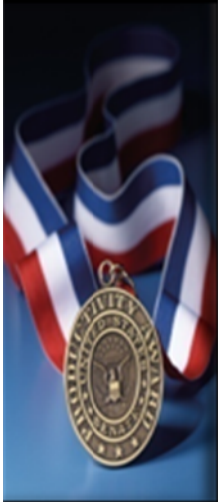


# Virginia SPOA Discovery Guide – 2011-12



## Our Mission

*To cultivate continuous performance improvement and success for the communities we serve.*





United States Senate Productivity and Quality Award for Virginia  
Post Office Box, 6099, Suffolk, Virginia 23433

March, 2011

Dear Virginia Leader,

The U.S. Senate Productivity and Quality Award for Virginia is celebrating its 28<sup>th</sup> year of serving organizations across the Commonwealth. From its beginning, Virginia SPQA has been a national leader in spreading excellence in organizational performance. Every organization in Virginia and the District of Columbia that uses the Baldrige based Criteria for Performance Excellence is a winner!

Virginia SPQA endorses the Baldrige Criteria for Performance Excellence used by hundreds of Virginia organizations to stay abreast of competition and to improve their performance.

Whether large or small, in manufacturing, business service, education, health care or government, your organization can benefit from the application of the Baldrige Criteria for Performance Excellence.

Unlike the Recognition Program, Discovery is for those organizations at the very early stage of self-assessment. Take a look and consider how Virginia SPQA Programs can help your organization move forward.

Sincerely,

Jim Webb  
United States Senator

Mark Warner  
United States Senator

## Virginia SPQA & Discovery Program Key Dates for 2011-12

<i>Date</i>	<i>Activity</i>
June 20-21, 2011	Criteria Workshop (Roanoke Area)
July 2011	SPOA Forward (A Program Improvement Activity)
September 7-8, 2011	Virginia SPQA Forum for Excellence, Richmond, VA Offers a Workshop on How to Complete a Self-Assessment
November 2011	Criteria Workshop (Northern Virginia Area)
December 2011	Criteria Workshop (Hampton Roads Area)
January 2012	Criteria Workshop (Richmond Area)
January 2012	Examiner Training (Richmond Area)
June 2012	Examiner Training (Roanoke Area)
July 2012	SPQA Forward, a Program Improvement Activity
September 2012	Virginia SPOA Forum for Excellence

NOTE: Specific Criteria Workshop and other dates along with registration information are posted to the SPQA website as arrangements are finalized. Check [www.spqa-va.org](http://www.spqa-va.org) for periodic updates. Also, contact [secretary@spqa-va.org](mailto:secretary@spqa-va.org) and request to be on our emailing list – it's the best way to stay informed of training and other event information.

## Overview

The mission of the U.S. Senate Productivity and Quality Award in Virginia (Virginia SPQA) is to “cultivate continuous performance improvement and success for the communities we serve.” We accomplish our mission through a process of knowledge sharing, evaluation, feedback and recognition. Virginia SPQA, a 501-C3 non-profit corporation, is administered and supported by an extensive network of organizations, sponsors, and individual volunteers. Virginia SPQA’s Board of Directors, comprised of volunteer non-partisan representatives from public and private sector organizations, administers the program under the sponsorship of US Senators Jim Webb and Mark Warner.

## Why Participate?

Virginia SPQA promotes awareness of performance excellence as an increasingly important element of competitiveness. Participation in either its Recognition or Discovery Program creates an opportunity to critically examine one’s organization, and identify strengths and opportunities to improve. The process accelerates improvement by introducing a rigorous, objective, and external view of an organization’s performance based on nationally recognized criteria. Virginia SPQA uses the Malcolm Baldrige Criteria for Performance Excellence as its assessment methodology for the Recognition Program. The Discovery Program uses a simplified version based on the core maturity concepts, Basic and some Overall Requirements of the Criteria.

## What is the Virginia SPQA Discovery Program?

The Discovery Program is designed to introduce organizations and their leaders to a business improvement framework based on the Malcolm Baldrige Criteria for Performance Excellence. Using a template provided, organizations conduct a self assessment. Generally speaking, the level of effort associated with participating in the Discovery Program is significantly lower than participating in the Recognition Program, which involves application for the Virginia SPQA Medallion for Performance Excellence. Unlike the Recognition Program, no judging is involved, and there is no scoring of the Self-Assessment Submission in the Discovery Program. However, a Feedback Report is provided along with Feedback Teleconference if requested.

This feedback, prepared by experienced Examiners, is perfect for organizations interested in a less complex, but still thought provoking approach to Self-Assessment based on the Baldrige Criteria for Performance Excellence. The Discovery Program provides a means to explore how the Baldrige Criteria and Virginia SPQA can help improve your organization’s:

- ◆ competitiveness,
- ◆ customer satisfaction,
- ◆ efficiency and effectiveness, and
- ◆ sustainability



The benefits of the Virginia Discovery Program participation include:

- ◆ Low investment - reduced effort in conducting a self-assessment relative to Baldrige Criteria and a reduced fee relative to the Recognition Program,
- ◆ Feedback Report and Teleconference– experienced Examiners provide an independent review identifying business strengths and improvement opportunities within 60 Days of receiving your Self-Assessment.

## Participant Eligibility & Timeframes

Businesses, large and small, and all organizations in the public and/or non-profit sectors are eligible. Participants may have affiliates, divisions, or headquarters in other states; however, the organizational unit participating must be within the Commonwealth of Virginia or the District of Columbia. Eligibility is intended to be as open as possible to all organizations. Sizable units within an organization considered ineligible for participation in the Recognition Program may often qualify for participation in Discovery.

*Although the Discovery Program operates year around, it periodically “resets” to incorporate improvements including updates associated with Baldrige Criteria for Performance Excellence revisions. Intent to Participate Forms and related Self-Assessment Submissions received prior to the publishing of a “reset” are reviewed consistent with the Discovery Guidance in effect at the time of the Intent and related Submission.*

## How to Participate

The following two steps outline how your organization can participate in the Discovery Program.

### Step One: Complete the “Intent to Participate” Form

Each participant in the Virginia SPQA Discovery Program must complete the **Intent to Participate** Form found on the Virginia SPQA [www.spqa-va.org](http://www.spqa-va.org). The **Intent to Participate** requires the support of the organization’s senior executive as expressed by that person’s signature.

