Challenge to Change: A Report on the NACUBO Baldrige Challenge 2010 Initiative

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A Report on the NACUBO Baldrige Challenge 2010 Initiative

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National Association of College and University Business Officers
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We want to thank Louise Sandmeyer, former executive director of the Office of Planning and Institutional Assessment at Pennsylvania State University, for helping with the design and execution of this project, and for serving as one of the consultants for the individual projects. Lisa Ambrose, graduate assistant at Rutgers University, assisted with the development of initial research questions.

We want to acknowledge and thank the seven colleges and universities that participated in Challenge 2010. They each contributed significant resources to undertake projects that will benefit many other higher education institutions by serving as models for effective practices.

We especially want to thank the team leaders of each project who worked so diligently to develop successful projects, keep the project coordinator up-to-date on progress, write outstanding final reports, and prepare presentations to share their findings with their colleagues at other institutions.

John D. Walda
President and CEO
NACUBO

Executive Summary

College and university leaders realize that their institutions need to change to succeed in the face of today's and tomorrow's challenges. Yet it can be far easier to envision a future than to implement it. In their quest for improvement, many colleges and universities stall at the planning stage. The NACUBO Challenge 2010 project sought to provide higher education institutions with tools to facilitate the journey of change from plans through to successful implementation.

Through NACUBO Challenge 2010, seven diverse colleges and universities applied the Baldrige-based Excellence in Higher Education (EHE) framework, as well as a planned change model, to projects ranging from the improvement of processes and practices and the development and implementation of new initiatives to efforts to guide systemic change among multiple departments and institutions within a system. Projects addressed diverse problems from academics to IT, from human resources to parking, and from finance to space management.

Faculty and staff with little formalized training and minimal external support achieved impressive results in their change efforts using the EHE model.

As indicated in the case narratives in this report, across an array of higher education institutions, faculty and staff with little formalized training and minimal external support achieved impressive results in their change efforts using the EHE model. The framework worked well in guiding improvement and strengthening of existing practices and processes, in creating and implementing new programs, and in promoting and encouraging cultural change.

Project leaders at the seven colleges and universities provided insights into several factors that are critical in ensuring the EHE model's success in addressing the challenges of change in higher education:

- An understanding of the dynamics of organizational change provides a critical foundation for effective institutional improvement efforts
- Leadership commitment is essential as is the engagement of beneficiaries and constituents.
- Resistance can be dampened by working with opinion leaders and early adopters.
- High impact and low effort projects should be focused on first. Leverage early success to tackle more difficult projects.
- Initiatives have an increased chance of success if they are linked to highly respected, well established or mandated processes such as strategic planning, accreditation, or benefits changes.
- A measurement system must be put into place to assure progress, make mid-course corrections, and document and report outcomes.
- Communication is important at every stage of the project.
- Leaders should be flexible and open to different approaches. If EHE isn't working, adapt it or try a different model.

In submitting their final reports, the project leaders were in agreement that while the focus of Challenge 2010 was on projects and programs, the ultimate goal is culture change—creating cultures of continuous, and in some cases, transformational change. Implementing the Baldrige/EHE framework is a means to that end; it is not the end in itself.

INTRODUCTION

Challenge 2010 was one of three projects undertaken by NACUBO over the past two years funded by the Lumina Foundation. The grant proposal to the Lumina Foundation read:

> NACUBO seeks to strengthen higher education by helping to shape a deeper culture of organizational efficiency and effectiveness, so that institutions can make better use of their resources to support the missions of teaching, research, and service. With a focus on data-based decision making, strategic planning, outcomes measurement, continuous improvement, and managed change, NACUBO will develop programs and tools to help colleges and universities revamp their systems and processes and seek new revenue sources to meet the requirements of a rapidly changing, more accountability-focused environment.
>
> NACUBO proposes to develop a cadre of institutions committed to using the Baldrige methodology and the associated tools to assess, plan, improve, and provide organizational leadership. These institutions would serve as "proof of concept" for the approach and provide others with effective role models.

The Baldrige framework was chosen because it has been used successfully by corporate, higher education, and, more recently, not-for-profit entities for 10 years to create high-achieving organizations. It has served as an effective base for benchmarking and organizational improvement efforts. As the project developed, we discovered that it was equally important to provide a model for effective change management to complement the organizational effectiveness aspects of the project.

It is difficult to gauge the success of initiatives such as this one. The short- and longer-term success of specific projects is one measure. Another will be the increased use of Excellence in Higher Education and other Baldrige-based tools to help colleges and universities cope with economic challenges. This report, the final reports from participating institutions, and the presentations prepared for the final debriefing session are all available on the NACUBO website. It is our hope that they will provide a compelling models and useful tools "to advance the economic viability and business practices of higher education institutions in fulfillment of their academic missions," NACUBO's stated mission.

THE NATIONAL CONTEXT

Higher education faces unprecedented challenges on multiple fronts. Depending on the institution, these challenges may result from diminishing levels of public and private support, intensifying competition from familiar and not-so-familiar places, and unyielding critique from students, parents, boards, accreditors and other constituencies. This critique is about topics such as the importance of improving operational performance and efficiency, reducing costs, enabling broader access, ensuring timely graduation, measuring learning, facilitating inter-institutional transfers, updating facilities, documenting goals and outcomes, and becoming more transparent in decision making.

Institutions with diverse missions, distinct traditions, and varying fiscal models are finding that they share the need to look for strategies to address a number of these challenges simultaneously. Where a commitment to locally initiated and locally owned projects has long been the practice within most colleges and universities, it becomes increasingly evident that fragmented approaches to institutional improvement may well be too slow and too limited in scope to address the pace and pervasiveness of today's challenges.

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Given this context, it is not surprising that we are witnessing a rush to identify more generic strategies for increasing organizational effectiveness and efficiency, often applying tools that have become familiar in business and health care. These tools include restructuring and merging programs and departments, reducing the number of leadership levels, increasing the centralization and the sharing of services, identifying ways to leverage core competencies and expertise to generate new revenue streams, forming new partnerships and alliances, revamping or eliminating ineffective processes, outsourcing, and making more effective and creative use of technology.

The *right changes* must be made, and they must be made in the *right way.*

For colleges and universities, accomplishing these goals requires a disciplined approach to organizational assessment and planning—to correctly identify the appropriate targets for change—and also a systematic approach to leading and implementing organizational change in order to assure effective and lasting outcomes. Organizations in other sectors that have addressed many of the same challenges higher education now face have learned that the *right changes* must be made, and they must be made in the *right way*.

The search for models, tools and talent to help institutions accomplish meaningful transformational change is now an unmistakable component of the higher education landscape. In a domain, where the need for and direction of changes have been largely self-motivated, incremental, and driven by academic aspirations, how do institutional leaders now address the converging pressures primarily dictated by changing external and marketplace conditions? How does one know where to begin, how to proceed, and how to evaluate progress?

THE NACUBO CHALLENGE

Against this background, NACUBO in 2010 initiated the Challenge 2010 project with the support of the Lumina Foundation. The program was designed to examine the value of the Baldrige framework for addressing the kinds of institutional pressures that higher education faces. Of the various approaches for integrating organizational assessment, planning, and improvement, arguably none has been more influential than the Malcolm Baldrige approach. The model has had a major impact in corporate America over the past 25 years, and has been emulated in programs in 33 states and a number of other countries.[1]

As a widely-respected guide for integrated organizational assessment, planning and improvement, NACUBO believed the *Excellence in Higher Education* framework—and the Baldrige model on which it is based—could be particularly useful as a tool for reviewing and improving current practices, for guiding the development and implementation of new and transformative initiatives, and more broadly, for reshaping the organizational practices and culture of multi-campus systems.

The NACUBO Challenge 2010 initiative sought to provide training and support in the Baldrige/EHE approach and to examine the value of the approach in a variety of higher education settings. The hope was that the project would:

- Serve as "proof of concept" for using the Baldrige/EHE framework to assess, plan, and improve;
- Clarify the value of the approach for facilitating organizational change leadership; and
- Create experienced role models for others to emulate.

Launching the NACUBO Challenge 2010 Initiative

NACUBO launched the initiative with a national call for proposals. Applicants could propose projects that were institution-wide or focused in academic, administrative, student life or service areas (See Appendix A for Call for Proposals). The review process of the 26 applications received considered a number of criteria including: diversity (regional, institutional and project focus), demonstrated level of commitment, leadership support, potential for impact, feasibility, opportunity for leveraging project outcomes more broadly, and clearly defined intended results.

Seven project proposals were selected: American University (Washington, DC), California State University, Loras College (Dubuque, IA), Marist College (Poughkeepsie, NY), University of North Texas Health Sciences Center (Fort Worth, TX), Rogue Community College (Grants Pass, OR), and the University of Georgia (Athens, GA).[2] The topics addressed by the proposed projects spanned the broad spectrum of higher education endeavors from academics to IT, from human resources to parking, from finance to space management. The projects targeted the improvement of processes and practices and the development and implementation of new initiatives, as well as efforts to create momentum for systemic change among multiple departments and institutions within a system.

[1] Information on the Malcolm Baldrige program is available at http://www.nist.gov/baldrige/.

[2] The University of Kentucky and Bucknell University were originally selected. Some members of the leadership teams for the proposed projects participated in the orientation and training, but both projects lost momentum very early on in the program due to changes in project leadership and campus sponsors.

Following the selection of participating institutions, campus project leaders participated in a five-day orientation and training program. The program introduced the Baldrige concept, the EHE framework and methodology, and provided a model and orientation to the topic of organizational change leadership.[3] During the 12 months that followed, campus leaders carried out their projects applying the Baldrige/EHE model and change leadership framework. Campuses filed quarterly reports, and received feedback, advice and counsel from the consultants, as well as a campus visit if they desired.

Final reports were submitted in March 2011, and project leaders assembled in July 2011 for a one-day event to review and discuss their individual projects, and reflect upon and evaluate the Challenge 2010 initiative overall. Additionally, project overviews were presented in three well-attended plenary sessions on the opening day of the NACUBO Annual Meeting. NACUBO has developed a website (http://www.nacubo.org/Business_and_Policy_Areas/Organizational_Effectiveness/NACUBO_CHALLENGE_2010.html) to provide public access to the information about the project, and to encourage information sharing among project teams. This report is intended to contribute to these same goals.

KEY ELEMENTS OF THE CHALLENGE 2010 INITIATIVE

The Baldrige Approach

Named after Malcolm Baldrige, who served as secretary of commerce from 1981 until his death in 1987, the Malcolm Baldrige National Quality Award Program (MBNQA) was established by the United States Congress in 1987. Since its inception, the program has promotes U.S. business effectiveness for the advancement of the national economy. The Baldrige model has been an extremely popular framework for organizational assessment in many settings. The National Institute of Standards and Technology (NIST) reports that more than 1,000 organizations have applied for Baldrige review and recognition and estimates that thousands of organizations have used the criteria for self-assessment.

