

**Appendix 1:** *The Participant should replicate/re-create this template as a MS Word document; answer all the questions according to the outline and submit the resulting Discovery Self-Assessment to SPQA at [programs.services@spqa-va.org](mailto:programs.services@spqa-va.org).*

# **SPQA**

## **Discovery Self-Assessment Template**

*Discovery*



**[Organization Name]**

**[Date Submitted]**

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

(Date)

Discovery Director, SPQA

Dear SPQA Discovery Director,

[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 main product offerings? What is the relative importance of each to your success? What mechanisms do you use to deliver your products?***

◆ Response:

- b. ***What are your mission, vision, and values? Other than values, what are the characteristics of your organizational culture, if any? What are your organization's core competencies and what is their relationship to your mission?***

◆ Response:

- c. ***What is your workforce profile? What recent changes have you experienced in workforce composition or in your needs with regard to your workforce? What are your workforce or employee groups and segments? What are the educational requirements for different employee groups and segments? What are the key drivers that engage them in achieving your mission and vision? What are your organized bargaining units (union representation)? What are your organization's special health and safety requirements?***

◆ Response:

- d. ***What are your major facilities, equipment, technologies, and intellectual property?***

◆ Response:

- e. ***What are your key applicable occupational health and safety regulations, accreditation, certification, or registration requirements; industry standards; and environmental, financial, and product regulations?***

◆ Response:

## 2. Organizational Relationships

- a. ***What are your organizational leadership structure and governance structure? What structures and mechanisms make up your organization's leadership system? What are the reporting relationships among your governance board, senior leaders, and parent organization, as appropriate?***

◆ Response:

- 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, including any differences among the groups?***

◆ Response:

- c. ***What are your key types of suppliers, partners, and collaborators? What role do they play in producing and delivering your key products and customer support services, and in enhancing your competitiveness? What role do they play in contributing and implementing innovations in your organization? What are your key supply-network requirements?***

◆ Response:

### 3. Competitive Environment

- a. *What is your competitive position? What are your relative size and growth in your industry or the markets you serve? How many and what types of competitors do you have?*

◆ Response:

- b. *What are your competitiveness changes? What key changes, if any, are affecting your competitive situation, including changes that create opportunities for innovation and collaboration, as appropriate?*

◆ Response:

- c. *What key sources of comparative and competitive data are available from within your industry? What key sources of comparative data are available from outside your industry? What limitations, if any, affect your ability to obtain or use these data?*

◆ Response:

### 4. Strategic Context

- a. *What are your key strategic challenges and advantages?*

◆ Response:

### 5. Performance Improvement

- a. *What is your performance improvement system including your processes for evaluation and improvement of key organizational projects and processes?*

◆ Response:

# 1. Leadership

The Leadership category asks how senior leaders' personal actions guide and sustain your organization. It also asks about your organization's governance system; how your organization fulfills its legal and ethical responsibilities, and how it makes societal contributions.

## 1.1 How do your senior leaders lead the organization? Answer each of the following questions.

How do senior leaders set your organization's vision and values?

◆ **Response:**

How do senior leaders' personal actions demonstrate their commitment to legal and ethical behavior?

◆ **Response:**

How do senior leaders communicate with and engage the entire workforce, key partners, and key customers?

◆ **Response:**

How do senior leaders create an environment for success now and in the future?

◆ **Response:**

How do senior leaders create a focus on action that will achieve the organization's mission?

◆ **Response:**

## 1.2 How do you govern your organization and make societal contributions? Answer each of the following questions.

How does your organization ensure responsible governance?

◆ **Response:**

How do you evaluate the performance of your senior leaders and your governance board?

◆ **Response:**

How do you address current and anticipate future legal, regulatory, and community concerns with your products and operations?

◆ **Response:**

How do you promote and ensure ethical behavior in all interactions?

◆ **Response:**

How do you consider societal well-being and benefit as part of your strategy and daily operations?

◆ **Response:**

How do you actively support and strengthen your key communities?

◆ **Response:**

## 2. Strategic Planning

The Strategy category asks how your organization develops strategic objectives and action plans, implements them, changes them if circumstances require, and measures progress.

