



Excellence in Missouri

2014 Conference

Baldrige 201 Criteria Training



by Mark Blazey
Quantum Performance Group, Inc.

2013-2014 Baldrige 201 Criteria Training

by Mark L. Blazey, Ed.D.

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Portions of this guide are drawn from the work of the Performance Excellence Network and the National Baldrige Award Office. ***This book is designed to educate people about the Baldrige Criteria for Performance Excellence and serves as a supplemental guide to the Criteria booklet itself. To obtain a complete copy of the 2013–2014 Criteria for Performance Excellence visit the Website of the Baldrige Performance Excellence Program at www.nist.gov/baldrige/publications/criteria.cfm.***

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To contact Mark Blazey for information or to comment, please use any of the following methods:

Phone: (585) 394-3700

E-mail: qpg1@aol.com

Objectives

The Baldrige 201-Level Training is designed to familiarize you with essential information and concepts contained in the 2013 – 2014 Baldrige Criteria for Performance Excellence, review the dimensions of maturity assessment (scoring), and highlight the differences among the Business, Education, and Health Care Criteria.

Baldrige 201 Training Agenda

| | |
|--|---|
| 1:00 – 1:30 | Introduction |
| 1:30 – 2:45 | Review 2013-2014 Criteria Highlight Differences Among Business, Education, and Health Care |
| 2:45 – 2:55 | BREAK |
| 2:55 – 4:00 | Continue with Criteria Review |
| 4:00 – 4:10 | BREAK |
| 4:10 – 5:00 | Finish Criteria Review and Discuss Scoring (Time Permitting) |
| Note that the Agenda is subject to change based on needs of class | |



