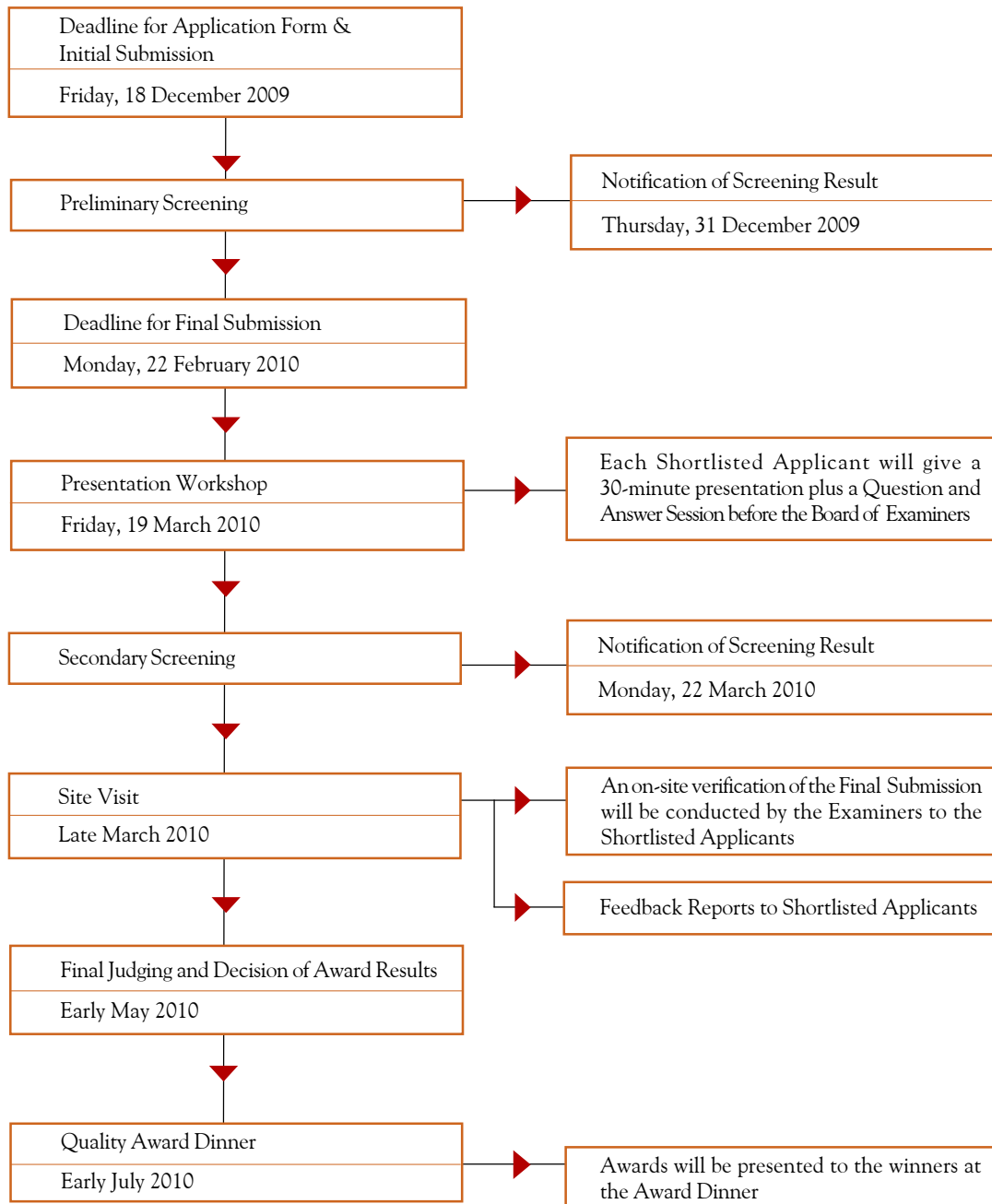




2010 AWARD SCHEDULE AND DETAILED JUDGING CRITERIA

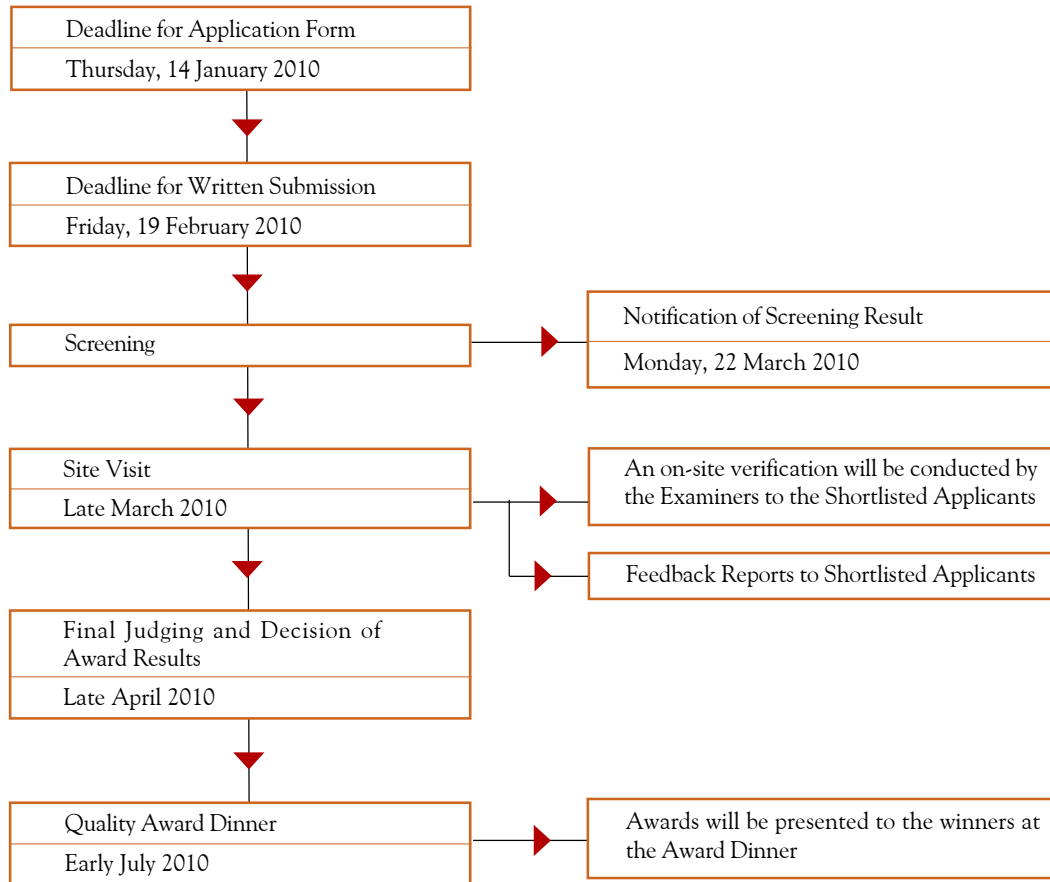
2010 HKMA QUALITY AWARD SCHEDULE

Application for the 2010 Quality Award will be open in October.



