**Education Criteria for Performance Excellence**

**Begin with the Organizational Profile**

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

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

**Organizational Profile**

The Organizational Profile is a snapshot of your organization, the key influences on how it operates, and your competitive environment.

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

In your response, answer the following questions:

**a. Organizational Environment**

1. **EDUCATIONAL PROGRAM and SERVICE Offerings** What are your main EDUCATIONAL PROGRAM AND SERVICE offerings (see the note on the next page)? What is the relative importance of each to your success? What mechanisms do you use to deliver your EDUCATIONAL PROGRAMS AND SERVICES?

2. **MISSION, VISION, and VALUES** What are your stated MISSION, VISION, and VALUES? What are your organization’s CORE COMPETENCIES, and what is their relationship to your MISSION?

3. **WORKFORCE Profile** What is your WORKFORCE profile? What recent changes have you experienced in WORKFORCE composition or your WORKFORCE needs? What are
   - your WORKFORCE or faculty/staff groups and SEGMENTS,
   - the educational requirements for different faculty/staff groups and SEGMENTS, and
   - the KEY drivers that engage them in achieving your MISSION and VISION?

   What are your organized bargaining units (union representation)? What are your organization’s special health and safety requirements?

4. **Assets** What are your major facilities, technologies, and equipment?

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

**b. Organizational Relationships**

1. **Organizational Structure** What are your organizational structure and GOVERNANCE system? What are the reporting relationships among your GOVERNANCE board, SENIOR LEADERS, and parent organization, as appropriate?

2. **Students, Other CUSTOMERS, and STAKEHOLDERS** What are your KEY market SEGMENTS, student and other CUSTOMER groups, and STAKEHOLDER groups, as appropriate? What are their KEY requirements and expectations of your EDUCATIONAL PROGRAMS AND SERVICES, student and other CUSTOMER support services, and operations? What are the differences in these requirements and expectations among market SEGMENTS, student and other CUSTOMER groups, and STAKEHOLDER groups?

(Continued on the next page)
Organizational Profile

(3) Suppliers and Partners  What are your key types of suppliers, partners, and collaborators? What role do they play?

- in your work systems, especially in producing and delivering your key educational programs and services and your student and other customer support services; and
- in enhancing your competitiveness?

What are your key mechanisms for two-way communication with suppliers, partners, and collaborators? What role, if any, do these organizations play in contributing and implementing innovations in your organization? What are your key supply-chain requirements?

Terms in small caps are defined in the Glossary of Key Terms (pages 47–54).

Notes

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

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

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

P.1a(2). Core competencies are one example of concepts that are woven throughout the Education Criteria to ensure a systems approach to organizational performance management. Other such concepts include innovation, use of data and information to review performance and create knowledge, and change readiness and management.

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

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

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

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

P.1b(2). Student and other customer groups might be based on common expectations, behaviors, preferences, or profiles. Within a group, there may be customer segments based on differences, commonalities, or both. You might subdivide your market into market segments based on educational programs, services, or features; distribution channels; geography; or other factors that you use to define a market segment.

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

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

P.1b(3). Suppliers and partners should include key feeder schools that prepare students for your organization. Communication mechanisms should include understandable language, and they might involve in-person contact, e-mail, social media, or the telephone. For many organizations, these mechanisms may change as market, student, other customer, or stakeholder requirements change.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
P.2 Organizational Situation: What is your organization’s strategic situation?

In your response, include answers to the following questions:

a. Competitive Environment

(1) Competitive Position  What is your competitive position? What are your relative size and growth in your education sector or the markets you serve? How many and what types of competitors do you have?

(2) Competitiveness Changes  What key changes, if any, are affecting your competitive situation, including changes that create opportunities for innovation and collaboration, as appropriate?

(3) Comparative Data  What key sources of comparative and competitive data are available from within the education sector? What key sources of comparative data are available from outside the education sector? What limitations, if any, affect your ability to obtain or use these data?

b. Strategic Context

What are your key strategic challenges and advantages in the areas of educational programs and services, operations, societal responsibilities, and workforce?

c. PERFORMANCE Improvement System

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

Terms in small caps are defined in the Glossary of Key Terms (pages 47–54).

Notes

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

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

P.2c. The Baldrige Scoring System (pages 30–35) uses performance improvement through learning and integration as a dimension in assessing the maturity of organizational approaches and their deployment. This question is intended to set an overall context for your approach to performance improvement. The approach you use should be related to your organization’s needs. Approaches that are compatible with the overarching systems approach provided by the Baldrige framework might include implementing PDSA methodology; completing accreditation self-studies; applying nationally validated systems to improve teaching performance; and performing independent institutional, departmental, or program assessments. It also might include using a Lean Enterprise System, applying Six Sigma methodology, using standards from ISO (e.g., 9000 or 14000), using decision science, or employing other improvement tools.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
1 Leadership (120 pts.)

The Leadership category asks how senior leaders’ personal actions guide and sustain your organization. It also asks about your organization’s governance system and how your organization fulfills its legal, ethical, and societal responsibilities.

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

In your response, include answers to the following questions:

a. Vision, Values, and Mission

(1) Vision and Values  How do senior leaders set your organization’s vision and values? How do senior leaders deploy the vision and values through your leadership system; to the workforce; to key suppliers and partners; and to students, other customers, and other stakeholders, as appropriate? How do senior leaders’ personal actions reflect a commitment to those values?

(2) Promoting Legal and Ethical Behavior  How do senior leaders’ actions demonstrate their commitment to legal and ethical behavior? How do they promote an organizational environment that requires it?

(3) Creating a Successful Organization  How do senior leaders’ actions build an organization that is successful now and in the future? How do they

• create an environment for the achievement of your mission, improvement of organizational performance, performance leadership, organizational learning, and learning for people in the workforce;
• create a workforce culture that delivers a consistently positive experience for students and other customers and that fosters customer engagement;
• create an environment for innovation and intelligent risk taking, achievement of your strategic objectives, and organizational agility; and
• participate in succession planning and the development of future organizational leaders.

b. Communication and Organizational Performance

(1) Communication  How do senior leaders communicate with and engage the entire workforce, students, and other key customers? How do they

• encourage frank, two-way communication, including effective use of social media, when appropriate;
• communicate key decisions and needs for organizational change; and
• reinforce high performance and a focus on students, other customers, and student learning by taking a direct role in motivating the workforce, including by participating in reward and recognition programs.

