

HIGHER EDUCATION

CONTENTS AND FORMAT OF ACCOUNTABILITY REPORTS (FY 2009 - 2010 Guidelines)

The Accountability Report should be based on the Malcolm Baldrige performance excellence criteria and contain the following:

Transmittal Form (use transmittal form enclosed).

Section I - Executive Summary (*up to 3 pages*) to consist of the following elements:

1. Organization's stated purpose, mission, vision, and values;
2. Major achievements from past year;
3. Key strategic goals for the present and future years (this supports the organization's budget request);
4. Your key strategic challenges (i.e. educational, operational, human resource, financial, and community-related strategic challenges);
5. How the accountability report is used to improve organizational performance (describe the process and improvements achieved through the accountability report preparation and self-assessment process).

Section II – Organizational Profile (*up to 4 pages – page limit does not include Expenditure/Appropriations Chart and Major Program Areas Chart*); a fact-based description of the organization. List the following elements (bullet style):

1. Your organization's main educational programs, offerings, and services and the primary methods by which these are delivered;
2. Your key student segments, stakeholder groups, and market segments, as appropriate, and their key requirements/expectations;
3. Your operating locations;
4. The number of employees you have, segmented by faculty and staff or other appropriate categories;

Note: "Faculty and staff" (workforce) refers to your organization's permanent, temporary and part-time personnel, as well as any contract employees supervised by your organization. Contract staff supervised by a contractor should be addressed in Category 6.

5. The regulatory environment under which your organization operates;
6. Your governance system (the reporting relationships between your governance board/policy making body and your senior leaders, as appropriate);
7. Your key suppliers and partners;

8. Your key competitors (other educational systems that directly compete for the same type of studies, research grants, etc.);
9. Your principal factors that determine your competitive success. The key changes that are taking place that significantly impact your competitive situation;
10. Your performance improvement systems;
11. Your organizational structure;
12. Your **Expenditures/Appropriations Chart** (use chart form available at www.budget.sc.gov);
13. Your **Major Program Areas Chart** (use chart form available at www.budget.sc.gov).

Note: When completing the **Major Program Areas Chart**, please list the programs that comprise at least 80% of the total budget. The remainder of programs should be “listed ONLY” in the box below the chart, and those program expenditures should be detailed in the chart’s section entitled “Remainder of Expenditures.” The **Key Cross References** for financial results column should link major programs to charts/graphs in Category 7 Results (ex. Chart 7.3-1 or Graph 7.3-2).

Section III – Elements of Malcolm Baldrige Criteria as follows:

Provide up to 3 pages discussing the following category:

Category 1 – Senior Leadership, Governance, and Social Responsibility.

*Provide up to 15 pages total discussing the following five categories:
(Page limit does not include Strategic Planning Chart.)*

Category 2 – Strategic Planning. (Include **Strategic Planning Chart** – use chart form available at www.budget.sc.gov.)

Note: The **Key Action Plan/Initiative(s)** column in the **Strategic Planning Chart** should include your initiatives, plans, and timelines to accomplish the goals/objectives for FY ~~08~~ 09 - 10 and beyond listed in the second column. The **Key Cross References** column should link listed programs to charts/graphs in Category 7 – Results (ex. Chart 7.4-1 or Graph 7.2-2).

Category 3 – Student, Stakeholder, and Market Focus

Category 4 – Measurement, Analysis, and Knowledge Management

Category 5 – Workforce Focus

Category 6 – Process Management

Provide up to 25 pages presenting the final category:

Category 7 – Organizational Performance Results (Key Result Areas include: Student Learning Results; Student and Stakeholder Focused Results; Budgetary, Financial, and Market Results; Workforce-

Focused Results; Process Effectiveness Results, and Leadership and Social Responsibility Results).

Note: Results Information (i.e. each chart, graph, table) reported for Category 7 should be referenced to the specific question number (Ex. Chart 7.1-1, Graph 7.1-2, Table 7.1-3). The first digit identifies the Category in which the questions are asked. The second digit identifies the specific question number. The third digit identifies the sequential position of the specific chart, graph or table included in your response to each question.

The total length of the report is a maximum of 50 pages (page limit does not include the following charts: Expenditure/Appropriations Chart, Major Program Areas Chart, and Strategic Planning Chart.)

Elements of Malcolm Baldrige Criteria

Please specifically address the question as stated, even if you have to report that you have made no progress in a certain area. If the organization is still in the beginning stages of developing processes in any particular category, please note what the organization's plans are to make progress.

Category 1 – Senior Leadership, Governance, and Social Responsibility

The Leadership Category examines how your organization's senior leaders guide and sustain your organization. It also examines your organization's governance and how your organization addresses its ethical, legal, and community responsibilities.