### Step Two: Prepare Your Organization’s “Self-Assessment”

Each Discovery Program participant uses a Self-Assessment template based on the core concepts and Overall Requirements of the Baldrige Criteria as reflected in this Guide. The Self Assessment Template is available in MS Word on the Virginia SPQA website located near the Intent Form. For reference, the template is provided as an Appendix to this Guide.

**The completed Discovery Program Self-Assessment must be received by Virginia SPQA no later than 60 days following the date of the Intent to Participate form.**

How to conduct the self-assessment depends in part on the size of the organization. The information below is only suggested. Each organization must decide for itself how to proceed with the Self-Assessment process.

***However, all organizations are advised review pages 5-14 of this Guide which provides valuable insights regarding the basic constructs of the assessment method and what the Examiners will be looking for.***

In a small organization, less than 50 employees or so, the senior leader or their designee may write the assessment with the assistance of a few individuals. In a large organization the senior leader might assign a team to gather the information and conduct the self-assessment. In either case, having a Baldrige or Virginia SPQA trained Examiner on staff as a resource would help to ensure the full value of the effort.

Regardless of the approach adopted to complete the Self-Assessment, the value to the organization is in the discussion which occurs around each of the questions provided. The process will only add value if it engages enough individuals to ensure a broad consensus on the answers. Discovery works best if it is able to prompt internal debate and initiative on how to improve or sustain performance.

If the organization is large we suggest the steps below or some variation to ensure the maximum benefit of completing the self-assessment.

#### First. A Meeting of Senior Management

The senior leader or their designee would gather senior managers to devise a strategy to complete the self-assessment in a way that is most beneficial to the organization. A possible model might include assigning each Category to a team.

A separate Assessment Writing Team might add value. The Assessment Writing Team might also write the Organizational Profile.

#### Second. The Draft Assessment

In this model, when each Category Team completes its work, the Assessment Writing Team swings into action. The Assessment Writing Team assembles the findings of each Category Team and creates a succinct assessment within the limited number of pages and ensures cross content integration/compatibility

#### Third. Consensus Meeting

When the Assessment Writing Team has completed its assignment, all participants should meet and ensure Consensus. *The purpose of this meeting is to reach consensus on the Self-Assessment Submission, not to achieve a unanimous decision.* This meeting, approached correctly could positively impact the future of the organization. Therefore, both strengths and opportunities for improvement of the organization listed in the response are appropriate. Remember, you are preparing a response for the Virginia SPQA Examiner Team who will not be conducting a site visit to review. As such, sharing where you are and where you think you should be will only enrich the feedback you receive. More important, unlike the Recognition Program where award application is based on where you are at the time, Discovery is intended to help your organization improve by prompting the documentation of and achieving consensus for what is needed in those areas. *When consensus is reached for the content in all*

Completing an Intent to Participate Form allows us time to assemble an impartial Team from among members of the SPQA Board of Examiners in advance of receiving your self-assessment and thus helps manage our volunteer resources. Virginia SPQA follows the highest ethical standards as set forth by the Malcolm Baldrige Performance Excellence Program regarding confidentiality of information and removing any direct or implied conflicts of interests. Each Examiner completes a worksheet and executes an affidavit stating he/she has no conflict of interest with the organization. Further all submissions are *treated confidentially*, and each Examiner assigned to the assessment agrees in writing to hold all information presented in complete confidentiality.

seven Categories and the Profile, each member of the team, although not required, is encouraged to sign the Transmittal letter which is part of the Self-Assessment Submission.

## Your Self-Assessment and Feedback Template

To make the process easier, a Self-Assessment Template is provided. Space for the Feedback component is incorporated into the Template. Thus, when receiving your Feedback, it will be easy to compare your Feedback to what you submitted. Your Self-Assessment should not exceed 36 pages, including the embedded questions within the template, but excluding the Cover Page, the one page transmittal letter, the one-page Examiner feedback placeholders which show up in each Category and the Team Observation Summary at the end. Figures/graphics related to the Organizational Profile, Categories 1-6 and Category 7 are not required but are helpful when embedded into the document, small but still legible (not less than font 8). For Category 7, small charts and graphics in each of the six performance areas are highly encouraged. Within the 36 page limit, the following is a potential but not required guide.

Section	Page Limit
Organizational Profile	6 pages including embedded questions and graphics
Categories 1-6	24 pages including embedded questions and graphics
Category 7	6 pages including embedded questions and graphics

**IMPORTANT:** Please maintain the integrity of the template configuration including the type fonts and size. Likewise, keep within the 36 overall page limit as defined above. Failure to do so can result in a submission being rejected.

### Self-Assessment Content

The ability to succinctly articulate an organization's level of maturity relative to each category in a limited number of pages is in and of itself a measure of maturity. Likewise, because no Award is associated with Discovery, organizations are encouraged to use the process to articulate both strengths and opportunities for improvement. Indeed, Discovery is intended to cause serious self-reflection within an organization based on core Baldrige Criteria for Performance Excellence concepts.

## Feedback to Discovery Program Participants

All Discovery Program participants receive Feedback. The Feedback is created by the team of Examiners assigned to review the Self-Assessment. Space is reserved in the Self-Assessment Template for Feedback, as such; there is only one document at the end of the process. The feedback for Discovery is intended to be more educational. For many organizations, Discovery serves as a way to learn more about the Baldrige Criteria and is often a prelude for applying for the Medallion Award within SPQA's Recognition Program.

Discovery self-assessments are not scored and the feedback is more general than what an organization would receive if applying for recognition. The intent is to help an organization determine if it is on the right track relative to understanding fundamental performance concepts and are able to articulate how its processes compare to the fundamentals of the Baldrige Criteria. Discovery offers no site visits or feedback sessions. The Examiner Observations provided are based entirely on the organization's ability to communicate performance in a manner which shows an understanding of the Baldrige Criteria.

In the **Process Maturity** section, we address what we are looking for relative to the basic maturity of the processes and methods the organization describes in each Process Discussion Area. Here, the Examiners are looking for how you address the fundamental maturity indicators (**Approach** and **Deployment**). This applies to categories 1-6.

