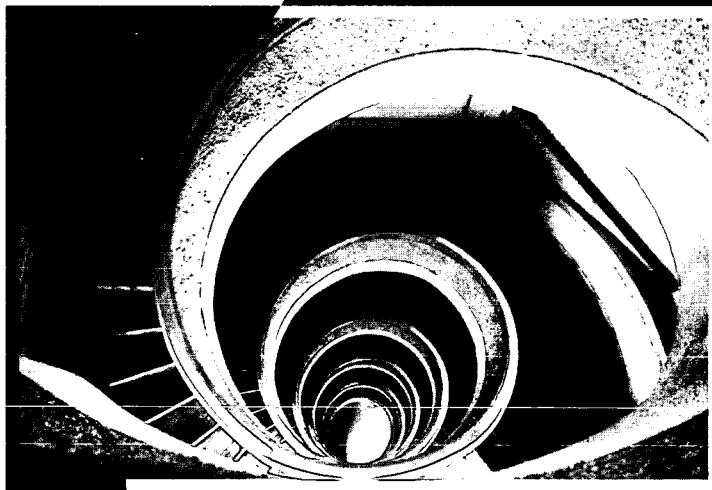


Excellence in Higher Education

2003–2004



A Baldrige-Based Guide to Organizational
Assessment, Improvement, and Leadership

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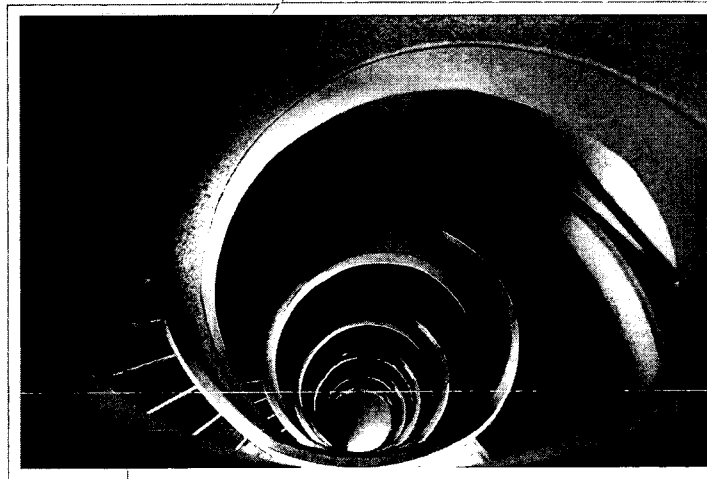
NATIONAL ASSOCIATION
OF COLLEGE AND
UNIVERSITY BUSINESS OFFICERS

BRENT D. RUBEN, PH.D.

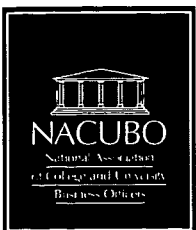
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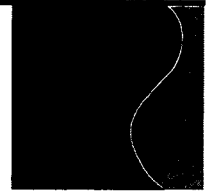
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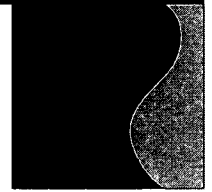
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Brent D. Ruben
Hillsborough, New Jersey



The Context for EHE: The Challenges Facing Higher Education

Colleges and universities across the country confront a number of continuing challenges today.*

✓ Meeting increasing demands, often with few additional resources

Academic and administrative units are being called upon to increase productivity, quality, and effectiveness. More often than not, they are asked to respond to these heightened expectations with few if any additional resources. In such situations, it is essential to clarify priorities and streamline work processes while striving to maintain high standards in programs and services and a high level of faculty and staff satisfaction.

✓ Responding constructively to external critiques from a variety of constituencies

The voices of critics of higher education have grown louder in the past decade, and there is no reason to expect that this trend will reverse itself. Detractors point to what they regard as deficiencies in the way colleges and universities deliver services and in the way they relate to students, parents and families, alumni, contributors, potential employers, and the public. Ignoring these concerns is obviously not a useful strategy, though some have accused higher education of precisely that response. The challenge is to better understand the dimensions of the critique, identify underlying issues, and clarify ways to respond to criticisms in a constructive manner.

✓ Bridging the gap between the academic and administrative cultures

Faculty members and administrative and support personnel typically have quite different training, roles, and responsibilities and therefore different cultures. These groups tend to emphasize the value and achievements of their own members, while sometimes failing to recognize the full range of contributions of other groups. A lack of mutual respect and effective collaboration across departmental and faculty-staff lines is detrimental to an institution and its departments in many respects. It undermines the confidence of the groups served, results in ineffective use of scarce resources, and ultimately has an adverse effect on the institution's effectiveness and reputation.



*For a more detailed discussion of this and other challenges facing higher education, see Brent D. Ruben, *Pursuing Excellence in Higher Education: Eight Fundamental Challenges* (San Francisco: Jossey-Bass, 2003).



Thinking more broadly about higher education institutions and departments as organizations

Are schools of education, law, communication, liberal arts, and business each wholly unique? Is a college human resources department completely different than a department of institutional research, computing services, or admissions? Clearly, there are major differences in the content of the programs and services offered by academic departments (the first group) and administrative units (the second group). At a more generic level of analysis, however, all these units have much in common as organizations. We need generalized frameworks and terminology for thinking and talking about higher education. The absence of more general concepts and terms greatly limits the extent to which we are able to share insights and expertise across departments and institutions.



Learning from the effective practices of other educational institutions and from organizations in other sectors

In terms of academics, institutions of higher learning occupy a special role in society. However, many of our administrative, service, and support functions have parallels in health care, government, and business. Moreover, some organizations in these other sectors also engage in research, instruction, and public service activities. To the extent that colleges and universities fail to identify and explore these similarities, learning from the experiences of other sectors is impossible.



Adopting the philosophy of—and day-to-day commitment to—continuous improvement

Higher education has long been committed to excellence in its endeavors. Critics point out, however, that the change process often seems to be more episodic than continuous, and the rate of improvement can be quite slow. Proposed changes often become the topic of considerable discussion as to strengths and shortcomings, alternative models and approaches, and so on. Sometimes, in the quest for the ideal, less-than-perfect solutions are dismissed and, as a result, more modest but nonetheless significant improvement does not occur. Extensive analysis is important to innovation, but too much analysis can lead to organizational paralysis. The challenge is to adopt approaches that allow for ample discussion and input but also ensure that the commitment to improvement is not simply rhetorical.



Responding proactively to pressure for accountability and performance measurement

In most colleges and universities, demands for accountability and measurement are growing. These pressures can be quite intense when budget allocations are linked to performance. Developing meaningful criteria for assessing excellence and using those criteria to measure and track organizational performance is both a challenge and an opportunity. Too much delay in addressing

these issues is likely to result in performance criteria being defined and imposed by outside individuals and groups who may well have less comprehensive views of what should be measured, and how, than will those working within the organization.

✓ Adopting a broader vision of excellence

Colleges and universities have a long-standing tradition of excellence in academics and scholarship. In this respect, higher education is the “gold standard”—the model to which other sectors look for excellence. However, when it comes to the way colleges and universities deliver their expertise and services and relate to their many constituencies, their accomplishments are less enviable. Ironically, at colleges and universities we employ experts in all the relevant subject areas, yet we often do not practice what we teach. We should aspire to maintain higher standards in internal work processes and in our relations with the groups we serve. For this to occur, we need to formulate and adopt a broader, more inclusive vision of organizational excellence.

✓ Integrating approaches to assessment, planning, and implementation

Most colleges and universities are quite sophisticated in academic assessment, planning, and implementation, but less effort typically has gone into assessment and planning in administrative and organizational areas. Integrated assessment, planning, and improvement models that are appropriate for all departments and institutions should be developed.

✓ Expanding the base of capable and committed leaders

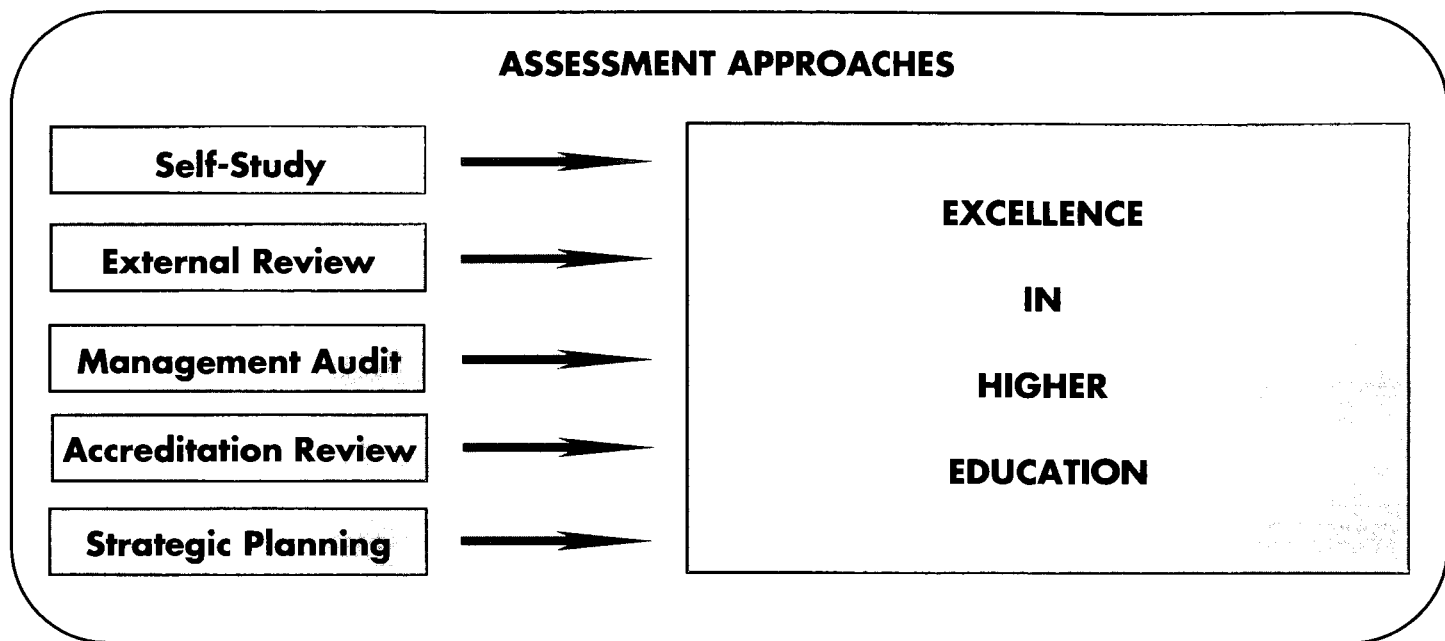
Strong leadership is needed at all levels of an organization in both academic and administrative areas. Despite the many leadership challenges facing colleges and universities, leadership development historically has not been the priority that it has been in other sectors. The assumption seems to be that leadership and managerial capabilities will emerge and develop naturally among those who have excelled in academic or technical areas. Most would agree that the limitations of this approach are quite apparent. The challenge is to clarify the competencies necessary for effective higher education leadership, and then to provide the opportunities necessary to attract, develop, and reward individuals with these capabilities. *EHE* provides a useful framework to guide leaders in conceptualizing and implementing organizational excellence.

About the *EHE* Framework

Excellence in Higher Education 2003–2004: A Baldrige-Based Guide to Organizational Assessment, Improvement, and Leadership (EHE) was developed to help address the challenges facing colleges and universities today. Work on the *EHE* initiative began in 1993. The goal was to develop an organizational quality assessment framework to meet the special needs of higher education, particularly colleges and universities in which teaching, scholarship, and public service are all components of the institutional mission.

EHE incorporates many of the dimensions typically included in assessment methodologies, such as self-studies, external reviews, management audits, accreditation reviews, and strategic planning (figure 1).

FIGURE 1—HIGHER EDUCATION ASSESSMENT APPROACHES



The program is well-suited for use in organizational self-assessment and can also be used as a framework in more conventional approaches to external assessment and review. As the approaches of regional accreditation associations increasingly emphasize mission distinctiveness and clarity, stakeholder assessment, outcomes measurement, comparisons with other institutions, and continuous improvement, *EHE* becomes even more useful and attractive as a framework that integrates assessment, planning, improvement, and leadership. An important characteristic of the *EHE* model is its flexibility. It is appropriate for use with administrative or academic departments, with administrative or faculty councils or senates, and with programs, centers, or institutes. Moreover, the framework can be used by an entire college or university, or with a particular department, division, or campus.

The benefits of the *Excellence in Higher Education* approach include:

- ✓ Providing baseline measures and a standard of comparison using an accepted assessment framework
- ✓ Serving as an integrative tool for strategic planning, organizational development, leadership, and professional education
- ✓ Sharpening the focus on the needs, expectations, perspectives, and satisfaction/dissatisfaction levels of the groups served by an institution or department's activities, programs, or services
- ✓ Highlighting and clarifying organizational strengths
- ✓ Identifying and prioritizing potential areas for improvement
- ✓ Providing a vocabulary and shared framework for organizational analysis and improvement
- ✓ Facilitating communication and constructive comparisons within and across units and institutions
- ✓ Broadening faculty and staff participation in organizational assessment and strategic planning

- ✓ Providing a proactive and constructive response to demands for increased accountability and performance measurement
- ✓ Broadening awareness of issues related to higher education and institutional and departmental leadership
- ✓ Providing a guide to institutional effectiveness and excellence for academic and administrative leaders

A number of refinements in content and emphasis have been integrated into the 2003–2004 edition of the *Excellence in Higher Education* framework. The modifications in this edition reflect experiences with the *EHE* program and changes in the Baldrige model. The continuing goal is to ensure that the language and structure of *EHE* are appropriate to the culture of higher education while preserving compatibility with the Baldrige framework.

