2009–2010

Baldrige National Quality Program

Education Criteria for Performance Excellence

leadership ethics







competitiveness

BALDRIGE National Quality Program

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The Malcolm Baldrige National Quality Award

A Public-Private Partnership

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

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

Foundation for the Malcolm Baldrige National Quality Award

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

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

National Institute of Standards and Technology

The National Institute of Standards and Technology (NIST), an agency of the U.S. Department of Commerce, manages the Baldrige National Quality Program. NIST promotes U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve our quality of life. Through a network of technology extension centers and field offices serving all 50 states and Puerto Rico, NIST helps small- and medium-sized businesses access the information and expertise they need to improve their competitiveness in the global marketplace.

American Society for Quality

The American Society for Quality (ASQ) assists in administering the Award Program under contract to NIST. ASQ's vision is to make quality a global priority, an organizational imperative, and a personal ethic and, in the process, to become the community for all who seek quality concepts, technology, or tools to improve themselves and their world.

Board of Overseers

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

The board evaluates all aspects of the Program, including the adequacy of the Criteria and processes for determining Award recipients. An important part of the board's responsibility is to assess how well the Program is serving the national interest and, as needed, to recommend changes and improvements to the Secretary of Commerce and to the Director of NIST.

Board of Examiners

The Board of Examiners evaluates Award applications and prepares feedback reports. The Panel of Judges, part of the Board of Examiners, makes Award recommendations to the Director of NIST. The board consists of leading experts from U.S. businesses and education, health care, and nonprofit organizations. NIST selects members through a competitive application process. The current board consists of more than 500 members. Of these, 12 (who are appointed by the Secretary of Commerce) serve as Judges, and approximately 80 serve as Senior Examiners. All members of the board must take part in an Examiner Preparation Course.

Board members also play a significant role in sharing information about the Program. Their membership in hundreds of professional, trade, community, and state organizations helps them disseminate this information.

Award Recipients

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

For more than 20 years, Award recipients have demonstrated their commitment to improving U.S. competitiveness and furthering the U.S. pursuit of performance excellence by also generously sharing information with hundreds of thousands of companies, education organizations, health care organizations, government agencies, nonprofit organizations, and others. This sharing far exceeds expectations and Program requirements. These efforts have encouraged many other organizations in all sectors of the U.S. economy to undertake their own performance improvement efforts.

The Alliance for Performance Excellence

The Alliance for Performance Excellence is a nonprofit network of state and local quality award programs that use the Baldrige Criteria for Performance Excellence to advance organizational excellence and competitiveness in their states and regions. The state and local programs play an important national role by helping many local organizations start and continue with their performance excellence journey.

The Baldrige National Quality Program

National Institute of Standards and Technology • Department of Commerce

To: U.S. Education Community

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

Subject: Why Is Baldrige Important for You Now?

Because the Baldrige Education Criteria for Performance Excellence are about students excelling! Because they also are about a successful organization that is high performing and has high integrity. Because the Baldrige Criteria ask you all the right questions.

Is addressing all the Baldrige Education Criteria easy? No! But neither is achieving sustainable results in today's challenging education environment. Will the Education Criteria help you think and act strategically? Yes. Will they help you align your processes and your resources? Yes. Will they help you engage your workforce, your students, and your stakeholders? Yes. Are these worthwhile goals? You decide.

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

How to begin that first Baldrige assessment? Take a few minutes and scan the questions in the Organizational Profile on pages 4–6. A discussion of the answers to these questions might be your first Baldrige assessment. For additional guidance, refer to our free booklet *Getting Started with the Baldrige Criteria for Performance Excellence*.

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

Even if you don't expect to receive the Baldrige Award, submitting an Award application has valuable benefits. Every applicant receives a detailed feedback report based on a rigorous evaluation conducted by a panel of specially trained experts.

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

Need some useful tools to begin the Baldrige challenge? Try using

- *Getting Started with the Baldrige Criteria for Performance Excellence*
- *Easy Insight: Take a First Step Toward a Baldrige Self-Assessment,* found on our Web site at www.baldrige.nist.gov/eBaldrige/Step_One.htm
- *Are We Making Progress?* and *Are We Making Progress as Leaders?*

Contact the Baldrige National Quality Program or visit our Web site for these and other educational materials. To get support from your state or local quality award program, visit www.BaldrigePE.org.

Baldrige National Quality Program • NIST • Administration Building, Room A600 • 100 Bureau Drive, Stop 1020 • Gaithersburg, MD 20899-1020
Telephone: (301) 975-2036 • Fax: (301) 948-3716 • E-mail: nqp@nist.gov • Web site: www.baldrige.nist.gov

The Quest for Excellence® XXI and XXII Conferences

Each year, The Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, provides a forum for Baldrige Award recipients to share their exceptional performance practices with worldwide leaders in business, education, health care, and nonprofit organizations. The Quest for Excellence XXI will showcase the year 2008 Award recipients, and The Quest for Excellence XXII will feature the year 2009 Award recipients.

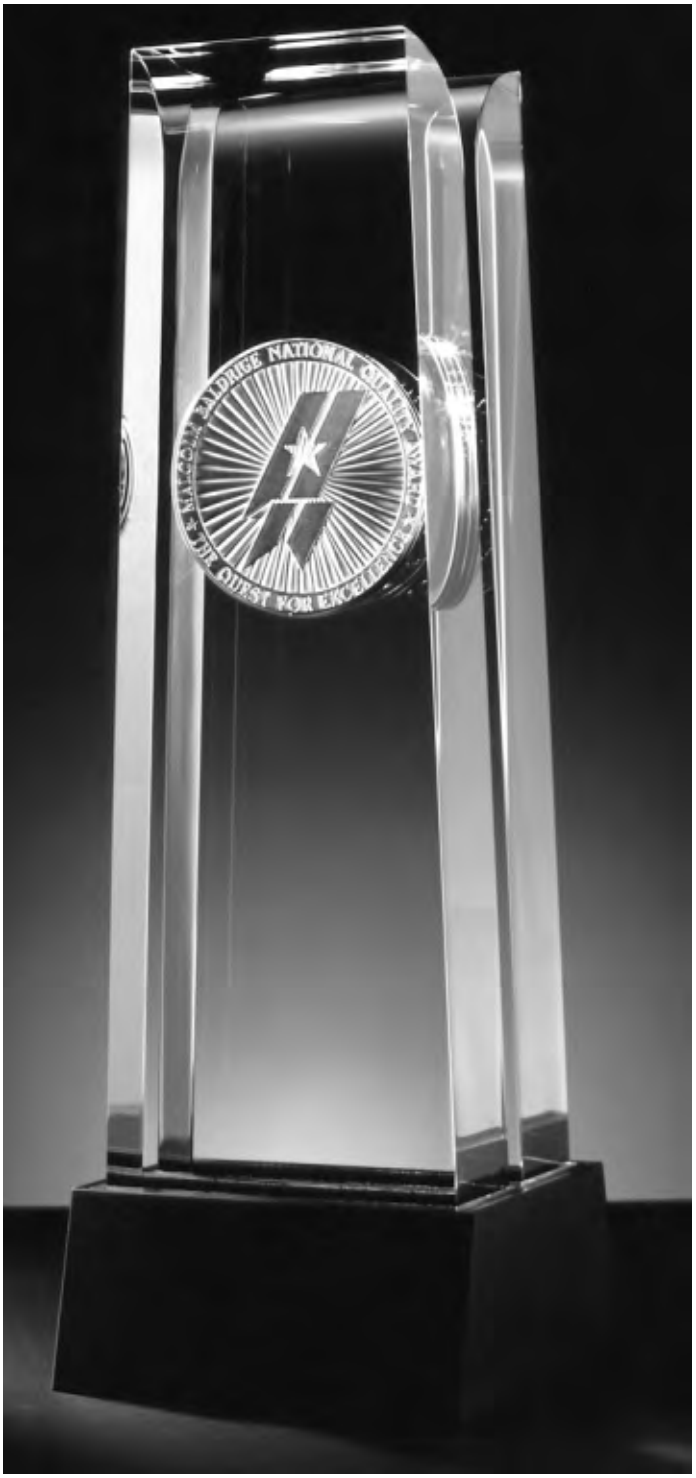
Since 1988, executives, managers, and quality leaders have come to this conference to learn how these role-model organizations have achieved performance excellence. Chief executive officers (CEOs) and other leaders from the Award recipient organizations give presentations covering all seven Categories of the Baldrige Criteria, their journey to performance excellence, and their lessons learned. At this three-day conference designed to maximize learning and networking opportunities, attendees will be able to interact with Award recipients.

The Quest for Excellence XXI Conference will be held April 19–22, 2009, at the Hilton Washington in Washington, D.C., and The Quest for Excellence XXII Conference will be held April 11–14, 2010, at the same location. For further information, contact the Baldrige Program by mail: Baldrige National Quality Program, NIST, Administration Building, Room A600, 100 Bureau Drive, Stop 1020, Gaithersburg, MD 20899-1020; telephone: (301) 975-2036; fax: (301) 948-3716; or e-mail: nqp@nist.gov. For a general overview of the Baldrige National Quality Program, visit its Web site: www.baldrige.nist.gov.

The Malcolm Baldrige National Quality Award

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

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



Crystal by Steuben

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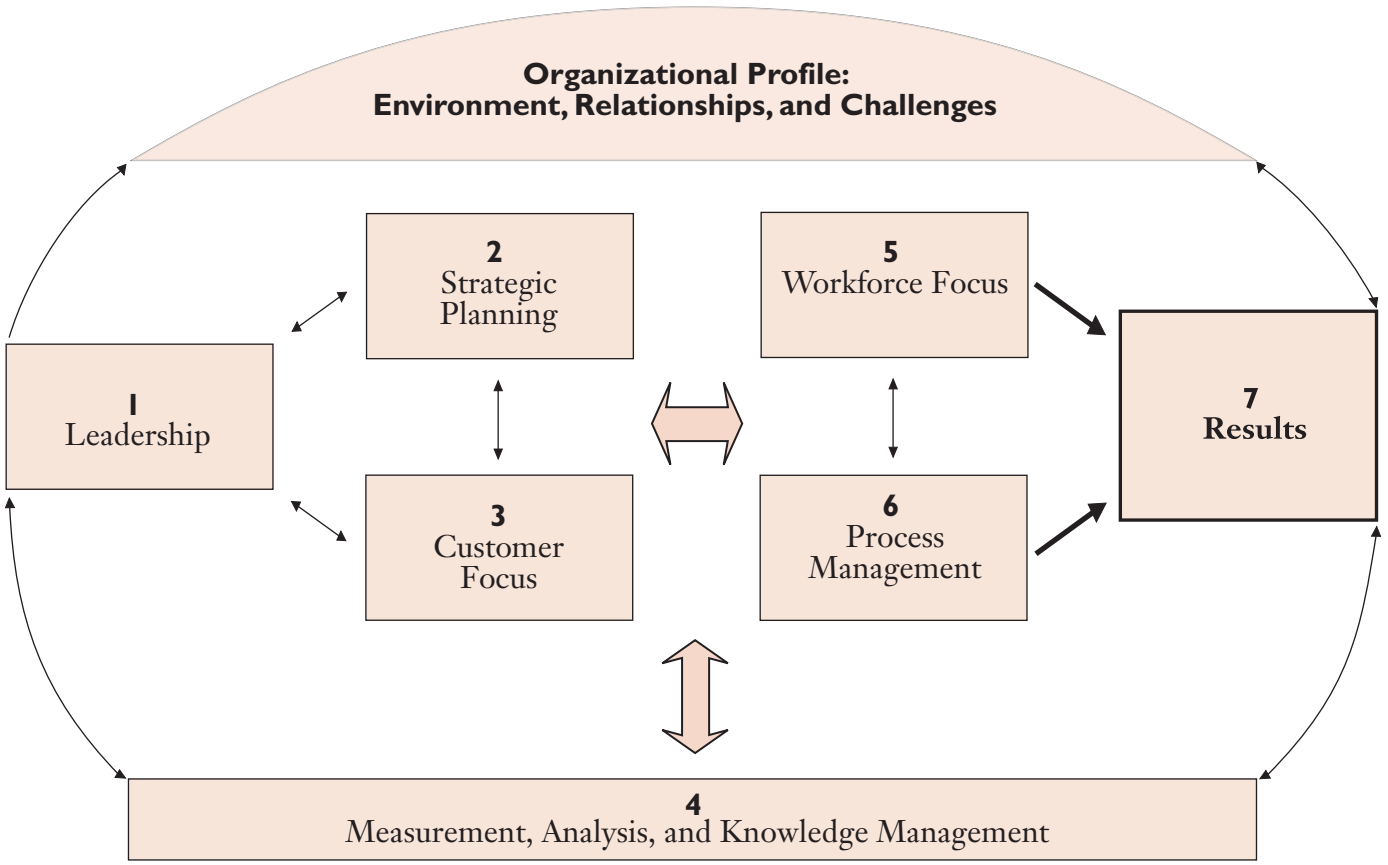
Business/nonprofit and health care organizations should use the appropriate Criteria booklets for their respective sectors. See pages 77–78 for ordering information.

If you plan to apply for the Award in 2009 or 2010, you also will need the *Baldrige Award Application Forms*, which can be downloaded at www.baldrige.nist.gov/Award_Application.htm.

The Award application process consists of two steps: the first is to provide a completed Eligibility Certification Package, and the second is to submit a completed Award Application Package. See pages 74–75 for due dates and other information.

We are easy to reach. Our Web site is www.baldrige.nist.gov.

Baldrige Education Criteria for Performance Excellence Framework
A Systems Perspective



Education Criteria for Performance Excellence Framework

The requirements of the Education Criteria for Performance Excellence are embodied in seven Categories, as follows:

1. **Leadership**
2. **Strategic Planning**
3. **Customer Focus**
4. **Measurement, Analysis, and Knowledge Management**
5. **Workforce Focus**
6. **Process Management**
7. **Results**

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

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

Organizational Profile

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

System Operations

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

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

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

All actions point toward Results—a composite of student, stakeholder, market and financial, budgetary, and internal operational performance results, including workforce, leadership, governance, and societal responsibility results.

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

System Foundation

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

Criteria Structure

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

Items

There are 18 Items, each focusing on a major requirement. Item titles and point values are given on page 3. The Item format is shown on page 31.

Areas to Address

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

2007 Malcolm Baldrige National Quality Award Recipients



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President George W. Bush with representatives of the 2007 Malcolm Baldrige National Quality Award recipients: the City of Coral Springs, Florida; Mercy Health System; PRO-TEC Coating Company; Sharp HealthCare; and the U.S. Army Armament Research, Development and Engineering Center (ARDEC). From left to right: Eric Franks (back row), Rowland McClellan (front row), Kathleen S. Harris, W. Paul Worstell (back row), Nancy G. Pratt, Norihiro Nakajima (back row), Javon R. Bea, Michael W. Murphy (back row), President Bush, Daniel L. Gross (back row), Scott J. Brook, Vincent M. Boccard, Michael S. Levinson (back row), Joseph A. Lannon, Col. Russell J. Hrdy, and Dean G. Popps.

America's economic strength depends on industry's ability to improve productivity and quality and to remain on the cutting edge of technology, and that's why the Malcolm Baldrige National Quality Award is so important.

— Ronald W. Reagan, 40th President of the United States

The potential of this nation is as boundless as the imagination and drive of the American people. . . . Quality management is not just a step. It must be a new style of working. Even a new style of thinking. The dedication to quality and excellence is more than good business; it's a way of life.

— George H. W. Bush, 41st President of the United States

The Malcolm Baldrige National Quality Award, which highlights customer satisfaction, workforce empowerment, and increased productivity, has come to symbolize America's commitment to excellence.

— William J. Clinton, 42nd President of the United States

We are seeing some challenges and some changes in American business, American enterprise, but [the Malcolm Baldrige National Quality Award] is a reminder of things that must never change: the passion for excellence, the drive to innovate, the hard work that goes with any successful enterprise.

— George W. Bush, 43rd President of the United States

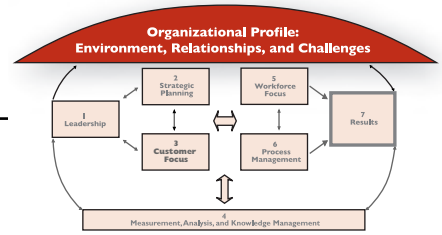
P	**Preface: Organizational Profile**		
	P.1 Organizational Description		
	P.2 Organizational Situation		
Categories and Items			**Point Values**
1	**Leadership**		**120**
	1.1 Senior Leadership	70	
	1.2 Governance and Societal Responsibilities	50	
2	**Strategic Planning**		**85**
	2.1 Strategy Development	40	
	2.2 Strategy Deployment	45	
3	**Customer Focus**		**85**
	3.1 Customer Engagement	40	
	3.2 Voice of the Customer	45	
4	**Measurement, Analysis, and Knowledge Management**		**90**
	4.1 Measurement, Analysis, and Improvement of Organizational Performance	45	
	4.2 Management of Information, Knowledge, and Information Technology	45	
5	**Workforce Focus**		**85**
	5.1 Workforce Engagement	45	
	5.2 Workforce Environment	40	
6	**Process Management**		**85**
	6.1 Work Systems	35	
	6.2 Work Processes	50	
7	**Results**		**450**
	7.1 Student Learning Outcomes	100	
	7.2 Customer-Focused Outcomes	70	
	7.3 Budgetary, Financial, and Market Outcomes	70	
	7.4 Workforce-Focused Outcomes	70	
	7.5 Process Effectiveness Outcomes	70	
	7.6 Leadership Outcomes	70	
	TOTAL POINTS		**1,000**

Note: The Scoring System used with the Criteria Items in a Baldrige assessment can be found on pages 69–71.

The Importance of Beginning With Your Organizational Profile

Your Organizational Profile is critically important because

- it is the most appropriate starting point for self-assessment and for writing an application;
- it helps you identify potential gaps in key information and focus on key performance requirements and results;
- it is used by the Examiners and Judges in application review, including the site visit, to understand your organization and what you consider important (you will be assessed using the Criteria requirements in relation to your organization's environment, relationships, influences, and challenges, as presented in your Organizational Profile); and
- it also may be used by itself for an initial self-assessment. If you identify topics for which conflicting, little, or no information is available, it is possible that the Organizational Profile can serve as your complete assessment, and you can use these topics for action planning.



P Preface: Organizational Profile

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

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

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

Within your response, include answers to the following questions:

a. Organizational Environment

(1) What are your organization's main EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES? What are the delivery mechanisms used to provide your EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES?

(2) What are the KEY characteristics of your organizational culture? What are your stated PURPOSE, VISION, VALUES, and MISSION? What are your organization's CORE COMPETENCIES and their relationship to your MISSION?

(3) What is your WORKFORCE profile? What are your WORKFORCE groups and SEGMENTS? What are their education levels? What are the KEY factors that motivate them to engage in accomplishing your MISSION? What are your organization's WORKFORCE and job DIVERSITY, organized bargaining units, KEY benefits, and special health and safety requirements?

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

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

b. Organizational Relationships

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

(2) What are your KEY market SEGMENTS, student SEGMENTS, and STAKEHOLDER groups, as appropriate? What are their KEY requirements and expectations for your PROGRAMS, OFFERINGS, student and STAKEHOLDER support SERVICES and operations? What are the differences in these requirements and expectations among market SEGMENTS, student groups, and STAKEHOLDER groups?

(3) What are your KEY types of suppliers, PARTNERS, and COLLABORATORS? What role do these suppliers, PARTNERS, and COLLABORATORS play in your WORK SYSTEMS and in the delivery of your EDUCATIONAL PROGRAMS, OFFERINGS, and student and STAKEHOLDER support SERVICES? What are your KEY mechanisms for communicating and managing relationships with suppliers, PARTNERS, and COLLABORATORS? What role, if any, do these groups play in your organizational INNOVATION PROCESSES? What are your KEY requirements for your suppliers?

Notes:

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

N2. "Education" should be interpreted broadly. "Educational programs, offerings, and services" (P.1a[1]) may include courses (credit and noncredit), research, outreach, cooperative projects and programs, and supplemental educational services. Mechanisms for delivery of educational programs and offerings to your students and stakeholders might be direct or through partners or collaborators. Coordination of design and delivery processes should involve representatives of all work units and individuals who take part in delivery and whose performance affects overall education outcomes. This might include groups such as faculty in feeder and receiving programs; academic staff members; faculty from different departments, disciplines, or levels; and social service, advising, or counseling staff members.

N3. "Core competencies" (P.1a[2]) refers to your organization's areas of greatest expertise. Your organization's core competencies are those strategically important capabilities that are central to fulfilling your mission or provide an advantage in your education. Core competencies frequently are challenging for competitors or suppliers and partners to imitate and provide a sustainable competitive advantage.

N4. The terms "suppliers" and "partners" refer to providers of student services such as social services, before-/after-school day care, external bookstores, and transportation; partners such as future employers of students; and suppliers of goods for operations such as computing, photocopying, and grounds maintenance.

N5. Workforce groups and segments (including organized bargaining units) (P.1a[3]) might be based on the type of employment or contract reporting relationship, location, work environment, family-friendly policies, or other factors.

N6. Many education organizations rely heavily on volunteers to accomplish their work. These organizations should include volunteers in their discussion of their workforce (P.1a[3]).

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

N8. Student segments and stakeholder groups (P.1b[2]) might be based on common expectations, behaviors, preferences, or profiles. Within a group, there may be segments based on differences and commonalities within the group. Your markets might be subdivided into market segments based on educational programs, offerings, services, or features; geography; volume; or other factors that your organization uses to define related market characteristics.

N9. Student segment, stakeholder group, and market segment requirements (P.1b[2]) might include special accommodation, customized curricula, safety, security, reduced class size, multilingual services, customized degree requirements, student advising, dropout recovery programs, administrative cost reductions, and electronic communication. Stakeholder group requirements might include socially responsible behavior and community service.

N10. Communication mechanisms (P.1b[3]) should be two-way and in understandable language, and they might be in person, via e-mail, Web-based, or by telephone. For many organizations, these mechanisms may change as student, stakeholder, and education community requirements change.

For additional description of this Item, see page 35.

Information for Understanding All Criteria Items

For definitions of key terms presented throughout the Education Criteria and Scoring Guidelines text in SMALL CAPS/SANS SERIF, see the Glossary of Key Terms on pages 59–68.

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

The Items in the Baldrige Education Criteria are divided into three groups: the *Preface*, which defines your organizational environment; Categories 1–6, which define your organization's *Processes*; and Category 7, which contains your *Results* for your organization's processes.

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

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

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

Within your response, include answers to the following questions:

a. Competitive Environment

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

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

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

b. Strategic Context

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

c. PERFORMANCE Improvement System

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

Notes:

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

N2. Strategic challenges and advantages (P.2b) might relate to technology; educational programs, offerings, and services; your operations; your student and stakeholder support; your education subsector; globalization; the value added by your community stakeholders, partners, and collaborators; and people.

N3. Performance improvement (P.2c) is an assessment dimension used in the Scoring System to evaluate the maturity of organizational approaches and deployment (see pages 69–71). This question is intended to help you and the Baldrige Examiners set an overall context for your approach to performance improvement. Approaches to performance improvement that are compatible with the systems approach provided by the Baldrige framework might include implementing Plan-Do-Study-Act improvement cycles; completing accreditation self-studies; applying nationally validated systems to improve teaching performance; performing independent institutional, departmental, or program assessments; and using other process improvement and innovation tools. A growing number of organizations have implemented specific processes for meeting goals in program, offering, and service innovation.

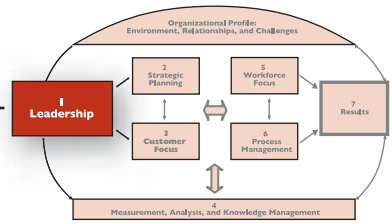
N4. Education organizations exist in a competitive environment; aside from the direct competition for students, they often must compete with other organizations to secure financial and human resources. This competition may involve other education organizations, as in the competition for grant funding or the opportunity to provide supplemental services. In the case of public education organizations, competition may involve other public agencies or departments, as in the competition for scarce budget resources.

For additional description of this Item, see page 36.

Page Limit

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

1 Leadership (120 pts.)



The ***Leadership*** Category examines HOW your organization's SENIOR LEADERS' personal actions guide and sustain your organization. Also examined are your organization's GOVERNANCE system and HOW your organization fulfills its legal, ethical, and societal responsibilities and supports its KEY communities.

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

Process

Describe HOW SENIOR LEADERS' actions guide and sustain your organization. Describe HOW SENIOR LEADERS communicate with your WORKFORCE and encourage HIGH PERFORMANCE.

Within your response, include answers to the following questions:

a. VISION, VALUES, and MISSION

(1) HOW do SENIOR LEADERS set organizational VISION and VALUES? HOW do SENIOR LEADERS DEPLOY your organization's VISION and VALUES through your LEADERSHIP SYSTEM, to the WORKFORCE, to KEY suppliers and PARTNERS, and to students and STAKEHOLDERS, as appropriate? HOW do SENIOR LEADERS' personal actions reflect a commitment to the organization's VALUES?

(2) HOW do SENIOR LEADERS personally promote an organizational environment that fosters, requires, and results in legal and ETHICAL BEHAVIOR?

(3) HOW do SENIOR LEADERS create a SUSTAINABLE organization? HOW do they create an environment for organizational PERFORMANCE improvement, the accomplishment of your MISSION and STRATEGIC OBJECTIVES, INNOVATION, competitive or role-model PERFORMANCE leadership, and organizational agility? HOW do they create an environment for organizational and WORKFORCE LEARNING? HOW do they develop and enhance their personal leadership skills? HOW do they participate in organizational LEARNING, in succession planning, and in the development of future organizational leaders?

b. Communication and Organizational PERFORMANCE

(1) HOW do SENIOR LEADERS communicate with and engage the entire WORKFORCE? HOW do SENIOR LEADERS encourage frank, two-way communication throughout the organization? HOW do SENIOR LEADERS communicate KEY decisions? HOW do they take an active role in reward and recognition programs to reinforce HIGH PERFORMANCE and a focus on the organization, as well as on students and STAKEHOLDERS?

(2) HOW do SENIOR LEADERS create a focus on action to accomplish the organization's objectives, improve PERFORMANCE, and attain its VISION? What PERFORMANCE MEASURES do SENIOR LEADERS regularly review to identify needed actions? HOW do SENIOR LEADERS include a focus on creating and balancing VALUE for students and other STAKEHOLDERS in their organizational PERFORMANCE expectations?

Notes:

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

N2. A sustainable organization (1.1a[3]) is capable of addressing current organizational needs and possesses the agility and strategic management to prepare successfully for its future organizational and market environment. In this context, the concept of innovation includes both technological and organizational innovation to succeed in the future. A sustainable organization also ensures a safe and secure environment for the workforce and other key stakeholders. An organization's contributions to environmental, social, and economic systems beyond those of its workforce and immediate stakeholders are considered in its societal responsibilities (Item 1.2).