In the **Results Maturity** section, we focus on the organization's ability to demonstrate how the success of its processes and methods previously identified are measured. As in the case of Processes, albeit from a slightly different perspective, the Examiners are looking for fundamental maturity indicators (**Levels** and **Trends**) in the way Results are discussed and portrayed. This applies to Category 7. Like the Process Discussion Areas, for Category 7, a series of pre-determined statements are used to indicate an overall impression. However, although there are five Results Discussion Areas, unlike the Process Discussion Areas, the Examiners provide only overarching Team Observations.

Finally, there is a **Team Observation Summary** intended to offer overarching comments. The purpose is for the Examiners to share overarching observations.

## Participation Fee

The Intent to Participate Fee is \$500 and must be sent with the Intent to Participate Form. This fee is non-refundable. The Participation Fee is an additional \$250 and must be sent with the completed Self-Assessment. Checks should be made payable to: Virginia SPQA.

## Participation Notes

At its sole discretion, Virginia SPQA reserves the right to reject or to offer a postponement of an "Intent to Participate" request. Generally such postponements would be a result of volunteer capacity to respond, but could be because of a conflict between Virginia SPQA and its public not-for-profit status. Any rejection would result in the return of funds.

## Self-Assessment Submission

The Intent to Participate Form can be submitted at any time. Please submit one paper copy plus one electronic copy (not a PDF) of your completed Self-Assessment to Virginia SPQA with your Participation Fee within 60 days of the date of the Intent to Participate Form. Participants are notified when submissions are received. Intent to Participate Forms, checks, and Self-Assessment Submissions should be sent to:

Bob Bowles, Executive Director

[director@spqa-va.org](mailto:director@spqa-va.org)

Virginia SPQA

P.O. Box 6099

Suffolk, VA 23433

## Discovery Program Participant Recognition

Discovery Program Participants are formally recognized at the annual Virginia Forum for Excellence. Each organization receives one complimentary registration, provided the self assessment is received at least two weeks prior to the Forum Ceremony. This ensures that organizations can be formally recognized for participation even though the Feedback Report has not been completed.

If you have questions, contact

Mr. Bob Bowles,

571. 215.8881, [director@spqa-va.org](mailto:director@spqa-va.org)

# Organizational Profile: What we are looking for

Your Organizational Profile is critically important because:

- It is the most appropriate starting point for self-assessment.
- It helps you identify potential gaps in key information and focus on key performance requirements and business results.
- It is used by the Examiners in reviewing your self-assessment to understand your organization and what you consider important.

The *Organizational Profile* is a snapshot of your organization, the key influences on how you operate, and the key challenges you face. The Self-Assessment Template (illustrated in the Appendix) divides the Organizational Profile into five sections.

1. **Organizational Environment**
2. **Organizational Relationships**
3. **Competitive Environment**
4. **Strategic Context**
5. **Performance Improvement System**

Each Section contains a series of questions which you are asked to address. Please keep your responses brief.

The *Organizational Profile* may be used by itself as an initial self-assessment. If you identify topics for which conflicting, little, or no information is available, it is possible that the Organizational Profile can serve as your complete assessment, and you can use these topics for action planning.

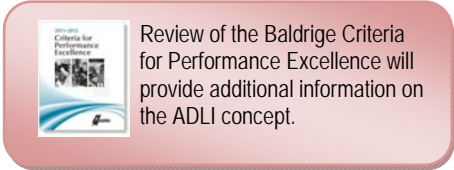
# Process Maturity (1-6): What we are looking for

The Baldrige Criteria for Performance Excellence method of assessing process maturity is based on the relative depth of sophistication in four areas; Approach, Deployment, Learning, and Integration (ADLI).



In evaluating your response to each Process Discussion Area, the Examiners will look for evidence in your narrative to determine how well the processes and methods you identify relate to the ADLI concepts. For each Process Discussion Area, the Examiners looked for answers to the following:

- **Approach.** Are approaches, i.e., methods and/or processes identified? How sophisticated are they relative to what would be resource reasonable for your organization? How long have they been around? Are they in writing and/or well known?
- **Deployment.** Are the approaches fully deployed among those affected? How long have they been deployed? Are they deployed in a way which ensures they are working as intended?
- **Learning.** Are the approaches regularly reviewed for improvement? Do the approaches provide information which enable improvement in other areas?
- **Integration.** Are approaches aligned with the organizational needs identified in the Organizational Profile? Are approaches and plans harmonized across processes and work units to support organization-wide goals?



### The Importance of Story Telling

A Discovery Self-Assessment, albeit less complex than application for recognition, still requires an organization to tell a story about each of its KEY processes and/or methods applicable to the Process Discussion Area. To the extent practical, stories should be able to at least address the ADLI fundamentals of **Approach** and **Deployment**, clearly and concisely for each process identified. In telling these stories, most organizations that conduct their first self-assessment fall into one of the following categories:

1. There is a great story to tell, but because the maturity concept was not fully understood, it was not articulated.
2. There is not a great story to tell relative to process maturity, so the organization describes what it has the best it can.

The ability of an organization to easily articulate the ADLI story behind its KEY processes and methods is in and of itself a positive indicator. In the Discovery Program, when there is not a great story to tell, it is especially important for opportunities for improvement to be self-identified. Understanding the need for improvement is an essential part of the Discovery Program.

The Examiners will read your narratives from two perspectives. First, are you able to articulate your understanding of the category by identifying relevant processes and methods? Second, are you able to describe those processes and methods in a way that the reader can reach a conclusion relative to fundamental maturity (**Approach** and **Deployment**) of the efforts? For each Process Discussion Area, the Examiners will provide an overall indication of their impression by checking one of the following in their Feedback:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified some systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other: (developed by the Examiners as needed)

These general statements relate to the Baldrige core methods of evaluating process and results maturity. Specific Team Observations to your narrative will also be provided in the Feedback.

# 1. Leadership

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*In your discussion of these areas, regardless of the methods you use, the Examiners are looking for evidence of breadth in methods and maturity of each. Of the two, maturity has the most impact. Likewise, the Baldrige Criteria is not prescriptive. The purpose of noting processes often found in this area is purely educational and not an expectation for how your organization should operate.*

## Process Discussion Area:

- a. Describe how senior leaders' actions guide and sustain your organization. Describe how senior leaders communicate with your workforce and encourage high performance.

### Process Applicability: What we are looking for

This Discussion Area is fundamentally about the KEY ways Leadership information is “pushed” to and “pulled” from the workforce followed by how the information is actually used to improve the organization’s performance. Most organizations have communication mechanisms in place, but are they very mature?

