

**2017-2018**



**Education**

**Progress Level Criteria**  
**for**  
**Performance Excellence**

**Effective July 2017**

## Note from the CEO:

Thank you for taking the time to consider applying for the Quality Texas Foundation Progress Level of Recognition (30 pages and five page Organizational Profile). Your organization may have started at our Beginner, Engagement Level and/or our Commitment Level. This step (Progress Level) is next to our prestigious Award Level. Good news is that the Organizational Profile may have some small changes but is mostly the same. If this is your first entry with Quality Texas Foundation, welcome aboard.

It is our sincere hope that the questions embedded in the five page organizational profile and your thirty page application will cause your organization to evaluate exactly where you are, where you should be, and how you can significantly improve by prioritization of your improvement steps. The Baldrige Framework is used the world over to make systematic improvements to organizations. Proposed steps are shown below.

1) Assign a minimum of six to eight personnel in your office to become Examiner trained with the Quality Texas Foundation. This training is where we actually teach the Examiner how to write the responses to the questions and the reasons behind the questions. You can just begin writing if you like, but past information received from applicants indicate the Examiner training was a major milestone in writing at any level including the Award Level.

2) Write your responses and allow other people in your office to edit your work. Don't fall in love with your first draft. This application to be really effective will undergo several iterations with substantial improvements along the way. The application process will allow the organization to ask very difficult questions and address organizational priorities.

3) Revise multiple times and submit.

This Progress Level of Recognition discusses approach, deployment, learning, and integration in Category 1-6 and levels, trends, comparisons, and integration in Category 7. Applicants have asked in the past about how the pages should be distributed for the Progress Application. The following page distribution is for planning purposes only and is not a hard and fast rule.

Progress Level (30 pages plus 5 pages OP; July 2015) – 5 pages OP, Cat 1 (3 1/2 pages), Cat 2 (3 pages), Cat 3 (3 pages), Cat 4 (3 pages), Cat 5 (4 1/2 pages), Cat 6 (3 pages), and Cat 7 (10 pages).

If we here at the Quality Texas Foundation can be of assistance to you, please allow us that opportunity. We offer coaching and training to help maximize your positive experience. Remember always that the Baldrige Journey is never finished! Happy travels!

Dr. Mac McGuire

CEO

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## Baldrige has a simple purpose.

The purpose of the Baldrige framework is simply to help your organization—no matter its size, sector, or industry—answer three questions: *Is your organization doing as well as it could? How do you know? What and how should your organization improve or change?*

By challenging yourself with the questions that make up the Criteria for Performance Excellence, you explore how you are accomplishing what is important to your organization. The questions (divided into six interrelated process categories and a results category) represent seven critical aspects of managing and performing as an organization:

1. Leadership
2. Strategy
3. Students, Other CUSTOMERS
4. Measurement, analysis, and knowledge management
5. Workforce
6. Operations
7. Results

## Baldrige promotes a systems perspective.

*A systems perspective means managing all the components of your organization as a unified whole to achieve ongoing success.* The system's building blocks and integrating mechanism are the core values and concepts, the seven interrelated Criteria categories, and the scoring guidelines.

**A focus on core values and concepts.** Baldrige is based on a set of beliefs and behaviors. These core values and concepts are the foundation for integrating key performance and operational requirements within a results-oriented framework that creates a basis for action, feedback, and ongoing success:

- Systems perspective
- Visionary leadership
- Customer-focused excellence
- Valuing people
- Organizational learning and agility
- Focus on success
- Managing for innovation
- Management by fact
- Societal responsibility
- Ethics and transparency
- Delivering value and results

**A focus on processes.** *Processes* are the methods your organization uses to accomplish its work. The Baldrige framework helps you assess and improve your processes along four dimensions:

1. *Approach*: designing and selecting effective processes, methods, and measures
2. *Deployment*: implementing your approach consistently across the organization
3. *Learning*: assessing your progress and capturing new knowledge, including looking for opportunities for improvement and innovation
4. *Integration*: aligning your approach with your organization's needs; ensuring that your measures, information, and improvement systems complement each other across processes and work units; and harmonizing processes and operations across your organization to achieve key organization-wide goals

**A focus on results.** The Baldrige framework leads you to examine your results from three viewpoints: the external view (*How do your Students, Other CUSTOMERS and other stakeholders view you?*), the internal view (*How efficient and effective are your operations?*), and the future view (*Is your organization learning and growing?*).

In Baldrige, results include all areas of importance to your organization. This composite of measures ensures that your strategies are balanced—that they do not inappropriately trade off among important stakeholders, objectives, or short and longer-term goals. The Baldrige framework helps you evaluate your results along four dimensions:

1. *Levels*: your current performance on a meaningful measurement scale
2. *Trends*: the direction and rate of change of your results
3. *Comparisons*: your performance relative to that of other, appropriate organizations, such as competitors or organizations similar to yours, and to benchmarks or industry leaders
4. *Integration*: the extent to which the results you track are important to your organization and the extent to which you are using them to support your organizational goals and revise plans

**A focus on linkages.** The linkages among the Criteria categories are an essential element of the systems perspective provided by the Baldrige framework. Some examples of these linkages are

- the connections between your processes and the results you achieve;
- the need for data in the strategic planning process and for improving operations;
- the connection between workforce planning and strategic planning;
- the need for customer and market knowledge in establishing your strategy and action plans; and
- the connection between your action plans and any changes needed in your work systems.

**A focus on improvement.** The Baldrige framework helps you understand and assess how well you are accomplishing what is important to your organization: how mature and how well deployed your processes are, how good your results are, whether your organization is learning and improving, and how well your approaches address your organization's needs. The Baldrige scoring guidelines are based on the process and results dimensions described above.

**As you respond to the Criteria questions and gauge your responses against the scoring guidelines, you will begin to identify strengths and gaps—first within the Criteria categories and then among them. When you use the Baldrige framework to manage your organization's performance, the coordination of key processes, and feedback between your processes and your results, lead to cycles of improvement. As you continue to use the framework, you will learn more and more about your organization and begin to define the best ways to build on your strengths, close gaps, and innovate.**

## Begin with the Organizational Profile

The Organizational Profile is the most appropriate starting point for self-assessment and for writing an application. It is critically important for the following reasons:

- It helps you identify gaps in key information and focus on key performance requirements and results.
- You can use it as an initial self-assessment. If you identify topics for which conflicting, little, or no information is available, use these topics for action planning.
- It sets the context for your responses to the Criteria requirements in categories 1–7.

## The Organizational Profile

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## P Preface: Organizational Profile

The **Organizational Profile** is a snapshot of your organization, the **KEY** influences on **HOW** it operates, and the **KEY** challenges it faces.

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

**Describe your operating environment and your KEY relationships with STUDENTS, OTHER CUSTOMERS, suppliers, PARTNERS, and STAKEHOLDERS.**

**In your response, answer the following questions:**

#### a. Organizational Environment

- (1) Educational Program and Service Offerings** What are your main EDUCATIONAL PROGRAM AND SERVICE offerings (see the note on the next page)? What is the relative importance of each to your success? What mechanisms do you use to deliver your EDUCATIONAL PROGRAM AND SERVICES?
- (2) MISSION, VISION, AND VALUES** What are your stated MISSION, VISION, VALUES, and MISSION? What are your organization's CORE COMPETENCIES, and what is their relationship to your MISSION?
- (3) WORKFORCE Profile** What is your WORKFORCE profile? What recent changes have you experienced in WORKFORCE composition or your WORKFORCE needs? What are:
  - your WORKFORCE or faculty/staff groups and SEGMENTS,
  - the educational requirements for different faculty/staff groups and SEGMENTS, AND
  - the KEY drivers that engage them in achieving your MISSION and VISION?

What are your organized bargaining units? What are your organization's special health and safety requirements?

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

- (5) Regulatory Requirements** What is the regulatory environment under which you operate? What are the KEY applicable occupational health and safety regulations; accreditation, certification, or registration requirements; industry standards; and environmental, financial, and EDUCATIONAL PROGRAM AND SERVICE regulations?

#### b. Organizational Relationships

- (1) Organizational Structure** What are your organizational structure and GOVERNANCE system? What are the reporting relationships among your GOVERNANCE board, SENIOR LEADERS, and parent organization, as appropriate?
- (2) STUDENTS, OTHER CUSTOMERS and STAKEHOLDERS** What are your KEY market SEGMENTS, STUDENT AND OTHER CUSTOMER groups, and STAKEHOLDER groups, as appropriate? What are their KEY requirements and expectations of your EDUCATIONAL PROGRAM AND SERVICES, Student and other CUSTOMER support services, and operations? What are the differences in these requirements and expectations among market SEGMENTS, Student and other CUSTOMER groups, and STAKEHOLDER groups?
- (3) Suppliers and PARTNERS** What are your KEY types of suppliers, PARTNERS, and COLLABORATORS? What role do they play
- in your WORK SYSTEMS, especially in producing and delivering your KEY EDUCATIONAL PROGRAM AND SERVICES and Student and other CUSTOMER support services; and
  - in enhancing your competitiveness?

What are your KEY mechanisms for communicating with suppliers, PARTNERS, and COLLABORATORS? What role, if any, do these organizations play in contributing and implementing INNOVATIONS in your organization? What are your KEY supply-chain requirements?

*Terms in SMALL CAPS are defined in the Award Level Criteria for Performance Excellence Glossary of Key Terms (pages 47-54).*

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## Notes

**P.** Your responses to the Organizational Profile questions are very important. They set the context for understanding your organization and how it operates. Your responses to all other questions in the Baldrige Education Criteria should relate to the organizational context you describe in this profile. Your responses to the Organizational Profile questions thus allow you to tailor your responses to all other questions to your organization's uniqueness.

**P.1a(1).** Educational program and service offerings are the activities you offer in the market to engage students in learning or contribute to scientific or scholarly investigation. Mechanisms for delivering programs and services to your students might be direct or might be indirect, through partners and collaborators.

**P.1a(2).** If your organization has a stated purpose as well as a mission, you should include it in your response. Some organizations define a mission and a purpose, and some use the terms interchangeably. In some organizations, purpose refers to the fundamental reason that the organization exists. Its role is to inspire the organization and guide its setting of values.