Questions and Expectations

**Use Flip Chart to record your questions
About the Criteria for Performance Excellence.**

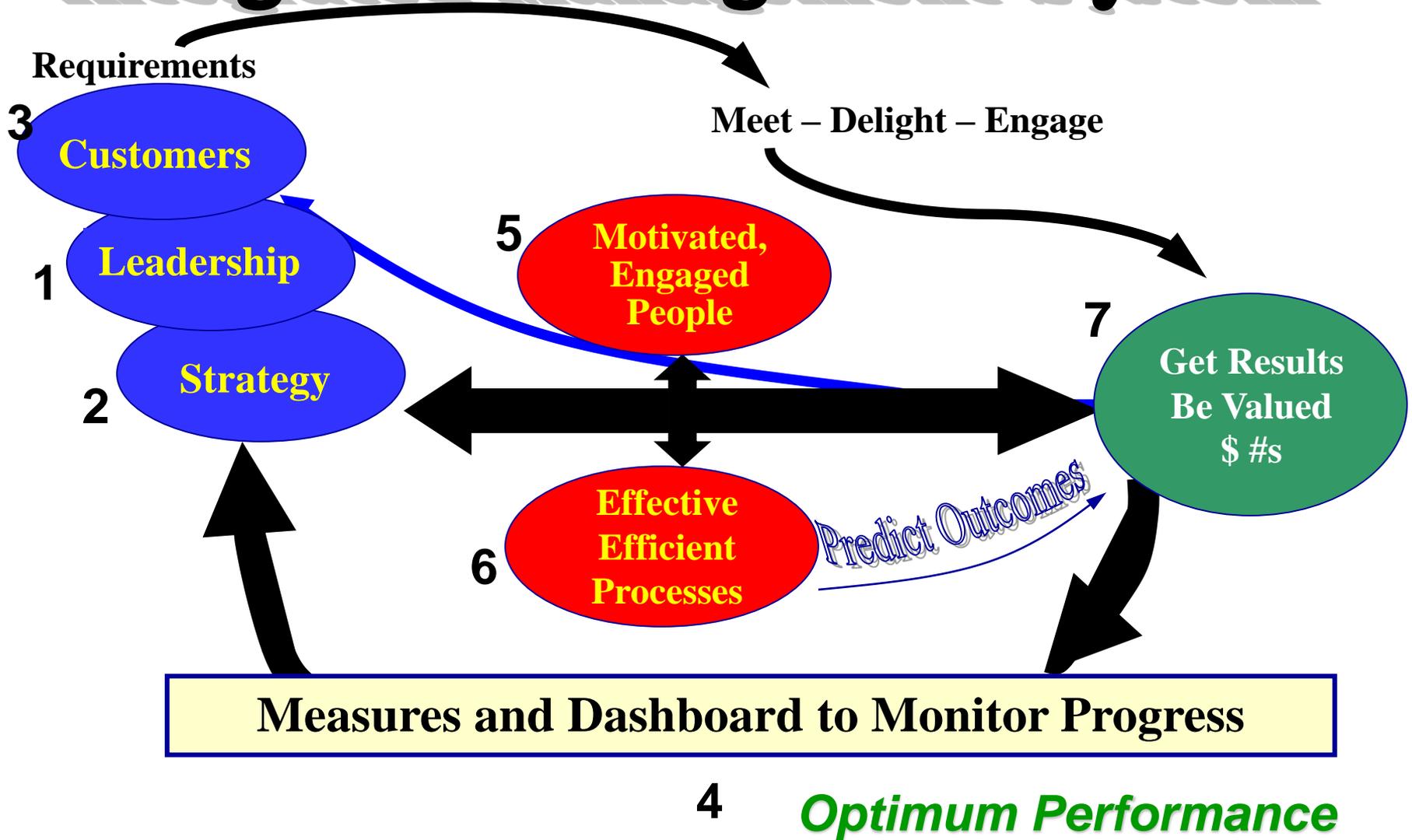
5 Minutes

Introduction

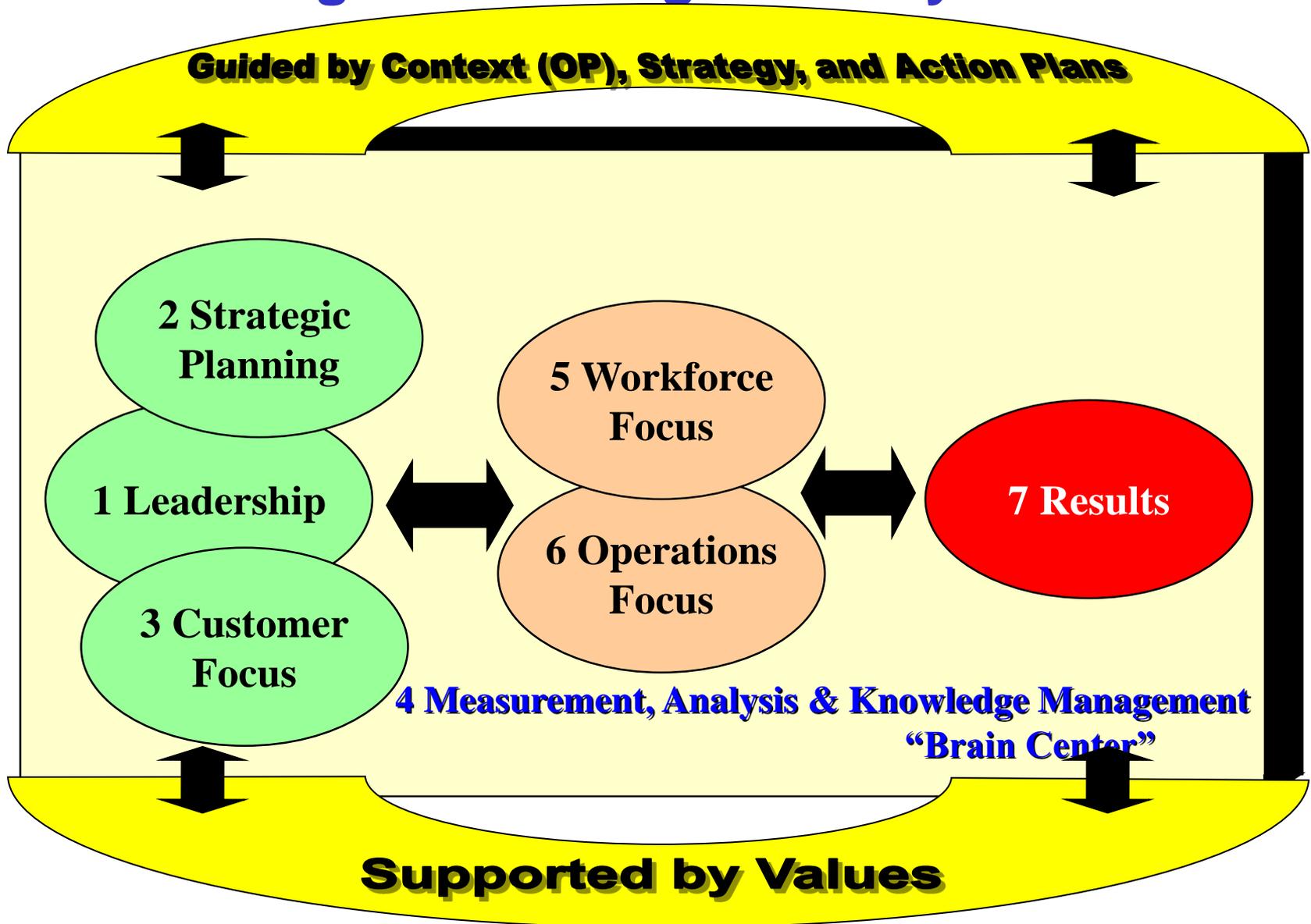
Award Evaluation Philosophy

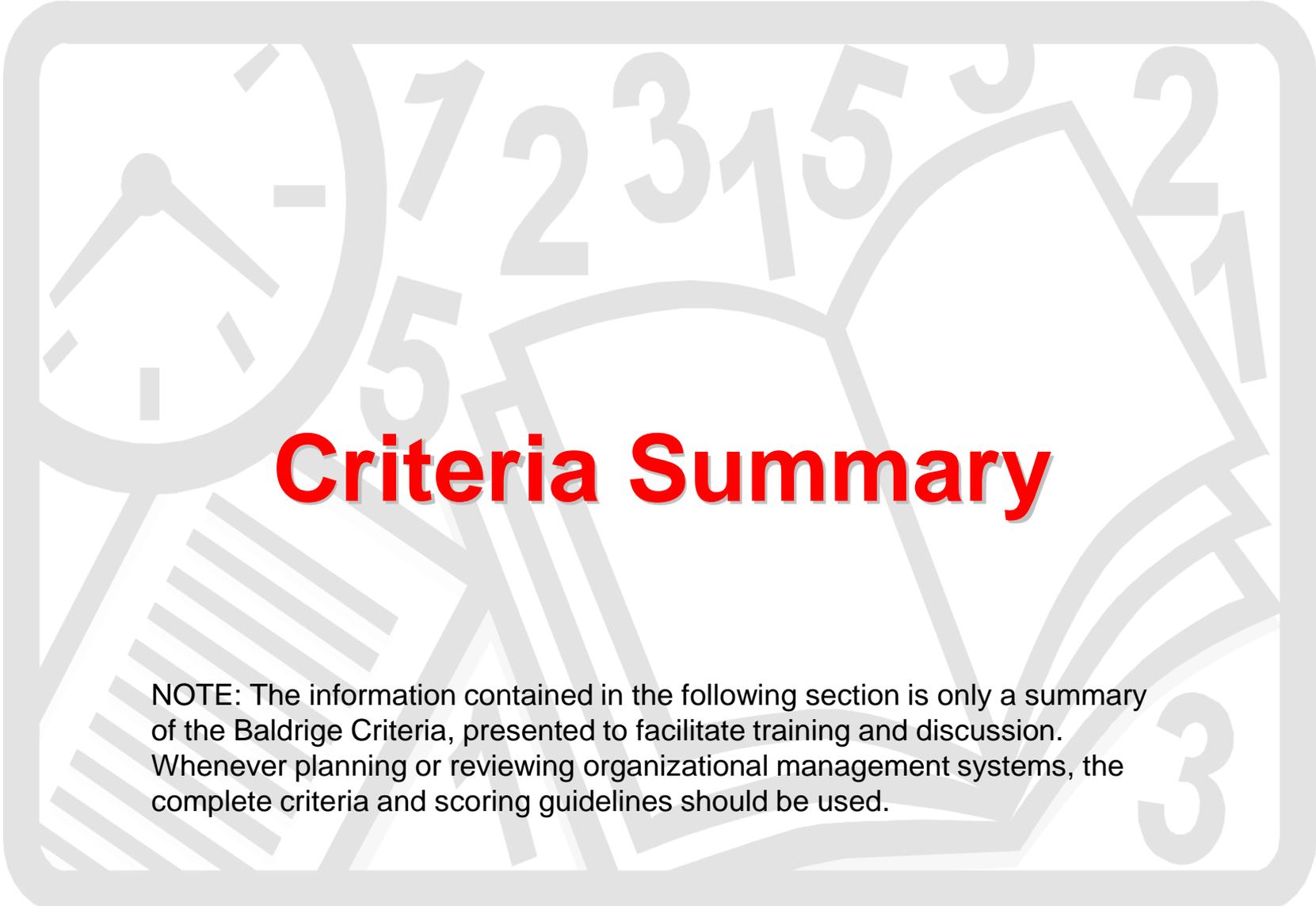
- *De facto* definition of performance excellence.
- Non-prescriptive analysis -- we accept the use of **any** approach that appears to be effective at doing what the Criteria require in a consistent, systematic manner.
- ***Scoring guidelines define levels of maturity, and together with the Criteria for Performance Excellence, form our diagnostic system.***

Integrated Management System



Integrated Management System



The background features a light gray graphic with a rounded rectangular border. Inside, there is a clock face on the left, a series of numbers (1, 2, 3, 1, 5, 3, 2) arranged in an arc at the top, and a bar chart with several bars of varying heights at the bottom. The text 'Criteria Summary' is centered in a bold red font.

Criteria Summary

NOTE: The information contained in the following section is only a summary of the Baldrige Criteria, presented to facilitate training and discussion. Whenever planning or reviewing organizational management systems, the complete criteria and scoring guidelines should be used.

Components of the Criteria

1. Scoring Guidelines

- Basic requirements
- Overall requirements
- Multiple requirements

2. Criteria and Explanatory Notes (footnotes)

- Criteria requirements presented in shaded box
- Clarifications and examples presented in notes that do not add additional requirements
- Some linkages among the OP and other Criteria elements described

3. Category and Item Descriptions

- Clarifications of the meaning of key elements of the Criteria
- Examples meeting the intent of the Criteria

4. Core Values and Concepts

5. Glossary

Criteria Questions

Questions beginning with “how”

- Require applicant to define its approach to meet each Criteria requirement
- Not enough to merely describe who does it or when – must describe the process
 - What happens first? (the inputs)
 - What happens next? (define the steps in the process)
 - How do you know the process works as intended? (define methods used to evaluate and improve process)
 - What is the outcome or deliverable?

Questions beginning with “what”

- Ask for basic information about key processes such as key findings, plans, objectives, goals, or measures

Question beginning with “who”

- One question: who participates in strategic planning?

Important Notice

The following pages contain summaries of the Baldrige Criteria for Performance Excellence for use as talking points in this class. These summaries should not be used when preparing an application or when analyzing an organization and preparing feedback.

Color Codes: The following slides that present a summary of the Criteria use color as follows:

- Red text indicates a basic approach requirement
- Blue indicates an overall approach requirement (unless it has already been listed as a requirement at a lower level)
- Black text indicates a multiple approach requirement (unless it has already been listed as a requirement at a lower level)
- Yellow shading indicates additions or changes to the Criteria since 2011-2012
- Text in [brackets] represent [education] or [health care] requirements that differ from the business requirements. These differences are only highlighted the first time that they appear.

Comparing Business, Education, and Health Care

| Differences in 2013 Baldrige Business, Education, and Health Care Criteria | | |
|---|---|---|
| Business | Education | Health Care |
| customer(s) | student(s) | patient(s) |
| product, product offerings | educational programs, educational program offerings | health care services, health care service offerings |
| industry | education sector | health care industry |
| business focus | student learning focus | health care focus |
| business results | student learning results | health care results |

Comparing Business, Education, and Health Care

Differences in 2013 Baldrige Business, Education, and Health Care Criteria

| Item | Business | Education | Health Care |
|---------|--|--|--|
| 1.1a(3) | No Similar Requirement | No Similar Requirement | create and promote a culture of patient safety |
| 1.2c(2) | No Similar Requirement | No Similar Requirement | contribute to building community health |
| 3.1a(1) | listening methods vary across the customer life cycle | listening methods vary across the stages of students' and other customers' relationships with you | listening methods vary across the stages of patients' and other customers' relationships with you |
| 6.1a(1) | product excellence | educational program and service excellence | health care service excellence |