In this edition, category 4 has been renamed “Measurement and Knowledge Utilization,” and the content has been modified accordingly. The change from “Information and Analysis” reflects an awareness of the growing importance of systematically measuring organizational achievements and outcomes, and of effectively sharing information, knowledge, and expertise within a department or institution.

Perhaps the most notable change in this edition of *EHE* is the elimination of the discussion of scoring in the guide. This information is now presented in the companion volume, *Excellence in Higher Education 2003–2004: Workbook and Scoring Instructions*. A number of users do not—at least initially—need the scoring methodology. In some cases, users found that the detail associated with the scoring was an impediment to their understanding and use of the framework, criteria, and process. All instructions needed for scoring, as well as the associated forms and guides, are provided in the workbook.

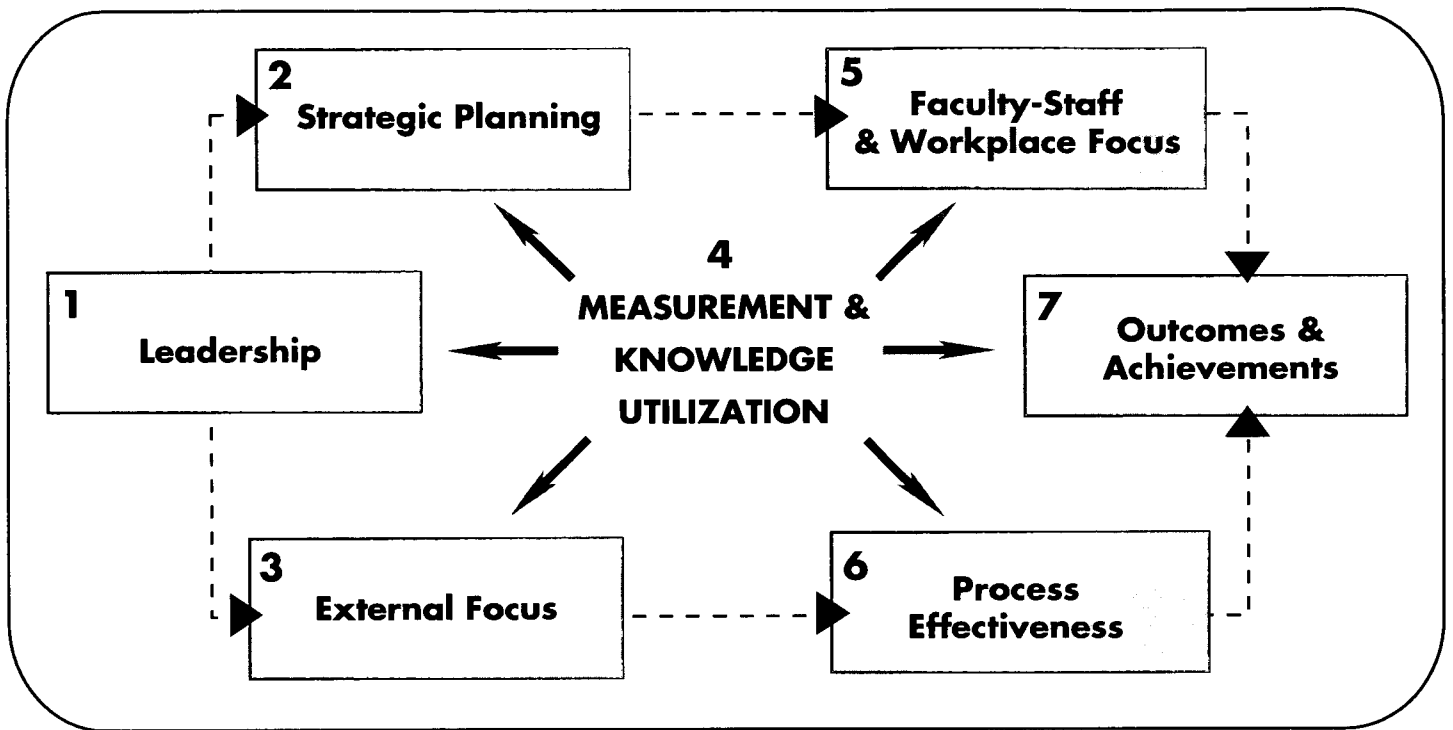
Categories and Concepts

The *Excellence in Higher Education* framework consists of questions to be addressed by any administrative or academic unit that aspires to excellence. The questions are grouped into seven major assessment categories that are fundamental to organizational excellence: Leadership, Strategic Planning, External Focus, Measurement and Knowledge Utilization, Faculty-Staff and Workplace Focus, Process Effectiveness, and Outcomes and Achievements. These categories are essential components of an organizational system (figure 2).

Categories 1.0 through 6.0 are concerned with approach and implementation, while the focus of category 7.0 is on outcomes. *Approach* refers to the methods and strategies used. *Implementation* refers to the manner and extent to which approaches are applied and enacted within an organization. *Outcomes* are results, accomplishments, and achievements.

All seven *EHE* categories are important dimensions of organizational excellence in higher education, and in this sense all are components of a complex, interrelated, and interdependent system. For purposes of analysis, the *EHE* approach freezes the ongoing dynamics of an organization and focuses on each component individually to gain a better sense of organizational strengths and potential areas for improvement.

FIGURE 2—EXCELLENCE IN HIGHER EDUCATION FRAMEWORK



Organization Overview: Institution, Department, or Program Profile

The Institution, Department, or Program Profile outlines topics that should be considered before beginning an *EHE* assessment. Included in this section are questions that call for a general description of the organization, its structure, and key relationships. Information is also solicited regarding previous assessments or reviews, peers and competitors, and noteworthy challenges and opportunities.

Approach and Implementation: Categories 1.0–6.0

Achieving and sustaining organizational excellence outcomes requires effective approaches and implementation strategies in a number of critical areas (figure 3). These individual components, the relationships between them, and their significance to organizational outcomes are the topics considered in Categories 1.0–6.0.

Category 1.0—Leadership focuses on approaches used by senior leaders to guide the institution, department, or program. Also considered are the strategies used to build and sustain commitment to the organization’s mission, vision, values, plans, and goals. This category also assesses how communication and other methods are used to foster a service-oriented culture and to create and maintain effective leadership practices and governance systems throughout the organization. Finally, the category inquires about how leadership practices are reviewed and improved, how the department and its leaders share the organization’s expertise with campus, public, and professional organizations, and how they address social and ethical responsibilities.

Category 2.0—Strategic Planning considers how the institution, department, or program's mission, vision, and values are developed and communicated and how they are translated into short- and long-term plans and goals. Also considered are the ways in which these plans and goals are implemented and synchronized throughout the organization.

Category 3.0—External Focus examines how the institution, department, or program learns about the current and future needs, expectations, perceptions, priorities, and satisfaction levels of the academic, support, or administrative groups it serves. It also focuses on how this information is used to develop and enhance relationships and reputation with these groups.

Category 4.0—Measurement and Knowledge Utilization focuses on the way in which the institution or department strategically selects, integrates, and uses information to measure, monitor, and improve organizational achievements and outcomes. Also considered is how the organization makes comparisons with peers, competitors, and leaders, and how information, knowledge, and expertise are shared within the unit to promote innovation and enhance excellence.

Category 5.0—Faculty-Staff and Workplace Focus considers how faculty and staff are encouraged and enabled to develop their full potential and how the unit links individuals' capabilities, expertise and goals with the mission, vision, goals, and plans of the institution, department, or program. Also considered are approaches used to build and maintain a workplace that promotes faculty-staff well being, regularly assesses faculty-staff satisfaction, and is conducive to excellence, engagement, collaboration, and professional development.

Category 6.0—Process Effectiveness focuses on the processes—sequences of work activities—that are necessary to accomplish the unit's mission. Emphasis is placed on how these mission-critical and support processes are designed, administered, and standardized to achieve maximum effectiveness, consistency, and operational efficiency and fiscal responsibility. Also considered is how these mission-critical and other support processes are assessed and monitored to ensure improvement over time.

Outcomes and Achievements: Category 7.0

For any higher education institution, as well as for its academic and administrative units, attaining and sustaining excellence is the ultimate goal. Questions in category 7.0 ask for documentation of the excellence of core programs, services, and activities; the effectiveness of relationships with the groups it serves; the satisfaction of faculty and staff and the quality of the workplace; and the performance of the organization in operational and financial areas. Consideration is also given to how the organization compares with other organizations in each of these areas.

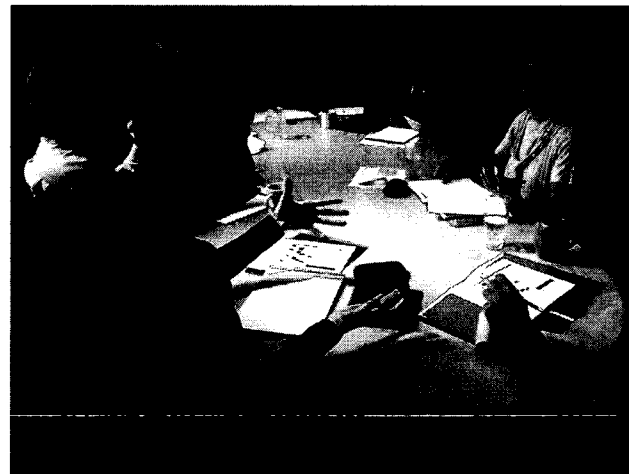


FIGURE 3—CATEGORIES AND ITEMS

0.0 Institutional, Program, or Department Profile

- P.1 Description and Structure
- P.2 Organizational Relationships
- P.3 Comparisons, Challenges, and Opportunities

1.0 Leadership

- 1.1 Organizational Leadership
- 1.2 Public and Professional Leadership and Social Responsibility

2.0 Strategic Planning

- 2.1 Plan Development
- 2.2 Plan Implementation

3.0 External Issues

- 3.1 Needs, Expectations, and Satisfaction Assessment
- 3.2 Relationship Enhancement

4.0 Measurement and Knowledge Utilization

- 4.1 Performance Assessment and Comparisons
- 4.2 Knowledge Utilization

5.0 Faculty-Staff and Workplace Focus

- 5.1 Work Organization and Workplace Practices
- 5.2 Learning and Professional Development
- 5.3 Faculty-Staff Well-Being and Satisfaction

6.0 Process Effectiveness

- 6.1 Core Processes
- 6.2 Operational Support and Financial Processes

7.0 Outcomes and Achievements

- 7.1 Programs, Services, and Activities
- 7.2 External Groups and Organizations
- 7.3 Faculty-Staff and Workplace Climate
- 7.4 Operational and Financial Performance

INSTITUTION, DEPARTMENT, OR PROGRAM PROFILE



The institution, department, or program profile is a high-level overview of your organization.¹ The focus of the profile will depend on whether the frame of reference for the assessment is the entire institution or a particular academic or administrative department or program. The profile should include a brief description of your organization's mission, structure, and core activities. Also included should be highlights of recent institutional or departmental assessments, reviews, or planning initiatives and a brief description of significant influences, relevant comparisons, and particular challenges and opportunities currently facing your organization.

P.1. Description and Structure

Briefly describe the institution, department, or program that will be the focus of the assessment:

1. What is the name of your institution, department, or program?
2. What is your organization's primary purpose or mission?
3. How is your organization structured?
4. Who are the senior leaders, and what are their areas of responsibility?
5. To whom does the senior leader of your organization report?
6. What is the profile of your organization's workforce? Include a brief description of each full- and part-time faculty or staff group, their responsibilities, the number of individuals in each group, and which groups, if any, are members of bargaining units.
7. What are your organization's major facilities and technologies?
8. What is the legal, regulatory, licensing, or accrediting environment in which your organization operates? Briefly describe any mandated standards, review processes, financial, or environmental regulations that may apply.
9. Has your institution participated in self-assessments, external assessments, or reviews within the past five years? Briefly describe the conclusions, recommendations, and any actions that have been undertaken in response to those assessments.

P.2. Organizational Relationships

1. What individuals, groups, or organizations are served by or benefit directly from your activities, programs, or services?² Describe the approximate size of each group, and briefly summarize their expectations or requirements for your organization.
2. With what organizations do you have formalized relationships, alliances, collaborations, or partnerships? Briefly describe the nature and purpose of each. List and describe any key informal relationships with other groups or organizations.

3. What other external groups are important to the work of your institution, department, or program? With what other institutions or departments do you interact on a regular basis?
4. Does your institution, department, or program have advisory or governing boards? If so, what are their roles and responsibilities?

P.3 Comparisons, Challenges, and Opportunities

1. What other institutions, departments, or programs do you consider to be peers, competitors, and leaders in what you do?
2. In terms of overall quality, stature, or standing, how does your institution, department, or program compare with other organizations?
3. What are the principal factors that determine your success relative to peers, competitors, or leaders? What projected changes, if any, may influence these patterns?
4. What are your key organizational challenges?
5. Are there currently, or do you anticipate, particular opportunities for advancing the quality, stature, or standing of your organization?

NOTES

1. *Organization* refers to an institution; an administrative or academic department, program, center or institute; or an administrative group, assembly, or senate.
2. The list of external groups and organizations varies depending on the organizational frame of reference. For example, if the organization under consideration is an entire college or university, the list of external groups would likely include present students, prospective students, parents, alumni, high schools, community colleges, advisory boards, the community, state and federal governments, donors, and others.

