Excellence in Higher Education
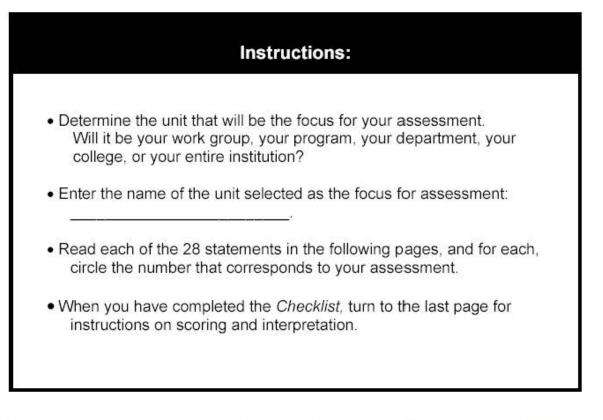# Organizational Checklist

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This *Checklist* is a supplement to *Excellence in Higher Education (EHE)* — a program for organizational assessment, strategic planning and improvement based on the Malcolm Baldrige framework as laid out in Brent D. Ruben's *Excellence in Higher Education 2001-2002: A Baldrige-Based Guide to Organizational Assessment, Planning and Improvement,* published by NACUBO in 2001. (For more information, go to www.nacubo.org/shop). EHE was designed for use in academic or administrative programs or departments, or by an entire college or university.

This *Checklist*—like the model on which it is based—covers seven dimensions of organizational functioning that are critical in higher education: leadership, strategic planning, external focus, information and analysis, faculty/staff and workplace focus, process effectiveness, and outcomes and achievements. Four statements are included for each of these categories. Each statement addresses one of the basic topics of the corresponding category in the *EHE* framework.

This *Checklist* is designed to provide an introduction to the *EHE* approach, and a starting point for discussion and systematic self-assessment using the *EHE* model.

Instructions:

- Determine the unit that will be the focus for your assessment. Will it be your work group, your program, your department, your college, or your entire institution?

- Enter the name of the unit selected as the focus for assessment: _____.

- Read each of the 28 statements in the following pages, and for each, circle the number that corresponds to your assessment.

- When you have completed the *Checklist,* turn to the last page for instructions on scoring and interpretation.

*Information on the Malcolm Baldrige National Quality Program is available at http://www.quality.nist.gov/.

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1.0 Leadership	Don't Know/ Never 1	Rarely 2	Sometimes 3	Often 4	Always 5
In our unit, there is a clearly defined and shared view of our mission, vision, values, plans and goals.	1	2	3	4	5
Our leaders clarify and build consensus on our directions and priorities.	1	2	3	4	5
Leaders encourage and use feedback and performance reviews to improve their own leadership and leadership practices throughout the organization.	1	2	3	4	5
Our leaders are responsive to public concerns and take steps to strengthen our institution, the community and region.	1	2	3	4	5
Subtotals					

Category 1.0 Total _____

2.0 Strategic Planning	Don't Know/ Never 1	Rarely 2	Sometimes 3	Often 4	Always 5
Our unit has a formalized planning process.	1	2	3	4	5
We have a written plan that translates our mission, vision and values into priorities, measurable goals and action steps.	1	2	3	4	5
We engage faculty/staff from throughout the organization in developing and implementing our unit's plans.	1	2	3	4	5
Our unit's goals and plans are synchronized with those of the larger organization or institution.	1	2	3	4	5
Subtotals					

Category 2.0 Total _____

3.0 External Focus	Don't Know/ Never 1	Rarely 2	Sometimes 3	Often 4	Always 5
Our organization has a systematic approach to learning about the needs, expectations and satisfaction levels of the groups for which we provide programs and services.	1	2	3	4	5
We are well informed about the specific needs, expectations and priorities of the groups that benefit from our programs and services.	1	2	3	4	5
Information gathered from the external groups we serve is regularly analyzed and used to improve our programs, services and our organization.	1	2	3	4	5
Our unit is committed to improving our communication, relationships and reputation with the groups for which we provide programs and services.	1	2	3	4	5
Subtotals					

Category 3.0 Total _____

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4.0 Information and Analysis	Don't Know/ Never 1	Rarely 2	Sometimes 3	Often 4	Always 5
We have a clear and shared view as to what standards to use in assessing the effectiveness of our unit, and our programs, services and activities.	1	2	3	4	5
We have an effective approach for gathering information on organizational outcomes, achievements and progress toward our short- and long-term goals.	1	2	3	4	5
Information is used throughout the unit to analyze, review and improve our performance relative to our vision, plans and goals.	1	2	3	4	5
We obtain and use information from peer and leading organizations to assess current effectiveness and progress.	1	2	3	4	5
Subtotals					

Category 4.0 Total _____

5.0 Faculty/Staff and Workplace Focus	Don't Know/ Never 1	Rarely 2	Sometimes 3	Often 4	Always 5
Our unit helps faculty/staff members to develop their full potential, and to contribute effectively to the unit's mission.	1	2	3	4	5
Our unit encourages excellence, participation, appreciation of diversity and professional development.	1	2	3	4	5
We have effective approaches for assessing and recognizing individual and group contributions.	1	2	3	4	5
Our organization has a system for regularly assessing workplace climate, and faculty/staff satisfaction.	1	2	3	4	5
Subtotals					

Category 5.0 Total _____

6.0 Process Effectiveness	Don't Know/ Never 1	Rarely 2	Sometimes 3	Often 4	Always 5
We maintain high standards in our programs and services.	1	2	3	4	5
In our unit, work procedures are effective, efficient, standardized and well documented.	1	2	3	4	5
In our work, we consistently follow documented and standardized procedures.	1	2	3	4	5
Work procedures are reviewed and improved on a regular basis.	1	2	3	4	5
Subtotals					

Category 6.0 Total _____

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7.0 Outcomes and Achievements	Don't Know/ Never 1	Rarely 2	Sometimes 3	Often 4	Always 5
We have objective documentation indicating that our unit is successful in achieving our mission, vision, plans and goals.	1	2	3	4	5
The groups for which we provide programs and services perceive that we are effectively meeting their needs and expectations.	1	2	3	4	5
We have a positive work climate, and our faculty/staff like working here.	1	2	3	4	5
Our record of achievement in the areas listed in the previous three statements compares favorably with that of peers and leaders.	1	2	3	4	5
Subtotals					

Category 7.0 Total _____

TOTAL FOR ALL CATEGORIES _____

Scoring

1. Add the total points for each category.

2. For each category, draw marker line across the bars on the graph below to indicate the total score.

3. Refer to the table (to the right) for score interpretation.

Interpretation

4-7   A priority area for improvement

8-12   The beginning of a systematic approach with many improvement possibilities

13-16   Many indicators of an effective, systematic approach to addressing this area

17-20   An area of excellence