Comparing Business, Education, and Health Care

Differences in 2013 Baldrige Business, Education, and Health Care Criteria

| Item | Business | Education | Health Care |
|---------|---|-------------------------------------|--|
| 6.1a(1) | design to meet all key requirements | design to meet all key requirements | design to meet all key requirements: incorporate new technology, organizational knowledge, health care service excellence evidence-based medicine (integrates a doctor's examining and diagnostic skills for a patient with evidence from medical research) |
| 6.1b(2) | no similar requirement | no similar requirement | Patient Expectations and Preferences: address and consider each patient's expectations; explain health care service delivery processes and likely outcomes to set realistic patient expectations; factor patient decision making and patient preferences into the delivery of health care services. |
| 6.2a | prevent defects, service errors, and rework and minimize warranty costs or customers' productivity losses | prevent errors and rework | prevent rework and errors, including medical errors and unintended harm to patients |
| 6.2c | continuity of operations | continuity of operations | continuity of operations and evacuation |

Comparing Business, Education, and Health Care

Comparison of Differences in 2012 Baldrige Business, Education, and Health Care Criteria

| Item | Business | Education | Health Care |
|---------|---|---|---|
| 7.2a(2) | How do these results compare over the course of your customer life cycle | How do these results compare over the course of your students' and stakeholders' relationship with you | How do these results compare over the course of your patients' and stakeholders' relationship with you |
| 7.4a(3) | Law and Regulation, | Law, Regulation, and Accreditation | Law, Regulation, and Accreditation |
| 7.4a(5) | No Similar Requirement | No Similar Requirement | and its contributions to community health |
| 7.5 | financial | budgetary and financial | financial |

Organizational Profile (0 Points)

P Preface: Organizational Profile

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

Describe the organization's operating environment and its key relationships with customers, suppliers, partners, and stakeholders.

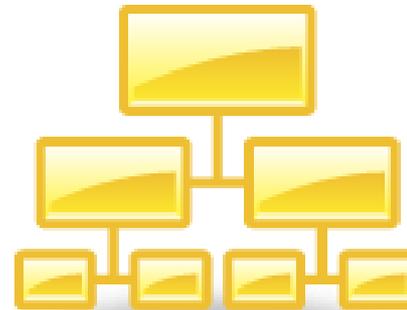
a. Organizational Environment

1. **Product Offerings** List the organization's main product [**educational program**; **health care service**] offerings and the importance of each to organizational success. Describe the product-delivery mechanisms
2. **Vision and Mission** List the distinctive characteristics of the organization's culture; its stated purpose, vision, values, and mission; and its core competencies and their relationship to mission
3. **Workforce Profile** Describe the workforce profile including groups and segments; their **education requirements**; the key elements that engage them in accomplishing mission and vision; diversity; organized bargaining units (if any), and special health and safety requirements.
4. **Assets.** List major facilities, technologies, and equipment.
5. **Regulatory Requirements** Describe the regulatory environment including applicable occupational health and safety regulations; accreditation, certification, or registration requirements; industry standards [**education industry**; **health care industry**]; and environmental, financial, and product regulations.

Organizational Profile (continued)

b. Organizational Relationships

1. **Organizational Structure** Describe organizational structure and governance system; and the reporting relationships among the governance board, senior leaders, and parent organization.
2. **Customers [Students, Other Customer; Patients, Other Customer] and Stakeholders** List key market segments, customer [] groups, and stakeholder groups and for each their key requirements and expectations for products, customer support services, and operations. Describe the differences in these requirements and expectations among market segments, customer groups, and stakeholder groups.
3. **Suppliers and Partners** List key suppliers, partners, and collaborators; methods for communicating with them; key supply-chain requirements and the role they play in helping the organization: produce and deliver its key products and customer support services; **enhance its competitiveness**; and implement innovations



Organizational Profile (Continued)

P.2 Organizational Situation

Describe the organization's competitive environment, key strategic challenges and advantages, and its system for performance improvement.

a. Competitive Environment

1. **Competitive Position** Describe the organization's competitive position including its relative size and growth in its industry or markets served, and the numbers and types of its competitors.
2. **Competitiveness Changes** Describe any key changes taking place that affect its competitive situation, including changes that create opportunities for innovation and collaboration, as appropriate
3. **Comparative Data** Describe key available sources of comparative and competitive data from within and outside the industry. Describe the limitations, if any, on the organization's ability to obtain or use these data.

b. Strategic Context Describe key strategic challenges and advantages in the areas of business, operations, societal responsibilities, and workforce

c. Performance Improvement System Describe the key elements of the organization's performance improvement system, including the evaluation and improvement of key organizational projects and processes

1 Leadership

For 1.1: Summarize in your own words the essence of this Item.

Then answer the following questions.

- What does “sustainability” or “sustainable” mean?
- What does “intelligent risk taking” mean?

For 1.2: Summarize in your own words the essence of this Item.

Then answer the following question.

- What does it mean to have areas of emphasis for organizational involvement in key communities including areas that leverage core competencies?

1 Leadership (120 Points)

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

Describe how senior leaders' personal actions guide and sustain the organization. Describe how senior leaders create an environment for customer engagement, innovation, and high performance. Describe how senior leaders communicate with the workforce and key customers.

a. Vision, Values, and Mission

- 1. Vision and Values** Set and deploy the organization's vision and values through the leadership system, to the workforce, to key suppliers and partners, and to customers and other stakeholders, as appropriate; and ensure their actions reflect a commitment to the organization's values.
- 2. Promoting Legal and Ethical Behavior** Senior leaders' actions demonstrate their commitment to legal and ethical behavior and promote an organizational environment that requires legal and ethical behavior.
- 3. Creating a Sustainable Organization** Create a sustainable organization and achieve the following:
 - Create an environment for the achievement of mission, improvement of organizational performance, performance leadership, and organizational and personal learning
 - Create a workforce culture that delivers a consistently positive customer experience and fosters customer engagement
 - Create an environment for innovation and intelligent risk taking, achievement of strategic objectives, and organizational agility
 - Participate in succession planning and the development of future organizational leaders
 - [Create and promote a culture of patient safety]

1.1 Senior Leadership continued

b. Communication and Organizational Performance

1. **Communication** Senior leaders effectively do the following:

- Communicate with and engage the entire workforce and key customers
- Encourage frank, two-way communication, including effective use of social media
- Communicate key decisions
- Actively motivate the workforce and participate in reward and recognition programs to reinforce high performance and a customer and business [student learning; health care] focus

2. **Focus on Action**

- Create a focus on action to accomplish the organization's objectives, improve performance, enable innovation and intelligent risk taking and attain its vision
- Identify needed actions
- Focus on creating and balancing value for customers and other stakeholders in setting organizational performance expectations

1.2 Governance and Societal Responsibilities

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

Describe the organization's approach to responsible governance and leadership improvement; and to ensure legal and ethical behavior, fulfill its societal responsibilities, and support its key communities.

a. Organizational Governance

1. **Governance System** Review and achieve the following:

- Accountability for management's actions
- Fiscal accountability
- Transparency in operations of, selection of, and disclosure policies for governance board members, as appropriate
- Independence and effectiveness of internal and external audits
- Protection of stakeholder and stockholder interests, as appropriate
- Succession planning for senior leaders

2. **Performance Evaluation** Evaluate the performance of senior leaders, including the chief executive and members of the governance board, as appropriate and use these performance evaluations to determine executive compensation; to advance their development and improve both their effectiveness as leaders and that of the governing board and entire leadership system

1.2 Governance and Societal Responsibilities (continued)

b. Legal and Ethical Behavior

1. Legal and Regulatory Behavior

- Address any adverse impacts on society that may result from the organization's products, services, and operations
- Anticipate public concerns with current and future products, services, and operations, and prepare for these concerns in a proactive manner, including the conservation of natural resources and effective supply chain management, as appropriate
- Establish key compliance processes, measures, and goals for meeting and surpassing regulatory and legal requirements and for addressing risks associated with its products, services, and operations, as appropriate

2. Ethical Behavior

- Ensure ethical behavior in all interactions
- Establish key processes and measures or indicators for enabling and monitoring ethical behavior in the governance structure, throughout the organization, and in interactions with the workforce, customers, partners, suppliers, and other stakeholders
- Monitor and respond to breaches of ethical behavior

c. Societal Responsibilities and Support of Key Communities

1. Societal Well-Being

- Consider societal well-being and benefit as part of its strategy and daily operations.
- Contribute to the well-being of its environmental, societal, and economic systems.

2. Community Support

- Actively support and strengthen key communities
- Identify and define (list) key communities, and systematically determine areas of emphasis for organizational involvement, including areas that leverage core competencies
- Senior leaders, along with the workforce, contribute to improving these communities **[and building community health]**

2 Strategic Planning

For 2.1: Summarize in your own words the essence of this Item.