If the organization being considered is an academic department with a mission involving instruction, research/scholarship, and public service/outreach, the list could include students, alumni, funding agencies, members of the academic discipline, other academic departments with which the unit collaborates on instructional or scholarly programs, and others.

The concept of external focus is equally important for organizations that provide services to groups or organizations *within* the institution, such as departments of human resources, facilities, computing services, or sponsored research; faculty or administrative councils or assemblies; and other administrative and service units. For administrative or service organizations, the pertinent groups and organizations would be the campus administrative and academic departments for which the department provides services. In the case of facilities, for example, external groups and organizations would include those departments for which custodial, maintenance, or construction services are provided, as well as vendors and suppliers with whom the facilities unit collaborates in providing these services.

This category considers how senior leaders guide your organization; how they build and sustain consensus on your mission and future directions; and how they promote a focus on the needs and expectations of the groups or organizations you serve and collaborate with. It also examines how senior leaders foster effective leadership and governance practices and how leadership effectiveness is assessed. Finally, the category focuses on how senior leaders share experience and expertise with internal and external groups and how they address ethical and social responsibilities.

1.1 Organizational Leadership

- ✓ How senior leaders guide the organization
- ✓ How they build and sustain consensus on the mission, vision, values, plans, and goals
- ✓ How they promote a focus on understanding and balancing the needs and expectations of the groups and organizations you serve and collaborate with
- ✓ How leaders use communication, mentoring, performance reviews, and other approaches to foster effective leadership practices and governance systems throughout the organization

AREAS TO ADDRESS

A. Organizational Leadership

1. What are your organization's¹ mission,² vision, values, plans, and goals? How do senior leaders create and maintain a focus on these directions and aspirations?
 - ✓ How are senior leaders personally and visibly involved in supporting the mission, vision, values, plans, and goals?
 - ✓ How do senior leaders build and sustain a shared understanding and commitment throughout the organization?
 - ✓ How do senior leaders review and monitor the organization's performance and progress on plans and goals?
 - ✓ How do senior leaders ensure follow-through in the implementation of plans and goals?

- ✓ How do senior leaders encourage periodic reexamination and refinement of the mission, vision, values, plans, and goals?
- 2. How do senior leaders ensure the synchronization of activities, directions, and priorities throughout the organization?
- 3. How do senior leaders help to create a culture of excellence that:
 - ✓ promotes high standards of individual and collective achievement?
 - ✓ encourages initiative and innovation?
 - ✓ fosters collaboration and cooperation within the organization and with other units?
 - ✓ advances personal and organizational learning?
 - ✓ supports organizational flexibility and agility?
- 4. How do senior leaders promote a service orientation?
 - ✓ How do senior leaders emphasize the importance of understanding the needs and expectations of the groups and organizations you serve?³
 - ✓ What approaches do senior leaders use to encourage ongoing dialogue and the development of effective relationships with these groups and organizations?
 - ✓ How are senior leaders personally involved?
 - ✓ How do senior leaders help clarify and build external support for the organization's directions, priorities, and plans?

B. Leadership and Governance Effectiveness Review

- 1. How do senior leaders assess the effectiveness of their own leadership?
 - ✓ What formal assessment methods are in place?
 - ✓ What informal approaches are used?
 - ✓ How is feedback from colleagues solicited and utilized?
- 2. How is organizational leadership and governance effectiveness assessed?
 - ✓ What formal assessment methods are in place?
 - ✓ What informal approaches are used?
 - ✓ How is assessment information utilized?

1.2 Public and Professional Leadership and Social Responsibility

- ✓ What role leaders at all levels play within the larger institution and in public, professional, and academic communities and organizations
- ✓ How leaders address the organization's ethical and social responsibilities to external communities

AREAS TO ADDRESS

A. Public and Professional Leadership

1. How do leaders at all levels share their expertise and experience on campus through service on committees, projects, task forces, or other initiatives?
 - ✓ What are the types and extent of participation?
 - ✓ How do leaders identify key campus groups and organizations and decide on priority areas for involvement?
 - ✓ How do leaders encourage engagement with priority groups and organizations?
 - ✓ How do campus involvement activities align with your organization's directions, plans, and priorities?
2. How do leaders at all levels share their expertise and experience—in leadership and in their discipline or technical area—off campus with public, professional, academic, and community groups and organizations?
 - ✓ What are the types and extent of participation?
 - ✓ How do leaders identify key communities and decide on priority areas for involvement?
 - ✓ How do leaders encourage faculty and staff engagement with priority groups and organizations?
 - ✓ How do community involvement activities align with your organization's directions, plans, and priorities?

B. Ethical Conduct

1. How do leaders at all levels emphasize the importance of integrity and ethical behavior within your organization?
2. How do you identify and address areas of potential ethical concern?⁴ What are these areas, and how do you ensure that high standards of integrity and ethical behavior are maintained in each?

C. Community Responsibility and Support

1. How does your organization identify and address the current and potential impact of its operations on the community and on society?⁵ What are the likely areas of impact, and how are they addressed in a proactive manner?
2. What are the goals and measures for legal and regulatory requirements and risks associated with your organization's operations? How do you ensure that appropriate standards are met?

NOTES

1. *Organization* refers to an institution; an administrative or academic department, program, center, or institute; or an administrative group, assembly, or senate.
2. *Groups and organizations* refer to stakeholders, beneficiaries, consumers, clients, publics, users, constituencies, or customers for which the organization undertakes activities or provides programs or services. Depending upon the mission of the organization, these services may include instruction, research and scholarship, public service and outreach, and administrative, support, or other functions. The list of stakeholder groups and organizations could include students, faculty, staff, disciplinary and professional communities, potential employers, alumni, academic associations, parents, business and industry, state and federal funding agencies, private foundations and donors, prospective students and parents, graduate and professional schools, advisory boards, disciplinary and administrative opinion leaders at other institutions, state and local government, and the citizens of the community or state. For administrative departments that provide programs and services within the institution—such as departments of human resources, facilities, computing services, or sponsored research; faculty and administrative councils or assemblies; and other administrative and service units—the relevant campus groups and organizations would be the administrative and academic departments that the organization serves. *Groups and organizations* also refer to departments inside or outside the institution with which the institution, department, or program collaborates.
3. *Mission* refers to the primary work of the unit—the purposes for which it exists, including specification of the groups it serves. *Vision* refers to a characterization of how the unit sees itself in the future—its broadly expressed aspirations. *Goals* are targets or end points that are sufficiently specific to allow for progress to be assessed and achievement to be determined.
4. Examples of *ethical concerns* include issues of academic integrity, financial management, or vendor relations.
5. Examples of potential areas of impact include pollution risks, waste management issues, campus and community safety, parking issues, personal or property security, substance abuse, driver safety, health risks, and laboratory practices.

Outcomes and achievements for this category will be reported in category 7.4.A.

This category focuses on the development and implementation of short- and long-term plans and goals to advance the organization's mission, vision, and values and to address stakeholder needs. It also considers how plans and goals are communicated, coordinated, and assessed and how follow-through is ensured.

2.1 Plan Development

- ✓ How your organization sets its direction and priorities
- ✓ How the mission, vision, values, and goals are translated into short- and long-term plans

AREAS TO ADDRESS

A. Plan Development

1. Does your organization have a published statement of its mission, vision, values, plans, and goals? How and to whom are these documents disseminated? How often are they reviewed and refined?
2. How does your organization develop plans and goals?
 - ✓ What are the major steps in the process?
 - ✓ How does the planning process consider your mission, vision, and values? How does it consider particular challenges, opportunities, or priorities?
 - ✓ How do you ensure that the planning process is formalized and documented regularly?
3. How does your planning process take into account organizational assessments, self-studies, internal and external reviews, and current outcomes and achievements?¹
4. How do you engage faculty and staff and other appropriate groups in the planning process?
5. How does your planning process encourage two-way communication, coordination, a shared understanding, and building commitment throughout the organization?
6. How does your planning process take the following factors into account:
 - ✓ Information on needs and expectations of groups you serve
 - ✓ Resources (financial and human)

- ✓ Trends (financial, market, technological, governmental, and societal)
 - ✓ Organizational capabilities, culture, and climate
 - ✓ Goals of increased productivity, effectiveness, efficiency, value, and innovation
 - ✓ Capabilities and needs of current or potential organizations that you collaborate with²
 - ✓ Faculty and staff professional development needs³
7. How do you use comparisons with peers, competitors, and leaders in planning and goal setting?⁴
 8. How do you review and improve your planning process?

2.2 Plan Implementation

- ✓ How your organization translates plans and goals into action steps
- ✓ How plans and goals are communicated and monitored
- ✓ How progress on plans is assessed and follow-through is ensured



Plan Implementation

1. How are goals and action steps established?
2. What specific short- and long-term goals and action plans are currently in place?
3. How do you synchronize and coordinate plan implementation throughout the institution, department, or program?
4. How do you ensure the commitment and engagement of faculty, staff, and other key groups in the implementation process?
5. How are the following factors taken into account in implementation?
 - ✓ Resources—financial and human
 - ✓ Organizational capabilities, culture, and climate
 - ✓ Alignment with larger organizational and institutional goals
 - ✓ Unanticipated obstacles, challenges, and opportunities
6. How does your organization monitor progress and ensure follow-through on the implementation of its plan? How do you use performance indicators to assess your success in achieving short- and long-term plans and goals?⁵

NOTES

1. *Outcomes and achievements* refer to the organization's current accomplishments and long-term performance in relation to its mission, vision, values, plans, and goals, including the quality of programs and services; relationships with the groups and organizations it serves or collaborates with; faculty and staff satisfaction and workplace climate; and organizational effectiveness. For more detailed consideration of these topics, see categories 4.0 and 7.0.
2. *Groups and organizations you collaborate with* include all external groups, departments, programs, institutes, organizations, or agencies that supply human, physical, or financial resources that are necessary to the work of your organization. For example, high schools, community and junior colleges, and other colleges or universities are providers of students and potentially of faculty and staff. Vendors supply goods and services. Also included are other units outside your organization with which you have formed alliances, partnerships, joint programs, or shared service arrangements.
3. For a more detailed discussion of this topic, see category 5.0.
4. *Establishing comparisons*—also termed *benchmarking*—refers to the process of identifying, selecting, and systematically comparing the organization's performance, programs, services, processes, activities, achievements, and impact with that of other organizations. Comparisons may be made with peer or competitor higher education organizations, and they can be made with enterprises in other sectors that have comparable processes or activities.
5. *Key performance indicators* are specific indicators or measures that help track progress in relation to the organization's mission, vision, values, plans, and goals. For a more extensive consideration of these topics, see categories 4.0 and 7.0.

Outcomes and achievements for this category will be reported in category 7.4.A.

This category considers how your institution, department, or program identifies the needs, expectations, perspectives, and satisfaction level of the groups and organizations you serve and collaborate with. It also considers how you use this information to create or refine your programs or services, and more generally how you enhance your relationships and reputation with stakeholder groups and organizations.¹

3.1 Needs, Expectations, and Satisfaction Assessment

- ✓ How your organization learns about the needs, expectations, perspectives, and satisfaction levels of the groups and organizations you serve and collaborate with

AREAS TO ADDRESS

A. Knowledge of Needs and Expectations

1. What groups or organizations benefit from the work of your unit, and what programs and services do you provide for each?
2. What kinds of information do you gather to assess the perspectives, needs, and expectations of each group and organization? How and when is it collected?
3. Given your mission, vision, plans, and goals, what is the relative importance or priority of each group and organization?
4. What are the most critical needs and expectations of your high-priority groups and organizations?
5. How do you determine the longer-term (two- to five-year) needs of high-priority groups and organizations?
6. How do you analyze and use information to anticipate future needs of the groups and organizations you serve? How do you take the following factors into account?
 - ✓ Technological, competitive, societal, environmental, economic, regulatory, and demographic factors and trends
 - ✓ Insights from current, former, and future external groups or organizations that you serve or collaborate with?
 - ✓ Comparisons with peer, competitor, and leading institutions or departments

7. How do you gather and use information on the perspectives of groups or organizations that could have elected to use your programs or services but chose not to do so?²

B. Satisfaction Assessment

1. How does your institution, department, or program assess the satisfaction and dissatisfaction of groups and organizations that you serve and collaborate with? For each group:
 - ✓ What information-gathering methods are used?³
 - ✓ How often are assessments conducted?
 - ✓ How are objectivity, validity, and reliability ensured?
 - ✓ How are assessment results used to predict future behavior?⁴
2. How do you gather and use information on the perspectives of former users or beneficiaries?⁵
3. How do you analyze and use other information such as suggestions, complaints, or recommendations to assess satisfaction or dissatisfaction and to identify improvement needs?
4. How do you obtain and use comparative information on satisfaction levels with programs and services at peer, competitor, and leading organizations?

Outcomes and achievements related to the quality of relationships with external groups and organizations will be reported in Category 7.2.

3.2 Relationship Enhancement

- ✓ How your organization builds and enhances your relationships, communication, and reputation with groups you serve or collaborate with

AREAS TO ADDRESS

A. Relationships and Communication

1. How do you use your knowledge of stakeholder needs, expectations, perspectives, and satisfaction levels to improve your approaches to information sharing, recruitment, and retention with target groups and organizations?
2. How do you translate your knowledge of stakeholder needs, expectations, perspectives, and satisfaction levels into organizational standards and practices to create and maintain positive relationships with individuals, groups, and organizations for which you provide programs and services?⁶
3. What are the face-to-face communication situations through which your organization has regular contact with the groups and organizations you serve or collaborate with?⁷ How do you monitor the quality of these interactions?