The Baldrige program provides a systems framework for organizational assessment and improvement, that:

- Identifies the essential components of organizational excellence
- Recognizes organizations that demonstrate these characteristics
- Promotes information sharing by exemplary organizations
- Encourages the adoption of effective organizational principles and practices

[3] The program was designed and led by Susan Jurow, senior vice president for professional development at NACUBO and the Challenge 2010 project coordinator, Brent Ruben, professor of communication and executive director of the Center for Organizational Development and Leadership at Rutgers University, and Louise Sandmeyer, executive director of the Office of Planning and Institutional Assessment at Pennsylvania State University. Ruben and Sandmeyer also served as consultants to the campus leaders throughout the Challenge 2010 effort. Discussion of the EHE Guidebook and Workbook and Scoring Guide, a case study, and interactive exercises were used to familiarize participants with the EHE framework and approach. The presentation was based on The Excellence in Higher Education (EHE) program as described in *The Excellence in Higher Education (EHE) Guidebook* and *Workbook and Scoring Guide* by Brent Ruben published by the National Association of College and University Business Officers, (Washington, DC: NACUBO), 2009. The materials on planned change are based on *Understanding, Leading and Planning Organizational Change: Core Concepts and Strategies* by Brent Ruben (Washington, DC: NACUBO), 2009. See Appendix C for further description of the EHE approach.

Baldrige Categories**.** The Baldrige framework covers seven categories. Although the language and definitions used to describe the framework have evolved over the years, and vary somewhat from one sector version to another, the seven basic themes have remained unchanged. In general terms, the framework suggests that organizational excellence requires:

1. Effective *leadership* that provides guidance and ensures a clear and shared sense of organizational mission and future vision, a commitment to continuous review and improvement of leadership practice, and social and environmental consciousness.

2. An inclusive *strategic planning process* and coherent plans that translate the organization's mission, vision, and values into clear, ambitious, and measurable goals that are understood and effectively implemented throughout the organization.

3. *Knowledge of the needs, expectations, and satisfaction/dissatisfaction levels of the customer groups served by the organization*; operating practices that are responsive to these needs and expectations; and assessment processes to stay current with and anticipate the thinking of these groups.

4. Development and use of *indicators of organizational performance* that capture the organization's mission, vision, values, and goals, and provide data-based comparisons with peer and leading organizations; dissemination of this and other information within the organization to focus and motivate improvement.

5. *Mission-critical and support programs and services* and associated processes to ensure effectiveness, efficiency, appropriate level of quality, documentation and consistency, and regular evaluation and improvement, with the needs and expectations of beneficiaries and stakeholders in mind.

6. Focus on the *workforce* to encourage employee satisfaction, engagement, professional development, commitment, and pride; as well as synchronization of individual and organizational goals.

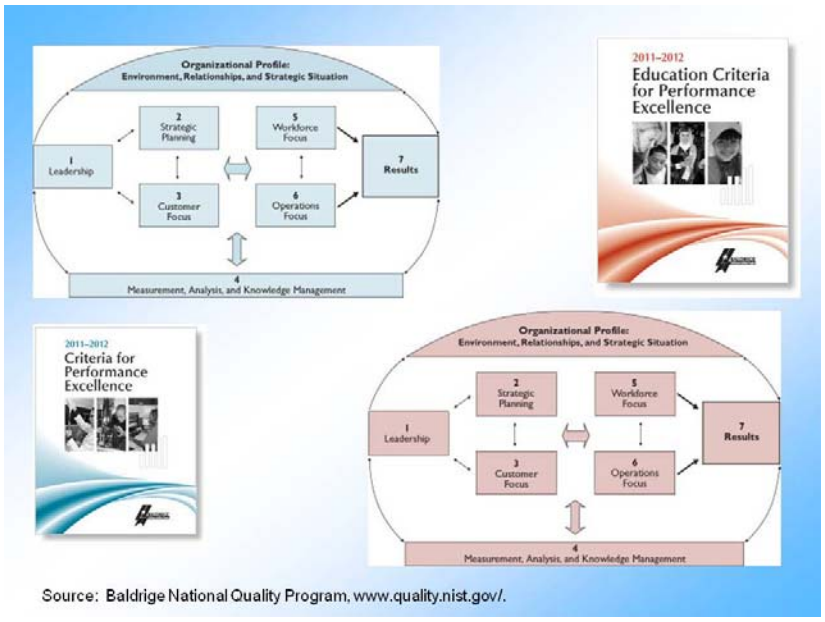
7. Focus on *results* relative to organizational mission, vision, goals, the perspectives of groups served, and employees, considered in light of comparisons with the accomplishments of peers, competitors, and leaders.

Baldrige in Higher Education. In 1999, the National Baldrige program advanced versions of the framework for health care and education. NIST intended the education criteria to be broadly applicable to school and educational settings—public, private or corporate—at all levels. Since its introduction, approximately 150 applications have been submitted from higher education institutions to the national program. Three applicants have been selected as winners of the award—the University of Wisconsin-Stout in 2001, the University of Northern Colorado, School of Business in 2004, and Richland College in 2005. A number of colleges and universities have applied to state programs that parallel the Baldrige, and several winners including the University of Missouri-Rolla in 1995 and Iowa State University in 2004.

Beyond higher education institutions' direct participation in the formal national and state awards program, the influence of the framework in higher education has been most apparent in the evolution of accrediting standards of professional and technical education, and more recently in regional accreditation. In business, engineering, health care, and education, the standards for accreditation of

college and university programs have come to mirror the Baldrige framework in many respects. The regional accrediting associations, perhaps most notably the North Central Association of Schools and Colleges, the Middle States Association of Schools and Colleges, Western Association of Schools and Colleges, and the Southern Association of Schools and Colleges, emphasize issues that are central to the Baldrige framework such as leadership, strategic planning, assessment, and continuous improvement.

Despite efforts to be attentive to higher education, the business origins, approach and language of the original business version of the Baldrige, and the perceived K-12 focus of the education version have been sources of some resistance to adoption within higher education.[4]



Source: Baldrige National Quality Program, www.quality.nist.gov/.

The *Excellence in Higher Education* Framework

The Excellence in Higher Education (EHE) model was developed at Rutgers University as an adaptation of the Baldrige designed specifically for use within colleges and universities.[5] EHE was developed specifically for higher education institutions, where the mission typically includes an emphasis on teaching/learning, scholarship/research and public service/outreach. Additionally, the EHE model was designed to be applicable for use in assessment and planning activities not only by entire institutions,

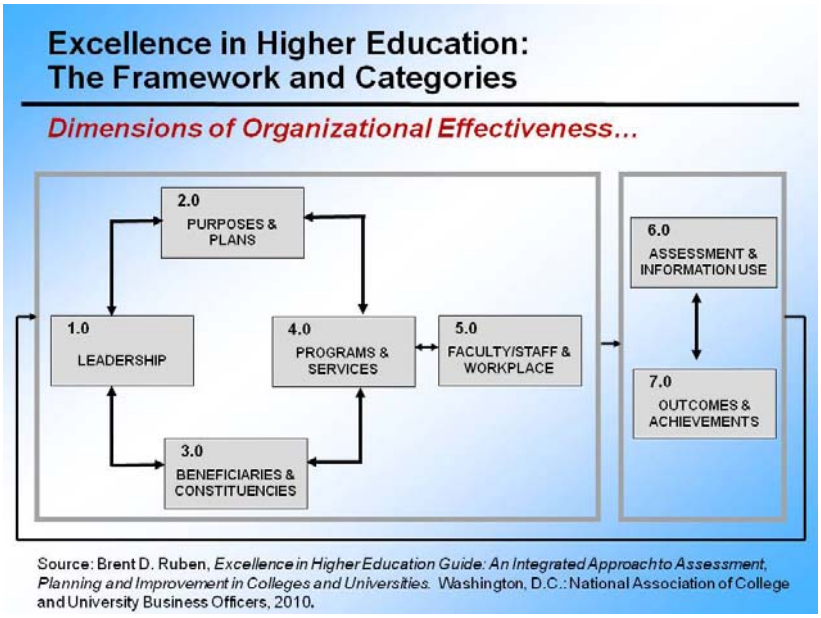
[4] With the original education and health care versions of Baldrige, category headings were used that were geared specifically to language of those sectors, using, for instance, the phrase "student focus" in Category 3, rather than "customer focus." In the most recent versions, the category names from the business version have been adopted with the goal of creating comparability across business, health care and education versions. While this is an important goal, terminological sensitivities have been an impediment to acceptance of business models and approaches within higher education over the years. Most notably, the "customer" term and its connotations have been particular sources of resistance within higher education. Another characteristic of the Baldrige program that has been a limitation is the requirement that an entire institution or academic unit must apply; thus student life, service and/or administrative divisions, such as IT, residence life, or HR—which at some institutions are very large, complex organizations in their own right—cannot participate in the formal Baldrige application and review process.

[5] The 2009/10 version of *Excellence in Higher Education* by Brent D. Ruben, (Washington, DC: National Association of College and University Business Officers) is the eighth revision of the framework.

but also by individual units of all kinds within colleges and universities—business, student affairs, and administration, and service divisions, as well as academic.

The latest version of Excellence in Higher Education was revised to provide an integrated approach to assessment, planning, and improvement, drawing on the framework of the Malcolm Baldrige Program of the National Institute of Standards and Technology, and also to be compatible with the standards and terminology developed by U.S. college and university accrediting associations.

The most fundamental characteristic of the EHE approach is a commitment to an iterative process of mission-based goal setting, assessment, and improvement. By emphasizing the importance of clear purposes and aspirations, the evaluation of departmental and institutional effectiveness, and the use of this information for priority setting and continuous improvement, the model integrates the core values of accreditation into the day-to-day activities of the institution. In this regard, the Baldrige framework and process is a complement to accreditation; it is compatible with and reinforces accreditation values and standards—including the emphasis on institutional and learning outcomes assessment, and thus, the EHE model can be used to contribute directly to preparation for accreditation and other formal review processes.



The *EHE* Categories

Reflecting the Baldrige model on which it is based, the EHE framework consists of seven categories or themes that are critical to the effectiveness of any educational enterprise—program, department, school, college or university. The categories—as described below—are viewed as distinct but interrelated components of any higher education organizational system:

Category 1—Leadership. Focuses on leadership approaches and governance systems used to guide the program, department, or institution; how leaders and leadership practices encourage excellence, innovation, and constituent focus; and how leadership practices are reviewed and improved.

Examples of Category 1 Themes:

- How do leaders clarify and build consensus on our direction, future aspirations, values, plans, and goals?
- Is the leadership and governance structure clearly defined and understood?
- Do leaders encourage and use feedback and performance reviews to improve their own leadership and leadership practices throughout the organization?
- Are leaders visibly committed to the advancement of the program, department, institution, and field or profession?
- Do leaders share their expertise with public and community organizations?

Category 2—Plans and Purposes. Examines how the mission, vision, and values of the program, department or institution are developed and communicated; how they are translated into goals and plans; and how faculty and staff are engaged in those activities. Also considered are the ways in which goals and plans are translated into action and coordinated throughout the organization.

Examples of Category 2 Themes:[6]

- Does the program, department, or institution have a formalized planning process?
- Is there an up-to-date, written plan that translates our mission, vision, and values into priorities, measurable goals, and action steps?
- Are faculty/staff from throughout the organization engaged in developing and implementing our unit's plans?
- Are program, department, or institution goals and plans synchronized with those of the larger organization or institution?

Category 3—Beneficiaries and Constituencies. Concentrates on the groups that benefit from the programs and services offered by the program, department, or institution being reviewed. The category asks how the organization learns about the needs, perceptions, and priorities of those groups, and how that information is used to enhance the organization's reputation and working relationships with those constituencies.