The methods and processes often found in this area include large and small employee meetings hosted by leadership, brown bag leadership lunches at multiple levels, newsletters, and technology applications ranging from emails, to chats and social networking applications. Other methods identified include the organization’s performance management system which translates leadership goals to individual employee goals. It is also not unusual to find Leadership feedback systems such as employee surveys, focus groups and the use of Leadership 360° assessments.

Some of these methods might be repeated in other Discussion Areas to satisfy different objectives.

## Process Discussion Area:

- b. Describe your organization’s governance system and approach to leadership improvement. Describe how your organization ensures legal and ethical behavior, fulfills its societal responsibilities, and supports its key communities.

### Process Applicability: What we are looking for

This Discussion Area is fundamentally about the KEY ways Leadership runs the organization to ensure it does the right thing from both a business and values stewardship perspective. Most organizations have management and educational systems in place, but are they very mature?

The methods and processes often found in this area include established leadership groups with governance responsibilities. Other processes include approaches to diversity, equal opportunity, environmental and regulatory compliance. Additionally, this area includes community and social outreach methods and processes used by the organization. Finally, individual performance systems often specify proper behavior at the individual level.

Some of these methods might be repeated in other Discussion Areas to satisfy different objectives.

**Maturity Example:** an organization has quarterly “all-employee” meetings. First, does it actually occur quarterly? Second, does each session include components which not only “push” information, but “pull” information from attendees and how sophisticated is that element? Third, how does the quality of the “all-employee” meeting improve over time? Finally how is the information “pushed” and “pulled” used to affect improvement in other areas?

**Maturity Example:** an organization conducts Diversity Training. First, how is the training conducted? Second, is there an attendance goal, if so, is it met? Third, how is effectiveness measured and how does the content evolve? Finally how are the training discoveries used to improve other aspects of the organization?

## 2. Strategic Planning

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*In your discussion of these areas, regardless of the methods you use, the Examiners are looking for evidence of breadth in methods and maturity of each. Of the two, maturity has the most impact. Likewise, the Baldrige Criteria is not prescriptive. The purpose of noting processes often found in this area is purely educational and not an expectation for how your organization should operate.*

### Process Discussion Area:

- a. Describe how your organization establishes its strategy to address strategic challenges and leverage its strategic advantages. Summarize your organization's key strategic objectives and their related goals.

### Process Applicability: What we are looking for

This Discussion Area is fundamentally about how the organization creates objectives and goals and its ability to articulate them. Many organizations publish objectives and goals but is the development process very mature?

The methods and processes often found in this area include elements of a strategic management cycle such as Plan-Do-Check-Act, a traditional overarching strategic management approach integrated with many categories. Aspects of this area also include efforts to collect information from customers, employees and others as inputs to the Planning process. Many organizations identify an Environmental assessment or a Strengths, Weaknesses, Opportunities, and Threats (SWOT) assessment as inputs to these efforts.

Some of these methods might be repeated in other Discussion Areas to satisfy different objectives.

### Process Discussion Area:

- b. Describe how your organization converts its strategic objectives into action plans. Summarize your organization's action plans, how they are deployed, and key action plan performance measures and indicators. Project your organization's future performance relative to key comparisons on these performance measures or indicators.

### Process Applicability: What we are looking for

This Discussion Area is fundamentally about the KEY processes and methods used by an organization's leadership to convert high level strategic goals into actions where progress can be systematically monitored – changing strategy as needed based on information.

The methods and processes often found in this area integrate with the Plan-Do-Check-Act construct outlined in 2a. Use of Team Charters, Gantt charts and other ways to demonstrate a systematic approach to execution of strategy are often described. Strategic Management Systems which cause senior executives to actively review progress relative to strategic goals and make changes on a periodic basis are often found in this category.

Some of these methods might be repeated in other Discussion Areas to satisfy different objectives.

**Maturity Example:** an organization has leadership planning retreats as one approach to strategic planning. First, who is involved, how is information used, how often does it occur and what does it drive? Second, do sessions occur when planned, how does the information drive actions? Third, how do these retreats improve over time? Finally how is the information from the retreats used to effect improvement in other areas?

**Maturity Example:** an organization has a strategic plan that needs to be executed as an approach in this category. First, are the action items for each goal clear, with a person/team accountable? Second, is there a timeline with a specific activity, cost, etc? Third, is the effort reviewed periodically – based on performance measures? Finally, how is the effort impacting other areas?

### 3. Customer and Market Focus

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*In your discussion of these areas, regardless of the methods you use, the Examiners are looking for evidence of breadth in methods and maturity of each. Of the two, maturity has the most impact. Likewise, the Baldrige Criteria is not prescriptive. The purpose of noting processes often found in this area is purely educational and not an expectation for how your organization should operate.*

#### Process Discussion Area:

- a. Describe how your organization listens to your customers and gains satisfaction and dissatisfaction information.

#### Process Applicability: What we are looking for

This Discussion Area focuses on KEY methods and processes your organization uses to ensure it can sustain its future through understanding its current and potential customer base, where they are going, and how your products and services adapt to match their future needs.

The methods and processes often discussed in this area include current and potential customer focus groups, surveys as well as market research methods and processes. Because of its broad applicability, customer relationship management systems are frequently identified in this and the subsequent Discussion Area. Other processes often mentioned in this Discussion Area relate to how customers are engaged in the development or improvement of products and services beyond classic focus groups and surveys.

Some of these methods might be repeated in other Discussion Areas to satisfy different objectives.

**Maturity Example:** an organization has an 800 number for customers to call for complaints. First, is it relatively easy for a customer to get through? Second, how qualified are the employees who receive the inquiry? Third, how is the information collected used to improve the complaint system? Finally, how is the information used to affect other processes?

#### Process Discussion Area:

- b. Describe how your organization determines product offerings and communication mechanisms to support customers. Describe how your organization builds customer relationships.

#### Process Applicability: What we are looking for

This Discussion Area is fundamentally about how the organization keeps and engages customers as strategic partners in a greater enterprise for mutual benefit.

The methods and processes often found in this area relate to customer relationship management systems, including systems which answer questions, adjudicate complaints and reward repeat business. For pro-active organizations, it is not unusual to include processes and methods like focus groups which engage customers in the design of products and services for the future.