Then answer the following questions.

- What constitutes an organization's "Work Systems"?
- What is a strategic objective? Present a sample strategic objective for a hospital, school district, or business.

For 2.2: Summarize in your own words the essence of this Item.

Then answer the following question.

- What is an action plan? List some possible actions that might be taken to help achieve the strategic objective identified above.

2 Strategic Planning (85 Points)

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

Describe the process for establishing a strategy to address strategic challenges and leverage strategic advantages and strategic opportunities; and making key work system decisions. Summarize the key work systems; and key strategic objectives and related goals.

a. Strategy Development Process

1. Strategic Planning Process

- Conduct strategic planning and define key process steps and participants
- Set and address short- and longer-term planning time horizons, and explain how these horizons are set and addressed through the strategic planning process
- Address the need for organizational agility and operational flexibility

2. Innovation Through the planning process—

- Create an environment that supports innovation
- Identify and list strategic opportunities
- Decide which strategic opportunities are intelligent risks worth pursuing

3. Strategy Considerations Ensure that strategic planning addresses the key factors listed below. In addition, collect and analyze relevant data and information pertaining to these factors as part of the strategic planning process: ~~(SWOT)~~

- Strategic challenges and strategic advantages
- Risks to organizational sustainability
- Potential blind spots in the strategic planning process and information
- The organization's ability to execute the strategic plan

SWOT
Analysis No
Longer
Required

2.1 Strategy Development (Continued)

4. **Work Systems and Core Competencies**

- From the list of work systems, decide which of the organization's key processes will be accomplished by external suppliers and partners.
- Ensure the decision process considers the organization's core competencies and the core competencies of potential suppliers and partners.
- Determine future organizational core competencies

b. **Strategic Objectives**

1. **Key Strategic Objectives**

- Identify key strategic objectives and the timetable for accomplishing them
- Identify the most important quantifiable goals or targets for these strategic objectives
- Identify any planned key changes in products, customers and markets, suppliers and partners, and operations

2. **Strategic Objective Considerations** Ensure strategic objectives achieve the following:

- Address strategic challenges and leverage core competencies, strategic advantages, and strategic opportunities
- Balance the short- and longer-term time horizons
- Consider and balance the needs of all key stakeholders

2 Strategy Implementation

2.2 Strategy Implementation: How do you implement your strategy? (40 pts.)

Describe how the organization converts its strategic objectives into action plans. Summarize the action plans, methods to deploy them, and key measures or indicators of progress. Project the organization's future performance on these measures or indicators relative to key comparisons.

a. Action Plan Development and Deployment

1. **Action Plan Development** Develop action plans. Identify (list) key short- and longer-term action plans and their relationship to strategic objectives.
2. **Action Plan Implementation** Deploy (implement) action plans throughout the organization to the workforce and to key suppliers and partners, to achieve key strategic objectives. Ensure that the key outcomes of action plans can be sustained.
3. **Resource Allocation** Ensure that adequate financial and other resources are available to support the achievement of action plans while meeting current obligations. Allocate resources to support the accomplishment of these plans. Assess and manage the financial and other risks associated with the plans to ensure financial viability.
4. **Workforce Plans** Develop key human resource plans to accomplish short- and longer-term strategic objectives and action plans. Ensure human resource plans address potential impacts on the organization's workforce, as well as any potential changes to workforce capability and capacity.

2.2 Strategy Implementation (continued)

5. **Performance Measures** Develop a list of key performance measures or indicators to track the achievement and effectiveness of action plans. Ensure that the overall action plan measurement system reinforces organizational alignment and covers all key deployment areas and stakeholders.
 6. **Action Plan Modification** Establish and implement modified action plans promptly if circumstances require a shift in plans and rapid execution of new plans.
- b. Performance Projection** For the key performance measures or indicators identified in 2.2a(5), show performance projections for short- and longer-term planning horizons. Compare the organization's projected performance with that of competitors, comparable organizations, and key benchmarks, as appropriate. Address performance gaps the organization may face

3 Customer Focus

For 3.1: Summarize in your own words the essence of this Item.

Then answer the following question.

- What are some techniques that you might use to capture the Voice of the Customer?

For 3.2: Summarize in your own words the essence of this Item.

Then answer the following questions.

- What does the term customer engagement mean?
- How might you determine the levels of engagement of your customers?

3 Customer Focus (85 points)

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

Describe how the organization listens to its customers and gains information on their satisfaction, dissatisfaction, and engagement.

a. Customer Listening

1. Listening to Current Customers

- Listen to, interact with, and observe customers to obtain actionable information.
- Ensure listening methods, including the use of social media and Web-based technologies, vary appropriately for different customers, customer groups, or market segments, across the customer life cycle [students' and other customers' relationships with you; patients' and other customers' relationships with you]
- Obtain immediate and actionable feedback from customers on the quality of products, customer support, and transactions.

2. **Listening to Potential Customers** Listen to former customers, potential customers, and customers of competitors to obtain actionable information and feedback on products, customer support, and transactions, as appropriate.

b. Determination of Customer Satisfaction and Engagement

1. Satisfaction and Engagement

- Determine customer satisfaction and engagement, adjusting these determination methods for different customer groups and market segments, as appropriate.
- Capture actionable information for use in exceeding customers' expectations and securing long-term customer engagement.

2. **Satisfaction Relative to Competitors** Obtain and use customer satisfaction information relative to their satisfaction with competitors and with other organizations that provide similar products or relative to industry benchmarks.

3. **Dissatisfaction** Capture actionable dissatisfaction information to use in meeting customers' requirements and exceeding their expectations in the future.

3 Customer Engagement

3.2 Customer Engagement: How do you serve customers' needs to engage them and build relationships? (45 pts.)

Describe how the organization determines its product offerings and communication mechanisms to support its customers. Describe how it builds customer relationships

a. Product Offerings and Customer Support

- 1. Product Offerings** Identify and **adapt** product offerings to meet the requirements and exceed the expectations of customer groups and market segments (identified in the organizational profile).
Attract new customers and create opportunities for expanding relationships with current customers.
- 2. Customer Support**
 - Enable customers to seek information, conduct business, and provide feedback on products and customer support.
 - Identify the organization's key means of providing customer support, including key communication mechanisms and how they vary for different customers, customer groups, or market segments.
 - Determine the customers' key support requirements and ensure they are deployed to all people and processes involved in providing customer support.
- 3. Customer Segmentation**
 - Use customer, market, and product offering information to identify current and anticipate future customer groups and market segments.
 - Consider customers of competitors and other potential customers and markets in segmentation decisions.
 - Determine which customers, customer groups, and market segments to emphasize and pursue for business growth.

3.2 Customer Engagement (continued)

b. Building Customer Relationships

1. **Relationship Management** Market, and build and manage relationships with customers to achieve the following:
 - Acquire customers, increase their engagement, and build market share
 - Retain customers, meet their requirements and exceed their expectations in each stage of the customer life cycle
 - Leverage social media to enhance customer engagement and relationships
2. **Complaint Management** Resolve customer complaints promptly and effectively to recover customers' confidence, and enhance their satisfaction and engagement.

4 Measurement, Analysis, and Knowledge Management

For 4.1: Summarize in your own words the essence of this Item.

Then answer the following questions.

- In 4.1b the Criteria require “analyses” to be performed. What does this mean? List some analysis methods.
- How might an organization use comparative and customer data to support decision making?

For 4.2: Summarize in your own words the essence of this Item.

Then answer the following question.

- In 4.2a(2), what does it mean to “embed learning in the way the organization operates?”

4 Measurement, Analysis, and Knowledge Management (90 Points)

4.1 Measurement, Analysis, and Improvement of Organizational Performance: How do you measure, analyze, and then improve organizational performance? (45 pts.)

Describe how the organization measures, analyzes, reviews, and improves its performance by using data and information at all levels and in all parts of the organization. Describe how the organization uses comparative and customer data to support decision making

a. Performance Measurement

1. Performance Measures

- Select, collect, align, and integrate data and information to track daily operations and overall organizational performance, including progress on achieving strategic objectives and action plans.
- Define key organizational performance measures and the frequency of tracking those measures, including key short- and longer-term financial measures.
- Use these data and information consistently to support decision making, continuous improvement, and innovation.

2. **Comparative Data** Select and ensure the effective use of key comparative data and information to support operational and strategic decision making and innovation.

3. **Customer Data** Select and ensure the effective use of voice of the customer data and information (including aggregate data on complaints and data gathered through social media,) to build a more customer-focused culture and to support operational and strategic decision making and innovation.