- ✓ How do members of external groups initially learn about your activities, programs, and services?
 - ✓ What faculty and staff groups in your organization have regular and significant contact with the members of your external groups?
 - ✓ How do you monitor the quality of initial contact and ongoing interactions with external groups to ensure that courtesy, responsiveness, professionalism, and other service standards and organizational values are upheld?
4. How does technology—the Internet, telephone, mail, E-mail, publications, information systems, and other media—enhance communication with external groups and organizations? How do you monitor the effectiveness of these channels?
 5. How do you ensure that people have access to information about your programs and services at times and places that are convenient and appropriate to their needs?
 6. What channels are available for people who seek special assistance, have suggestions, or want to register complaints? How do you ensure prompt and effective follow-up?

NOTES

1. *Stakeholder groups and organizations* are beneficiaries, audiences, consumers, clients, publics, constituencies, or customers for which the organization undertakes activities or provides programs or services. They may be internal or external groups. Depending on the mission of the organization, these groups may be academic, administrative, business, auxiliary, or other support programs or services. For academic units, the list of groups and organizations could include students, faculty, staff, disciplinary and professional communities, potential employers, alumni, academic associations, parents, business and industry, state and federal funding agencies, private foundations and donors, prospective students and parents, graduate and professional schools, advisory boards, disciplinary and administrative opinion leaders at other institutions, state and local government, the citizens of the community or state, mass media, and other groups. For administrative departments that provide programs and services within the institution—such as departments of human resources, facilities, computing services, or sponsored research; faculty and administrative councils or assemblies; and other administrative and service units—the relevant campus groups and organizations would be the administrative and academic departments that the organization serves—including staff, faculty, or student groups, as well as external groups or organizations, such as advisory boards, visitors, students' families, and the public.
2. For academic organizations, this group might include qualified students who chose not to apply and qualified students who were admitted but elected not to attend an institution or not to enroll in a particular program of study. For business and administrative units, this group would include groups and organizations that were eligible or appropriate candidates to use your organization's programs and services but chose other providers.

3. Assessment methods should be in place for all high-priority external groups and organizations. Examples include mail or telephone surveys, focus groups, interviews or response card analysis, and analysis of complaints. Indirect information-gathering methods are also potentially useful, depending on the organization and the external groups involved. For academic units, for example, these methods might include the assessment of attrition rates; recommendations and referrals; invitations and requests to serve in leadership roles in external groups; enrollment demand and trends; course and instructor evaluations; complaint or suggestion content and rate; financial support; and publication acceptance rates. The appropriateness of methods will vary from organization to organization.
4. Examples of potential future behaviors of students and other external groups and organizations may include attending, continuing, recommending, supporting, referring, funding, publishing, contributing, and hiring.
5. For academic organizations, former users might include alumni or students who were admitted or began a program of study but then withdrew. For business and administrative units, former users would include former clients or collaborators.
6. *Service standards or practices* are specified organizational protocols or guidelines established to address the needs and expectations of external groups or organizations or to uphold organizational values. Examples include standards regarding waiting times, telephone call-back response time, and response to letters of complaint.
7. Examples might include face-to-face advising sessions, walk-in visits to a department office, or presence in a classroom.

MEASUREMENT AND KNOWLEDGE UTILIZATION

This category focuses on how your organization selects, gathers, and integrates information and uses it to evaluate achievements and outcomes, monitor progress on plans and goals, and compare accomplishments to those of other organizations. It also considers how your organization shares and utilizes information, knowledge, and expertise internally.

4.1 Performance Assessment and Comparisons

- ✓ How you select, gather, and integrate information
- ✓ How you use information to assess and monitor organizational outcomes, achievements, and progress in relation to your mission, vision, values, plans, and goals and in relation to the accomplishments of peer, competitive, and leading organizations

AREAS TO ADDRESS

A. Performance Assessment Methods¹

1. How do you assess your organization's performance in relation to your mission, vision, values, plans, and goals? More specifically, how do you assess outcomes and achievements for: core programs and services; relationships with external groups and organizations; faculty-staff satisfaction and workplace climate; and operational and financial performance?²

For each of these areas:

- ✓ What indicators or measures do you use?
 - ✓ How were these indicators developed?
 - ✓ How do you ensure the reliability, consistency, accessibility, timeliness, and confidentiality of information, as appropriate?
2. How do you ensure that performance assessment methods are used in a coordinated manner throughout your organization and its various departments and workgroups?
 3. How do you keep your performance measurement system current and responsive to significant changes in your organization's needs and directions?

B. Comparative Assessment Methods³

1. How does your organization use comparisons with peer, competitive, and leading organizations to evaluate your outcomes and achievements?
2. How do you decide which peer, competitive, and leading organizations to use for comparative analysis? What organizations have you selected for comparison, and why are they the most appropriate?
3. How do you select and acquire comparative information? How do you keep your information-gathering methods current with your organization's needs and directions?

Comparisons between your organization and others as related to outcomes, achievements, and trends will be reported in categories 7.1, 7.2, 7.3, and 7.4.

C. Analysis and Use

1. How is performance and comparison information communicated throughout the organization?
2. How do you use performance and comparison information to analyze, track, and improve organizational outcomes and achievements? More specifically, how is this performance information used to improve:
 - ✓ Effectiveness and efficiency of activities, programs, and services
 - ✓ Focus and coordination of efforts across departments and workgroups
 - ✓ Quality of relationships with external groups and organizations
 - ✓ Knowledge networking, innovation, and organizational learning
 - ✓ Leadership and governance systems and practices
 - ✓ Strategic planning
 - ✓ Faculty-staff and workplace climate satisfaction
 - ✓ Overall organizational performance in relation to goals and plans

Performance outcomes and achievements will be reported in categories 7.1, 7.2, 7.3, and 7.4.

4.2 Knowledge Utilization

- ✓ How you manage, disseminate, and use information and knowledge resources to improve your organization and its programs and services

AREAS TO ADDRESS

A. Availability and Dissemination

1. How does your organization ensure that information is collected, stored, retrieved, and disseminated to ensure availability and access by appropriate individuals and departments?
2. What organizational information, including performance information, is regularly communicated to internal and external groups? When and how does this take place?
 - ✓ How do you determine which information to collect, store, and disseminate?
 - ✓ How do you ensure the user-friendliness of your information systems?
 - ✓ How do you keep software and hardware systems current with educational and administrative needs and directions?
 - ✓ How do you ensure the integrity, reliability, accuracy, timeliness, and security of information?
3. How does your organization address information and information technology policy issues, including:
 - ✓ Access
 - ✓ Privacy and confidentiality
 - ✓ Internet use
 - ✓ Proprietary rights

B. Information and Knowledge Utilization

1. How do you encourage and reward the sharing and use of knowledge resources and expertise among individuals and departments within your organization?
2. How do you ensure that information and knowledge resources:
 - ✓ Reach the appropriate individuals, groups, and organizations?
 - ✓ Are in a form that is appropriate and addresses user needs?
 - ✓ Are adopted and used effectively?
3. How do you evaluate and improve your knowledge management and utilization approaches and systems?

NOTES

1. *Performance assessment methods* translate organizational mission, vision, values, plans, and goals into measures that can be used to assess outcomes, summarize achievements, and track progress over time. Performance assessment methods should provide a basis for assessing outcomes and achievements from the perspective of programs, services, and activities (see categories 6.1 and 7.1), external groups and organizations (see categories 3.0 and 7.2), faculty-staff and workplace climate (see categories 5.0 and 7.3), and operational and financial performance (see categories 6.2 and 7.4).
2. *Outcomes and achievements* are the documented accomplishments of the institution, department, or program to be reported in category 7.0. Category 4.0 examines the indicators and measures that will be used to determine these outcomes and achievements.

For *academic units*, outcomes and achievements in the category of programs, services, and activities would include measures of the quality of instruction, scholarship, and outreach, reflecting your mission, vision, plans, and goals. Examples include departmental distinctions or recognition, program ratings or rankings, student learning measures, retention rates, faculty and staff accomplishments, number of applicants or majors, applicant scores on standardized tests, time-to-degree, enrollment or resource generation, licensure results and placement, faculty publications, leadership in external groups and organizations, research and grants activity, publications, outreach activity levels, and productivity or cost-effectiveness outcomes.

For *administrative units*, outcomes and achievements in the category of programs, services, and activities could include measures of the quality, reliability, productivity, effectiveness, efficiency, value, or innovation of the programs and services you provide. Such measures might also include progress on plans and goals, staff accomplishments, leadership in external groups and organizations, and other measures selected to appropriately reflect your mission, vision, and values. For further discussion, see categories 6.1 and 7.1.

Performance assessment methods that measure the quality of your relationships with *external groups and organizations* should include factors that are important to each group and organization you serve. These indicators might be based on results of surveys or focus groups with prospective or current students, employers, alumni, vendors, collaborating groups and organizations, and others. Also potentially useful are indirect measures such as attrition rates, recommendations and referrals, enrollment demand and enrollment trends, course and instructor evaluations, complaint or suggestion content and resolution rate, alumni support and contribution patterns, publication and grant acceptance rates, or other indicators selected by the unit (see categories 3.1.B and 7.2).

Indicators of outcomes and achievements for *faculty-staff satisfaction and workplace climate* might include the results of surveys or interviews, retention, turnover rates, absenteeism, analysis of exit interviews, or other indicators selected by the unit (see categories 5.3.B and 7.3). For *operational and financial performance in academic organizations*, performance indicators focus on internal operations, such as the effectiveness and efficiency of new program development, curriculum review activities, recruiting and hiring, leadership activities, planning, training, purchasing, scheduling, and fiscal responsibility. *Organizational effectiveness and efficiency measures in administrative organizations* would focus on internal operations, such as the effectiveness of leadership, planning processes, new service development, review and improvement cycles, recruiting and hiring, financial oversight, training, purchasing, scheduling, and fiscal responsibility (see categories 6.2 and 7.4).

3. *Comparative assessment*—also called *benchmarking*—refers to the process of identifying, selecting, and systematically gathering information from other organizations in order to compare your organization's performance, programs, services, processes, activities, achievements, and impact with those of other organizations. Comparisons may be with peer and competitor higher education institutions or organizations or with organizations in other industries that have comparable processes or activities. For example, instructional facilities, or purchasing processes may be compared to similar processes at peer or competitor colleges or universities or to processes in business, health care, or governmental organizations.

This category focuses on how your institution, department, or program motivates and enables faculty and staff to utilize their full potential in support of the mission, vision, values, and plans of your organization. It also encompasses efforts to build and maintain an environment that promotes excellence, faculty-staff satisfaction, engagement, collaboration, learning, and professional and organizational development.

5.1 Work Organization and Workplace Practices

- ✓ How your organization implements work systems and workplace practices to encourage excellence and satisfaction

AREAS TO ADDRESS

A. Organization of Work

1. How does your organization design, organize, and oversee work to promote the following qualities?
 - ✓ Individual excellence
 - ✓ Departmental excellence
 - ✓ Collaboration
 - ✓ Innovation
2. How does your organization use the following techniques to encourage organizational flexibility?
 - ✓ Cross-training
 - ✓ Redesign of work processes
 - ✓ Job rotation
 - ✓ Technology
 - ✓ Simplification and reduction of job classifications
 - ✓ Periodic review and redesign of organizational structures

3. How does your organization address the following issues for each faculty-staff group?¹

- ✓ Workforce planning and recruitment
- ✓ Welcome and orientation
- ✓ Career development and progression
- ✓ Participation and engagement
- ✓ Job enhancement and flexibility

B. Performance Review and Recognition²

1. How do your performance review and feedback systems encourage, recognize, and reward superior performance?
2. How do your compensation, benefits, and related reward and incentive practices support and reinforce organizational directions and priorities?

How are nonfinancial rewards used to recognize individual and collective excellence and to reinforce organizational directions and priorities?

5.2 Learning and Professional Development

- ✓ How your organization encourages learning and professional development
- ✓ How your organization provides opportunities to enhance faculty-staff knowledge and capabilities

AREAS TO ADDRESS

1. What personal and professional learning and development opportunities does your organization provide for faculty-staff groups?³
2. How does your organization identify new knowledge, skills, and capabilities needed by faculty-staff? How is each of the following factors taken into account?
 - ✓ Directions, priorities, plans, and goals of the organization
 - ✓ The needs and perspectives of faculty and staff
 - ✓ Job performance review outcomes
 - ✓ Requirements for certification, licensure, or accreditation
 - ✓ Changing technology
 - ✓ Evolving marketplace needs and expectations

3. What specific mechanisms do you use to encourage and support professional development for faculty-staff?
4. What approaches do you use to deliver professional education and development?⁴
5. How do you evaluate and improve professional education and development opportunities, and how are the results used for improvement?
6. How do you address special education and training needs for faculty and staff, such as leadership development, diversity training, orientation, performance review processes, and safety programs?

5.3 Faculty-Staff Well-Being and Satisfaction

- ✓ How your organization maintains a workplace environment that contributes to excellence and to the well-being, satisfaction, and motivation of faculty and staff

AREAS TO ADDRESS

A. Workplace Environment

1. How do you improve workplace health, safety, and ergonomics? How do you ensure workplace preparedness for emergencies or disasters?
2. How does the organization identify improvement needs and monitor progress in the areas of health, safety, and ergonomics?