**P.1a(2).** Core competencies are your organization's areas of greatest expertise. They are those strategically important, possibly specialized capabilities that are central to fulfilling your mission or provide an advantage in your market or service environment. Core competencies are frequently challenging for competitors or suppliers and partners to imitate and frequently preserve your competitive advantage.

**P.1a(3).** Workforce or faculty/staff groups and segments (including organized bargaining units) might be based on type of employment or contract-reporting relationship, location (including telework), tour of duty, work environment, use of certain family-friendly policies, or other factors.

**P.1a(3).** Organizations that also rely on volunteers and unpaid interns to accomplish their work should include these groups as part of their workforce.

**P.1a(5).** Education industry standards might include industrywide codes of conduct and policy guidance. Depending on the regions in which you operate, environmental regulations might cover greenhouse gas emissions, carbon regulations and trading, and energy efficiency.

**P.1b(2).** Customers include the direct users and potential users of your educational programs and services (students and possibly parents), as well as others who use or pay for your programs and services.

**P.1b(2).** Student and other customer groups might be based on common expectations, behaviors, preferences, or profiles. Within a group, there may be customer segments based on differences, commonalities, or both. You might subdivide your

market into segments based on educational programs, services, or features; distribution channels; geography; or other defining factors.

**P.1b(2).** The requirements of your student and other customer groups and market segments might include special accommodation; customized curricula; safety; security, including cybersecurity; reduced class size; instructor qualifications; multilingual services; customized degree requirements; student advising; dropout recovery programs; administrative cost reductions; and distance learning. The requirements of your stakeholder groups might include socially responsible behavior and community service.

**P.1b(2), P.1b(3).** Student, other customer, stakeholder, and operational requirements and expectations will drive your organization's sensitivity to the risk of program, service, support, and supply-chain interruptions, including those due to natural disasters and other emergencies.

**P.1b(3).** Suppliers and partners should include key feeder schools that prepare students for your organization.

**P.1b(3).** Communication mechanisms should use understandable language, and they might involve in-person contact; email, social media, or other electronic means; or the telephone. For many organizations, these mechanisms may change as market, student, other customer, or stakeholder requirements change.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## P.2 Organizational Situation: What is your organization's strategic situation?

Describe your competitive environment, your KEY STRATEGIC CHALLENGES and ADVANTAGES, and your system for PERFORMANCE improvement.

In your response, include answers to the following questions:

### a. Competitive Environment

- (1) **Competitive Position** What is your competitive position? What are your relative size and growth in your industry or the markets you serve? How many and what types of competitors do you have?
- (2) **Competitiveness Changes** What KEY changes, if any, are affecting your competitive situation, including changes that create opportunities for INNOVATION and collaboration, as appropriate?
- (3) **Comparative Data** What KEY sources of comparative and competitive data are available from within your industry? What KEY sources of comparative data are available from outside your industry? What limitations, if any, affect your ability to obtain or use these data?

### b. Strategic Context

What are your KEY STRATEGIC CHALLENGES and ADVANTAGES in the areas of business, operations, societal responsibilities, and WORKFORCE?

### c. PERFORMANCE Improvement System

What are the KEY elements of your PERFORMANCE improvement system, including your PROCESSES for evaluation and improvement of KEY organizational projects and PROCESSES?

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## Notes

**P.2a.** Education organizations are frequently in highly competitive environments. Aside from direct competition for students, they must often compete to secure financial, volunteer, and human resources. This competition may involve other education organizations, as in competition for grant funding or suppliers, or the opportunity to provide supplemental services. For public education organizations, competition may involve other public agencies or departments, as in the competition for scarce budget resources.

**P.2b.** Strategic challenges and advantages might relate to technology; educational programs and services; finances; operations (including data and information security); organizational structure and culture; your parent organization's capabilities; your students, other customers, and markets; your education sector; image or brand recognition and reputation; globalization; climate change; your value chain; and people. Strategic advantages might include differentiators such as tuition and fees, instructional design and delivery services, reputation, innovation rate, geographic proximity, and accessibility.

**P.2c.** The Baldrige Scoring System (pages 31–36) uses performance improvement through learning and integration as a dimension in assessing the maturity of organizational approaches and their deployment. This question is intended to set an overall context for your approach to performance improvement. The approach you use should be related to your organization's needs. Approaches that are compatible with the overarching systems approach provided by the Baldrige framework might include implementing PDSA methodology; completing accreditation self-studies; applying nationally validated systems to improve teaching performance; and performing independent institutional, departmental, or program assessments. It also might include using a Lean Enterprise System, applying Six Sigma methodology, using standards from ISO (e.g., the 9000 or 14000 series), using decision science, or employing other improvement tools.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).



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Questions provided. There are basically two types of questions to address, how and what. The "How" questions are soliciting a process by which the organization answers the question. The "What" questions are concerned with a list of the items you do to answer the questions.

After completing the Organizational Profile where you are asked to identify what is most important to your organization, proceed to answer each of the following questions as fully as possible. Please remember to reference the eligibility and Commitment level application instructions checklist documents located under the Applicants tab on our website at [www.quality-texas.org](http://www.quality-texas.org).

# 1 Leadership

The **Leadership** category asks HOW SENIOR LEADERS' personal actions guide and sustain your organization. It also asks about your organization's GOVERNANCE system and HOW your organization fulfills its legal, ethical, and societal responsibilities.

## 1.1 Senior Leadership: How do your senior leaders lead the organization?

Process

Within your response, include answers to the following questions:

### a. VISION AND VALUES

- (1) **Setting VISION and VALUES** HOW do SENIOR LEADERS set your organization's VISION and VALUES? How do senior leaders deploy the vision and values through your leadership system, to the workforce, to key suppliers and partners, and to Students, Other CUSTOMERS and other stakeholders, as appropriate?
- (2) **Promoting Legal and ETHICAL BEHAVIOR** HOW do SENIOR LEADERS' actions demonstrate their commitment to legal and ETHICAL BEHAVIOR? HOW do they promote an organizational environment that requires it?

### b. Communication

- (1) **Communication** HOW do SENIOR LEADERS communicate with and engage with the entire WORKFORCE, STUDENTS, AND OTHER KEY CUSTOMERS? HOW do SENIOR LEADERS achieve the following?
  - encourage frank, two-way communication throughout the organization, and
  - communicate KEY decisions and needs for organizational change?

### c. Mission and Organizational Performance

- (1) **Creating an Environment for Success** How do senior leaders create an environment for success now and in the future? How do they
  - create an environment for the achievement of your mission and for organizational agility;
  - cultivate organizational learning, learning for people in the workforce, innovation, and intelligent risk taking;
- (2) **Creating a Focus on Action** HOW do SENIOR LEADERS create a focus on action to achieve the organization's MISSION? HOW do SENIOR LEADERS
  - create a focus on action to achieve the organization's PERFORMANCE; and,
  - identify needed actions?

## Notes

**1.1.** Your organizational performance results should be reported in items 7.1–7.5. Results related to the effectiveness of leadership and the leadership system should be reported in item 7.4.

**1.1a(1).** Your organization's vision should set the context for the strategic objectives and action plans you describe in items 2.1 and 2.2.

**1.1b.** Use of social media may include delivering periodic messages through internal and external websites, tweets, blogging, and customer and workforce electronic forums, as well as monitoring external social media outlets and responding, when appropriate.

**1.1b.** Organizations that rely heavily on volunteers to accomplish their work should also discuss efforts to communicate with and engage the volunteer workforce.

**1.1c(1).** A successful organization understands that some risk is always present, and determines and oversees its risk appetite and risk tolerance. A successful organization is capable of addressing current organizational needs and, through agility and strategic management, is capable of preparing for its future organizational, market, and operating environment. In creating an environment for success now and in the future, leaders should consider both external and internal factors. Factors might include workforce capability and capacity, resource availability, technology, knowledge, core competencies, work systems, facilities, and equipment. Achieving future success may require leading transformational changes in the organization's structure and culture. Success now and in the future might be affected by changes in the market and in student and other customer preferences, in the

operating environment, and in the legal and regulatory environment. In the context of ongoing success, the concept of innovation and taking intelligent risks includes both technological and organizational innovation to help the organization succeed in the future. A successful organization also ensures a safe and secure environment for students, the workforce, and other key stakeholders. A successful organization is capable of addressing risks and opportunities arising from data and information security and from environmental considerations and climate change.

**1.1c(2).** Senior leaders' focus on action considers your strategy, workforce, work systems, and assets. It includes taking intelligent risks and implementing innovations and ongoing improvements in performance and productivity. Senior leaders' focus on action also includes the actions needed to achieve your strategic objectives (see 2.2a[1]), and may involve establishing change management plans for major organizational change or responding rapidly to significant information from social media or other input.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## 1.2 Governance and Societal Responsibilities: How do you govern and fulfill your societal responsibilities? Process

In your response, include answers to the following questions:

### a. Organizational GOVERNANCE

- (1) **GOVERNANCE System** **HOW does your organization ensure responsible GOVERNANCE?** How does your governance system review and achieve the following?
  - accountability for SENIOR LEADERS' actions
  - fiscal accountability
  - transparency in operations
  
- (2) **PERFORMANCE Evaluation** **HOW do you evaluate the PERFORMANCE of your SENIOR LEADERS, and your GOVERNANCE board?** HOW do you use these PERFORMANCE evaluations in determining executive compensation?

### b. Legal and ETHICAL BEHAVIOR

- (1) **Legal and Regulatory Behavior** **HOW do you anticipate and address public concerns with your EDUCATIONAL PROGRAM AND SERVICES and your operations?** HOW do you
  - address any adverse societal impacts of your EDUCATIONAL PROGRAM AND SERVICES and operations; and
  - anticipate public concerns with current and future EDUCATIONAL PROGRAM AND SERVICES and operations
  
- (2) **ETHICAL BEHAVIOR** **HOW does your organization promote and ensure ETHICAL BEHAVIOR in all 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 WORKFORCE, STUDENTS, OTHER CUSTOMERS, PARTNERS, suppliers, and other STAKEHOLDERS?

### c. Societal Responsibilities and Support of KEY Communities

- (1) **Societal Well-Being** **HOW do you consider societal well-being and benefit as part of your strategy and daily operations?** HOW do you contribute to societal well-being through your environmental, social, and economic systems?
  
- (2) **Community Support** **HOW does your organization actively support and strengthen your KEY communities?** What are your KEY communities? HOW do you identify them and determine areas for organizational involvement, including areas that leverage your CORE COMPETENCIES?