2010 SPECIAL AWARD FOR SMEs SCHEDULE

Application for the 2010 Special Award for SMEs will be open in October.





2010 JUDGING CRITERIA

1. SEVEN CRITERIA

The core values and concepts are embodied in seven Criteria Categories:

LEADERSHIP

Leadership addresses how your senior leaders' action guide and sustain your organization, setting organizational vision, values, and performance expectations. Attention is given to how your senior leaders communicate with your workforce, enhance their personal leadership skills, participate in organizational learning and develop future leaders, measure organizational performance, and create an environment that encourages ethical behaviour and high performance. The Category also includes your organization's governance system and how your organization fulfills its legal, ethical, and societal responsibilities and support its key communities.

STRATEGIC PLANNING

Strategic Planning addresses strategic and action planning, deployment of plans, how adequate resources are ensured to accomplish the plans, how plans are changed if circumstances require a change, and how accomplishments are measured and sustained. The Category stresses that long term organizational sustainability and your competitive environment are key strategic issues that need to be integral parts of your organization's overall planning. Decisions about your organizational core competencies are an integral part of organizational sustainability and therefore are key strategic decisions.

CUSTOMER FOCUS

Customer Focus addresses how your organization seeks to engage your customers, with a focus on meeting customers' needs, building relationships, and demonstrating loyalty through their investment in your brand and product offerings. The Category stresses this engagement as an important outcome of an overall customer culture and listening, learning, and performance excellence strategy. Your customer satisfaction and dissatisfaction results provide vital information for understanding your customers and the marketplace. In many cases, the voice of the customer provides meaningful information not only on your customers' views but also on their marketplace behaviors and how these views and behaviours may contribute to the sustainability of your organization in the marketplace.

MEASUREMENT, ANALYSIS, AND KNOWLEDGE MANAGEMENT

The Measurement, Analysis, and Knowledge Management Category is the main point within the Criteria for all key information about effectively measuring, analyzing and improving performance and managing organizational knowledge to drive improvement and organizational competitiveness. In the simplest terms, Category 4.0 is the "brain center" for the alignment of your organization's operations and its strategic objectives. Central to such use of data and information are their quality and availability. Furthermore, since information, analysis, and knowledge management might themselves be primary sources of competitive advantage and productivity growth, the Category also includes such strategic considerations.

WORKFORCE FOCUS

Workforce Focus addresses key workforce practices—those directed toward creating and maintaining a high-performance work environment and toward engaging your workforce to enable it and your organization to adapt to change and to succeed. The Category covers workforce engagement, development, and management in an integrated way, (i.e., aligned with your organization’s strategic objectives and action plans). Your workforce focus includes your capability and capacity needs and your workforce support climate.

To reinforce the basic alignment of workforce management with overall strategy, the Criteria also cover human resource or workforce planning as part of overall planning in the Strategic Planning Category (Category 2).

PROCESS MANAGEMENT

Process Management is the focal point within the Criteria for your key work systems and work processes. This Category addresses how the work of your organization is accomplished. It stresses the importance of your core competencies and how you protect and capitalize on them for success and organizational sustainability. It calls for specific attention to the need to prepare for potential emergencies and to ensure continuing of operations. Efficient and effective work systems require effective design; a prevention orientation; and linkage to customers, suppliers, partners, and collaborators, as well as a focus on value creation for all key stakeholders; operational performance; cycle time; emergency readiness; and evaluation, continuous improvement, and organizational learning.

Agility, cost reduction, and cycle time reduction are increasingly important in all aspects of process management and organizational design. In the simplest terms, “agility” refers to your ability to adapt quickly, flexibly, and effectively to changing requirements. Depending on the nature of your organization’s strategy and markets, agility might mean rapid change from one product to another, rapid response to changing demands, or the ability to produce a wide range of customized services. Agility also increasingly involves decisions to outsource, agreements with key suppliers, and novel partnering arrangements. Flexibility might demand special strategies, such as implementing modular designs, sharing components, sharing manufacturing lines, and providing specialized training. Cost and cycle time reduction often involve Lean process management strategies. Defect reduction and improved product yield often involve Six Sigma projects. It is crucial to utilize key measures for tracking all aspects of your overall process management.