Some of these methods might be repeated in other Discussion Areas to satisfy different objectives.

**Maturity Example:** an organization offers surveys to customers as a KEY process. First, in addition to satisfaction issues, does the approach help to determine future customer needs? Second, how broad is the participation, are the right people participating, and how do they know their participation counted? Third, what is done with the information collected? Finally, how is the information quantified to affect other areas?

## 4. Measurement, Analysis and Knowledge Management

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*In your discussion of these areas, regardless of the methods you use, the Examiners are looking for evidence of breadth in methods and maturity of each. Of the two, maturity has the most impact. Likewise, the Baldrige Criteria is not prescriptive. The purpose of noting processes often found in this area is purely educational and not an expectation for how your organization should operate.*

### Process Discussion Area:

- a. Describe how your organization measures, analyzes, aligns, reviews, and improves its performance through the use of data and information at all levels and in all parts of your organization. Describe how you systematically use the results of reviews to evaluate and improve processes.

### Process Applicability: What we are looking for

This Discussion Area examines how the organization effectively selects, manages, and uses data and information to improve organizational planning and performance improvement. This category is often referred to as the “brain center” for the alignment of organizational operations with its strategic objectives.

The methods and processes often found in this area include “Balanced Scorecard,” input-output-outcome models, and other types of measurement systems. Other methods and processes often found in this category relate to how the performance information systems, both qualitative and quantitative are related to the development and systematic execution of strategy.

Some of these methods might be repeated in other Discussion Areas to satisfy different objectives.

**Maturity Example:** An organization has chosen the Balanced Scorecard as a key process in this category. First, are the outcomes in each area sufficiently defined including leading and lagging indicators, balanced, and related to organizational goals? Second, is the information sufficiently mature and visible so the data is understood? Third, is the information used to systematically manage improvement? Finally, is the information used to cause improvement across Scorecard areas?

### Process Discussion Area:

- b. Describe how your organization builds and manages its knowledge assets. Describe how your organization ensures the quality and availability of needed data, information, software, and hardware for your workforce, suppliers, partners, collaborators, and customers.

### Process Applicability: What we are looking for

This Discussion Area examines how the organization ensures the quality and availability of high quality, timely data, information, software, and hardware. It also addresses how you build and manage your knowledge assets. High performing organizations make data and information available and accessible to all appropriate users. The organization’s hardware systems and software are reliable and user friendly. In high performing organizations, every appropriate person, from top leaders to individual workers, has access to the data they need to make decisions about their work.

Methods and Processes often found in this area include collaborative work and/or file sharing systems, information assurance efforts, quality control efforts for data, and continuity of operations plans (COOP), web sites among others.

Some of these methods might be repeated in other Discussion Areas to satisfy different objectives.

**Maturity Example:** An organization lists its COOP as a key process. First, is it based on standards and updated systematically? Second, has there been training and does everyone understand their roles - has it been tested? Third, if so, has the COOP been updated as a result? Finally, does the COOP sufficiently link to external COOPs as needed?

## 5. Workforce Focus

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*In your discussion of these areas, regardless of the methods you use, the Examiners are looking for evidence of breadth in methods and maturity of each. Of the two, maturity has the most impact. Likewise, the Baldrige Criteria is not prescriptive. The purpose of noting processes often found in this area is purely educational and not an expectation for how your organization should operate.*

### Process Discussion Area:

- a. Describe how your organization manages workforce capability and capacity to accomplish the work of the organization. Describe how your organization maintains a safe, secure, and supportive work climate.

### Process Applicability: What we are looking for

This Discussion Area is fundamentally about the KEY ways the organization engages, compensates and rewards employees; develops both employees and leaders; and assesses the level of engagement.

The methods and processes often found in this area are purposed to identify and maintain knowledge, skills, abilities, and competencies. Systems which make this assessment and respond with training, mentoring and other methods are frequently mentioned. Likewise, variable hours, telework, and other quality of life initiatives are often discussed. Exit interview efforts and a host of other initiatives are frequently identified. Likely Discussion Area topics also include descriptions of how the organization addresses its responsibility to make sure regulatory standards on workplace health, safety and security are met.

**Maturity Example:** An organization identifies its Telework Program. First, is there a clear approach? Second, how widely is it deployed, i.e., do all supervisors buy-in, is it used? Third, how does it evolve? Finally, how key is it to success in other areas such as retention?

Some of these methods might be repeated in other Discussion Areas to satisfy different objectives.

### Process Discussion Area:

- b. Describe how your organization manages workforce capability and capacity to accomplish the work of the organization. Describe how you assess workforce engagement and use the results to achieve higher performance. Describe how members of your workforce, including leaders, are developed to achieve high performance.

### Process Applicability: What we are looking for

This Discussion Area is fundamentally about the KEY ways that the organization recruits, hires, and retains employees who will meet the skill requirements required to position the organization for future success and sustainability.

The methods and processes often found in this area focus on how employees are engaged, both emotionally and intellectually, and how that information is used to improve individual and organizational performance. Compensation and reward systems are typical of methods and processes listed and may be tied to demonstrated skills or peer evaluations. Organizational reward and recognition approaches are often listed including profit sharing, peer to peer recognition and rewards for exemplary team performance. Employee feedback systems, e.g., surveys, focus groups, etc. along with how they are used to improve the organization are also frequently mentioned in this Discussion Area.

**Maturity Example:** An organization has an individual performance management system which calls for annual individual performance plans. First, are the plans developed so the employee is clear about expectations? Second, do systematic supervisor/employee reviews occur and if so, how is quality measured? Third, is there a learning effort to assess quality and extract information for the organization? Finally, are employee plans aligned/integrated to organizational plans?

Some of these methods might be repeated in other Discussion Areas to satisfy different objectives.

## 6. Operations Focus

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*In your discussion of these areas, regardless of the methods you use, the Examiners are looking for evidence of breadth in methods and maturity of each. Of the two, maturity has the most impact. Likewise, the Baldrige Criteria is not prescriptive. The purpose of noting processes often found in this area is purely educational and not an expectation for how your organization should operate.*

### Process Discussion Area:

- a. Describe how your organization designs, manages, and improves its work systems to deliver customer value, prepare for potential emergencies, and achieve organizational success and sustainability.