(2) Focus on Action  How do senior leaders create a focus on action that will achieve the organization’s mission? How do senior leaders

• create a focus on action that will improve the organization’s performance, achieve innovation and intelligent risk taking, and attain its vision;
• identify needed actions; and
• in setting expectations for organizational performance, include a focus on creating and balancing value for students, other customers, and other stakeholders?

Terms in small caps are defined in the Glossary of Key Terms (pages 47–54).

Notes

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

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

1.1a(3). A successful organization is capable of addressing current organizational needs and, through agility and strategic management, is capable of preparing for its future organizational, market, and operating environment. Achieving future success may require leading transformational changes in the organization’s structure and culture. Both external and internal factors should be considered. Factors in your organization’s sustainability might include workforce capability and capacity, resource availability, technology, knowledge, core competencies, work systems, facilities, and equipment. Success now and in the future might be affected by changes in the market and in student and other customer...
preferences, in the operating environment, and in the legal and regulatory environment. In the context of ongoing success, the concept of innovation and taking intelligent risks includes both technological and organizational innovation to help the organization succeed in the future. A successful organization also ensures a safe and secure environment for students, the workforce, and other key stakeholders. A successful organization is capable of addressing risks and opportunities arising from environmental considerations and climate change.

1.1b(1). Use of social media may include delivering periodic messages through internal and external websites; tweets; blogging; and electronic forums for students, other customers, and the workforce, as well as monitoring external websites and blogs and responding, when appropriate.

1.1b(1). Organizations that rely on volunteers to accomplish their work should also discuss efforts to communicate with and engage the volunteer workforce.

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

In your response, include answers to the following questions:

a. Organizational Governance

(1) Governance System How does your organization ensure responsible Governance? How do you review and achieve the following key aspects of your Governance system?

- Accountability for Senior Leaders’ actions
- Accountability for strategic plans
- Fiscal accountability
- Transparency in operations
- Selection of Governance board members and disclosure policies for them, as appropriate
- Independence and Effectiveness of internal and external audits
- Protection of Stakeholder and stockholder interests, as appropriate
- Succession planning for Senior Leaders

(2) Performance Evaluation How do you evaluate the performance of your Senior Leaders, including the chief executive, and your Governance board? How do you use performance evaluations in determining executive compensation? How do your Senior Leaders and Governance board use these performance evaluations to advance their development and improve both their own effectiveness as leaders and that of your board and Leadership system, as appropriate?

b. Legal and Ethical Behavior

(1) Legal, Regulatory, and Accreditation Compliance How do you anticipate and address public concerns with your Educational Programs and Services and your operations? How do you

- address any adverse societal impacts of your Educational Programs and Services and your operations;
- anticipate public concerns with your future programs and services and your operations; and
- prepare for these impacts and concerns proactively, including through conservation of natural resources and effective supply-chain management processes, as appropriate?

What are your key compliance processes, measures, and goals for meeting and surpassing regulatory, legal, and accreditation requirements, as appropriate? What are your key processes, measures, and goals for addressing risks associated with your Educational Programs and Services and your operations?

(Continued on the next page)
(2) **ETHICAL BEHAVIOR**  **HOW do you promote and ensure ETHICAL BEHAVIOR in all interactions?** What are your KEY PROCESSES and MEASURES or INDICATORS for enabling and monitoring ETHICAL BEHAVIOR in your GOVERNANCE structure; throughout your organization; and in interactions with your WORKFORCE, students, other CUSTOMERS, PARTNERS, suppliers, and other STAKEHOLDERS? How do you monitor and respond to breaches of ETHICAL BEHAVIOR?

c. **Societal Responsibilities**

(1) **Societal Well-Being**  **HOW do you consider societal well-being and benefit as part of your strategy and daily operations?** How do you contribute to societal well-being through your environmental, social, and economic systems?

(2) **Community Support**  **HOW do you actively support and strengthen your KEY communities?** What are your KEY communities? How do you identify them and determine areas for organizational involvement, including areas that leverage your CORE COMPETENCIES? How do your SENIOR LEADERS, in concert with your WORKFORCE, contribute to improving these communities?

**Notes**

1.2. Societal responsibilities in areas critical to your ongoing market success should also be addressed in Strategy Development (item 2.1) and Operations (category 6). Key results should be reported as Leadership and Governance Results (item 7.4). Examples are results related to regulatory and legal requirements (including the results of mandated financial audits); accreditation; reductions in environmental impacts through the use of “green” technology, resource-conserving activities, reduction of carbon footprint, or other means; or improvements in social impacts, such as through community involvement.

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

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

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

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

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

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

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
The Strategy category asks HOW your organization develops STRATEGIC OBJECTIVES and ACTION PLANS, implements them, changes them if circumstances require, and measures progress.

2.1 Strategy Development: How do you develop your strategy? (45 pts.)

In your response, include answers to the following questions:

a. Strategy Development PROCESS

(1) Strategic Planning PROCESS  How do you conduct your strategic planning? What are the KEY PROCESS steps? Who are the KEY participants? What are your short- and longer-term planning horizons? HOW are they addressed in the planning PROCESS? HOW does your strategic planning PROCESS address the potential need for

- transformational change and prioritization of change initiatives,
- organizational agility, and
- operational flexibility?

(2) INNOVATION  HOW does your strategy development PROCESS stimulate and incorporate INNOVATION? HOW do you identify STRATEGIC OPPORTUNITIES? HOW do you decide which STRATEGIC OPPORTUNITIES are INTELLIGENT RISKS for pursuing? What are your KEY STRATEGIC OPPORTUNITIES?

(3) Strategy Considerations  How do you collect and analyze relevant data and develop information for your strategic planning PROCESS? In this collection and ANALYSIS, HOW do you include these KEY elements?