4. **Measurement Agility** Ensure that its performance measurement system is able to respond to rapid or unexpected organizational or external changes.

4.1 Measurement, Analysis, and Improvement of Organizational Performance (continued)

b. Performance Analysis and Review

- Review organizational performance and capabilities using key organizational performance measures.
- Conduct appropriate analyses to support organizational performance reviews and ensure conclusions are valid.
- The organization **and its senior leaders** use these reviews to assess organizational success, competitive performance, financial health, progress on achieving strategic objectives and action plans, and the organization's ability to respond rapidly to changing organizational needs and challenges in its operating environment.
- The **governance board**, if appropriate, reviews the organization's performance and its progress on strategic objectives and action plans.

c. Performance Improvement

1. Best Practices

- **Identify organizational units or operations that are high performing**
- Identify best practices for sharing

2. Performance Projection

- Use performance review findings (from 4.1b) and key comparative and competitive data in projecting future performance
- **Reconcile any differences between these projections of future performance and performance projections developed for key action plans (from 2.2b)**

3. Continuous Improvement and Innovation

- Use organizational performance review findings (from 4.1b) to develop priorities for continuous improvement and opportunities for innovation.
- Deploy these priorities and opportunities for innovation to work group and functional-level operations throughout the organization and, when appropriate, to suppliers, partners, and collaborators to ensure organizational alignment.

4.2 Knowledge Management, Information and Information Technology

4.2 Knowledge Management, Information, and Information Technology: How do you manage the organizational knowledge assets, information, and information technology? (45 pts.)

Describe how the organization manages and grows its knowledge assets and learns. Describe how it ensures the quality and availability of the data, information, software, and hardware needed by the workforce, suppliers, partners, collaborators, and customers

a. Organizational Knowledge

1. Knowledge Management

- Collect and transfer workforce knowledge
- Transfer relevant knowledge from and to customers, suppliers, partners, and collaborators
- Share and implement best practices
- Assemble and transfer relevant knowledge for use in innovation and strategic planning

2. Organizational Learning Through the use of knowledge and resources, embed learning in the way the organization operates

b. Data, Information, and Information Technology

1. **Data and Information Properties** Ensure the accuracy, integrity, reliability, timeliness, security, and confidentiality of organizational data and information
2. **Data and Information Availability** Make needed data and information available in a user-friendly format to the workforce, suppliers, partners, collaborators, and customers, as appropriate
3. **Hardware and Software Properties** Ensure that hardware and software are reliable, secure, and user-friendly
4. **Emergency Availability** Ensure that in the event of an emergency hardware and software systems and data and information continue to be available to serve customers and business needs effectively

5 Workforce Focus

For 5.1: Summarize in your own words the essence of this Item.

Then answer the following question.

- In 5.1a, what is the difference between capability and capacity? Give some examples.

For 5.2: Summarize in your own words the essence of this Item. Then answer the following questions.

- In 5.2a(3), what do the Criteria mean by performance management? Give some examples of a performance management process that reinforces intelligent risk taking to achieve innovation; a customer and business focus and the achievement of organizational action plans
- What does Workforce Engagement mean? How might an organization assess and improve workforce engagement?

5 Workforce Focus (85 Points)

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

Describe How the organization manages workforce capability and capacity to accomplish its work. Describe how it maintains a supportive and secure work climate

a. Workforce Capability and Capacity

1. **Capability and Capacity** Assess workforce capability and capacity needs, including needed skills, competencies, **certifications**, and staffing levels.
2. **New Workforce Members**
 - Recruit, hire, place, and retain new workforce members.
 - Ensure that the workforce represents the diverse ideas, cultures, and thinking of its hiring and customer community.
3. **Work Accomplishment**
 - Accomplish the organization's work
 - Capitalize on the organization's core competencies
 - Reinforce a customer and business focus
 - Exceed performance expectations
4. **Workforce Change Management**
 - Prepare the workforce for changing needs related to capability and capacity and **define how the needs have changed over time**
 - Manage the workforce and its needs to ensure continuity, prevent workforce reductions, and, minimize the impact of such reductions if they do become necessary
 - Prepare for and manage periods of workforce growth.

5.1 Workforce Environment (Continued)

b. Workforce Climate

1. Workplace Environment

- Ensure and improve workplace health, security, and accessibility addressing workplace environmental factors
- Identify performance measures or targets for workplace health, security, and accessibility for the different workplace environments. Identify significantly differences in workplace environments, measures, or targets, if any

2. Workforce Policies and Benefits

- Support the workforce via policies, services, and benefits that are tailored to the needs of the diverse workforce and different workforce groups and segments
- List the key benefits offered to the workforce

5.2 Workforce Engagement

5.2 Workforce Engagement: How do you engage your workforce to achieve organizational and personal success? (45 pts.)

Describe how the organization develops workforce members, managers, and leaders to achieve high performance, including how it engages them in improvement and innovation.

a. Workforce Performance

1. **Elements of Engagement** Determine the key elements that affect workforce engagement for all of the different workforce groups and segments
2. **Organizational Culture** Foster an organizational culture of open communication, high-performance work, and an engaged workforce. Ensure that the organizational culture benefits from the diverse ideas, cultures, and thinking of the workforce
3. **Performance Management** Ensure the workforce performance management system—
 - Supports high performance and workforce engagement
 - Considers workforce compensation, reward, recognition, and incentive practices to reinforce intelligent risk taking to achieve innovation; a customer and business focus and the achievement of organizational action plans

b. Assessment of Workforce Engagement

1. **Assessment of Engagement** Assess workforce engagement and satisfaction; define the formal and informal assessment methods and measures used, and adjust the methods and measures as needed for the different workforce groups and segments Use these and other indicators, such as workforce retention, absenteeism, grievances, safety, and productivity, to assess and improve workforce engagement
2. **Correlation with Business Results** Identify opportunities for improvement in both workforce engagement and business results based on findings from the assessment of workforce engagement data and key business results reported in Category 7

5.2 Workforce Engagement (continued)

c. Workforce and Leader Development

1. **Learning and Development System** Provide a learning and development system that supports the organization's needs and the personal development needs of workforce members, **managers**, and leaders. Ensure the system addresses or supports the organization's—
 - Core competencies, strategic challenges, and achievement of its short-term and long-term action plans
 - Performance improvement and innovation
 - Ethics and ethical business practices
 - Customer focus
 - Transfer of knowledge from departing or retiring workforce members
 - Reinforcement of new knowledge and skills on the job
2. **Effectiveness of Learning and Development** Evaluate the effectiveness and efficiency of the learning and development system
3. **Career Progression** Manage effective career progression for the workforce members and carry out effective succession planning for management and leadership positions

20 Employee Engagement Questions

Personal Contribution

1. I try to exceed my manager's expectations.
2. Nearly all of my co-workers try to exceed their manager's expectations.
3. My work gives me a feeling of achievement.
4. My work contributes to the success of the organization.

Personal Capabilities

5. My job allows me to make full use of my knowledge, skills, and abilities.
6. In the workplace, there are good opportunities for me to improve my skills to excel.
7. I have the right opportunities for career and professional growth.
8. Someone in the organization mentors me to help me succeed.

Reward, Recognition, Compensation

9. In my organization recognition and rewards are fair.
10. My work performance is appreciated and properly recognized.

Manager Attributes

11. In the workplace, I get adequate support from my manager to succeed.
12. My manager provides timely and accurate feedback that helps me to improve my performance (at least 2 to 3 times each year).
13. My opinions and suggestions are treated seriously by my manager.

Improvement, Initiative, Innovation

14. I am encouraged to make improvements in how work is done.
15. As a part of my job, I am required to make improvements in how work is done.
16. During the past year, I have made or helped to make improvements in how work is done.

Workplace Climate

17. This is a great place to work and I look forward to coming to work every day.
18. I am excited about the future of my organization and I see great potential for growth here.
19. Some of my best friends work at my organization.
20. What questions are we not asking that are important to your success in the organization and what questions above are not important? ([Open-ended Question](#))

| 1 | 2 | 3 | 4 | 5 |
|------------|--------|-----------|-------|--------|
| No / Never | Rarely | Sometimes | Often | Always |

6 Operations Focus

For 6.1: Summarize in your own words the essence of this Item. Then answer the following questions.

- What is the difference between “Work Systems” and “Key Work Processes?”
- Identify sample “Support Processes.”

For 6.2: Summarize in your own words the essence of this Item. Then answer the following question.

- Provide examples of processes used to manage innovation.

6 Operations Focus (85 Points)

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

Describe the organization designs, manages, and improves its key work processes to deliver products that achieve customer value and organizational success and sustainability.