For additional description of this Item, see pages 36–37.

N3. A focus on action (1.1b[2]) considers the strategy, the workforce, the work systems, and the hard assets of your organization. It includes both innovation and ongoing improvements for student learning that may be achieved through such actions as implementing major education initiatives, integrating new technology, refining teaching methods or the curriculum design and development process, or incorporating faculty and staff training and development initiatives. It also includes the actions to accomplish your organization's strategic objectives.

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

N5. For those organizations that rely on volunteers to accomplish their work, responses to 1.1b(1) also should discuss your efforts to communicate with and engage the volunteer workforce.

1.2 Governance and Societal Responsibilities: How do you govern and fulfill your societal responsibilities? (50 pts.)

Process

Describe your organization's GOVERNANCE system and APPROACH to leadership improvement. Describe HOW your organization assures legal and ETHICAL BEHAVIOR, fulfills its societal responsibilities, and supports its KEY communities.

Within your response, include answers to the following questions:

a. Organizational GOVERNANCE

(1) HOW does your organization review and achieve the following KEY aspects of your GOVERNANCE system?

- accountability for management's actions
- fiscal accountability
- transparency in operations and selection of and disclosure policies for GOVERNANCE board/policymaking body members, as appropriate
- independence in internal and external audits
- protection of STAKEHOLDER and stockholder interests, as appropriate

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

b. Legal and ETHICAL BEHAVIOR

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

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

c. Societal Responsibilities and Support of KEY Communities

(1) HOW do you consider societal well-being and benefit as part of your strategy and daily operations? HOW do you consider the well-being of environmental, social, and economic systems to which your organization does or may contribute?

(2) HOW does your organization actively support and strengthen your KEY communities? What are your KEY communities? HOW do you identify these communities and determine areas for organizational involvement, including areas related to your CORE COMPETENCIES? HOW do your SENIOR LEADERS, in concert with your WORKFORCE, contribute to improving these communities?

Notes:

N1. Societal responsibilities in areas critical to your organization's ongoing market success also should be addressed in Strategy Development (Item 2.1) and in Process Management (Category 6). Key results, such as results of regulatory, safety, accreditation, and legal compliance (including the results of mandated financial audits); reductions in environmental impacts through use of "green" technology, resource-conserving activities, or other means; or improvements in social impacts through organizational community involvement activities, should be reported as Leadership Outcomes (Item 7.6).

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

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

N4. You should report in 1.2b(1), as appropriate, how you address the legal and regulatory requirements and standards that govern your fundraising activities.

N5. Measures or indicators of ethical behavior (1.2b[2]) might include instances of ethical conduct breaches and responses, survey results on workforce perceptions of organizational ethics, ethics hotline use, implementation of institutional review board (IRB) principles in cases of research involving human and animal subjects, and results of ethics reviews and audits. They also might include evidence that policies, public disclosure of information, staff training, and monitoring systems are in place with respect to conflicts of interest, acceptable use of technology, use of active funds, or appropriate selection of vendors. Other measures or indicators might include the integrity of testing, workforce accreditation, and equal access to resources.

For additional description of this Item, see page 37.

N6. Areas of societal contributions and support of key communities appropriate for inclusion in 1.2c might include your efforts to strengthen local community services; community education; the environment, including collaborative activities to conserve the environment or natural resources; and practices of professional associations.

N7. The health and safety of your workforce are not addressed in Item 1.2; you should address these workforce factors in Item 5.2.

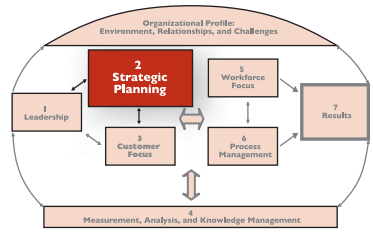
Assessment of Item Responses

Item responses are assessed by considering the Criteria Item requirements; your key organization factors presented in your Organizational Profile; and the maturity of your approaches, breadth of their deployment, and strength of your improvement process and results relative to the Scoring System. Refer to the Scoring System information on pages 69–71.

We felt that the Baldrige process was best to meet our mission statement . . . that all students can and will learn. We passionately believe that, and we looked for a model that would get us to that level of achievement. The Baldrige process works for us.

— Richard E. Maurer, Superintendent of 2001 Award recipient
Pearl River School District

2 Strategic Planning (85 pts.)



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

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

Describe HOW your organization establishes its strategy to address its STRATEGIC CHALLENGES and leverage its STRATEGIC ADVANTAGES. Summarize your organization's KEY STRATEGIC OBJECTIVES and their related GOALS.

Within your response, include answers to the following questions:

a. Strategy Development PROCESS

(1) HOW does your organization conduct its strategic planning? What are the KEY PROCESS steps? Who are the KEY participants? HOW does your PROCESS identify potential blind spots? HOW do you determine your CORE COMPETENCIES, STRATEGIC CHALLENGES, and STRATEGIC ADVANTAGES (identified in your Organizational Profile)? What are your short- and longer-term planning time horizons? HOW are these time horizons set? HOW does your strategic planning PROCESS address these time horizons?

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

- your organization's strengths, weaknesses, opportunities, and threats
- early indications of risks or major shifts in technology; EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES; student and community demographics; markets; student and STAKEHOLDER preferences; competition; or the regulatory environment
- long-term organizational SUSTAINABILITY, including needed CORE COMPETENCIES
- your ability to execute the strategic plan

b. STRATEGIC OBJECTIVES

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

(2) HOW do your STRATEGIC OBJECTIVES address your STRATEGIC CHALLENGES and STRATEGIC ADVANTAGES? HOW do your STRATEGIC OBJECTIVES address your opportunities for INNOVATION in EDUCATIONAL PROGRAMS, OFFERINGS, SERVICES, and operations and your business model? HOW do your STRATEGIC OBJECTIVES address current and future CORE COMPETENCIES? HOW do you ensure that your STRATEGIC OBJECTIVES balance short- and longer-term challenges and opportunities? HOW do you ensure that your STRATEGIC OBJECTIVES consider and balance the needs of all students and KEY STAKEHOLDERS?

Notes:

N1. "Strategy development" refers to your organization's approach (formal or informal) to preparing for the future. Strategy development might utilize various types of forecasts, projections, options, scenarios, knowledge (see 4.2a for relevant organizational knowledge), or other approaches to envisioning the future for purposes of decision making and resource allocation. Strategy development might involve participation by key suppliers, partners, students, and stakeholders.

N2. 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 services and programs; redirection of resources; modifications in instructional design; use of technology; changes in testing or adoption of standards; services to new, changing, and special student populations; new core competencies; geographic challenges; grants and endowments; research priorities; new partnerships and alliances; and new faculty and staff or volunteer relationships. It also might be directed toward meeting a new community or public need.

N3. Your organization's strengths, weaknesses, opportunities, and threats (2.1a[2]) should address all factors that are key to your organization's future success, including the following, as appropriate: learning-centered education to ensure student achievement; your student and stakeholder requirements, expectations, and opportunities; your opportunities for innovation and role-model performance; your core competencies; your competitive environment and your performance relative to competitors and comparable organizations; education reform; technological and other key innovations or changes

that might affect your educational programs and services and how you operate, as well as the rate of that innovation; your workforce and other resource needs; your ability to capitalize on diversity; your opportunities to redirect resources to higher-priority programs, offerings, services, or areas; financial, budgetary, societal, ethical, regulatory, technological, security, 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; the requirements, strengths, and weaknesses of partners and suppliers; and other factors unique to your organization.

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

N5. Strategic objectives that address key challenges and advantages (2.1b[2]) might include rapid response, customization of educational offerings, partnerships, workforce capability and capacity, joint ventures, understanding a changing education market, rapid innovation, and information management. Responses to Item 2.1 should focus on your specific challenges and advantages—those most important to your students' success and to strengthening your organization's overall performance.

N6. Item 2.1 addresses your overall organizational strategy, which might include changes in educational programs, offerings, and services, and in customer engagement processes. However, the Item does not address educational program or service design, or customer engagement strategies; you should address these factors in Items 3.1 and 6.1, as appropriate.

For additional description of this Item, see pages 38–39.

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

Describe HOW your organization converts its STRATEGIC OBJECTIVES into ACTION PLANS. Summarize your organization's ACTION PLANS, HOW they are DEPLOYED, and KEY ACTION PLAN PERFORMANCE MEASURES or INDICATORS. Project your organization's future PERFORMANCE relative to KEY comparisons on these PERFORMANCE MEASURES or INDICATORS.

Within your response, include answers to the following questions:

a. ACTION PLAN Development and DEPLOYMENT

(1) What are your KEY short- and longer-term ACTION PLANS? What are the KEY planned changes, if any, in your PROGRAMS, OFFERINGS, AND SERVICES; your students, STAKEHOLDERS, and markets; and how you will operate?

(2) HOW do you develop and DEPLOY ACTION PLANS throughout the organization to your WORKFORCE and to KEY suppliers, PARTNERS, and COLLABORATORS, as appropriate, to achieve your KEY STRATEGIC OBJECTIVES? HOW do you ensure that the KEY outcomes of your ACTION PLANS can be sustained?

(3) HOW do you ensure that financial and other resources are available to support the accomplishment of your ACTION PLANS, while meeting current obligations? HOW do you allocate these resources to support the accomplishment of the plans? HOW do you assess and manage the financial and other risks associated with the plans?

(4) HOW do you establish and DEPLOY modified ACTION PLANS if circumstances require a shift in plans and rapid execution of new plans?

(5) What are your KEY human resource or workforce plans to accomplish your short- and longer-term STRATEGIC OBJECTIVES and ACTION PLANS? HOW do the plans address the potential impacts on people in your WORKFORCE and any potential changes to WORKFORCE CAPABILITY and CAPACITY needs?

(6) What are your KEY PERFORMANCE MEASURES or INDICATORS for tracking the achievement and EFFECTIVENESS of your ACTION PLANS? HOW do you ensure that your overall ACTION PLAN measurement system reinforces organizational ALIGNMENT? HOW do you ensure that the measurement system covers all KEY DEPLOYMENT areas, student SEGMENTS, and STAKEHOLDERS?

b. PERFORMANCE PROJECTION

For the KEY PERFORMANCE MEASURES or INDICATORS identified in 2.2a(6), what are your PERFORMANCE PROJECTIONS for both your short- and longer-term planning time horizons? HOW are these PROJECTIONS determined? How does your projected PERFORMANCE compare with the projected PERFORMANCE of your competitors or comparable organizations? How does it compare with KEY BENCHMARKS, GOALS, and past PERFORMANCE, as appropriate? If there are current or projected gaps in PERFORMANCE against your competitors or comparable organizations, HOW will you address them?

Notes:

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

- Item 1.1 for how your senior leaders set and communicate organizational direction;
- Category 3 for gathering student, stakeholder, and market knowledge as input to your strategy and action plans and for deploying action plans;
- Category 4 for measurement, analysis, and knowledge management to support your key information needs, to support your development of strategy, to provide an effective basis for your performance measurements, and to track progress relative to your strategic objectives and action plans;
- Category 5 for meeting your workforce capability and capacity needs, for workforce development and learning system design and needs, and for implementing workforce-related changes resulting from action plans;
- Category 6 for changes to core competencies, work systems, and work process requirements resulting from your action plans; and
- Item 7.6 for specific accomplishments relative to your organizational strategy and action plans.

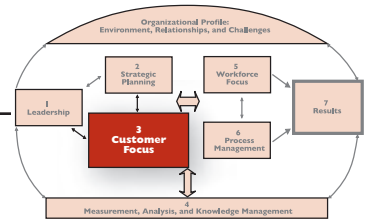
N2. Measures and indicators of projected performance (2.2b) might include changes resulting from significant anticipated innovations in educational programs, services, and technology; the redirection of resources; the effectiveness of research and services; the improved performance of administrative and other support functions; improvements in safety; and new legislative mandates or legal requirements.

For additional description of this Item, see page 39.

I see the Baldrige process as a powerful set of mechanisms for disciplined people engaged in disciplined thought and taking disciplined action to create great organizations that produce exceptional results.

—Jim Collins, author of *Good to Great: Why Some Companies Make the Leap . . . and Others Don't*

3 Customer Focus (85 pts.)



The ***Customer Focus*** Category examines HOW your organization engages its students and STAKEHOLDERS for long-term market success. This ENGAGEMENT strategy includes HOW your organization builds a student- and stakeholder-focused culture. Also examined is HOW your organization listens to the VOICE OF ITS CUSTOMERS (your students and STAKEHOLDERS) and uses this information to improve and identify opportunities for INNOVATION.

3.1 Customer Engagement: How do you engage students and stakeholders to serve their needs and build relationships? (40 pts.)

Process

Describe HOW your organization determines EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES to support their use by students and STAKEHOLDERS. Describe also HOW your organization builds a student- and STAKEHOLDER-focused culture.

Within your response, include answers to the following questions:

a. EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES, and Student and STAKEHOLDER Support

(1) HOW do you identify and innovate EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES to meet the requirements and exceed the expectations of your students, STAKEHOLDERS, and market SEGMENTS (identified in your Organizational Profile)? HOW do you identify and innovate EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES to attract new students and STAKEHOLDERS and provide opportunities for expanding relationships with existing students and STAKEHOLDERS, as appropriate?

(2) HOW do you determine your KEY mechanisms to support use of your EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES and enable students and STAKEHOLDERS to seek information and otherwise utilize your PROGRAMS, OFFERINGS, AND SERVICES? What are your KEY means of student and STAKEHOLDER support, including your KEY communication mechanisms? How do they vary for different students, STAKEHOLDERS, or market SEGMENTS? How do you determine your students' and STAKEHOLDER' KEY support requirements? HOW do you ensure that student and STAKEHOLDER support requirements are DEPLOYED to all people and PROCESSES involved in student and STAKEHOLDER support?

(3) HOW do you keep your APPROACHES for identifying and innovating EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES and for providing student and STAKEHOLDER support current with your organization's needs and directions?

b. Building a Student and STAKEHOLDER Culture

(1) HOW do you create an organizational culture that ensures a consistently positive student and STAKEHOLDER experience and contributes to CUSTOMER ENGAGEMENT? HOW do your WORKFORCE PERFORMANCE management system and your WORKFORCE and leader development systems reinforce this culture?

(2) HOW do you build and manage relationships with students and STAKEHOLDERS to

- acquire new students and STAKEHOLDERS;
- meet their requirements and exceed their expectations at each stage of their relationship with you; and
- increase their ENGAGEMENT with you?

(3) HOW do you keep your APPROACHES for creating a student- and STAKEHOLDER-focused culture and building student and STAKEHOLDER relationships current with organizational needs and directions?

Notes:

N1. "Customer engagement" refers to your students' and stakeholders' investment in your educational programs, offerings, and services. Characteristics of engagement include retention and loyalty, students' and stakeholders' willingness to make an effort to choose and remain with your education organization, and their willingness to actively advocate for and recommend your organization and its programs, offerings, and services.

N2. "Educational programs, offerings, and services" (3.1a[1]) refers to all the important characteristics of programs, offerings, and services available throughout each stage of students' and stakeholders' relationships with you. This includes the period from students' initial decisions to enroll in your organization through the time of their departures. The focus should be on features that affect students' and stakeholders' preferences, loyalty, general and special needs, and

requirements. These features might include curricular focus, student placement following completion of the educational goal or training objective, workforce composition, extracurricular activities, or tuition and associated costs. Key programs, offerings, and services also might take into account how transactions occur and factors such as student and stakeholder data privacy and security. Your results on performance relative to key educational program, offering, and service features identified as student requirements should be reported in Item 7.1, and those concerning students' and stakeholders' perceptions and actions (outcomes) should be reported in Item 7.2.

For additional description of this Item, see page 40.

N3. The goal of student and stakeholder support (3.1a[2]) is to make your organization easy to receive educational programs, offerings, and services from and responsive to your students' and stakeholders' expectations.

N4. Student and stakeholder relationship building (3.1b[2]) might include the development of partnerships or alliances with stakeholders.

Baldrige really gave us a framework to measure our entire system rather than just look at student test results on a couple of content areas.

—Bob Crumley, Superintendent of 2001 Award recipient Chugach School District

3.2 Voice of the Customer: How do you obtain and use information from your students and stakeholders? (45 pts.)

Process

Describe HOW your organization listens to your students and STAKEHOLDERS and acquires satisfaction and dissatisfaction information. Describe also HOW student and STAKEHOLDER information is used to improve your market success.

Within your response, include answers to the following questions:

a. Student and STAKEHOLDER Listening

(1) HOW do you listen to students and STAKEHOLDERS to obtain actionable information and to obtain feedback on your EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES, and your student and STAKEHOLDER support? How do your listening methods vary for different students, STAKEHOLDER groups, or market SEGMENTS? How do your listening methods vary across the stages of their relationships with you? HOW do you follow up with students and STAKEHOLDERS on the quality of EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES; student and STAKEHOLDER support; and transactions to receive immediate and actionable feedback?

(2) HOW do you listen to former students and STAKEHOLDERS, potential students and STAKEHOLDERS, and students and STAKEHOLDERS of competitors to obtain actionable information and to obtain feedback on your EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES; STAKEHOLDER support; and transactions, as appropriate?

(3) HOW do you manage student and STAKEHOLDER complaints? HOW does your student and STAKEHOLDER complaint management PROCESS ensure that complaints are resolved promptly and EFFECTIVELY? HOW does your complaint management PROCESS enable you to recover your students' and STAKEHOLDERS' confidence, and enhance their satisfaction and ENGAGEMENT? HOW does your complaint management system enable aggregation and ANALYSIS of complaints for use in improvement throughout your organization and by your PARTNERS, as appropriate?

b. Determination of Student and STAKEHOLDER Satisfaction and ENGAGEMENT

(1) HOW do you determine student and STAKEHOLDER satisfaction and ENGAGEMENT? How do these determination methods differ among student and STAKEHOLDER groups and market SEGMENTS, as appropriate? HOW do your measurements capture actionable information for use in exceeding your students' and STAKEHOLDERS' expectations and securing their ENGAGEMENT? HOW do your determination methods enable aggregation and ANALYSIS of data for use in improvement throughout your organization and by your PARTNERS, as appropriate?

(2) HOW do you obtain and use information on your students' and STAKEHOLDERS' satisfaction relative to their satisfaction with your competitors? HOW do you obtain and use information on your students' and STAKEHOLDERS' satisfaction relative to the satisfaction levels of students and STAKEHOLDERS of other organizations delivering similar educational services or to industry BENCHMARKS, as appropriate?

(3) HOW do you determine student and STAKEHOLDER dissatisfaction? HOW do your measurements capture actionable information for use in meeting your students' and STAKEHOLDERS' requirements and exceeding their expectations in the future? HOW do your determination methods enable aggregation and ANALYSIS of data for use in improvement throughout your organization and by your PARTNERS, as appropriate?

c. ANALYSIS and Use of Student and STAKEHOLDER Data

(1) HOW do you use information on students, STAKEHOLDERS, and the market, and on PROGRAMS, OFFERINGS, AND SERVICES to identify current and anticipate future student and STAKEHOLDER groups and market SEGMENTS? HOW do you consider students and STAKEHOLDERS of competitors and other potential students and STAKEHOLDERS, and markets in this segmentation? HOW do you determine which students, STAKEHOLDER groups, and market SEGMENTS to pursue for current and future PROGRAMS, OFFERINGS, AND SERVICES?

(2) HOW do you use information on students, STAKEHOLDERS, and the market, and on PROGRAMS, OFFERINGS, AND SERVICES to identify and anticipate KEY student and STAKEHOLDER requirements (including PROGRAM, OFFERING, AND SERVICE features) and changing expectations and their relative importance to students' and STAKEHOLDERS' enrollment, purchasing, or relationship decisions? HOW do you identify and anticipate how these requirements and changing expectations will differ across students, STAKEHOLDER groups, and market SEGMENTS, and across all stages of their relationships with you?

(3) How do you use information on students, STAKEHOLDERS, and the market, and on PROGRAMS, OFFERINGS, AND SERVICES, to improve marketing, build a more student- and STAKEHOLDER-focused culture, and identify opportunities for INNOVATION?

(4) How do you keep your APPROACHES for student and STAKEHOLDER listening; determination of student and STAKEHOLDER satisfaction, dissatisfaction, and ENGAGEMENT; and use of student and STAKEHOLDER data current with your organization's needs and directions?

Notes:

N1. The "voice of the customer" refers to your process for capturing student- and stakeholder-related information. Voice-of-the-customer processes are intended to be proactive and continuously innovative to capture stated, unstated, and anticipated student and stakeholder requirements, expectations, and desires. The goal is to achieve customer engagement. Listening to the voice of the customer might include gathering and integrating various types of student and stakeholder data, such as survey data, focus group findings, and complaint data that affect students' and stakeholders' enrollment and engagement decisions.

N2. Student and stakeholder listening information could include data about specific educational program and service features, customer engagement data, students' and stakeholders' future actions (e.g., transfers or positive referrals), and complaint data. "Actionable information" refers to specific aspects of your programs, offerings, and services and interactions that affect students' and stakeholders' future relationships with your organization.

For additional description of this Item, see pages 40–41.

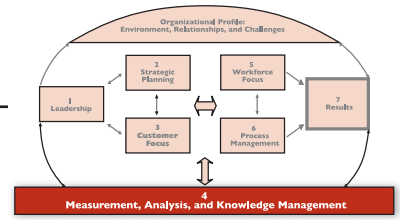
N3. Determining student and stakeholder satisfaction and dissatisfaction (3.2b) might include the use of any or all of the following: surveys, formal and informal feedback, dropout rates, absenteeism rates, student conflict data, and complaints. Information might be gathered on the Web, through personal contact or a third party, or by mail. Determining student and stakeholder dissatisfaction should be seen as more than reviewing low student and stakeholder satisfaction scores. Dissatisfaction should be independently determined to identify root causes of dissatisfaction and enable a systematic remedy to avoid future dissatisfaction.

N4. Other organizations providing similar educational services (3.2b[2]) might include organizations that are not competitors but provide similar services in other geographic areas or to different populations.

The Baldrige Award is so important to our nation … because, really, by continuing to learn America can continue to lead.

—John O. Grettenberger, General Manager of 1990 Award recipient
Cadillac Motor Car Company

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



The ***Measurement, Analysis, and Knowledge Management*** Category examines HOW your organization selects, gathers, analyzes, manages, and improves its data, information, and KNOWLEDGE ASSETS and HOW it manages its information technology. The Category also examines HOW your organization reviews and uses reviews to improve its PERFORMANCE.

4.1 Measurement, Analysis, and Improvement of Organizational Performance: How do you measure, analyze, and then improve organizational performance? (45 pts.)

Process

Describe HOW your organization measures, analyzes, reviews, and improves student and operational PERFORMANCE through the use of data and information at all levels and in all parts of your organization.

Within your response, include answers to the following questions:

a. PERFORMANCE Measurement

(1) HOW do you select, collect, align, and integrate data and information for tracking daily operations and for tracking overall organizational PERFORMANCE, including progress relative to STRATEGIC OBJECTIVES and ACTION PLANS? What are your KEY organizational PERFORMANCE MEASURES, including KEY short-term and longer-term budgetary and financial MEASURES? How frequently are these MEASURES determined? HOW do you use these data and information to support organizational decision making and INNOVATION?

(2) HOW do you select and ensure the EFFECTIVE use of KEY comparative data and information to support operational and strategic decision making and INNOVATION?

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

b. PERFORMANCE ANALYSIS and Review

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

c. PERFORMANCE Improvement

HOW do you translate organizational PERFORMANCE review findings into priorities for continuous and breakthrough improvement and into opportunities for INNOVATION? HOW are these priorities and opportunities DEPLOYED to FACULTY, STAFF, other work groups, and functional-level operations throughout your organization to enable EFFECTIVE support for their decision making? When appropriate, HOW are the priorities and opportunities DEPLOYED to your feeder and/or receiving schools and to your suppliers, PARTNERS, and COLLABORATORS to ensure organizational ALIGNMENT?

Notes:

N1. Performance measurement (4.1a) is used in fact-based decision making for setting and aligning organizational directions and resource use at the classroom, departmental, key process, school/college, and organizational levels.

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

N3. Organizational performance reviews (4.1b) should be informed by organizational performance measurement, performance measures reported throughout your Criteria Item responses, and performance measures reviewed by senior leaders (1.1b[2]), and they should be guided by the strategic objectives and action plans described in Items 2.1 and 2.2. The reviews also might be informed by internal or external Baldrige assessments.

N4. Analysis (4.1b) includes examining performance trends; organizational, academic community, and technology projections; and comparisons, cause-effect relationships, and correlations. Analysis should support your performance reviews, help determine root causes, and help set priorities for resource use. Accordingly, analysis draws on all types of data: student, student group, school program, stakeholder, financial and market, operational, budgetary, and competitive/comparative.

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

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

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

4.2 Management of Information, Knowledge, and Information Technology: How do you manage your information, organizational knowledge, and information technology? (45 pts.)

Process

Describe HOW your organization ensures the quality and availability of needed data, information, software, and hardware for your WORKFORCE, students and STAKEHOLDERS, suppliers, PARTNERS, and COLLABORATORS. Describe HOW your organization builds and manages its KNOWLEDGE ASSETS.

Within your response, include answers to the following questions:

a. Data, Information, and Knowledge Management

(1) HOW do you ensure the following properties of your organizational data, information, and knowledge?

- accuracy
- integrity and reliability
- timeliness
- security and confidentiality

(2) HOW do you make needed data and information available? HOW do you make them accessible to your WORKFORCE, students, STAKEHOLDERS, suppliers, PARTNERS, and COLLABORATORS, as appropriate?

(3) HOW do you manage organizational knowledge to accomplish

- the collection and transfer of WORKFORCE knowledge;
- the transfer of relevant knowledge from and to students, STAKEHOLDERS, suppliers, PARTNERS, and COLLABORATORS;
- the rapid identification, sharing, and implementation of best practices; and
- the assembly and transfer of relevant knowledge for use in your strategic planning PROCESS.

b. Management of Information Resources and Technology

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

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

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

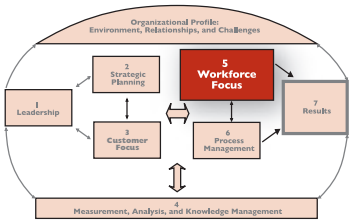
Notes:

N1. Data and information availability (4.2a[2]) is of growing importance as the Internet and school Web sites are used increasingly for student-school and stakeholder-school interactions and as intranets become more important as a major source of organization-wide communications.

N2. Data and information access (4.2a[2]) might be via electronic or other means.

For additional description of this Item, see pages 42–43.