Examples of Category 3 Themes:

- Does the program, department, or institution have a systematic approach to learning about the needs, expectations, and satisfaction levels of the groups for which programs and services are provided?
- Are faculty and staff well informed about the specific needs, expectations, and priorities of the groups that benefit from current programs and services?
- Is information gathered from the external groups we serve regularly analyzed and used to improve our programs, services, and organization?
- Is the program, department, or institution committed to enhance communication and improve relationships with the groups for which programs and services are provided?

[6]Based on "Excellence in Higher Education Checklist." Available from the University Center for Organizational Development and Leadership, Rutgers University, New Brunswick, NJ.

Category 4—Programs and Services. Focuses on the programs and services offered by the program, department, or institution and how their effectiveness is maintained and enhanced. The most important operational and support services are also reviewed.

Examples of Category 4 Themes:

- How does the program, department, or institution assure that high standards are maintained in its programs and services?
- Are work processes effective, efficient, and well documented?
- Are processes and procedures consistently followed?
- Are work processes and procedures reviewed and improved on a regular basis?

Category 5—Faculty/Staff and Workplace. Examines how the program, department, or institution being reviewed recruits and retains faculty and staff, encourages excellence and engagement, creates and maintains a positive workplace culture and climate, and promotes and facilitates personal and professional development.

Examples of Category 5 Themes:

- Does the program, department, and/or institution help faculty and staff members develop their full potential and contribute effectively to the program's, department's, or institution's mission?
- Are excellence, participation, and appreciation of diversity and professional development encouraged and supported?
- Are effective approaches in place for assessing, encouraging, and recognizing faculty and staff accomplishments and distinctions?
- Is there a formalized approach for regularly assessing workplace climate and faculty and staff satisfaction?

Category 6—Assessment and Information Use. Looks at how the program, department, or institution assesses the effectiveness of its institutional, teaching/learning, research/scholarship, and/or service/outreach efforts relative to its mission and aspirations. Also considered is how assessment information is used for improving programs and services, day-to-day decision making, and the quality of the program, department, or institution, more generally.

Examples of Category 6 Themes:

- Does the program, department, or institution have a clear and shared view regarding standards to use in assessing the effectiveness of the unit and its programs, services, and activities?
- Are there effective approaches for sharing information on best practices, expertise, and knowledge throughout the program, department, or institution?
- Is information used throughout the unit to analyze, review, prioritize, and improve performance and effectiveness relative to the vision, plans, and goals?
- Is trend information from programs and services, and comparable information from peer and leading organizations gathered, analyzed, and used to evaluate and improve the effectiveness of the program, department, or institution?

Category 7—Outcomes and Achievements. Concentrates on documenting and reporting outcomes and achievements. The category asks for information and evidence to document or demonstrate the quality and effectiveness of the program, department, or institution.

Examples of Category 7 Themes:

- Is objective outcomes information available to document the program's, department's, or institution's level of success in achieving its mission, vision, plans, and goals?
- Is objective information available to document the program's, department's, or institution's effectiveness in its mission-critical programs and services?
- Is objective information available to document the effectiveness of the program's, department's, or institution's efforts relative to leadership, planning, beneficiary and constituency relationships, faculty/staff and workplace quality and satisfaction, assessment and knowledge sharing, and the documentation and reporting of outcomes?
- Are trends and peer and aspirant comparison data available?
- How is outcome information used in internal and external communication, priority setting, planning, resource allocation, reward, and recognition?

EHE provides a strategy and set of standards for organizational effectiveness in higher education, a tool for translating assessment results into improvement priorities, and a method for inventorying, organizing, and integrating ongoing activities in a department or campus.

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Within academic units, the process naturally focuses on how a department or college can function more effectively to fulfill its academic mission and aspirations, to evaluate its accomplishments and prioritize improvement needs relative to student learning, to identify organizational departmental processes that can be streamlined to enhance the instructional, scholarly, and/or service and outreach work of the faculty, and the effectiveness of the unit and the satisfaction it provides for students, faculty and staff. Within service units, the focus is on that organization's mission and aspirations, the core programs and services the unit provides, and ways to assess and improve the effectiveness and efficiency, how to use technology to streamline work processes, how to enhance service relations with external constituencies, satisfaction with the unit, and so on.

The flexibility, adaptability, and broad applicability of this framework are unique and important attributes of the EHE approach.

Using the same model within academic, student life, administrative, and service units creates a common, institution-wide vocabulary for assessing, planning and improving organizational effectiveness. It also fosters the sharing of approaches and strategies across units, and it promotes the sense that each part of the system is an important and interdependent part of the campus system as a whole. The flexibility, adaptability, and broad applicability of this framework are unique and important attributes of the EHE approach.

Experience and studies of EHE at Rutgers suggest that EHE can be a useful tool for [7]:

- Fostering a culture of reflection and change;
- Highlighting strengths and improvement priorities;
- Identifying problems and solutions that can visibly improve day-to-day operations;
- Creating baseline measures;
- Encouraging the adoption of relevant knowledge and approaches from other sectors;
- Promoting the sharing of effective practices;
- Broadening participation in professional and leadership development; and
- Promoting efforts to address identified improvement priorities.

Resistance to new approaches and methods is inevitable, but it can be managed if the dynamics of organizational change are understood and a disciplined methodology is used to guide the process.

Determining how the Baldrige/EHE model could be effectively utilized by diverse institutions, to address academic, administrative, student life and service challenges, that relate to improving current practices, beginning new practices, and promoting systemic and cultural change was the central focus of the Challenge 2010 effort.

Implementing Organizational Change

Understanding of and accounting for the dynamics of change are critical to successful implementation of organizational initiatives of any kind. For this reason the change process also was a focus of the Baldrige/EHE orientation and training program. Resistance to new approaches and methods is inevitable, but it can be managed if the dynamics of organizational change are understood and a disciplined methodology is used to guide the process.

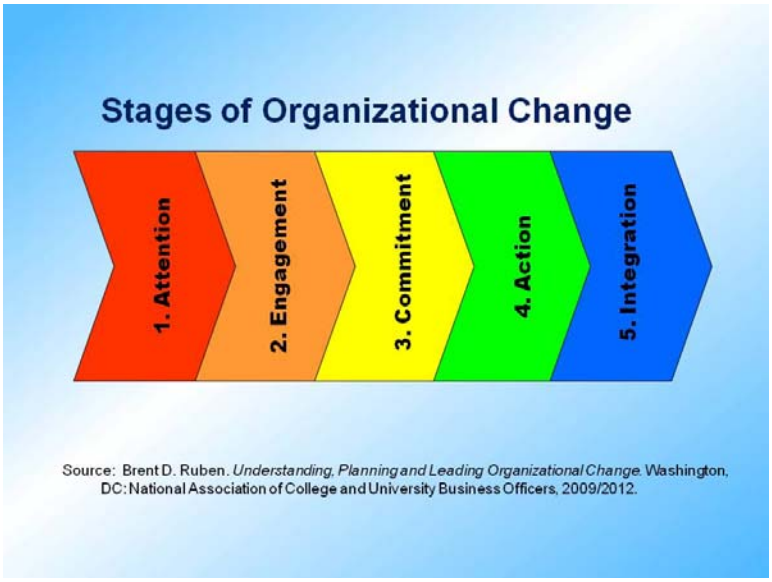
[7] At Rutgers, roughly 40 academic and administrative departments have participated in the EHE program. A similar number of other colleges and universities have found this program helpful in their assessment and improvement efforts, including the University of California at Berkeley; Penn State University, University of Wisconsin, Madison; Texas A & M University, the State University of New York at Buffalo; MIT; and California State University prior to the Challenge 2010 project.

Two studies of EHE and its impact have been undertaken at Rutgers. The first study (Ruben, Connaughton, Immordino & Lopez, 2004) consisted of a web-based survey of participants' perceptions of the *EHE* assessment process. Findings from the study indicated that participants perceived the following elements of the *EHE* program as being the most beneficial: broadening the understanding of critical factors in organizational effectiveness, promoting open discussion, and focusing attention on performance measurement, clarifying the value of planning, promoting benchmarking, and providing feedback on leadership effectiveness.

A second study at Rutgers (Ruben, Russ, Smulowitz, Connaughton, 2007) found that participation in Baldrige/*EHE* self-assessment process provided a solid foundation of knowledge and helps to define a standard of excellence. The study also focused on organizational change, and found that departments participating in the EHE made substantial progress on priorities they established during the Baldrige/EHE program. Of the improvement priorities established during the Baldrige/*EHE* self-assessment process, 65 percent of them were executed by the departments, producing "some/considerable progress." Those not reporting progress had experienced changes in leadership or a shift in leadership priorities subsequent to the EHE program.

A Roadmap for Successful Change[8]

A necessary first consideration of any planned change effort is gaining the attention of those who need to understand and support the initiative if it is to be successful. The attention-gaining process must convey the sense of urgency and a "wake up" call, and may seek to create "a burning platform"— an *awareness* that the present course of action or platform isn't tenable, so some change is needed.[9]



Creating *engagement* is the second step. The aim is to involve the appropriate individuals and constituencies in a discussion of the problem(s) and solution(s) in order to create a shared understanding of the reasons for the change, what the change will involve, and how it will be an improvement over the current situation.

Five additional considerations are important to creating an effective roadmap for planned change: *Planning, leadership, communication, culture* and *assessment*.

Developing resolve—a commitment to the advocated change–is task three. The process includes the identification of areas of agreement and addressing and working through obstacles. Typically, this process is facilitated by a leadership team consisting of opinion leaders who represent the relevant perspectives and groups involved, ensuring the availability of needed resources, providing opportunities for input and influence, and ultimately building consensus and working coalitions.

Motivating action is the fourth task for the leader of a planned change initiative. This stage begins with clarifying intended outcomes, promoting the desired behavior, identifying the tasks or actions that need

[8] The discussion of organizational change, and the model and material presented here represents a summary of the framework developed by Brent D. Ruben, *Understanding, Leading and Planning Organizational Change: Core Concepts and Strategies* by Brent Ruben (Washington, DC: NACUBO), 2009.

to be implemented, and providing the necessary resources and training to support the desired actions and behavior.
With this task successfully completed, the desired change is in place—but will it *stay* in place? Unless the appropriate steps are taken to recognize and reward innovators, celebrate the changes, and develop reinforcing processes and structures, it's very likely things will gradually slip back to the previously established patterns, traditions, or behaviors. This is the work of task five.

Five additional considerations are important to creating an effective roadmap for planned change: *Planning, leadership, communication, culture* and *assessment*. All of these factors are cross-cutting—that is, each plays a vital role in the tasks associated with each of the five stages of planned change.

> Planning refers to defining the specifics of the change plan.
>
> Leadership is concerned with developing an appropriate and effective approach to personal and organizational coordination and guidance provided for the initiative.
>
> Communication refers to engaging in an active collaborative process of information sharing, listening and collaboration with those involved with, knowledgeable about, and/or affected by the planned change.
>
> A focus on culture means taking account of the organization's language, history, norms, rules, traditions, and customs that may influence the dynamics of change.
>
> Assessment relates to developing and implementing a systematic approach to monitoring progress and outcomes as the change process progresses.

Combining the five stages of change with the five cross-cutting considerations yields a 5 X 5 Matrix for a Planned Change (MPC).[10] The matrix displays the five stages of change as columns, and the five cross-cutting success factors as rows. The cells in the matrix highlight the points of intersection between these two lists, each of which represents an important area for consideration for planning change. The MPC matrix provides a useful framework for thinking about a planned change initiative and is a helpful tool for developing a systematic approach to implementing the change.