B. Faculty-Staff Satisfaction and Climate

1. What formal and informal methods, measures, or indicators do you use to assess workplace climate, and faculty-staff well-being, satisfaction/dissatisfaction, and motivation?⁵
 - ✓ How often is this satisfaction and climate information gathered?
 - ✓ How do you tailor these methods and measures to a diverse workforce and to different categories and types of faculty and staff?
 - ✓ How do you use other indicators, such as faculty-staff retention, absenteeism, grievances, and productivity?
2. How do you use information from faculty-staff satisfaction assessment to enhance workplace satisfaction and morale?
3. How do you compare your faculty-staff satisfaction outcomes with those of peers, competitors, and other leaders and, how is this comparison information used?

NOTES

1. *Faculty-staff* refers to all salaried employee groups, including full- and part-time faculty, teaching assistants, coadjutant faculty, visiting lecturers, full- and part-time administration and staff, and student workers.
2. *Recognition* includes, but is not limited to, public acknowledgment of individuals and groups or teams, personal feedback, merit awards, and work performance reviews. Also included are letters of commendation, certifications of merit, articles in bulletins or newsletters, and announcements at unit meetings.
3. *Personal and professional learning and development opportunities* might include sabbaticals, internships, professional development programs, or flexible work schedules to permit enrollment in professional development activities.
4. The approaches might include orientations, traditional courses, computer-based instruction, distance education, on-campus programs, off-campus programs, instruction by consultants, or self-paced instruction.
5. Faculty-staff satisfaction and workplace climate might be assessed through surveys or interviews, retention rates, absenteeism, analysis of exit interviews, or other indicators selected by the organization (see categories 4.1 and 7.3).

Faculty-staff satisfaction and workplace climate outcomes will be reported in Category 7.3.

This category focuses on the work activities that are essential to accomplishing your organization's mission and to addressing the needs and expectations of the groups you serve. The category emphasizes how these processes are designed, supported, standardized, documented, monitored, and improved to achieve excellence and efficiency.

6.1. Core Processes

- ✓ How your organization identifies, supports, monitors, and improves work processes that are essential to your mission and to meeting the needs and expectations of the groups you serve

AREAS TO ADDRESS

A. Identification and Monitoring

1. What are the core—mission-critical—processes for your organization?¹ What external groups are served by each core process?²
2. How do you ensure that your mission-critical processes are appropriately standardized, documented, and monitored?
3. How do you ensure that new and existing processes benefit from the latest and most appropriate technological innovations?
4. What performance measures or indicators are used to assess the effectiveness and efficiency of your core processes?³ How is the information used for monitoring and improvement?
5. What groups or organizations play a critical role as partners or collaborators with your organization for your mission-critical processes?⁴ How do you ensure effective and efficient linkages with the work of those organizations?⁵
6. How are peer, competitor, and leading organizations selected for mission-critical process comparisons? How is the information gained from comparisons used in monitoring, measuring, and improving your core processes?
7. How often are core processes reviewed and refined?

Process effectiveness outcomes, achievements, and progress will be reported in Category 7.1.

6.2 Operational Support and Financial Processes

- ✓ How your organization identifies, monitors, standardizes, documents, and improves operational and financial processes that are necessary to the support of your mission-critical activities and to your internal operations

AREAS TO ADDRESS

A. Identification and Monitoring

1. What are the most critical operational support and financial processes in your organization?⁶
2. How do you ensure that your operational support and financial processes are appropriately standardized, documented, and monitored?

Operational support and financial process outcomes and achievements for your institution, department, or program will be reported in category 7.4.

3. How do you ensure that new and existing support and financial processes benefit from the latest and most appropriate technological innovations?
4. What performance measures or indicators are used to assess the effectiveness and efficiency of your most critical support and financial processes? How is this information used for monitoring and improvement?
5. How are peer, competitor, and leading organizations selected for support and financial process comparisons? How is the information gained from comparisons used in monitoring, measuring, and improving your support and financial processes?

Comparisons between your operational support and financial process outcomes and achievements and those of peers, competitors, and leaders will be reported in category 7.

6. How often are support and financial processes reviewed and refined?

NOTES

1. *Core processes* are sequences of work activities that are mission-critical—essential to the organization's mission and its activities, programs, and services. Core processes are those for which the organization has particular expertise. For academic units, mission-critical work processes typically include activities directly associated with instruction, scholarship, and service or outreach. In administrative organizations, core processes will vary substantially from department to department, reflecting the department's mission, activities, programs, and services.
2. The term *external groups and organizations* refers to beneficiaries, stakeholders, consumers, clients, publics, users, constituencies, or customers for whom the organization undertakes activities or provides programs or services. For academic organizations, the groups and organizations may include students, faculty, staff, disciplinary and professional communities, potential employers, alumni, academic associations, parents, business and industry, state and federal funding agencies, private foundations, individual donors, prospective students and parents, graduate and professional schools, advisory boards, disciplinary and administrative opinion leaders at other institutions, local and state government, and the citizens of the community or state. For administrative departments such as departments of human resources, facilities, computing services, sponsored research, and other administrative and service units, the term *campus groups and organizations* refers to the administrative and academic departments within the institution for which the unit provides programs or services.
3. *Mission-critical process performance indicators* are measures used to assess the quality, effectiveness, efficiency, and responsiveness of an organization's core programs, services, and activities. Typically, these indicators incorporate the kinds of criteria used by peers and professionals in the discipline or field in assessing mission-critical processes (see categories 4.1 and 7.1).
4. Depending on your organization, examples might include collaborative relationships with the office of grants and sponsored research, admissions, or other academic or administrative departments or programs. Mission-critical collaborative relationships may also exist with organizations outside the institution, such as high schools, community colleges, student internship sites, or vendors of goods or services.
5. *Effectiveness* refers to success in achieving an intended purpose. *Efficiency* refers to economies related to financial and human resources.
6. Operational support and financial processes are necessary to assist in the fulfillment of your mission-critical activities and to the effective and efficient operation of your organization. Often, these processes are invisible to external groups. Operational support processes would include recruiting and hiring, conducting performance reviews, training, purchasing equipment and supplies, coordinating repairs and maintenance, time and room scheduling, preparing work materials, and scheduling and conducting meetings. Financial processes might include fiscal management, budget, development, grants development, and grants management.

This category examines your organization's documented outcomes and achievements for core programs and services; relationships with external groups and organizations that are critical to fulfilling your mission; faculty-staff satisfaction and workplace climate; and operational and financial performance.¹ Also considered are accomplishments in the areas of leadership, strategic planning, and measurement and knowledge utilization.

7.1 Programs, Services, and Activities

- ✓ Your organization's key documented outcomes and achievements in relation to the quality and effectiveness of programs, services, and other work activities that are fundamental to your mission, vision, plans, and goals
- ✓ Your organization's progress in these areas over time
- ✓ How these outcomes and achievements compare with those of peers, competitors, and leaders

AREAS TO ADDRESS

1. What are the current and long-term outcomes and achievements for programs, services, and other mission-critical activities?²
2. How do these accomplishments compare with those of peers, competitors, and leaders?³

7.2 External Groups and Organizations

- ✓ Your organization's key documented outcomes and achievements relative to your relationships with the external groups and organizations that are important to fulfilling your mission, vision, plans, and goals
- ✓ Your progress over time in forming satisfying relationships with these groups and organizations
- ✓ How your accomplishments in this area compare with those of peers, competitors, and leaders

AREAS TO CONSIDER

1. What are the documented outcomes and achievements related to creating and maintaining positive relationships and a high level of satisfaction among groups or organizations that you serve and collaborate with?⁴
2. How do these accomplishments compare with those of peers, competitors, and leaders?⁵

7.3 Faculty-Staff and Workplace Climate

- ✓ Your organization's key documented outcomes and achievements in relation to the quality of your organizational climate and faculty-staff satisfaction
- ✓ Your progress over time in creating and maintaining a positive climate and satisfying faculty-staff needs and expectations
- ✓ How these outcomes and achievements compare with those of peers, competitors, and leaders

AREAS TO CONSIDER

1. What are your organization's current and long-term outcomes and achievements related to creating and maintaining a positive workplace climate and faculty-staff satisfaction?⁶
2. How do these accomplishments compare with those of peers, competitors, and leaders?⁷

7.4 Operational and Financial Performance

- ✓ Your organization's documented outcomes and achievements in operational support and financial performance⁸
- ✓ Your organization's progress over time in improving your operational and financial performance
- ✓ How these outcomes and achievements compare with those of peers, competitors, and leaders

AREAS TO CONSIDER

A. Leadership

1. What are your current and long-term outcomes and achievements related to organizational leadership?⁹
2. How do your accomplishments related to leadership compare to those of peers, competitors, and leaders?¹⁰

B. Planning

1. What are your current and long-term outcomes and achievements related to planning?¹¹
2. How do your accomplishments related to planning compare with those of peers, competitors, and leaders?¹²

C. Measurement and Knowledge Utilization

1. What are your current and long-term outcomes and achievements related to measurement and knowledge utilization, including the measurement and tracking of performance?¹³
2. How do your accomplishments in measurement and knowledge utilization compare with those of peers, competitors, and leaders?¹⁴

D. Operational Support

1. What are your current and long-term outcomes and achievements related to the effectiveness and efficiency of your operational support processes?¹⁵
2. How do your accomplishments in support processes compare with those of peers, competitors, and leaders?¹⁶

E. Finances

1. What are your current and long-term financial outcomes and achievements?¹⁷
2. How do your outcomes and achievements in the financial area compare with those of peers, competitors, and leaders?¹⁸

NOTES

1. This category should present *results* that document outcomes and achievements relative to your organization's mission-critical activities, programs, and services (category 6.1). This category does not consider information on your organization's approaches, intentions, strategies, or methods. Those topics are the focus of category 6.1 and of various items in other categories. When possible, outcomes, achievements, and progress (trends) should be presented in graphs and tables.
2. Outcomes and achievements for your mission-critical activities, programs, and services should be reported based on indicators established by your organization (see category 4.1.A). Typically, the standards employed are those utilized by peers and professionals in the discipline or field.
3. See category 4.1.B.
4. This category does not consider information on your organization's approaches, intentions, strategies, or methods. Those topics are the focus of category 3.0 and various items in other categories. Rather, it should present results that document outcomes and achievements. When possible, outcomes, achievements, and progress (trends) should be presented in graphs and tables. Outcomes and achievements should be based on indicators established by your organization (see categories 3.1.B and 4.1.A). Typically, the standards employed reflect the perspectives of individuals, groups, and organizations that your organization serves.
5. See categories 3.1.B. and 4.1.B.
6. This category should present results that document outcomes and achievements related to the quality of your organizational climate and the satisfaction of faculty and staff (see category 5.0). This category does not consider information on your organization's approaches, intentions, strategies, or methods; those topics are the focus of category 4.0 and various items in other categories. When possible, outcomes, achievements, and progress (trends) should be presented in graphs and tables.

Outcomes and achievements related to organizational climate and faculty-staff satisfaction should be based on indicators established by your unit (see categories 4.1.A and 5.3.B). Typically, the standards employed reflect the perspectives of faculty and staff.

7. Comparisons for the quality of your organization's climate and faculty-staff satisfaction should relate your organization's outcomes and achievements with those of peers, competitors, and leaders (see categories 4.1.B and 5.3.B).
8. This category should present results that document outcomes and achievements related to operational and financial performance. It does not consider information on your organization's approaches, intentions, strategies, or methods. Considered in this category are accomplishments related to leadership (category 1.0), planning (category 2.0), measurement and knowledge utilization (category 4.0), and operational support and financial processes

(category 6.2). When possible, outcomes, achievements, and progress (trends) should be presented in graphs and tables.

9. Outcomes and achievements in the area of organizational leadership might include improvements in leadership or leadership practices based on performance reviews or feedback; changes in organizational climate attributed to leadership initiatives; measures of leadership engagement; and service in leadership roles in external campus, public, or professional groups and organizations (see category 1.0).

Outcomes and achievements related to leadership should be based on measures and indicators established by your unit (see category 4.1.A).

10. Comparisons of leadership outcomes and achievements reported should relate your organizational leadership outcomes and achievements to those of peers, competitors, and leaders (see category 4.1.B).
11. Accomplishments in the area of planning might include the implementation of a new planning process; changes in the way plans and goals are established and measured; measures of faculty-staff engagement in the planning process; coordination of plans across departments or work groups; and indicators of progress on goals or effectiveness of dissemination of information regarding plans (see category 2.0).
12. Comparisons of planning process outcomes and achievements reported should relate your planning process accomplishments to those of peers, competitors, and leaders (see category 4.1.B).
13. Accomplishments in the area of measurement and knowledge utilization might include improvements in performance measurement methods; advances in approaches to gathering and using comparison information from other organizations; measures of the effectiveness and efficiency of information dissemination and use; dissemination and adoption of "best practices"; and improvements in information and information systems access or effectiveness (see category 4.0).
14. Comparisons of measurement and knowledge utilization outcomes and achievements reported should relate your outcomes and achievements in these areas to those of peers, competitors, and leaders (see category 4.1.B).
15. Operational support outcomes and achievements are often invisible to external groups, but they are essential to the effectiveness and efficiency of core programs and services and to the overall functioning of the organization. Accomplishments that relate to the operational support of instruction, for instance, would include course design, scheduling, staffing, evaluation, and advising. Depending on the department and its mission, examples may include administrative systems, purchasing, budgeting, employee recruitment and hiring, training and professional development, information management, E-mail and telephone systems, and logistical support of all types. In some administrative organizations, processes listed here as examples of organizational support may be mission-critical processes (see category 6.2).

16. Comparisons of operational support should relate your outcomes and achievements in these areas to those of peers, competitors, and leaders (see category 4.1.B).
17. Financial outcomes would include documentation of financial performance, fiscal management, and budgeting (see category 6.2).
18. Comparisons of financial performance should relate your outcomes and achievements in these areas to those of peers, competitors, and leaders (see category 4.1.B).