- Your STRATEGIC CHALLENGES and STRATEGIC ADVANTAGES
- Risks to your organization’s future success
- Potential changes in your regulatory environment
- Potential blind spots in your strategic planning PROCESS and information
- Your ability to execute the strategic plan

(4) WORK SYSTEMS and CORE COMPETENCIES  What are your KEY WORK SYSTEMS? HOW do you make WORK SYSTEM decisions that facilitate the accomplishment of your STRATEGIC OBJECTIVES? HOW do you decide which KEY PROCESSES will be accomplished by external suppliers and PARTNERS? HOW do those decisions consider your CORE COMPETENCIES and the CORE COMPETENCIES of potential suppliers and PARTNERS? HOW do you determine future organizational CORE COMPETENCIES and WORK SYSTEMS?

b. STRATEGIC OBJECTIVES

(1) KEY STRATEGIC OBJECTIVES  What are your organization’s KEY STRATEGIC OBJECTIVES and timetable for achieving them? What are your most important GOALS for these STRATEGIC OBJECTIVES? What KEY changes, if any, are planned in your EDUCATIONAL PROGRAMS AND SERVICES, CUSTOMERS and markets, suppliers and PARTNERS, and operations?

(2) STRATEGIC OBJECTIVE Considerations  HOW do your STRATEGIC OBJECTIVES achieve appropriate balance among varying and potentially competing organizational needs? HOW do your STRATEGIC OBJECTIVES

- address your STRATEGIC CHALLENGES and leverage your CORE COMPETENCIES, STRATEGIC ADVANTAGES, and STRATEGIC OPPORTUNITIES;
- balance short- and longer-term planning horizons; and
- consider and balance the needs of all KEY STAKEHOLDERS?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).
Strategy development refers to your organization’s approach to preparing for the future. In developing your strategy, you might use various types of forecasts, projections, options, scenarios, knowledge (see 4.2a for relevant organizational knowledge), analyses, or other approaches to envisioning the future in order to make decisions and allocate resources. Strategy development might involve key suppliers, partners, students, and other customers.

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

Strategic opportunities arise from outside-the-box thinking, brainstorming, capitalizing on serendipity, research and innovation processes, nonlinear extrapolation of current conditions, and other approaches to imagining a different future. The generation of ideas that lead to strategic opportunities benefits from an environment that encourages nondirected, free thought. Choosing which strategic opportunities to pursue involves considering relative risk, financial and otherwise, and then making intelligent choices (“intelligent risks”).

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

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

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

Decisions about work systems are strategic. These decisions involve protecting intellectual property, capitalizing on core competencies, and mitigating risk. Decisions about your work systems affect organizational design and structure, size, locations, profitability, and ongoing success. In a generic view of an organization, for example, the organization might define three work systems: one that addresses the technical delivery of educational programs and services, one that engages students and other customers, and one that comprises systems that support program and service delivery and student and other customer engagement.

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

Notes

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

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

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

2.1a(2). Strategic opportunities arise from outside-the-box thinking, brainstorming, capitalizing on serendipity, research and innovation processes, nonlinear extrapolation of current conditions, and other approaches to imagining a different future. The generation of ideas that lead to strategic opportunities benefits from an environment that encourages nondirected, free thought. Choosing which strategic opportunities to pursue involves considering relative risk, financial and otherwise, and then making intelligent choices (“intelligent risks”).

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

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

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

2.1a(4). Decisions about work systems are strategic. These decisions involve protecting intellectual property, capitalizing on core competencies, and mitigating risk. Decisions about your work systems affect organizational design and structure, size, locations, profitability, and ongoing success. In a generic view of an organization, for example, the organization might define three work systems: one that addresses the technical delivery of educational programs and services, one that engages students and other customers, and one that comprises systems that support program and service delivery and student and other customer engagement.

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

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
2.2 Strategy Implementation: How do you implement your strategy? (40 pts.)

In your response, include answers to the following questions:

a. ACTION PLAN Development and DEPLOYMENT

   (1) ACTION PLANS  What are your KEY short- and longer-term ACTION PLANS? What is their relationship to your STRATEGIC OBJECTIVES? How do you develop your ACTION PLANS?

   (2) ACTION PLAN Implementation  How do you DEPLOY your ACTION PLANS? How do you DEPLOY your ACTION PLANS to your WORKFORCE and to KEY suppliers, PARTNERS, and COLLABORATORS, as appropriate, to ensure that you achieve your KEY STRATEGIC OBJECTIVES? How do you ensure that you can sustain the KEY outcomes of your ACTION PLANS?

   (3) Resource Allocation  How do you ensure that financial and other resources are available to support the achievement of your ACTION PLANS while you meet current obligations? How do you allocate these resources to support the plans? How do you manage the risks associated with the plans to ensure your financial viability?

   (4) WORKFORCE Plans  What are your KEY WORKFORCE plans to support your short- and longer-term STRATEGIC OBJECTIVES and ACTION PLANS? How do the plans address potential impacts on your WORKFORCE members and any potential changes in WORKFORCE CAPABILITY and CAPACITY needs?

   (5) PERFORMANCE MEASURES  What KEY PERFORMANCE MEASURES or INDICATORS do you use to track the achievement and EFFECTIVENESS of your ACTION PLANS? How does your overall ACTION PLAN measurement system reinforce organizational ALIGNMENT?

   (6) PERFORMANCE PROJECTIONS  For these KEY PERFORMANCE MEASURES or INDICATORS, what are your PERFORMANCE PROJECTIONS for your short- and longer-term planning horizons? How does your projected PERFORMANCE on these MEASURES or INDICATORS compare with your PROJECTIONS of the PERFORMANCE of your competitors or comparable organizations and with KEY BENCHMARKS, as appropriate? If there are gaps in PERFORMANCE against your competitors or comparable organizations, HOW do you address them?

b. ACTION PLAN Modification

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

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

Notes

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

- Item 1.1: how your senior leaders set and communicate organizational direction
- Item 7.1: specific accomplishments relative to your organizational strategy and action plans
- Item 2.2a(2). Action plan implementation and deployment may require modifications in organizational structures and operating modes. Action plan success benefits from visible short-term wins as well as long-term actions.
- Item 2.2a(6). Measures and indicators of projected performance might include consideration of changes resulting from significant anticipated innovations in educational programs, services, and technology; the redirection of resources; market entry and shifts; improved administrative and other support functions; improvements in safety; new legislative mandates, legal requirements, education standards, or accreditation standards; and significant anticipated innovations in programs, services, and technology.
- Item 2.2b. Organizational agility requires the ability to adapt to changing circumstances, both internal and external.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
Customers (85 pts.)