[9] From: Brent D. Ruben, *Understanding, Leading and Planning Organizational Change: Core Concepts and Strategies* by Brent Ruben (Washington, DC: NACUBO), 2009.

The 5 X 5 Matrix for Planned Change (MPC)

STAGES > FACTORS	1. Attention	2. Engagement	3. Commitment	4. Action	5. Integration
1. Planning					
2. Leadership					
3. Communication					
4. Culture					
5. Assessment					

Source: Brent D. D. Ruben, *Understanding, Leading and Planning Organizational Change: Core Concepts and Strategies* by Brent Ruben (Washington, DC: NACUBO), 2009.

APPLYING THE MODEL / PROOF OF CONCEPT

NACUBO Challenge 2010 afforded an opportunity to apply the Baldrige/EHE model and change framework to a variety of projects, addressing different change objectives at a diverse array of institutions. Highlights and key lessons learned from NACUBO Challenge 2010 are summarized in the following sections. The first section focuses on initiatives that used the Baldrige/EHE model to improve and strengthen existing practices. The second section features projects dedicated to creating and implementing new practices and programs, and the third section looks at efforts to promote multi-campus and system change.

Improving and Strengthening Existing Practices

Three institutions used Baldrige/EHE to improve and strengthen existing practices. These were American University, Rogue Community College, and Marist College.

American University: Getting Ahead of the Storm

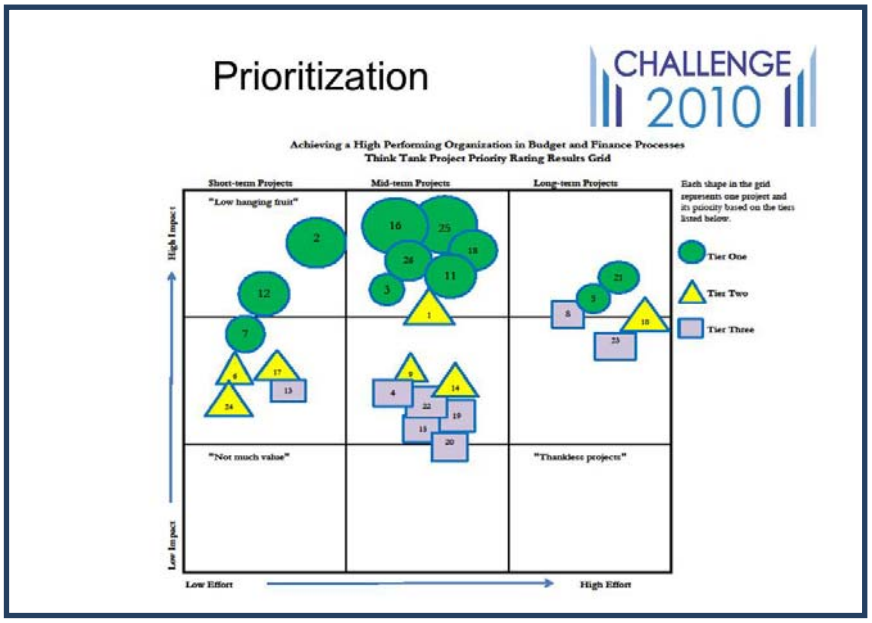
The American University Challenge 2010 project focused on assessment, planning, and improvement in the Finance Division. American University, located in Washington D.C., is a private four-year university founded in 1893 and chartered by an act of Congress. The fall 2010 undergraduate, graduate and law school enrollment is just over 13,000. American employs 1,300 full-time staff, 750 full-time faculty, and 500 adjunct faculty.

The context for the American University project was somewhat unique. As the project director explained: "Many institutions are currently standing on a 'burning platform' due to unfavorable economic conditions. American is not one of them. While AU is grateful that the institution is not facing the budgetary crisis that is confronting many institutions, there is also a recognition that crisis situations create opportunities for innovation, creativity, and advancement that AU could potentially miss out on. To ensure that does not happen, the Challenge 2010 project sought to create a 'smoking platform.'"

With an endorsement from senior leaders, AU's budget and finance processes were selected as a pilot project for application of the Baldrige/Excellence in Higher Education (EHE) model in an effort to advance AU Strategic Plan Goal #9 (Encourage Innovation and High Performance) in several specific ways:

- Improve AU's budget and finance processes;
- Identify strengths and areas for improvement;
- Consider exemplary practices; and
- Adopt best practices that could be presented to, and potentially applied by, other institutions.

AU engaged constituencies at various levels across the university in assessing the university's budget and finance processes through a series of think tank sessions. The sessions consisted of probing questions based on the EHE categories. AU utilized the consulting support provided through the Challenge 2010 grant to facilitate the sessions. The think tank sessions resulted in the identification of a number of target areas for improvement and 26 potential solutions. Additional stakeholder feedback acquired through a survey and an e*ffort vs. impact analysis* was subsequently used to prioritize the solutions and develop a project implementation plan.



AU's Challenge project is currently in the fourth stage of planned change—enlisting action with the various groups collaborating to implement eight of the 26 improvement projects during AY2011-12. Anticipated deliverables include: a first series of budget and financial management training sessions; service level agreements on core services to support a transparent process of facilities chargeback activities; cross-divisional collaboration discussions among campus leaders; expanded enterprise systems training; and a business intelligence tool to support effective business decision making.

> The need to manage "up and down" the organization was also noted as important to the success of the project.

AU has established a cross-divisional, lateral organizational structure to support AU's Challenge 2010 project as the initiative moves forward to address priority improvement needs. The structure is comprised of a steering group created to spearhead project implementation, four subgroups to which various

improvement projects are assigned, a working group, and the human resources office. Rather than a top-down hierarchical construction, the organizational structure for AU's Challenge project was designed to emphasize cross-functional collaboration in an effort to reflect the grassroots nature of the initiative.

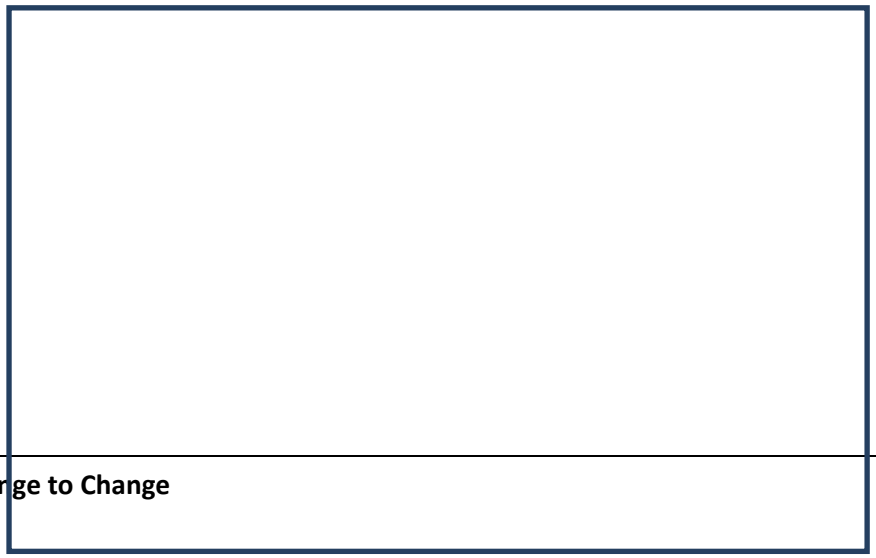
AU credits the Challenge initiative with providing "a comprehensive, methodical approach that resulted in meticulous assessment guided by the EHE categories." The project leader reported that the university's experience underscored the importance of visionary, initiative-level leadership to energize a change initiative. The need to manage "up and down" the organization was also noted as important to the success of the project. In addition, the project leader cited several other critical factors, including ongoing communication to create and then to capitalize on "the smoking platform" and engagement of key stakeholders at various levels of the university.

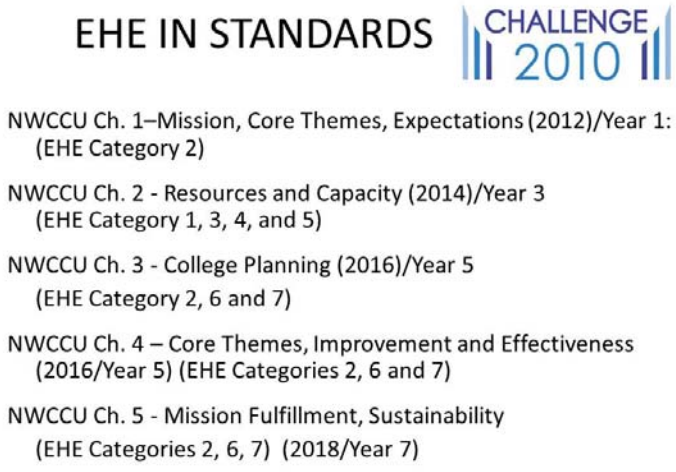
Rogue Community College: Preparing for an Accreditation

The Rogue Community College (RCC) Challenge 2010 initiative focused on the accreditation preparation process. RCC is located in Grants Pass, Oregon. Its three campuses cover two counties and serve approximately 20,000 students, and 100 full-time faculty, 500 part-time faculty, and 225 full- and part-time staff.

RCC applied for the NACUBO Challenge with the intent of utilizing the Baldrige/EHE framework to complete its 10-year accreditation self-study for the Northwest Commission on Colleges and Universities (NWCCU) under a newly revised set of standards and processes, and to initiate a more systematic approach to continuous improvement. RCC's NACUBO Challenge 2010 project, therefore, became known as RCC's Accreditation Challenge 2011.

RCC began the effort with awareness that the revised accreditation standards emphasized assessment even more than the previous framework. The new standards also required a more interconnected and holistic assessment of the college. Project leaders explained that: "Assessment is obviously the central theme of the Baldrige/EHE framework, and the EHE framework can be applied both to the whole institution and its parts, so it has been a valuable tool in the accreditation self-study process." RCC found that the EHE categories correlated very well with the NWCCU accreditation standards.





The Baldrige/EHE framework emphasizes the importance of clarifying major elements of the college's mission —*core themes* in the Rogue Community College framework. These had yet to be defined at RCC, and EHE provided guidance for this task. It also shed light on the ways in which existing activities aligned with the core themes and how they could be assessed, to evaluate the extent of mission fulfillment.

Project leaders noted that they applied their knowledge of both EHE/Baldrige and the planned change management model throughout the project. For example, the Planned Change Matrix, which emphasized the importance of *attention, engagement, commitment, action* and *integration,* was used in two ways. First, the model guided the introduction of the new accreditation standards and the completion of the self-study. Second, it was used to introduce the new EHE concepts to set the stage for a college-wide assessment that validated and strengthened the beneficiaries' understanding of the college mission.

As the self-study nears completion, with the EHE project completed, the model will be applied to various functions beginning with the college services division that includes facilities, business and finance, human resources, information technology, and auxiliary services. Departments and functions will use this process as a way to identify strengths and opportunities, and practice and demonstrate continuous improvement at RCC.