1. How do senior leaders develop and deploy their organization's vision and values throughout the leadership system, to the workforce, to key suppliers and partners, and to students and stakeholders, as appropriate? How do their personal actions reflect a commitment to the organizational values?
2. How do senior leaders create a sustainable organization with a focus on action to accomplish the organization's mission, strategic objectives, improve performance, and attain your vision?
3. How do senior leaders personally promote and support an organizational environment that fosters and requires: legal and ethical behavior; and, fiscal, legal, and regulatory accountability? How are these monitored?
4. How do senior leaders create an environment for organizational and workforce learning?
5. How do senior leaders promote and personally participate in succession planning and the development of future organizational leaders?
6. How do senior leaders communicate with, engage, empower, and motivate the entire workforce throughout the organization? How do senior leaders take an active role in reward and recognition processes to reinforce high performance throughout the organization?

7. How does your organization evaluate the performance of your senior leaders including the head of the organization, and the governance board/policy making body? How do senior leaders use these performance reviews to improve their own leadership effectiveness and that of the board and leadership system, as appropriate?
8. What performance measures do senior leaders regularly review to inform them on needed actions?
9. How does your organization address and anticipate any adverse impacts of its programs, offerings, services, and operations? What are the key compliance related processes, goals, and measures? (Actual results should be reported in Category 7).
10. How do senior leaders actively support and strengthen the communities in which your organization operates? Include how senior leaders determine areas of emphasis for organizational involvement and support, and how senior leaders, the workforce, and the organization's students contribute to improving these communities.

Note: In describing your organization's support of the communities in which it operates, include the contributions of your senior leaders, workforce, and students. Areas of community support appropriate for inclusion might include your efforts to strengthen local community services, community education, the environment, participation and practices of professional associations.

Category 2 – Strategic Planning

The Strategic Planning Category examines how your organization develops strategic objectives and action plans. It also examines how your strategic objectives and action plans are deployed, changed if circumstances require, and how progress is measured.

1. What is your Strategic Planning process, including key participants, and how does it address:
 - a. your organizations' strengths, weaknesses, opportunities and threats;
 - b. financial, regulatory, and other potential risks;
 - c. shifts in technology, student and community demographics, markets, student and stakeholder preferences, and competition.
 - d. workforce capabilities and needs;
 - e. long-term organizational sustainability and organizational continuity in emergencies;
 - f. your ability to execute the strategic plan.
2. How do your strategic objectives address the strategic challenges you identified in your Executive Summary? (Section I, Question 4).
3. How do you evaluate and improve your strategic planning process?

Note: Strategic Planning process refers to your organization's approach (formal or informal) to a future-oriented basis for business decision, resource allocations and management, to include how relevant data and information are gathered and analyzed. This process may use various types of forecasts, projections, options, scenarios or other approaches to address the future.

4. How do you develop and track action plans that address your key strategic objectives? Include how you allocate resources to ensure the accomplishment of your action plans.
5. How do you communicate and deploy your strategic objectives, action plans and related performance measures?
6. How do you measure progress on your action plans?
7. If the organization's strategic plan is available to the public through the organization's internet homepage, please provide an address for that plan on the website.

Note: List your key strategic objectives (goals), key action plans/initiatives and timelines in the Strategic Planning Chart.

Category 3 – Student, Stakeholder, and Market Focus

The Student, Stakeholder, and Market Focus Category examines how your organization determines the requirements, expectations, and preferences of students, stakeholders, and markets. It also examines how your organization builds relationships with students and stakeholders, and the key factors that attract students, and lead to student and stakeholder satisfaction, loyalty, increased educational services and programs, and organizational sustainability.

Note: This category addresses students and external stakeholders only – Differing requirements may exist for your various internal customer groups.

1. How do you identify the student and market segments your educational programs will address? How do you determine which student and market segments to pursue for current and future educational programs, offerings, and services?
2. How do you keep your listening and learning methods current with changing student and stakeholder needs and expectations (including educational programs, offerings, and service features)? How do you determine the relative importance of the expectations to these groups' decisions related to enrollment?
3. How do you use information and feedback from current, former, and future students and stakeholders to keep services and programs relevant, and provide for continuous improvement?
4. How do you determine student and stakeholder satisfaction and dissatisfaction and use this information to improve?
5. How do you build positive relationships to attract and retain students and stakeholders, to enhance student performance, and to meet and exceed their expectations for learning? Indicate any key distinctions between different student and stakeholder groups.
6. How does your student and stakeholder complaint management process ensure that complaints are resolved promptly and effectively?

Note: “Educational programs, offerings, and service features” refers to key characteristics of programs, offerings, and services that are available throughout the period of time students attend your organization. This includes the period from the students’ initial decision to enroll in your organization through the time of their departure.