The CUSTOMERS category asks HOW your organization engages its students and other customers for long-term market success, including HOW your organization listens to the VOICE OF THE CUSTOMER, builds relationships with students and other CUSTOMERS, and uses student and other CUSTOMER information to improve and to identify opportunities for INNOVATION.

3.1 Voice of the Customer: How do you obtain information from your students and other customers? (40 pts.)

In your response, include answers to the following questions:

a. Listening to Students and Other CUSTOMERS

(1) Current Students and Other CUSTOMERS

How do you listen to, interact with, and observe students and other CUSTOMERS to obtain actionable information? How do your listening methods vary for different student groups, other CUSTOMER groups, or market segments? How do you use social media and web-based technologies to listen to students and other CUSTOMERS, as appropriate? How do your listening methods vary across the stages of students' and other CUSTOMERS' relationships with you? How do you seek immediate and actionable feedback from students and other CUSTOMERS on the quality of EDUCATIONAL PROGRAMS AND SERVICES, student and other CUSTOMER support, and transactions?

(2) Potential Students and Other CUSTOMERS

How do you listen to potential students and other CUSTOMERS to obtain actionable information? How do you listen to former, potential, and competitors' students and other CUSTOMERS to obtain feedback on your EDUCATIONAL PROGRAMS AND SERVICES, student and other CUSTOMER support, and transactions, as appropriate?

b. Determination of Student and Other CUSTOMER Satisfaction and ENGAGEMENT

(1) Satisfaction, Dissatisfaction, and ENGAGEMENT

How do you determine student and other CUSTOMER satisfaction, dissatisfaction, and ENGAGEMENT? How do your determination methods differ among your student and other CUSTOMER groups and market segments, as appropriate? How do your measurements capture actionable information to use in exceeding your students' and other CUSTOMERS' expectations and securing your students' and other CUSTOMERS' ENGAGEMENT for the long term?

(2) Satisfaction Relative to Competitors

How do you obtain information on your students’ and other CUSTOMERS’ satisfaction with your organization relative to other organizations? How do you obtain information on your students’ and other CUSTOMERS’ satisfaction

• relative to their satisfaction with your competitors and

• relative to the satisfaction of students and other CUSTOMERS of other organizations that provide similar programs and services, or to education sector BENCHMARKS, as appropriate?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

Notes

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

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

3.1a(1). Your listening methods should include all stages of your involvement with students and other customers. These stages might include relationship building, the active relationship, and a follow-up strategy, as appropriate.
3.2 Customer Engagement: How do you engage students and other customers by serving their needs and building relationships? (45 pts.)

In your response, include answers to the following questions:

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

(1) Program and Service Offerings

**HOW do you determine EDUCATIONAL PROGRAM AND SERVICE offerings?**

- determine student, other CUSTOMER, and market needs and requirements for EDUCATIONAL PROGRAM AND SERVICE offerings;
- identify and adapt program and service offerings to meet the requirements and exceed the expectations of your student and other CUSTOMER groups and market SEGMENTS; and
- identify and adapt program and service offerings to enter new markets, to attract new students and other CUSTOMERS, and to create opportunities to expand relationships with current students and other CUSTOMERS, as appropriate?

(2) Student and Other CUSTOMER Support

**HOW do you enable students and other CUSTOMERS to seek information and support?**

- determine your students’ and other CUSTOMERS’ KEY support requirements and
- DEPLOY these requirements to all people and PROCESSES involved in student and other CUSTOMER support?

(3) Student and Other CUSTOMER Segmentation

**HOW do you determine your CUSTOMER groups and market SEGMENTS?**

- use information on students, other CUSTOMERS, markets, and EDUCATIONAL PROGRAM AND SERVICE offerings to identify current and anticipate future student and other CUSTOMER groups and market SEGMENTS;
- consider competitors’ students and other CUSTOMERS as well as other potential students, other CUSTOMERS, and markets in this segmentation; and
- determine which student and other CUSTOMER groups and market SEGMENTS to emphasize and pursue for growth?

(Continued on the next page)
b. Student and Other Customer Relationships

(1) Relationship Management  **How do you build and manage relationships with students and other customers?**

How do you market, build, and manage relationships with students and other customers to

- acquire students and other customers and build market share;
- manage and enhance your image or brand;
- retain students and other customers, meet their requirements, and exceed their expectations in each stage of their relationship with you; and
- increase their engagement with you?

How do you leverage social media to manage and enhance your image or brand and to enhance student and other customer engagement and students’ and other customers’ relationships with your organization, as appropriate?

(2) Complaint Management  **How do you manage students’ and other customers’ complaints?**

How do you resolve complaints promptly and effectively? How does your management of these complaints enable you to recover your students’ and other customers’ confidence, enhance their satisfaction and engagement, and avoid similar complaints in the future?

Terms in small caps are defined in the Glossary of Key Terms (pages 47–54).

Notes

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

3.2a. Educational program and service offerings are the activities you offer in the market to engage students in learning or contribute to scientific or scholarly investigation. In identifying educational program and service offerings, you should consider all their important characteristics and their performance in each stage of students’ and other customers’ relationship with you. The focus should be on features that affect students’ and other customers’ preference for and loyalty to you and your organization—for example, features that differentiate your programs and services from those of competing or other organizations. Those features might include curricular focus, student placement following completion of the educational goal or training objective, workforce composition, extracurricular activities, or tuition and associated costs. Key program and service features might also take into account how transactions occur and factors such as the privacy and security of student and other customer data. Your results on performance relative to key educational program and service features should be reported in item 7.1, and those for students’ and other customers’ perceptions and actions (outcomes) should be reported in item 7.2.

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

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

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

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
4 Measurement, Analysis, and Knowledge Management (90 pts.)

The Measurement, Analysis, and Knowledge Management category asks how your organization selects, gathers, analyzes, manages, and improves its data, information, and knowledge assets; how it learns; and how it manages information technology. The category also asks how your organization uses review findings 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.)