Summarize these key work processes.

a. Product and Process Design

1. Design Concepts

- Design products and work processes to meet all key requirements
- Incorporate new technology, organizational knowledge, product [program and service; health care service] excellence, and the potential need for agility into these products and processes

2. Product and Process Requirements Determine key product and work process requirements (List the organization's key work processes and the key requirements for each)

6.1 Work Processes (continued)

b. Process Management

1. Process Implementation

- Ensure that the day-to-day operation of work processes meet key process requirements
- Define key performance measures or indicators and in-process measures used to control and improve work processes **Show how these measures relate to end-product quality and performance**

2. [Patient Expectations and Preferences:

- Address and consider each patient's expectations;
- Explain health care service delivery processes and likely outcomes to set realistic patient expectations;
- Factor patient decision making and patient preferences into the delivery of health care services.]

2/3. Support Processes

- Determine and list key business support processes
- Ensure the day-to-day operation of these processes they meet key business support requirements

3/4. Product and Process Improvement

- Improve work processes to improve products and performance
- Improve work processes to reduce variability

6.2 Operational Effectiveness

6.2 Operational Effectiveness: How do you ensure effective management of your operations on an ongoing basis and for the future? (40 pts.)

Describe the organization controls costs, manages its supply chain, offers a safe workplace, prepares for potential emergencies, and innovates for the future to ensure effective operations and deliver customer value.

a. Cost Control Control the overall costs of operations:

- Incorporate cycle time, productivity, and other efficiency and effectiveness factors into work processes
- Prevent defects, service errors, and rework [**prevent errors and rework; prevent rework and errors, including medical errors and unintended harm to patients**] and minimize warranty costs or customers' productivity losses, as appropriate
- Minimize the costs of inspections, tests, and process or performance audits, as appropriate
- **Balance the need for cost control with the needs of customers**

b. Supply-Chain Management Manage the supply chain:

- Select suppliers and ensure that they are qualified and positioned to enhance the organization's performance and customers' satisfaction
- Measure and evaluate suppliers' performance
- **Provide feedback to suppliers to help them improve**
- Deal with poorly performing suppliers

6.2 Operational Effectiveness (continued)

c. Safety and Emergency Preparedness

1. **Safety** Establish a safety system that provides a safe operating environment by addressing accident prevention, inspection, root-cause analysis of failures, and recovery
2. **Emergency Preparedness** Establish a disaster and emergency preparedness system that considers and addresses prevention, continuity of operations **[and evacuation]** , and recovery

d. Innovation Management

- Manage innovation to pursue the strategic opportunities that are determined to be intelligent risks
- Make financial and other resources available to pursue these opportunities
- Effectively discontinue pursuing opportunities at the appropriate time to enhance support for higher-priority opportunities

7 Results (450 Points)

7.1 Product and Process Results (120 pts.): At the Basic level, results are provided for product performance and process effectiveness.

At the Overall level, summarize key product performance and process effectiveness and efficiency results. Include results for processes that directly serve customers and that **impact operations and **supply chain**. Segment results by product offerings, customer groups and market segments, and process types and locations, as appropriate. Include appropriate comparative data**

At the Multiple level results reflecting current levels and trends are provided for the following:

- a. Customer-Focused Product and Process Results** The performance of products and processes that are important to and directly serve customers. Compare these results with the performance of competitors and other organizations with similar offerings
- b. Work Process Effectiveness Results**
 1. **Process Effectiveness and **Efficiency**** The operational performance of key work **and support** processes, including productivity, cycle time, and other appropriate measures of process effectiveness, efficiency, and innovation
 2. **Emergency Preparedness** The effectiveness of the organization's preparedness for disasters or emergencies
- c. Supply-Chain Management Results** Supply chain performance, including its contribution to enhancing the organization's performance.

7 Results (continued)

7.2 Customer-Focused Results (85 pts.): At the Basic level, results are provided for customer-focused performance.

At the Overall level, results are provided for customer satisfaction and engagement (no dissatisfaction results required at the overall level as in 2011-2012). Results are segmented by product offerings, customer groups, and market segments, as appropriate. Appropriate comparative data are included to serve as a basis for determining the “goodness” of performance levels reported.

At the Multiple level results reflecting current levels and trends are provided for the following:

a. Customer-Focused Results

1. **Customer Satisfaction** Customer satisfaction and dissatisfaction results compared with those of competitors and other organizations providing similar products.
2. **Customer Engagement** Customer engagement, including relationship building results, showing comparisons over the course of the customer life cycle, as appropriate.

7 Results (continued)

7.3 Workforce-Focused Results (85 pts.): At the Basic level, results are provided for workforce-focused performance.

At the Overall level, results are provided for workforce engagement and for workforce environment. Results are segmented to reflect the workforce diversity and workforce groups, as appropriate. Appropriate comparative data are included to serve as a basis for determining the “goodness” of performance levels reported.

At the Multiple level results reflecting current levels and trends are provided for the following:

a. Workforce Results

1. **Workforce Capability and Capacity** Workforce capability and capacity, including staffing levels and appropriate skills
2. **Workforce Climate** Workforce climate, including workforce health, safety, and security and workforce services and benefits, as appropriate
3. **Workforce Engagement** Workforce engagement and workforce satisfaction
4. **Workforce Development** Workforce and leader development

7 Results (continued)

7.4 Leadership and Governance Results (85 pts.): At the Basic level, results are provided for senior leadership and governance results.

At the Overall level, results are provided for senior leadership and governance results, including fiscal accountability, legal compliance, ethical behavior, societal responsibility, support of key communities, and strategy achievement. Results are segmented by organizational units, as appropriate. Appropriate comparative data are included to serve as a basis for determining the “goodness” of performance levels reported.

At the Multiple Level results are provided for the following:

a. Leadership, Governance, and Societal Responsibility Results

1. **Leadership** Senior leadership communication and engagement with the workforce to deploy vision and values, encourage two-way communication, and create a focus on action.
2. **Governance** Governance and fiscal accountability, internal and external, as appropriate.
3. **Law and Regulation [and Accreditation; and Accreditation]** Achieving and surpassing regulatory and legal requirements.
4. **Ethics** Ethical behavior and stakeholder trust in senior leaders and governance and key measures or indicators of breaches of ethical behavior.
5. **Society** The organization’s fulfillment of its societal responsibilities and support of its key communities [and its contribution to community health]

b. Strategy Implementation Results Key measures or indicators of the achievement of organizational strategy and action plans, including taking intelligent risks and building and strengthening core competencies (formerly 7.1c)

7 Results (continued)

7.5 [Budgetary,] Financial and Market Results (85 pts.): At the Basic level, results are provided for financial and marketplace performance.

At the Overall level, results are provided for financial and marketplace performance segmented by market or customer groups, as appropriate. Appropriate comparative data are included to serve as a basis for determining the “goodness” of performance levels reported.

At the Multiple Level results reflecting current levels and trends are provided for the following:

a. [Budgetary,] Financial and Market Results

- 1. [Budgetary,] Financial Performance** Financial performance, including aggregate measures of financial return, financial viability, and budgetary performance, as appropriate.
- 2. Marketplace Performance** Marketplace performance, including market share or position, market and market share growth, and new markets entered, as appropriate.



Red Flags

“Red Flag” Words and Phrases

When Examiners see the following words or phrases, they dig deeper.

- **Regularly**—“We regularly review....” What does this mean?
- **Encourage**—“Senior leaders encourage” Yes, but do senior leaders actually make it happen?
- **Strive**—“workers strive to understand customer requirements” Yes, but do they have a system in place to make sure they understand those requirements consistently, for all customer groups?
- **A committee was formed to** A committee may operate in a reactive, ad hoc manner. Does the committee use disciplined, consistent, systematic, fact-based processes?
- **A committee (or person) is responsible for** Someone may be “responsible” and still not follow systematic processes.
- **“are able to....” “are authorized to....”** Being “able” is not the same as actually “doing.”