### 1.1 How do you develop your strategy? Answer each of the following questions.

How do you conduct your strategic planning?

◆ **Response:**

How does your strategy development process stimulate and incorporate innovation?

◆ **Response:**

How do you collect and analyze relevant data and develop information for use in your strategic planning process?

◆ **Response:**

How do you decide which key processes will be accomplished by your workforce and which by external suppliers, partners, and collaborators?

◆ **Response:**

What are your organization's key strategic objectives and timetable for achieving them?

◆ **Response:**

How do your strategic objectives achieve appropriate balance among varying and potentially competing organizational needs?

◆ **Response:**

### 1.2 How do you implement your strategy? Answer each of the following questions.

What are your key short- and longer-term action plans?

◆ **Response:**

How do you deploy your action plans?

◆ **Response:**

How do you ensure that financial and other resources are available to support the achievement of your action plans while you meet current obligations?

◆ **Response:**

What are your key workforce plans to support your short- and longer-term strategic objectives and action plans?

◆ **Response:**

What key performance measures or indicators do you use to track the achievement and effectiveness of your action plans?

◆ **Response:**

For these key performance measures or indicators, what are your performance projections for your short- and longer-term planning horizons?

◆ **Response:**

How do you recognize and respond when circumstances require a shift in action plans and rapid execution of new plans?

◆ **Response:**

### 3. Customers

The Customers category asks how your organization engages its customers for ongoing marketplace success, including how your organization listens to the voice of the customer, serves and exceeds customers' expectations, and builds long-term relationships. **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.*

#### 1.1 How do you listen to your customers and determine products and services to meet their needs? Answer each of the following questions.

How do you listen to, interact with, and observe customers to obtain actionable information?

◆ **Response:**

How do you listen to potential customers to obtain actionable information?

◆ **Response:**

How do you determine your customer groups and market segments?

◆ **Response:**

How do you determine product offerings?

◆ **Response:**

#### 1.2 How do you build relationships with customers and determine satisfaction and engagement? Answer each of the following questions:

How do you build and manage customer relationships?

◆ **Response:**

How do you enable customers to seek information and support?

◆ **Response:**

How do you manage customer complaints?

◆ **Response:**

How do you determine customer satisfaction, dissatisfaction, and engagement?

◆ **Response:**

How do you obtain information on customers' satisfaction with your organization relative to other organizations?

◆ **Response:**

How do you use voice-of-the-customer and market data and information?

◆ **Response:**

## 4. Measurement, Analysis, and Knowledge Management

The Measurement, Analysis, and Knowledge Management category asks how your organization selects, gathers, analyzes, manages, and improves its data, information, and knowledge assets; how it uses review findings to improve its performance; and how it learns.

### 4.1 How do you measure, analyze, and then improve organizational performance? Answer each of the following questions.

How do you track data and information on daily operations and overall organizational performance?

◆ **Response:**

How do you select comparative data and information to support fact-based decision making?

◆ **Response:**

How do you ensure that your performance measurement system can respond to rapid or unexpected organizational or external changes and provide timely data?

◆ **Response:**

How do you review your organization's performance and capabilities?

◆ **Response:**

How do you project your organization's future performance?

◆ **Response:**

How do you use findings from performance reviews to develop priorities for continuous improvement and opportunities for innovation?

◆ **Response:**

### 4.2 How do you manage your information and your organizational knowledge assets? Answer each of the following questions.

How do you verify and ensure the quality of organizational data and information?

◆ **Response:**

How do you ensure the availability of organizational data and information?

◆ **Response:**

How do you build and manage organizational knowledge?

◆ **Response:**

How do you share best practices in your organization?

◆ **Response:**

How do you use your knowledge and resources to embed learning in the way your organization operates?

◆ **Response:**

## 5. Workforce

The Workforce category asks how your organization assesses workforce capability and capacity needs and builds a workforce environment that is conducive to high performance. The Category also asks how your organization engages, manages, and develops your workforce to utilize its full potential in alignment with your organization's overall business needs.

### 1.1 How do you build an effective and supportive workforce environment? Answer each of the following questions.

How do you assess your workforce capability and capacity needs?