## Notes

**1.2.** Societal responsibilities in areas critical to your ongoing market success should also be addressed in Strategy Development (item 2.1) and Operations (category 6). Key results should be reported as Leadership and Governance Results (item 7.4).

**1.2.** The health and safety of your workforce are not addressed in this item; you should address these workforce factors in items 5.1 and 6.2, respectively.

**1.2a(1).** The governance board's review of organizational performance and progress, if appropriate, is addressed in 4.1(b).

**1.2a(1).** Transparency in the operations of your governance system should include your internal controls on governance processes.

**1.2a(1).** In protecting stakeholder interests, the governance system should consider and sanction appropriate levels of risk for the organization, recognizing the need to accept risk as part of running a successful organization.

**1.2a(2).** The evaluation of leaders' performance might be supported by peer reviews, formal performance management reviews, reviews by external advisory boards, and formal or informal feedback from and surveys of the workforce and other stakeholders.

**1.2b(2).** Measures or indicators of ethical behavior might include instances of ethical conduct or compliance breaches and responses to them, survey results showing workforce perceptions of organizational ethics, ethics hotline use, and results of ethics reviews and audits. Other measures or indicators might include the integrity of testing, equal access to resources, and implementation of institutional review board principles in research involving human and animal subjects. Measures or indicators of ethical behavior might also include evidence that policies, workforce training, and monitoring systems are in place for conflicts of interest; protection and use of sensitive data, information, and knowledge generated through synthesizing and correlating these data; and proper use of funds.

**1.2c.** Areas of societal contributions might include your efforts to improve the environment (e.g., collaboration to conserve the environment or natural resources), strengthen local community services and education, and improve the practices of professional associations.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## 2 Strategy

The **Strategic Planning** category asks HOW your organization develops STRATEGIC OBJECTIVES and ACTION PLANS, implements them, changes them if circumstances require, and measures progress.

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

#### Process

In your response, include answers to the following questions:

#### a. Strategy Development PROCESS

- (1) **Strategic Planning PROCESS** **HOW do you conduct your strategic planning?** What are the KEY PROCESS steps? Who are the KEY participants? What are your short- and longer-term planning horizons? HOW are they addressed in the planning PROCESS?
- (2) **INNOVATION** **HOW does your strategy development PROCESS stimulate and incorporate INNOVATION?** HOW do you identify STRATEGIC OPPORTUNITIES?
- (3) **Strategy Considerations** **HOW do you collect and analyze relevant data and develop information for your strategic planning PROCESS?**
  - your STRATEGIC CHALLENGES and STRATEGIC ADVANTAGES
  - your ability to execute the strategic plan
- (4) **WORK SYSTEMS and CORE COMPETENCIES** **What are your KEY WORK SYSTEMS?** HOW do you make WORK SYSTEM decisions that facilitate the accomplishment of your STRATEGIC OBJECTIVES? HOW do you decide which KEY PROCESSES will be accomplished by external suppliers and PARTNERS?

#### b. STRATEGIC OBJECTIVES

- (1) **KEY STRATEGIC OBJECTIVES** **What are your KEY STRATEGIC OBJECTIVES and your timetable for achieving them?** What are your most important GOALS for these STRATEGIC OBJECTIVES? What KEY changes, if any, are planned in your EDUCATIONAL PROGRAM AND SERVICES, STUDENTS, OTHER CUSTOMERS and markets, suppliers and PARTNERS, and operations?
- (2) **STRATEGIC OBJECTIVE Considerations** **HOW do your STRATEGIC OBJECTIVES achieve appropriate balance among varying and potentially competing organizational needs?** HOW do your strategic objectives
  - address your STRATEGIC CHALLENGES and leverage your CORE COMPETENCIES, STRATEGIC and ADVANTAGES, STRATEGIC OPPORTUNITIES

#### Notes

**2.1.** This item deals with your overall organizational strategy, which might include changes in educational program and service offerings and processes for student and other customer engagement. However, you should describe the program and service design and student and other customer engagement strategies, respectively, in items 6.1 and 3.2, as appropriate.

**2.1.** Strategy development refers to your organization's approach to preparing for the future. In developing your strategy, you should consider your level of acceptable enterprise risk. To make decisions and allocate resources, you might use various types of forecasts, projections, options, scenarios, knowledge (see 4.2b for relevant organizational knowledge), analyses, or other approaches to envisioning the future in order to make decisions and allocate resources. Strategy development might involve key suppliers, partners, students, and other customers.

**2.1.** The term "strategy" should be interpreted broadly. Strategy might be built around or lead to any or all of the following: addition or termination of educational programs and services; services to new, changing, and special student populations; redirection of resources; modifications in instructional design; use of technology; changes in testing or adoption of standards; differentiation of your image or brand; new core competencies; geographic challenges; grants and endowments; research priorities; new partnerships and alliances; and faculty, staff, or volunteer relationships. Strategy might be directed toward becoming a low-cost provider or a market innovator. It might also be directed toward meeting a community or public need.

**2.1a(1).** Organizational agility refers to the capacity for rapid change in strategy. Operational flexibility refers to the ability to adjust your operations as opportunities or needs arise, including as a result of strategic changes.

**2.1a(2).** Strategic opportunities are prospects for new or changed programs, services, processes, business models (including strategic alliances), or markets. They arise from outside-the-box thinking, brainstorming, capitalizing on serendipity, research and innovation processes, nonlinear extrapolation of current conditions, and other approaches to imagining a different future. The generation of ideas that lead to strategic opportunities benefits from an environment that encourages nondirected, free thought. Choosing which strategic opportunities to pursue involves considering relative risk, financial and otherwise, and then making intelligent choices ("intelligent risks").

**2.1a(3).** Data and information may come from a variety of internal and external sources and in a variety of forms. Data are available in increasingly greater volumes and at greater speeds. The ability to capitalize on data and information, including large datasets ("big data"), is based on the ability to analyze the data, draw conclusions, and pursue actions, including intelligent risks.

**2.1a(3).** Data and information might relate to student, other customer, and market requirements, expectations, and opportunities; learning-centered education; your core competencies; the competitive environment and your performance now and in the future relative to competitors and comparable organizations; education reform; technological and other key innovations or changes that might affect your programs and services and the way you operate, as well as the rate of innovation; workforce and other resource needs; your ability to capitalize on diversity; opportunities to redirect resources to higher-priority programs or services; financial, societal, ethical, regulatory, technological, security and cybersecurity, and other potential risks and opportunities; your ability to prevent and respond to emergencies, including natural or other disasters; changes in the local, national, or global economy; requirements for and strengths and weaknesses of your partners and supply chain; changes in your parent organization; and other factors unique to your organization.

**2.1a(3).** Your decisions about addressing strategic challenges, changes in your regulatory and external environment, blind spots in your strategic planning, and gaps in your ability to execute the strategic plan may give rise to organizational risk. Analysis of these factors is the basis for managing strategic risk in your organization.

**2.1a(3).** Blind spots arise from incorrect, incomplete, obsolete, or biased assumptions or conclusions that cause gaps, vulnerabilities, risks, or weaknesses in your understanding of the competitive environment and strategic challenges your organization faces. Blind spots may arise from new or replacement offerings or organizational models coming from inside or outside your industry.

**2.1a(3).** Your strategic planning should address your ability to mobilize the necessary resources and knowledge to execute the strategic plan. It should also address your ability to execute contingency plans or, if circumstances require, a shift in strategy and rapid execution of new or changed strategic plans.

**2.1a(4).** Work systems refer to how your organization's work is accomplished, consisting of the internal work processes and external resources you need to develop and produce educational programs and services, deliver them to your students and other customers, and succeed in your market. Decisions about work systems are strategic. These decisions involve protecting intellectual property, capitalizing on core competencies, and mitigating risk. Decisions about your work systems affect organizational design and structure, size, locations, financial viability, and ongoing success. In a generic view of an organization, for example, the organization might define three work systems: one that addresses the technical delivery of educational programs and services, one that engages students and other customers, and one that comprises systems that support program and service delivery and student and other customer engagement.

**2.1b(1).** Strategic objectives might address rapid response; customization of educational programs and services; partnerships; workforce capability and capacity; specific joint ventures; rapid or market-changing innovation; ISO quality or environmental systems registration; societal responsibility actions or leadership; social media and web-based management of relationships with suppliers, students, and other customers; and program and service quality enhancements. Responses should focus on your specific challenges, advantages, and opportunities—those most important to your ongoing success and to strengthening your overall performance.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).



## 2.2 Strategy Implementation: How do you implement your strategy? Process

In your response, include answers to the following questions:

### a. ACTION PLAN Development and DEPLOYMENT

- (1) **ACTION PLAN Development** What are your KEY short- and longer-term ACTION PLANS? WHAT is their relationship to your STRATEGIC OBJECTIVES?
- (2) **ACTION PLAN Implementation** HOW do you DEPLOY your ACTION PLANS? HOW do you deploy you're ACTION PLANS to your WORKFORCE and to KEY suppliers and PARTNERS, as appropriate, to ensure that you achieve your KEY STRATEGIC OBJECTIVES?
- (3) **Resource Allocation** HOW do you ensure that financial and other resources are available to support the achievement of your ACTION PLANS while meeting current obligations? HOW do you allocate these resources to support the plans?
- (4) **WORKFORCE Plans** What are your KEY WORKFORCE plans to support your short- and longer-term STRATEGIC OBJECTIVES and ACTION PLANS? HOW do the plans address potential impacts on your WORKFORCE members and any potential changes in WORKFORCE CAPABILITY and CAPACITY needs?
- (5) **PERFORMANCE MEASURES** What KEY PERFORMANCE MEASURES or INDICATORS do you use to track the achievement and EFFECTIVENESS of your ACTION PLANS? HOW does your ensure overall ACTION PLAN measurement system reinforce organizational ALIGNMENT?
- (6) **PERFORMANCE PROJECTIONS** For the KEY PERFORMANCE MEASURES or INDICATORS, what are your PERFORMANCE PROJECTIONS for both your short- and longer-term planning horizons? HOW does your projected performance on these MEASURES or INDICATORS compare with your PROJECTIONS of the PERFORMANCE of your competitors or comparable organizations and with KEY BENCHMARKS, as appropriate?

### b. Action Plan Modification HOW do you establish and implement modified ACTION PLANS if circumstances require a shift in plans and rapid execution of new plans?