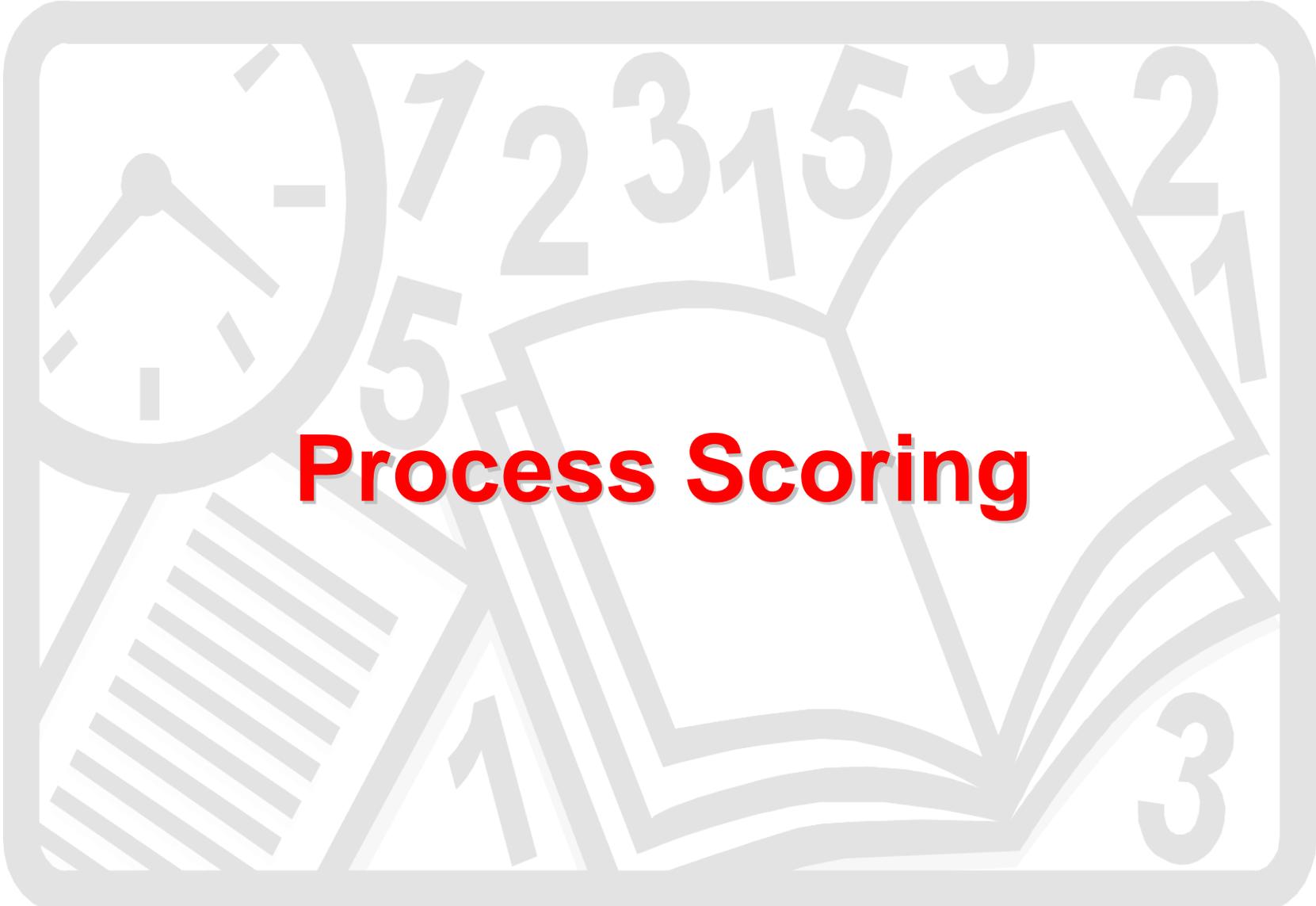
More “Red Flag” Words and Phrases

- **Repeating Criteria questions as statements.** For example, Item 1.1a(2) asks, “How do senior leaders promote an environment that fosters and requires legal and ethical behavior?”
 - **An inappropriate response, which should receive no credit would be,** “Senior leaders follow the values of the organization and adhere to the required legal and ethical principles.” **Such a response provides no process details.**
 - **A more appropriate response would identify the process for communicating, monitoring, and dealing with violations.** A description of the training senior leaders provide to support desired behavior and other programs that involve mechanisms to ensure proper behavior should be discussed. The role of the Inspector General or other audit function could be part of the environment that senior leaders build.

More “Red Flag” Words

Words and Phrases to Question in Process Category Responses

- **We believe**—Applicant should describe what it does, not what it believes.
 - Reading statements of “beliefs” or reading mini lectures such as, “we believe customer satisfaction is critical to our success” or “our leaders must communicate effectively in order to motivate workers” do not establish the existence of ~~systematic, fact-based processes~~, which the criteria require. ~~Line out.~~
 - Instead look for processes that are in place: For example, “first we grouped our customers into three segments, based on purchasing power. Then we conducted focus groups within each segment to determine the priorities and preferences of each group for services and cost. Then we...”
- **We plan to...** Intentions (except as a part of the Strategic Planning Category response) are worth nothing.
 - Examiners should look for actions and accomplishments, not the applicant’s desires.
 - Phrases such as “we plan to...” ~~should be lined-out.~~

The background features a light gray illustration within a rounded rectangular frame. On the left is a clock face with hands. Scattered throughout are various numbers: '1', '2', '3', '5', and '3'. On the right, there is a stylized open book with pages fanning out. The overall theme is related to time, measurement, and learning.

Process Scoring

Process Scoring

- Scoring based on the applicant's compliance with the Criteria for an entire Item
- Scores describe the applicant's organizational maturity or current status in its journey toward becoming a role model, high-performing organization
- Placement in a scoring range is based on the applicant's Strengths and Opportunities for Improvement (OFIs) for a particular item –
 - ***Strengths support the score.***
 - ***OFIs define why the score is not higher and identifies the vital few areas to improve.***

Evaluation of Processes (ADLI)

The process **Scoring Guidelines** consider four dimensions:

- **Approach**, the effectiveness of methods used to accomplish the required processes
- **Deployment**, the extent to which the approach is applied consistently and used by all appropriate work units
- **Learning**, refining the approach through cycles of evaluation and improvement leading to innovation
- **Integration**, the extent to which the approach is aligned with other appropriate elements of the performance excellence system (for example, worker development, recognition, and reward are consistent with or support mission, vision, and strategy to meet patient requirements)

Evaluating the Maturity of “Approach”

Approach is the only scoring dimension where Item requirements are subdivided into three developmental maturity levels:

Basic Requirements

- Refers to the most central concept or fundamental theme of an Item. Basic requirements are presented as the **Item title question**. (10-45%)
 - Does the application describe the **beginning** of a systematic process to meet **basic** Item requirements (10-25%)?
 - Does the application describe an effective and systematic process that is **in place** to meet **basic** Item requirements (30-45%)?

Overall Requirements

- Refers to the most significant features of the Item requirements. Overall requirements of each Item are presented as **introductory sentences printed in bold** (50-65%).
 - Do the systematic and effective approaches described meet the **overall** requirements for the Item?

Multiple Requirements

- Refers to the details of an Item’s requirements. They are presented in **black text** as the individual questions within each Area to Address (70-100%).
 - Do the systematic and effective approaches described meet the multiple requirements for the Item, i.e., answer many (70-85%) or fully respond to the individual questions within each sub-area to address (90-100%)?

Approach Requirements: Basic, Overall, Multiple

- Basic
- Overall
- Multiple

3.1 Voice of the Customer: How do you obtain information from your patients and stakeholders? (45 pts.)

Process

Describe HOW your organization listens to your PATIENTS and STAKEHOLDERS and gains satisfaction and dissatisfaction information.

Within your response, include answers to the following questions:

a. PATIENT and STAKEHOLDER Listening

- (1) **Listening to Current PATIENTS and STAKEHOLDERS** How do you listen to PATIENTS and STAKEHOLDERS to obtain actionable information? How do your listening methods vary for different PATIENT groups, STAKEHOLDER groups, or market SEGMENTS? How do you use social media and Web-based technologies to listen to PATIENTS and STAKEHOLDERS, as appropriate? How do your listening methods vary across the stages of PATIENTS' and STAKEHOLDERS' relationships with you? How do you follow up with PATIENTS and STAKEHOLDERS on the quality of services, PATIENT and STAKEHOLDER support, and transactions to receive immediate and actionable feedback?
- (2) **Listening to Potential PATIENTS and STAKEHOLDERS** How do you listen to former PATIENTS and STAKEHOLDERS, potential PATIENTS and STAKEHOLDERS, and competitors' PATIENTS and STAKEHOLDERS to obtain actionable information to obtain feedback on your services, PATIENT and STAKEHOLDER support, and transactions, as appropriate?