5 Workforce Focus (85 pts.)



The ***Workforce Focus*** Category examines HOW your organization engages, manages, and develops your WORKFORCE to utilize its full potential in ALIGNMENT with your organization's overall MISSION, strategy, and ACTION PLANS. The Category examines your ability to assess WORKFORCE CAPABILITY and CAPACITY needs and to build a WORKFORCE environment conducive to HIGH PERFORMANCE.

5.1 Workforce Engagement: How do you engage your workforce to achieve organizational and personal success? (45 pts.)

Process

Describe HOW your organization engages, compensates, and rewards your WORKFORCE to achieve HIGH PERFORMANCE. Describe HOW members of your WORKFORCE, including leaders, are developed to achieve HIGH PERFORMANCE. Describe HOW you assess WORKFORCE ENGAGEMENT and use the results to achieve higher PERFORMANCE.

Within your response, include answers to the following questions:

a. WORKFORCE Enrichment

(1) HOW do you determine the KEY factors that affect WORKFORCE ENGAGEMENT? HOW do you determine the KEY factors that affect WORKFORCE satisfaction? HOW are these factors determined for different WORKFORCE groups and segments?

(2) HOW do you foster an organizational culture that is characterized by open communication, HIGH-PERFORMANCE WORK, and an engaged WORKFORCE? HOW do you ensure that your organizational culture benefits from the diverse ideas, cultures, and thinking of your WORKFORCE?

(3) HOW does your WORKFORCE PERFORMANCE management system support HIGH-PERFORMANCE WORK and WORKFORCE ENGAGEMENT? HOW does your WORKFORCE PERFORMANCE management system consider WORKFORCE compensation, reward, recognition, and incentive practices? HOW does your WORKFORCE PERFORMANCE management system reinforce a focus on students, STAKEHOLDERS, and the organization, as well as achievement of your ACTION PLANS?

b. WORKFORCE and Leader Development

(1) HOW does your LEARNING and development system address the following factors for your WORKFORCE and your leaders?

- your organization's CORE COMPETENCIES, STRATEGIC CHALLENGES, and accomplishment of its ACTION PLANS, both short-term and long-term
- organizational PERFORMANCE improvement and INNOVATION
- ethics and ethical business practices
- the breadth of development opportunities, including education, training, coaching, mentoring, and work-related experiences, as appropriate

(2) HOW does your LEARNING and development system address the following factors for your WORKFORCE?

- their LEARNING and development needs, including those that are self-identified and those identified by supervisors and managers
- the transfer of knowledge from departing or retiring workers
- the reinforcement of new knowledge and skills on the job

(3) HOW do you evaluate the EFFECTIVENESS and efficiency of your LEARNING and development systems?

(4) HOW do you manage EFFECTIVE career progression for your entire WORKFORCE? HOW do you accomplish EFFECTIVE succession planning for supervisor, administrator, and other leadership positions? HOW do you ensure that FACULTY AND STAFF are appropriately certified or licensed?

c. Assessment of Workforce Engagement

(1) How do you assess workforce engagement? What formal and informal assessment methods and measures do you use to determine workforce engagement and workforce satisfaction? How do these methods and measures differ across workforce groups and segments? How do you use other indicators, such as workforce retention, absenteeism, grievances, safety, and productivity to assess and improve workforce engagement?

(2) How do you relate your workforce engagement assessment findings to key organizational results reported in Category 7 to identify opportunities for improvement in both workforce engagement and organizational results?

Notes:

N1. "Workforce" refers to the people actively involved in accomplishing the work of your organization. It includes your organization's permanent, temporary, and part-time personnel, as well as any contract employees supervised by your organization. It includes team leaders, supervisors, faculty leaders, and administrators at all levels. People supervised by a contractor should be addressed in Category 6 as part of your larger work systems. For those education organizations that also rely on volunteers, "workforce" includes these volunteers, as appropriate.

N2. "Workforce engagement" refers to the extent of workforce commitment, both emotional and intellectual, to accomplishing the work, mission, and vision of the organization.

N3. The characteristics of "high-performance work" environments (5.1a[2] and 5.1a[3]) in which people do their utmost for the benefit of their students and stakeholders and for the success of the organization are key to understanding an engaged workforce. These characteristics are described in detail in the definition of "high-performance work" on page 62.

N4. Compensation, recognition, and related reward and incentive practices (5.1a[3]) include promotions and bonuses that might be based on performance, skills acquired, and other factors. In some education systems, compensation is set by law, regulation, or bargaining unit agreement. Since recognition can include monetary and nonmonetary, formal and informal, and individual and group mechanisms, reward and recognition systems do permit flexibility. Recognition systems for volunteers who contribute to the work of your organization should be included, as appropriate.

N5. Your organization may have unique considerations relative to workforce development, learning, and career progression. If this is the case, your response to 5.1b should include how you address these considerations.

N6. Identifying improvement opportunities (5.1c[2]) might draw on your workforce-focused results presented in Item 7.4 and might involve addressing workforce-related problems based on their impact on your organizational results reported in response to other Category 7 Items.

For additional description of this Item, see pages 43–44.

It is a privilege to accept [the Baldrige Award] on behalf of the Monfort College's faculty, staff, students, alumni, and friends. We are here because of their continued commitment to performance excellence and investment in the approach of viewing yesterday's performance as an opportunity for a better tomorrow.

—Joe F. Alexander, Dean of 2004 Award recipient Kenneth W. Monfort College of Business

5.2 Workforce Environment: How do you build an effective and supportive workforce environment? (40 pts.)

Process

Describe HOW your organization manages WORKFORCE CAPABILITY and CAPACITY to accomplish the work of the organization. Describe HOW your organization maintains a safe, secure, and supportive work climate.

Within your response, include answers to the following questions:

a. WORKFORCE CAPABILITY and CAPACITY

(1) HOW do you assess your WORKFORCE CAPABILITY and CAPACITY needs, including skills, competencies, and staffing LEVELS?

(2) HOW do you recruit, hire, place, and retain new members of your WORKFORCE? HOW do you ensure your WORKFORCE represents the diverse ideas, cultures, and thinking of your hiring and student and STAKEHOLDER community?

(3) HOW do you manage and organize your WORKFORCE to accomplish the work of your organization, capitalize on the organization's CORE COMPETENCIES, reinforce a focus on students and STAKEHOLDERS and on the organization, exceed PERFORMANCE expectations, address your STRATEGIC CHALLENGES and ACTION PLANS, and achieve the agility to address changing organizational needs?

(4) HOW do you prepare your WORKFORCE for changing CAPABILITY and CAPACITY needs? HOW do you manage your WORKFORCE, its needs, and your needs to ensure continuity, to prevent WORKFORCE reductions, and to minimize the impact of WORKFORCE reductions, if they do become necessary?

b. WORKFORCE Climate

(1) HOW do you address workplace environmental factors to ensure and improve WORKFORCE health, safety, and security? What are your PERFORMANCE MEASURES and improvement GOALS for each of these WORKFORCE needs? What are any significant differences in these factors and PERFORMANCE MEASURES or targets for different workplace environments?

(2) HOW do you support your WORKFORCE via policies, services, and benefits? HOW are these tailored to the needs of a diverse WORKFORCE and different WORKFORCE groups and SEGMENTS?

Notes:

N1. "Workforce capability" (5.2a) refers to your organization's ability to accomplish its work processes through the knowledge, skills, abilities, and competencies of its people. Capability may include the ability to build and sustain relationships with your students and stakeholders; to innovate and transition to new technologies; to develop new educational programs, offerings, services, and work processes; and to meet changing organizational, market, and regulatory demands.

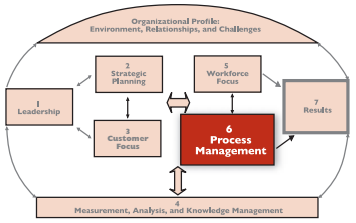
"Workforce capacity" (5.2a) refers to your organization's ability to ensure sufficient staffing levels to accomplish its work processes and successfully deliver your programs, offerings, and services to your students and stakeholders, including the ability to meet varying demand levels.

N2. Workforce capability and capacity should consider not only current needs but also future requirements based on your strategic objectives and action plans reported in Category 2.

N3. Preparing your workforce for changing capability and capacity needs (5.2a[4]) might include ensuring subject-matter expertise and an understanding of the cognitive, social-emotional, and ethical development of students. It also might address training in and experience with teaching strategies, facilitation skills, and learning assessment, as well as how to use learning research theory and how to report information and data on student progress. It also might include frequent communication, considerations of workforce employment and employability, career counseling, and outplacement and other services.

For additional description of this Item, see pages 44–45.

6 Process Management (85 pts.)



The ***Process Management*** Category examines HOW your organization designs its WORK SYSTEMS and HOW it designs, manages, and improves its KEY PROCESSES for implementing those WORK SYSTEMS to deliver student and STAKEHOLDER VALUE and achieve organizational success and SUSTAINABILITY. Also examined is your readiness for emergencies.

6.1 Work Systems: How do you design your work systems? (35 pts.)

Process

Describe HOW your organization designs its WORK SYSTEMS and determines its KEY PROCESSES to deliver student and STAKEHOLDER VALUE, maximize student LEARNING and success, prepare for potential emergencies, and achieve organizational success and SUSTAINABILITY.

Within your response, include answers to the following questions:

a. WORK SYSTEMS Design

(1) HOW do you design and innovate your overall WORK SYSTEMS? HOW do you decide which PROCESSES within your overall WORK SYSTEMS will be internal to your organization (your KEY WORK PROCESSES) and which will use external resources?

(2) HOW do your WORK SYSTEMS and KEY WORK PROCESSES relate to and capitalize on your CORE COMPETENCIES?

b. KEY WORK PROCESSES

(1) What are your organization's KEY WORK PROCESSES? HOW do these PROCESSES contribute to delivering student and STAKEHOLDER VALUE, student LEARNING and success, financial return, organizational success, and SUSTAINABILITY?

(2) HOW do you determine KEY WORK PROCESS requirements, incorporating input from students and STAKEHOLDERS, suppliers, PARTNERS, and COLLABORATORS, as appropriate? What are the KEY requirements for these PROCESSES? HOW do you anticipate and prepare for individual differences in student LEARNING capabilities, rates, and styles? HOW is information on student SEGMENTS and individual students used in the design of your KEY WORK PROCESSES to engage all students in ACTIVE LEARNING?

c. Emergency Readiness

HOW do you ensure WORK SYSTEM and workplace preparedness for disasters or emergencies? HOW does your disaster and emergency preparedness system consider prevention, management, continuity of operations, and recovery?

Notes:

N1. "Work systems" refers to how the work of your organization is accomplished. Work systems involve your workforce, your key suppliers and partners, your contractors, your collaborators, and other components needed to produce and deliver your programs, offerings, services, and support processes. Your work systems coordinate the internal work processes and the external resources necessary for you to succeed in your market.

N2. Your key work processes (6.1b[1]) are your most important internal value creation processes and might include design and delivery of your programs, offerings, and services; student and stakeholder support; and support processes. Your key work processes are the processes that involve the majority of your organization's workforce and produce student and stakeholder value.

N3. Disasters and emergencies (6.1c) might be weather-related, utility-related, security-related, or due to a local or national emergency, including potential pandemics. Emergency considerations related to information technology should be addressed in Item 4.2.

For additional description of this Item, see pages 45–46.

6.2 Work Processes: How do you design, manage, and improve your key organizational work processes? (50 pts.)

Process

Describe HOW your organization designs, implements, manages, and improves its KEY WORK PROCESSES to deliver student and STAKEHOLDER VALUE and achieve organizational success and SUSTAINABILITY.

Within your response, include answers to the following questions:

a. WORK PROCESS Design

HOW do you design and innovate your WORK PROCESSES to meet all the KEY requirements? HOW do you incorporate new technology, organizational knowledge, and the potential need for agility into the design of these PROCESSES? HOW do you incorporate CYCLE TIME, PRODUCTIVITY, cost control, and other efficiency and EFFECTIVENESS factors into the design of these PROCESSES?

b. WORK PROCESS Management

(1) HOW do you implement and manage your WORK PROCESSES to ensure that they meet design requirements? HOW does your day-to-day operation of these PROCESSES ensure that they meet KEY PROCESS requirements? HOW is input from your WORKFORCE, students, STAKEHOLDERS, suppliers, PARTNERS, and COLLABORATORS used in managing these PROCESSES, as appropriate? What are your KEY PERFORMANCE MEASURES or INDICATORS and in-process MEASURES used for the control and improvement of your WORK PROCESSES?

(2) HOW do you prevent variability in the implementation of your WORK PROCESSES that may lead to variations in student LEARNING or student success, as appropriate? HOW do you minimize overall costs associated with inspections, tests, and PROCESS or PERFORMANCE audits, as appropriate? HOW do you prevent errors and rework?

c. WORK PROCESS Improvement

HOW do you improve your WORK PROCESSES to maximize student success; to improve EDUCATIONAL PROGRAMS, OFFERINGS, AND SERVICES; and to keep the PROCESSES current with educational needs and directions? HOW do you incorporate a measurement plan that makes EFFECTIVE use of FORMATIVE and SUMMATIVE ASSESSMENT? HOW do you incorporate the RESULTS of the organizational PERFORMANCE reviews discussed in response to Item 4.1 into the SYSTEMATIC evaluation and improvement of your WORK PROCESSES? HOW are WORK PROCESS improvements and lessons learned shared with other organizational units and PROCESSES to drive organizational LEARNING and INNOVATION?

Notes:

N1. In-process measures (6.2b[1]) are the data that you collect and analyze at key points in your work processes to determine how well a particular process is performing. Education organizations should note that in-process measures are fundamentally different from formative assessments. While formative assessments can yield student outcome data that may be predictive of end-of-process performance, they do not provide sufficient information to make operational decisions about improving the process itself. Such decisions require an understanding of the critical inputs—such as time, materials, or behaviors—and outputs—such as quality, quantity, or efficiency—needed to maintain operational control.

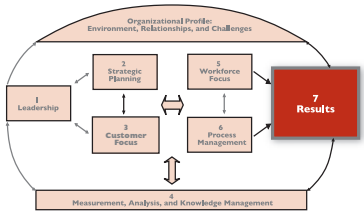
N2. To improve process performance (6.2b) and reduce variability, your organization might implement approaches such as the Plan-Do-Study-Act methodology or other process improvement tools (e.g., ISO 9000:2000 standards, Six Sigma methodology, or a Lean Enterprise System). These approaches might be part of your performance improvement system described in response to P.2c in the Organizational Profile.

N3. In addition to those processes associated with student learning, work processes that maximize student success might include those targeted at ensuring effective transitions between education levels (e.g., elementary to secondary, secondary to postsecondary, and two-year postsecondary to four-year postsecondary) and might include such mechanisms as multilevel teaming, articulation and transfer agreements, and concurrent enrollment. Such processes also could include those targeted at successful student progression within a program (e.g., efforts related to "promotion" at the elementary and secondary level or to "persistence" at the postsecondary level).

N4. The results of improvements in student learning should be reported in Item 7.1. All other work process performance results should be reported in Item 7.5.

For additional description of this Item, see pages 46–47.

7 Results (450 pts.)



The ***RESULTS*** Category examines your organization's PERFORMANCE and improvement in all KEY areas—student LEARNING outcomes; CUSTOMER-focused outcomes; budgetary, financial, and market outcomes; WORKFORCE-focused outcomes; PROCESS EFFECTIVENESS outcomes; and leadership outcomes. PERFORMANCE LEVELS are examined relative to those of competitors and other organizations with similar programs and services.

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

Results

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

Provide data and information to answer the following questions:

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

Notes:

N1. Results reported in this Item should include results from your primary assessments of student learning. These may include test results related to local, state, and national requirements or mandates, such as the No Child Left Behind Act. In addition, student learning results should relate to the key student learning features identified as student and stakeholder requirements and expectations in P.1b(2), based on information gathered in Items 3.1 and 3.2. The measures or indicators should address factors that affect student and stakeholder preference, such as those included in Item P.1, Note 9, and Item 3.1, Note 2.

N2. For many education organizations, student learning measures are mandated by federal, state, or local legislation or policy, or by the reporting requirements associated with the receipt of federal, state, or external grant funds. These measures should be identified and reported in your response to this Item.

N3. Demonstrations of improvement in student learning should be evaluated in comparison to education organizations with similar performance levels for their entering students or comparable student populations (i.e., performance indicators for students with similar characteristics). Methods for demonstrating improvement in student learning might involve longitudinal and cohort studies or other value-added methodologies. Results covering three years or more are preferred.

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

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

Results

Summarize your organization's KEY student- and STAKEHOLDER-focused RESULTS for student and STAKEHOLDER satisfaction, dissatisfaction, and ENGAGEMENT. SEGMENT your RESULTS by EDUCATIONAL PROGRAM, OFFERING, AND SERVICE features, and by student, STAKEHOLDER, and market SEGMENTS, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Student- and STAKEHOLDER-Focused RESULTS

(1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of student and STAKEHOLDER satisfaction and dissatisfaction? How do these RESULTS compare with the student and STAKEHOLDER satisfaction LEVELS of your competitors and other organizations providing similar PROGRAMS, OFFERINGS, AND SERVICES?

(2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of student and STAKEHOLDER relationship building and ENGAGEMENT? How do these RESULTS compare over the course of time as students and stakeholders utilize your programs and services, as appropriate?

Notes:

N1. Student and stakeholder satisfaction, dissatisfaction, relationship building, and engagement results reported in this Item should relate to the student segments, stakeholder groups, and market segments discussed in P.1b(2) and Category 3 and to the listening and determination methods and data described in Item 3.2. Results data might include feedback from students and stakeholders and their overall assessment of education and operations.

N2. Measures and indicators of satisfaction with your programs and services relative to students' and stakeholders' satisfaction with competitors and comparable organizations (7.2a[1]) might include gains and losses of your students from or to other schools or alternative means of education, such as charter schools, home schooling, or corporate educational programs. Results also might include information and data from independent organizations and key stakeholders, such as survey results, competitive awards, recognition, and ratings. The information and data should reflect comparative satisfaction (and dissatisfaction). Information on the comparative performance of your students should be included in Item 7.1.

For additional description of this Item, see page 48.

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

Results

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

Provide data and information to answer the following questions:

a. Budgetary, Financial, and Market RESULTS

(1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of budgetary and financial PERFORMANCE, including aggregate MEASURES of cost containment or financial viability, as appropriate?

(2) What are your current LEVELS and TRENDS 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:

N1. Responses to 7.3a(1) might include measures such as instructional and general administration expenditures per student or as a percentage of the total budget; income, expenses, reserves, and endowments; tuition and fee levels; cost per academic credit; annual grants and awards; cost avoidance or savings; performance to budget; program expenditures as a percentage of budget; annual budget increases or decreases; resources redirected to education from other areas; scholarship growth; the percentage of budget for research; and the budget for public service. Measures should relate to the budgetary and financial measures reported in 4.1a(1) and the financial management approaches described in Item 2.2.

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

For additional description of this Item, see pages 48-49.

7.4 Workforce-Focused Outcomes: What are your workforce-focused performance results? (70 pts.)

Results

Summarize your organization's KEY WORKFORCE-focused RESULTS for WORKFORCE ENGAGEMENT and for your WORKFORCE environment. SEGMENT your RESULTS to address the DIVERSITY of your WORKFORCE and to address your WORKFORCE groups and SEGMENTS, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. WORKFORCE RESULTS

(1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of WORKFORCE ENGAGEMENT and WORKFORCE satisfaction?

(2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of WORKFORCE and leader development?

(3) What are your current LEVELS and TRENDS in KEY MEASURES of WORKFORCE CAPABILITY and CAPACITY, including staffing LEVELS and appropriate skills?

(4) 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?

Notes:

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

N2. Responses to 7.4a(1) should include measures and indicators identified in response to 5.1c(1).

N3. Those organizations that rely on volunteers should include results for their volunteer workforce, as appropriate.

For additional description of this Item, see page 49.

7.5 Process Effectiveness Outcomes: What are your process effectiveness results? (70 pts.)

Results

Summarize your organization's KEY operational PERFORMANCE RESULTS that contribute to opportunities for enhanced student LEARNING and to the improvement of organizational EFFECTIVENESS, including your organization's readiness for emergencies. SEGMENT your RESULTS by programs and offerings; by student and market SEGMENTS; and by PROCESSES and locations as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. PROCESS EFFECTIVENESS RESULTS

(1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the operational PERFORMANCE of your WORK SYSTEMS, including WORK SYSTEM and workplace preparedness for disasters or emergencies?

(2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the operational PERFORMANCE of your KEY WORK PROCESSES, including PRODUCTIVITY, CYCLE TIME, and other appropriate MEASURES of PROCESS EFFECTIVENESS, efficiency, and INNOVATION?

Notes:

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

N2. Results reported in Item 7.5 should provide key information for analysis and review of your organizational performance (Item 4.1), demonstrate use of organizational knowledge (Item 4.2), and provide the operational basis for improved student learning outcomes (Item 7.1); customer-focused outcomes (Item 7.2); and budgetary, financial, and market outcomes (Item 7.3).

N3. Appropriate measures and indicators of work system performance (7.5a[1]) might include supplier and partner performance; program, offering, service, and work system innovation rates and results; simplification of internal jobs and job classifications; changing supervisory ratios; response times for emergency drills or exercises; and results for work relocation or contingency exercises.

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

7.6 Leadership Outcomes: What are your leadership results? (70 pts.) Results

Summarize your organization's KEY GOVERNANCE and SENIOR LEADERSHIP RESULTS, including evidence of strategic plan accomplishments, fiscal accountability, legal compliance, ETHICAL BEHAVIOR, societal responsibility, and support of KEY communities. SEGMENT your RESULTS by work units, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Leadership and Societal Responsibility RESULTS

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

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

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

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

(5) What are your RESULTS for KEY MEASURES or INDICATORS of your organization's fulfillment of its societal responsibilities and your organization's support of its KEY communities?

Notes:

N1. Measures or indicators of strategy and action plan accomplishment (7.6a[1]) should address your strategic objectives and goals identified in 2.1b(1) and your action plan performance measures and projected performance identified in 2.2a(6) and 2.2b, respectively.

N2. Responses to 7.6a(2) might include financial statement issues and risks, important internal and external auditor recommendations, and your senior leaders' response to these matters.

N3. Regulatory, safety, accreditation, and legal compliance results (7.6a[3]) should address requirements described in 1.2b. Workforce-related occupational health and safety results (e.g., Occupational Safety and Health Administration [OSHA] reportable incidents) should be reported in 7.4a(4).

For additional description of this Item, see page 50.

N4. For examples of measures of ethical behavior and stakeholder trust (7.6a[4]), see Item 1.2, Note 4.

N5. Responses to 7.6a(5) should address your organization's societal responsibilities discussed in 1.2b(1) and 1.2c(1), as well as support of the key communities described in 1.2c(2). Measures of contributions to societal well-being might include reduced energy consumption; the use of renewable energy resources, recycled water, and alternative approaches to conserve resources (e.g., increased audio and video conferencing); and the global use of enlightened labor practices.

We recognize the awesome honor and myriad responsibilities that accompany the [Malcolm Baldrige National Quality Award] . . . . Jenks staff members look forward to providing contributions on many fronts, and we will be specifically focused on sharing our quality practices with other school districts as we all strive to help lead our country toward a world-class education system.

—Kirby A. Lehman, Superintendent of 2005 Award recipient
Jenks Public Schools

Changes From the 2008 Education Criteria

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

The year-to-year changes to the Baldrige Criteria have been evolutionary. However, since the Baldrige Program's inception over 20 years ago, the changes to the Criteria have been revolutionary. They have evolved from having a specific focus on manufacturing quality to a comprehensive strategic focus on overall organizational competitiveness and sustainability. With each update of the Criteria, the Program must balance two important stakeholder considerations. On one hand, there is a need for Criteria that are at the leading edge of validated management practice to help users address the increasingly complex challenges they face; on the other hand, there is a desire for the Criteria to remain stable in order to provide users continuity in their performance assessments. In 2008, minimal revisions were made, in light of the major revisions made in 2007. Continuing its efforts to balance stakeholders' needs for both currency and stability, starting in 2009, the Program is moving to a formal two-year revision cycle, making these the 2009–2010 Education Criteria for Performance Excellence.

The most significant revisions to the 2009–2010 Criteria address three areas of importance: (1) customer (student and stakeholder) focus, (2) organizational core competencies, and (3) sustainability and societal responsibilities.

The concept of customer engagement has received increasing attention as organizations compete in competitive local markets and are asked to prepare their students to compete in a global marketplace. The Education Criteria questions probe your ability to identify and deliver relevant educational programs, offerings, and services to your students and stakeholders now and in the future. The questions ask about your organization's student and stakeholder culture and how it contributes to customer engagement. The questions probe how you listen to the voice of the customer and, more importantly, how you use the information gathered. Is your organization student and stakeholder focused?

While core competencies were introduced as an important concept in the 2007 Baldrige Criteria, their strategic significance was not fully exploited. The Criteria questions now probe the relationship of your core competencies to your organization's mission, strategy, and sustainability. Is your organization competent in the areas that will deliver its sustainability?

Leading organizations are paying increased attention to the sustainability of their environmental, social, and economic systems. The Criteria questions probe how you contribute to the well-being of these systems and what your specific contributions have been. Is your organization fulfilling its societal responsibilities?

The most significant changes in the Criteria and the Criteria booklet are summarized as follows:

- The number of Areas to Address has increased from 37 to 41 to increase clarity and definition; the number of Criteria Items remains unchanged at 18, plus 2 in the Preface: Organizational Profile.
- The **Preface: Organizational Profile** now includes your core competencies as a key characteristic of your organizational environment.
- Category 1, **Leadership,** includes an enhanced focus on sustainability and societal responsibilities and the senior leaders' role.
- Category 2, **Strategic Planning,** introduces core competencies as a strategic concept.
- Category 3, **Customer Focus**, has been redesigned around customer engagement and the voice of the customer.
- Category 4, **Measurement, Analysis, and Knowledge Management,** clearly separates but emphasizes both the importance of information and knowledge management and the management of information technology and systems.
- Category 5, **Workforce Focus,** has been simplified to add clarity and focus to important aspects of workforce engagement.
- Category 6, **Process Management,** has been reorganized for a more logical flow of the questions.
- Category 7, **Results,** has been aligned with the changes in Categories 1–6 to encourage the measurement of important and appropriate results.
- The Core Value previously related to social responsibility has been retitled and rewritten to reflect the larger sustainability concepts embodied in **societal responsibility.**
- Three terms have been added to the Glossary of Key Terms: customer engagement, voice of the customer, and work processes. In addition, the definition of sustainability has been expanded to reflect societal aspects of organizational sustainability.
- The Results Scoring Guidelines have been modified to specifically address performance projection expectations in each scoring range. Also, performance projections have been included in the sample results figure

presented in the Guidelines for Responding to Results Items.

There have been some changes in all Criteria Items; the most significant changes are highlighted below.