CATEGORY DESCRIPTIONS AND COMMENTS



The *EHE* categories represent key components of excellent higher education institutions, departments, and programs. Collectively, they define an integrated framework (figure 4) and highlight the importance of organizational excellence. The *EHE* framework reflects seven core themes:

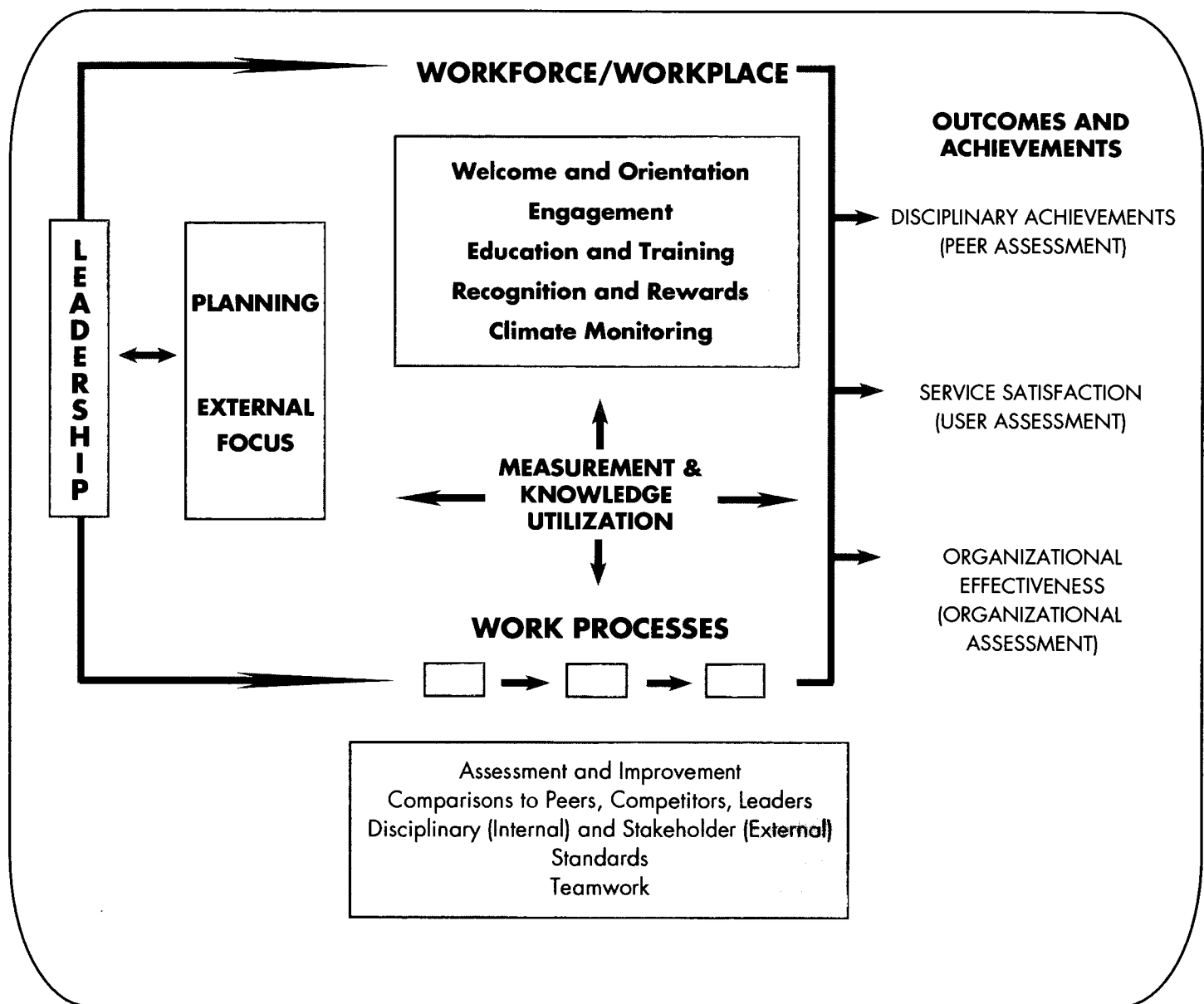
- ✓ Leadership: Define and relentlessly communicate a compelling vision and plans for the future, linked to the needs of the groups served.
- ✓ Strategic Planning: Translate the vision into plans with aggressive and measurable goals.
- ✓ External Focus: Listen to and understand the needs and perspectives of the groups and organizations for which you provide services and programs and with which you collaborate. Identify and close expectation gaps.
- ✓ Measurement and Knowledge Utilization: Translate organizational goals into measurable performance targets for the organization, taking into account comparisons with peers, competitors, and leaders. Make information accessible and easy to comprehend, and encourage the sharing of knowledge and expertise throughout the organization.
- ✓ Faculty-Staff and Workplace Focus: Create a culture that encourages excellence, engagement, professional development, collaboration, satisfaction, and pride. Reward and recognize performance and link individual and organizational goals.
- ✓ Process Effectiveness: Identify, depersonalize, document, analyze, and continuously improve the efficiency and effectiveness of work processes with end-users in mind.
- ✓ Outcomes and Achievements: Document, monitor, and communicate outcomes, achievements, and progress. Compare your accomplishments with those of peers, competitors, and leaders. Use this information to motivate and guide your commitment to excellence and continuous improvement.

Organizational Overview: The Institution, Department, or Program Profile

Meaningful assessment of an institution, department, or program requires an understanding of the context in which the organization operates, its major programs and services, its structure, and its key relationships. Also important are a review of major recommendations from previous external or internal

assessments, an overview of key challenges and opportunities facing the organization, a list of peers and competitors, and other information that is important to establishing the frame of reference. Assembling and reviewing this information is a very useful part of the preparation for an assessment. The profile is also invaluable to individuals outside the organization who are participating in the review process and for those who are reviewing the final results.

FIGURE 4—ORGANIZATIONAL EXCELLENCE: A COMPREHENSIVE APPROACH



1.0 Leadership

Leadership is the cornerstone of excellence in any organization. Leaders have the responsibility for guiding the organization, facilitating the development and implementation of plans and goals, inspiring high levels of performance and collaboration among colleagues, and promoting and modeling desired organizational values through their own behavior. These responsibilities are common to leaders at all levels. Senior administrators in colleges and universities have these leadership duties, as do deans, directors, department chairs, faculty leaders, committees or task force chairs, team leaders, and project coordinators.

How these challenging tasks can be accomplished effectively is a matter of continuing discussion and the topic of hundreds of books and articles each year. While it is clear that there is no simple formula for success, there is a consensus as to what dimensions of individual and organizational leadership are important:

- ✓ Creating focus and clarity about the organization's mission, vision, values, plans, and goals
- ✓ Educating colleagues about opportunities and challenges facing higher education in general and the institution, department, or program in particular
- ✓ Engaging and motivating colleagues at all levels of the organization
- ✓ Promoting teamwork, collaborative problem solving, and a sense of community
- ✓ Being a strong advocate for an external focus—listening carefully to the voices of individuals, groups, and organizations who are the potential beneficiaries of the work of the institution, department, or program
- ✓ Measuring performance against goals
- ✓ Promoting learning and professional development
- ✓ Developing a climate in which analysis, reflection, and continuing improvement are core values
- ✓ Recognizing the achievements of the individuals and the organization
- ✓ Promoting and managing change as a positive and necessary aspect of organizational excellence
- ✓ Encouraging and using feedback on leadership performance
- ✓ Representing the organization with external groups and organizations

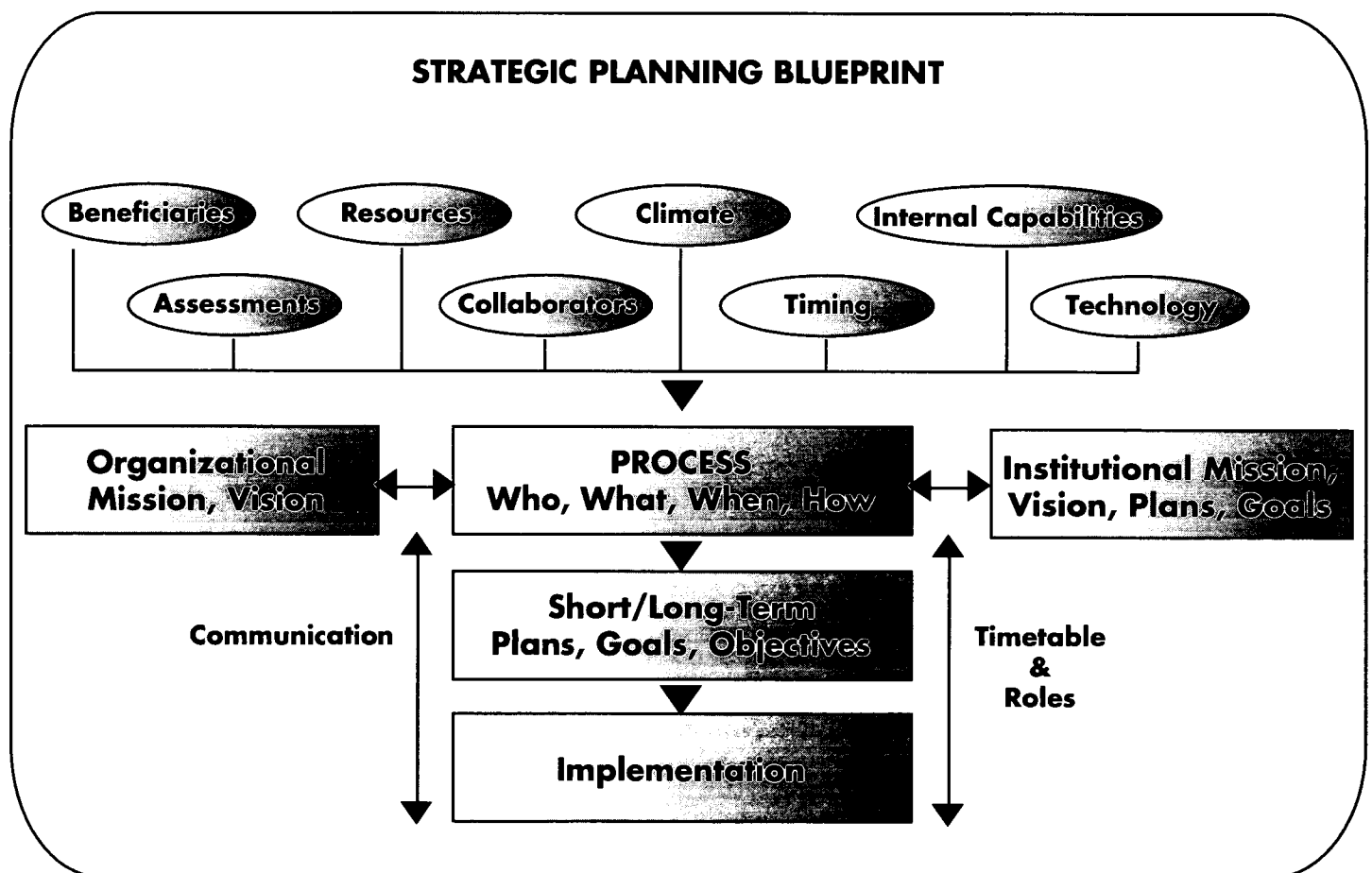
A fundamental tenet of organizational excellence is that leaders are most effective when they are personally and visibly engaged. In doing so, they demonstrate their commitment to particular organizational values and principles not only through their speeches and writings, but also through their behavior. Through their personal actions, leaders have the opportunity to reaffirm the importance of listening to and understanding the perspectives of those served by the organization, engaging and valuing colleagues at all levels, and encouraging coordinated leadership and accountability throughout the organization.

Personal involvement, communication, and consensus building are important in all organizations. Exemplary leadership involves a commitment to high standards of integrity, ethical conduct, and social responsibility, as well as the sharing of expertise and experience beyond the boundaries of the organization through contributions to campus, public, and professional communities.

2.0 Strategic Planning

A second dimension of organizational excellence is strategic planning. Planning is essential to coordinated action and to anticipating and managing change. The process has a number of dimensions. Perhaps the most fundamental purpose of the planning process is the translation of the mission, vision, and strategic directions into measurable goals and action steps. Strategic planning typically begins with a review of the organization's mission and vision, current performance, and capabilities. Also essential is an analysis of the needs and expectations of the individuals and groups served by the organization. Attention is devoted to an assessment of challenges and opportunities, technological developments, organizational climate, resources, regulatory requirements, and community and societal expectations or directions. Comparisons with peer, competitive, and leading organizations are also an important dimension. These and other factors that may come into play in the planning process are illustrated in figure 5.

FIGURE 5—STRATEGIC PLANNING PROCESS



3.0 External Focus

Leading institutions, departments, and programs place a great deal of emphasis on forming and maintaining high-quality and satisfying relationships with the individuals, groups, and organizations they serve and work with. To be successful in these relationships, the organization must devote substantial effort to learning about the perspectives, needs, and expectations of these groups and organizations.

The list of external groups and organizations of concern can vary a great deal depending on the organizational frame of reference. For example, if the organization is an entire institution—a college or university—the list of external groups and organizations would include present students, prospective students, parents, alumni, high schools, community colleges, advisory or governing boards, the community, state and federal governments, donors, mass media, and others.

If the organization being considered is an academic department with a mission involving instruction, scholarship, and public service and outreach, the list would likely include students, alumni, funding agencies, members of the academic discipline, and other academic departments it works with on instructional or scholarly programs or endeavors.