Is "listening" a basic, overall, or multiple requirement?

b. Determination of PATIENT and STAKEHOLDER Satisfaction and ENGAGEMENT

- (1) **Satisfaction and ENGAGEMENT** How do you determine PATIENT and STAKEHOLDER satisfaction and ENGAGEMENT? How do these determination methods differ among PATIENT and STAKEHOLDER groups and market SEGMENTS, as appropriate? How do your measurements capture actionable information for use in exceeding your PATIENTS' and STAKEHOLDERS' expectations and securing your PATIENTS' and STAKEHOLDERS' ENGAGEMENT?
- (2) **Satisfaction Relative to Competitors** How do you obtain information on your PATIENTS' and STAKEHOLDERS' satisfaction relative to their satisfaction with your competitors? How do you obtain information on your PATIENTS' and STAKEHOLDERS' satisfaction relative to the satisfaction LEVELS of PATIENTS and STAKEHOLDERS of other organizations providing similar HEALTH CARE SERVICES or to health care industry BENCHMARKS, as appropriate?
- (3) **Dissatisfaction** How do you determine PATIENT and STAKEHOLDER dissatisfaction? How do your measurements capture actionable information for use in meeting your PATIENTS' and STAKEHOLDERS' requirements and exceeding their expectations in the future?

When a requirement appears at more than one level...

- For scoring purposes, the **first** time a requirement appears in an Item establishes its level.
- For example, if the requirement in Item 3.1, to “listen” to patients and stakeholders appears at both the bold-face text under the Item Title (Overall-requirement description) and in the regular black text below (Multiple-requirement description), it is considered an Overall-level requirement to be evaluated as a part of the 50%-65% scoring band.

PROCESS SCORING GUIDELINES (For Use With Categories 1-6)

| Score | PROCESS |
|---|--|
| <p>0% or 5%</p> | <ul style="list-style-type: none"> ▪ No systematic approach to Item requirements is evident; information is anecdotal. (A) ▪ Little or no deployment of any systematic approach is evident. (D) ▪ An improvement orientation is not evident; improvement is achieved through reacting to problems. (L) ▪ No organizational alignment is evident; individual areas or work units operate independently. (I) |
| <p>10%, 15%, 20%, or 25%</p> | <ul style="list-style-type: none"> ▪ The beginning of a systematic approach to the <u>basic requirements</u> of the Item is evident. (A) ▪ The approach is in the early stages of deployment in most areas or work units, inhibiting progress in achieving the basic requirements of the Item. (D) ▪ Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L) ▪ The approach is aligned with other areas or work units largely through joint problem solving. (I) |
| <p>30%, 35%, 40%, or 45%</p> | <ul style="list-style-type: none"> ▪ An effective, systematic approach, responsive to the <u>basic requirements</u> of the Item, is evident. (A) ▪ The approach is deployed, although some areas or work units are in early stages of deployment. (D) ▪ The beginning of a systematic approach to evaluation and improvement of key processes is evident. (L) ▪ The approach is in early stages of alignment with basic organizational needs identified in response to the Organizational Profile and other Process Items. (I) |

PROCESS SCORING GUIDELINES (For Use With Categories 1-6)

| Score | PROCESS |
|--|--|
| <p>50%, 55%, 60%, or 65%</p> | <ul style="list-style-type: none"> ▪ An effective, systematic approach, responsive to the <u>overall</u> requirements of the Item, is evident. (A) ▪ The approach is well deployed, although deployment may vary in some areas or work units. (D) ▪ A fact-based, systematic evaluation and improvement process and some organizational learning, including innovation, are in place for improving the efficiency and effectiveness of key processes. (L) ▪ The approach is aligned with organizational needs identified in response to the Organizational Profile and other Process Items. (I) |
| <p>70%, 75%, 80%, or 85%</p> | <ul style="list-style-type: none"> ▪ An effective, systematic approach, responsive to the <u>multiple</u> requirements of the Item, is evident. (A) ▪ The approach is well deployed, with no significant gaps. (D) ▪ Fact-based, systematic evaluation and improvement and organizational learning, including innovation, are key management tools; there is clear evidence of refinement as a result of organizational-level analysis and sharing. (L) ▪ The approach is integrated with organizational needs identified in response to the Organizational Profile and other Process Items. (I) |
| <p>90%, 95%, or 100%</p> | <ul style="list-style-type: none"> ▪ An effective, systematic approach, <u>fully responsive to the multiple requirements</u> of the Item, is evident. (A) ▪ The approach is fully deployed without significant weaknesses or gaps in any areas or work units. (D) ▪ Fact-based, systematic evaluation and improvement and organizational learning through innovation, are key organization-wide tools; refinement and innovation, backed by analysis and sharing, are evident throughout the organization. (L) ▪ The approach is well integrated with organizational needs identified in response the Organizational Profile and other Process Items. (I) |

Results Scoring



Results Scoring Terms

“**Results**” refers to outputs and outcomes achieved by an organization in addressing the requirements in Items 7.1 to 7.5 (Category 7).

The four factors used to evaluate results:

- “Integration” or importance
- “Trends”
- “Levels”
- “Comparisons”

Language from Results Scoring

The Results scoring guidelines help examiners answer the question, “**For results important to the organization (I), is performance getting better (T), and is it any good (Le, C)?”**

The factors used to evaluate results:

- **What’s Important?** “Integration” (I) refers to the extent to which results measures (often through segmentation) address important customer, product and service, market, process, and action plan performance requirements identified in the Organizational Profile and in Process Items.
- **Getting Better?** “Trends” (T) refers to the rate of performance improvements or the sustainability of good performance (i.e., the slope of trend data) and the breadth (i.e., the extent of deployment) of your performance results.
- **Any Good?** “Levels” (L) refers to the organization’s current level of performance. In order to evaluate the goodness of that performance, comparison data are needed. “Comparisons” (C) refers to performance relative to appropriate comparisons such as competitors or similar organizations and/or benchmarks or industry leaders.
 - Levels and Comparisons (L, C) are analyzed together to enable examiners to determine—relative to an appropriate comparison—whether the applicant’s current level of performance is poor, good, very good, or excellent.

RESULTS SCORING GUIDELINES (For Use With Category 7)

| SCORE | RESULTS |
|---|---|
| <p>0% or 5%</p> | <ul style="list-style-type: none"> • There are no organizational performance results and/or poor results in areas reported. (Le) • Trend data either are not reported or show mainly adverse trends. (T) • Comparative information is not reported. (C) • Results are not reported for any areas of importance to the accomplishment of your organization's mission. (I) |
| <p>10%, 15%, 20%, or 25%</p> | <ul style="list-style-type: none"> • A few organizational performance results are reported, responsive to the basic requirements of the item, and early good performance levels are evident. (Le) • Some trend data are reported, with some adverse trends evident. (T) • Little or no comparative information is reported. (C) • Results are reported for a few areas of importance to the accomplishment of your organization's mission. (I) |
| <p>30%, 35%, 40%, or 45%</p> | <ul style="list-style-type: none"> • Good organizational performance levels are reported, responsive to the basic requirements of the item. (Le) • Some trend data are reported, and a majority of the trends presented are beneficial. (T) • Early stages of obtaining comparative information are evident. (C) • Results are reported for many areas of importance to the accomplishment of your organization's mission. (I) |

RESULTS SCORING GUIDELINES (For Use With Category 7)

| SCORE | RESULTS |
|--|--|
| <p>50%, 55%, 60%, or 65%</p> | <ul style="list-style-type: none"> • Good organizational performance levels are reported, responsive to the overall requirements of the item. (Le) • Beneficial trends are evident in areas of importance to the accomplishment of your organization’s mission. (T) • Some current performance levels have been evaluated against relevant comparisons and/or benchmarks and show areas of good relative performance. (C) • Organizational performance results are reported for most key customer, market, and process requirements. (I) |
| <p>70%, 75%, 80%, or 85%</p> | <ul style="list-style-type: none"> • Good to excellent organizational performance levels are reported, responsive to the multiple requirements of the item. (Le) • Beneficial trends have been sustained over time in most areas of importance to the accomplishment of your organization’s mission. (T) • Many to most trends and current performance levels have been evaluated against relevant comparisons and/or benchmarks and show areas of leadership and very good relative performance. (C) • Organizational performance results are reported for most key customer, market, process, and action plan requirements. (I) |
| <p>90%, 95%, or 100%</p> | <ul style="list-style-type: none"> • Excellent organizational performance levels are reported that are fully responsive to the multiple requirements of the item. (Le) • Beneficial trends have been sustained over time in all areas of importance to the accomplishment of your organization’s mission. (T) • Evidence of industry and benchmark leadership is demonstrated in many areas. (C) • Organizational performance results and projections are reported for most key customer, market, process, and action plan requirements. (I) |

**Thanks for your
participation!**