Preface: Organizational Profile

- Item P.1, **Organizational Description,** now includes a question related to the organization's core competencies and their relation to the organization's mission.
- Item P.2, formerly Organizational Challenges, has been retitled **Organizational Situation** to more accurately reflect the broad focus of this Item.

Category 1: Leadership

- Item 1.1, **Senior Leadership,** now includes a question related to how senior leaders enhance their personal leadership skills.
- Item 1.2, now **Governance and Societal Responsibilities,** has an enhanced focus on societal responsibilities. These responsibilities include conserving natural resources; assuming responsibility for your suppliers' actions; and considering the well-being of environmental, social, and economic systems to which your organization contributes.

Category 2: Strategic Planning

- Item 2.1, **Strategy Development,** now includes core competencies as a key component of strategy development and organizational sustainability.
- Item 2.2, **Strategy Deployment,** now includes a question addressing the deployment of your action plans to key suppliers and partners.

Category 3: now **Customer Focus**

- This Category has been totally redesigned with two new Items.
- Item 3.1, now **Customer Engagement,** asks how you engage students and other stakeholders to serve their needs and build relationships. It has two Areas to Address: (1) Educational Programs, Offerings, and Services, and Student and Stakeholder Support, and (2) Building a Student and Stakeholder Culture.
- Item 3.2, now **Voice of the Customer,** asks how you obtain and use information from your students and other stakeholders. It has three new Areas to Address: (1) Student and Stakeholder Listening, (2) Determination of Student and Stakeholder Satisfaction and Engagement, and (3) Analysis and Use of Student and Stakeholder Data.

Category 4: Measurement, Analysis, and Knowledge Management

- Item 4.1, **Measurement, Analysis, and Improvement of Organizational Performance,** now includes a separate Area to Address on Performance Improvement.
- Item 4.2, now **Management of Information, Knowledge, and Information Technology,** clarifies which Criteria requirements are related to information technology by including the term in the title of the second Area to Address, Management of Information Resources and Technology.

Category 5: Workforce Focus

- Item 5.1, **Workforce Engagement,** still has three Areas to Address, but the number of questions in the multiple requirements has been reduced to simplify and focus the requirements.

Category 6: Process Management

- Item 6.1, **Work Systems,** has been modified for a more logical flow of the questions. The three Areas to Address are now (1) Work Systems Design, (2) Key Work Processes, and (3) Emergency Readiness.
- Item 6.2, now **Work Processes,** has three Areas to Address: (1) Work Process Design, (2) Work Process Management, and (3) Work Process Improvement. Work Process Improvement includes a question about how you incorporate the results of organizational performance reviews into the improvement of your work processes.

Category 7: Results

- Item 7.2, **Customer-Focused Outcomes,** is aligned with the revised Category 3, asking for results related to customer engagement.
- Item 7.6, **Leadership Outcomes,** now includes a question about your results for fulfillment of your societal responsibilities.

Self-Analysis Worksheet (optional)

(not to be submitted with your Baldrige application)

While insights gained from external Examiners or reviewers are always helpful, you know your organization better than they will. You are currently in an excellent position to identify your organization's key strengths and key opportunities for improvement (OFIs). Having just completed your responses to the Baldrige Criteria questions, you can accelerate your improvement journey by doing a self-analysis of your responses to all seven Criteria Categories, using the electronic file for the Self-Analysis Worksheet, which is **available in Microsoft Word format at www.baldrige.nist.gov/Education_Criteria.htm.**

As shown in this sample for Categories 1 and 2, you can use the optional worksheet to list your key strengths and key OFIs. Start by identifying one or two strengths and one or two OFIs for each Criteria Category. For those of high importance, establish a goal and a plan of action.

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

Education Criteria Response Guidelines

The guidelines given in this section are offered to assist Criteria users in responding most effectively to the requirements of the 18 Criteria Items. For organizations writing an application for the Baldrige Award, responding involves addressing these requirements in 50 or fewer pages.

The guidelines are presented in three parts:

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

(2) Guidelines for Responding to Process Items

(3) Guidelines for Responding to Results Items

To respond most effectively to the Criteria Items, it also is important to refer to the Scoring Guidelines (pages 70–71), which describe how organizations can demonstrate increasing accomplishment and improvement relative to the requirements of the Criteria Items.

General Guidelines

1. Read the entire Criteria booklet.

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

- Education Criteria for Performance Excellence (pages 1–24)
- Scoring System (pages 69–71)
- Glossary of Key Terms (pages 59–68)
- Category and Item Descriptions (pages 35–50)

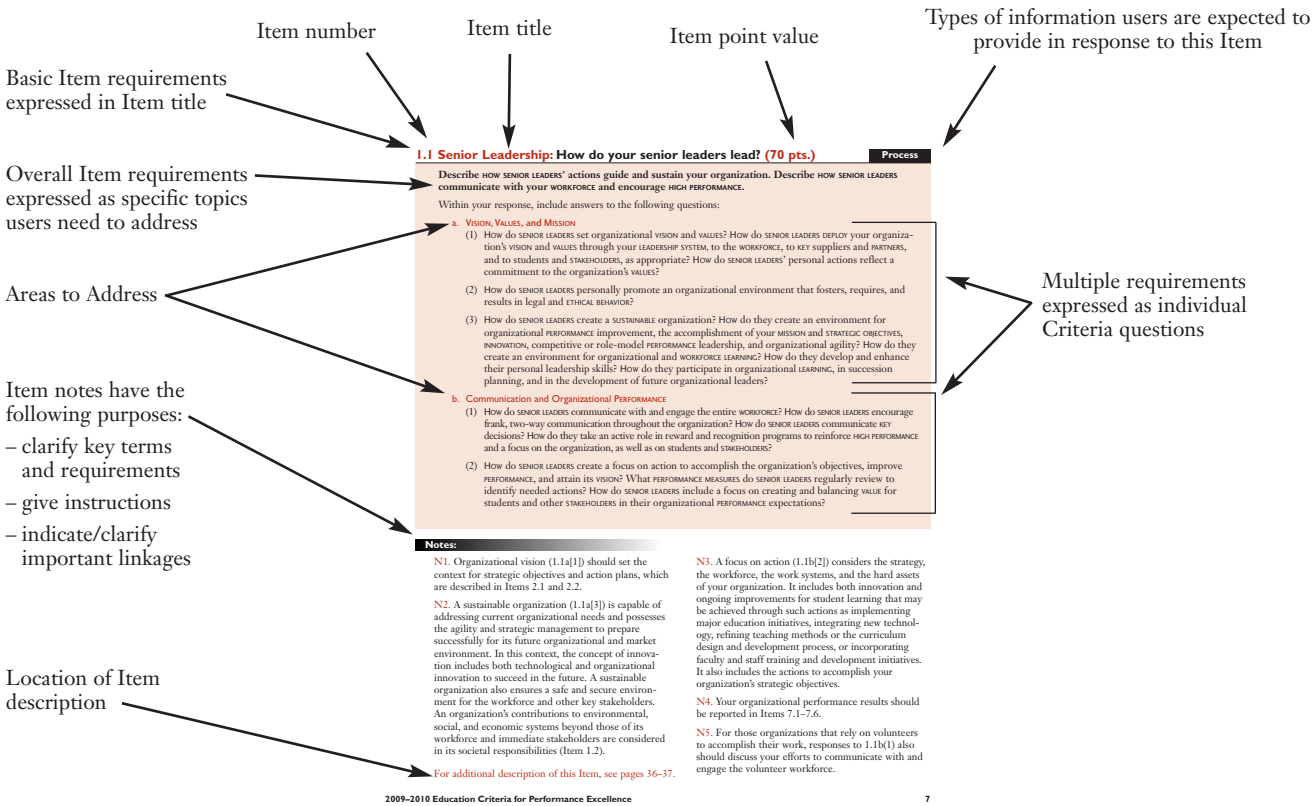
2. Review the Item format and understand how to respond to the Item requirements.

The Item format (see figure below) shows the different parts of Items, the role of each part, and where each part is placed. It is especially important to understand the multiple requirements contained in the Areas to Address. The Item Notes following the Item requirements are an aid to help you understand the Areas to Address. Each Item and Area to Address is described in greater detail in the Category and Item Descriptions section (pages 35–50).

Each Item is classified as either **Process** or **Results,** depending on the type of information required. Guidelines for responding to Process Items are given on pages 31–33. Guidelines for responding to Results Items are given on pages 33–34.

Item requirements are presented in question format. Some of the requirements in the Areas to Address include

Item Format



multiple questions. Responses to an Item should contain information that addresses all questions; however, each question need not be answered separately. Responses to multiple questions within a single Area to Address may be grouped, as appropriate to your organization. These multiple questions serve as a guide in understanding the full meaning of the information being requested.

3. Refer to the Scoring Guidelines.

The evaluation of Process and Results Item responses includes a review of the Criteria Items in combination with the Scoring Guidelines (pages 69–71). Specifically, as a complement to requirements of the Process Items (Categories 1–6), the Scoring Guidelines address the maturity of your approaches, breadth of deployment, extent of learning, and integration with other elements of your performance management system. Similarly, as a complement to requirements of the Results Items (Category 7), the Scoring Guidelines focus on the significance of the results trends, actual performance levels, relevant comparative data, integration with important elements of your performance management system, and the strength of the improvement process. Therefore, you need to consider both the Criteria and the Scoring Guidelines as you prepare your responses to all Items.

4. Understand the meaning of key terms.

Many of the terms used in the Criteria have meanings that may differ somewhat from standard definitions or definitions used in your organization. Terms printed in SMALL CAPS/SANS SERIF can be found in the Glossary of Key Terms beginning on page 59. Understanding these terms can help you accurately self-assess your organization and communicate your processes and results to those reviewing your responses and planning your improvement efforts.

5. Start by preparing the Organizational Profile.

The Organizational Profile is the most appropriate starting point. The Organizational Profile is intended to help everyone—including organizations using the Criteria for self-assessment, application writers, and reviewers—to understand what is most relevant and important to your organization's mission and to its performance. The questions in the Organizational Profile are on pages 4–6. The Organizational Profile is described in greater detail on pages 35–36.

Guidelines for Responding to Process Items

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

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

1. Understand the meaning of "how."

Process Items include questions that begin with the word "how." *Responses should outline your key process information that addresses approach, deployment, learning, and integration (see Scoring System, page 69).* Responses lacking such information, or merely providing an example, are referred to in the Scoring Guidelines as "anecdotal information."

2. Understand the meaning of "what."

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

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

- Show that *approaches* are systematic.

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

- Show *deployment*.

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

- Show evidence of *learning*.

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

- Show *integration*.

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

- Show focus and consistency.

  There are four important considerations regarding focus and consistency: (1) the Organizational Profile should make clear what is important to your organization; (2) the Strategic Planning Category (Category 2), including the strategic objectives, action plans, and core competencies, should highlight areas of greatest focus and describe how deployment is accomplished; (3) the descriptions of organizational-level analysis and review (Item 4.1) should show how your organization analyzes and reviews performance information to set priorities; and (4) the Process Management Category (Category 6) should highlight the work processes that are key to your overall performance. *Showing focus and consistency in the Process Items and tracking corresponding measures in the Results Items should improve organizational performance.*

- Respond fully to Item requirements.

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

4. Cross-reference when appropriate.

As much as possible, each Item response should be self-contained. However, responses to different Items also should be mutually reinforcing. It is appropriate to refer to the other responses rather than repeat information. In such cases, key process information should be given in the Item requesting this information. For example, workforce development and learning systems should be described in Item 5.1. Discussions about workforce development and learning elsewhere in your application would reference but not repeat details given in your Item 5.1 response.

5. Use a compact format.

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

Guidelines for Responding to Results Items

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

1. Focus on the most critical organizational performance results.

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

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

- *performance levels* that are reported on a meaningful measurement scale
- *trends* to show directions of results, rates of change, and the extent of deployment
- *comparisons* to show how results compare with those of other, appropriately selected organizations
- *integration* to show that all important results are included, segmented (e.g., by important student or stakeholder; workforce; process; and educational program, offering, and service groups), and, as appropriate, related to key performance projections

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

No minimum period of time is specified for trend data. However, a minimum of three historical data points generally is needed to ascertain a trend. Trends might span five or more years for some results. Trends should represent historic and current performance and not rely on projected (future) performance. Time intervals between data points should be meaningful for the specific measure(s) reported. For important results, new data should be included even if trends and comparisons are not yet well established.

4. Use a compact format—graphs and tables.

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

5. Incorporate results into the body of the text.

Discussion of results and the results themselves should be close together in an Award application. *Trends that show a significant beneficial or adverse change should be explained.*

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

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

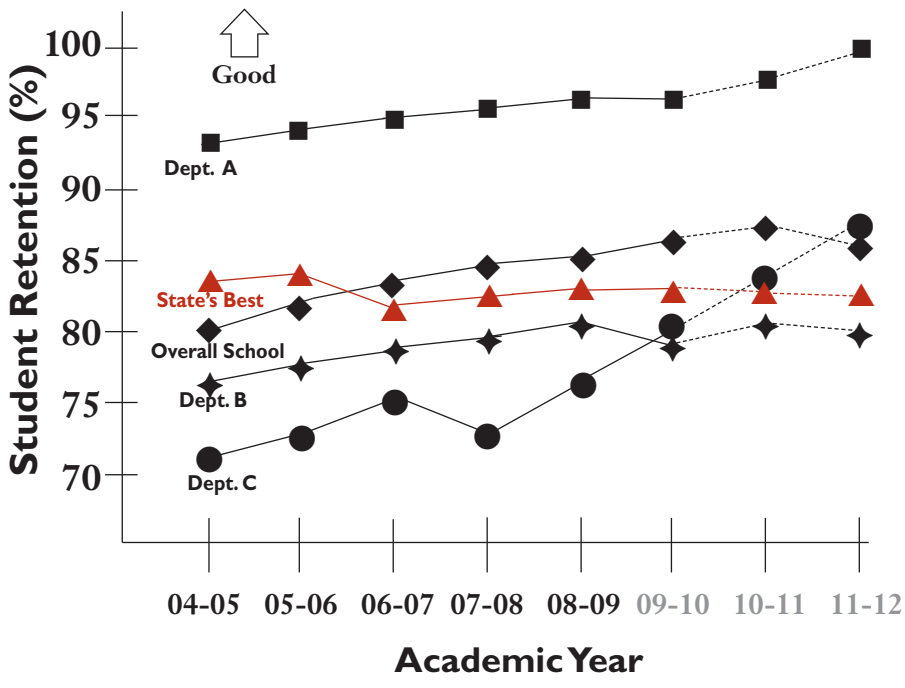
The graph illustrates a number of characteristics of clear and effective results reporting.

- A figure number is provided for reference to the graph in the text.
- Both axes and units of measure are clearly labeled.
- Trend lines report data for a key performance measure—student persistence.
- Results are presented for several years.
- An arrow indicates that an upward trend is good for this measure.
- Appropriate comparisons are shown clearly.
- The school shows, using a single graph, that its three departments separately track persistence rates.
- The school projects improved persistence rates for all departments in school year 2010-2011. The text should explain the projected improvements, including discontinuous or breakthrough improvements relative to prior performance for Department C. For example, your school may be enhancing its tutoring/mentoring services for an academic department, and you may anticipate a higher rate of persistence as a result of these efforts.

To help interpret the Scoring Guidelines (page 71), the following comments on the graphed results would be appropriate:

- The current overall school performance level shows a generally improving trend. The current level is good but still slightly below that of the comparable school.
- Department A is the current performance leader—showing sustained high performance and a beneficial trend since 2005-2006.
- Department B shows a lower level of performance but a generally improving trend.
- Although Department C has the overall lowest student retention rate, with the exception of the 2007-2008 school year, there is a generally improving trend. (The single point drop in student retention should be explained briefly.)
- Departments A and C and the overall school are projecting improved persistence rates. They are all expected to exceed the state's best school in terms of persistence by the 2010-2011 school year.

Figure 7.2-3 Student Persistence



Preface: Organizational Profile

The Organizational Profile provides an overview of your organization. The profile addresses your operating environment, your key organizational relationships, your competitive environment and strategic context, and your approach to performance improvement. Your Organizational Profile provides a framework for understanding your organization. It helps the Baldrige Examiners and Judges when reviewing your application to understand what you consider important. It also helps you to guide and prioritize the information you present in response to the Criteria Items in Categories 1–7.

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



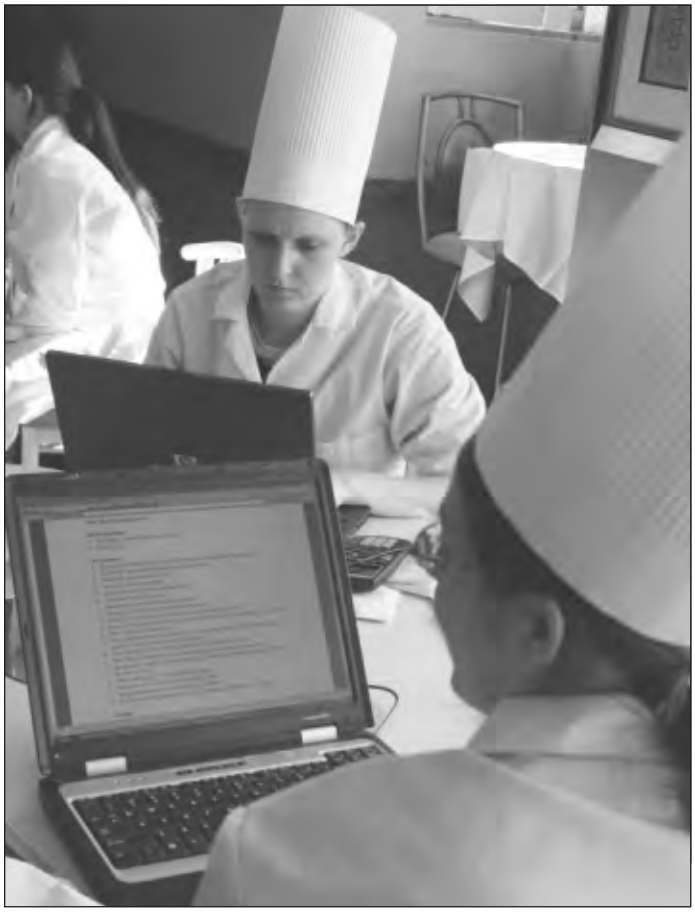
P.1 Organizational Description: What are your key organizational characteristics?

Purpose

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

Comments

- The use of such terms as "purpose," "vision," "mission," "values," and "core competencies" varies depending on the organization, and some organizations may not use one or more of these terms. Nevertheless, you should have a clear understanding of the essence of your organization, why it exists, and where your senior leaders want to take the organization in the future. This clarity enables you to make and implement strategic decisions affecting the future of your organization.
- A clear identification and thorough understanding of your organization's core competencies are central to organizational sustainability and competitive performance. Executing your core competencies well is frequently a market differentiator. Keeping your core competencies current with your strategic directions can provide a strategic advantage, and protecting intellectual property contained in your core competencies can provide sustainability.
- The regulatory environment in which you operate places requirements on your organization and impacts how you run your organization. Understanding this environment is key to making effective operational and strategic decisions. Further, it allows you to identify whether you are merely complying with the minimum requirements of applicable laws, regulations, and standards of practice or exceeding them, a hallmark of leading organizations.
- Leading organizations have well-defined governance systems with clear reporting relationships. It is important to clearly identify which functions are performed by senior leaders and, as applicable, by your governance board/policymaking body. Board independence and accountability frequently are key considerations in the governance structure.
- Suppliers may play critical roles in processes that are important to running the organization and to maintaining or achieving overall organizational performance success. Requirements for suppliers might include on-time or just-in-time delivery; flexibility; variable staffing; research and design capability; innovation of processes, programs, offerings, or services; and customized services.



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

Purpose

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

Comments

- Knowledge of an organization's strengths, vulnerabilities, and opportunities for improvement and growth is essential to the success and sustainability of the organization. With this knowledge, you can identify those educational programs, offerings, services, processes, competencies, and performance attributes that are unique to your organization; those that set you apart from other organizations; those that help you to sustain your competitive advantage; and those that you must develop to sustain or build your market position.
- Understanding who your competitors are, how many you have, and their key characteristics is essential for determining what your competitive advantage is in your education sector or markets served. Leading organizations have an in-depth understanding of their current competitive environment, including the factors that affect day-to-day performance and factors that could impact future performance.
- Sources of comparative and competitive data might include education journals and other publications; benchmarking activities; national, state, and local reports; conferences; local networks; and professional associations.
- Operating your organization in today's sometimes competitive environment means you are facing strategic challenges that can affect your ability to sustain performance and maintain advantages such as academic program leadership, unique services, or an optimal student-to-faculty ratio. These challenges might include your operational costs; an expanding or decreasing student population; a decreasing local and state tax base or educational appropriation; changing demographics and competition, including charter schools; diminishing student persistence; the introduction of new or substitute programs, offerings, or services; and state and federal mandates. In addition, your organization may face challenges related to the recruitment, hiring, and retention of a qualified workforce.
- A particularly significant challenge, if it occurs to your organization, is being unprepared for a disruptive technology that threatens your competitive position or your market. In the past, such technologies have included personal computers replacing typewriters, cell phones challenging traditional and pay phones, fax machines capturing business from overnight delivery services, and e-mail challenging all other means of correspondence. Today, organizations need to be scanning inside and outside their immediate environment to detect such challenges at the earliest possible point in time.

Leadership (Category 1)

Leadership addresses how your senior leaders' actions guide and sustain your organization, setting organizational vision, values, and performance expectations. Attention is given to how your senior leaders communicate with your workforce, enhance their personal leadership skills, participate in organizational learning and develop future leaders, measure organizational performance, and create a learning environment that encourages ethical behavior and high performance. The Category also includes your organization's governance system and how your organization fulfills its legal, ethical, and societal responsibilities, and supports its key communities.

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

Purpose

This Item examines the key aspects of your senior leaders' responsibilities. It examines how your senior leaders set and communicate the organization's vision and values and how they practice these values. It focuses on your senior leaders' actions to create a sustainable, high-performing organization with a focus on students and stakeholders.



Comments

- Senior leaders' central role in setting values and directions, communicating, creating and balancing value for all students and stakeholders, and creating an organizational bias for action are the focus of this Item. Success requires a strong orientation to the future and a commitment to improvement, innovation, and organizational sustainability. Increasingly, this requires creating an environment for empowerment, agility, and organizational learning.
- In highly respected organizations, senior leaders are committed to developing the organization's future leaders and to recognizing and rewarding contributions by members of the workforce. Senior leaders enhance their personal leadership skills. They participate in organizational learning, in the development of future leaders, in succession planning, and in recognition opportunities and events that celebrate the workforce. Development of future leaders might include personal mentoring or participation in leadership development courses.

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

Purpose

This Item examines key aspects of your organization's governance system, including leadership improvement. It also examines how your organization assures that everyone in the organization behaves legally and ethically, fulfills its societal responsibilities, and supports its key communities.

Comments

- The organizational governance requirement addresses the need for a responsible, informed, transparent, and accountable governance or advisory body that can protect the interests of key stakeholders. This body should have independence in review and audit functions, as well as a performance evaluation function that monitors organizational and senior leaders' performance.
- An integral part of performance management and improvement is proactively addressing (1) the need for ethical behavior; (2) the observance of all legal, regulatory, safety, and accreditation requirements; and (3) risk factors. Ensuring high performance in these areas requires establishing appropriate measures or indicators that senior leaders track in their organizational performance reviews. Your organization should be sensitive to issues of public concern, whether or not these issues currently are embodied in laws and regulations. Role-model organizations look for opportunities to exceed requirements and to excel in areas of legal and ethical behavior.
- Public concerns that education organizations should anticipate might include the cost of programs, offerings, services, and operations; timely and equitable access to programs, offerings, and services; and perceptions about the organization's stewardship of its resources.
- This Item addresses the use of processes that conserve natural resources. These processes might include the use of "green" technologies, the storage of hazardous materials, energy conservation, the use of cleaner energy sources, or the recycling of materials, as appropriate.
- Societal responsibility implies going beyond a compliance orientation. Opportunities to consider and promote the well-being of environmental, social, and economic systems to which your organization may contribute and opportunities to support key communities are available to organizations of all sizes. The level and breadth of these contributions will depend on the size of your organization and your ability to contribute.
- Your organization's community involvement should include considering contributions in areas of your core competencies. Examples of organizational community involvement are partnering with businesses and other community-based organizations to improve educational opportunities for students, as well as efforts by the organization, senior leaders, and faculty and staff to strengthen and/or improve community services, the environment, athletic associations, and professional associations. Community involvement also might include students, giving them the opportunity to develop social and citizenship values and skills.

Strategic Planning (Category 2)

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

organizational sustainability and therefore are key strategic decisions.

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

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

- Learning-centered education is a strategic view of education. The focus is on the drivers of customer engagement, new markets, and market share—key factors in educational success and organizational sustainability. Learning-centered education focuses on the real needs of students, including those derived from market requirements and citizenship responsibilities.
- Operational performance improvement and innovation contribute to short- and longer-term productivity growth and cost containment. Building operational capability—including speed, responsiveness, and flexibility—represents an investment in strengthening your organizational fitness.
- Organizational and personal learning are necessary strategic considerations in today's fast-paced environment. The Criteria emphasize that improvement and learning need to be embedded in work processes. The special role of strategic planning is to align work processes and learning initiatives with your organization's strategic directions, thereby ensuring that improvement and learning prepare you for and reinforce organizational priorities.

The Strategic Planning Category examines how your organization

- determines its key strengths, weaknesses, opportunities, and threats; its core competencies; and its ability to execute your strategy;
- optimizes the use of resources, ensures the availability of a skilled and well-prepared workforce, and bridges short- and longer-term requirements that may entail capital expenditures, technology development or acquisition, or development of partnerships or collaborations (e.g., with feeder schools, receiving schools, or local businesses); and
- ensures that deployment will be effective—that there are mechanisms to communicate requirements and achieve alignment on three levels: (1) the organization and senior leader level; (2) the key work system and work process level; and (3) the work unit, school, class, and individual level.

The requirements in the Strategic Planning Category encourage strategic thinking and acting in order to develop a basis for a distinct leadership position in your market. *These requirements do not imply the need for formal planning departments or specific planning cycles.* They also do not imply that all your improvements could or should be planned in advance. An effective improvement system combines improvements of many types and degrees of involvement. This requires clear strategic guidance, particularly when improvement alternatives, including major change or innovation, compete for limited resources. In most cases, setting priorities depends heavily on a cost rationale. However, you also might have critical requirements, such as specific student needs or societal responsibilities, that are not driven by cost considerations alone.

2.1 Strategy Development: How do you develop your strategy?

Purpose

This Item examines how your organization determines its core competencies, strategic challenges, and strategic advantages and establishes its strategy and strategic objectives to address its challenges and leverage its advantages. The aim is to strengthen the performance of your organization and students and their future success.