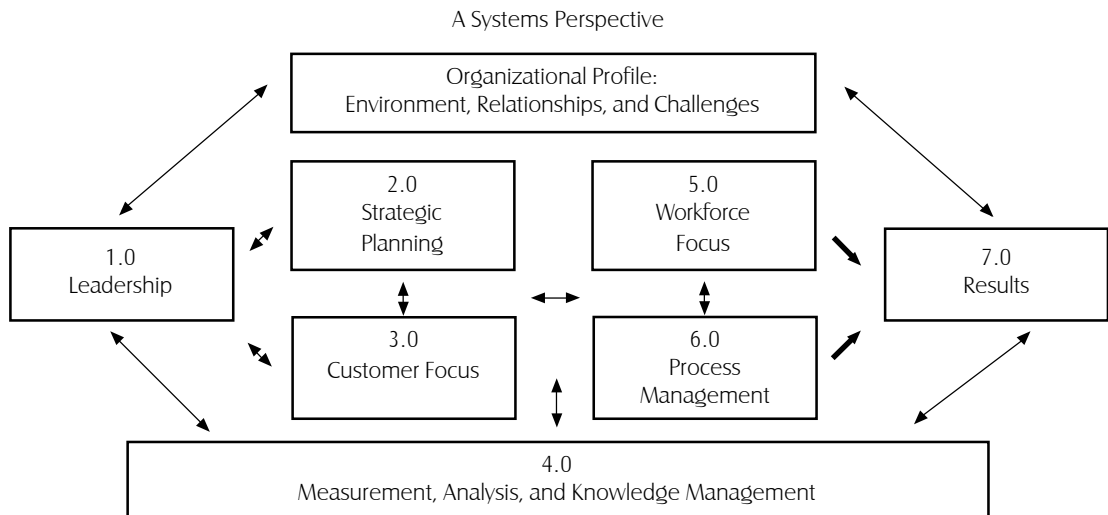
RESULTS

The Results Category provides a results focus that encompasses your objective evaluation and your customers’ evaluation of your organization’s products offering your overall financial and market performance, your workforce results, your leadership system and societal responsibility results, and results of all key processes and process improvement activities. Through this focus, the Criteria’s purposes—superior value of offerings as viewed by your customers and the marketplace; superior organizational performance as reflected in your operational, workforce, legal, ethical, societal, and financial indicators; and organizational and personal learning—are maintained. Category 7.0 thus provides “real-time” information (measures of progress) for evaluation and improvement of processes and products, in alignment with your overall organizational strategy. Item 4.1 calls for analysis and review of results data and information to determine your overall organizational performance and to set priorities for improvement.

2. AWARD CRITERIA FRAMEWORK

The framework connecting and integrating the Criteria Categories is given in the figure below.

BALDRIGE CRITERIA FOR PERFORMANCE EXCELLENCE FRAMEWORK:



From top to bottom, the framework has the following basic elements:

ORGANIZATIONAL PROFILE

Your Organizational Profile (top of figure) sets the context for the way your organization operates. Your environment, key working relationships, and strategic challenges and advantages serve as an overarching guide for your organizational performance management system.

SYSTEM OPERATIONS

The system operations are composed of the six Baldrige Categories in the center of the figure that define your operations, and the results you achieve.

Leadership (Category 1.0), Strategic Planning (Category 2.0), and Customer Focus (Category 3.0) represent the leadership triad. These Categories are placed together to emphasize the importance of a leadership focus on strategy and customers. Senior leaders set your organizational direction and seek future opportunities for your organization.

Workforce Focus (Category 5.0), Process Management (Category 6.0), and Results (Category 7.0) represent the results triad. Your organization's workforce and key processes accomplish the work of the organization that yields your overall performance results.

All actions point toward Results—a composite of product, customer, market and financial, and internal operational performance results, including workforce, leadership, governance, and societal responsibility results.

The horizontal arrow in the center of the framework links the leadership triad to the results triad, a linkage critical to organizational success. Furthermore, the arrow indicates the central relationship between Leadership (Category 1.0) and Results (Category 7.0). The two-headed arrow indicates the importance of feedback in an effective performance management system.

SYSTEM FOUNDATION

Measurement, Analysis, and Knowledge Management (Category 4.0) are critical to the effective management of your organization and to a fact-based, knowledge-driven system for improving performance and competitiveness. Measurement, analysis, and knowledge management serve as a foundation for the performance management system.

3. MARKING SCHEME WITH ITEM LISTING AND POINT VALUES

There are 18 items, each focusing on a major requirement. They are expected to be included in the Final/Written Submission. Maximum point values that can be scored for each item are shown in the chart below.

Preface: Organizational Profile		
P.1	Organizational Description	
P.2	Organizational Situation	
2010	Categories/Items	Point Values
1.0	Leadership	120
	1.1 Senior Leadership	70
	1.2 Governance and Societal Responsibilities	50
2.0	Strategic Planning	85
	2.1 Strategy Development	40
	2.2 Strategy Deployment	45
3.0	Customer Focus	85
	3.1 Customer Engagement	40
	3.2 Voice of the Customer	45
4.0	Measurement, Analysis, and Knowledge Management	90
	4.1 Measurement, Analysis, and Improvement of Organizational Performance	45
	4.2 Management of Information, Knowledge, and Information Technology	45
5.0	Workforce Focus	85
	5.1 Workforce Engagement	45
	5.2 Workforce Environment	40
6.0	Process Management	85
	6.1 Work Systems	35
	6.2 Work Process	50
7.0	Results	450
	7.1 Product Outcomes	100
	7.2 Customer-Focused Outcomes	70
	7.3 Financial and Market Outcomes	70
	7.4 Workforce-Focused Outcomes	70
	7.5 Process Effectiveness Outcomes	70
	7.6 Leadership Outcomes	70
TOTAL POINTS		1000

4. AREAS TO ADDRESS AND POINT VALUES

Items consist of one or more Areas to Address (Areas). Organizations should address their responses to the specific requirements of these Areas. Points will be given to the Areas according to the extent of Approach, Deployment and Results.

Frequently, several questions are grouped under one number [eg. P1 a (3)]. These questions are related and do not require separate responses. These multiple questions serve as a guide in understanding the full meaning of the information being requested.

For definitions of key terms presented throughout the Criteria and Scoring Guidelines text in LARGE CAPS, please visit www.hkma.org.hk/qa/aw_criteria_1.htm for **Item Notes** and **Glossary of Terms**.

Details of these Areas and point values are shown in the following table:

Preface: Organizational Profile

The *Organizational Profile* is a snapshot of your organization, the KEY influences on HOW you operate, and the KEY challenges you face.

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

Describe your organization's operating environment and your KEY relationships with CUSTOMERS, suppliers, PARTNERS, and STAKEHOLDERS.

Within your response, include answers to the following questions:

- a. Organizational Environment
 - (1) What are your organization's main product offerings? What are the delivery mechanisms used to provide your products to your CUSTOMERS?
 - (2) What are the KEY 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?
 - (3) What is your WORKFORCE profile? What are your WORKFORCE or employee groups and SEGMENTS? What are their educational levels? What are the KEY factors that motivate them to engage in accomplishing your MISSION? What are your organization's WORKFORCE and job DIVERSITY, organized bargaining units, KEY benefits, and special health and safety requirements?
 - (4) What are your major facilities, technologies, and equipment?
 - (5) What is the regulatory environment under which your organization operates? What are the applicable occupational health and safety regulations; accreditation, certification, or registration requirements; relevant industry standards; and environmental, financial, and product regulations?
- b. Organizational Relationships
 - (1) What are your organizational structure and GOVERNANCE system? What are the reporting relationships among your GOVERNANCE board, SENIOR LEADERS, and parent organization, as appropriate?