In addition, with the college president's support, the accreditation liaison officer will coordinate a biennial college-wide assessment utilizing the EHE model to carry the framework forward for future biennial accreditation reports. The anticipated outcomes will be to: 1) model the highly effective Baldrige/EHE process; 2) engage beneficiaries in a meaningful practice with proven results; and 3) strengthen the college's approach to assessment practices from individual/unit levels to division/department levels and collegewide.

Marist College: Creating a World-Class IT Operation

Marist College (MC) is a private, four-year university located in Poughkeepsie, NY. The institution, founded in 1946, is now recognized for excellence in a number of areas including the use of technology

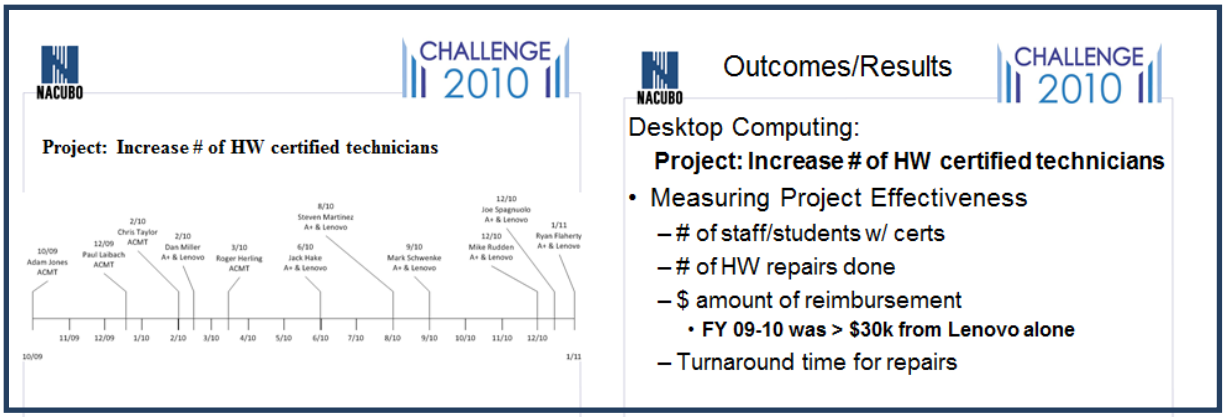
to enhance the teaching and learning process. The total enrollment of undergraduate and graduate students is 6,500, and Marist employs 635 full-time staff, 226 full-time faculty, and 422 adjunct faculty.

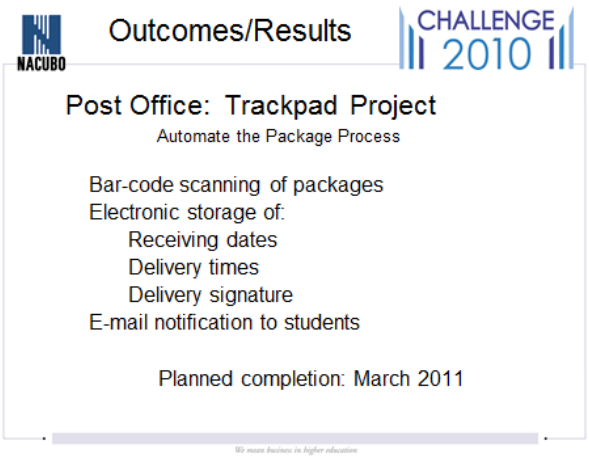
When Marist's Information Technology Department began to investigate formal processes for self-review, it became clear that to remain a higher education IT leader, the college would need to take advantage of opportunities for improving the IT infrastructure, mission, and service goals. Advances in these areas would not only keep Marist IT a step ahead of peer institutions, but also allow the institution to perform at an even higher level than some of its aspirational institutions in providing services to the campus and its constituencies.

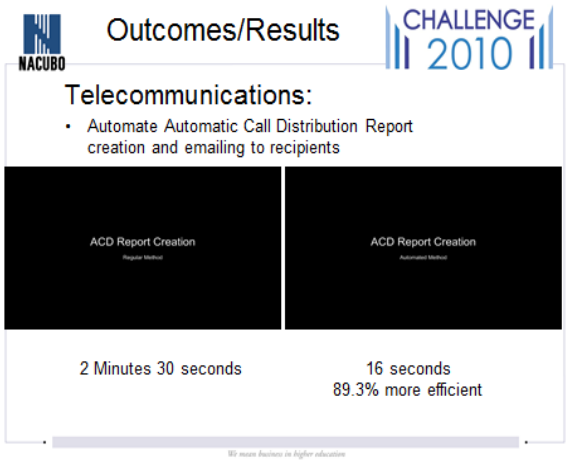
Marist was drawn to the Baldrige framework because, in the project leader's words, "it provides service organizations a template from which to take a services inventory, review and understand all the aspects of the environment in which we operate, and to then formulate plans to improve services on a year-after-year basis." Baldrige/EHE was viewed as a comprehensive process that would benefit all services, yet one that was relatively simple for a large division or organization to implement. It was also seen as a tool that offered the promise of compelling results.

Early work done on Marist's Information Technology Self-Assessment project provided impetus for the submission of a Challenge 2010 proposal, and a foundation for intensified work as a part of the Challenge program. To date, the divisions have worked through one full cycle review using the criteria, and are now developing improvement plans and collecting outcomes information to report to key constituencies.

An area of particular focus as a part of the MC Challenge initiative has been the development of metrics and the gathering and analysis of outcomes and peer-comparison data, and the use of that information for establishing baselines and setting goals. Each of the 14 IT divisions—which include desktop computing, the post office, and telecommunication—has established a series of outcome measures, and based on an assessment of current outcomes and the standards of peers, has identified specific improvement projects and targets.







The self–assessment will also be used as a part of the Middle States accreditation process. Plans call for the IT division to disseminate its knowledge and experience with Baldrige/EHE to support the implementation of the model within finance and physical plant.

Marist identifies strong leadership provided by the president, senior administration, and the CIO as critical to the success of the project. The structure of the EHE process and standards were also important. The guiding questions moved the process along and assured that all key issues were addressed.

Project leaders are gratified by the extent of change that has taken place as a consequence of the process: "Did all of our improvement plans work out? No, of course not, but they were all significant steps in the right direction in implementing meaningful change at the department and college level."

Creating and Implementing New Practices

University of North Texas Health Sciences Campus: Touching "the Third Rail"—Initiating a New Space Planning System

The University of North Texas Health Sciences Campus (UNTHSC) is a graduate university, located in Fort Worth, Texas. UNTHSC was founded in 1970 when the Texas College of Osteopathic Medicine accepted its first students. Today, UNTHSC is a distinguished academic health science center dedicated to education, patient care, and service, and includes the Texas College of Osteopathic Medicine, Graduate School of Biomedical Sciences, School of Public Health, and the School of Health Professions. UNTHSC enrolled 1,576 graduate students in 2010, with 412 faculty and 851 adjunct faculty.

The Challenge 2010 project, sponsored by the Operations Division, called for the development and implementation of a new space inventorying and planning system. More specifically, the effort aim was:

> To develop and implement processes to ensure effective communication with the UNTHSC Executive Team, Leadership Team, and other key constituents for space

planning. The project should establish and maintain processes to collect and provide data to be used in decision making for space allocation, planning, research, formula funding, and space projection models.

Fulfilling these aims required a number of steps, including developing space management procedures and guidelines, defining necessary roles and responsibilities, detailing processes and timelines, establishing space allocation standards, and documenting current space allocation and utilization. If

Cross-Cutting Themes for the Baldrige/EHE Change Process

- Planning: Focusing on who needed to be included on the project, and to what kinds of input were needed from each group as the project progressed.
- Leadership – Having all parties interested in and committed to the project as ideas were presented was critical to the final development and plans for the project. Having all the involvement and ideas shared helped to ensure the success of the project. Executive leadership support for accountability was critically important.
- Communication: Early and ongoing communication and training with the large and diverse group of key stakeholders was required to ensure success.
- Culture: Recognizing and leveraging UNTHSC's "culture of accountability" was very helpful for implementing this project. Given the campus traditions, a speedy and responsive development process was important. Once the new processes were in place and the training finished, people involved were anxious to implement the program.
- Assessment: The new processes and procedures are in place and have been used effectively to determine space moves by the Space Utilization Committee and Executive Team. The final assessments will take place once the new program is fully operational. Ongoing assessments will be conducted via the Texas Higher Education Coordinating Board space inventory audit.

successful, the project would result in outcomes that included an Integrated Workplace Management System (IWMS) a training program, a fully engaged Space Utilization Committee, a space inventory that is maintained accurately on a real-time basis, a method for linking people, space and money, and departmental accountability for space management.

Six specific process goals were identified as critical to achieving these outcomes:

- Develop leadership capacity
- Align use of education and research facilities with strategic plan and budget
- Meet the needs of key beneficiaries and constituents
- Become data informed—accurate, accessible, and timely reports
- Organize and train workforce
- Sustain effective and efficient work processes.

In pursuing the each of these goals, the project leaders used the cross-cutting factors from the Planned Change Model—planning, leadership, communication, culture and assessment—as guiding themes.

"Communication is a key element in the Baldrige/EHE method and we learned that meeting with key team members on a regular basis kept the communication lines open and feedback flowing.

At this point, UNTHSC reports that all processes, procedures and guidelines are in place, and the staff and leadership team have embraced all of the processes. As a final step in the initiative, UNTHSC purchased the IWMS software (Archibus). The data from all departments have been downloaded, dedicated servers are in place, and the program is now operational. The space administrator is testing the program and making changes as needed. Final redesigns and programming changes have been made, and training for all of the staff who will be using the program is underway.

The Baldrige approach provided UNTHSC with a framework that was particularly helpful in planning and measuring progress as the project was developed. Assessment strategies were used with each stage to ensure that the project would be thorough and successful. In the view of the project leaders, "communication is a key element in the Baldrige/EHE method and we learned that meeting with key team members on a regular basis kept the communication lines open and feedback flowing. Using the planning, goals, strategies, and action plans helped walk us through what needed to be done. In each stage we focused on the audience, intended outcome, resistance, message, communication channel, and message source."

UNTHSC offers several key insights based on their experience: First, in order for any project to work, the leadership must give their support and stand behind the project in all phases to ensure the project is effective and is implemented with a minimum amount of issues. Second, communication is the key to implementing any new project. UNTHSC found that having all parties involved in weekly meetings was very helpful. Third, training of key personnel has been critical in the success of the Space Management Project. Fourth, purchasing the Archibus computer program was an excellent decision, but the time required to customize the program to UNTHSC's needs is taking longer than anticipated.

University of Georgia: Using the Baldrige/EHE Model and the Change Framework to Introduce an Innovative HR Personal Financial Consultation Program

The University of Georgia is a public, land grant, and sea grant research institution with approximately 35,000 students. The human resources division, with a staff of only 34 employees (five of whom are part-time), provides a variety of services to 25,000 clients, including 4,000 enrolled in student health insurance, 10,000 benefit eligible faculty and staff, 6,000 temporary employees, and 5,000 retirees. Considering benefit-eligible faculty and staff alone, the ratio of HR staff to clients is 1:294, the highest ratio among its peer institutions. Due to these numbers, HR has been rethinking and reinventing its role in serving faculty and staff—transitioning from a transactional model to a people and organizational services approach.