### Process Applicability: What we are looking for

This Discussion Area is fundamentally about how the organization designs its overall work systems to deliver value and achieve organizational success and sustainability to support all stakeholders. This might include a discussion of the core competencies that are strategically important to support organizational capabilities that provide competitive advantages. Core competencies may involve technology expertise, unique service offerings, or a particular market niche.

Methods and work systems often discussed in this area include a larger view of supply chain management efforts, methods to determine core competencies, how work systems respond to customer requirements, how work systems coordinate internal work processes, and how you ensure that work systems are in place to deal with emergencies.

Some of these methods might be repeated in other Discussion Areas to satisfy different objectives.

**Maturity Example:** An organization lists its key work systems that are accomplished both internal and external. First, how were these decisions determined? Second, are work system decisions made using both supplier information with customer information? Third, is this information regularly used to review and improve the work systems? Finally, how is this process used to improve customer or other relationships?

### Process Discussion Area:

- b. Describe how your organization designs, manages, and improves its key work processes to deliver customer value and achieve organizational success and sustainability.

### Process Applicability: What we are looking for

This Discussion Area is fundamentally about the KEY approaches the organization uses to identify critical processes within key work systems, how processes are managed and measured, and how processes are continually improved to better support customer requirements and expectations.

Methods and processes often discussed in this area include approaches to systematically improving processes which may be as simple as developing a detailed process flow chart. Other methods frequently mentioned are Lean Enterprise System, Six Sigma, ISO Standards, CMMI programs, etc. Some of these methods might be repeated in other Discussion Areas to satisfy different objectives.

**Maturity Example:** An organization lists its Lean Six Sigma Program as key. First, is there an understanding of how processes are reviewed and prioritized for improvement relative to strategy? Second, is there sufficient knowledge and commitment to implement the initiatives to fulfillment? Third, are the improvements reviewed for effectiveness? Finally, are the methods duplicated in other areas?

# Results Maturity (7): What we are looking for

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The Baldrige Criteria for Performance Excellence method of assessing results maturity is based on the relative depth of sophistication in four areas; Levels, Trends, Comparisons, and Integration (LeTCI).



In evaluating your response to each Result Discussion Area, the Examiners looked for evidence to determine how well the results of your processes and methods relate to the LeTCI concepts. For each Result Discussion Area, the Examiners looked for answers to the following:

- **Levels.** Has results oriented information been presented or portrayed relevant to the Result Discussion Area? Is there a discernable link between this information and the process(es) and methods discussed in 1-6?
- **Trends.** Are there trends associated with the results oriented information? If so, is there enough information to determine how favorable the trends are?
- **Comparison.** Has information been presented relative to how the results oriented information relates to comparable examples?
- **Integration.** Do the results address important customer or product requirements identified in the Organizational Profile? Are results harmonized across processes and work units to support organization-wide goals?



Review of the Baldrige Criteria for Performance Excellence will provide additional information on the LeTCI concept.

## The Importance of Portrayal

A picture says a thousand words. To the extent practical, results oriented portrayals should be able to highlight at least the LeTCI fundamentals of **Levels** and **Trends**. Graphics are helpful tools to show Levels, Trends, and Comparisons at the same time. Results are the most difficult area for organizations. Most fall into one or more of the following categories:

1. Much information is available and provided – sometimes satisfying fundamental LeTCI concepts, but the KEY results related to the KEY processes have never been determined.
2. Information is provided and can satisfy fundamental LeTCI concepts, but there is no discernable link to the processes and methods articulated in Categories 1-6 and/or the goals and objectives of the organization.
3. Information is provided, but is simply not mature enough to make the maximum contribution to leadership, i.e., anecdotal, not systematic, etc.

The ability of an organization to present their KEY results in a manner which shows an understanding of LeTCI is a positive indicator. Likewise, for Discovery, acknowledgement of opportunities for improvement in this Category is also a positive indicator, albeit for different reasons.

## 7. Results

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### Results Discussion Areas:

- a. Summarize your organization's **key product performance and process effectiveness and efficiency** results. Include processes that directly serve customers, strategy, and operations. Segment your results by product offerings, by customer groups, and market segments, and by process types and locations, as appropriate. Include appropriate comparative data.
- b. Summarize your organization's **key customer-focused** results for customer satisfaction, dissatisfaction, and engagement. Segment your results by product offerings, customer groups, and market segments, as appropriate. Include appropriate comparative data.
- c. Summarize your organization's **key workforce-focused** results for your workforce environment and for your workforce engagement. Segment your results to address the diversity of your workforce and to address your workforce groups and segments, as appropriate. Include appropriate comparative data.
- d. Summarize your organization's **key senior leadership and governance** results, including those for fiscal accountability, legal compliance, ethical behavior, societal responsibility and support of key communities. Segment your results by organizational units, as appropriate. Include appropriate comparative data.
- e. Summarize your organization's **key financial and marketplace** performance results by customer or market segments or customer groups, as appropriate. Include appropriate comparative data.

### Results Portrayal: What we are looking for

The Results Discussion Areas examines the performance and improvement measures identified by the organization as being KEY to their success. Category 7 reflects timely measures (weekly, quarterly, annual as applicable) of performance for evaluation and improvement of processes, products, and services aligned with overall organizational strategy, goals and direction produced by the processes and methods outlined in Categories 1-6.

For example, an organization lists its employee Mentor Program as a KEY process in Category 5. Results of this program would be included as part of the 7d discussion. One view of results could simply be "participation" – not unusual if the effort is new. Another view of results could be "user value" identified through surveys, etc. Likewise, if the purpose of the program is to address "employee retention of young people" that also might show up. Thus, multiple Results are often associated with one process.

For many organizations the answer to this question varies over the lifecycle of the process. Still, processes and methods have purposes and outcomes intended to be achieved. The question is which are KEY results, i.e., what outcome does the process really intend to affect? Indeed, there might be multiple processes directed toward the same outcome.

**Maturity Example:** An organization lists its employee Mentor Program as a KEY process in Category 5 – thus an expectation of Results. First, has a relationship between the Mentor Program and Results been established? If so, is there evidence of baseline information? Is there evidence of baseline information as it changes over time? Is there information from other organizations? Is there information regarding how these results affect other areas?