## Notes

2.2. The development and deployment of your strategy and action plans are closely linked to other Education Criteria items. The following are examples of key linkages:

- Item 1.1: how your senior leaders set and communicate organizational direction
- Category 3: how you gather student, other customer, and market knowledge as input to your strategy and action plans and to use in deploying action plans
- Category 4: how you measure and analyze data and manage knowledge to support key information needs, support the development of strategy, provide an effective basis for

performance measurements, and track progress on achieving strategic objectives and action plans

- Category 5: how you meet workforce capability and capacity needs, determine needs and design your workforce development and learning system, and implement workforce-related changes resulting from action plans
- Category 6: how you address changes to your work processes resulting from action plans
  - Item 7.1: specific accomplishments relative to your organizational strategy and action plans

**2.2a(2).** Action plan implementation and deployment may require modifications in organizational structures and operating modes. The success of action plans benefits from visible short-term wins as well as long-term actions.

**2.2a(6).** Measures and indicators of projected performance might consider changes resulting from significant anticipated innovations in educational programs, services, and technology; the redirection of resources; market entry and shifts; improved administrative and other support functions; improvements in safety; new legislative mandates, legal requirements, education standards, or accreditation standards; and significant anticipated innovations in programs, services, and technology.

**2.2b.** Organizational agility requires the ability to adapt to changing circumstances, both internal and external.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## 3 CUSTOMERS

The **CUSTOMERS** category asks HOW your organization engages its STUDENTS, OTHER CUSTOMERS for long-term marketplace success, including HOW your organization listens to the VOICE OF THE CUSTOMER, serves and exceeds students' and other customers' expectations, and builds relationships with students and other customers.

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### 3.1 Voice of the Customer: How do you obtain information from your Students and Other CUSTOMERS? Process

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In your response, include answers to the following questions:

a. [Listening to Students and Other Customers](#)

- (1) **Current STUDENTS, OTHER CUSTOMERS** HOW do you listen to, interact with, and observe STUDENTS, OTHER CUSTOMERS to obtain actionable information? HOW do your listening methods vary for different STUDENT GROUPS, OTHER CUSTOMER groups, or market SEGMENTS?
  
- (2) **Potential STUDENTS AND OTHER CUSTOMERS** HOW do you listen to potential STUDENTS AND OTHER CUSTOMERS to obtain actionable information? HOW do you listen to former, potential and competitors' STUDENTS AND OTHER CUSTOMERS of to obtain actionable information on your EDUCATIONAL PROGRAM AND SERVICES, STUDENT AND OTHER CUSTOMER support, and transactions, as appropriate?

b. Determination of Student and Other CUSTOMER Satisfaction and ENGAGEMENT

- (1) **Satisfaction, Dissatisfaction, and ENGAGEMENT** HOW do you determine Student and other CUSTOMER satisfaction, dissatisfaction, and ENGAGEMENT? HOW do your determination methods differ among student and other CUSTOMER groups and market SEGMENTS, as appropriate?
  
- (2) **Satisfaction Relative to Competitors** HOW do you obtain information on your STUDENTS', OTHER CUSTOMERS' satisfaction with your organization relative to other organizations? HOW do you obtain information on your STUDENTS' AND OTHER CUSTOMERS' satisfaction relative to their satisfaction with your competitors? HOW do you obtain information on your STUDENTS and OTHER CUSTOMERS' satisfaction:
  - relative to their satisfaction with your competitors?

**Notes**

**3.1.** The voice of the customer refers to your process for capturing student- and other customer-related information. Voice-of-the-customer processes are intended to be proactive and continuously innovative to capture students' and other customers' stated, unstated, and anticipated requirements, expectations, and desires. The goal is customer engagement. In listening to the voice of the customer, you might gather and integrate various types of student and other customer data, such as survey data, focus group findings, social media data and commentary, marketing information, and complaint data that affect students' and other customers' enrollment and engagement decisions.

**3.1a(1).** Social media and web-based technologies are a growing mode of gaining insight into how students and other customers perceive all aspects of your involvement with them. Listening through social media may include monitoring comments on social media outlets you moderate and on those you do not control.

**3.1a(1).** Your listening methods should include all stages of your involvement with students and other customers. These stages might include relationship building, the active relationship, and a follow-up strategy, as appropriate.

**3.1b.** You might use any or all of the following to determine student and other customer satisfaction and dissatisfaction: surveys, formal and informal feedback, dropout and absenteeism rates, student conflict data, complaints, and student referral rates. You might gather information on the web, through personal contact or a third party, or by mail. Determining student and other customer dissatisfaction should be seen as more than reviewing low customer satisfaction scores. Dissatisfaction should be independently determined to identify root causes and enable a systematic remedy to avoid future dissatisfaction.

**3.1b(2).** Information you obtain on relative student and other customer satisfaction may include comparisons with competitors, comparisons with other organizations that deliver similar educational programs or services in a noncompetitive market, or comparisons obtained through education industry or other organizations. Information obtained on relative student and other customer satisfaction may also include information on why students and other customers choose your competitors over you.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## 3.2 Customer Engagement: How do you engage Students and Other CUSTOMERS by serving their needs and building relationships? Process

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In your response, include answers to the following questions:

### a. Program and Service Offerings and Student and Other Customer Support

- (1) **Program and Service Offerings** **HOW do you determine Educational Program and Service offerings?** HOW do you
  - determine student, and other CUSTOMER, and market needs and requirements for these offerings;
  - identify and adapt these offerings to meet the requirements and exceed expectations of your Student and other CUSTOMER groups and market SEGMENTS (identified in your Organizational Profile)?
  
- (2) **STUDENT AND OTHER CUSTOMER Support** **HOW do you enable STUDENTS AND OTHER CUSTOMERS to seek information and support?** How do you enable them to obtain educational programs and services from you? What are your key means of student and other customer support, including your key communication mechanisms? HOW do you
  - determine your STUDENTS' and OTHER CUSTOMERS' KEY support requirements, and,
  - DEPLOY these requirements to all people and PROCESSES involved in Student and other CUSTOMER support?
  
- (3) **STUDENT AND OTHER CUSTOMER Segmentation** **HOW do you determine your student and other CUSTOMER groups and market SEGMENTS?** HOW do you
  - use information on STUDENTS, OTHER CUSTOMERS, markets, and Educational Program and Service offerings to identify current and anticipate future CUSTOMER groups and market SEGMENTS?
  - consider competitors' STUDENTS AND OTHER CUSTOMERS and other potential STUDENTS, OTHER CUSTOMERS and markets in this segmentation?

### b. Student and Other CUSTOMER Relationships

- (1) **Relationship Management** **HOW do you build and manage relationships with student and other CUSTOMERS?** HOW do you market, build, and manage relationships with STUDENTS, OTHER CUSTOMERS to
  - acquire STUDENTS AND OTHER CUSTOMERS and build market share, and,
  - manage and enhance your brand Image?
  
- (2) **Complaint Management** **HOW do you manage student' and other CUSTOMER' complaints?** HOW do you resolve complaints promptly and EFFECTIVELY?

### Notes

**3.2.** Customer engagement refers to your students' and other customers' investment in or commitment to your organization and your educational program and service offerings. Characteristics of engaged students and other customers include retention, loyalty to your organization or brand, willingness to make an effort to obtain—and to continue to obtain—educational programs and services from you, and willingness to actively advocate for and recommend you and your offerings.

**3.2a(1).** Educational program and service offerings are the activities you offer in the market to engage students in learning or to contribute to scientific or scholarly investigation. In identifying educational program and service offerings, you should consider all their important characteristics and their performance in each stage of students' and other

customers' relationships with you. The focus should be on features that affect students' and other customers' preference for and loyalty to you and your organization—for example, features that differentiate your programs and services from those of competing or other organizations. Those features might include curricular focus, delivery method, student placement following completion of the educational goal or training objective, workforce composition, extracurricular activities, or tuition and associated costs. Key program and service features might also take into account how transactions occur and factors such as the privacy and security of student and other customer data. Your results on performance relative to key educational program and service features should be reported in item 7.1, and those for students' and other customers' perceptions and actions (outcomes) should be reported in item 7.2.

**3.2a(2).** The goal of student and other customer support is to make your organization easy to receive educational programs and services from and responsive to your students' and other customers' expectations.

**3.2b.** Building relationships with students and other customers might include developing partnerships or alliances with them.

**3.2b(1).** Image or brand management is generally associated with marketing to improve the perceived value of your educational programs and services or brand. Successful image or brand management builds loyalty and positive associations on the part of students and other customers, and it protects your image or brand and your intellectual property.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

# 4 Measurement, Analysis, and Knowledge Management

The **Measurement, ANALYSIS, and Knowledge Management** category asks HOW your organization selects, gathers, analyzes, manages, and improves its data, information, and KNOWLEDGE ASSETS; HOW it uses review findings to improve its performance; HOW it learns.

## 4.1 Measurement, Analysis, and Improvement of Organizational Performance: How do you measure, analyze, and then improve organizational performance?

Process

In your response, include answers to the following questions:

### a. PERFORMANCE Measurement

- (1) **PERFORMANCE MEASURES** HOW do you use data and information to track daily operations and overall organizational PERFORMANCE? HOW do you
  - select, collect, align, and integrate data and information for tracking daily operations and overall organizational PERFORMANCE?
- (2) **Comparative Data** HOW do you select and EFFECTIVELY use KEY comparative data and information to support operational decision making? HOW do you select and ensure the EFFECTIVE use of KEY comparative data and information to support operational decision making?
- (3) **Student and Other CUSTOMER Data** HOW do you use VOICE-OF-THE-CUSTOMER and market data and information? HOW do you select and EFFECTIVELY use VOICE-OF-THE-CUSTOMER and market data and information (including aggregated data on complaints) to build a more CUSTOMER-focused culture and to support operational decision making?

### b. PERFORMANCE ANALYSIS and Review

**HOW do you review organizational PERFORMANCE and capabilities?** HOW do you use KEY organizational PERFORMANCE MEASURES, as well as comparative and CUSTOMER data, in these reviews? What ANALYSES do you perform to support these reviews and ensure that conclusions are valid? HOW do your organization and its SENIOR LEADERS use these reviews to:

- assess organizational success, competitive PERFORMANCE, financial health, and progress on achieving your STRATEGIC OBJECTIVES and ACTION PLANS?

