and staff and generate programs, services, and offerings, as well as positive organizational results for students and key stakeholders.

Values

The term "values" refers to the guiding principles and behaviors that embody how your organization and its people are expected to operate. Values reflect and reinforce the desired culture of an organization. Values support and guide the decision making of all faculty and staff, helping the organization accomplish its mission and attain its vision in an appropriate manner.

Examples of values might include demonstrating integrity and fairness in all interactions; exceeding student and stakeholder expectations; valuing faculty and staff and diversity; protecting the environment; and striving for performance excellence every day.

Vision

The term "vision" refers to the desired future state of your organization. The vision describes where the organization is headed, what it intends to be, or how it wishes to be perceived in the future.

Work Systems

The term "work systems" refers to how your faculty and staff are organized into formal or informal units to accomplish your mission and your strategic objectives; how job responsibilities are managed; and your processes for communication and faculty and staff hiring, performance management, compensation, recognition, and succession planning. Organizations design work systems to align their components to enable and encourage all faculty and staff to contribute effectively and to the best of their ability.

INDEX OF KEY TERMS

Note: Page number references to "C2" and "C3" refer to inside front cover and inside back cover, respectively.

The Baldrige National Quality Program and Its Impacts

On August 20, 1987, President Ronald Reagan signed the "Malcolm Baldrige National Quality Improvement Act of 1987," establishing a program that many credit with making quality a national priority and helping to revitalize the U.S. economy during the 1990s. Today, the Baldrige National Quality Program and the Baldrige Award recipients are imitated and admired worldwide. More than 40 states and many countries, including Japan, have programs modeled after Baldrige. In particular, the Baldrige Criteria for Performance Excellence are widely used as an assessment and improvement tool. Millions of print and electronic copies of the Criteria have been distributed. In 1999, categories for education and health care were added to the original three categories: manufacturing, service, and small business. Impacts of the Program have been far reaching:

- Since the Baldrige Program began until 2005, there have been 1,063 applicants for the Malcolm Baldrige National Quality Award. These applicants have received vigorous evaluations by the Board of Examiners using the Criteria for Performance Excellence.

- Through 2004, 62 Award recipients have been selected across five categories: 25 manufacturing companies, 13 service companies, 15 small businesses, 5 education organizations, and 4 health care organizations.

- As of June 2005, there were 44 active state and local quality award programs in 41 states. All 44 programs are modeled to some degree after the Baldrige National Quality Program, and their award criteria are based on the Criteria for Performance Excellence.

- From 1996 to 2004, 28 of the 38 Baldrige Award recipients were previous winners in state award programs.

- Since 1991, there have been nearly 9,000 applications for state and local quality awards.

- Over the past 18 years of its existence, the Baldrige Program has trained more than 2,000 Examiners. Since 1991, the state and local programs have trained more than 25,000 Examiners.

- The Award recipients have presented to tens of thousands of organizations at conferences worldwide. For example, Operations Management International, Inc. (OMI), an international service business with 1,400 employees, has made presentations to more than 17,000 people since becoming an Award recipient in November 2000. Branch-Smith Printing Division, a small family-owned business with 68 employees, has given presentations to more than 2,000 people since becoming an Award recipient in November 2002. The Quest for Excellence conferences have reached more than 17,000 attendees over the Program's history.

Baldrige National Quality Program

Baldrige National Quality Program
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The National Institute of Standards and Technology (NIST), an agency of the U.S. Commerce Department's Technology Administration, manages the Baldrige National Quality Program (BNQP). For more than a century, NIST has helped to lay the foundation for the innovation, economic growth, and quality of life that Americans have come to expect. NIST technology, measurements, and standards help U.S. industry invent and manufacture superior products reliably, provide critical services, ensure a fair marketplace for consumers and businesses, and promote acceptance of U.S. products in foreign markets. NIST also partners with the private sector to accelerate the development of innovative technologies that promise significant commercial payoffs and widespread benefits for the nation. Through a network of nearly 400 assistance centers that serve all 50 states and Puerto Rico, NIST provides technical and business assistance to help smaller manufacturers overcome barriers to productivity and competitiveness.

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By making quality a global priority, an organizational imperative, and a personal ethic, the American Society for Quality (ASQ) becomes the community for everyone who seeks quality technology, concepts, or tools to improve themselves and their world. ASQ administers the Malcolm Baldrige National Quality Award under contract to NIST.

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