Appendix

# Virginia SPQA Self-Assessment & Feedback

*Discovery*  
Q



[Organization Name]

[Date Submitted]

[Transmittal Letter – Insert Organization’s Letterhead if desired and remove this note]

(Date)

Mr. Robert Bowles  
Executive Director  
US Senate Productivity and Quality Award  
for Virginia  
PO Box 6099  
Suffolk, Virginia 23433

Dear Mr. Bowles,

[Organization Name] is pleased to submit its Discovery Self-Assessment for the Examination Team’s review and feedback.

[optional text for the organization – remove ]

Sincerely,

# Organizational Profile

The **Organizational Profile** is a snapshot of your organization, the key influences on how you operate, and the key challenges you face. *Insert your response and related graphics if applicable at the end of each question or question set.*

## 1. Organizational Environment

- a. *What are your organization's main product offerings? What is the relative importance of each to your organizational success? What mechanisms do you use to deliver your products?*
- b. *What are the distinctive characteristics of your organizational culture? What are your stated purpose, vision, values, and mission? What are your organization's core competencies and their relationship to your mission?*
- c. *What is your workforce profile? What are your workforce or employee groups and segments? What are their education levels? What are the key elements that engage them in accomplishing your mission and vision? What are your organization's workforce and job diversity, organized bargaining units, key workforce benefits, and special health and safety requirements?*
- d. *What are your major facilities, technologies, and equipment?*
- e. *What is the regulatory environment under which your organization operates? What are the applicable occupational health and safety regulations, accreditation, certification, or registration requirements, industry standards, and environmental, financial, and product regulations?*

## 2. Organizational Relationships

- a. *What are your organizational structure and governance system? What are the reporting relationships among your governance board, senior leaders, and parent organization, as appropriate?*
- b. *What are your key market segments, customer groups, and stakeholder groups, as appropriate? What are their key requirements and expectations for your products, customer support services, and operations? What are the differences in these requirements and expectations among market segments, customer groups, and stakeholder groups?*
- c. *What are your key types of suppliers, partners, and collaborators? What role do these suppliers, partners, and collaborators play in the production and delivery of your key products and customer support services? What are your key mechanisms for communicating with suppliers, partners, and collaborators? What role, if any, do these organizations play in implementing innovations in your organization? What are your key supply chain requirements?*

## 3. Competitive Environment

- a. *What is your competitive position? What are your relative size and growth in your industry or markets served? What are the numbers and types of competitors for your organization?*

- b. *What are any key changes taking place that affect your competitive situation, including opportunities for innovation and collaboration, as appropriate?*
  
- c. *What are your key available sources of comparative and competitive data from within your industry? What are your key available sources of comparative data from outside your industry? What limitations, if any, are there in your ability to obtain these data?*

#### 4. Strategic Context

*What are your key business, operational, societal responsibility, and human resource strategic challenges and advantages?*

#### 5. Performance Improvement

*What are the key elements of your performance improvement system, including your evaluation, organizational learning, and innovation processes?*

# 1. Leadership

The Leadership Category examines how your organization's senior leaders' personal actions guide and sustain your organization. Also examined are your organization's governance system and how your organization fulfills its legal, ethical, and societal responsibilities and supports its key communities.

- a. Describe how senior leaders' actions guide and sustain your organization. Describe how senior leaders communicate with your workforce and encourage high performance.

Response:

- b. Describe your organization's governance system and approach to leadership improvement. Describe how your organization ensures legal and ethical behavior, fulfills its societal responsibilities, and supports its key communities.

Response:

# 1. Leadership Feedback (Examiners Only)

a. Describe how senior leaders' actions guide and sustain your organization. Describe how senior leaders communicate with your workforce and encourage high performance.

Overall, based on what we read and given what we are looking for in Process Maturity and Applicability, the discussion we reviewed:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified some systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other:

## Key Examiner Observations:

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b. Describe your organization's governance system and approach to leadership improvement. Describe how your organization ensures legal and ethical behavior, fulfills its societal responsibilities, and supports its key communities.

Overall, based on what we read and given what we are looking for in Process Maturity and Applicability, the discussion we reviewed:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified some systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other:

## Key Examiner Observations:

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## 2. Strategic Planning

The Strategic Planning Category examines how your organization develops strategic objectives and action plans. Also examined are how your chosen strategic objectives and action plans are implemented and changed if circumstances require, and how progress is measured.

- a. Describe how your organization establishes its strategy to address its strategic challenges and leverage its strategic advantages. Summarize your organization's key strategic objectives and their related goals.

Response:

- b. Describe how your organization converts its strategic objectives into action plans. Summarize your organization's action plans, how they are deployed, and key action plan performance measures or indicators. Project your organization's future performance relative to key comparisons on these performance measures or indicators.

Response:

## 2. Strategic Planning (Examiners Only)

a. Describe how your organization establishes its strategy to address its strategic challenges and leverage its strategic advantages. Summarize your organization’s key strategic objectives and their related goals.

Overall, based on what we read and given what we are looking for in Process Maturity and Applicability, the discussion we reviewed:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified some systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other:

### Key Examiner Observations:

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b. Describe how your organization converts its strategic objectives into action plans. Summarize your organization’s action plans, how they are deployed, and key action plan performance measures or indicators. Project your organization’s future performance relative to key comparisons on these performance measures or indicators.

Overall, based on what we read and given what we are looking for in Process Maturity and Applicability, the discussion we reviewed:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
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- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other:

### Key Examiner Observations:

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### 3. Customer Focus

The Customer Focus Category examines how your organization engages its customers for long-term marketplace success. This engagement strategy includes how your organization listens to the voice of its customers, builds customer relationships, and uses customer information to improve and identify opportunities for innovation. *Note for Education and Health Care Participants: The Criteria for Education focuses on Students and Stakeholders in lieu of "Customers", and your responses to this Category should address the questions in this way. The Criteria for Health Care focuses on patients, and other customers, and your responses to this Category should address the questions in that way.*

- a. Describe how your organization listens to your customers and gains satisfaction and dissatisfaction information.

Response:

- b. Describe how your organization determines product offerings and communication mechanisms to support customers. Describe how your organization builds customer relationships.