It is important to note that the concept of external focus is equally vital for administrative departments that serve groups or organizations *within* the institution. For these units, the critical external groups and organizations are typically other campus administrative and academic departments. Examples are departments of human resources, facilities, computing services, and sponsored research; faculty and administrative councils or assemblies, and other administrative and service units. For a facilities department, for example, the list of external groups and organizations would include departments for which custodial, maintenance, or construction services are provided, as well as vendors and suppliers with whom the facilities unit collaborates in providing these services.

Depending on the organization and its programs, services, or activities, the list of relevant external individuals, groups, or organizations to be considered would include one or more of the following:

- ✓ Those who benefit from your organization's activities, services, or programs
- ✓ Those your organization's existence depends upon
- ✓ Those who can choose to use or not use your programs or services
- ✓ Those who pay for your programs or services
- ✓ Those who provide resources or expertise that is essential to the work of your organization
- ✓ Those whose assessment of your performance or programs, services, or activities translates into financial or moral support, or a lack thereof

Information from external stakeholders can be used to evaluate current services and programs; to identify needed improvements in communication about existing programs and services; or to create new programs and services. Information from external groups also helps to clarify the importance of organizational standards and practices. For instance, user surveys frequently identify the essential role that front-line staff play in external relations. They are the face of the organization, the first, often the last—and

sometimes the only—point of contact. Encounters with front-line staff form the basis of impressions that are remembered and repeated many times. In the best organizations, systems are put in place to clarify the expectations and priorities of the groups being served, determine how encounters with the institution look to those outside the organization, monitor the satisfaction levels of these groups over time, and identify and address sources of dissatisfaction.

In higher education, external focus is particularly vital. Input from our stakeholders is essential to determine whether the high standards of excellence we hope to achieve in our programs and services are being realized. Moreover, external judgments of the quality of a college, university, or department translate into financial and reputational support that is critical to our work and the well-being of the institution. Thinking in terms of the marketplace and revenue streams, some of the most obvious groups served are students, employers, and parents and families who pay directly for a substantial portion of the educational services that higher education institutions provide. However, many other stakeholder groups make assessments of the instruction, research, outreach, administrative, co-curricular, and support activities of colleges and universities, and all of these judgments have an important impact on the institution's reputation and financial advancement.

The concept of external focus reminds organizations of the hazards of becoming self-focused or self-absorbed. It also suggests an approach for avoiding these organizational tendencies:

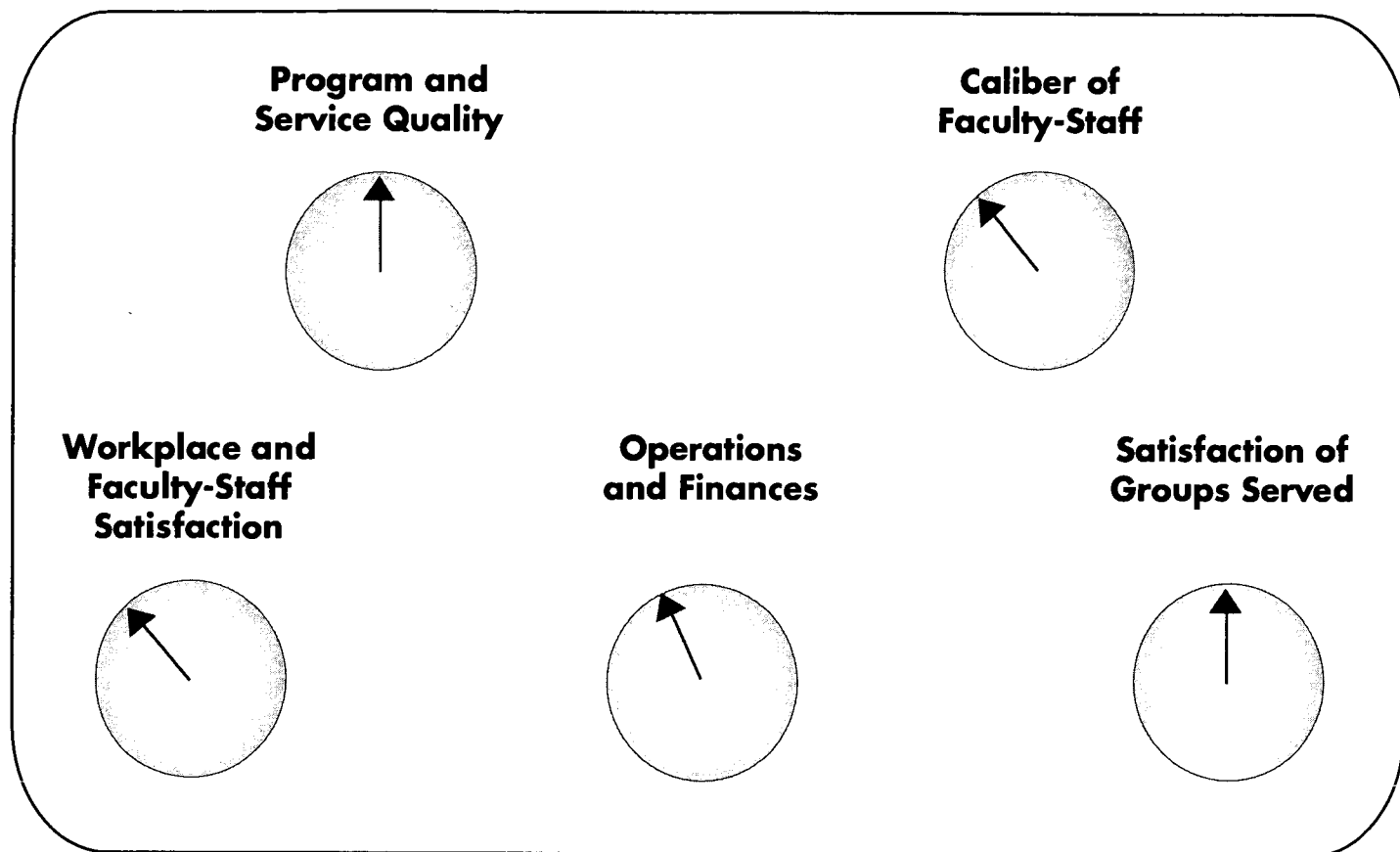
- ✓ Identify groups for which the institution or unit provides programs, services, materials, or resources
- ✓ Regularly and systematically gather data to understand their needs, perspectives, expectations, priorities, and sources of satisfaction and dissatisfaction
- ✓ Prioritize unmet needs, expectations, and sources of dissatisfaction
- ✓ Address priorities by improving work programs and services or by using communication and education to negotiate new expectations

4.0 Measurement and Knowledge Utilization

Critical to all components of organizational excellence is the effective selection, analysis, and use of information. A fundamental use of data and information is to assess organizational performance. Leading organizations choose indicators and measures that allow them to assess their performance relative to their mission, vision, values, plans, and goals. Information may be used to evaluate the quality of programs and services, the organization's relationships with the groups it serves, workplace climate, faculty-staff qualifications and satisfaction, and operational effectiveness.

Many organizations go a step further to identify a small set of core measures, or dashboard indicators, to monitor performance and progress in the most critical areas (figure 6). Organizational dashboard indicators can be helpful in the same way that an automobile's dashboard gauges provide information on the car's important functions. Is the organization achieving its mission, maintaining financial viability,

FIGURE 6—SAMPLE ACADEMIC ORGANIZATION DASHBOARD



providing effective and efficient programs and services, progressing toward its vision, achieving its plans and goals, creating a positive workplace climate, effectively addressing the needs of stakeholder groups for which programs and services are provided, and so on? These are among the questions that can only be answered with a systematic approach to data and information selection and use.

Fundamental to this assessment process is the tracking of expectations and behavior of key external groups served by the department (figure 7). Such information allows the organization to monitor satisfaction levels, determine what criteria external groups use in their judgments, identify sources of dissatisfaction, and clarify needs and opportunities not being well addressed by the organization. The systematic selection, analysis, and use of information are also useful for identifying, studying, and comparing the activities of an organization with those of peer, competitor, and leading benchmark organizations that represent a standard of excellence and focal point for performance comparison and improvement.

One of the major benefits of developing integrated performance measures is to stimulate a dialogue and ultimately help the unit clarify how excellence should be defined, assessed, and communicated. The process also helps the organization determine what information is needed to make such assessments and with whom the unit should compare its achievements to determine their significance.

FIGURE 7—EXTERNAL STAKEHOLDERS MATRIX

What Are the Five Most Critical Groups Served by Your Organization?	What Information Gathering Methods Are Used?	What Are Their Needs, Expectations, and Satisfaction Levels?	Where Are the Gaps in Your Knowledge?
1.			
2.			
3.			
4.			
5.			

Ideally, an organizational dashboard should help to:

- ✓ Clarify institutional purpose, direction, and priorities
- ✓ Measure factors that influence the decision-making of the groups for which services or programs are provided
- ✓ Create focus and alignment throughout the institution
- ✓ Heighten responsibility and accountability
- ✓ Encourage, monitor, and document progress
- ✓ Provide the basis for predicting outcomes
- ✓ Permit meaningful comparisons
- ✓ Be widely accessible and easy to understand
- ✓ Energize and motivate
- ✓ Meet internal and external reporting requirements
- ✓ Engage members of the organization in determining what to measure and why, and how to use results

Another important theme in contemporary organizational theory is knowledge management and use. As an individual or group undertakes work activities, they should have access to all pertinent information, expertise, and knowledge available within the organization to assist them in their task. Ideally, this access involves systems that facilitate the sharing of information on effective practices, or "best practices," within the organization. Making these outcomes a reality requires cultural, systemic, and leadership support. Creating an organization where information, expertise, and knowledge are accessible, widely shared, and effectively used requires enabling technology. Of equal importance is an enabling culture—one that encourages, supports, and rewards collaboration and the sharing of insight, experience, and knowledge.

5.0 Faculty-Staff and Workplace Focus

Excellence in higher education also depends on recruiting and retaining outstanding faculty and staff, maintaining their satisfaction, and creating a positive workplace climate. The essential issue is: To what extent are faculty and staff encouraged to develop their full potential while contributing to the organization's mission, vision, plans, and goals? Achieving this goal requires the organization to build and maintain a climate that promotes excellence, engagement, collaboration, satisfaction, and personal and organizational advancement.

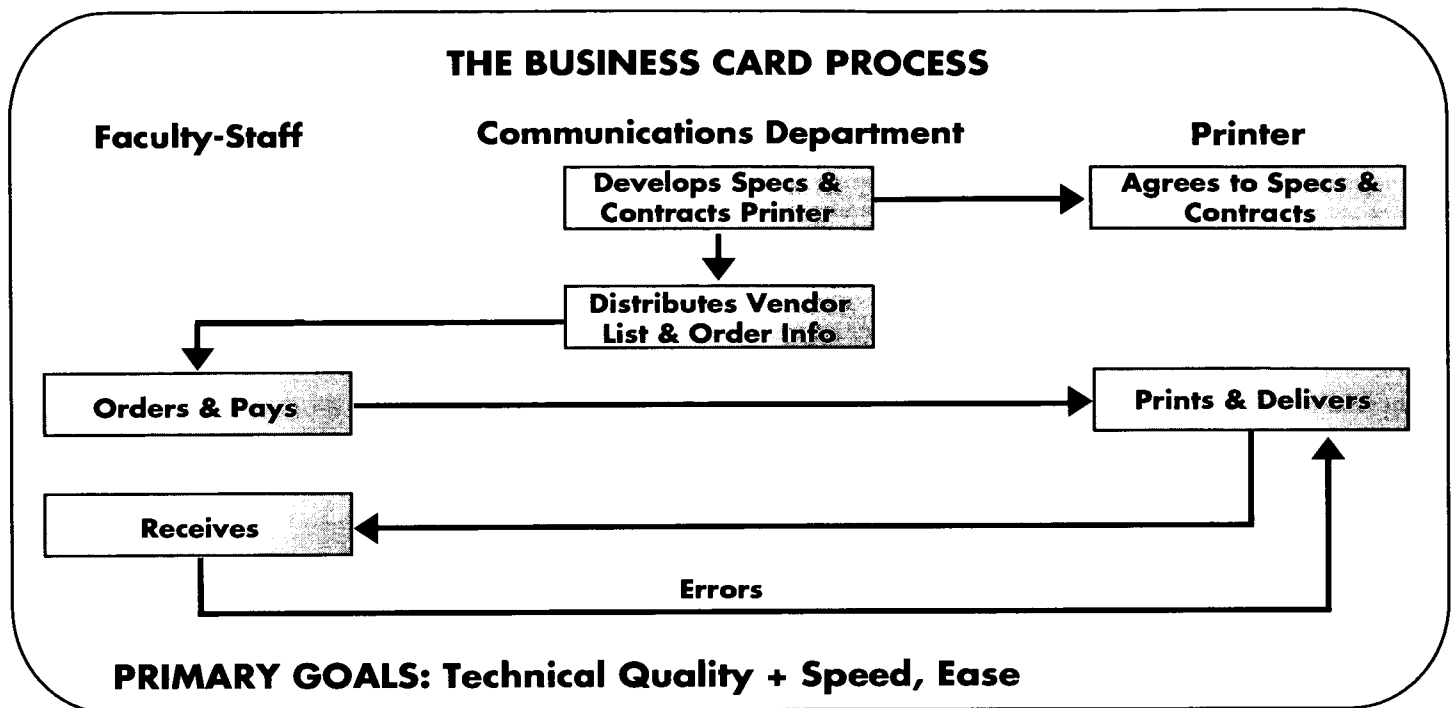
Faculty expertise forms the basis for instruction, scholarship, and service and outreach. Together, faculty and staff create and maintain an environment in which knowledge is created, shared, and applied in various forms and contexts for many groups. The kind of institution faculty and staff together create is itself a powerful teaching tool. It is clear that lessons are taught not only in the classroom by faculty, but also in administrative offices by staff. As noted, the "front-line" employees of an organization play a crucial role in this regard. Their behavior forms the basis of impressions that have a major impact on reputation and the satisfaction of groups served and on what students learn about organizations and human behavior.