Comments

- This Item calls for basic information on the planning process and for information on all the key influences, risks, challenges, and other requirements that might affect your organization's future opportunities and directions—taking as long-term a view as appropriate and possible from the perspectives of your organization and your market. This approach is intended to provide a thorough and realistic context for the development of a student-, stakeholder-, and market-focused strategy to guide ongoing decision making, resource allocation, and overall management.
- This Item is intended to cover all types of education organizations, market situations, strategic issues, planning approaches, and plans. The requirements explicitly call for a future-oriented basis for action but do not imply the need for formal planning departments, specific planning cycles, or a specified way of visualizing the future. Even if your organization is seeking to create an entirely new program or structure, it is still necessary to set and to test the objectives that define and guide critical actions and performance.
- This Item emphasizes how the organization develops a competitive leadership position in its educational offerings, which usually depends on operational effectiveness. A competitive leadership position requires a view of the future that includes not only the market in

which your organization competes but also how it competes. *How it competes* presents many options and requires that you understand your organization's and your competitors' strengths and weaknesses. Although no specific time horizons are included, the thrust of this Item is a sustained performance leadership.

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

2.2 Strategy Deployment: How do you deploy your strategy?

Purpose

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

Comments

- This Item asks how your action plans are developed and deployed to your workforce and stakeholders. Accomplishment of action plans requires resources, performance measures, as well as alignment of faculty/staff development plans, the use of learning technologies, and partners. Of central importance is how you achieve alignment and consistency—for example, via work systems, work processes, and key measurements. Also, alignment and consistency are intended to provide a basis for setting and communicating priorities for ongoing improvement activities—part of the daily work of all work units. In addition, performance measures are critical for tracking performance.
- Many types of analysis can be performed to ensure financial resources are available to support accomplishment of your action plans, while meeting existing obligations. The specific types of analysis will vary for different kinds of education organizations. These analysis should help your organization assess the financial viability of your current operations and the potential viability of and risks associated with your action plan initiatives.
- Action plans should include human resource or workforce plans that are aligned with and support your overall strategy.
- Examples of possible human resource plan elements are
  - education and training initiatives, including those that increase skills for assessment practices and increase knowledge of student learning styles, as well as developmental assignments to prepare future leaders and training programs on new technologies important to the future success of your workforce and your organization;
  - initiatives to promote greater labor-management cooperation, such as union partnerships;
  - a redesign of your work organization and jobs for staff members to increase workforce empowerment and decision making;
  - initiatives to prepare for future workforce capability and capacity needs;
  - initiatives to foster knowledge sharing and organizational learning.
  - creation of opportunities through the redesign of processes for your workforce to learn and use skills that go beyond current job assignments;
  - formation of partnerships with the business community to support workforce development;
  - introduction of distance learning or other technology-based learning approaches; or
  - introduction of performance improvement initiatives.
- Projections and comparisons in this Item are intended to improve your organization's ability to understand and track dynamic, competitive performance factors. Projected performance might include changes resulting from innovations in education delivery, the addition or termination of programs, the introduction of new technologies, program or service innovations, or other strategic thrusts. Through this tracking process, your organization should be better prepared to take into account its rate of improvement and change relative to that of competitors or comparable organizations and relative to its own targets or stretch goals. Such tracking serves as a key diagnostic tool for management.

Customer Focus (Category 3)

Customer Focus addresses how your organization seeks to engage your students and stakeholders, with a focus on meeting students' and stakeholders' needs, building relationships, and building loyalty to your organization and its programs, offerings, and services. The Category stresses this engagement as an important outcome of an overall student and stakeholder culture and listening, learning, and performance excellence strategy. Although many of the needs of stakeholders must be translated into educational services for students, the stakeholders themselves have needs that organizations also must accommodate. A key challenge frequently may be to balance differing needs and expecta-

tions of students and stakeholders. Your student and stakeholder satisfaction and dissatisfaction results provide vital information for understanding your students, stakeholders, and markets. In many cases, the voice of the customer provides meaningful information not only on your students' and stakeholders' views but also on their actions and behaviors (e.g., student persistence and positive referrals) and how these views and behaviors may contribute to the sustainability of your organization in the education community.



3.1 *Customer Engagement:* *How do you engage students and stakeholders to serve their needs and build relationships?*

Purpose

This Item examines your organization's processes for identifying and innovating programs, offerings, and services that serve your students and stakeholders. It also examines your mechanisms for supporting student and stakeholder use of the programs, offerings, and services, and for building a student and stakeholder culture within your workforce. The aim of these efforts is to build relationships with your students and stakeholders and increase their engagement with you.

Comments

- Customer engagement is a strategic action aimed at achieving such a degree of loyalty that the student or stakeholder will advocate for your institutions and your programs, offerings, and services. Achieving such loyalty requires a student- and stakeholder-focused culture in your workforce based on a thorough understanding of your organizational strategy and the behaviors and preferences of your students and stakeholders.
- A relationship strategy may be possible with some students and stakeholders but not with others. The relationship strategies you do have may need to be distinctly different for each student, student group, stakeholder group, and market segment. They also may need to be distinctly different in each stage of students' and stakeholders' relationships with you.

3.2 *Voice of the Customer:* *How do you obtain and use information from your students and stakeholders?*

Purpose

This Item examines your organization's processes for listening to your students and stakeholders, determining their satisfaction and dissatisfaction, and analyzing and using student and stakeholder data with the aim of building a more student- and stakeholder-focused culture and identifying opportunities for innovation.

Comments

- Selection of voice-of-the-customer strategies depends on your key organizational factors. Increasingly, organizations listen to the voice of the customer via multiple modes. Some frequently used modes include focus groups with key stakeholders, close integration with students and key stakeholders, interviews with lost and potential students and stakeholders about their education or relationship decisions, use of the student and stakeholder complaint process to understand key service attributes, win/loss analysis relative to competitors and other organizations providing similar educational services, and survey or feedback information.
- This Item emphasizes how you obtain actionable information from students and stakeholders. Information that is actionable can be tied to key programs, services, and processes and can be used to determine value, cost, and revenue implications for setting improvement goals and priorities for change.
- In a rapidly changing technological, competitive, economic, and social environment, many factors affect student and stakeholder expectations and loyalty and your interface with your students and stakeholders. This makes it necessary to continually listen and learn. To be effective, listening and learning needs to be closely linked with your organization's overall educational strategy.
- Knowledge of student segments, stakeholder groups, and market segments allows your organization to tailor programs, offerings, and services; to support and tailor your marketing strategies; to develop a more student- and stakeholder-focused workforce culture; to develop new educational programs, offerings, and services; and to ensure organizational sustainability.
- Complaint aggregation, analysis, and root cause determination should lead to effective elimination of the causes of complaints and to the setting of priorities for process and service improvements. Successful outcomes require effective deployment of information throughout the organization.
- In determining students' and stakeholders' satisfaction and dissatisfaction, a key aspect is their comparative satisfaction with competitors and organizations delivering similar educational services or alternative offerings. Such

information might be derived from available published data or from independent studies. The purpose of this comparison is to develop information that can be used for improving the delivery of educational, student, and support services, for creating an overall climate conducive to learning for all students, and understanding factors that potentially affect longer-term competitiveness and organizational sustainability.

Measurement, Analysis, and Knowledge Management (Category 4)

The Measurement, Analysis, and Knowledge Management Category is the main point within the Criteria for all key information about effectively measuring, analyzing, and improving performance and managing organizational knowledge to drive improvement in student and operational performance. In the simplest terms, Category 4 is the "brain center" for the alignment of your organization's programs and offerings with its strategic objectives. Central to such use of data and information are their quality and availability. Furthermore, since information, analysis, and knowledge management might themselves be core competencies that provide an advantage in your market or service environment, this Category also includes such strategic considerations.

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

Purpose

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

Comments

- Alignment and integration are key concepts for successful implementation of your performance measurement system. They are viewed in terms of the extent and effectiveness of their use to meet your performance assessment and improvement needs. Alignment and integration include how measures are aligned throughout your organization and how they are integrated to yield organization-wide data and information. Alignment and integration also include how performance measurement requirements are deployed by your senior leaders to track work group and process-level performance on key measures targeted for organization-wide significance or improvement.
- The use of comparative data and information is important to all organizations. The major premises for their use are that (1) your organization needs to know where it stands relative to competitors, to comparable organizations within and outside the academic community, and to best practices; (2) comparative information and information obtained from benchmarking often provide the impetus for significant ("breakthrough") improvement or change; and (3) comparing performance information frequently leads to a better understanding of your processes and their performance. Comparative information also may support organizational analysis and decisions relating to core competencies, partnering, and outsourcing.
- Your effective selection and use of comparative data and information require (1) the determination of needs and priorities, (2) criteria for seeking appropriate sources for comparisons—from within and outside your academic community and markets, and (3) the use of data and information to set stretch goals and to promote major, nonincremental ("breakthrough") improvements in areas most critical to your organization's strategy.
- The organizational review called for in this Item is intended to cover all areas of performance. This includes not only how well you currently are performing but also how well you are moving toward the future. It is anticipated that the review findings will provide a reliable means to guide both improvements and opportunities for innovation that are tied to your organization's key objectives, core competencies, success factors, and measures. Therefore, an important component of your organizational review is the translation of the review findings into an action agenda sufficiently specific for deployment throughout your organization and to your students, key stakeholders, suppliers, partners, and collaborators, as appropriate.
- Analyses that your organization conducts to gain an understanding of performance and needed actions may vary widely depending on your type of organization, size, competitive environment, and other factors. Examples of possible analyses include
  - how program, offering, and service improvements correlate with key student and stakeholder indicators, such as student achievement, student and stakeholder satisfaction and retention, and market share
  - trends in key indicators of customer (student) engagement, such as absenteeism, dropout rates, and use of educational services and facilities
  - trends for student assessment results, both formative and summative, disaggregated by student segments, as appropriate
  - the relationship among student experiences, outcomes, and program completion



- the relationship among student experiences, outcomes, and postprogram outcomes—in other schools or in the workplace, for example
- activity-level cost trends in organizational operations
- the relationship between student utilization of learning technologies and facilities and student performance
- the relationship between student demographics and outcomes
- the percentage of students attaining licenses, industry-recognized certifications, or other professional credentials
- student participation and achievement in advanced placement courses
- cost and budgetary implications of student- or stakeholder-related problems and effective problem resolution
- financial benefits derived from improvements in workforce safety, absenteeism, and turnover
- benefits and costs associated with education and training, including e-learning opportunities for your workforce
- the relationship between knowledge management and innovation
- how the ability to identify and meet workforce capability and capacity needs correlates with retention, motivation, and productivity
- cost and budgetary implications of workforce-related problems and effective problem resolution
- individual or aggregate measures of productivity and quality relative to comparable organizations' performance
- the relationship between work system design considerations (e.g., student grouping, workforce allocation, teaming, and inclusion) and student performance
- allocation of resources among alternative improvement projects based on cost/benefit implications or environmental and societal impact
- cost and financial implications of new educational programs, services, and market entry, and changing educational and operational needs and their impact on organizational sustainability

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

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

4.2 Management of Information, Knowledge, and Information Technology: How do you manage your information, organizational knowledge, and information technology?

Purpose

This Item examines how your organization ensures the quality and availability of needed data, information, software, and hardware for your workforce, students, stakeholders, suppliers and partners, and collaborators. It also examines how your organization builds and manages its knowledge assets. The aim is to improve organizational efficiency and effectiveness and to stimulate innovation.

Comments

- Managing information can require a significant commitment of resources as the sources of data and information grow dramatically. The continued growth of electronic information within organizations' operations—as part of organizational knowledge networks, from the Internet or intranet, and in communications between organizations and their students and stakeholders—challenges organizational abilities to ensure reliability and availability in a user-friendly format.
- Data and information are especially important in grade-to-grade, school-to-school, and school-to-work transitions and in partnerships with businesses, social services, and the community. Your responses to this Item should take into account this use of data and information and should recognize the need for rapid data validation and reliability assurance, given the increasing use of electronic data transfer.
- The focus of an organization's knowledge management is on the knowledge that people need to do their work; improve processes, programs, offerings, and services; keep current with changing educational service needs and directions; and develop innovative solutions that add value for students, stakeholders, and the organization.
- One of the many issues facing organizations today is how to manage, use, evaluate, and share their ever-increasing organizational knowledge. Leading organizations benefit from the knowledge assets of their workforce, customers, suppliers, collaborators, and partners, who together drive organizational learning and improve performance.
- Organizations should carefully plan how they will continue to provide an information technology infrastructure, data, and information in the event of either a natural or man-made disaster. These plans should consider the needs of all of the organization's stakeholders, including students, the workforce, suppliers, partners, and collaborators. The plans also should be coordinated with the organization's overall plan for operational continuity (Item 6.1).

Workforce Focus (Category 5)

Workforce Focus addresses key workforce practices—those directed toward creating and maintaining a high-performance work environment with a strong focus on students and learning and toward engaging your workforce to enable it and your organization to adapt to change and to succeed. The Category covers workforce engagement, development, and management in an integrated way (i.e., aligned with your organization's strategic objectives and action plans). Your workforce focus includes your capability and capacity needs and your workforce support climate.

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



5.1 Workforce Engagement: How do you engage your workforce to achieve organizational and personal success?

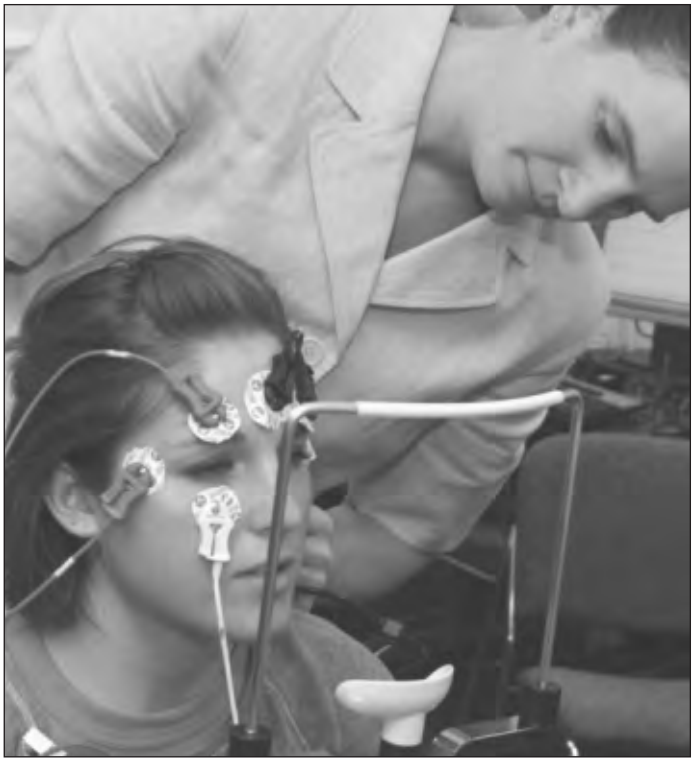
Purpose

This Item examines your organization's systems for engaging, developing, and assessing the engagement of your workforce, with the aim of enabling and encouraging all members of your workforce to contribute effectively and to the best of their ability. These systems are intended to foster student achievement and high performance, to address your core competencies, and to help accomplish your action plans and ensure organizational sustainability.

Comments

- High-performance work is characterized by a focus on student achievement, flexibility, innovation, knowledge and skill sharing, good communication and information flow, alignment with organizational objectives, and the ability to exercise discretion and make effective decisions to respond to changing educational service needs and requirements of your students, stakeholders, and markets. The focus of this Item is on a workforce capable of achieving high performance.
- Many studies have shown that high levels of workforce engagement have a significant, positive impact on organizational performance. Research has indicated that engagement is characterized by performing meaningful work; having organizational direction, performance accountability, and an efficient work environment; and having a safe, trusting, and cooperative environment. In education organizations, faculty, staff, and volunteers are often drawn to and derive meaning from their work because the work is aligned with their personal values.
- Factors inhibiting engagement should be understood and addressed by your organization. Further understanding of these factors could be developed through workforce surveys or exit interviews with departing members of your workforce.

- Compensation and recognition systems should be matched to your faculty and staff work systems. To be effective, compensation and recognition might be tied to demonstrated skills, administrator/supervisor evaluations, or student evaluations of teachers' classroom performance.
- Compensation and recognition approaches also might include rewards for exemplary performance of teams, departments, disciplines, or schools. Compensation and recognition might be linked to student and stakeholder engagement measures and the achievement of organizational strategic objectives or other key organizational objectives.
- Depending on the nature of your organization's work, workforce responsibilities, and the stage of organizational and personal development, workforce development needs might vary greatly. These needs might include gaining knowledge about assessment practices, learning styles, and effective methods for working with students from other cultures who have limited English proficiency. They also might include gaining skills in knowledge sharing, communications, interpreting and using data, using new technology, process analysis, and evaluating and understanding student behavior and character development, as well as other training that affects workforce effectiveness and safety.
- Learning and development opportunities might occur inside or outside your organization and could involve on-the-job, classroom, computer-based, or distance learning, as well as developmental assignments, coaching, or mentoring.
- To help people realize their full potential, many organizations use individual development plans prepared with each person that address his or her career and learning objectives.
- An organization's knowledge management system should provide the mechanism for sharing the knowledge of its people and the organization to ensure that high-performance work is maintained through transitions. Each organization should determine what knowledge is critical for its operations and should then implement systematic processes for sharing this information. This is particularly important for implicit knowledge (i.e., knowledge personally retained by members of the workforce).
- Measures to evaluate the effectiveness and efficiency of your workforce and leader development and learning systems might address the impact on individual, unit, and organizational performance; the impact on student performance; and a cost/benefit analysis.
- Although satisfaction with pay and satisfaction with promotion are important, these two factors generally are not sufficient to ensure workforce engagement and high performance. Some examples of other factors to consider



are effective problem and grievance resolution; development and career opportunities; the work environment and management support; workplace safety and security; the workload; effective communication, cooperation, and teamwork; job security; appreciation of the differing needs of diverse workforce groups; and organizational support for serving students and stakeholders.

- In addition to direct measures of workforce engagement through formal or informal surveys, some other indicators include absenteeism, turnover, grievances, and strikes.

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

Purpose

This Item examines your organization's workforce environment, your workforce capability and capacity needs, how you meet those needs to accomplish the work of your organization, and how you ensure a safe and supportive work climate. The aim is to build an effective environment for accomplishing your work and for supporting your workforce.

Comments

- Most education organizations, regardless of size, have many opportunities to support their workforce. Some examples of services, facilities, activities, and other opportunities are personal and career counseling, career development and employability services, recreational or cultural activities, formal and informal recognition, nonwork-related education, day care, special leave for family responsibilities and community service, flexible work hours and benefits packages, outplacement services,

and retiree benefits, including extended health care and ongoing access to services.

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

Process Management (Category 6)

Process Management is the focal point within the Criteria for your key work systems and work processes. This Category addresses how the work of your organization is accomplished. It stresses the importance of your core competencies and how you protect and capitalize on them for success and organizational sustainability. It calls specific attention to the need to prepare for potential emergencies and to ensure continuity of operations.

Efficient and effective work systems require effective design; a focus on student learning; a prevention orientation; linkage to students, stakeholders, suppliers, partners, and collaborators, and a focus on value creation for all key stakeholders; operational performance; cycle time; emergency readiness; and evaluation, continuous improvement, innovation, and organizational learning.

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

6.1 Work Systems: How do you design your work systems?

Purpose

This Item examines your organization's work systems, core competencies, and work process decisions, with the aim of creating value for your students and other key stakeholders and improving your organization's educational effectiveness, preparing for potential emergencies, and achieving organizational success and sustainability.

Comments

- This Item asks how you design your overall work systems and how you organize all of the work needed to produce your educational programs, offerings, and services. It draws a critical linkage to your core competencies, which frequently are underappreciated as key sources of organizational sustainability, competitive advantage, and market respect.
- This Item calls for information on your key work processes, including a description of the key work processes and their specific requirements. Increasingly, these requirements might include the need for agility—speed and flexibility—to adapt to change.
- Your key work processes include your program-related processes and those nonprogram business processes that are considered important to organizational success and growth by your senior leaders. These processes frequently relate to an organization's core competencies, strategic objectives, and critical success factors. Key business processes might include processes for innovation, research and development, technology acquisition, information and knowledge management, supplier partnering, outsourcing, project management, and marketing. For some education organizations, key business processes might include fundraising, media relations, and public policy advocacy. Given the diverse nature of these processes, the requirements and performance characteristics might vary significantly for different processes.
- Your key work processes include those that support your daily operations and your program, offering, and service delivery but are not usually designed in detail with the programs, offerings, and services. The support process requirements usually do not depend significantly on program, offering, or service characteristics. Support process design requirements usually depend significantly on your internal requirements, and they must be coordinated and integrated to ensure efficient and effective linkage and performance. Support processes might include finance and accounting, facilities management, legal services, human resource services, public relations, and other administrative services.
- Many organizations need to consider requirements for suppliers, partners, and collaborators at the work system and work process design stage. Suppliers, partners, and collaborators are receiving increasing strategic attention as organizations reevaluate their core competencies. Supplier processes should fulfill two purposes: to help improve the performance of suppliers and partners and, on specific actions, to help them contribute to your organization's improved work systems. Supplier management might include processes for selecting suppliers, with the aim of reducing the total number of suppliers and increasing preferred supplier and partnering agreements.

- Achieving expected student learning frequently requires setting performance levels or standards against which to gauge progress and to guide decision making in the design and delivery of programs. Preparing for individual differences in students requires understanding those differences and associated strategies to capitalize on strengths and overcome obstacles in styles and rates of learning.
- Efficiency and effectiveness factors, such as addressing sequencing and linkages among programs and offerings, should take into account the various stakeholders in the educational process. Transfer of learning from past design projects, as well as among and across grade levels, disciplines, and institutions, can improve the design and delivery process and contribute to reduced cycle time in future efforts.
- Efforts to ensure the continuity of operations in an emergency should consider all facets of your organization's operations that are needed to provide your programs, offerings, and services to students and stakeholders. You should consider all your key work processes in your planning. The specific level of service that you will need to provide will be guided by your organization's mission and your students' and stakeholders' needs and requirements. Your continuity of operations efforts also should be coordinated with your efforts to ensure data and information availability (Item 4.2).

6.2 Work Processes: How do you design, manage, and improve your key organizational work processes?

Purpose

This Item examines the design, management, and improvement of your key work processes, with the aim of creating value for your students and stakeholders and achieving organizational success and sustainability.



Comments

- Your design approaches could differ appreciably depending on the nature of your programs, offerings, and services—whether they are entirely new, are variants, or involve major or minor work process changes. You should consider the key requirements for your programs, offerings, and services. Factors that might need to be considered in work process design include desired learning outcomes; your organization's mission; your market and/or student segments; workforce capacity; differences in student learning styles and rates; measurement capability; process capability; availability or scarcity of staff with critical skills; variability in student and stakeholder expectations requiring program, offering, or service options; supplier and partner capability; safety and risk management; long-term performance; environmental impact and use of "green" strategies; technology; facility capacity or utilization; regulatory requirements; and documentation. Effective design also must consider the cycle time and productivity of programs, offerings, and services, and their delivery processes. This might involve detailed mapping of program or service processes and the redesign ("reengineering") of those processes to achieve efficiency, as well as to meet changing student and stakeholder requirements.
- Specific reference is made to in-process measurements and to interactions with students, stakeholders, and suppliers. These measurements and interactions require the identification of critical points in processes for measurement, observation, or interaction. These activities should occur at the earliest points possible in processes to minimize problems and costs that may result from deviations from expected performance. Achieving expected performance frequently requires setting in-process performance levels or standards to guide decision making. When deviations occur, corrective action is required to restore the performance of the process to its design specifications. Proper corrective action involves changes at the source (root cause) of the deviation. Such corrective action should minimize the likelihood of this type of variation occurring again or elsewhere in your organization. When student and stakeholder interactions are involved, differences among student and stakeholder segments must be considered in evaluating how well the process is performing. This might entail allowing for specific or general contingencies, depending on student differences and needs. Key process cycle times in some organizations may be a year or longer, which may create special challenges in measuring day-to-day progress and identifying opportunities for reducing cycle times, when appropriate.
- This Item also calls for information on how processes are improved to achieve better performance. Better performance means not only better quality from your students'

and stakeholders' perspectives but also better financial and operational performance—such as productivity—from your other stakeholders' perspectives. A variety of process improvement approaches are commonly used.



These approaches include (1) using the results of organizational performance reviews, (2) sharing successful strategies across your organization to drive learning and innovation, (3) performing process analysis and research (e.g., process mapping, optimization experiments, error proofing), (4) conducting technical and educational research and development, (5) benchmarking, (6) using alternative technology, and (7) using information from stakeholders affected by the processes—within and outside your organization. Process improvement approaches might utilize financial data to evaluate alternatives and set priorities. Together, these approaches offer a wide range of possibilities, including a complete redesign ("reengineering") of processes.

Results (Category 7)

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

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

Purpose

This Item examines your organization's key student learning outcomes, with the aim of demonstrating the effectiveness of educational programs and activities across all student segments, as well as achieving value that leads to student and stakeholder satisfaction and engagement.

Comments

- This Item addresses the principal student learning results based on mission-related factors and assessment methods. This Item is critical for your organizational assessment because it focuses on improvement by the organization over time and on achievement levels relative to those of competitors and comparable organizations or student populations. Proper use of this Item depends on evaluating gains in student learning relative to education organizations with similar performance levels for their entering students, as well as gains in achievement for individual students and student segments.
- The following considerations are critical to understanding this Item: (1) student learning should reflect holistic and mission-related results; (2) current levels and trends should be reported and used for comparisons with other organizations providing similar services or with other student populations, as well as to demonstrate year-to-year improvement; and (3) data should be segmented by student segments to permit an analysis of trends and comparisons that demonstrates the organization's success in enabling learning for all students.



- Student learning results should reflect not only what students know but also what they have learned as a result of the educational program, what they are able to do, and how well they are able to function. Results should consider external requirements derived from your markets and your stakeholders, including local, state, and federal mandates. Appropriate for inclusion are assessment results—both curriculum-based and criterion-referenced—that address key learning goals and overall performance requirements.
- Although better admission criteria might contribute to improved education for all students, improved student learning based entirely on changing students' entry-level qualifications should not be reported in Item 7.1. However, improvement trends in student admission qualifications are appropriate for inclusion in Process Effectiveness Outcomes (Item 7.5). Improvement in student learning beyond that which could be attributed to entry-level qualifications is appropriate for inclusion in Item 7.1, along with other measures and indicators of improvement trends and comparisons, including the use of value-added methodologies, as appropriate.
- Determining the correlation between education design and delivery and student learning is a critical management tool for (1) defining and focusing on key instructional requirements; (2) identifying educational service differentiators; and (3) determining cause-effect relationships between your educational service attributes and various factors, including evidence of student and stakeholder satisfaction and engagement; student persistence, graduation, and course completion; and positive referrals. The correlation might reveal emerging or changing requirements, changing markets, or the potential obsolescence of educational offerings.