In your response, include answers to the following questions:

a. **Performance Measurement**

   (1) **Performance Measures** How do you use data and information to track daily operations and overall organizational performance? How do you
   • select, collect, align, and integrate data and information to use in tracking daily operations and overall organizational performance; and
   • track progress on achieving strategic objectives and action plans?
   What are your key organizational performance measures, including key short- and longer-term financial measures? How frequently do you track these measures?

   (2) **Comparative Data** How do you select and effectively use comparative data and information? How do you
   select and effectively use key comparative data and information to support operational decision making?

   (3) **Student and Other Customer Data** How do you use voice-of-the-customer and market data and information?
   • select and effectively use voice-of-the-customer and market data and information (including aggregated data on complaints) to build a more student-focused culture and to support operational decision making, and
   • use data and information gathered through social media, as appropriate?

   (4) **Measurement Agility** How do you ensure that your performance measurement system can respond to rapid or unexpected organizational or external changes?

b. **Performance Analysis and Review**

   How do you review your organization’s performance and capabilities? How do you use your key organizational performance measures, as well as comparative and customer data, in these reviews? What analyses do you perform to support these reviews and ensure that conclusions are valid? How do your organization and its senior leaders use these reviews to
   • assess organizational success, competitive performance, financial health, and progress on achieving your strategic objectives and action plans; and
   • respond rapidly to changing organizational needs and challenges in your operating environment, including any need for transformational change in organizational structure and work systems?

   How does your governance board review the organization’s performance and its progress on strategic objectives and action plans, if appropriate?

c. **Performance Improvement**

   (1) **Best Practices** How do you share best practices in your organization? How do you identify organizational units or operations that are high performing? How do you identify their best practices for sharing and implement them across the organization, as appropriate?

   (2) **Future Performance** How do you project your organization’s future performance? How do you use findings from performance reviews (addressed in 4.1b) and key comparative and competitive data in projecting future performance? How do you reconcile any differences between these projections of future performance and performance projections developed for your key action plans (addressed in 2.2a[6])?

(Continued on the next page)
(3) Continuous Improvement and INNOVATION

How do you use findings from PERFORMANCE reviews (addressed in 4.1b) to develop priorities for continuous improvement and opportunities for INNOVATION? How do you DEPLOY these priorities and opportunities

- to faculty, staff, other work group, and functional-level operations and
- when appropriate, to your feeder or receiving schools, suppliers, PARTNERS, and COLLABORATORS to ensure organizational ALIGNMENT?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

Notes

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

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

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

4.1a(2). Comparative data and information are obtained by benchmarking and by seeking competitive comparisons. Benchmarking is identifying processes and results that represent best practices and performance for similar activities, inside or outside the education sector. Competitive comparisons relate your performance to that of competitors and other organizations providing similar educational programs and services. One source of this information might be social media or the web.

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

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

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
4.2 Knowledge Management, Information, and Information Technology: How do you manage your organizational knowledge assets, information, and information technology infrastructure? (45 pts.)

In your response, include answers to the following questions:

a. Organizational Knowledge

(1) Knowledge Management HOW do you manage organizational knowledge? How do you
- collect and transfer WORKFORCE knowledge;
- blend and correlate data from different sources to build new knowledge;
- transfer relevant knowledge from and to students, other CUSTOMERS, suppliers, PARTNERS, and COLLABORATORS; and
- assemble and transfer relevant knowledge for use in your INNOVATION and strategic planning PROCESSES?

(2) Organizational LEARNING HOW do you use your knowledge and resources to embed LEARNING in the way your organization operates?

b. Data, Information, and Information Technology

(1) Data and Information Quality HOW do you verify and ensure the quality of organizational data and information? How do you manage electronic and other data and information to ensure their accuracy and validity, integrity and reliability, and currency?

(2) Data and Information Security HOW do you ensure the security of sensitive or privileged data and information? How do you manage electronic and other data and information to ensure confidentiality and only appropriate access? How do you oversee the cybersecurity of your information systems?

(3) Data and Information Availability HOW do you ensure the availability of organizational data and information? How do you make needed data and information available in a user-friendly format and in a timely manner to your WORKFORCE, suppliers, PARTNERS, COLLABORATORS, students, and other CUSTOMERS, as appropriate?

(4) Hardware and Software Properties HOW do you ensure that hardware and software are reliable, secure, and user-friendly?

(5) Emergency Availability In the event of an emergency, HOW do you ensure that hardware and software systems and data and information continue to be secure and available to EFFECTIVELY serve students, other CUSTOMERS, and organizational needs?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

Notes

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

4.2b(2). Managing cybersecurity (the security of electronic data) includes, for example, protecting against the loss of sensitive information about faculty, staff, students, other customers, and organizations; protecting assets stored in the cloud or outside your organization’s control; protecting intellectual property; and protecting against the financial, legal, and reputational aspects of data breaches.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
5 Workforce (85 pts.)

The **Workforce** category asks **HOW** your organization assesses **Workforce Capability** and **Capacity** needs and builds a **Workforce** environment conducive to **High Performance**. The category also asks **HOW** your organization engages, manages, and develops your **Workforce** to utilize its full potential in **Alignment** with your organization’s overall organizational needs.

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

In your response, include answers to the following questions:

**a. Workforce Capability and Capacity**

1. **Capability and Capacity** **How do you assess your Workforce Capability and Capacity needs?** How do you assess the skills, competencies, certifications, and staffing levels you need?

2. **New Workforce Members** **How do you recruit, hire, place, and retain new Workforce members?** How do you ensure that your **Workforce** represents the diverse ideas, cultures, and thinking of your hiring and student community?

3. **Work Accomplishment** **How do you organize and manage your Workforce?** How do you organize and manage your **Workforce** to
   - accomplish your organization’s work;
   - capitalize on your organization’s **Core Competencies**;
   - reinforce a focus on students, other **Customers**, and student **Learning**; and
   - exceed **Performance** expectations?