The Challenge 2010 initiative was an excellent fit for a plan to create a 360° personal financial consulting program as a component of HR's Financial Management and Education Center (FMEC), according to the project team leader. The 360 Personal Financial Consultation (360PFC) program was envisioned as a confidential, unbiased, comprehensive review of the benefit and retirement options that would be offered free of charge to all employees. The service, provided by two experienced financial consultants, would include a full range of options, including a review of any currently selected benefits, discussions of all benefit choices available, access to available tools and resources (life insurance needs calculator, detailed explanation of all health insurance plans, complimentary will preparation services), reviews of retirement goals (with or without outside assets or debt numbers included), and discussions of other topics tailored to the specific needs of the faculty or staff member.

After almost a year into the planning of the 360PFC concept, a proposal was submitted to the NACUBO Challenge 2010, so that the Baldrige/EHE model could be used to guide the development and implementation of the program.

Commenting on the Baldrige/EHE orientation and training, the project director noted that one of the most helpful segments was the focus on the stages of successful change—attention, engagement, commitment, action and integration: "Understanding these stages and how they related to our project and planning strategy was crucial to our success from the very beginning."

The *attention* component had two components. The first was the need for the project team to be attentive to needs of faculty and staff, and to understand the current way daily business was being conducted—and to look forward to help them use their time and energy more effectively. Second was the need to draw attention to the new program and the benefits it could provide to faculty and staff. A decision was made not to communicate this new service campuswide during its introduction, choosing instead to begin with a pilot group of 30 top administrators, with the thought that this group would be candid with their feedback and provide the information needed for continuous improvement.

The second target group emerged quite naturally. HR learned that communication from the board of regent's office planned to inform 40 employees that they were eliminating one of the four optional retirement plans. HR requested the communication be sent by its office instead of the BOR office, and added an ending paragraph explaining the new 360PFC service. HR followed up with scheduled appointments in person or by phone with almost all of the 40-plus participants affected by the vendor elimination. From this experience, we realized that we should use these mandated communication throughout the year as opportunities to market our 360PFC service. With each such opportunity that

presented itself, HR followed the same planning structure as it did with the first pilot group: Define a target group, develop a communication plan, perform the 360PFCs, create a follow-up plan, and assess the data received for the group. The original action plans could be used again and again with each new target group. After much repetition, the action plans became habit, and with each stage and each new group, HR held steadfast to the principles of successful change: attention, engagement, commitment, and action.

The team members used the Baldrige/EHE model as the foundation and flexible framework for the 360PFC project. The framework provided helpful guidance in the areas of planning, and especially, assessment. HR had a strategic plan and knew its goals. Every team member has his or her own responsibility and timeframe. By using the Baldrige/EHE action planning sheets and "to-do lists" additional tools, HR staff members were able to stay on track from week to week and make visible progress.

After much repetition, the action plans became habit, and with each stage and each new group, HR held steadfast to the principles of successful change: attention, engagement, commitment, and action.

The PFC has been implemented with750 employees in 18 months. Faculty and staff feedback has been solicited on a consistent basis with a 75 percent response rate, and an average assessment rating of 8.72 (where 10 is the highest rating)

In reflecting on "lessons learned," the project leader comments: "We have learned throughout the planning process that communication is the key to our success.... As opportunities arise and target groups are determined, we review the brochure and any email or letter communication and make changes as needed. The communication review has become a routine element of our overall strategy. One of the most crucial ingredients in our communication strategy is to determine the most effective way to communicate with a specific target group. For example, our first external target group was 30 top administrators at the university. We had many discussions in the beginning about the best way to contact this pilot group. Our decision to have one-on-one conversations resulted in the most successful outcome."

The PFC team found the assessment piece may be the most difficult part of the EHE model. Although everyone recognized how crucial data collection and feedback analysis from clients would be to the success of the project, it took a long time to actually get the process going.

Leadership was also a critical element to the success of this effort. In the case of this project, leadership support was never an issue because the original concept was created by the associate vice president of human resources.

"The Baldrige/EHE model gave our project a solid foundation, helping us understand change and how to effectively navigate through all obstacles to change. We intend to use the Baldrige/EHE model as our framework and foundation for change as our HR division continues to rethink and reinvent its role at the University of Georgia," the project manager said.

Loras College: Designing and Implementing an Integrated Performance Management System

Loras College is a private, not-for-profit, liberal arts, primarily residential, Catholic college in Dubuque, Iowa. It has approximately1600 students and 350 faculty and staff. The institution places a strong

emphasis on experiential and service learning, providing students with challenging, life-changing experiences that prepare them for a successful life of worthy work as active learners, reflective thinkers, ethical decision-makers, and responsible contributors in diverse professional, social, and religious roles.

The Loras College project initially focused on instituting a human resources program that would provide a college-wide approach to performance assessment. After attending the Challenge 2010 orientation session and learning about the Baldrige/EHE framework, leaders decided to broaden the scope of the initiative, and to use the opportunity to develop a comprehensive performance management system—cycling from reviewing the institutional mission, vision, and strategy; setting unit and individual objectives; providing continuous performance feedback; and performance assessment—to individual development planning. This larger and more ambitious project was well-aligned with the EHE framework and promised to have a much more significant effect on aligning the performances of all of the college's entities.

The challenge was substantial, as the project leader notes: "Early into the project, it became apparent that we had a "spotty" (at best) track record of conducting performance reviews. One retiree, in fact, reported that she had had only two reviews in 32 years." The inattention to performance reviews was determined to be part of a larger problem—a lack of clear definition and processes for role of "manager" within the college. After thoroughly reviewing the strategic plan, it also became apparent that there were no mechanisms for holding department heads accountable for implementation of strategies in their areas. Given these discoveries, leaders concluded that it would be difficult to assess performance against plan, if the plan was not broadly owned, aligned, and monitored.

The college formed a task force of individuals from throughout the institution to lead the Baldrige/EHE change process—a process that ultimately has included: Mapping the cyclical process of planning, goal setting, and performance review, to assure consistent implementation. As it evolved, the process also undertook strategic planning in the seven of eight college divisions that volunteered to participate in the development and testing of the approach. That meant, reviewing the institutional mission, creating a new vision and strategy, planning the move to zero-based budgeting to align resources with strategy, and beginning construction of an institutional "scoreboard' to allow internal and external groups to monitor and preview progress.

As the project progressed, project leaders recognized the importance of avoiding the use of language that is seen as being "from the business" world, choosing instead terms that serve the same purpose but better fit with the traditions and culture of higher education. For a similar reason, leaders determined that it would be far more appropriate to move incrementally in introducing and building support for the new framework—building understanding and grass-roots support as the project progressed—rather than mandating adoption of the new framework in an across-the-board manner. The project is now in the fourth and fifth stages of organizational change—enlisting action on a broad scale throughout the college and Institutionalizing change.

In retrospect, key contributions of the EHE approach included:

- Facilitating the transition for the project leader from a corporate to a higher education environment;
- Enhancing campus understanding of the relationship between accreditation standards and Baldrige criteria;

What is perhaps most notable about this major structural change is that it signals that the college is acknowledging its new emphasis on the importance of integrated planning, process improvement, and organizational design.

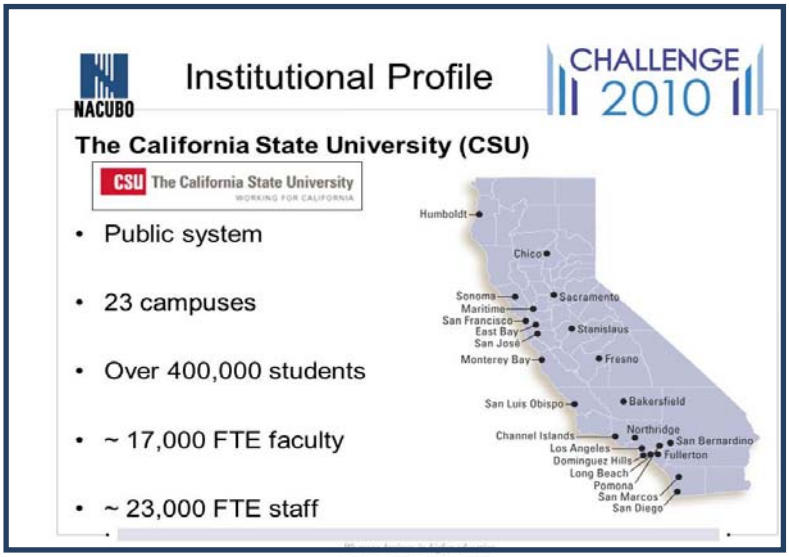
- Helping to create an “on-ramp” for the introduction of processes traditionally seen as “too corporate and foreign”;
- Expanding the scope of the improvement initiative from single department to the entire institution;
- Helping to identify potential pockets of resistance and to develop strategies for addressing them; and
- Changing the approach from a flawed leader-centered design and implementation to an effective collaborative approach.

Beyond the benefits Loras has reaped from the Challenge 2010 project, the project has had a significant impact on the project director both professionally and personally. “As someone experienced in corporate models of performance and change management, I’ve acquired new knowledge about the value of what I might call, “organic”, “viral”, or even “stealth” institutionalization of a major change initiative. In addition, within the first year of the project, I was promoted from director of human and organizational development to vice president of organizational development with responsibility for marketing, community and media relations, human resources, information technology, the bookstore and the publication center (…for good measure).” What is perhaps most notable about this major structural change is that it signals that the college is acknowledging its new emphasis on the importance of integrated planning, process improvement, and organizational design.

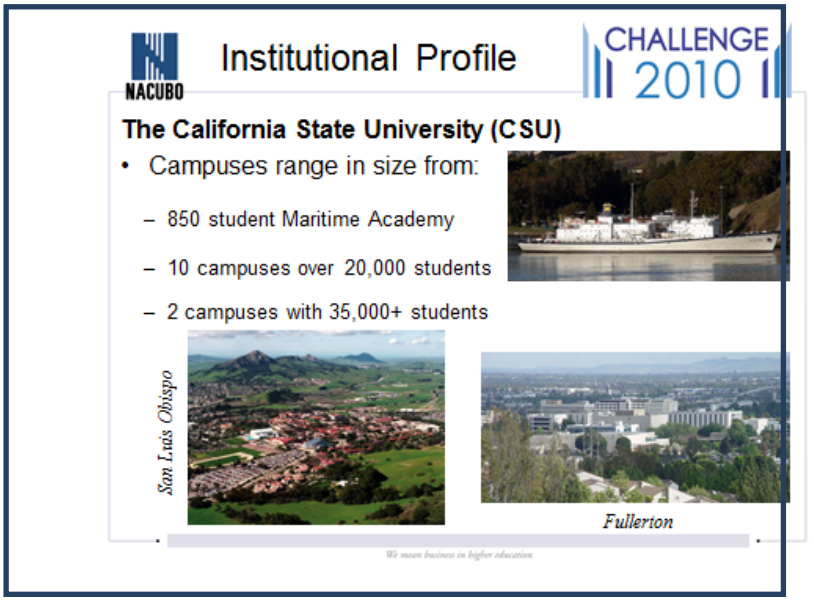
Promoting Multi-Campus and System Change

The CSU System Effort: Using Baldrige/EHE to Stimulate Change at Multiple Levels and Multiple Institutions