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

Purpose

This Item examines your organization's student- and stakeholder-focused performance results, with the aim of demonstrating how well your organization has been satisfying your students and stakeholders and engaging them in a long-term relationship, as appropriate.

Comments

- This Item focuses on all relevant data to determine and help predict your organization's performance as viewed by your students and stakeholders. Relevant data and information include student and stakeholder satisfaction and dissatisfaction; gains and losses of students; positive referrals; complaints, complaint management, and effective complaint resolution; student- and stakeholder-perceived value; student assessment of the accessibility and availability of educational programs and offerings; students' and stakeholders' advocacy for your organization and your programs, offerings, and services; and awards, ratings, and recognition from independent rating organizations.
- This Item places an emphasis on student- and stakeholder-focused results that go beyond satisfaction measurements, because relationships and engagement are better indicators and measures of future success in the education environment and of organizational sustainability. Effectively used, student- and stakeholder-focused results provide important indicators of organizational effectiveness and improvement. The underlying purpose of the Item is to ensure that student- and stakeholder-focused results provide a useful tool in assessing key factors that contribute to or inhibit education. Together, the results reported in Item 7.2 should help guide action leading to improved student performance, recognizing that the action might address curricula, faculty development, and many other factors. The Item should not be interpreted as emphasizing "popularity" or other short-term, noneducational aims.

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

Purpose

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



financial sustainability, and your market challenges and opportunities.

Comments

- Measures reported in this Item are those usually tracked by senior leadership on an ongoing basis to assess your organization's financial performance and viability.
- In addition to the measures included in Item 7.3, Note 1, appropriate measures of budgetary and financial performance might include the tax rate. Market performance measures might include market share, measures of growth or loss of students or programs, new educational services, entry into Web-based and distance learning markets, and market position. Measures also might include utilization of new educational program offerings; the number of students transferring into or out of the organization, including into or from alternative educational services such as home schooling, charter schools, or vouchers; and new or expanded delivery methods, as appropriate. Comparative data for these measures might include performance relative to comparable organizations, competing organizations, and appropriate benchmarks from within and outside the academic community.

7.4 Workforce-Focused Outcomes: What are your workforce-focused performance results?

Purpose

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

Comments

- Results measures reported for indicators of workforce engagement and satisfaction might include improvement in local decision making, organizational culture, and workforce knowledge sharing. Input data, such as the extent of training might be included, but the main emphasis should be on data that show effectiveness or outcomes. For example, an outcome measure might be increased workforce retention resulting from establishing a peer recognition program or the number of promotions that have resulted from the organization's leadership development program.
- Results reported for indicators of workforce capacity and capability might include staffing levels across organizational units and certifications to meet skill needs. Additional factors may include organizational restructuring, as well as job rotations designed to meet strategic directions or customer requirements.
- Results reported might include generic or organization-specific factors. Generic factors might include safety, absenteeism, turnover, satisfaction, and complaints



(grievances). For some measures, such as absenteeism and turnover, local or regional comparisons might be appropriate. Organization-specific factors are those you assess for determining your workforce engagement and climate. These factors might include the extent of training, retraining, or cross-training to meet capability and capacity needs; the extent and success of self-direction; the extent of union-management partnering; or the extent of volunteer involvement in process and program activities, as appropriate.

7.5 Process Effectiveness Outcomes: What are your process effectiveness results?

Purpose

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

Comments

- This Item encourages your organization to develop and include unique and innovative measures to track key processes and operational improvement. All key areas of organizational and operational performance, including your organization's readiness for emergencies, should be evaluated by measures that are relevant and important to your organization.

- Measures and indicators of process effectiveness and efficiency might include work system performance that demonstrates improved cost savings or higher productivity by using internal and/or external resources; performance measures, including those that influence student learning and student and stakeholder satisfaction; internal responsiveness indicators, such as cycle times for the development and/or implementation of new programs or services; improved performance of administrative and other support functions, such as purchasing, cost containment, and the redirection of resources from other areas to education; reductions in reteaching or the need for supplemental educational services; and supplier management indicators, such as reductions in inventory, increases in quality and productivity, improvements in electronic data exchange, and reductions in supplier management costs.

7.6 Leadership Outcomes: What are your leadership results?

Purpose

This Item examines your organization's key results in the areas of leadership and governance, strategic plan accomplishment, and societal responsibilities, with the aim of maintaining a fiscally sound, ethical organization that fulfills its societal responsibilities and supports its key communities.

Comments

- Because many organizations have difficulty determining appropriate measures, measuring progress in accomplishing their strategic objectives is a key challenge. Frequently, these progress measures can be discerned by first defining the results that would indicate end-goal success in achieving the strategic objective and then using that end-goal to define intermediate measures.
- Independent of an increased national focus on issues of governance and fiscal responsibility, ethics, and leadership accountability, it is important for organizations to practice and demonstrate high standards of overall conduct. Governance bodies and senior leaders should track relevant performance measures on a regular basis and emphasize this performance in stakeholder communications.
- Key measures or indicators of fiscal accountability, stakeholder trust, and ethical behavior might include the integrity of testing; student and stakeholder safety; faculty and staff accreditation; equal access to resources, programs, and facilities; and appropriate use of funds.
- Results reported should include environmental, legal, safety, accreditation, and regulatory compliance; results of oversight audits by government or funding agencies; and noteworthy achievements in these areas, as appropriate. Results also should include organizational contributions to societal well-being and support for key communities.
- If your organization has received sanctions or adverse actions under law, regulation, or contract during the past five years, the incidents and their current status should be summarized.



Criteria Purposes

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

- to help improve organizational performance practices, capabilities, and results
- to facilitate communication and sharing of information on best practices among education organizations and among U.S. organizations of all types
- to serve as a working tool for understanding and managing performance and for guiding organizational planning and opportunities for learning

Education Criteria for Performance Excellence Goals

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

- delivery of ever-improving value to students and stakeholders, contributing to education quality and organizational stability
- improvement of overall organizational effectiveness and capabilities
- organizational and personal learning

Core Values and Concepts

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

- visionary leadership
- learning-centered education
- organizational and personal learning
- valuing workforce members and partners
- agility
- focus on the future
- managing for innovation
- management by fact
- societal responsibility
- focus on results and creating value
- systems perspective

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

Visionary Leadership

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

Senior leaders should serve as role models through their ethical behavior and their personal involvement in planning, communicating, coaching the workforce, developing future leaders, reviewing organizational performance, and recognizing members of your workforce. As role models, they can reinforce ethics, values, and expectations while building leadership, commitment, and initiative throughout your organization.

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

Learning-Centered Education

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

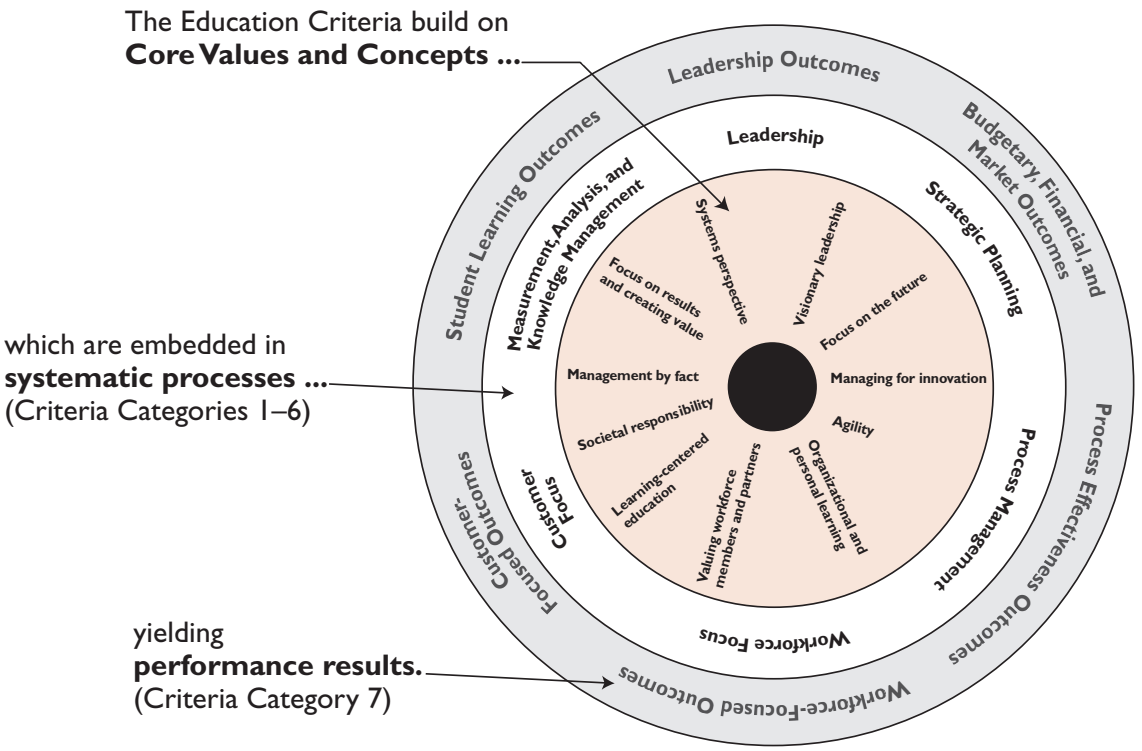
A learning-centered organization needs to fully understand these requirements and translate them into appropriate curricula and developmental experiences. For example, changes in technology and in the national and world economies have increased demands on employees to become knowledge workers and problem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

Learning-centered education is a strategic concept that demands constant sensitivity to changing and emerging student, stakeholder, and market requirements and to the factors that drive student learning, satisfaction, and persistence. It demands anticipation of changes in the education market. Therefore, learning-centered education demands awareness of developments in technology and competitors' programs and offerings, as well as rapid and flexible responses to student, stakeholder, and market changes. In addition to providing programs, offerings, and services that meet student and stakeholder requirements, learning-centered education addresses those features and characteristics that differentiate the organization from its competitors. Such differentiation may be based on innovative offerings; combinations of programs, offerings, and services; customization of offerings; multiple access mechanisms; rapid responses; or special relationships.

Key characteristics of learning-centered education include the following:

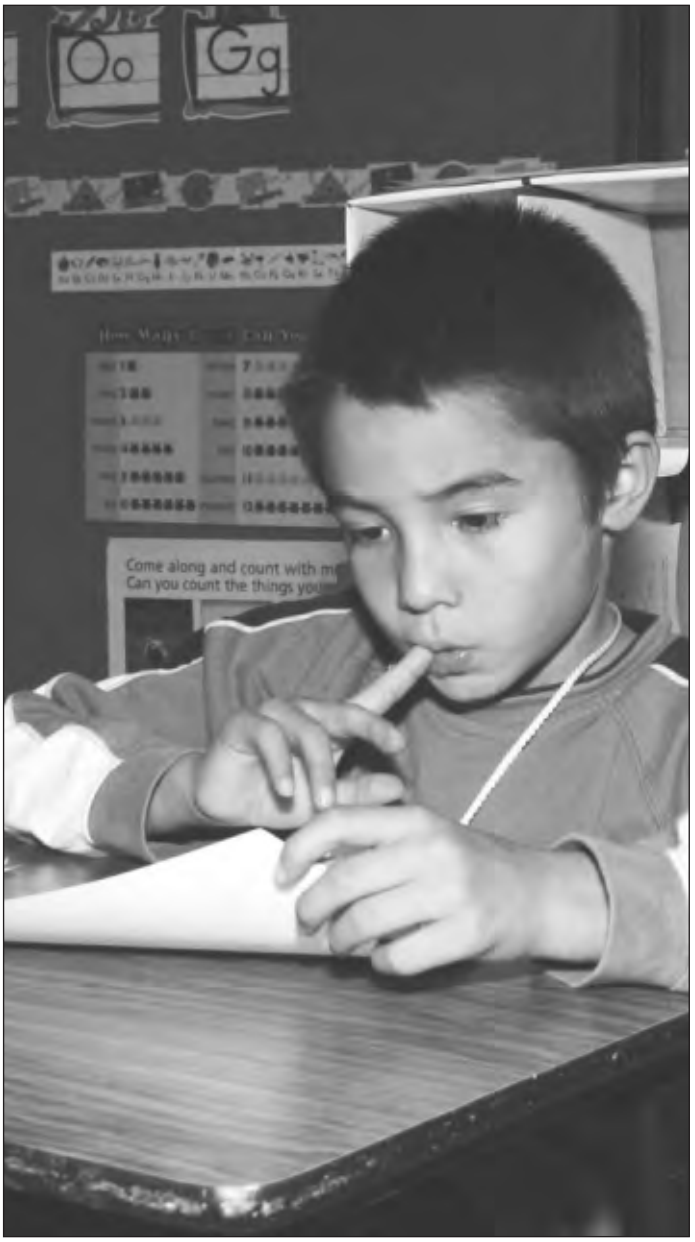
- High expectations and standards are set for all students and incorporated into assessments.
- Faculty members understand that students may learn in different ways and at different rates. Student learning rates and styles may differ over time and may vary depending on subject matter. Learning may be influenced by support, guidance, and climate factors, including factors that contribute to or impede learning. Thus, the learning-centered organization needs to maintain a constant search for alternative ways to enhance learning. Also, the organization needs to develop actionable information on individual students that affects their learning.
- A primary emphasis on active learning is provided. This may require the use of a wide range of techniques, materials, and experiences to engage student interest. Techniques, materials, and experiences may be drawn from external sources, such as businesses, community services, or social service organizations.
- Formative assessment is used to measure learning early in the learning process and to tailor learning experiences to individual needs and learning styles.
- Summative assessment is used to measure progress against key, relevant external standards and norms regarding what students should know and should be able to do.
- Students and families are assisted in using self-assessment to chart progress and to clarify goals and gaps.
- Key transitions, such as school-to-school and school-to-work, are emphasized.

The Role of Core Values and Concepts



Organizational and Personal Learning

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



Organizational learning can result in (1) enhancing value to students and stakeholders through new and improved programs, offerings, and services; (2) developing new educational opportunities; (3) developing new and improved processes and, as appropriate, business models; (4) reducing errors, variability, waste, and related costs; (5) improving responsiveness and cycle time performance; (6) increasing productivity and effectiveness in the use of all your resources; and (7) enhancing your organization's performance in fulfilling its societal responsibilities and its service to your community.

The success of members of your workforce depends increasingly on having opportunities for personal learning and for practicing new skills. Leaders' success depends on access to these kinds of opportunities, as well. In organizations that rely on volunteers, the volunteers' personal learning also is important, and their learning and skill development should be considered with that of the faculty and staff. Organizations invest in personal learning through education, training, and other opportunities for continuing growth and development. Such opportunities might include job rotation and increased pay for demonstrated knowledge and skills. Education and training programs may have multiple modes, including computer- and Web-based learning and distance learning.

Personal learning can result in (1) a more engaged, satisfied, and versatile workforce that stays with your organization; (2) organizational cross-functional learning; (3) the building of your organization's knowledge assets; and (4) an improved environment for innovation.

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

Valuing Workforce Members and Partners

An organization's success depends increasingly on an engaged workforce that benefits from meaningful work, clear organizational direction, and performance accountability and that has a safe, trusting, and cooperative environment. Additionally, the successful organization capitalizes on the diverse backgrounds, knowledge, skills, creativity, and motivation of its workforce and partners.

Valuing the people in your workforce means committing to their engagement, satisfaction, development, and well-being. Increasingly, this involves more flexible, high-performance work practices tailored to varying workplace and home life needs. For staff, development might include classroom and on-the-job training, job rotation, and pay for

demonstrated skills. For faculty, development means building not only discipline knowledge but also knowledge of student learning styles and of assessment methods. Faculty participation might include contributing to the organization's policies and working in teams to develop and execute programs and curricula. Increasingly, participation is becoming more student focused and more multidisciplinary. Organization leaders should work to eliminate disincentives for groups and individuals to sustain these important, learning-focused professional development activities. Major challenges in the area of valuing members of your workforce include (1) demonstrating your leaders' commitment to their success, (2) providing recognition that goes beyond the regular compensation system, (3) offering development and progression within your organization, (4) sharing your organization's knowledge so your workforce can better serve your students and stakeholders and contribute to achieving your strategic objectives, (5) creating an environment that encourages creativity and innovation, and (6) creating a supportive environment for a diverse workforce.

Organizations need to build internal and external partnerships to better accomplish overall goals. Internal partnerships might include cooperation among senior leaders, faculty, and staff; they might also include workforce bargaining unit cooperation. Partnerships with members of your workforce might entail developmental opportunities, cross-training, or new work organizations, such as high-performance work teams. Internal partnerships also might involve creating network relationships among your work units or between faculty and staff and volunteers to improve flexibility, responsiveness, and knowledge sharing.

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

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

Agility

Success in today's ever-changing, globally competitive environment demands agility—a capacity for faster and more flexible responses to the needs of your students and stakeholders. Many organizations are learning that an explicit focus on and measurement of response times help drive the simplification of the organizational structure and work processes, and major improvements in response times often require new work systems. Education organizations are increasingly being asked to respond rapidly to new or emerging social issues. A cross-trained and empowered workforce is a vital asset in such a demanding environment.

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

Focus on the Future

Creating a sustainable organization requires understanding the short- and longer-term factors that affect your organization and the education market. The pursuit of education excellence, sustainable growth, and sustained performance requires a strong future orientation and a willingness to make long-term commitments to students and key stakeholders—your community, parents, employers, workforce, suppliers, partners, and the public.

Your organization's planning should anticipate many factors, such as changes in educational requirements and instructional approaches, resource availability, students' and stakeholders' expectations, new partnering opportunities, workforce development and hiring needs, technological developments, changes in demographics and in student and market segments, new business models (as appropriate), changes in community and societal expectations and needs, and strategic moves by comparable organizations. Strategic



objectives and resource allocations need to accommodate these influences.

A major longer-term investment associated with your organization's improvement is the investment in creating and sustaining a mission-oriented assessment system focused on learning. This entails faculty education and training in assessment methods. In addition, the organization's leaders should be familiar with research findings and practical applications of assessment methods and learning style information. A focus on the future includes developing your leaders, workforce, and suppliers; accomplishing effective succession planning; creating opportunities for innovation; and anticipating societal responsibilities and concerns.

Managing for Innovation

Innovation means making meaningful change to improve an organization's programs, services, processes, operations, and business model, if appropriate, to create new value for the



organization's stakeholders. Innovation should lead your organization to new dimensions of performance. Innovation is no longer strictly the purview of research; innovation is important for all aspects of your operations and all work systems and work processes. Organizations should be led and managed so that innovation becomes part of the learning culture. Innovation should be integrated into daily work and should be supported by your performance improvement system. Systematic processes for innovation should reach across your entire organization.

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

Management by Fact

Organizations depend on the measurement and analysis of performance. Such measurements should derive from the organization's needs and strategy, and they should provide critical data and information about key processes and results. Many types of data and information are needed for performance management. Performance measurement should focus on student learning, which requires a comprehensive and integrated fact-based system—one that includes input data, environmental data, performance data, comparative/competitive data, workforce data, cost data, process performance, and operational performance measurement. Measurement areas might include students' backgrounds, learning styles, aspirations, academic strengths and weaknesses, educational progress, classroom and program learning, satisfaction with instruction and services, extracurricular activities, dropout/matriculation rates, and postgraduation success. Examples of appropriate data segmentation include, but are not limited to, segmentation by student learning results, student demographics, and workforce groups.

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

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

Societal Responsibility

An organization's leaders should stress responsibilities to the public, ethical behavior, and the need to consider societal well-being and benefit. Leaders should be role models for your organization in focusing on ethics and the protection of public health, safety, and the environment. The protection of health, safety, and the environment includes any impact of your organization's operations. Also, organizations should emphasize resource conservation and waste reduction at the source. Planning should anticipate adverse impacts

that might arise in facilities management, laboratory operations, and transportation. Effective planning should prevent problems, provide for a forthright response if problems occur, and make available the information and support needed to maintain public awareness, safety, and confidence.

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

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

Managing societal responsibilities requires the organization to use appropriate measures and leaders to assume responsibility for those measures.

Focus on Results and Creating Value

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

Systems Perspective

The Baldrige Education Criteria provide a systems perspective for managing your organization and its key processes to achieve results—and to strive for performance excellence. The seven Baldrige Criteria Categories, the Core Values, and the Scoring Guidelines form the building blocks and the integrating mechanism for the system. However, successful management of overall performance requires organization-specific synthesis, alignment, and integration. Synthesis means looking at your organization as a whole and builds on key educational attributes, including your core competencies, strategic objectives, action plans, and work systems. Alignment means using the key linkages among requirements given in the Baldrige Criteria Categories to ensure consistency of plans, processes, measures, and actions. Integration builds on alignment, so that the individual components of your performance management system operate in a fully interconnected manner and deliver anticipated results.

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

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

Linkage of the Education Criteria to the Baldrige Business/Nonprofit Criteria

The 2009–2010 Education Criteria incorporate the Core Values and Concepts described on the preceding pages and are built on the seven-part framework used in the Business/Nonprofit Criteria. The rationale for the use of the same framework is that it is adaptable to the requirements of all organizations, including education organizations. However, this adaptation does not assume that these requirements are necessarily addressed in the same way. This adaptation for the education sector, then, is largely a translation of the language and basic concepts of business and organizational excellence to similarly important concepts in education excellence. A major practical benefit derived from using a common framework for all sectors of the economy is that it fosters cross-sector cooperation and the sharing of best practices.

Key Characteristics of the Education Criteria

1. The Criteria focus on results.

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

Organizational performance areas:

(1) student learning outcomes

(2) customer-focused outcomes

(3) budgetary, financial, and market outcomes

(4) workforce-focused outcomes

(5) process effectiveness outcomes, including key operational performance results

(6) leadership outcomes, including governance and societal responsibility results

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

2. The Criteria are nonprescriptive and adaptable.

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

- how your organization should be structured;
- that your organization should or should not have departments for planning, ethics, quality, or other functions; or
- that different units in your organization should be managed in the same way.

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

The Criteria are nonprescriptive for the following reasons:

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

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

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

3. The Criteria integrate key education themes.

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

- The Education Criteria place a primary focus on teaching and learning because these are the principal goals of education organizations.
- While the Education Criteria stress a focus on student learning for all education organizations, individual organizational missions, roles, and programs will vary for different types of organizations (e.g., primary and secondary schools, trade schools, engineering schools, or teaching and research organizations).
- Students are the key customers of education organizations, but there may be multiple stakeholders (e.g., parents, employers, other schools, and communities).
- The concept of excellence includes three components: (1) a well-conceived and well-executed assessment strategy; (2) year-to-year improvement in key measures and indicators of performance, especially student learning; and (3) demonstrated leadership in performance and performance improvement relative to comparable organizations and to appropriate benchmarks.

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

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

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

A systems perspective to goal alignment, particularly when strategy and goals change over time, requires

dynamic linkages among Criteria Items. In the Criteria, action-oriented cycles of improvement take place via feedback between processes and results.

The improvement cycles have four, clearly defined stages:

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

(2) executing plans (**deployment**)

(3) assessing progress and capturing new knowledge, including seeking opportunities for innovation (**learning**)

(4) revising plans based on assessment findings, harmonizing processes and work unit operations, and selecting better measures (**integration**)

5. The Criteria support goal-based diagnosis.

The Criteria and the Scoring Guidelines make up a two-part diagnostic (assessment) system. The Criteria are a set of 18 performance-oriented requirements. The Scoring Guidelines spell out the assessment dimensions—Process and Results—and the key factors used to assess each dimension. An assessment thus provides a profile of strengths and opportunities for improvement relative to the 18 performance-oriented requirements and relative to process and performance maturity as determined by the Scoring Guidelines. In this way, assessment leads to actions that contribute to performance improvement in all areas, as described in the shaded box on the previous page. This diagnostic assessment is a useful management tool that goes beyond most performance reviews and is applicable to a wide range of strategies, management systems, and types of organizations.



Glossary of Key Terms

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

Action Plans

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

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

See also the definition of "strategic objectives" on page 66.

Active Learning

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

Alignment

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

See also the definition of "integration" on page 63.

Analysis

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

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

Anecdotal

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

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

See also the definition of "systematic" on page 67.

Approach

The term "approach" refers to the methods used by an organization to address the Baldrige Criteria Item requirements. Approach includes the appropriateness of the methods to the Item requirements, and to the organization's operating environment, as well as how effectively the methods are used.

Approach is one of the dimensions considered in evaluating Process Items. For further description, see the Scoring System on pages 69–71.

Basic Requirements

The term "basic requirements" refers to the topic Criteria users need to address when responding to the most central concept of an Item. Basic requirements are the fundamental theme of that Item (e.g., your approach for strategy development in Item 2.1). In the Criteria, the basic requirements of each Item are presented as the Item title question. This presentation is illustrated in the Item format shown on page 31.

Benchmarks

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

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

Capability, Workforce

See "workforce capability."

Capacity, Workforce

See "workforce capacity."

Collaborators

The term "collaborators" refers to those organizations or individuals who cooperate with your organization to support a particular activity or event or who cooperate on an intermittent basis when short-term goals are aligned or are the same. Typically, collaborations do not involve formal agreements or arrangements.

See also the definition of "partners" on page 64.

Core Competencies

The term "core competencies" refers to your organization's areas of greatest expertise. Your organization's core competencies are those strategically important capabilities that are central to fulfilling your mission or provide an advantage in your market or service environment. Core competencies frequently are challenging for competitors or suppliers and partners to imitate, and they may provide a sustainable competitive advantage.

Core competencies may involve technology expertise or unique educational programs, offerings, or services that are responsive to the needs of your students, stakeholders, and market.

Customer

In the Education Criteria, the term "customer" refers to students and stakeholders who are actual and potential users of your organization's educational programs, offerings, or services. The Criteria address customers broadly, referencing current and future customers, as well as the customers of your competitors and other organizations providing similar educational programs, offerings, or services.

See the definition of "stakeholders" on page 66 for the relationship between customers and others who might be affected by your programs, offerings, and services.

Customer Engagement

The term "customer engagement" refers to your students' and stakeholders' investment in or commitment to your organization and educational programs, offerings, and services. It is based on your ongoing ability to serve their needs and build relationships so they will continue using your programs, offerings, and services. Characteristics of customer engagement include customer retention and loyalty, customers' willingness to make an effort to seek educational services with your organization, and customers' willingness to actively advocate for and recommend your organization and your programs, offerings, and services.

Cycle Time

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

Deployment

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

Deployment is one of the dimensions considered in evaluating Process Items. For further description, see the Scoring System on pages 69–71.