4. **Workforce Change Management** **How do you prepare your Workforce for changing Capability and Capacity needs?** How do you
   - manage your **Workforce**, its needs, and your organization’s needs to ensure continuity, prevent **Workforce** reductions, and minimize the impact of such reductions, if they become necessary;
   - prepare for and manage periods of **Workforce** growth; and
   - prepare your **Workforce** for changes in organizational structure and **Work Systems**, when needed?

**b. Workforce Climate**

1. **Workplace Environment** **How do you ensure workplace health, security, and accessibility for the Workforce?** What are your **Performance Measures** and improvement **Goals** for your workplace environmental factors? For your different workplace environments, what significant differences are there in these factors and their **Performance Measures** or targets?

2. **Workforce Benefits and Policies** **How do you support your Workforce via services, benefits, and policies?** How do you tailor these to the needs of a diverse **Workforce** and different **Workforce groups and segments?** What **Key** benefits do you offer your **Workforce**?

Terms in **Small Caps** are defined in the Glossary of Key Terms (pages 47–54).

Notes

5.1. Workforce refers to the people actively involved in accomplishing your organization’s work. It includes permanent, temporary, and part-time personnel, as well as any contract faculty and staff you supervise. It includes team leaders, supervisors, and managers at all levels. People supervised by a contractor should be addressed in categories 2 and 6 as part of your larger work system strategy and your internal work processes. For organizations that also rely on volunteers, workforce includes these volunteers.

5.1a. Workforce capability refers to your organization’s ability to carry out its work processes through its people’s knowledge, skills, abilities, and competencies. Capability may include the ability to build and sustain relationships with students and other customers; innovate and transition to new technologies; develop new educational programs and services and work processes; and meet changing organizational, market, and regulatory demands.
Workforce capacity refers to your organization’s ability to ensure sufficient staffing levels to carry out its work processes and successfully deliver educational programs and services to students, including the ability to meet seasonal or varying demand levels.

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

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

5.1a(3), 5.1a(4). Organizing and managing your workforce may involve organizing the workforce for change as you address changes in your external environment, culture, technology, or strategic objectives.

5.1a(4). Preparing your workforce for changing capability and capacity needs might include training, education, frequent communication, consideration of workforce employment and employability, career counseling, and outplacement and other services.

5.1b(1). Workplace accessibility maximizes productivity by eliminating barriers that can prevent people with disabilities from working to their potential. A fully inclusive workplace is physically, technologically, and attitudinally accessible.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
5.2 Workforce Engagement: How do you engage your workforce to achieve a high-performance work environment? (45 pts.)

In your response, include answers to the following questions:

a. Workforce Engagement and Performance

(1) Organizational Culture   How do you foster an organizational culture that is characterized by open communication, HIGH PERFORMANCE, and an engaged WORKFORCE? How do you ensure that your organizational culture benefits from the diverse ideas, cultures, and thinking of your WORKFORCE? How do you EMPOWER your WORKFORCE?

(2) Drivers of Engagement   How do you determine the KEY drivers of WORKFORCE ENGAGEMENT? How do you determine these drivers for different WORKFORCE groups and SEGMENTS?

(3) Assessment of Engagement   How do you assess WORKFORCE ENGAGEMENT? What formal and informal assessment methods and MEASURES do you use to determine WORKFORCE ENGAGEMENT, including satisfaction? How do these methods and MEASURES differ across WORKFORCE groups and SEGMENTS? How do you also use other INDICATORS, such as WORKFORCE retention, absenteeism, grievances, safety, and PRODUCTIVITY, to assess and improve WORKFORCE ENGAGEMENT?

(4) Performance Management   How does your WORKFORCE PERFORMANCE management system support HIGH PERFORMANCE and WORKFORCE ENGAGEMENT? How does it consider WORKFORCE compensation, reward, recognition, and incentive practices? How does it reinforce
- INTELLIGENT RISK taking to achieve INNOVATION;
- a focus on students, other CUSTOMERS, and student LEARNING; and
- achievement of your ACTION PLANS?

b. Workforce and Leader Development

(1) Learning and Development System   How does your LEARNING and development system support the organization’s needs and the personal development of your WORKFORCE members, managers, and leaders? How does the system
- address your organization’s CORE COMPETENCIES, STRATEGIC CHALLENGES, and achievement of short- and long-term ACTION PLANS;
- support organizational PERFORMANCE improvement, organizational change, and INNOVATION;
- support ethics and ethical business practices;
- improve focus on students and other CUSTOMERS;
- ensure the transfer of knowledge from departing or retiring WORKFORCE members; and
- ensure the reinforcement of new knowledge and skills on the job?

(2) Learning and Development Effectiveness   How do you evaluate the EFFECTIVENESS and efficiency of your LEARNING and development system? How do you
- correlate LEARNING and development outcomes with findings from your assessment of WORKFORCE ENGAGEMENT and with KEY organizational RESULTS reported in category 7, and
- use these correlations to identify opportunities for improvement in both WORKFORCE ENGAGEMENT and LEARNING and development offerings?

(3) Career Progression   How do you manage career progression for your organization? How do you manage career development for your WORKFORCE? How do you carry out succession planning for management and leadership positions?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

Notes

5.2. Understanding the characteristics of high-performance work environments, in which people do their utmost for their students’ and other customers’ benefit and the organization’s success, is key to understanding and building an engaged workforce. These characteristics are described in detail in the definition of high performance (page 49).
5.2a(2). Drivers of workforce engagement (identified in P1a[3]) refer to the drivers of workforce members’ commitment, both emotional and intellectual, to accomplishing the organization’s work, mission, and vision.

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

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

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
6 **Operations** (85 pts.)

The **Operations** category asks **HOW** your organization designs, manages, improves, and innovates its **EDUCATIONAL PROGRAMS AND SERVICES** and its **WORK PROCESSES** and **HOW** it improves operational **EFFECTIVENESS** to deliver **VALUE** to students and other **CUSTOMERS** and to achieve ongoing organizational success.

### 6.1 Work Processes: How do you design, manage, and improve your key educational programs and services and your work processes? (45 pts.)

In your response, include answers to the following questions:

**a. Program, Service, and Process Design**

1. **Program, Service, and Process Requirements**  
   **How do you determine key educational program and service and work process requirements?**  
   What are your organization’s **KEY WORK PROCESSES**? What are the **KEY REQUIREMENTS** for these **WORK PROCESSES**?