Category 4 – Measurement, Analysis, and Knowledge Management

The Measurement, Analysis, and Knowledge Management Category examines how your organization selects, aggregates, analyzes, manages, and improves its data, information, and knowledge assets and how it manages its information technology. It also examines how your organization reviews and uses reviews to improve its performance.

Note: The terms “information” and “analysis” refer to the key measurements used by your organization to analyze performance. Because of the key nature of the data and information, they should be linked to the organization’s operations, systems and processes described in your Organizational Profile and Category 6 – Process Management.

Note: The term “knowledge assets” refers to the accumulated intellectual resources of your organization. It is the knowledge possessed by your organization and its faculty and staff in the form of information, ideas, learning, understanding, memory, insights, cognitive and technical skills, and capabilities.

1. How do you select which operations, processes and systems to measure to determine student learning, and for tracking daily operations and overall organizational performance, including progress relative to strategic objectives and action plans?
2. How do you select, collect, align, and integrate data/information for analysis to provide effective support for decision making and innovation throughout your organization?

Note: Analysis includes trends, projections, comparisons, and cause-effect correlation intended to support performance reviews and the setting of priorities for resource use. Analysis draws upon many types of data including student and stakeholder related requirements, operational, competitive, and others. (Results are reported in Category 7).

3. How do you keep your measures current with educational service needs and directions?
4. How do you select and use key comparative data and information from within and outside the academic community to support operational and strategic decision making?
5. How do you make needed data and information available? How do you make them accessible to your workforce, students, and stakeholders?
6. How do you ensure data integrity, timeliness, accuracy, security and availability for decision making?

7. How do you translate organizational performance review findings into priorities for continuous improvement?
8. How do you collect, transfer, and maintain organizational and employee knowledge (knowledge assets)? How do you identify and share best practices?

Category 5 – Workforce Focus

The Workforce Focus Category examines how your organization engages, manages, and develops your workforce to utilize its full potential, aligned with the organization's mission, objectives, strategies, and action plans. It also examines your ability to assess workforce capability and capacity needs to build a workforce environment conducive to high performance.

Note: The term “workforce” refers to all people actively involved in accomplishing the work of your organization, including paid employees (e.g. permanent, part-time, temporary, telecommuting employees, as well as contract employees supervised by the organization) and volunteers, as appropriate. The workforce includes administrators and supervisors at all levels. Contract employees supervised by a contractor performing support processes should be addressed in Category 6 – Process Management.

Note: The term “workforce capability” refers to your organization's ability to accomplish its work processes through the knowledge, skills, abilities, and competencies of its people. Capability may include the ability to build and sustain relationships with students and stakeholders; to innovate and transition to new technologies; to develop new educational programs, offerings, services, and work processes; and to meet changing organizational, market, and regulatory demands.

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

1. How do you organize and manage work to motivate and enable your workforce to develop and utilize their full potential, aligned with the organization's objectives, strategies, and action plans and promote cooperation, initiative, empowerment, innovation, and your organizational culture?
2. How do you achieve effective communication and knowledge/skill/best practice sharing across departments, jobs, and locations?
3. How does your workforce performance management system, including feedback to and from individual members of the workforce, support high performance work and contribute to the achievement of your action plans?
4. How do you accomplish effective succession planning? How do you manage effective career progression for your entire workforce throughout the organization?
5. How does your development and learning system for leaders address the following:
 - a. development of personal leadership attributes;
 - b. development of organizational knowledge;

- c. ethical practices;
 - d. your core competencies, strategic challenges, and accomplishment of action plans?
6. How do you assess your workforce capability and capacity needs, including skills, competencies, and staffing levels?
 7. How do you recruit, hire, and retain new employees?
 8. How does your workforce education, training, and development address your key organizational needs? How do you encourage on the job use of new knowledge and skills?
 9. How do you evaluate the effectiveness of your workforce and leader training and development systems?
 - ~~10. How do you motivate your workforce to develop and utilize their full potential?~~
 10. What formal and/or informal assessment methods and measures do you use to obtain information on workforce well-being, satisfaction, and motivation?
 11. How do you use workforce satisfaction assessment findings to identify and determine priorities for improvement?
 12. How do you maintain a safe, secure, and healthy work environment? (Include your workplace preparedness for emergencies and disasters.)

Category 6 – Process Management

The Process Management Category examines how your organization determines its core competencies and work systems, and how it designs, manages, and improves its key processes for implementing those work systems to deliver student and stakeholder value and achieve organizational success and sustainability.

Note: The term “core competencies” refers to your organization’s areas of greatest expertise. Your organization’s core competencies are those strategically important capabilities that provide an advantage in your market and service environment. Core competencies may involve technology expertise or unique educational programs, offerings, or services that are responsive to the needs of your students, stakeholders, and markets.

Note: Your key work processes are the processes that involve the majority of your organization’s workforce and produce student and stakeholder value. Your key work processes are those that are most important to maximizing student success.