- (2) 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?
- (3) What are your KEY types of suppliers, PARTNERS, COLLABORATORS. What role do these suppliers, PARTNERS, COLLABORATORS play in your WORK SYSTEMS and the production and delivery of your KEY products and CUSTOMER support services? What role, if any, do these organizations play in your organizational INNOVATION PROCESSES? What are your KEY supply chain requirements?
- (4) What are your KEY supplier and CUSTOMER partnering relationship and communication mechanisms?

P.2 Organizational Situation: What is your organization's strategic situation?

Describe your organization's competitive environment, your KEY STRATEGIC CHALLENGES and ADVANTAGES, and your system for PERFORMANCE improvement.

Within your response, include answers to the following questions:

a. Competitive Environment

- (1) 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?
- (2) What are the principal factors that determine your success relative to your competitors? What are any KEY changes taking place that affect your competitive situation, including opportunities for INNOVATION and collaboration, as appropriate?
- (3) 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?

b. Strategic Context

What are your KEY business, operational, and human resource STRATEGIC CHALLENGES and ADVANTAGES? What are your KEY STRATEGIC CHALLENGES and ADVANTAGES associated with organizational SUSTAINABILITY?

c. PERFORMANCE Improvement System

What are the KEY elements of your PERFORMANCE improvement system, including your evaluation, organizational LEARNING, and INNOVATION PROCESSES?

1.0 Leadership (120 pts.)

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.

1.1 Senior Leadership: How do your senior leaders lead? (70 pts.)	Process
<p data-bbox="477 725 1401 824">Describe HOW SENIOR LEADERS guide and sustain your organization. Describe HOW SENIOR LEADERS communicate with your WORKFORCE and encourage HIGH PERFORMANCE.</p> <p data-bbox="477 853 1193 882">Within your response, include answers to the following questions:</p> <p data-bbox="477 904 916 934">a. VISION, VALUES, and MISSION</p> <ol data-bbox="536 947 1401 1509" style="list-style-type: none"><li data-bbox="536 947 1401 1149">(1) HOW do SENIOR LEADERS set organizational VISION and VALUES? HOW do SENIOR LEADERS deploy your organization's VISION and VALUES through your LEADERSHIP SYSTEM, to the WORKFORCE, to KEY suppliers and PARTNERS, and to CUSTOMERS and other STAKEHOLDERS, as appropriate? HOW do SENIOR LEADERS' personal actions reflect a commitment to the organization's VALUES?<li data-bbox="536 1162 1401 1227">(2) HOW do SENIOR LEADERS personally promote an organizational environment that fosters, requires, and results in legal and ETHICAL BEHAVIOR?<li data-bbox="536 1240 1401 1509">(3) HOW do SENIOR LEADERS create a SUSTAINABLE organization? HOW do they create an environment for organizational PERFORMANCE improvement, the accomplishment of your MISSION and STRATEGIC OBJECTIVES, INNOVATION, competitive or role-model PERFORMANCE leadership, and organizational agility? HOW do they create an environment for organizational and WORKFORCE LEARNING? HOW do they develop and enhance their personal leadership skills? HOW do they participate in organizational LEARNING, in succession planning and in the development of future organizational leaders? <p data-bbox="477 1532 1123 1561">b. Communication and Organizational PERFORMANCE</p> <ol data-bbox="536 1574 1401 1993" style="list-style-type: none"><li data-bbox="536 1574 1401 1776">(1) HOW do SENIOR LEADERS communicate with and engage the entire WORKFORCE? HOW do SENIOR LEADERS encourage frank, two-way communication throughout the organization? How do SENIOR LEADERS communicate KEY decisions? HOW do they take an active role in reward and recognition programs to reinforce HIGH PERFORMANCE and a CUSTOMER and business focus?<li data-bbox="536 1789 1401 1993">(2) HOW do SENIOR LEADERS create a focus on action to accomplish the organization's objectives, improve PERFORMANCE, and attain its VISION? What PERFORMANCE MEASURES do SENIOR LEADERS regularly review to identify needed actions? HOW do SENIOR LEADERS include a focus on creating and balancing VALUE for CUSTOMERS and other STAKEHOLDERS in their organizational PERFORMANCE expectations?	

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

Process

Describe your organization's GOVERNANCE system and APPROACH to leadership improvement. Describe HOW your organization assures legal and ETHICAL BEHAVIOUR, fulfills its societal responsibilities, and supports its key communities.

Within your response, include answers to the following questions:

- a. Organizational GOVERNANCE
 - (1) HOW does your organization review and achieve the following KEY aspects of your GOVERNANCE system:
 - accountability for management's actions
 - fiscal accountability
 - transparency in operations and selection of and disclosure policies for GOVERNANCE board members, as appropriate
 - independence in internal and external audits
 - protection of STAKEHOLDER and stockholder interests, as appropriate
 - (2) HOW do you evaluate the PERFORMANCE of your SENIOR LEADERS, including the chief executive? HOW do you evaluate the PERFORMANCE of members of your GOVERNANCE board, as appropriate? HOW do SENIOR LEADERS and your GOVERNANCE board use these PERFORMANCE reviews to further their development and to improve both their personal leadership EFFECTIVENESS and that of your board and LEADERSHIP SYSTEM, as appropriate?
- b. Legal and ETHICAL BEHAVIOR
 - (1) HOW do you address any adverse impacts on society of your products and operations? HOW do you anticipate public concerns with current and future products and operations? HOW do you prepare for these concerns in a proactive manner, including conserving natural resources and using EFFECTIVE SUPPLY chain management PROCESSES, as appropriate? What are your KEY compliance PROCESSES, MEASURES, and GOALS for achieving and surpassing regulatory and legal requirements, as appropriate? What are your KEY PROCESSES, MEASURES, and GOALS for addressing risks associated with your products and operations?
 - (2) HOW does your organization promote and ensure ETHICAL BEHAVIOR in all your interactions? What are your KEY PROCESSES and MEASURES or INDICATORS for enabling and monitoring ETHICAL BEHAVIOR in your GOVERNANCE structure, throughout your organization, and in interactions with CUSTOMERS, PARTNERS, and other STAKE-HOLDERS? HOW do you monitor and respond to breaches of ETHICAL BEHAVIOR?
- c. Societal Responsibilities and Support of KEY Communities
 - (1) How do you consider societal well-being and benefit as part of your strategy and daily operations? How do you consider the well-being of environmental, social and economic systems to which your organization does or may continue?
 - (2) HOW does your organization actively support and strengthen your KEY communities? What are your KEY communities? HOW do you identify these communities and determine areas for organizational involvement, including areas related to your CORE COMPETENCIES? HOW do your SENIOR LEADERS, in concert with your WORKFORCE, contribute to improving these communities?