### c. PERFORMANCE Improvement

- (1) **Future Performance** HOW do you project your organization's future performance? How do you use findings from performance reviews (addressed in 4.1b) and key comparative and competitive data in your projections? How do you reconcile any differences between these projections and those developed for your key action plans (addressed in 2.2a[6])?
- (2) **Continuous Improvement and INNOVATION** HOW do you use findings from PERFORMANCE reviews (addressed in 4.1b) to develop priorities for continuous improvement and opportunities for INNOVATION? HOW do you deploy these priorities and opportunities to faculty, staff, other work group, and functional-level operations?

Notes

**4.1.** The results of organizational performance analysis and review should inform the strategy development and implementation you describe in category 2.

**4.1.** Your organizational performance results should be reported in items 7.1–7.5.

**4.1a.** Data and information from performance measurement should be used to support fact-based decisions that set and align organizational directions and resource use at the work unit, key process, department, and organization levels.

**4.1a(2), 4.1a(3).** The comparative and customer data and information you select should be used to support operational decision making and the overall performance reviews addressed in 4.1b. Comparative data and information are obtained by benchmarking and by seeking competitive comparisons. Benchmarking is identifying processes and results that represent best practices and performance for similar activities, inside or outside the education sector. Competitive comparisons relate your performance to that of competitors and other organizations providing similar programs and services. One source of this information might be social media or the web.

**4.1b.** Organizational performance reviews should be informed by organizational performance measurement (4.1a) and by performance measures reported throughout your Education Criteria item responses, and they should be guided by the strategic objectives and action plans you identify in category 2. The reviews might also be informed by internal or external Baldrige assessments.

**4.1b.** Performance analysis includes examining performance trends; organizational, education sector, and technology projections; and comparisons, cause-effect relationships, and correlations. This analysis should support your performance reviews, help determine root causes, and help set priorities for resource use. Accordingly, such analysis draws on all types of data: student learning; student- and other customer-related; budgetary, financial, and market; operational; and competitive/comparative. The analysis should also draw on publicly mandated measures, when appropriate.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).



## 4.2 Information and Knowledge Management:

### How do you manage your information and your organizational knowledge assets? Process

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In your response, include answers to the following questions:

#### a. Data and Information

- (1) **Quality** How do you verify and ensure the quality of organizational data and information? How do you manage electronic and other data and information to ensure their accuracy and validity, integrity and reliability, and currency?
- (2) **Availability** How do you ensure the availability of organizational data and information? How do you make needed data and information available in a user-friendly format and timely manner to your workforce, suppliers, partners, collaborators, and Students, Other CUSTOMERS, as appropriate?

#### b. Organizational Knowledge

(1) **Knowledge Management** How do you build and manage organizational knowledge? How do you:

- collect and transfer WORKFORCE knowledge;
- blend and correlate data from different sources to build new knowledge;

(2) **Best Practices** How do you share best practices in your organization? How do you identify organizational units or operations that are high performing?

(3) **Organizational Learning** How do you use your knowledge and resources to embed learning in the way your organization operates?

### Notes

**4.2a(2).** Information technology systems include, for example, physical devices and systems (hardware); software platforms and applications; externally based information systems, such as those stored in the cloud or outside your organization's control; and the data and information stored within them.

**4.2b(1).** Blending and correlating data from different sources may involve handling big data sets and disparate types of data and information, such as data tables, video, and text. Furthermore, organizational knowledge constructed from these data may be speculative and may reveal sensitive information about organizations or individuals that must be protected from use for any other purposes.

**4.2b(3).** Embedding learning in the way your organization operates means that learning (1) is a part of everyday work; (2) results in solving problems at their source; (3) is focused on building and sharing knowledge throughout your organization; and (4) is driven by opportunities to bring about significant, meaningful change and to innovate.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## 5 Workforce

The **WORKFORCE Focus** category asks HOW your organization assesses WORKFORCE CAPABILITY and CAPACITY needs and builds a WORKFORCE environment conducive to HIGH PERFORMANCE. The category also asks HOW your organization engages, manages, and develops your WORKFORCE to utilize its full potential in ALIGNMENT with your organization's overall business needs.

### 5.1 Workforce Environment: How do you build an effective and supportive workforce environment?

Process

In your response, include answers to the following questions:

a. WORKFORCE CAPABILITY and CAPACITY

- (1) **CAPABILITY and CAPACITY** HOW do you assess your WORKFORCE CAPABILITY and CAPACITY needs? HOW do you assess the skills, competencies, certifications, and staffing levels you need?
- (2) **New WORKFORCE Members** HOW do you recruit, hire, place, and retain new members of your WORKFORCE? HOW do you ensure that your WORKFORCE represents the diverse ideas, cultures, and thinking of your hiring and STUDENT community?
- (3) **WORKFORCE Change Management** HOW do you prepare your WORKFORCE for changing CAPABILITY and CAPACITY needs? HOW do you
  - manage your WORKFORCE, its needs, and your organization's needs to ensure continuity, prevent WORKFORCE reductions, and minimize the impact of such reductions, if they become necessary?
- (4) **Work Accomplishment** HOW do you organize and manage your WORKFORCE? HOW do you organize and manage your WORKFORCE to
  - accomplish the work of your organization,
  - capitalize on the organization's CORE COMPETENCIES?

b. WORKFORCE Climate

- (1) **Workplace Environment** HOW do you ensure workplace health, security, and accessibility for the WORKFORCE? What are your PERFORMANCE MEASURES and improvement GOALS for your workplace environmental factors?
- (2) **WORKFORCE Policies and Benefits** HOW do you support your WORKFORCE via services, benefits, and policies? HOW do you tailor these to the needs of a diverse WORKFORCE and different WORKFORCE groups and SEGMENTS?

#### Notes

**5.1.** Workforce refers to the people actively involved in accomplishing your organization's work. It includes permanent, temporary, and part-time personnel, as well as any contract faculty and staff you supervise. It includes team leaders, supervisors, and managers at all levels. People supervised by a contractor should be addressed in categories 2 and 6 as part of your larger work system strategy and

your internal work processes. For organizations that also rely on volunteers, workforce includes these volunteers.

**5.1a.** Workforce capability refers to your organization's ability to carry out its work processes through its people's knowledge, skills, abilities, and competencies. Workforce capacity refers to your organization's ability to ensure sufficient staffing levels to carry out its work processes and successfully deliver educational programs and services to students, including the ability to meet seasonal or varying demand levels.

**5.1a.** Your assessment of workforce capability and capacity needs should consider not only current needs but also future requirements based on the strategic objectives and action plans you identify in category 2 and the performance projections you discuss in 4.1c(1).

**5.1a(2).** This requirement refers only to new workforce members. The retention of existing workforce members is considered in item 5.2, Workforce Engagement.

**5.1a(3).** Preparing your workforce for changing capability and capacity needs might include training, education, frequent communication, consideration of workforce employment and employability, career counseling, and outplacement and other services.

**5.1a(4).** Organizing and managing your workforce may involve organizing the workforce for change as you address changes in your external environment, culture, technology, or strategic objectives.

**5.1b(1).** Workplace accessibility maximizes productivity by eliminating barriers that can prevent people with disabilities from working to their potential. A fully inclusive workplace is physically, technologically, and attitudinally accessible. You should address workforce safety in 6.2c(1).

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## 5.2 Workforce Engagement: How do you engage your workforce to achieve a high-performance work environment?

Process

In your response, include answers to the following questions:

### a. WORKFORCE ENGAGEMENT AND PERFORMANCE

- (1) **Organizational Culture** HOW do you foster an organizational culture that is characterized by open communication, HIGH-PERFORMANCE WORK, and an engaged WORKFORCE?
- (2) **Drivers of ENGAGEMENT** HOW do you determine KEY drivers of WORKFORCE ENGAGEMENT? HOW do you determine these drivers for different WORKFORCE groups and segments?
- (3) **Assessment of ENGAGEMENT** HOW do you assess WORKFORCE ENGAGEMENT? What formal and informal assessment methods and MEASURES do you use to determine WORKFORCE ENGAGEMENT, including satisfaction? HOW do these methods and MEASURES differ across WORKFORCE groups and SEGMENTS?
- (4) **PERFORMANCE Management** HOW does your WORKFORCE PERFORMANCE management system support HIGH-PERFORMANCE and WORKFORCE ENGAGEMENT? HOW does it consider WORKFORCE compensation, reward, recognition, and incentive practices? HOW does it reinforce:
  - INTELLIGENT RISK taking to achieve INNOVATION, and,
  - a CUSTOMER and business focus?

### b. WORKFORCE and Leader Development

- (1) **LEARNING and Development System** HOW does your LEARNING and development system support the organization's needs and the personal development of our WORKFORCE members, managers, and leaders? HOW does the system
  - address your organization's CORE COMPETENCIES, STRATEGIC CHALLENGES, and achievement of short-term and long-term ACTION PLANS;
  - support ethics and ethical business practices?
- (2) **LEARNING and Development EFFECTIVENESS** HOW do you evaluate the EFFECTIVENESS and efficiency of your LEARNING and development system? HOW do you:
  - correlate LEARNING and development outcomes with findings from your assessment of WORKFORCE ENGAGEMENT and with KEY business RESULTS reported in Category 7?
- (3) **Career Progression** HOW do you manage career progression for your organization? HOW do you manage career development for your WORKFORCE?

## Notes

**5.2.** Understanding the characteristics of high-performance work environments, in which people do their utmost for their students' and other customers' benefit and the organization's success, is key to understanding and building an engaged workforce. These characteristics are described in detail in the definition of high performance (page 49).

**5.2a(2).** Drivers of workforce engagement (identified in P.1a[3]) refer to the drivers of workforce members' commitment, both emotional and intellectual, to accomplishing the organization's work, mission, and vision.

**5.2a(4).** Compensation, recognition, and related reward and incentive practices include promotions and bonuses that might be based on performance, skills acquired, adaptation to new work systems and culture, and other factors. Recognition can include monetary and nonmonetary, formal and informal, and individual and group mechanisms. In some organizations, compensation systems are set by law or regulation; therefore, reward and recognition systems must use other options.