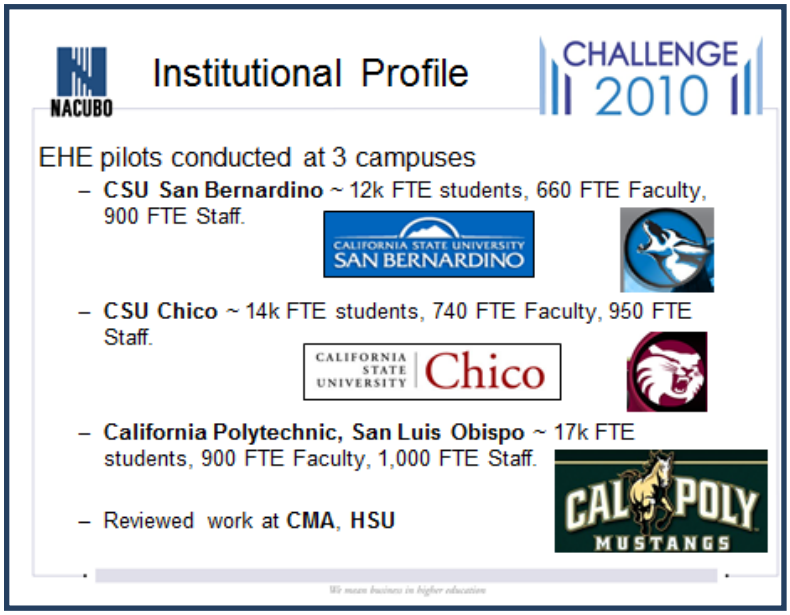
The main objective of the California State University (CSU) participation in the NACUBO Challenge 2010 study was to develop a strategy to effectively introduce and support the use of the Baldrige/EHE-based assessment and improvement models within a higher education system. CSU has over 400,000 students and more than 40,000 employees at 23 campuses ranging in size from an 850 student maritime academy to campuses with over 35,000 students. The hope was to define an approach for a campus, division, or college that would be flexible enough to be useful at the wide range of sizes and types of organizations found within the CSU.



To accomplish this objective, the CSU project team conducted five pilots of the EHE concept on three campuses, studied previous attempts to use Baldrige or EHE within the CSU, and interviewed individuals who had successfully utilized a Baldrige approach in other organizations and other sectors.

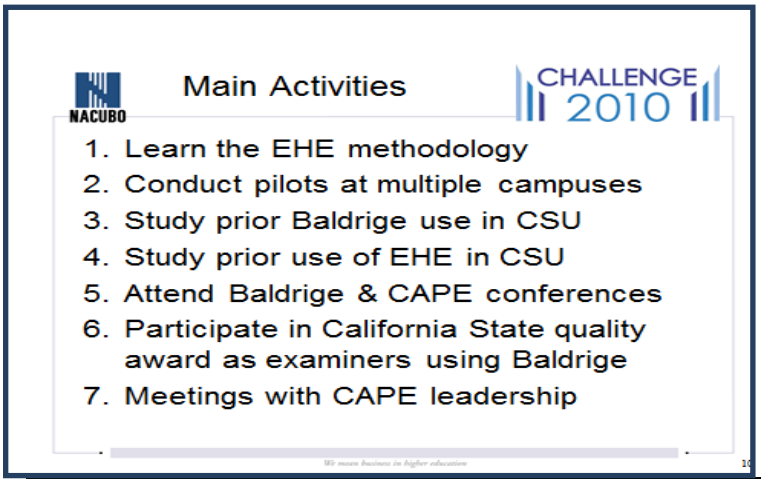


Approximately 60 individuals participated in the five Challenge 2010 initiative related EHE pilots. Overall responses to the pilots were positive, with 84 percent of individuals indicating they would recommend the process to others. Participants also reported that the process significantly helped encourage "open and constructive sharing of opinions about your unit" and enabled them to identify areas where improvements were needed. Also, the work of more than 60 additional people who had been involved in previous uses of EHE or of the Baldrige in the CSU was studied through surveys, interviews, and reviews of previously documented efforts.

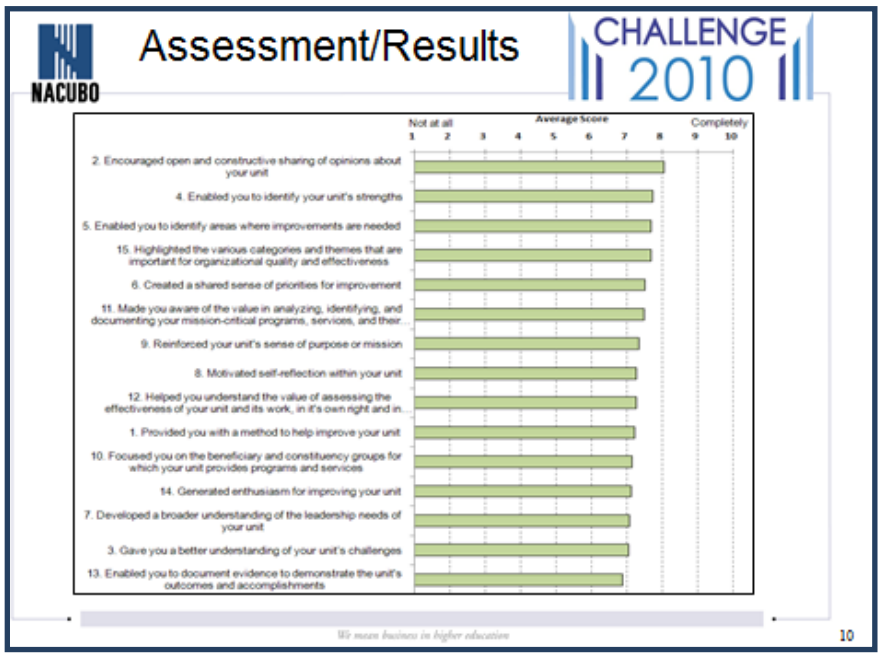


A number of challenges confronted the CSU team, among them:

- Size and diversity
- Complexity and layers
- Geographic dispersion
- Capability and resources
- Culture and expectations
- Differences in schedules and timing
- Other initiatives including Western Association of Schools and Colleges (WASC) accreditation, Council on the Advancement of Standards in Higher Education (CAS), and other academic and professional accreditation systems.



A key goal of the CSU team was to understand the factors that resulted in successful use of the Baldrige/EHE process versus situations where the process ran into difficulties or did not take hold. The two most significant lessons learned from the work highlighted the importance of facilitator skill and preparation, as well as leadership support. "We found that facilitators needed strong skills regarding the use of the Baldrige, improvement concepts, and presentation and group management. Facilitator knowledge and skills were instrumental factors not only in guiding the assessment process, but also in helping secure commitment from leaders and teams, in planning the assessments, in dealing with resistance during the process, and in ensuring appropriate follow-up after the sessions," the project leader said.



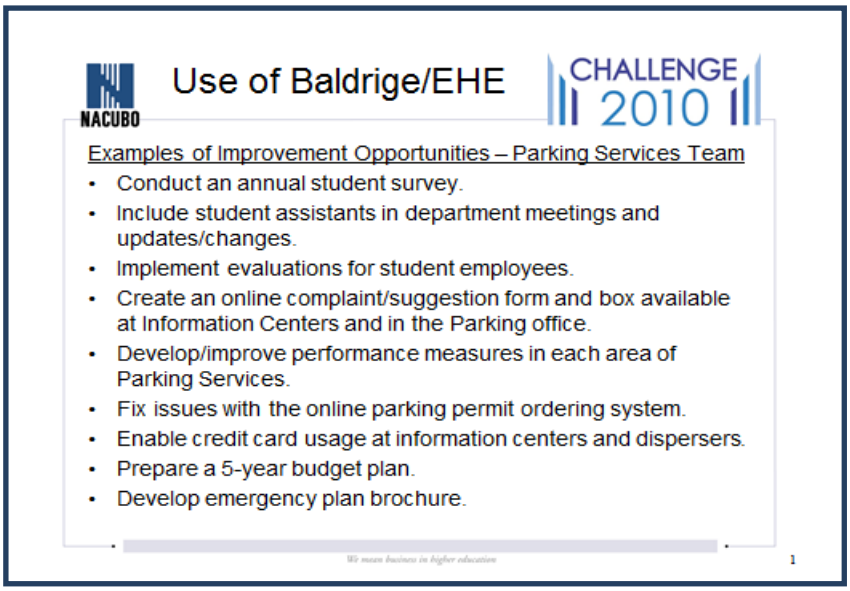
Leadership support was also found to be essential to focus energy on the process and to ensure participation. Success was more likely when leadership was actively involved and had a working knowledge of the EHE or Baldrige process so they were able to understand and guide how it could be used to benefit the organization, as well as to integrate its application with other organizational initiatives.

Leadership support was found to be essential to focus energy on the process and to ensure participation.

For a system as complex and large as the CSU, the introduction to and engagement of various leaders and participants in an EHE/Baldrige-based assessment process will be a multi-layered and repetitive task. When looked at as a whole, the CSU leadership team considers the system be in the initial stage of change management, gaining attention. However, different campuses and divisions within the system are in various stages, ranging from "unaware" to "gaining attention" to "institutionalizing change."

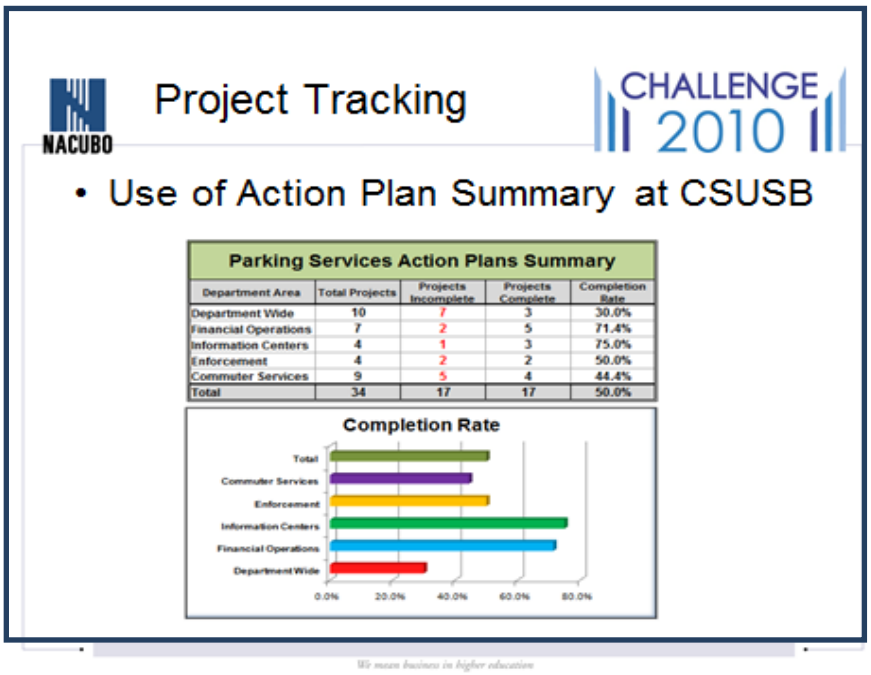
California State University State University-San Bernardino (CSUSB) Initiatives: Accomplishments at One Campus

The Administration and Finance Division at California State University San Bernardino (CSUSB) participated in NACUBO's Challenge project, through implementation of two pilots, one in the Parking Services Office and one in the Payroll Office. According to the CSUSB leadership, these pilot projects demonstrated a comprehensive approach to continuous improvement on this CSU campus, and resulted in numerous performance improvement projects that are increasing the division's success in supporting the university's education and research mission.