2.0 Strategic Planning (85 pts.)

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 DEPLOYED and changed if circumstances require, and HOW progress is measured.

2.1 Strategy Development: How do you develop your strategy? (40 pts.)

Process

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.

Within your response, include answers to the following questions:

a. Strategy Development PROCESS

- (1) HOW does your organization conduct its strategic planning? What are the KEY PROCESS steps? Who are the KEY participants? HOW does your PROCESS identify potential blind spots? How do you determine your CORE COMPETENCIES, STRATEGIC CHALLENGES and STRATEGIC ADVANTAGES (identified in your Organizational Profile)? What are your short- and longer-term planning time horizons? HOW are these time horizons set? HOW does your strategic planning PROCESS address these time horizons?
- (2) HOW do you ensure that strategic planning addresses the KEY factors listed below? HOW do you collect and analyze relevant data and information pertaining to these factors as part of your strategic planning PROCESS:
 - your organization's strengths, weaknesses, opportunities, and threats
 - early indications of major shifts in technology, markets, products, CUSTOMER preferences, competition, or the regulatory environment
 - long-term organizational SUSTAINABILITY, including needed CORE COMPETENCIES
 - your ability to execute the strategic plan

b. STRATEGIC OBJECTIVES

- (1) What are your KEY STRATEGIC OBJECTIVES and your timetable for accomplishing them? What are your most important GOALS for these STRATEGIC OBJECTIVES?
- (2) HOW do your STRATEGIC OBJECTIVES address your STRATEGIC CHALLENGES and STRATEGIC ADVANTAGES? How do your STRATEGIC OBJECTIVES address your opportunities for INNOVATION in products, operations, and your business model? HOW do your STRATEGIC OBJECTIVES address current and future CORE COMPETENCIES? HOW do you ensure that your STRATEGIC OBJECTIVES balance short- and longer-term challenges and opportunities? HOW do you ensure that your STRATEGIC OBJECTIVES consider and balance the needs of all KEY STAKEHOLDERS?

2.2 Strategy Deployment: How do you deploy your strategy? (45 pts.)

Process

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.

Within your response, include answers to the following questions:

a. ACTION PLAN Development and DEPLOYMENT

- (1) What are your KEY short- and longer-term ACTION PLANS? What are the KEY planned changes, if any, in your products, your CUSTOMERS and markets, and how you will operate?
- (2) HOW do you develop and DEPLOY ACTION PLANS throughout the organization to your WORKFORCE and to KEY suppliers and PARTNERS, as appropriate, to achieve your KEY STRATEGIC OBJECTIVES? HOW do you ensure that the KEY outcomes of your ACTION PLANS can be sustained?
- (3) HOW do you ensure that adequate financial and other resources are available to support the accomplishment of your ACTION PLANS, while meeting current obligations? How do you allocate these resources to support the accomplishment of the plans? How do you assess and manage the financial and other risks associated with the plans?
- (4) HOW do you establish and DEPLOY modified ACTION PLANS if circumstances require a shift in plans and rapid execution of new plans?
- (5) What are your KEY human resource or WORKFORCE plans to accomplish your short- and longer-term STRATEGIC OBJECTIVES and ACTION PLANS? How do the plans address potential impacts on people in your WORKFORCE and any potential changes to WORKFORCE CAPABILITY and CAPACITY needs?
- (6) What are your KEY PERFORMANCE MEASURES or INDICATORS for tracking the achievement and EFFECTIVENESS of your ACTION PLANS? HOW do you ensure that your overall ACTION PLAN measurement system reinforces organizational ALIGNMENT? HOW do you ensure that the measurement system covers all KEY DEPLOYMENT areas and STAKEHOLDERS?

b. PERFORMANCE PROJECTION

For the KEY PERFORMANCE MEASURES or INDICATORS identified in 2.2a (6), what are your PERFORMANCE PROJECTIONS for both your short- and longer-term planning time horizons? How are these PROJECTIONS determined? How does your projected PERFORMANCE compare with the projected PERFORMANCE of your competitors or comparable organizations? How does it compare with KEY BENCHMARKS, GOALS, and past PERFORMANCE, as appropriate? How do you ensure progress so that you will need your PROJECTIONS? If there are current or projected gaps in PERFORMANCE against your competitors or comparable organizations, HOW will you address them?

3.0 Customer Focus (85 pts.)

The **Customer Focus** Category examines HOW your organization engages its CUSTOMERS for long-term marketplace success. This ENGAGEMENT strategy includes HOW your organization builds a CUSTOMER-focused culture. Also examined is HOW your organization listens to the VOICE OF ITS CUSTOMERS and uses this information to improve and identify opportunities for INNOVATION.

3.1 Customer Engagement: How do you engage customers to serve their needs and build relationships? (40 pts.)

Process

Describe HOW your organization determines product offerings and mechanisms to support CUSTOMERS' use of your products. Describe also HOW your organization builds a CUSTOMER-focused culture.

Within your response, include answers to the following questions:

- a. Product Offerings and CUSTOMER Support
 - (1) HOW do you identify and innovate product offerings to meet the requirements and exceed the expectations of your CUSTOMER groups and market SEGMENTS (identified in your Organizational Profile)? HOW do you identify and innovate product offerings to attract new CUSTOMERS and provide opportunities for expanding relationships with existing CUSTOMERS, as appropriate?
 - (2) HOW do you determine your KEY mechanisms to support use of your products and enable CUSTOMERS to seek information and conduct their business with you? What are your KEY means of CUSTOMER support, including your KEY communication mechanisms? How do they vary for different CUSTOMERS, CUSTOMER groups, or market SEGMENTS? HOW do you determine your CUSTOMERS KEY support requirements? HOW do you ensure that CUSTOMER support requirements are DEPLOYED to all people and PROCESSES involved in CUSTOMER SUPPORT?
 - (3) HOW do you keep your APPROACHES for identifying and innovating product offerings and for providing CUSTOMER support current with business needs and directions?
- b. Building a CUSTOMER Culture
 - (1) HOW do you create an organizational culture that ensures a consistently positive CUSTOMER experience and contributes to CUSTOMER ENGAGEMENT? How do your WORKFORCE PERFORMANCE management system and your WORKFORCE and leader development systems reinforce this culture?
 - (2) HOW do you build and manage relationships with CUSTOMERS to
 - acquire new CUSTOMERS;
 - meet their requirements and exceed their expectations in each stage of the CUSTOMER life cycle; and
 - increase their ENGAGEMENT with you?
 - (3) HOW do you keep your APPROACHES for creating a CUSTOMER-focused culture and building CUSTOMER relationships current with business needs and directions?