2. **Design Concepts**  
   **How do you design your educational programs and services and work processes to meet requirements?**  
   How do you incorporate new technology, organizational knowledge, program and service excellence, **CUSTOMER VALUE**, and the potential need for agility into these programs, services, and **PROCESSES**?

**b. Process Management**

1. **Process Implementation**  
   **How does your day-to-day operation of work processes ensure that they meet key process requirements?**  
   What **KEY PERFORMANCE MEASURES** or **INDICATORS** and in-process **MEASURES** do you use to control and improve your **WORK PROCESSES**? How do these **MEASURES** relate to the quality of outcomes and the **PERFORMANCE** of your **EDUCATIONAL PROGRAMS AND SERVICES**?

2. **Support Processes**  
   **How do you determine your key support processes?**  
   What are your **KEY SUPPORT PROCESSES**? How does your day-to-day operation of these **PROCESSES** ensure that they meet **KEY ORGANIZATIONAL SUPPORT REQUIREMENTS**?

3. **Program, Service, and Process Improvement**  
   **How do you improve your work processes to increase student learning, improve educational programs and services and performance, enhance your core competencies, and reduce variability?**

**c. Innovation Management**

**How do you manage for innovation?**  
**How do you pursue the strategic opportunities that you determine are intelligent risks?**  
**How do you make financial and other resources available to pursue these opportunities?**  
**How do you discontinue pursuing opportunities at the appropriate time to enhance support for higher-priority opportunities?**

*Terms in small caps are defined in the Glossary of Key Terms (pages 47–54).*

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**Notes**

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

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

6.1a(2). The potential need for agility could include changes in work processes as a result of overall work system changes, such as bringing a supply-chain process in-house to avoid disruptions in supply due to increasing external events triggered by climate change or other unpredictable factors.

6.1b(2). Your key support processes should support your value-creation processes. They might support leaders and other workforce members engaged in the design and delivery of educational programs and services, interactions with students and other customers, and business and enterprise management.
6.2 Operational Effectiveness: How do you ensure effective management of your operations? (40 pts.)

In your response, include answers to the following questions:

a. **Process Efficiency and Effectiveness**

   **How do you control the overall costs of your operations?** How do you
   
   • incorporate CYCLE TIME, PRODUCTIVITY, and other efficiency and EFFECTIVENESS factors into your WORK PROCESSES;
   
   • prevent errors and rework;
   
   • minimize the costs of inspections, tests, and PROCESS or PERFORMANCE audits, as appropriate; and
   
   • balance the need for cost control with the needs of your students and other CUSTOMERS?

b. **Supply-Chain Management**

   **How do you manage your supply chain?** How do you
   
   • select suppliers and ensure that they are qualified and positioned to not only meet operational needs but also enhance your PERFORMANCE and your students’ and other CUSTOMERS’ satisfaction;
   
   • measure and evaluate your suppliers’ PERFORMANCE;
   
   • provide feedback to your suppliers to help them improve; and
   
   • deal with poorly performing suppliers?

c. **Safety and Emergency Preparedness**

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

   (2) **Emergency Preparedness**   **How do you ensure that your organization is prepared for disasters or emergencies?** How does your disaster and emergency preparedness system consider prevention, continuity of operations, and recovery? How does your disaster and emergency preparedness system take your reliance on suppliers and PARTNERS into account?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

**Notes**

6.2b. Ensuring that suppliers are positioned to meet operational needs and enhance your performance and your students’ and other customers’ satisfaction may involve partnering with suppliers for mutual benefit.

6.2b. Feedback to suppliers should involve two-way communication, allowing suppliers to express what they need from you.

6.2c(2). Disasters and emergencies might be related to weather, utilities, security, or a local or national emergency. The extent to which you prepare for disasters or emergencies will depend on your organization’s environment and its sensitivity to disruptions of operations. Acceptable levels of risk will vary depending on the nature of your programs, services, supply chain, and stakeholder needs and expectations. The impacts of climate change could include a greater frequency of disruptions. Emergency considerations related to information technology should be addressed in item 4.2.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
Results (450 pts.)

The RESULTS category asks about your organization’s PERFORMANCE and improvement in all KEY areas—student LEARNING and PROCESS RESULTS; CUSTOMER-focused RESULTS; WORKFORCE-focused RESULTS; leadership and GOVERNANCE RESULTS; and budgetary, financial, and market RESULTS. The category asks about PERFORMANCE LEVELS relative to those of competitors and other organizations with similar EDUCATIONAL PROGRAM AND SERVICE offerings.

7.1 Student Learning and Process Results: What are your student learning and process effectiveness results? (120 pts.)

Provide data and information to answer the following questions:

a. Student LEARNING and CUSTOMER-Focused Service RESULTS

What are your RESULTS for student LEARNING and for your student and other CUSTOMER service PROCESSES? What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of student LEARNING outcomes and the PERFORMANCE of services that are important to and directly serve your students and other CUSTOMERS? How do these RESULTS compare with the PERFORMANCE of your competitors and other organizations with similar offerings? How do these RESULTS differ by EDUCATIONAL PROGRAM AND SERVICE offerings, student and other CUSTOMER groups, and market SEGMENTS, as appropriate?

b. WORK PROCESS Effectiveness Results

(1) PROCESS Effectiveness and Efficiency What are your PROCESS EFFECTIVENESS and efficiency RESULTS? What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the operational PERFORMANCE of your KEY WORK and support PROCESSES, including PRODUCTIVITY, CYCLE TIME, and other appropriate MEASURES of PROCESS EFFECTIVENESS, efficiency, and INNOVATION? How do these RESULTS compare with the PERFORMANCE of your competitors and other organizations with similar PROCESSES? How do these RESULTS differ by PROCESS types, as appropriate?