**5.2b.** Your response should include how you address any unique considerations for workforce development, learning, and career progression that stem from your organization. Your response should also consider the breadth of development opportunities you might offer, including education, training, coaching, mentoring, and work-related experiences.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## 6 Operations

The **OPERATIONS** category asks HOW your organization designs, manages, improves, and innovates its EDUCATIONAL PROGRAM AND SERVICES and WORK PROCESSES and improves operational EFFECTIVENESS to deliver CUSTOMER VALUE and achieve organizational success.

### 6.1 Work Processes: How do you design, manage, and improve your KEY EDUCATIONAL PROGRAM AND SERVICES and work processes?

#### Process

In your response, include answers to the following questions:

#### a. Program, Service, and PROCESS Design

- (1) **DETERMINATION OF Program, Service, and PROCESS Requirements** HOW do you determine KEY EDUCATIONAL PROGRAM AND SERVICE and WORK PROCESS requirements? What are your organization's KEY WORK PROCESSES?
- (2) **KEY WORK PROCESSES** What are your organization's key work processes? What are the key requirements for these work processes?
- (3) **Design Concepts** HOW do you design your EDUCATIONAL PROGRAM AND SERVICES and WORK PROCESSES to meet requirements? HOW do you incorporate new technology, organizational knowledge, Program and Service excellence, Customer Value, consideration or risk, and the potential need for agility into these PROGRAM, SERVICES, and PROCESSES?

#### b. PROCESS Management and Improvement

- (1) **PROCESS Implementation** HOW does your day-to-day operation of WORK PROCESSES ensure that they meet KEY PROCESS requirements? What KEY PERFORMANCE MEASURES or INDICATORS and In-process MEASURES do you use to control and improve your WORK PROCESSES?
- (2) **Support PROCESSES** HOW do you determine our KEY support PROCESSES? What are your KEY support PROCESSES?
- (3) **PROGRAM, SERVICE, and PROCESS Improvement** HOW do you improve your WORK PROCESSES to increase student learning, improve EDUCATIONAL PROGRAM AND SERVICES and PERFORMANCE, enhance your CORE COMPETENCIES, and reduce variability?

#### c. Supply-Chain Management

How do you manage your supply chain? How do you

- select suppliers and ensure that they are qualified and positioned to not only meet operational needs but also enhance your performance and your Students, Other CUSTOMERS' satisfaction;
- measure and evaluate your suppliers' performance

**HOW do you pursue your opportunities for INNOVATION?** HOW do you pursue the STRATEGIC OPPORTUNITIES that you DETERMINE are INTELLIGENT RISKS? HOW do you make financial and other resources available to pursue these opportunities?

### Notes

**6.1.** The results of improvements in the performance of your educational programs and services and your processes should be reported in item 7.1.

**6.1a(1), 6.1a(2).** Your key work processes are your most important internal value-creation processes. They might include educational program and service design and delivery, student and other customer support, and business processes. Your key work processes are those that involve the majority of your workforce and produce value for students, other customers, and stakeholders. In contrast, projects are unique work processes intended to produce an outcome and then go out of existence.

**6.1a(3).** The potential need for agility could include changes in work processes as a result of overall work system changes, such as bringing a supply-chain process in-house to avoid disruptions in supply due to increasing external events triggered by climate change or other unpredictable factors.

**6.1b(2).** Your key support processes should support your value-creation processes. They might support leaders and other workforce members engaged in the design and delivery of educational programs and services, interactions with students and other customers, and business and enterprise management.

**6.1b(3).** To improve process performance and reduce variability, you might implement approaches such as a Lean Enterprise System, Six Sigma methodology, ISO quality system standards, PDSA methodology, decision sciences, or other process improvement tools. These approaches might be part of the performance improvement system you describe in P.2c in the Organizational Profile.

**6.1c.** Ensuring that suppliers are positioned to meet operational needs and enhance your performance and your customers' satisfaction may involve partnering with suppliers for mutual benefit. Feedback to suppliers should involve two-way communication, allowing suppliers to express what they need from you.

**6.1d.** Your process for managing opportunities for innovation should capitalize on strategic opportunities identified in 2.1a(2).

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## 6.2 Operational Effectiveness: How do you ensure effective management of your operations? Process

In your response, include answers to the following questions:

a. **PROCESS Efficiency and EFFECTIVENESS** **HOW do you control the overall costs of your operations?** How do you:

- incorporate CYCLE TIME, EDUCATIONAL PROGRAM AND SERVICEIVITY, and other efficiency and EFFECTIVENESS factors into your WORK PROCESSES;
- prevent defects, service errors and rework?

### b. Management of Information Systems

(1) **Reliability** **How do you ensure the reliability of your information systems?**

(2) **Security and Cybersecurity** **How do you ensure the security and cybersecurity of sensitive or privileged data and information?** How do you manage electronic and physical data and information to ensure confidentiality and only appropriate access? How do you

- maintain your awareness of emerging security and cybersecurity threats;
- identify and prioritize information technology systems to secure from cybersecurity attacks

### c. Safety and Emergency Preparedness

(1) **Safety** **HOW do you provide a safe operating environment?** HOW does your safety system address accident prevention, inspection, root-cause ANALYSIS of failures, and recovery?

(2) **Organizational Continuity** **HOW do you ensure that your organization is prepared for disasters or emergencies?** HOW does your disaster and emergency preparedness system consider prevention, continuity of operations, and recovery?

### Notes

**6.2b(2).** Managing cybersecurity includes protecting against the loss of sensitive information about employees, students, other customers, and organizations; protecting intellectual property; and protecting against the financial, legal, and reputational aspects of breaches. There are many sources for general and industry-specific cybersecurity standards and practices. Many are referenced in the *Framework for Improving Critical Infrastructure Cybersecurity* (<http://www.nist.gov/cyberframework>). The *Baldrige Cybersecurity Excellence Builder* (<https://www.nist.gov/baldrige/products-services/baldrige-cybersecurity-initiative>) is a self-assessment tool incorporating the concepts of the Cybersecurity Framework and the Baldrige systems perspective.

**6.2b(2).** For examples of what your information technology systems might include, see the note to 4.2a(2).

**6.2c(2).** Disasters and emergencies might be related to weather, utilities, security, or a local or national emergency. The extent to which you prepare for disasters or emergencies will depend on your organization's environment and its sensitivity to disruptions of operations. Acceptable levels of risk will vary depending on the nature of your programs, services, supply chain, and stakeholder needs and expectations. The impacts of climate change could include a greater frequency of disruptions.

For additional guidance on this item, see the [Education Criteria Commentary](https://www.nist.gov/baldrige/baldrige-criteria-commentary-education) (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).



## 7 Results

The **RESULTS** category asks about your organization's **PERFORMANCE** and improvement in all **KEY** areas—Educational Program and Service and **PROCESS RESULTS**, **CUSTOMER RESULTS**, **WORKFORCE RESULTS**, leadership and **GOVERNANCE RESULTS**, and financial and market **RESULTS**. This category asks about **PERFORMANCE LEVELS** relative to those of competitors and other organizations with similar Educational Program and Service offerings.

### 7.1 Student Learning and Process Results: What are your Educational Program and Service performance and process effectiveness results? What comparisons of performance do you use? Results

Provide data and information to answer the following questions:

#### a. Student Learning and CUSTOMER-Focused Service RESULTS

**What are your RESULTS for Student Learning and for your student and other CUSTOMER service processes?** What are your current **LEVELS** in **KEY MEASURES** or **INDICATORS** of the **PERFORMANCE** of Student Learning outcomes and Performance of services that are Important to and directly serve your **STUDENTS AND OTHER CUSTOMERS**?

#### b. WORK PROCESS EFFECTIVENESS RESULTS

- (1) **PROCESS EFFECTIVENESS and Efficiency** **What are your PROCESS EFFECTIVENESS and efficiency RESULTS?** What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of the operational **PERFORMANCE** of your **KEY WORK** and support **PROCESSES**, including productivity, **CYCLE TIME**, and other appropriate **MEASURES** of **PROCESS EFFECTIVENESS**, efficiency, security, cybersecurity, and **INNOVATION**?
- (2) **Safety and Emergency Preparedness** **What are your emergency preparedness RESULTS?** What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of the **EFFECTIVENESS** of your organization's preparedness for disasters or emergencies?

#### c. Supply-Chain Management RESULTS

What are your **RESULTS** for **KEY MEASURES** or **INDICATORS** of the **PERFORMANCE** of your supply chain, including its contribution to enhancing your **PERFORMANCE**?

### Notes

7. Results should provide key information for analyzing and reviewing your organizational performance (item 4.1); demonstrate use of organizational knowledge (item 4.2); and provide the operational basis for customer-focused results (item 7.2) and budgetary, financial, and market results (item 7.5). There is not a one-to-one correspondence between results items and Education Criteria categories 1–6. Results should be considered systemically, with contributions to individual results items frequently stemming from processes in more than one Education Criteria category.

7. In areas where appropriate comparisons are particularly important for assessing your performance, results items ask specifically how your results compare with the performance of competitors and other organizations with similar offerings. In other areas, assessment of the use of comparisons relates to their importance in relation to your key organizational factors and the maturity of your performance improvement system as expressed in the Results Scoring Guidelines (page 35).

**7.1a.** Results reported should include those for key measures that are mandated by funders and that are publicly reported and/or mandated by accreditors and regulators, such as regional or professional accrediting bodies and federal and state regulators.

**7.1a.** Results for student learning and customer service processes should relate to the key student and other customer requirements and expectations you identify in P.1b(2), which are based on information gathered through processes you describe in category 3. The measures or indicators should address factors that affect student and other customer preference, such as those listed in the notes to P.1b(2) and 3.2a.

**7.1b.** Results should address the key operational requirements you identify in the Organizational Profile and in category 6.

**7.1b.** Appropriate measures and indicators of work process effectiveness might include audit results; rates and results of program, service, and work system innovation; results for simplification of internal jobs and job classifications; waste reduction; changes in supervisory ratios; Occupational Safety and Health Administration (OSHA)-reportable incidents; response times for emergency drills or exercises; and results for work relocation or contingency exercises.

**7.1c.** Because some significant supply-chain results may be either qualitative or not amenable to trending over time, this requirement does not ask for levels and trends. Examples for suppliers could be training hours on new programs/services or processes, knowledge-sharing activities, audit hours that vary by supplier experience or specification complexity, or joint process and program/service development. For results that are numeric and trendable, you should report levels and trends. Examples for suppliers could be parts defect rates, on-time delivery, or just-in-time delivery.