3.2 Voice of the Customer: How do you obtain and use information from your customers? (45 pts.)

Process

Describe HOW your organization listens to your CUSTOMERS and acquires satisfaction and dissatisfaction information. Describe also HOW CUSTOMER information is used to improve your marketplace success.

Within your response, include answers to the following questions:

- a. CUSTOMER Listening
 - (1) HOW do you listen to CUSTOMERS to obtain actionable information and to obtain feedback on your products and your CUSTOMER support? How do your listening methods vary for different CUSTOMERS, CUSTOMER groups, or market SEGMENTS? How do your listening methods vary across the CUSTOMER life cycle? How do you follow up with CUSTOMERS on the quality of products, CUSTOMER support, and transactions to receive immediate and actionable feedback?
 - (2) HOW do you listen to former CUSTOMERS, potential CUSTOMERS, and CUSTOMERS of competitors to obtain actionable information and to obtain feedback on your products, CUSTOMER support, and transactions, as appropriate?
 - (3) HOW do you manage CUSTOMER complaints? HOW does your CUSTOMER complaint management PROCESS ensure that complaints are resolved promptly and effectively? HOW does your CUSTOMER complaint management PROCESS enable you to recover your CUSTOMERS' confidence, and enhance their satisfaction and ENGAGEMENT? HOW does your complaint management system enable aggregation and ANALYSIS of complaints for use in improvement throughout your organization and by your PARTNERS, as appropriate?
- b. Determination of CUSTOMER Satisfaction and ENGAGEMENT
 - (1) HOW do you determine CUSTOMER satisfaction and ENGAGEMENT? HOW do these determination methods differ among CUSTOMER groups and market SEGMENTS, as appropriate? HOW do your measurements capture actionable information for use in exceeding your CUSTOMERS' expectations and securing your CUSTOMERS' ENGAGEMENT? HOW do your determination methods enable aggregation and ANALYSIS of data for use in improvement throughout your organization and by your PARTNERS, as appropriate?
 - (2) HOW do you obtain and use information on your CUSTOMERS' satisfaction relative to their satisfaction with your competitors? HOW do you obtain and use information on your CUSTOMER satisfaction relative to the satisfaction levels of CUSTOMERS of other organizations providing similar products or to industry BENCHMARKS, as appropriate?
 - (3) HOW do you determine CUSTOMER dissatisfaction? HOW do your measurements capture actionable information for use in meeting your CUSTOMERS' requirements and exceeding their expectations in the future? HOW do your determination methods enable aggregation and ANALYSIS of data for use in improvement throughout your organization and by your PARTNERS, as appropriate?

c. ANALYSIS and Use of CUSTOMER Data

- (1) HOW do you use CUSTOMER, market, and product offering information to identify current and anticipate future CUSTOMER groups and market SEGMENTS? HOW do you consider CUSTOMERS of competitors and other potential CUSTOMERS and markets in this segmentation? HOW do you determine which CUSTOMERS, CUSTOMER groups, and market SEGMENTS to pursue for current and future products?
- (2) HOW do you use CUSTOMER, market, and product offering information to identify and anticipate KEY CUSTOMER requirements (including products and product features) and changing expectations and their relative importance to CUSTOMERS' purchasing or relationship decisions? HOW do you identify and anticipate how these requirements and changing expectations will differ across CUSTOMERS, CUSTOMER groups, and market SEGMENTS and across the CUSTOMER life cycle?
- (3) HOW do you use CUSTOMER, market, and product offering information to improve marketing, build a more CUSTOMER-focused culture, and identify opportunities for INNOVATION?
- (4) HOW do you keep your APPROACHES for CUSTOMERS listening; determination of CUSTOMER satisfaction, dissatisfaction, and ENGAGEMENT; and use of CUSTOMER data current with business needs and directions?

4.0 Measurement, Analysis, and Knowledge Management (90 pts.)

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 reviews and uses reviews to improve its PERFORMANCE.

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

Process

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.

Within your response, include answers to the following questions:

- a. PERFORMANCE Measurement
 - (1) HOW do you select, collect, align, and integrate data and information for tracking daily operations and for tracking overall organizational PERFORMANCE, including progress relative to STRATEGIC OBJECTIVES and ACTION PLANS? What are your KEY organizational PERFORMANCE MEASURES, including KEY short-term and longer-term financial MEASURES? HOW frequently are these MEASURES determined? HOW do you use these data and information to support organizational decision making and INNOVATION?
 - (2) HOW do you select and ensure the EFFECTIVE use of KEY comparative data and information to support operational and strategic decision making and INNOVATION?
 - (3) HOW do you keep your PERFORMANCE measurement system current with business needs and directions? HOW do you ensure that your PERFORMANCE measurement system is sensitive to rapid or unexpected organizational or external changes?
- b. PERFORMANCE ANALYSIS and Review

HOW do you review organizational PERFORMANCE and capabilities? What ANALYSES do you perform to support these reviews and to ensure that conclusions are valid? HOW do you use these reviews to assess organizational success, competitive PERFORMANCE, and progress relative to STRATEGIC OBJECTIVES and ACTION PLANS? HOW do you use these reviews to assess your organization's ability to rapidly respond to changing organizational needs and challenges in your operating environment?
- c. PERFORAMNCE Improvement

HOW do you translate organizational PERFORMANCE review findings into priorities for continuous and breakthrough improvement and into opportunities for INNOVATION? HOW are these priorities and opportunities DEPLOYED to work group and functional-level operations throughout your organization to enable EFFECTIVE support for their decision making? When appropriate, HOW are the priorities and opportunities DEPLOYED to your suppliers, PARTNERS, and COLLABORATORS to ensure organizational ALIGNMENT?