(2) Emergency Preparedness What are your emergency preparedness RESULTS? What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the EFFECTIVENESS of your organization’s preparedness for disasters or emergencies? How do these RESULTS differ by location or PROCESS type, as appropriate?

c. Supply-Chain Management RESULTS

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

Notes

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

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

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

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

7.1b. Appropriate measures and indicators of work process effectiveness might include audit results; rates and results of program, service, and work system innovation; results for simplification of internal jobs and job classifications; waste reduction; changes in supervisory ratios; Occupational Safety and Health Administration (OSHA)-reportable incidents; response times for emergency drills or exercises; and results for work relocation or contingency exercises.
7.1c. This requirement does not ask for levels and trends. The reason is that some significant supply-chain results may be either qualitative or not amenable to trending over time. Examples for suppliers could be training hours on new programs, services, or processes; knowledge-sharing activities; audit hours that vary by supplier experience or specification complexity; or joint process and program/service development. When appropriate, however, you should report levels and trends for results that are numeric and trendable.

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

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).

7.2 Customer-Focused Results: What are your customer-focused performance results? (80 pts.)

Provide data and information to answer the following questions:

a. Student- and Other Customer-Focused Results

(1) Student and Other Customer Satisfaction What are your student and other customer satisfaction and dissatisfaction results? What are your current levels and trends in key measures or indicators of student and other customer satisfaction and dissatisfaction? How do these results compare with those of your competitors and other organizations providing similar educational programs and services? How do these results differ by educational program and service offerings, student and other customer groups, and market segments, as appropriate?

(2) Student and Other Customer Engagement What are your student and other customer engagement results? What are your current levels and trends in key measures or indicators of student and other customer engagement, including those for building relationships with students and other customers? How do these results compare over the course of your students’ and other customers’ relationships with you, as appropriate? How do these results differ by educational program and service offerings, student and other customer groups, and market segments, as appropriate?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

Notes

7.2. Results for student and other customer satisfaction, dissatisfaction, engagement, and relationship building should relate to the student and other customer groups and market segments you identify in P1b(2) and to the listening and determination methods you report in item 3.1.

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

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
7.3 Workforce-Focused Results: What are your workforce-focused performance results? (80 pts.)

Provide data and information to answer the following questions:

a. WORKFORCE-Focused Results

(1) WORKFORCE Capability and Capacity

What are your WORKFORCE CAPABILITY and CAPACITY RESULTS? What are your current LEVELS and TRENDS in KEY MEASURES of WORKFORCE CAPABILITY and CAPACITY, including appropriate skills and staffing levels? How do these RESULTS differ by the DIVERSITY of your WORKFORCE and by your WORKFORCE groups and SEGMENTS, as appropriate?

(2) WORKFORCE Climate

What are your WORKFORCE climate RESULTS? What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of your WORKFORCE climate, including those for WORKFORCE health, safety, and security and WORKFORCE services and benefits, as appropriate? How do these RESULTS differ by the DIVERSITY of your WORKFORCE and by your WORKFORCE groups and SEGMENTS, as appropriate?

(3) WORKFORCE Engagement

What are your WORKFORCE Engagement RESULTS? What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of WORKFORCE satisfaction and WORKFORCE Engagement? How do these RESULTS differ by the DIVERSITY of your WORKFORCE and by your WORKFORCE groups and SEGMENTS, as appropriate?

(4) WORKFORCE Development

What are your WORKFORCE and leader development RESULTS? What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of WORKFORCE and leader development? How do these RESULTS differ by the DIVERSITY of your WORKFORCE and by your WORKFORCE groups and SEGMENTS, as appropriate?

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Notes

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

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

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
7.4 Leadership and Governance Results: What are your senior leadership and governance results? (80 pts.)

Provide data and information to answer the following questions:

a. Leadership, Governance, and Societal Responsibility Results

(1) Leadership  What are your **RESULTS for SENIOR LEADERS’** communication and engagement with the **WORKFORCE, students, and other CUSTOMERS**? What are your RESULTS for KEY MEASURES or INDICATORS of SENIOR LEADERS’ communication and engagement with the WORKFORCE, students, and other CUSTOMERS to DEPLOY your VISION and VALUES, encourage two-way communication, and create a focus on action? How do these RESULTS differ by organizational units and student and other CUSTOMER groups, as appropriate?

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

(3) Law, Regulation, and Accreditation  What are your **RESULTS for legal, regulatory, and accreditation RESULTS**? What are your RESULTS for KEY MEASURES or INDICATORS of meeting and surpassing regulatory, legal, and accreditation requirements? How do these RESULTS differ by organizational units, as appropriate?

(4) Ethics  What are your **RESULTS for ETHICAL BEHAVIOR**? What are your RESULTS for KEY MEASURES or INDICATORS of ETHICAL BEHAVIOR, breaches of ETHICAL BEHAVIOR, and STAKEHOLDER trust in your SENIOR LEADERS and GOVERNANCE? How do these RESULTS differ by organizational units, as appropriate?

(5) Society  What are your **RESULTS for societal responsibilities and support of your KEY communities**? What are your RESULTS for KEY MEASURES or INDICATORS of your fulfillment of your societal responsibilities and support of your KEY communities?

b. Strategy Implementation Results

What are your **RESULTS for the achievement of your organizational strategy and ACTION PLANS**? What are your RESULTS for KEY MEASURES or INDICATORS of the achievement of your organizational strategy and ACTION PLANS? What are your RESULTS for building and strengthening CORE COMPETENCIES? What are your RESULTS for taking INTELLIGENT RISKS?

Terms in **SMALL CAPS** are defined in the Glossary of Key Terms (pages 47–54).

**Notes**

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

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

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

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

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

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

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

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).
7.5 **Budgetary, Financial, and Market Results:** What are your budgetary, financial, and market performance results? (90 pts.)

Provide data and information to answer the following questions:

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

(1) **Budgetary and Financial PERFORMANCE** What are your financial PERFORMANCE RESULTS? What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of budgetary and financial PERFORMANCE, including aggregate MEASURES of cost containment, financial viability, and budgetary PERFORMANCE, as appropriate? How do these RESULTS differ by market SEGMENTS and student and other CUSTOMER groups, as appropriate?

(2) **Market PERFORMANCE** What are your market PERFORMANCE RESULTS? 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? How do these RESULTS differ by market SEGMENTS and student and other CUSTOMER groups, as appropriate?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

**Note**

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

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/education_criteria.cfm).