1. How do you determine, and what are your organization’s core competencies, and how do they relate to your mission, competitive environment, and action plans?
2. What are your organization’s key work processes?
3. How do you incorporate input from students, faculty, staff, stakeholders, suppliers, and partners for determining your key work process requirements?

4. How do you incorporate organizational knowledge, new technology, cost controls, and other efficiency and effectiveness factors, such as cycle time, into process design and delivery?
5. How do you systematically evaluate and improve your work processes?
6. What are your key support processes, and how do you evaluate, improve and update these processes to achieve better performance?

Note: Support processes are those that support your organization's products/services. For many organizations, this might include information and knowledge management, finance and accounting, facilities management, research and development, administration, inter-governmental relations, legislative and public affairs and marketing. Please address those key support processes most important to your organization and how you operate.

7. How does your organization ensure that adequate budgetary and financial resources are available to support your operations? How do you determine the resources needed to meet current budgetary and financial obligations, as well as new initiatives?

Category 7 – Organizational Performance Results

The Organizational Performance Results Category examines your organization's performance and improvement in all key areas: student learning outcomes; student- and stakeholder-focused outcomes; budgetary, financial, and market performance; workforce-focused outcomes; process effectiveness; and leadership and social responsibility outcomes. Performance levels are examined relative to those of competitors and other organizations providing similar programs and services.

Quantitative measures may be supplemented by a discussion of qualitative measures where appropriate; however, every effort should be made to use appropriate quantitative measures that can be charted to show trends and comparisons to benchmarks.

- 7.1 What are your performance levels and trends for your key measures on student learning, and improvements in student learning? How do your results compare to those of your competitors and comparable organizations?
- 7.2 What are your performance levels and trends for your key measures on student and stakeholder satisfaction and dissatisfaction? How do your results compare with competitors and comparable organizations?
- 7.3 What are your performance levels for your key measures on budgetary and financial performance, including measures of cost containment, as appropriate?
- 7.4 What are your performance levels and trends for your key measures of workforce engagement, workforce satisfaction, the development of your workforce, including leaders, workforce retention, and workforce climate including workplace health, safety, and security?
- 7.5 What are your performance levels and trends for your key measures of organizational effectiveness/operational efficiency and work system performance

(these could include measures related to the following: student performance and development; the education climate; responsiveness to student and stakeholder needs; supplier and partner performance; and cycle time)?

- 7.6 What are your performance levels for your key measures related to leadership and social responsibility:
- a. accomplishment of your organizational strategy and action plans;
 - b. stakeholder trust in your senior leaders and the governance of your organization;
 - c. fiscal accountability; and, regulatory, safety, accreditation, and legal compliance;
 - d. organizational citizenship in support of your key communities?

Note: Address only top-level results showing aggregate measures of organizational performance that are reflective of the value added to students, the workforce, and stakeholders. Please include comparative data as applicable. These results are typically captured in performance goals, planning documents and accreditation reports.

Note: Results information (i.e. each chart, graph, table) reported for Category 7 should be referenced to the specific question number (Ex. *Chart 7.1-1, Graph 7.1-2, Table 7.1-3*). The third digit identifies the sequential position of the specific chart, graph or table included in your response to each question.

SUBMISSION GUIDELINES

The FY ~~2008—2009~~ 2009 - 2010 Accountability Report should be submitted in PDF format whenever possible. If you are unable to submit the report in PDF format, the word processing format you normally use will be satisfactory. If your agency does not use computers, you may submit a typed report, which will be scanned.

In an effort to standardize length, the length is a maximum of 50 pages. The suggested font is Times New Roman, 12 point.

Four (4) printed copies and either an e-mailed version of the report or a CD containing the Accountability Report should be submitted to the Office of State Budget at the following address by ~~Tuesday~~ Wednesday, September 15, 2009 2010.

Office of State Budget

Attention: Karen Rhinehart

1201 Main Street, Suite 870

Columbia, SC 29201

Note: The data may be e-mailed to **Krhinehart@budget.sc.gov** and copies sent to the above address.

If you have questions regarding the submission of your Accountability Report, please contact either Suzie Rast – srast@budget.sc.gov, 803-734-0647 or Garry Monjo – gmonjo@budget.sc.gov, 803-734-0919.

For additional help or information, please refer to the Office of State Budget Website: www.budget.sc.gov. The Baldrige Criteria document includes a glossary of terms and other useful information.

**THE DEADLINE FOR SUBMISSION OF ACCOUNTABILITY REPORTS
(ELECTRONIC & FOUR PRINTED COPIES) IS ~~TUESDAY~~ WEDNESDAY,
SEPTEMBER 15, 2010.**

Accountability Report Transmittal Form

Organization Name _____

Date of Submission _____

Organization Director _____

Organization Contact Person _____

Organization Contact's Telephone Number _____