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

Process

Describe HOW your organization ensures the quality and availability of needed data, information, software, and hardware for your WORKFORCE, suppliers, PARTNERS, COLLABORATORS, and CUSTOMERS. Describe HOW your organization builds and manages its KNOWLEDGE ASSETS.

Within your response, include answers to the following questions:

- a. Data, Information, and Knowledge Management
 - (1) HOW do you ensure the following properties of your organizational data, information, and knowledge?
 - accuracy
 - integrity and reliability
 - timeliness
 - security and confidentiality
 - (2) HOW do you make needed data and information available? HOW do you make them accessible to your WORKFORCE, suppliers, PARTNERS, COLLABORATORS, and CUSTOMERS, as appropriate?
 - (3) HOW do you manage organizational knowledge to accomplish:
 - the collection and transfer of WORKFORCE knowledge;
 - the transfer of relevant knowledge from and to CUSTOMERS, suppliers, PARTNERS, and COLLABORATORS;
 - the rapid identification, sharing, and implementation of best practices; and
 - the assembly and transfer of relevant knowledge for use in your strategic planning PROCESS
- b. Management of Information Resources and Technology
 - (1) HOW do you ensure that hardware and software are reliable, secure, and user friendly?
 - (2) In the event of an emergency, HOW do you ensure the continued availability of hardware and software systems and the continued availability of data and information?
 - (3) HOW do you keep your data and information availability mechanisms, including your software and hardware systems, current with business needs and directions and with technological changes in your operating environment?

5.0 Workforce Focus (85 pts.)

The *Workforce Focus* Category 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. The Category examines your ability to assess WORKFORCE CAPABILITY and CAPACITY needs and to build a WORKFORCE environment conducive to HIGH PERFORMANCE.

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

Process

Describe HOW your organization engages, compensates, and rewards your WORKFORCE to achieve HIGH PERFORMANCE. Describe HOW members of your WORKFORCE, including leaders, are developed to achieve HIGH PERFORMANCE. Describe HOW you assess WORKFORCE ENGAGEMENT and use the results to achieve higher PERFORMANCE.

Within your response, include answers to the following questions:

- a. WORKFORCE Enrichment
 - (1) HOW do you determine the KEY factors that affect WORKFORCE ENGAGEMENT? How do you determine the KEY factors that affect WORKFORCE satisfaction? How are these factors determined for different WORKFORCE groups and SEGMENTS?
 - (2) HOW do you foster an organizational culture that is characterized by open communication, HIGH PERFORMANCE WORK, and an engaged WORKFORCE? HOW do you ensure your organizational culture benefits from the diverse ideas, cultures, and thinking of your WORKFORCE?
 - (3) HOW does your WORKFORCE PERFORMANCE management system support HIGH-PERFORMANCE WORK and WORKFORCE ENGAGEMENT? How does your WORKFORCE PERFORMANCE management system consider WORKFORCE compensation, reward, recognition, and incentive practices? How does your WORKFORCE PERFORMANCE management system reinforce a CUSTOMER and business focus and achievement of your ACTION PLANS?

- b. WORKFORCE and Leader Development
- (1) How does your LEARNING and development system address the following factors for your WORKFORCE and your leaders?
 - your organization's CORE COMPETENCIES, STRATEGIC CHALLENGES, and accomplishment of its ACTION PLANS, both short-term and long-term
 - organizational PERFORMANCE improvement and INNOVATION
 - ethics and ethical business practices
 - the breadth of development opportunities, including education, training, coaching, mentoring, and work-related experiences, as appropriate
 - (2) How does your LEARNING and development system address the following factors for your WORKFORCE?
 - your organization's CORE COMPETENCIES, STRATEGIC CHALLENGES, and accomplishment of its ACTION PLANS, both short-term and long-term
 - the transfer of knowledge from departing or retiring workers
 - the reinforcement of new knowledge and skills on the job
 - (3) How do you evaluate the EFFECTIVENESS and efficiency of your LEARNING and development systems?
 - (4) How do you manage EFFECTIVE career progression for your entire WORKFORCE? How do you accomplish EFFECTIVE succession planning for management and leadership positions?
- c. Assessment of WORKFORCE ENGAGEMENT
- (1) How do you assess WORKFORCE ENGAGEMENT? What formal and informal assessment methods and MEASURES do you use to determine WORKFORCE ENGAGEMENT and WORKFORCE satisfaction? How do these methods and MEASURES differ across WORKFORCE groups and SEGMENTS? How do you use other INDICATORS, such as WORKFORCE retention, absenteeism, grievances, safety, and PRODUCTIVITY to assess and improve WORKFORCE ENGAGEMENT?
 - (2) How do you relate your WORKFORCE ENGAGEMENT assessment findings to KEY business RESULTS reported in Category 7 to identify opportunities for improvement in both WORKFORCE ENGAGEMENT and business RESULTS?

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

Process

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.

Within your response, include answers to the following questions:

- a. WORKFORCE CAPABILITY and CAPACITY
 - (1) How do you assess your WORKFORCE CAPABILITY and CAPACITY needs, including skills, competencies, and staffing levels?
 - (2) How do you recruit, hire, place, and retain new members of your WORKFORCE? How do you ensure your WORKFORCE represents the diverse ideas, cultures, and thinking of your hiring and CUSTOMER community?
 - (3) How do you manage and organize your WORKFORCE to accomplish the work of your organization, capitalize on the organization's CORE COMPETENCIES, reinforce a CUSTOMER and business focus, exceed PERFORMANCE expectations, address your STRATEGIC CHALLENGES and ACTION PLANS, and achieve the agility to address changing business needs?
 - (4) How do you prepare your WORKFORCE for changing CAPABILITY and CAPACITY needs? How do you manage your WORKFORCE, its needs, and your needs to ensure continuity, to prevent WORKFORCE reductions, and to minimize the impact of WORKFORCE reductions, if they do become necessary?
- b. WORKFORCE Climate
 - (1) How do you address workplace environmental factors to ensure and improve WORKFORCE health, safety, and security? What are your PERFORMANCE MEASURES and improvement GOALS for each of these workplace factors? What are any significant differences in these factors and PERFORMANCE MEASURES or targets for different workplace environments?
 - (2) How do you support your WORKFORCE via policies, services, and benefits? How are these tailored to the needs of a diverse WORKFORCE and different WORKFORCE groups and SEGMENTS?