Diversity

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

The Baldrige Criteria refer to the diversity of your workforce hiring communities and student and stakeholder communities. Capitalizing on these communities provides enhanced opportunities for high performance; student and stakeholder, workforce, and community satisfaction; and student, stakeholder, and workforce engagement.

Educational Programs, Offerings, and Services

"Educational programs" and "offerings" refer to all activities that engage students in learning or that contribute to scientific or scholarly investigation, including courses, degree programs, research, outreach, community service, cooperative projects, and overseas studies. Design of programs and offerings requires the identification of critical points (the earliest points possible) in the teaching and learning process for measurement, observation, or intervention. Educational "services" refers to those that are considered most important to student matriculation and success. These might include services related to counseling, advising, and tutoring students; libraries and information technology; and student recruitment, enrollment, registration, placement, financial aid, and housing. They also might include food services, security, health services, transportation, and book stores.

Education Delivery

The term "education delivery" refers to the deployment of instructional approaches—modes of teaching and organizing activities and experiences so that effective learning takes place. Education delivery may include active learning, cooperative or collaborative learning, distance education, distributed learning, online tutorials, guided discussion lists, video streaming, teleconferencing, or self-paced learning. See also the definition of "active learning" on page 59.

Effective

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

Empowerment

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

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

Engagement, Customer

See "customer engagement."

Engagement, Workforce

See "workforce engagement."

Ethical Behavior

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

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

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

Faculty and Staff

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

See also the definition of "workforce" on page 68.

Formative Assessment

The term "formative assessment" refers to frequent or ongoing evaluation during courses, programs, or learning experiences that gives an early indication of what students are learning, as well as their strengths and weaknesses. Formative assessment often is used as a diagnostic tool for students and faculty, providing information with which to make real-time improvements in instructional methods, materials, activities, techniques, and approaches.

Goals

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

Goals can serve many purposes, including

- clarifying strategic objectives and action plans to indicate how you will measure success
- fostering teamwork by focusing on a common end
- encouraging "out-of-the-box" thinking (innovation) to achieve a stretch goal
- providing a basis for measuring and accelerating progress

Governance

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

High-Performance Work

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

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

How

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

Indicators

See "measures and indicators."

Innovation

The term "innovation" refers to making meaningful change to improve programs, services, processes, or organizational effectiveness and to create new value for students and stakeholders. Innovation involves the adoption of an idea,

process, technology, or product that is either new or new to its proposed application. The outcome of innovation is a discontinuous or breakthrough change in results, programs, offerings, or services.

Successful organizational innovation is a multistep process that involves development and knowledge sharing, a decision to implement, implementation, evaluation, and learning. Although innovation is often associated with technological innovation, it is applicable to all key organizational processes that would benefit from change, whether through breakthrough improvement or a change in approach or outputs. It could include fundamental changes in organizational structure to more effectively accomplish the organization's work.

Integration

The term "integration" refers to the harmonization of plans, processes, information, resource decisions, actions, results, and analysis to support key organization-wide goals. Effective integration goes beyond alignment and is achieved when the individual components of a performance management system operate as a fully interconnected unit.

See also the definition of "alignment" on page 59.

Integration is one of the dimensions considered in evaluating both Process and Results Items. For further description, see the Scoring System on pages 69–71.

Key

The term "key" refers to the major or most important elements or factors, those that are critical to achieving your intended outcome. The Baldrige Criteria, for example, refer to key challenges, key plans, key work processes, and key measures—those that are most important to your organization's success. They are the essential elements for pursuing or monitoring a desired outcome.

Knowledge Assets

The term "knowledge assets" refers to the accumulated intellectual resources of your organization. It is the knowledge possessed by your organization and its workforce in the form of information, ideas, learning, understanding, memory, insights, cognitive and technical skills, and capabilities. Your workforce, curricula, software, databases, documents, guides, and policies and procedures are repositories of your organization's knowledge assets. Knowledge assets are held not only by an organization but reside within its students and stakeholders, suppliers, and partners, as well.

Knowledge assets are the "know-how" that your organization has available to use, to invest, and to grow. Building and managing its knowledge assets are key components for your organization to create value for your students and stakeholders and to help sustain a competitive advantage.

Leadership System

The term "leadership system" refers to how leadership is exercised, formally and informally, throughout the organization; it is the basis for and the way key decisions are made, communicated, and carried out. It includes structures and mechanisms for decision making; two-way communication; selection and development of senior leaders, administrators, department heads, and faculty leaders; and reinforcement of values, ethical behavior, directions, and performance expectations.

An effective leadership system respects the capabilities and requirements of workforce members and other stakeholders, and it sets high expectations for performance and performance improvement. It builds loyalties and teamwork based on the organization's vision and values and the pursuit of shared goals. It encourages and supports initiative and appropriate risk taking, subordinates organizational structure to purpose and function, and avoids chains of command that require long decision paths. An effective leadership system includes mechanisms for the leaders to conduct self-examination, receive feedback, and improve.

Learning

The term "learning" refers to new knowledge or skills acquired through evaluation, study, experience, and innovation. In addition to their focus on student learning, the Education Criteria address two other kinds of learning: organizational and personal. Organizational learning is achieved through research and development; evaluation and improvement cycles; ideas and input from the workforce, students, and other stakeholders; best-practice sharing; and benchmarking. Personal learning (pertaining to faculty and staff) is achieved through education, training, and developmental opportunities that further individual growth.

To be effective, these types of learning should be embedded in the way an organization operates. In addition, they contribute to a competitive advantage and sustainability for the organization and its workforce. See also the related Core Values and Concepts of organizational and personal learning (page 53) and learning-centered education (page 51), as well as the definition of "active learning" on page 59.

Learning is one of the dimensions considered in evaluating Process Items. For further description, see the Scoring System on pages 69–71.

Levels

The term "levels" refers to numerical information that places or positions an organization's results and performance on a meaningful measurement scale. Performance levels permit evaluation relative to past performance, projections, goals, and appropriate comparisons.

Measures and Indicators

The term "measures and indicators" refers to numerical information that quantifies input, output, and performance dimensions of processes, programs, offerings, services, and the overall organization (outcomes). Measures and indicators might be simple (derived from one measurement) or composite.

The Criteria do not make a distinction between measures and indicators. However, some users of these terms prefer "indicator" (1) when the measurement relates to performance but is not a direct measure of such performance (e.g., the number of complaints is an indicator of dissatisfaction but not a direct measure of it) and (2) when the measurement is a predictor ("leading indicator") of some more significant performance (e.g., a gain in student performance or satisfaction might be a leading indicator of student persistence).

Mission

The term "mission" refers to the overall function of an organization. The mission answers the question, "What is this organization attempting to accomplish?" The mission might define students, stakeholders, or markets served; distinctive or core competencies; or technologies used.

Multiple Requirements

The term "multiple requirements" refers to the individual questions Criteria users need to answer within each Area to Address. These questions constitute the details of an Item's requirements. They are presented in black text under each Item's Area(s) to Address. This presentation is illustrated in the Item format shown on page 31.

Overall Requirements

The term "overall requirements" refers to the topics Criteria users need to address when responding to the central theme of an Item. Overall requirements address the most significant features of the Item requirements. In the Criteria, the overall requirements of each Item are presented in one or more introductory sentences printed in bold. This presentation is illustrated in the Item format shown on page 31.

Partners

The term "partners" refers to those key organizations or individuals who are working in concert with your organization to achieve a common goal or to improve performance. Typically, partnerships are formal arrangements for a specific aim or purpose, such as to achieve a strategic objective or deliver a specific program, offering, or service. Partners might include other schools, employers and workplaces, social service organizations, private foundations, and parents, as appropriate, with which your organization has cooperative relationships to facilitate effective learning for students. For example, partners might include schools with which "feeder" relationships exist, into or out of your school. Partnerships with social service organizations might involve helping students make these transitions.

Formal partnerships are usually for an extended period of time and involve a clear understanding of the individual and mutual roles and benefits for the partners.

See also the definition of "collaborators" on page 60.

Performance

The term "performance" refers to outputs and their outcomes obtained from processes, programs, and services that permit evaluation and comparison relative to goals, standards, past results, and other organizations. Performance can be expressed in nonfinancial and financial terms.

The Education Criteria address four types of performance: (1) program and service; (2) student- and stakeholder-focused; (3) budgetary, financial, and market; and (4) operational.

"Program and service performance" refers to performance relative to measures and indicators of program and service characteristics important to students and stakeholders. Examples include the effectiveness of curriculum and instruction, assessment of student learning, participation in professional development opportunities, and student placement following program completion.

"Student- and stakeholder-focused performance" refers to performance relative to measures and indicators of student and stakeholder perceptions, reactions, and behaviors. Examples include admissions, retention, complaints, and survey results. Student- and stakeholder-focused performance generally relates to the organization as a whole.

"Budgetary, financial, and market performance" refers to performance relative to measures of cost containment, budget utilization, and market share. Examples include instructional and general administration expenditures per student as a percentage of budget; income, expenses, reserves, endowments, and annual grants/awards; program expenditures as a percentage of budget; annual budget increases or decreases; resources redirected to education from other areas; scholarship growth; the percentage of budget for research; and the budget for public service.

"Operational performance" refers to workforce, leadership, organizational, and ethical performance relative to effectiveness, efficiency, and accountability measures and indicators. Examples include cycle time, productivity, accreditation, workforce turnover, workforce cross-training rates, regulatory compliance, fiscal accountability, and community involvement. Operational performance might be measured at the organizational/senior leader level; the key work process level; and the program, school, class, or individual level.

Performance Excellence

The term "performance excellence" refers to an integrated approach to organizational performance management that results in (1) delivery of ever-improving value to students and stakeholders, contributing to improved education quality and student learning, as well as to organizational stability; (2) improvement of overall organizational effectiveness and capabilities; and (3) organizational and personal learning. The Education Criteria for Performance Excellence provide a framework and an assessment tool for understanding organizational strengths and opportunities for improvement and thus for guiding planning efforts.

Performance Projections

The term "performance projections" refers to estimates of future performance. Projections may be inferred from past performance, may be based on the performance of comparable or competitive organizations that must be met or exceeded, may be predicted based on changes in a dynamic education market, or may be goals for future performance. Projections integrate estimates of your organization's rate of improvement and change, and they may be used to indicate where breakthrough improvement or innovation is needed. While performance projections may be set to attain a goal, they also may be predicted levels of future performance that indicate the challenges your organization faces in achieving a goal. Thus, performance projections serve as a key management planning tool.

Persistence

The term "persistence" refers to the continued attendance by students (from term to term, semester to semester, grade to grade, or class to class) toward the completion of an educational goal or training objective.

Process

The term "process" refers to linked activities with the purpose of producing a program or service for students and/or stakeholders within or outside the organization. Generally, processes involve combinations of people, machines, tools, techniques, materials, and improvements in a defined series of steps or actions. Processes rarely operate in isolation and must be considered in relation to other processes that impact them. In some situations, processes might require adherence to a specific sequence of steps, with documentation (sometimes formal) of procedures and requirements, including well-defined measurement and control steps.

In service situations such as education, particularly when those served are directly involved in the service, process is used in a more general way (i.e., to spell out what must be done, possibly including a preferred or expected sequence). If a sequence is critical, the service needs to include information to help those served understand and follow the sequence. Such service processes also require guidance to the providers of those services on handling contingencies related to the possible actions or behaviors of those served.

In knowledge work, such as teaching, strategic planning, research, development, and analysis, process does not necessarily imply formal sequences of steps. Rather, process implies general understandings regarding competent performance, such as timing, options to be included, evaluation, and reporting. Sequences might arise as part of these understandings.

In the Baldrige Scoring System, your process achievement level is assessed. This achievement level is based on four factors that can be evaluated for each of an organization's key processes: Approach, Deployment, Learning, and Integration. For further description, see the Scoring System on pages 69–71.

Productivity

The term "productivity" refers to measures of the efficiency of resource use.

Although the term often is applied to single factors, such as the workforce, machines, materials, energy, and capital, the productivity concept applies as well to the total resources used in meeting the organization's objectives. The use of an aggregate measure of overall productivity allows a determination of whether the net effect of overall changes in a process—possibly involving resource tradeoffs—is beneficial.

Programs, Offerings, and Services

See "educational programs, offerings, and services."

Purpose

The term "purpose" refers to the fundamental reason that an organization exists. The primary role of purpose is to inspire an organization and guide its setting of values. Purpose is generally broad and enduring. Two organizations providing different educational services could have similar purposes, and two organizations providing similar educational services could have different purposes.

Results

The term "results" refers to outputs and outcomes achieved by an organization in addressing the requirements of a Baldrige Criteria Item. Results are evaluated on the basis of current performance; performance relative to appropriate comparisons; the rate, breadth, and importance of performance improvements; and the relationship of results measures to key organizational performance requirements. For further description, see the Scoring System on pages 69–71.

Segment

The term "segment" refers to a part of an organization's overall base related to students; stakeholders; markets; programs, offerings, and services; or the workforce. Segments typically have common characteristics that can be grouped logically. In Results Items, the term refers to disaggregating results data in a way that allows for meaningful analysis of an organization's performance. It is up to each organization to determine the specific factors that it uses for segmentation.

Understanding segments is critical to identifying the distinct needs and expectations of different student, stakeholder, market, and workforce groups and to tailoring programs, offerings, and services to meet their needs and expectations. Student segmentation might reflect such factors as the educational service delivery (e.g., classroom or Web-based) or students' career interests, learning styles, living status (e.g., residential versus commuter), mobility, or special needs. For those education organizations that must respond to the annual requirements of the No Child Left Behind (NCLB) Act, segmentation might include the NCLB-designated accountability subgroups (i.e., a student's race or ethnicity, economically disadvantaged status, limited proficiency in English, and classification as in need of special education). Workforce segmentation might be based on geography, skills, needs, work assignments, or job classifications.

Senior Leaders

The term "senior leaders" refers to those with the main responsibility for managing the overall organization. Senior leaders might include administrators, department heads, and/or faculty leaders. In many organizations, senior leaders include the head of the organization and his or her direct reports.

Stakeholders

The term "stakeholders" refers to all groups that are or might be affected by an organization's actions and success. Examples of key stakeholders might include parents, parent organizations, the workforce, collaborators, governing boards, alumni, employers, other schools, regulatory bodies, funding entities, taxpayers, policy makers, suppliers, partners, and local and professional communities. Although students are commonly thought of as stakeholders, for purposes of emphasis and clarity, the Education Criteria refer to students and stakeholders separately.

Strategic Advantages

The term "strategic advantages" refers to those market benefits that exert a decisive influence on an organization's likelihood of future success. These advantages frequently are sources of an organization's current and future competitive success relative to other providers of similar educational programs, offerings, and services. Strategic advantages generally arise from either or both of two sources: (1) core competencies, through building and expanding on an organization's internal capabilities, and (2) strategically important external resources, which are shaped and leveraged through key external relationships and partnerships.

When an organization realizes both sources of strategic advantage, it can amplify its unique internal capabilities by capitalizing on complementary capabilities in other organizations.

See the definitions of "strategic challenges" and "strategic objectives" below for the relationship among strategic advantages, strategic challenges, and the strategic objectives an organization articulates to address its challenges and advantages.

Strategic Challenges

The term "strategic challenges" refers to those pressures that exert a decisive influence on an organization's likelihood of future success. These challenges frequently are driven by an organization's future competitive position relative to other providers of similar programs, offerings, or services. While not exclusively so, strategic challenges generally are externally driven. However, in responding to externally driven strategic challenges, an organization may face internal strategic challenges.

External strategic challenges may relate to student, stakeholder, or market needs or expectations; changes in educational programs or offerings; technological changes; or budgetary, financial, societal, and other risks or needs. Internal strategic challenges may relate to an organization's capabilities or its human and other resources.

See the definitions of "strategic advantages" and "strategic objectives" on this page for the relationship among strategic challenges, strategic advantages, and the strategic objectives an organization articulates to address its challenges and advantages.

Strategic Objectives

The term "strategic objectives" refers to an organization's articulated aims or responses to address major change or improvement, competitiveness or social issues, and organizational advantages. Strategic objectives generally are focused both externally and internally and relate to significant student, stakeholder, market, program, service, or technological opportunities and challenges (strategic challenges). Broadly stated, they are what an organization must achieve to remain or become competitive and ensure long-term sustainability. Strategic objectives set an organization's longer-term directions and guide resource allocations and redistributions.

See the definition of "action plans" on page 59 for the relationship between strategic objectives and action plans and for an example of each.

Summative Assessment

The term "summative assessment" refers to longitudinal analysis of the learning and performance of students and alumni. Summative assessments tend to be formal and comprehensive, and they often cover global subject matter. Such assessments may be conducted at the conclusion of a course or program and could be compared to the results of pretesting to determine gains and to clarify the causal connections between educational practices and student learning. They may be used for purposes of determining final grades, placement, and promotion, as well as for licensure or certification.

Sustainability

The term "sustainability" refers to your organization's ability to address current educational needs and to have the agility and strategic management to prepare successfully for your future educational, market, and operating environment. Both external and internal factors need to be considered. The specific combination of factors might include sectorwide and organization-specific components.

Sustainability considerations might include workforce capability and capacity, resource availability, technology, knowledge, core competencies, work systems, facilities, and equipment. In addition to responding to changes in the educational, market, and operating environment, sustainability has a component related to preparedness for real-time or short-term emergencies.

In the context of the Baldrige Education Criteria, the impact of your organization's programs, offerings, and services on society and the contributions you make to the well-being of environmental, social, and economic systems are part of your organization's overall societal responsibilities. Whether and how your organization addresses such considerations also may affect your sustainability.

Systematic

The term "systematic" refers to approaches that are well-ordered, are repeatable, and use data and information so learning is possible. In other words, approaches are systematic if they build in the opportunity for evaluation, improvement, and sharing, thereby permitting a gain in maturity. For use of the term, see the Scoring Guidelines on page 70.

Trends

The term "trends" refers to numerical information that shows the direction and rate of change for an organization's results. Trends provide a time sequence of organizational performance.

A minimum of three historical (not projected) data points generally is needed to begin to ascertain a trend. More data points are needed to define a statistically valid trend. The time period for a trend is determined by the cycle time of the process being measured. Shorter cycle times demand more frequent measurement, while longer cycle times might require longer time periods before meaningful trends can be determined.

Examples of trends called for by the Education Criteria include data related to student learning results; the performance of education design and delivery processes and student services; student, stakeholder, and workforce satisfaction and dissatisfaction results; budgetary, financial, and market performance; and operational performance, such as cycle time, support process, supplier/partner, and safety performance.

Value

The term "value" refers to the perceived worth of a program, service, process, asset, or function relative to cost and to possible alternatives.

Organizations frequently use value considerations to determine the benefits of various options relative to their costs, such as the value of various educational offerings and service combinations to students or stakeholders. Organizations need to understand what different student and stakeholder groups value and then deliver value to each group. This frequently requires balancing value for students and other stakeholders, such as businesses, your workforce, and the community.

Values

The term "values" refers to the guiding principles and behaviors that embody how your organization and its people are expected to operate. Values reflect and reinforce the desired culture of an organization. Values support and guide the decision making of every workforce member, helping the organization accomplish its mission and attain its vision in an appropriate manner. Examples of values might include demonstrating integrity and fairness in all interactions, exceeding student and stakeholder expectations, valuing individuals and diversity, protecting the environment, and striving for performance excellence every day.

Vision

The term "vision" refers to the desired future state of your organization. The vision describes where the organization is headed, what it intends to be, or how it wishes to be perceived in the future.

Voice of the Customer

The term "voice of the customer" refers to your process for capturing student- and stakeholder-related information. Voice-of-the-customer processes are intended to be proactive and continuously innovative to capture stated, unstated, and anticipated student and stakeholder requirements, expectations, and desires. The goal is to achieve customer engagement. Listening to the voice of the customer might

include gathering and integrating various types of data, such as survey data, focus group findings, satisfaction data, and complaint data that affect students' and stakeholders' engagement decisions.

Work Processes

The term "work processes" refers to your most important internal value creation processes. They might include product design and delivery, student and stakeholder support, organization, and support processes. They are the processes that involve the majority of your organization's workforce and produce student, stakeholder, and market value.

Your key work processes frequently relate to your core competencies, to the factors that determine your success relative to competitors and organizations offering similar programs and services, and to the factors considered important for organizational growth by your senior leaders.

Work Systems

The term "work systems" refers to how the work of your organization is accomplished. Work systems involve your workforce, your key suppliers and partners, your contractors, your collaborators, and other components needed to produce and deliver your programs, offerings, services, and support processes. Your work systems coordinate the internal work processes and the external resources necessary for you to develop, produce, and deliver your programs, offerings, and services to your customers and to succeed in your market.

Decisions about work systems are strategic. These decisions involve protecting and capitalizing on core competencies and deciding what should be procured or produced outside your organization in order to be efficient and sustainable in your market.

Workforce

The term "workforce" refers to all people actively involved in accomplishing the work of your organization, including paid employees (e.g., permanent, part-time, temporary, and telecommuting employees, as well as contract employees supervised by the organization) and volunteers, as appropriate. The workforce includes administrators and supervisors at all levels.

Workforce Capability

The term "workforce capability" refers to your organization's ability to accomplish its work processes through the knowledge, skills, abilities, and competencies of its people.

Capability may include the ability to build and sustain relationships with your students and stakeholders; to innovate and transition to new technologies; to develop new educational programs, offerings, services, and work processes; and to meet changing education market and regulatory demands.

Workforce Capacity

The term "workforce capacity" refers to your organization's ability to ensure sufficient staffing levels to accomplish its work processes and successfully deliver your educational programs, offerings, and services to your students and stakeholders.

Workforce Engagement

The term "workforce engagement" refers to the extent of workforce commitment, both emotional and intellectual, to accomplishing the work, mission, and vision of the organization. Organizations with high levels of workforce engagement are often characterized by high-performing work environments in which people are motivated to do their utmost for the benefit of their students and stakeholders and for the success of the organization.

In general, members of the workforce feel engaged when they find personal meaning and motivation in their work and when they receive positive interpersonal and workplace support. An engaged workforce benefits from trusting relationships, a safe and cooperative environment, good communication and information flow, empowerment, and performance accountability. Key factors contributing to engagement include training and career development, effective recognition and reward systems, equal opportunity and fair treatment, and family friendliness.



Scoring System

The scoring of responses to Criteria Items (Items) and Award applicant feedback are based on two evaluation dimensions: (1) Process and (2) Results. Criteria users need to furnish information relating to these dimensions. Specific factors for these dimensions are described below. Scoring Guidelines are given on pages 70–71.

Process

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

"Approach" refers to

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

"Deployment" refers to the *extent* to which

- your approach is applied in addressing Item requirements relevant and important to your organization
- your approach is applied consistently
- your approach is used (executed) by all appropriate work units

"Learning" refers to

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

"Integration" refers to the *extent* to which

- your approach is aligned with your organizational needs identified in the Organizational Profile and other Process Items
- your measures, information, and improvement systems are complementary across processes and work units
- your plans, processes, results, analysis, learning, and actions are harmonized across processes and work units to support organization-wide goals

Results

"Results" refers to your organization's *outputs* and *outcomes* in achieving the requirements in Items 7.1–7.6 (Category 7). The four factors used to evaluate results are Levels, Trends, Comparisons, and Integration (LeTCI).

"Levels" refers to

- your current level of performance

"Trends" refers to

- the rate of your performance improvements or the sustainability of good performance (i.e., the slope of trend data)
- the breadth (i.e., the extent of deployment) of your performance results

"Comparisons" refers to

- your performance relative to appropriate comparisons, such as competitors or organizations similar to yours
- your performance relative to benchmarks or education sector leaders

"Integration" refers to the *extent* to which

- your results measures (often through segmentation) address important student and stakeholder; program, offering, and service; market; process; and action plan performance requirements identified in your Organizational Profile and in Process Items
- your results include valid indicators of future performance
- your results are harmonized across processes and work units to support organization-wide goals

Item Classification and Scoring Dimensions

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

The two types of Items are designated as

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

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

Results Items call for data showing performance Levels, Trends, and relevant Comparisons for key measures and indicators of organizational performance, and Integration with key organizational requirements. Results Items also call for data on the breadth of the performance results reported. This is directly related to deployment and organizational learning; if improvement processes are widely shared and deployed, there should be corresponding results. A score for a Results Item is thus a composite based on overall performance, taking into account the four results factors (LeTCI).

"Importance" as a Scoring Consideration

The two evaluation dimensions described previously are central to evaluation and feedback. A critical consideration in evaluation and feedback is the *importance* of your reported processes and results to your key organizational factors. The areas of greatest importance should be identified in your Organizational Profile and in Items such as 2.1, 2.2, 3.1, 5.1, 5.2, and 6.1. Your key student and stakeholder requirements, competitive environment, workforce needs, key strategic objectives, and action plans are particularly important.

Assignment of Scores to Your Responses

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

- All Areas to Address should be included in the Item response. Also, responses should reflect what is important to the organization.
- In assigning a score to an Item, first decide which scoring range (e.g., 50 percent to 65 percent) is most descriptive of the organization's achievement level as presented in the Item response. "Most descriptive of the organization's achievement level" can include some gaps in one or more of the ADLI (process) factors *or* the LeTCI (results) factors for the chosen scoring range. An organization's achievement level is based on a holistic view of either the four process or four results factors in aggregate and not on a tallying or averaging of independent assessments against each of the four factors. Assigning the actual score *within* the chosen

Process Scoring Guidelines

For Use with Categories 1–6

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

range requires evaluating whether the Item response is closer to the statements in the next higher or next lower scoring range.

- A Process Item score of 50 percent represents an approach that meets the overall requirements of the Item, that is deployed consistently and to most work units, that has been through some cycles of improvement and learning, and that addresses the key organizational needs. Higher scores reflect greater achievement, demonstrated by broader deployment, significant organizational learning, and increased integration.
- A Results Item score of 50 percent represents a clear indication of good levels of performance, beneficial trends, and appropriate comparative data for the results areas covered in the Item and *important* to the organization or mission.
- Performance projections are present for some high-priority results.
- Higher scores reflect better trends and levels of performance, stronger comparative performance, and broader coverage and integration with the requirements of the organization or mission.

Baldrige Award applicants do not receive a single, final score as part of their feedback. They receive a scoring range for each Criteria Item, and they receive a score in two overall scoring bands: one for Process Items and one for Results Items. The descriptors for these scoring bands portray the organization's overall progress and maturity in the process and the results dimensions. The Scoring Band Descriptors are available at www.baldrige.nist.gov/Examiner_Resources.htm.