Response:

### 3. Customer Focus (Examiners Only)

**a. Describe how your organization listens to your customers and gains satisfaction and dissatisfaction information.**

Overall, based on what we read and given what we are looking for in Process Maturity and Applicability, the discussion we reviewed:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified some systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other:

**Key Examiner Observations:**

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**b. Describe how your organization determines product offerings and communication mechanisms to support customers. Describe how your organization builds customer relationships.**

Overall, based on what we read and given what we are looking for in Process Maturity and Applicability, the discussion we reviewed:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified some systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other:

**Key Examiner Observations:**

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## 4. Measurement, Analysis, and Knowledge Management

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

- a. **Describe how your organization measures, analyzes, reviews, and improves its performance through the use of data and information at all levels and in all parts of your organization.**

Response:

- b. **Describe how your organization builds and manages its knowledge assets. Describe how your organization ensures the quality and availability of needed data, information, software, and hardware for your workforce, suppliers, partners, collaborators, and customers.**

Response:

## 4. Measurement, Analysis, and Knowledge Management (Examiners Only)

- a. Describe how your organization measures, analyzes, reviews, and improves its performance through the use of data and information at all levels and in all parts of your organization.

Overall, based on what we read and given what we are looking for in Process Maturity and Applicability, the discussion we reviewed:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified some systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other:

### Key Examiner Observations:

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- b. Describe how your organization builds and manages its knowledge assets. Describe how your organization ensures the quality and availability of needed data, information, software, and hardware for your workforce, suppliers, partners, collaborators, and customers.

Overall, based on what we read and given what we are looking for in Process Maturity and Applicability, the discussion we reviewed:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified some systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other:

### Key Examiner Observations:

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## 5. Workforce Focus

The Workforce Focus Category examines your ability to assess workforce capability and capacity needs and build a workforce environment conducive to high performance. The category also examines how your organization engages, manages, and develops your workforce to utilize its full potential in alignment with your organization's overall mission, strategy, and action plans.

- a. **Describe how your organization manages workforce capability and capacity to accomplish the work of the organization. Describe how your organization maintains a safe, secure, and supportive work climate.**

Response:

- b. **Describe how your organization engages, compensates, and rewards your workforce to achieve high performance. Describe how you assess workforce engagement and use the results to achieve higher performance. Describe how members of your workforce, including leaders, are developed to achieve high performance.**

Response:

## 5. Workforce Focus (Examiners Only)

- a. Describe how your organization manages workforce capability and capacity to accomplish the work of the organization. Describe how your organization maintains a safe, secure, and supportive work climate.

Overall, based on what we read and given what we are looking for in Process Maturity and Applicability, the discussion we reviewed:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified some systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other:

### Key Examiner Observations:

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- b. Describe how your organization engages, compensates, and rewards your workforce to achieve high performance. Describe how you assess workforce engagement and use the results to achieve higher performance. Describe how members of your workforce, including leaders, are developed to achieve high performance.

Overall, based on what we read and given what we are looking for in Process Maturity and Applicability, the discussion we reviewed:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified some systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other:

### Key Examiner Observations:

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## 6. Operations Focus

The Operations Focus Category examines how your organization designs, manages, and improves its work systems and work processes to deliver customer value and achieve organizational success and sustainability. Also examined is your readiness for emergencies.

- a. Describe how your organization designs, manages, and improves its work systems to deliver customer value, prepare for potential emergencies, and achieve organizational success and sustainability.

Response:

- b. Describe how your organization designs, manages, and improves its key work processes to deliver customer value and achieve organizational success and sustainability.

Response:

## 6. Operations Focus (Examiners Only)

- a. Describe how your organization designs, manages, and improves its work systems to deliver customer value, prepare for potential emergencies, and achieve organizational success and sustainability.

Overall, based on what we read and given what we are looking for in Process Maturity and Applicability, the discussion we reviewed:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified some systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other:

### Key Examiner Observations:

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- b. Describe how your organization designs, manages, and improves its key work processes to deliver customer value and achieve organizational success and sustainability.

Overall, based on what we read and given what we are looking for in Process Maturity and Applicability, the discussion we reviewed:

- Identified some systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified some systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Identified many systematic processes and/or methods, but on balance, did not help us understand their maturity.
- Identified many systematic processes and/or methods, and in some cases, maturity concepts were addressed.
- Other:

### Key Examiner Observations:

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## 7. Results

The Results Category examines your organization's performance and improvement in all key areas – product and process outcomes, customer-focused outcomes, workforce-focused outcomes, leadership and governance outcomes, and financial and market outcomes. Performance levels are examined relative to those of competitors and other organizations providing similar products offerings.

- a. Summarize your organization's *key product performance and process effectiveness and efficiency* results. Include processes that directly serve customers, strategy, and operations. Segment your results by product offerings, by customer groups, and market segments, and by process types and locations, as appropriate. Include appropriate comparative data.

Response:

- b. Summarize your organization's *key customer-focused* results for customer satisfaction, dissatisfaction, and engagement. Segment your results by product offerings, customer groups, and market segments, as appropriate. Include appropriate comparative data.

Response:

- c. Summarize your organization's *key workforce-focused* results for your workforce environment and for your workforce engagement. Segment your results to address the diversity of your workforce and to address your workforce groups and segments, as appropriate. Include appropriate comparative data.

Response:

- d. Summarize your organization's *key senior leadership and governance and* results, including those for fiscal accountability, legal compliance, ethical behavior, societal responsibility and support of key communities. Segment your results by organizational units, as appropriate. Include appropriate comparative data.

Response:

- e. Summarize your organization's *key financial and marketplace* performance results by customer or market segments or customer groups, as appropriate. Include appropriate comparative data.

Response:

## 7. Results (Examiners Only)

Overall, based on what we read and given what we are looking for relative to Process Results, the discussion we reviewed led us to the following conclusion:

- Few if any results were provided in the six Discussion Areas/Categories.
- A few organizational performance results are reported in a few of the Discussion Areas/Categories.
- Organizational performance results are reported in most Discussion Areas/Categories.
- Sustained improvement in organizational performance results are reported in all areas/Categories.
- Other:

**Key Examiner Observations:**

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# Team Observation Summary

For each Discussion Area, the Examination Team has provided comments. The observations are submitted based on the information provided. As such, the observations could be wrong because the description is inadequate. More than "what" the teams are looking for "how." The ability to articulate a complete story, even with opportunities for improvement demonstrates a level of maturity in understanding the connectivity of mature processes and results.

The Examination Team offers the following Summary Observations:

-