**7.1c.** Appropriate measures and indicators of supply-chain performance might include supplier and partner audits; just-in-time delivery; and acceptance results for externally provided programs, services, and processes. Measures and indicators of contributions to enhancing your performance might include those for improvements in downstream supplier services delivered directly to students and other customers.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## 7.2 Customer Results: What are your customer-focused performance results? What comparisons of performance do you use? Results

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Provide data and information to answer the following questions:

a. Student- and Other CUSTOMER-Focused RESULTS

- (1) **Student and Other CUSTOMER Satisfaction What are your Student and other CUSTOMER satisfaction and dissatisfaction RESULTS?** What are your current LEVELS AND TRENDS in KEY MEASURES or INDICATORS of student and other CUSTOMER satisfaction and dissatisfaction? How do these RESULTS compare with those of your competitors and other organizations providing similar EDUCATIONAL PROGRAM AND SERVICES?
  
- (2) **Student and Other CUSTOMER ENGAGEMENT What are your Student and other CUSTOMER ENGAGEMENT RESULTS?** What are your current LEVELS AND TRENDS in KEY MEASURES or INDICATORS of student and other CUSTOMER ENGAGEMENT, including those for building relationships with Students and CUSTOMERS?

### Notes

**7.2.** Results for student and other customer satisfaction, dissatisfaction, and engagement should relate to the student and other customer groups and market segments you identify in P.1b(2) and to the listening and determination methods you report in item 3.1.

**7.2a(1).** For students' and other customers' satisfaction with your programs and services relative to satisfaction with those of competitors and comparable organizations, measures and indicators might include information and data from your students, from your other customers, from competitors' customers, and from independent organizations.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## 7.3 Workforce Results: What are your workforce-focused performance results? What comparisons of performance do you use?

### Results

Provide data and information to answer the following questions:

a. **WORKFORCE RESULTS**

- (1) **WORKFORCE CAPABILITY and CAPACITY** What are your **WORKFORCE CAPABILITY and CAPACITY RESULTS?** What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** of **WORKFORCE CAPABILITY** and **CAPACITY**, including appropriate skills and staffing levels?
  
- (2) **WORKFORCE Climate** What are your **WORKFORCE climate RESULTS?** What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of your **WORKFORCE** climate, including **WORKFORCE** health, safety, and security and **WORKFORCE** services and benefits, as appropriate?
  
- (3) **WORKFORCE ENGAGEMENT** What are your **WORKFORCE ENGAGEMENT RESULTS?** What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of **WORKFORCE** satisfaction and **WORKFORCE ENGAGEMENT**?
  
- (4) **WORKFORCE Development** What are your **WORKFORCE and leader development RESULTS?** What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of **WORKFORCE** and leader development?

### Notes

**7.3.** Results reported in this item should relate to the processes you report in category 5. Your results should also respond to the key work process needs you report in category 6 and to the action plans and workforce plans you report in item 2.2.

**7.3.** Organizations that rely on volunteers should report results for their volunteer workforce, as appropriate.

**7.3a(3).** Responses should include results for the measures and indicators you identify in 5.2a(3).

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## 7.4 Leadership and Governance Results: What are your senior leadership and governance results? What comparisons of performance do you use?

### Results

Provide data and information to answer the following questions:

#### a. Leadership, GOVERNANCE, and Societal Responsibility RESULTS

- (1) **Leadership** What are your RESULTS for SENIOR LEADERS' communication and engagement with the WORKFORCE, STUDENTS, and OTHER CUSTOMERS? What are your RESULTS for KEY MEASURES or INDICATORS of SENIOR LEADERS' communication and engagement with the WORKFORCE, STUDENTS, OTHER CUSTOMERS to DEPLOY VISION and VALUES, encourage two-way communication, and create a focus on action?
- (2) **GOVERNANCE** What are your RESULTS for GOVERNANCE accountability? What are your KEY current findings and TRENDS in KEY MEASURES or INDICATORS of GOVERNANCE and internal and external fiscal accountability, as appropriate?
- (3) **Law and Regulation** What are your legal and regulatory RESULTS? What are your RESULTS for KEY MEASURES or INDICATORS of meeting and surpassing regulatory and legal requirements?
- (4) **Ethics** What are your RESULTS for ETHICAL BEHAVIOR? What are your RESULTS for KEY MEASURES or INDICATORS of ETHICAL BEHAVIOR, breaches of ETHICAL BEHAVIOR, and of STAKEHOLDER trust in your SENIOR LEADERS and GOVERNANCE?
- (5) **Society** What are your RESULTS for societal responsibilities and support of your key communities? What are your RESULTS for KEY MEASURES or INDICATORS of your organization's fulfillment of your societal responsibilities and support of your KEY communities?

#### b. Strategy Implementation RESULTS

**What are your RESULTS for the achievement for your organizational strategy and ACTION PLANS?**

What are your RESULTS for KEY MEASURES or INDICATORS of the achievement of your organizational strategy and ACTION PLANS?

### Notes

**7.4.** Most of the requirements in this item do not ask for levels and trends. The reason is that some significant results may be either qualitative in nature or not amenable to trending over time. Examples could be results of intelligent risk taking and governance accountability. For such results, qualitative explanation may be more meaningful than current levels and trends. For results that are numeric and trendable, you should report levels and trends. Examples could be the number of unqualified or clean audits, regulatory findings, or ethics hotline calls.

**7.4a(1).** Responses should include results relating to the communication processes you identify in item 1.1.

**7.4a(2).** Responses might include financial statement issues and risks, important internal and external auditor recommendations, and management's responses to these matters.

**7.4a(3).** Legal, regulatory, and accreditation results should relate to the processes and measures you report in 1.2b (including the results of mandated financial audits). Workforce-related occupational safety and health results (e.g., OSHA-reportable incidents) should be reported in 7.1b(2) and 7.3a(2).

**7.4a(4).** For examples of measures of ethical behavior and stakeholder trust, see the note to 1.2b(2).

**7.4a(5).** Responses should relate to the societal responsibilities you address in 1.2b(1) and 1.2c(1), as well as the support of the key communities you report in 1.2c(2). Measures of contributions to societal well-being might include those for reduced energy consumption, the use of renewable energy resources and recycled water, reduction of your carbon footprint, waste reduction and utilization, and alternative approaches to conserving resources (e.g., increased audio-and videoconferencing).

**7.4b.** Measures or indicators of strategy and action plan achievement should relate to the strategic objectives and goals you report in 2.1b(1) and the action plan performance measures and projected performance you report in 2.2a(5) and 2.2a(6), respectively.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).

## 7.5 Budgetary, Financial, and Market Results: What are your results for financial viability? What comparisons of performance do you use? Results

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Provide data and information to answer the following questions:

### a. Budgetary, Financial, and Market RESULTS

(1) **Budgetary and Financial PERFORMANCE** What are your financial PERFORMANCE RESULTS?

What are your current LEVELS in KEY MEASURES or INDICATORS of budgetary and financial PERFORMANCE, INCLUDING AGGREGATE MEASURES of cost containment, financial viability, and budgetary PERFORMANCE, as appropriate?

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

### Notes

**7.5a(1).** Measures should relate to the financial measures you report in 4.1a(1) and the financial management approaches you report in item 2.2 and should include those mandated by accreditors and regulators. Measures might include those for liquidity, days cash on hand, asset utilization, cash flow, and bond ratings; instructional and general administrative expenditures per student or as a percentage of the total budget; reserves and endowments; tuition and fee levels; cost per academic credit; lowering of costs to students or return of funds as a result of increased efficiency; annual grants and awards; cost performance to budget; cost avoidance or savings; program expenditures as a percentage of budget; annual budget increases or decreases; resources redirected to education from other areas; and scholarship growth.

For additional guidance on this item, see the Education Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary-education>).



## Glossary of Key Terms

The terms below are those in small caps in the Baldrige Excellence Builder, as well as terms in the scoring rubric. For additional definitions and examples, see the Baldrige Excellence Framework booklet (*Business/Nonprofit, Education, or Health Care*; <http://www.nist.gov/baldrige/publications/criteria.cfm>).

**ACTION PLANS.** Specific actions that your organization takes to reach its short- and longer-term strategic objectives. These plans specify the resources committed to and the time horizons for accomplishing the plans. See also *strategic objectives*.

**ALIGNMENT.** A state of consistency among plans, processes, information, resource decisions, workforce capability and capacity, actions, results, and analyses that support key organization-wide goals. See also *integration*.

**APPROACH.** The methods your organization uses to carry out its processes.

**BENCHMARKS.** Processes and results that represent the best practices and best performance for similar activities, inside or outside your organization's industry.

**COLLABORATORS.** Organizations or individuals who cooperate with your organization to support a particular activity or event or who cooperate intermittently when their short-term goals are aligned with or are the same as yours. See also *partners*.

**CORE COMPETENCIES.** Your organization's areas of greatest expertise; those strategically important capabilities that are central to fulfilling your mission or that provide an advantage in your marketplace or service environment.

**CUSTOMER.** An actual or potential user of your organization's EDUCATIONAL PROGRAM AND SERVICES, programs, or services. See also *stakeholders*.

**CUSTOMER ENGAGEMENT.** Your Students, Other CUSTOMERS' investment in or commitment to your brand and Educational Program and Service offerings.

**DEPLOYMENT.** The extent to which your organization applies an approach in relevant work units throughout your organization.

**EFFECTIVE.** How well a process or a measure addresses its intended purpose.

**ETHICAL BEHAVIOR.** The actions your organization takes to ensure that all its decisions, actions, and stakeholder interactions conform to its moral and professional principles of conduct. These principles should support all applicable laws and regulations and are the foundation for your organization's culture and values.

**EXCELLENCE.** See *performance excellence*.

**GOALS.** Future conditions or performance levels that your organization intends or desires to attain. See also *performance projections*.

**GOVERNANCE.** The system of management and controls exercised in the stewardship of your organization.

**HIGH PERFORMANCE.** Ever-higher levels of overall organizational and individual performance, including quality, productivity, innovation rate, and cycle time.

**HOW.** The systems and processes that your organization uses to achieve its mission requirements.

**INNOVATION.** Making meaningful change to improve EDUCATIONAL PROGRAM AND SERVICES, processes, or organizational effectiveness and create new value for stakeholders. The outcome of innovation is a discontinuous or breakthrough change.