From the perspective of the CFO, "the value of the EHE process to CSUSB was the disciplined approach based on a logical and integrated framework. The process gave staff opportunities to evaluate their jobs, impact and overall roles and responsibilities in their organizations. Employees were excited to be invited and to be able to assess how they might improve current operations."

Key lessons learned were the need for constant leadership support and effective communication and facilitation. More than 50 separate projects are being implemented or considered as a result of the pilot efforts. CSUSB will be conducting EHE sessions for the entire Administrative and Finance Division over the next two years.



Commenting on the value of the Baldrige/EHE program, a senior leader on campus said:

> I am struck by the increasing need for our university and others to create value, increase productivity, and build greater program success through innovative and new methods, systems, or other changes. We simply cannot continue to ask for more resources as the

only way to improve. Moreover, we have an ethical responsibility to our student customers, our taxpayer investors, and ourselves, to make our educational and research programs and infrastructure operations better each year.

I was both impressed with selected employees involved in our pilots who got excited about using the EHE process to improve their experience and impact on the job. At the same time I was also somewhat disappointed that others did not respond similarly. Our challenge in higher education is to build the culture of not being satisfied with the status quo, and constantly seeking better performance. EHE helps us light this fire.

The Challenge of Change: Lessons Learned

The preceding pages provided an overview of NACUBO Challenge 2010 and eight projects that were the focus of the initiative.[11] Each project was distinctive in many respects, and yet all shared in common the use of the Baldrige/EHE approach and framework as a roadmap. As the case narratives indicate, across a diverse array of functions and institutions, faculty and staff with relatively little formalized training and minimal external support achieved impressive results in their change efforts using the Baldrige/EHE framework as a roadmap.

Our challenge in higher education is to build the culture of not being satisfied with the status quo, and constantly seeking better performance. EHE helps us light this fire.

Caution is always required in interpreting and generalizing results from a study with a limited set of cases. Nonetheless, collectively, these projects offer a number of insights that are helpful in documenting the value of the Baldrige/EHE model for addressing the challenges of change in higher education. Based on this initiative we conclude that:

- The Baldrige/EHE approach was applicable in a wide variety of functional and technical areas at diverse institutions, including finance (American University), academic accreditation (Rogue Community College), IT (Marist College), facilities administration (California State University San Bernardino) and space planning (University of North Texas Health Sciences Campus), HR benefits and compensation (University of Georgia) and performance management (Loras College), and multiple institutions within a system (California State University).

- The framework can be a useful tool for guiding the improvement and strengthening of existing practices and processes (American University, Rogue Community College, and Marist College), creating and implementing new programs (University of North Texas Health Sciences Campus, University of Georgia, and Loras College), and promoting and encouraging cultural change (California State University and California State University San Bernardino)

- The model was shown to be useful for guiding projects through the various stages in the planned change process.

10More complete project descriptions are available at: xXXXXXX.

Baldrige in Higher Education: Stage of Planned Change
(as of July 2011)

The case narratives also offer a number of additional insights:

- **Leadership commitment is critical.** One criterion for project selection was sponsorship and institutional support. The importance of leadership commitment and the continuity of support were also mentioned as an essential ingredient to progress and the ultimate success of a change initiative (Marist, Georgia, American). Leadership support should not be regarded as a static concept— it may be essential to "manage up and manage down" as a project develops (American).

- **Gain attention and create a sense of urgency**. If you have a burning platform, use it (Rogue). If there is no burning platform, create a smoking one (American, Marist).

- **Identify and engage beneficiaries and constituents**. Broad participation in the planning and implementation process is important. (American, Marist, Loras, Georgia, North Texas Health Sciences, CSU, CSUSB).

- **Expect resistance**. Work with opinion leaders and those likely to be early adopters. Understand the context or appetite for change at your institution and start with pilot projects that have meaning to the institution. (Georgia, CSU, American, CSUSB).

- **Be able to answer the question, "What's in it for me?"** Meet people where they are, not where you would like them to be (CSU).

- **Have short- and long-term goals, and set priorities.** Look at both impact and amount of effort required. Focus first on high impact and low-effort projects (American, Loras).

- **Move slowly**. Manage information carefully and methodically time-release pilots (Georgia, Loras).

- **Leverage successes.** As you are successful, word will spread and you will be asked to do more (Loras, Rogue, Georgia, CSUSB, and Marist).

- **Link the initiative to highly respected, well established or mandated processes**, such as strategic planning, accreditation, benefits changes, or emergency preparedness. (Loras, Rogue. Marist, Georgia, North Texas Health Sciences).

- **Measure progress and track outcomes**. This is a difficult process, but vital to assuring progress, making mid-course corrections, and documenting and reporting outcomes. (Georgia, Marist, American, CSU, CSUSB)

- **Be open to different approaches**. Depending on the circumstance, a variety of approaches and methodologies can be helpful, including Baldrige, EHE, LEAN, and others (CSU).

- **Communication is important at every stage**. Careful planning and attention to drafting the best message and using the most effective channel for each constituency is vital. Two-way communication shares needed information, heightens collaboration, builds helpful relationships, establishes trust, and heightens the likelihood of attaining the desired outcomes (Georgia, Marist, Rogue, CSUSB, North Texas Health Sciences, and American).

The ultimate goal is *culture change*—creating cultures of continuous and, in some cases, transformational change.

In concluding this report, it is important to note the understanding expressed by many project leaders: While the focus of NACUBO Challenge 2010 was on *projects* and *programs*, the ultimate goal is *culture change*—creating cultures of continuous and, in some cases, transformational change. The challenge to change is a significant one, and it affects virtually every college and university in the nation. Implementing the Baldrige/EHE framework is a means to that end; it is not the end in itself.

Perhaps the most fitting close to the report is a comment provided by Gloria Bentley, vice president for organizational development at Loras College:

> The NACUBO Challenge 2010 asked institutions of higher learning to apply the Excellence in Higher Education/Baldrige Criteria to a variety of projects in a diverse set of organizations. Underlying this request was a belief in the need for colleges and universities to begin to plan more intentionally, assess progress against clearly established and understood benchmarks, and—as a consequence—continuously improve. That underlying belief and motivation might have been slightly ahead of its time, but the increased scrutiny by the public and by government institutions on the "value-proposition" offered by higher education is now a reality.

It is our hope that NACUBO Challenge 2010 and this report make a useful contribution to the challenge to change that confronts all of us in higher education.

APPENDICES

Appendix A
Call for Proposals

Challenge 2010: Integrating Assessment, Planning, and Improvement
CALL FOR PROJECTS
National Association of College and University Business Officers
with support from The Lumina Foundation

For higher education, these are unprecedented times. The convergence of the economic crisis, changing demographics, and calls for greater accountability has increased internal pressures and the external scrutiny of colleges and universities. In the rush to address these extraordinary challenges, leaders need to find better ways to assess their operations and programs, establish priorities for action, and move quickly to implement needed changes. They also need to be able to identify opportunities to leverage institutional strengths.

The Baldrige National Quality Program methodology and associated tools have a proven track record for building a culture of assessment and accountability. They provide a systematic approach to conceptualizing organizational excellence and for creating results-oriented improvement strategies. Their application can enhance an institution's awareness of its strengths and capacity for change by increasing organizational flexibility and agility.

NACUBO seeks to develop a cadre of colleges and universities committed to using the Baldrige National Quality Program methodology and associated tools to build a culture of assessment and accountability. These institutions will serve as models of the approach, and providing others with examples of data-driven, results-oriented improvement strategies. The goal of the program is to help institutions make the best possible use of their resources to support their teaching, research, and service missions.

PROJECT PROPOSALS

NACUBO, with the assistance of the Lumina Foundation, is making available support for institutions to use these tools to address special needs, challenges, and opportunities. Applicants are asked to outline an institutional or departmental program or process that would benefit from the evaluative Baldrige framework and an integrated program of assessment, planning, and continuous improvement.

Up to eight institutions will be chosen that represent a diversity of challenges. Selected institutions will provide leadership in the higher education community by helping to develop models that can be used by others.

PROJECT CRITERIA

The Call for Projects is open to all regionally-accredited colleges and universities in the United States. NACUBO is seeking projects from a broad range of institutions – small institutions, research universities, comprehensive and doctoral institutions, community colleges, and system offices. Proposals will be accepted from higher education systems, colleges or universities, or individual administrative, academic,

and student affairs units. The key criterion is that the project is based on a process or activity that can be implemented and or replicated by others.

BENEFITS TO THE SELECTED CAMPUS

Project participants will enjoy the following benefits:

- Travel and fees for a team of up to three people to participate in a 4 ½ day program to introduce the Baldrige framework as it applies to higher education, and to help campus teams develop customized approaches to implementing the framework for their project
- A team trained in the use of project assessment, planning, and implementation using the Baldrige methodology in higher education
- Up to three days of expert project consulting assistance including one day onsite
- Travel funds to present findings at NACUBO Annual Conference and other conferences
- National visibility for your institution

Appendix B
Selected Institutions and Project Leaders

American University
Nana An
Executive Director of Budget and Payroll
nanaan@american.edu

California State University
Kenneth Devane
Project Manager
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Loras College
Gloria Regalbuto Bentley
Vice President for Organizational Development
gloria.bentley@loras.edu

Marist College
Reba-Anna Lee
Assistant Director, Academic Technology and eLearning
RebaAnna.lee@marist.edu

Rogue Community College
Denise Swafford
Administrative Coordinator/Accreditation Liaison Officer
dswafford@roguecc.edu

University of Georgia
Lydia Lanier
Senior Director, Financial Management and Education Center
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University of North Texas Health Sciences Center
Stephen Barrett
Vice President for Operations
stephen.barrett@unthsc.edu

Appendix C
Overview of the *EHE* Process

The usual context for an EHE program is a retreat or workshop—generally lasting one to two days. Depending on the circumstance, some or all of the members of the program, department, or institution being reviewed participate in the workshop and in the organizational self-assessment process. An EHE workshop consists of a step-by-step organizational assessment process, moving sequentially through the seven categories one at a time, and including an identification and discussion of strengths and potential areas for improvement in the program, department, or institution in each category. Participants also share their perceptions of the effectiveness of their organization in each category through an anonymous rating system.

In the Challenge 2010 training and orientation session, a case study of a fictional institution was used to introduce participants to the EHE framework, approach and process. The Challenge participants analyzed and rated the fictional institution. A workshop approach provides a focused and intense experience. That said, there are many other ways in which the EHE framework can be used. For example, EHE can be presented in three half-day sessions, or each category can become the focus of a series of one or two-hour sessions.

As noted, the EHE process also includes a quantitative analysis component through which the effectiveness of the program, department, or institution under review is rated by all members of the organization participating in the EHE process. The average rating of the participant group is entered on a chart or spreadsheets. The results are displayed and discussed after each category, and again at the conclusion of all categories, to provide a seven-category profile of the program, department, or institution.

Once these steps have been completed for all seven categories, the list of areas of strength and those in need of improvement are reviewed, and priorities for action—short- and long-term—are developed, along with action plans for moving forward. Details on the review, rating, prioritizing, and action planning process are provided in the *Excellence in Higher Education Guidebook*, *Excellence in Higher Education Workbook and Scoring Guide*, and *Excellence in Higher Education Facilitator's Guide CD ROM*, available from the National Association of College and University Business Officers.