Creating a superior workplace requires well-trained, engaged, and committed faculty and staff. This in turn requires supportive leadership, attention to workforce planning and workplace climate, care in recruitment and orientation, reasonable compensation and benefits, sufficient incentives and recognition opportunities, meaningful engagement, appropriate professional developmental opportunities, and a genuine sense of community. Also essential is a systematic method for identifying, analyzing, and monitoring faculty-staff expectations, perspectives, priorities, and satisfaction/dissatisfaction and implementing methods for responding to concerns as they are identified. A worthy goal for higher education is to strive for a level of excellence in faculty-staff satisfaction and workplace climate that parallels the level of excellence in scholarship and academics.

6.0 Process Effectiveness

Leading organizations place considerable emphasis on identifying, supporting, analyzing, standardizing, documenting, and improving work processes that are essential to their missions. The goal is to achieve excellence and efficiency and to meet the needs and expectations of the groups served.

FIGURE 8—SAMPLE PROCESS FLOW



It is not uncommon for individuals to become preoccupied with their own department, job, and duties and detached from the overall purposes of their department or the institution. From the perspective of students and other external constituencies, however, departmental, job, and role distinctions are generally irrelevant. What matters are results. Focusing on processes and outcomes helps to overcome the problems of isolation and segmentation, contributes to organizational excellence, and ultimately contributes to improving the satisfaction of the groups for which programs and services are being provided.

One of the most basic ways to achieve this broader process orientation is to analyze work flows. Figure 8 provides a diagram of the steps involved in securing business cards within a university. Dissecting a process in this way clarifies the roles played by various individuals and departments and highlights areas where potential problems exist. In this case, the process analysis helps to identify the reasons it takes so long to acquire business cards at the institution. As a part of the analysis, it is helpful to clarify the purpose of each step in a process and to determine exactly how to measure and monitor effectiveness and efficiency.

It is important to maintain a focus on the needs and perspectives of those served by particular processes. In the example, the business card process may well meet the needs of the communications department in relation to accuracy and production quality, but if it takes six to eight weeks to achieve these goals, the needs and expectations of end users are certainly not being well met. Systematic study can help determine whether steps could be shortened or eliminated, procedures streamlined, additional training provided to improve efficiency, technology introduced to expedite the process, and so on. Such an analysis generally results in improved processes that are more efficient, more effective, and more responsive to the needs of all parties involved. This approach results in documented, standardized key processes that can be easily communicated, understood, and replicated.

Often, processes involve the work of individuals in more than one department. The interdepartmental—or cross-functional—nature of work is apparent even in basic activities such as recruiting, hiring, and orienting new staff. What might be termed the recruitment-hiring-orientation process typically involves the hiring department and the human resources department, at a minimum. As with other such activities, one can analyze the process to identify the specific steps involved, the order in which they are performed, and the people or departments responsible for each activity. This type of analysis can lead to improved work processes, documentation, and standardization.

In some cases, organizational processes require collaboration with external groups and organizations. These processes may take place in alliances, partnerships, and supplier relations between institutions or between academic and administrative departments within a single institution. Examples include recruiting involving high schools and community and junior colleges; cooperative instruction or research arrangements with other institutions or departments; shared service agreements; and arrangements creating preferred or exclusive provider-beneficiary relationships for programs, materials, resources, or services.

Drawing comparisons between processes in one's own organization and those in other organizations is also important for work analysis and improvement. Opportunities need to be created to analyze and learn from peers, competitors, and leaders in one's own area in higher education and, where appropriate, from organizations in other sectors. Through this kind of activity, effective core and support processes—whether for planning, faculty-staff satisfaction assessment, purchasing, scheduling, surveying students and alumni, advising, hiring, or welcoming new faculty and staff—can be identified, studied, and adopted.

7.0 Outcomes and Achievements

For any higher education institution, as well as for its academic or administrative units, attaining and sustaining excellence is the ultimate aim. To determine how well this is being achieved, organizational outcomes and accomplishments must be assessed in relation to the organization's mission, vision, plans, and goals. The evaluation must first focus on current excellence levels and long-term trends for the overall organization and for its activities, programs, and services. Also important is an assessment of the success of the unit in addressing the needs and expectations of the groups it serves and those with which it collaborates, the satisfaction of faculty and staff, and its operational support processes and financial performance.

Published documentation on outcomes and achievements in each of these areas is needed for organizational self-assessment, planning, and goal setting, process improvement, effective external focus, faculty-staff and workplace focus, and for other improvements. It is also extremely valuable for communicating the organization's accomplishments to external constituencies.

To place these excellence outcomes and achievements in a meaningful context, it is necessary to determine how they compare with those of peer, competitor, and leading organizations. Figure 9 provides a chart that can be used for organizing and presenting this kind of information.

In leading organizations, considerable attention is devoted to documenting, reporting, and communicating information on excellence levels and trends and comparisons with other institutions. Typically, such documentation takes the form of tables (figure 10), often supplemented with narrative detailing key accomplishments.

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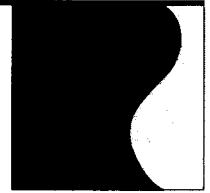
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action plans. Specific activities and steps taken as a part of short- and long-term strategic planning. Through action plan development, general strategies and goals are made specific so that effective implementation is possible and probable.

alignment. Consistency and synchronization of plans, processes, actions, information, and decisions among units to support key unit- and institution-wide goals. Effective alignment requires a shared understanding of purposes and goals and the use of complementary measures and information to enable planning, tracking, analysis, and improvement at the institutional, departmental, work group, and individual level.

approach. The methods and strategies used by an organization. Categories 1–6 focus on approach along with implementation.

benchmarking. Establishing benchmarks—also termed “comparisons”—refers to the process of identifying, selecting, and systematically comparing the organization’s performance, activities, programs, services, processes, achievements, and impact with those of other organizations. Comparisons may be with peer and competitor institutions or with organizations in other sectors with similar processes or activities.

beneficiaries. *See* groups and organizations served.

collaborators. External group or organizations with which the unit must coordinate to carry out its mission-critical work. Includes partnerships, alliances, and vendor-supplier relationships.

comparisons. *See* benchmarking.

coordination. Alignment and synchronization of plans, processes, actions, information, and decisions throughout an institution, department, or program. Effective coordination requires common understanding of purposes and goals and the use of complementary measures and information to enable planning, tracking, analysis, and improvement at the institutional, unit, workgroup, and individual level.

core processes. Sequences of work activities that are mission-critical, those essential to the organization’s mission and its activities, programs, and services. Core processes are those about which the organization has particular expertise. For academic units, mission-critical work processes typically include activities directly associated with instruction, scholarship, and service and outreach. In administrative organizations, core processes will vary substantially from department to department, reflecting the unit’s unique mission, activities, programs, and services.

cycle time. The time required to fulfill commitments or to complete tasks.

dashboard. A set of performance measures or indicators—sometimes referred to as a scorecard—that summarizes all areas of organizational functioning identified as essential to assessing organizational excellence. A dashboard would generally include measures of the quality of the organization's programs and services, satisfaction levels of groups served, faculty-staff satisfaction and workplace climate, operational and financial performance, and other measures determined appropriate by the department.

deployment. The manner in which approaches are implemented and applied within the organization.

effectiveness. Success in achieving an intended purpose.

efficiency. Economies related to human and financial resources.

faculty-staff. Refers to all faculty and staff groups, including full- and part-time faculty, teaching assistants, full- and part-time administrators and staff, student workers, and volunteers.

goals. Targets or end points that are sufficiently specific to allow for progress to be assessed and a determination to be made when they have been achieved. "Stretch" goals are selected to challenge the organization to greater performance than might otherwise be sought.

groups and organizations served. Beneficiaries, stakeholders, consumers, clients, publics, users, constituencies, or customers that the organization serves or collaborates with. Depending on the mission of the organization, these services may include instruction, scholarship, public service and outreach, and administrative, support, or other functions. The list of groups and organizations may include students, faculty, staff, disciplinary and professional communities, potential employers, alumni, academic associations, parents, business and industry, state and federal funding agencies, private foundations, individual donors, prospective students and parents, graduate and professional schools, advisory boards, disciplinary and administrative opinion leaders at other institutions, local and state government, the citizens of the community or state, and other groups. For administrative departments that provide programs and services within the institution—such as departments of human resources, facilities, computing services, sponsored research, faculty/administrative councils or assemblies, and other administrative and service units—the relevant campus groups and organizations would be the administrative and academic departments for which the unit provides programs or services. Also refers to departments inside or outside the institution with which the institution, department, or program collaborates.

implementation. The manner in which approaches are deployed and applied within the organization.

institution. See organization.

knowledge utilization. Effective dissemination, sharing, and utilization of information, expertise, and knowledge by members of an organization.

leadership system. The exercise of leadership and governance, formally and informally, throughout the organization; the way decisions are made, communicated, and carried out. The leadership system includes structures and mechanisms for decision making, selection and development of leaders, and reinforcement of organizational values and practices. An effective leadership system creates clear values and high expectations for performance and improvement, and monitors outcomes. It builds loyalties and teamwork based on the values and the pursuit of shared purposes. It encourages and supports initiative and avoids chains of command that require long decision paths. An effective leadership and governance system also includes mechanisms for the leaders' self-examination.

mission. The primary work of the unit; the purposes for which the unit exists, including specification of the groups for which programs or services are provided. The mission statement is often published and made available to members of the organization and beyond.

outcomes. The organization's current accomplishments and performance over time in relation to its mission, vision, values, plans, and goals, including the quality of programs and services, relationships with the groups and organizations it serves or collaborate with, faculty-staff and workplace climate and satisfaction, and operational and financial performance.

operational support processes. Sequences of activities that are necessary to the completion of mission-critical work and to the effective and efficient operation of the organization. Often, these processes are invisible to external groups. For example, organizational processes would include recruiting and hiring, conducting performance reviews, preparing budgets, training, purchasing equipment and supplies, coordinating repairs and maintenance, time and room scheduling, preparing work materials, and scheduling and conducting meetings.

organization. The terms organization, institution, program, and unit are used interchangeably in *Excellence in Higher Education*. The *EHE* framework is equally applicable to an entire institution, an administrative or academic department, or an organization such as an administrative or faculty assembly or senate.

performance. Output and results. Performance information permits evaluation related to goals, standards, past results, and the accomplishments of peer and other organizations.

performance measures. Measures or indicators of organizational functioning identified by a unit as appropriate for assessing organizational outcomes and achievement levels. Measures typically include indicators of the quality of the organization's programs and services, satisfaction levels of groups served, faculty-staff satisfaction and workplace climate, operational and financial performance, and other measures determined to be appropriate.

profile. Summary of an organization's major programs and services, structure, key relationships, major recommendations from previous external or internal assessments, key challenges and opportunities, peers and competitors, and other information that is important to understanding the context in which the organization operates. The information is assembled as a part of the preparation for an assessment.

process. A sequence of activities. Processes include combinations of people, machines, tools, techniques, and materials in a systematic series of steps, actions, or activities.

program. *See organization.*

recognition. Methods for acknowledging the contributions of individuals, groups, or work units. Recognition includes, but is not limited to, public acknowledgement of individuals and groups or teams, personal feedback, merit awards, and performance reviews. Also included are letters of commendation, certifications of merit, articles in bulletins or newsletters, and announcements at unit meetings.

results. An organization's outcomes and achievements.

service standards. Organizational practices implemented to address identified needs and expectations of groups being served. They apply to those processes and people with direct contact with these external groups. Examples might include standards regarding call back response time, response time to inquiries, wait times, or telephone answering protocol.

stakeholders. Sometimes termed beneficiaries, external groups, consumers, clients, publics, users, constituencies, or customers, stakeholders are those individuals or groups who influence and are influenced by the organization. This includes those whose assessments are critical to the support and reputation of the organization. The list of groups served may include students, parents and families, faculty, staff, disciplinary and professional communities, potential employers, alumni, academic associations, business and industry, state and federal funding agencies, private foundations, individual donors, prospective students and parents, graduate and professional schools, disciplinary and administrative opinion leaders at other institutions, local and state government, citizens of the community or state, and others. *See also groups and organizations served.*

suppliers. Groups or organizations that provide capital, material, or human resources that are necessary for an organization to fulfill its mission. Alliance, partner, and supplier relationships may exist among departments within the institution such as between admissions, scheduling, human resources, or accounting. They may also exist with organizations outside the institution, such as with high schools, community and junior colleges, and other colleges or universities. Other examples are vendors of various types that supply goods and services.

synchronization. Alignment and coordination of plans, processes, actions, information, and decisions throughout an organization. Effective synchronization requires a shared understanding of purposes and goals and use of complementary measures and information to enable planning, tracking, analysis, and improvement at the institutional, unit, workgroup, and individual level.

unit. *See organization.*

values. Standards, principles, or guiding ethics that are seen as necessary or desirable characteristics of organizational practice.

vision. A characterization of how the organization sees itself in the future; its broadly expressed aspirations.

NOTES

NOTES

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