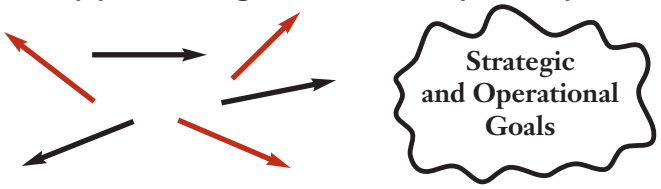
Results Scoring Guidelines

For Use with Category 7

SCORE	RESULTS
0% or 5%	■ There are no organizational PERFORMANCE RESULTS and/or poor RESULTS in areas reported. (Le) ■ TREND data either are not reported or show mainly adverse TRENDS. (T) ■ Comparative information is not reported. (C) ■ RESULTS are not reported for any areas of importance to the accomplishment of your organization's MISSION. No PERFORMANCE PROJECTIONS are reported. (I)
10%, 15%, 20%, or 25%	■ A few organizational PERFORMANCE RESULTS are reported, and early good PERFORMANCE LEVELS are evident in a few areas. (Le) ■ Some TREND data are reported, with some adverse TRENDS evident. (T) ■ Little or no comparative information is reported. (C) ■ RESULTS are reported for a few areas of importance to the accomplishment of your organization's MISSION. Limited or no PERFORMANCE PROJECTIONS are reported. (I)
30%, 35%, 40%, or 45%	■ Good organizational PERFORMANCE LEVELS are reported for some areas of importance to the Item requirements. (Le) ■ Some TREND data are reported, and a majority of the TRENDS presented are beneficial. (T) ■ Early stages of obtaining comparative information are evident. (C) ■ RESULTS are reported for many areas of importance to the accomplishment of your organization's MISSION. Limited PERFORMANCE PROJECTIONS are reported. (I)
50%, 55%, 60%, or 65%	■ Good organizational PERFORMANCE LEVELS are reported for most areas of importance to the Item requirements. (Le) ■ Beneficial TRENDS are evident in areas of importance to the accomplishment of your organization's MISSION. (T) ■ Some current PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of good relative PERFORMANCE. (C) ■ Organizational PERFORMANCE RESULTS are reported for most KEY student, STAKEHOLDER, market, and PROCESS requirements. PERFORMANCE PROJECTIONS for some high-priority RESULTS are reported. (I)
70%, 75%, 80%, or 85%	■ Good to excellent organizational PERFORMANCE LEVELS are reported for most areas of importance to the Item requirements. (Le) ■ Beneficial TRENDS have been sustained over time in most areas of importance to the accomplishment of your organization's MISSION. (T) ■ 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) ■ Organizational PERFORMANCE RESULTS are reported for most KEY student, STAKEHOLDER, market, PROCESS, and ACTION PLAN requirements, and they include some PROJECTIONS of your future PERFORMANCE. (I)
90%, 95%, or 100%	■ Excellent organizational PERFORMANCE LEVELS are reported for most areas of importance to the Item requirements. (Le) ■ Beneficial TRENDS have been sustained over time in all areas of importance to the accomplishment of your organization's MISSION. (T) ■ Evidence of education sector and BENCHMARK leadership is demonstrated in many areas. (C) ■ Organizational PERFORMANCE RESULTS fully address KEY student, STAKEHOLDER, market, PROCESS, and ACTION PLAN requirements, and they include PROJECTIONS of your future PERFORMANCE. (I)

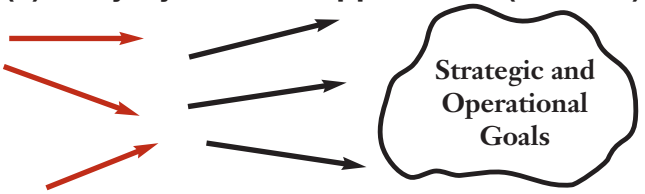
Steps Toward Mature Processes
An Aid for Assessing and Scoring Process Items

(1) Reacting to Problems (0–25%)



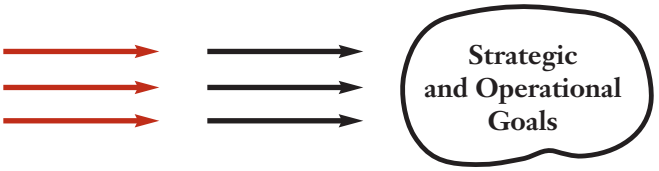
Operations are characterized by activities rather than by processes, and they are largely responsive to immediate needs or problems. Goals are poorly defined.

(2) Early Systematic Approaches (30–45%)



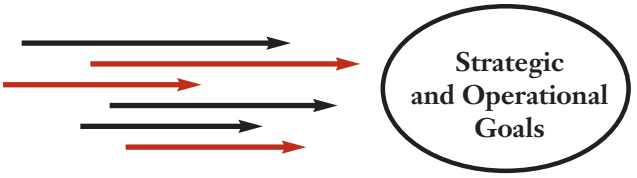
The organization is at the beginning stages of conducting operations by processes with repeatability, evaluation and improvement, and some early coordination among organizational units. Strategy and quantitative goals are being defined.

(3) Aligned Approaches (50–65%)

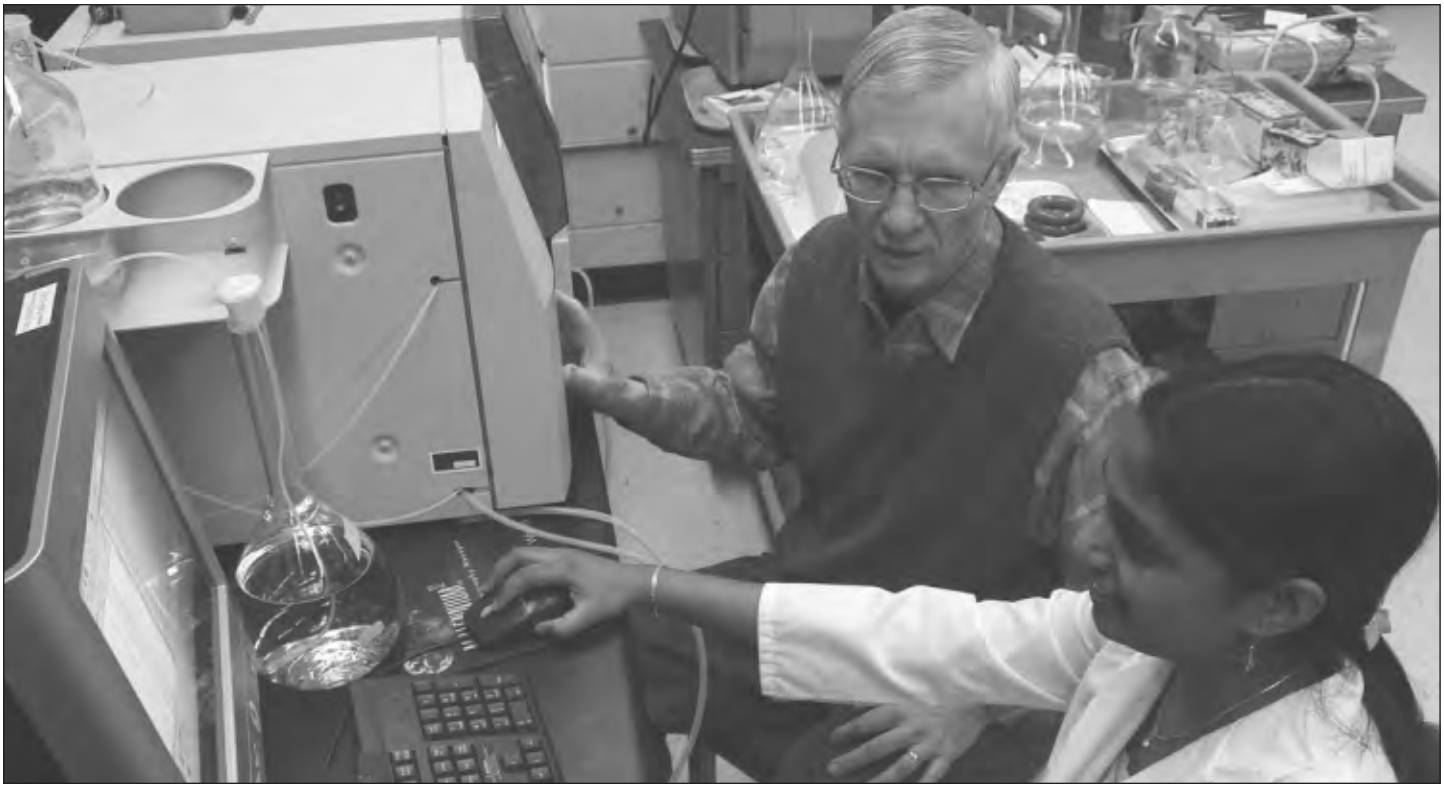


Operations are characterized by processes that are repeatable and regularly evaluated for improvement, with learnings shared and with coordination among organizational units. Processes address key strategies and goals of the organization.

(4) Integrated Approaches (70–100%)



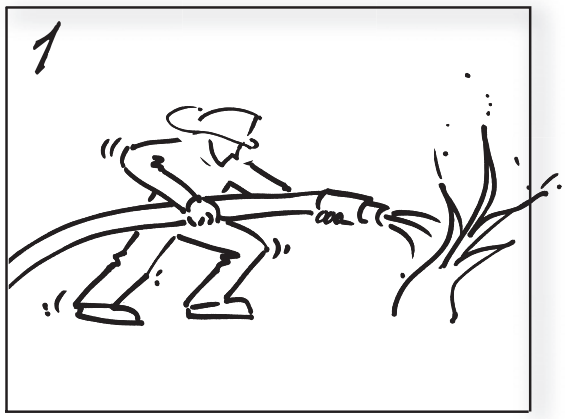
Operations are characterized by processes that are repeatable and regularly evaluated for change and improvement in collaboration with other affected units. Efficiencies across units are sought and achieved through analysis, innovation, and the sharing of information and technology. Processes and measures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



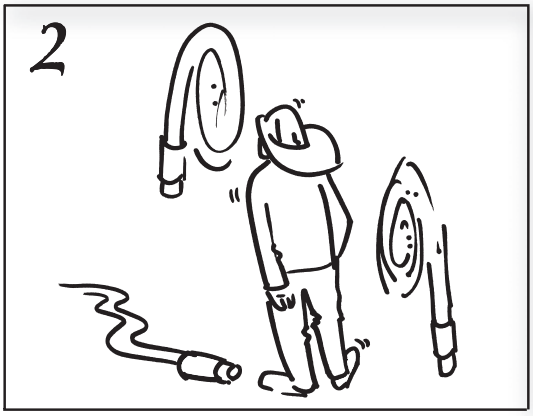
An Analogy for Learning: From Fighting Fires to Innovation

Learning is an essential attribute of high-performing organizations and, therefore, a critical concept in performance excellence. It is a key term used throughout the Education Criteria booklet and is one of the four scoring factors used to assess the maturity of an organization's processes (pages 69 and 70, Scoring System and Scoring Guidelines).

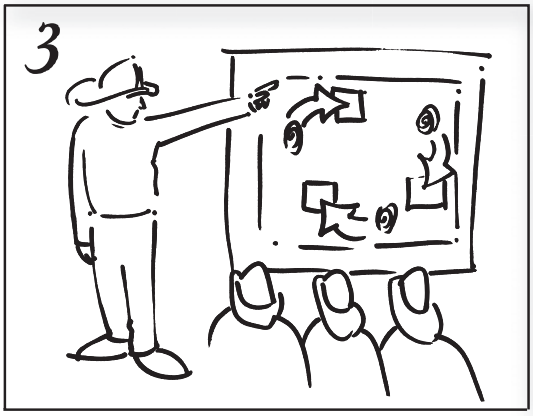
Effective, well-deployed organizational learning can help an organization improve from the early stages of reacting to problems (0–5% in the Scoring Guidelines) to the highest levels of organization-wide improvement, refinement, and innovation (70–100%). The firefighting analogy illustrated here depicts a progression through the levels of maturity for this scoring dimension.



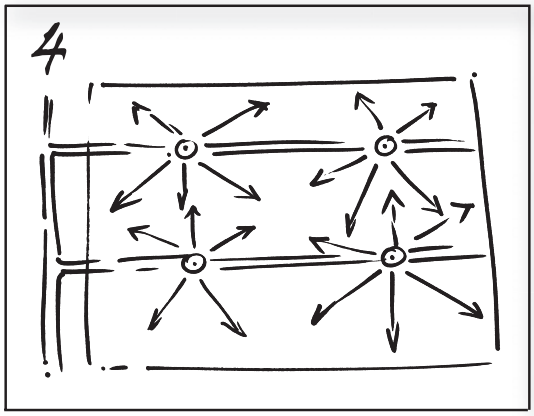
Reacting to the problem:
Run with the hose and put out the fire.
(0–5%)



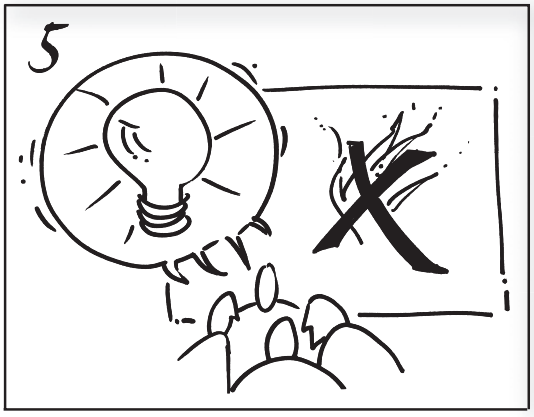
General improvement orientation:
Install more fire hoses to get to the fires quickly and reduce their impact.
(10–25%)



Systematic evaluation and improvement:
Evaluate which locations are most susceptible to fire. Install heat sensors and sprinklers in those locations.
(30–45%)



Learning and strategic improvement:
Install systemwide heat sensors and a sprinkler system that is activated by the heat preceding fires.
(50–65%)



Organizational analysis and innovation:
Use fireproof and fire-retardant materials.
Replace combustible liquids with water-based liquids.
Sensors and sprinklers become the secondary line of protection, with prevention the primary approach for protection.
(70–100%)

Applying for the Malcolm Baldrige National Quality Award

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

Award Purpose

The Award promotes

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

Award Participation

The Award eligibility categories are

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

Copies of the Business/Nonprofit and Health Care Criteria booklets are available, and ordering information can be found on pages 77–78.

Up to 18 Awards may be given across the six eligibility categories each year. Depending on the number of employees, up to five subunits of a single parent may apply for the Award during the same Award cycle.

To participate in the Award process, an organization must submit an application package that addresses the Education Criteria for Performance Excellence (pages 4–27).

Application Requirements

Applying for the Award is a two-step process. A brief description of these steps is provided below. Detailed information on the requirements and contents of the Eligibility Certification Package and the Award Application Package, due dates, and fees is provided in the *Baldrige Award Application Forms*, which can be downloaded at www.baldrige.nist.gov/Award_Application.htm. In addition, a list of current fees can be viewed at www.baldrige.nist.gov/Fees.htm.

Step 1, Eligibility Certification Package

Organizations filing an Eligibility Certification Package may nominate one senior member of their staff to serve on the Board of Examiners. Organizations that wish to reserve a place on the board for a staff member must submit their Eligibility Certification Packages by March 2, 2009, for the 2009 Award cycle and by March 1, 2010, for the 2010 Award cycle. If an organization chooses not to nominate someone to the board, the due dates for the Eligibility Certification Package for the 2009 and 2010 Award cycles are April 7, 2009, and April 6, 2010, respectively.

Step 2, Award Application Package

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

If submitted in CD/PDF format, the Application Package must be postmarked no later than May 7, 2009, for the 2009 Award cycle and by May 6, 2010, for the 2010 Award cycle. If submitted on paper, 25 copies of the Application Package must be postmarked no later than May 21, 2009, for the 2009 Award cycle and by May 20, 2010, for the 2010 Award cycle.

Application Deadlines for the 2009 and 2010 Award Cycles

	2009	2010
Due date for Eligibility Certification Packages **with** a nomination to the Board of Examiners	March 2	March 1
Due date for Eligibility Certification Packages **without** a nomination to the Board of Examiners	April 7	April 6
Due date for Award Application Packages submitted **on a CD**	May 7	May 6
Due date for Award Application Packages submitted **on paper**	May 21	May 20

Application Review

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

Independent and Consensus Review: Independent review and evaluation by at least six members of the board, followed by a joint review by a team of Examiners, led by a Senior Examiner

Site Visit Review: Site visits to applicants that score well in the Independent and Consensus Review

Judges' review and recommendations of Award recipients

Award Recipients

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

Feedback to Applicants

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

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

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

Fees for the 2009 and 2010 Award Cycles

Information on current fees related to applying for the Malcolm Baldrige National Quality Award is available at www.baldrige.nist.gov/Fees.htm. *Note: The Program anticipates a rise in fees in the 2010 Award cycle, as well as possible increases thereafter. Such increases would be based on related changes in the Consumer Price Index.*

If your organization is applying in either the business/nonprofit or health care category, refer to the appropriate sector-specific Criteria booklet and the *Baldrige Award Application Forms*. **(See pages 77–78.)**

Important Facts about Applying for the Award

- Criteria contained in this booklet should be used only for the education eligibility category. Applicants in the business (manufacturing, service, and small business) and nonprofit eligibility categories should use the *Criteria for Performance Excellence* booklet, and applicants in the health care eligibility category should use the *Health Care Criteria for Performance Excellence* booklet.
- The following is a summary of the eligibility rules for the education category. Summaries of the eligibility rules for the business/nonprofit and health care categories are in their respective Criteria booklets. Education or health care organizations may apply under the service, small business, or nonprofit categories, as appropriate, using the Business/Nonprofit Criteria, or under the health care or education categories, using their respective Criteria. If there is a question on eligibility, check the complete eligibility rules in the *Baldrige Award Application Forms* or call the Baldrige National Quality Program Office at (301) 975-2036.
- Whatever your Award eligibility category, you will need the *Baldrige Award Application Forms* before proceeding. You can download the document from our Web site at www.baldrige.nist.gov/Award_Application.htm.

Basic Eligibility

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

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

Restrictions on Eligibility

Note: For specific information on the eligibility restrictions, see the *Baldrige Award Application Forms*.

Subunits: A subunit is a unit or division of a larger organization. The larger organization that owns, holds, or has organizational or financial control of a subunit is the "parent." A parent is the highest level of an organization that would be eligible to apply for the Award. The subunit must be self-sufficient enough to be examined in all seven Criteria Categories, and it must be a discrete entity that is readily distinguishable from other parts of the parent organization.

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

- in the event of a site visit, the appropriate personnel and materials will be available for examination in the United States to document operational practices in all major organizational functions; and
- in the event the applicant receives the Award, the applicant will be able to share information on the seven Criteria Categories at The Quest for Excellence Conference and at its U.S. facilities. Sharing beyond The Quest for Excellence Conference is on a voluntary basis.

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

- 0–1,000 employees, one applicant per parent per eligibility category may apply
- 1,001–20,000 employees, two applicants per parent per eligibility category may apply
- more than 20,000 employees, two applicants per parent per eligibility category for the first 20,000, plus one per 20,000 or fraction thereof above 20,000 per parent per category, may apply

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

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

Eligibility Forms

Potential applicants must certify their eligibility prior to applying for the Award. Potential applicants for the 2009 and 2010 Awards are encouraged to submit their Eligibility Certification Packages as soon as possible but no later than April 7, 2009, and April 6, 2010, respectively. In order to reserve a place on the Board of Examiners for a member of their organization's senior staff, applicants for the 2009 and 2010 Awards must submit the packages no later than March 2, 2009, and March 1, 2010. The forms and necessary information are contained in the *Baldrige Award Application Forms*.

How to Obtain Copies of Baldrige National Quality Program Materials

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

Individual Orders

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

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

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

Bulk Orders

Multiple copies of the *2009–2010 Criteria for Performance Excellence* booklets may be ordered in packets of 10 for $39.95 plus shipping and handling from the American Society for Quality (ASQ).

2009–2010 Criteria for Performance Excellence (referred to as the Business/Nonprofit Criteria)—Item Number T1525

2009–2010 Education Criteria for Performance Excellence—Item Number T1526

2009–2010 Health Care Criteria for Performance Excellence—Item Number T1524

How to Order

ASQ offers four convenient ways to order:

- For fastest service, call toll free (800) 248-1946 in the United States and Canada (in Mexico, dial toll free 95-800-248-1946). Have item numbers, your credit card or purchase order number, and (if applicable) ASQ member number ready.
- Fax your completed order form to ASQ at (414) 272-1734.
- Mail your order to ASQ Customer Care Center, P.O. Box 3005, Milwaukee, WI 53201-3066.
- Order online by accessing ASQ's Web site at www.asq.org.

Payment

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

Shipping Fees

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

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

- There is a shipping and processing charge of 25 percent of the total order amount for shipments outside the United States and Canada.
- Orders shipped within the continental United States and Canada where UPS service is available will be shipped by UPS.
- Please allow one to two weeks for delivery. International customers, please allow six to eight weeks for delivery.
- Your credit card will not be charged until your items are shipped. Shipping and processing are charged one time, up front, for the entire order.

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

Baldrige Educational Materials

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

Case Study Packets

Case study packets contain a case study and three additional documents: an executive summary, the case study scorebook, and the case study feedback report. The case studies, when used with the related *Criteria for Performance Excellence* booklet, are valuable resources to Award applicants and other users of the Criteria. They illustrate the Award application and review process and provide examples of how to respond to the Criteria requirements and format an application. Together, the case study packet documents furnish information on scoring, the examination processes, and much more. Diverse case study packets based on

fictional organizations from the business, nonprofit, health care, and education sectors are available on the Baldrige Web site. The following are a few examples of these case study packets:

2008 Business Case Study Packet: Novel Connect (based on the *2008 Criteria for Performance Excellence*)

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

2007 Nonprofit Case Study Packet: Share Food (based on the *2007 Criteria for Performance Excellence*)

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

2006 Health Care Case Study Packet: Arroyo Fresco Community Health Center (based on the *2006 Health Care Criteria for Performance Excellence*)

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

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

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

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

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Baldrige National Quality Program Honors the 2007 Award Recipients













On April 23, 2008, the five 2007 Baldrige Award recipients were honored: the City of Coral Springs, Florida; Mercy Health System; PRO-TEC Coating Company; Sharp HealthCare; and the U.S. Army Armament Research, Development and Engineering Center (ARDEC). Clockwise from the upper left, the photographs show (1) U.S. Secretary of Commerce Carlos M. Gutierrez; (2) Chair of the Judges Panel of the Malcolm Baldrige National Quality Award David Branch, Mayor of the City of Coral Springs Scott J. Brook, City Manager Michael S. Levinson, and Secretary Gutierrez; (3) David Branch, Sharp HealthCare President and CEO Michael W. Murphy, Senior Vice President of Clinical Effectiveness Nancy G. Pratt, and Secretary Gutierrez; (4) David Branch, ARDEC Deputy Director Col. Russell J. Hrdy, Director Joseph A. Lannon, and Secretary Gutierrez; (5) David Branch, Mercy Health System President and CEO Javon R. Bea, Vice President of Human Resources Kathleen S. Harris, and Secretary Gutierrez; and (6) David Branch, PRO-TEC President W. Paul Worstell, Technology and Quality Assurance Manager Eric Franks, and Secretary Gutierrez.

NOTES

NOTES

The Baldrige National Quality Program and Its Impacts

The Malcolm Baldrige National Quality Award was created by Public Law 100-107 and signed into law on August 20, 1987. Public Law 100-107 led to the creation of a new public-private partnership. Principal support for the program comes from the Foundation for the Malcolm Baldrige National Quality Award, established in 1988.

The Award is named for Malcolm Baldrige, who served as Secretary of Commerce from 1981 until his death in 1987. His managerial excellence contributed to long-term improvement in the efficiency and effectiveness of government.

On August 20, 1987, President Ronald W. Reagan signed the "Malcolm Baldrige National Quality Improvement Act of 1987," establishing a program that many credit with making quality a national priority and helping to revitalize the U.S. economy during the 1990s. Today, the Baldrige National Quality Program and the Baldrige Award recipients are imitated and admired worldwide. Nearly 40 states and many countries, including Japan, have programs modeled after Baldrige. In particular, the Baldrige Criteria for Performance Excellence are widely used as an assessment and improvement tool. Millions of print and electronic copies of the Criteria have been distributed.

In 1999, categories for education and health care were added to the original three categories: manufacturing, service, and small business. In 2007, a nonprofit category was added.

Impacts of the Program have been far-reaching:

- Since the Baldrige Program's inception in 1987, there have been more than 1,300 applicants for the Malcolm Baldrige National Quality Award. These applicants have received vigorous evaluations by the Board of Examiners using the Criteria for Performance Excellence.
- Through 2007, 76 Award recipients have been selected across five categories: 26 manufacturing companies, 15 service companies, 18 small businesses, 7 education organizations, 8 health care organizations, and 2 nonprofit organizations.
- There are more than 40 active state and local quality award programs based in states throughout the country. All of these programs are modeled to some degree after the Baldrige National Quality Program, and their award criteria are based on the Criteria for Performance Excellence.
- From 1996 to 2007, 37 of the 52 Baldrige Award recipients were previous winners in state award programs.
- Since 1991, there have been nearly 10,000 applications for state and local quality awards.
- Since 1987, the Baldrige Program has trained more than 3,400 Examiners. Since 1991, the state and local programs have trained approximately 35,000 Examiners.
- The Award recipients have presented to tens of thousands of organizations at conferences worldwide. For example, Operations Management International, Inc. (OMI), an international service business with 1,600 employees, has made presentations to more than 17,500 people since becoming an Award recipient in November 2000. Branch-Smith Printing Division, a small, family-owned business with 90 employees, has given presentations to more than 7,500 people since becoming an Award recipient in November 2002. The Quest for Excellence conferences have reached approximately 20,000 attendees over the Program's history.

The Baldrige National Quality Program thanks the following Award recipients for the use of the photographs in this booklet: Chugach School District (Alaska), Pearl River School District (New York), and the University of Wisconsin-Stout, 2001 Award recipients; Community Consolidated School District 15 (Illinois), a 2003 Award recipient; Kenneth W. Montfort College of Business (Colorado), a 2004 Award recipient; and Jenks Public Schools (Oklahoma) and Richland College (Texas), 2005 Award recipients.

Baldrige National Quality Program

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The National Institute of Standards and Technology (NIST), an agency of the U.S. Department of Commerce, manages the Baldrige National Quality Program (BNQP). For more than a century, NIST has helped to lay the foundation for the innovation, economic growth, and quality of life that Americans have come to expect. NIST promotes U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve our quality of life. Through a network of nearly 400 assistance centers that serve all 50 states and Puerto Rico, NIST provides technical and business assistance to help smaller manufacturers overcome barriers to productivity and competitiveness.

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- information on becoming a Baldrige Examiner
- information on the Baldrige Award recipients
- individual copies of the Criteria for Performance Excellence—Business/Nonprofit, Education, and Health Care
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By making quality a global priority, an organizational imperative, and a personal ethic, the American Society for Quality (ASQ) becomes the community for all who seek quality technology, concepts, or tools to improve themselves and their world. ASQ administers the Malcolm Baldrige National Quality Award under contract to NIST.

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