◆ **Response:**

How do you recruit, hire, and onboard new workforce members?

◆ **Response:**

How do you prepare your workforce for changing capability and capacity needs?

◆ **Response:**

How do you organize and manage your workforce?

◆ **Response:**

How do you ensure workplace health, security, and accessibility for the workforce?

◆ **Response:**

How do you support your workforce via services, benefits and policies?

◆ **Response:**

### 1.2 How do you engage your workforce for retention and high performance? Answer each of the following questions.

How do you assess workforce engagement?

◆ **Response:**

How do you foster an organizational culture that is characterized by open communication, high performance, and an engaged workforce?

◆ **Response:**

How does your workforce performance management system support high performance?

◆ **Response:**

How does your learning and development system support the personal development of workforce members and your organization's needs?

◆ **Response:**

How do you evaluate the effectiveness and efficiency of your learning and development system?

◆ **Response:**

How do you manage career development for your workforce and your future leaders?

◆ **Response:**

## 6. Operations

The Operations category asks how your organization designs, manages, improves and innovates its products and work processes and improves operational effectiveness to deliver customer value and achieve ongoing organizational success.

### 6.1 How do you design, manage, and improve your key products and work processes? Answer each of the following questions.

How do you determine key product and work process requirements?

◆ **Response:**

What are your organization's key work processes?

◆ **Response:**

How do you design your products and work processes to meet requirements?

◆ **Response:**

How does your day-to-day operation of work processes ensure that they meet key process requirements?

◆ **Response:**

How do you determine your key support processes?

◆ **Response:**

How do you improve your work processes and support processes to improve products and process performance, enhance your core competencies, and reduce variability?

◆ **Response:**

How do you manage your supply network?

◆ **Response:**

How do you pursue your opportunities for innovation?

◆ **Response:**

### 6.2 How do you ensure effective management of your operations? Answer each of the following questions.

How do you manage the cost, efficiency, and effectiveness of your operations?

◆ **Response:**

How do you ensure the security and cybersecurity of sensitive or privileged data and information and of key assets?

◆ **Response:**

How do you provide a safe operating environment?

◆ **Response:**

How do you ensure that your organization is prepared for disasters or emergencies?

◆ **Response:**

## 7. Results

The Results category asks about your organization's performance and improvement in all key areas – product and process results, customer results, workforce results, leadership and governance results, and financial, market, and strategy results.

**7.1** Provide your **product performance and process effectiveness** results. Include results for your products and customer service processes. Provide work process effectiveness results. Include results for work process effectiveness and efficiency. Include results for safety and emergency preparedness. Provide supply-network management results. Include appropriate comparative data. Segment your results by product offerings, customer groups, and market segments, and by process types and locations, as appropriate.

◆ **Response:**

**7.2** Provide your **customer-focused performance** results. Include results for customer satisfaction, dissatisfaction, and engagement. Include appropriate comparative data. Segment your results by product offerings, customer groups, and market segments, as appropriate.

◆ **Response:**

**7.3** Provide your **workforce-focused performance** results. Include your workforce capability and capacity results. Include workforce climate results (e.g. health, safety, security and services and benefits). Include your workforce engagement results. Include your workforce and leader development results. Include appropriate comparative data. Segment your results to address the diversity of your workforce and to address your workforce groups and segments, as appropriate.

◆ **Response:**

**7.4** Provide your **senior leadership and governance** results. Include results for senior leaders' communication and engagement with the workforce, partners, and customers. Include results for governance accountability, including those for internal and external fiscal accountability. Include results for meeting and surpassing regulatory and legal requirements, as appropriate. Include results for ethical behavior and stakeholder trust in your senior leaders. Include results for societal well-being and support of your key communities. Include appropriate comparative data. Segment your results by organizational units, as appropriate.

◆ **Response:**

**7.5** Provide your **financial viability** and **strategy implementation** results. Include your financial performance results and marketplace performance results. Include results for the achievement of your organizational strategy and action plans. Include appropriate comparative data. Segment your results by market segments, customer groups, or organizational units as appropriate.

◆ **Response:**