**INTEGRATION.** The harmonization of plans, processes, information, resource decisions, work- force capability and capacity, actions, results, and analyses to support key organization-wide goals. See also alignment.

**KEY.** Major or most important; critical to achieving your intended outcome.

**KNOWLEDGE ASSETS.** Your organization's accumulated intellectual resources; the knowledge possessed by your organization and its workforce in the form of information, ideas, learning, understanding, memory, insights, cognitive and technical skills, and capabilities.

**LEARNING.** New knowledge or skills acquired through evaluation, study, experience, and innovation.

**LEVELS.** Numerical information that places or positions your organization's results and performance on a meaningful measurement scale.

**MEASURES AND INDICATORS.** Numerical information that quantifies the input, output, and performance dimensions of processes, EDUCATIONAL PROGRAM AND SERVICES, programs, projects, services, and the overall organization (outcomes).

**MISSION.** Your organization's overall function.

**PARTNERS.** Key organizations or individuals who are working in concert with your organization to achieve a common goal or improve performance. Typically, partnerships are formal arrangements. See also *collaborators*.

**PERFORMANCE.** Outputs and their outcomes obtained from processes, EDUCATIONAL PROGRAM AND SERVICES, and Students, Other CUSTOMERS that permit you to evaluate and compare your organization's results to performance projections, standards, past results, goals, and other organizations' results.

**PERFORMANCE EXCELLENCE.** An integrated approach to organizational performance management that results in (1) delivery of ever- improving value to Students, Other CUSTOMERS and stakeholders, contributing to ongoing organizational success; (2) improvement of your organization's overall effectiveness and capabilities; and (3) learning for the organization and for people in the workforce.

**PERFORMANCE PROJECTIONS.** Estimates of your organization's future performance. See also *goals*.

**PROCESS.** Linked activities with the purpose of producing a Educational Program and Service or service for a customer (user) within or outside your organization.

**RESULTS.** Outputs and outcomes achieved by your organization.

**SEGMENT.** One part of your organization's customer, market, Educational Program and Service offering, or workforce base.

**SENIOR LEADERS.** Your organization's senior management group or team.

**STRATEGIC ADVANTAGES.** Those marketplace benefits that exert a decisive influence on your organization's likelihood of future success. These advantages are frequently sources of current and future competitive success relative to other providers of similar EDUCATIONAL PROGRAM AND SERVICES.

**STRATEGIC CHALLENGES.** Those pressures that exert a decisive influence on your organization's likelihood of future success. These challenges are frequently driven by your organization's anticipated competitive position in the future relative to other providers of similar EDUCATIONAL PROGRAM AND SERVICES.

**STRATEGIC OBJECTIVES.** The aims or responses that your organization articulates to address major change or improvement, competitiveness or social issues, and business

advantages. See also *action plans*.

**SYSTEMATIC.** Well-ordered, repeatable, and exhibiting the use of data and information so that learning is possible.

**TRENDS.** Numerical information that shows the direction and rate of change of your organization's results or the consistency of its performance over time.

**VALUE.** The perceived worth of a Educational Program and Service, process, asset, or function relative to its cost and possible alternatives.

**VALUES.** The guiding principles and behaviors that embody how your organization and its people are expected to operate.

**VISION.** Your organization's desired future state.

**VOICE OF THE CUSTOMER.** Your process for capturing customer-related information.

**WORK PROCESSES.** Your organization's most important internal value-creation processes.

**WORK SYSTEMS.** How your organization's work is accomplished, consisting of the internal work processes and external resources you need to develop and produce EDUCATIONAL PROGRAM AND SERVICES, deliver them to your Students, Other CUSTOMERS, and succeed in your marketplace.

**WORKFORCE.** All people actively supervised by your organization and involved in accomplishing your organization's work, including paid faculty/staffs (e.g., permanent, part-time, temporary, and telecommuting faculty/staffs, as well as contract faculty/staffs supervised by your organization) and volunteers, as appropriate.

**WORKFORCE CAPABILITY.** Your organization's ability to accomplish its work processes through its people's knowledge, skills, abilities, and competencies.

**WORKFORCE CAPACITY.** Your organization's ability to ensure sufficient staffing levels to accomplish its work processes

and deliver your EDUCATIONAL PROGRAM AND SERVICES to Students, Other CUSTOMERS, including the ability to meet seasonal or varying demand levels.

**WORKFORCE ENGAGEMENT.** The extent of workforce members' emotional and intellectual commitment to accomplishing your organization's work, mission, and vision.

## Process Scoring Guidelines (For Use with Categories Commitment Level 1–6)

<p>0% or 5%</p>	<ul style="list-style-type: none"> <li>• No SYSTEMATIC APPROACH to item requirements is evident; information is ANECDOTAL. (A)</li> <li>• Little or no DEPLOYMENT of any SYSTEMATIC APPROACH is evident. (D)</li> <li>• An improvement orientation is not evident; improvement is achieved by reacting to problems. (L)</li> <li>• No organizational ALIGNMENT is evident; individual areas or work units operate independently. (I)</li> </ul>
<p>10%, 15%, 20%, or 25%</p>	<ul style="list-style-type: none"> <li>• The beginning of a SYSTEMATIC APPROACH to the BASIC REQUIREMENTS of the item is evident. (A)</li> <li>• 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)</li> <li>• Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L)</li> <li>• The APPROACH is ALIGNED with other areas or work units largely through joint problem solving. (I)</li> </ul>
<p>30%, 35%, 40%, or 45%</p>	<ul style="list-style-type: none"> <li>• An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the BASIC REQUIREMENTS of the item, is evident. (A)</li> <li>• The APPROACH is DEPLOYED, although some areas or work units are in early stages of DEPLOYMENT. (D)</li> <li>• The beginning of a SYSTEMATIC APPROACH to evaluation and improvement of KEY PROCESSES is evident. (L)</li> <li>• The APPROACH is in the early stages of ALIGNMENT with the basic organizational needs identified in response to the Organizational Profile and other process items. (I).</li> </ul>
<p>50%, 55%, 60%, or 65%</p>	<ul style="list-style-type: none"> <li>• An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the OVERALL REQUIREMENTS of the item, is evident. (A)</li> <li>• The APPROACH is well DEPLOYED, although DEPLOYMENT may vary in some areas or work units. (D)</li> <li>• A fact-based, SYSTEMATIC evaluation and improvement PROCESS and some organizational LEARNING, including INNOVATION, are in place for improving the efficiency and EFFECTIVENESS of KEY PROCESSES. (L)</li> <li>• The APPROACH is ALIGNED with your overall organizational needs as identified in response to the Organizational Profile and other process items. (I)</li> </ul>
<p>70%, 75%, 80%, or 85%</p>	<ul style="list-style-type: none"> <li>• An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the MULTIPLE REQUIREMENTS of the item, is evident. (A)</li> <li>• The APPROACH is well DEPLOYED, with no significant gaps. (D)</li> <li>• Fact-based, SYSTEMATIC evaluation and improvement and organizational LEARNING, including INNOVATION, are KEY management tools; there is clear evidence of refinement as a result of organizational-level ANALYSIS and sharing. (L)</li> <li>• The APPROACH is INTEGRATED with your current and future organizational needs as identified in response to the Organizational Profile and other process items. (I)</li> </ul>
	<p><b>Because the Criteria is written at the Progress Level, the organization cannot score above the 70-85% Scoring Range. The full Criteria at the Award Level is required in order to achieve the 90-100% range.</b></p>

## Results Scoring Guidelines (For Use with Category 7)

<p>0% or 5%</p>	<ul style="list-style-type: none"> <li>• There are no organizational PERFORMANCE RESULTS, or the RESULTS reported are poor. (Le)</li> <li>• TREND data either are not reported or show mainly adverse TRENDS. (T)</li> <li>• Comparative information is not reported. (C)</li> <li>• RESULTS are not reported for any areas of importance to the accomplishment of your organization's MISSION. (I)</li> </ul>
<p>10%, 15%, 20%, or 25%</p>	<ul style="list-style-type: none"> <li>• A few organizational PERFORMANCE RESULTS are reported, responsive to the BASIC REQUIREMENTS of the item, and early good PERFORMANCE LEVELS are evident. (Le)</li> <li>• Some TREND data are reported, with some adverse TRENDS evident. (T)</li> <li>• Little or no comparative information is reported. (C)</li> <li>• RESULTS are reported for a few areas of importance to the accomplishment of your organization's MISSION. (I)</li> </ul>
<p>30%, 35%, 40%, or 45%</p>	<ul style="list-style-type: none"> <li>• Good organizational PERFORMANCE LEVELS are reported, responsive to the BASIC REQUIREMENTS of the item. (Le)</li> <li>• Some TREND data are reported, and most of the TRENDS presented are beneficial. (T)</li> <li>• Early stages of obtaining comparative information are evident. (C)</li> <li>• RESULTS are reported for many areas of importance to the accomplishment of your organization's MISSION. (I)</li> </ul>
<p>50%, 55%, 60%, or 65%</p>	<ul style="list-style-type: none"> <li>• Good organizational PERFORMANCE LEVELS are reported, responsive to the OVERALL REQUIREMENTS of the item. (Le)</li> <li>• Beneficial TRENDS are evident in areas of importance to the accomplishment of your organization's MISSION. (T)</li> <li>• Some current PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of good relative PERFORMANCE. (C)</li> <li>• Organizational PERFORMANCE RESULTS are reported for most KEY CUSTOMER, market, and PROCESS requirements. (I)</li> </ul>
<p>70%, 75%, 80%, or 85%</p>	<ul style="list-style-type: none"> <li>• Good-to-excellent organizational PERFORMANCE LEVELS are reported, responsive to the MULTIPLE REQUIREMENTS of the item. (Le)</li> <li>• Beneficial TRENDS have been sustained over time in most areas of importance to the accomplishment of your organization's MISSION. (T)</li> <li>• Many to most TRENDS and current PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of leadership and very good relative PERFORMANCE. (C)</li> <li>• Organizational PERFORMANCE RESULTS are reported for most KEY CUSTOMER, market, PROCESS, and ACTION PLAN requirements. (I)</li> </ul>
	<p><b>Because the Criteria is written at the Progress Level, the organization cannot score above the 70-85% Scoring Range. The full Criteria at the Award Level is required in order to achieve the 90-100% range.</b></p>