6.0 Process Management (85 pts.)

The **PROCESS Management** Category examines HOW your organization designs its WORK SYSTEMS and HOW it designs, manages, and improves its KEY PROCESSES for implementing those WORK SYSTEMS to deliver CUSTOMER VALUE and achieve organizational success and SUSTAINABILITY. Also examined is your readiness for emergencies.

6.1 Work Systems: How do you design your work systems? (35 pts.) Process

Describe HOW your organization designs its WORK SYSTEMS and KEY PROCESSES to deliver CUSTOMER VALUE, prepare for potential emergencies, and achieve organizational success and SUSTAINABILITY.

Within your response, include answers to the following questions:

a. WORK SYSTEMS DESIGN

- (1) HOW do you design and innovate your overall WORK SYSTEMS? How do you decide which PROCESSES within your overall WORK SYSTEMS will be internal to your organization (your KEY work PROCESSES) and which will use external resources?
- (2) HOW do your WORK SYSTEMS and KEY WORK PROCESSES relate to and capitalize on your CORE COMPETENCIES?

b. KEY WORK PROCESS

- (1) What are your organization's KEY work PROCESSES? How do these PROCESSES contribute to delivering CUSTOMER VALUE, profitability, organizational success, and SUSTAINABILITY?
- (2) HOW do you determine KEY work PROCESS requirements, incorporating input from CUSTOMERS, suppliers, PARTNERS, and COLLABORATORS, as appropriate? What are the KEY requirements for these PROCESS?

c. Emergency Readiness

HOW do you ensure WORK SYSTEM and workplace preparedness for disasters or emergencies? How does your disaster and emergency preparedness system consider prevention, management, continuity of operations, and recovery?

6.2 Work Processes: How do you design, manage, and improve your key organizational work processes? (50 pts)

Process

Describe HOW your organization designs, implements, manages, and improves its KEY work PROCESSES to deliver CUSTOMER VALUE and achieve organizational success and SUSTAINABILITY.

Within your response, include answers to the following questions:

a. WORK PROCESS DESIGN

(1) HOW do you design and innovate your work PROCESSES to meet all the KEY requirements? How do you incorporate new technology, organizational knowledge, and the potential need for agility into the design of these PROCESSES? How do you incorporate CYCLE TIME, PRODUCTIVITY, cost control, and other efficiency and EFFECTIVENESS factors into the design of these PROCESSES?

b. Work PROCESS Management

(1) HOW do you implement your work PROCESSES to ensure that they meet design requirements? How does your day-to-day operation of these PROCESSES ensure that they meet KEY PROCESS requirements? How is WORKFORCE, CUSTOMER, supplier, PARTNER, and COLLABORATOR input used in managing these PROCESSES, as appropriate? What are your KEY PERFORMANCE MEASURES or INDICATORS and in-process MEASURES used for the control and improvement of your work PROCESSES?

(2) HOW do you control the overall costs of your WORK PROCESSES? How do you prevent defects, service errors, and rework and minimize warranty costs or CUSTOMERS' PRODUCTIVITY losses, as appropriate? How do you minimize the costs of inspections, tests, and PROCESS or PERFORMANCE audits, as appropriate?

c. Work PROCESS improvement

HOW do you improve your work PROCESSES to achieve better PERFORMANCE, to reduce variability, to improve products, and to keep the PROCESSES current with business needs and directions? How do you incorporate the RESULTS of the organizational PERFORMANCE reviews discussed in response to Item 4.1 into the SYSTEMATIC evaluation and improvement of your WORK PROCESSES? How are WORK PROCESS improvements and lessons learned shared with other organizational units and PROCESSES to drive organizational LEARNING and INNOVATION?

7.0 Results (450 pts.)

The **RESULTS** Category examines your organization's **PERFORMANCE** and improvement in all **KEY** areas — product outcomes, **CUSTOMER**-focused outcomes, financial and market outcomes, **WORKFORCE**-focused outcomes, **PROCESS EFFECTIVENESS** outcomes, and leadership outcomes. **PERFORMANCE LEVELS** are examined relative to those of competitors and other organizations with similar product offerings.

7.1 Product Outcomes: What are your product performance results? (100 pts.)

Results

Summarize your organization's **KEY** product **PERFORMANCE RESULTS**. **SEGMENT** your **RESULTS** by product offerings, **CUSTOMER** groups, and market **SEGMENTS**, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

- a. **Product RESULTS**
What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of product **PERFORMANCE** that are important to your **CUSTOMERS**? **HOW** do these **RESULTS** compare with the **PERFORMANCE** of your competitors and other organizations with similar product offerings?

7.2 Customer-Focused Outcomes: What are your customer-focused performance results? (70 pts.)

Results

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.

Provide data and information to answer the following questions:

- a. **CUSTOMER-Focused RESULTS**
 - (1) What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of **CUSTOMER** satisfaction and dissatisfaction? How do these **RESULTS** compare with the **CUSTOMER** satisfaction **LEVELS** of your competitors and other organizations providing similar products?
 - (2) What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of **CUSTOMER**-perceived **VALUE**, including **CUSTOMER** relationship building and **ENGAGEMENT**? **HOW** do these **RESULTS** compare over the course of your **CUSTOMER** life cycle, as appropriate?

7.3 Financial and Market Outcomes: What are your financial and marketplace performance results? (70 pts.)	Results
<p>Summarize your organization's KEY financial and marketplace PERFORMANCE RESULTS by market SEGMENTS or CUSTOMER groups, as appropriate. Include appropriate comparative data.</p> <p>Provide data and information to answer the following questions:</p> <p>a. Financial and Market RESULTS</p> <ol style="list-style-type: none"> (1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of financial PERFORMANCE, including aggregate MEASURES of financial return, financial viability, or budgetary PERFORMANCE, as appropriate? (2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of marketplace PERFORMANCE, including market share or position, market and market share growth, and new markets entered, as appropriate? 	

7.4 Workforce-Focused Outcomes: What are your workforce-focused performance results? (70 pts.)	Results
<p>Summarize your organization's KEY WORKFORCE-focused RESULTS for WORKFORCE ENGAGEMENT and for your WORKFORCE environment. SEGMENT your RESULTS to address the DIVERSITY of your WORKFORCE and to address your WORKFORCE groups and SEGMENTS, as appropriate. Include appropriate comparative data.</p> <p>Provide data and information to answer the following questions:</p> <p>a. WORKFORCE RESULTS</p> <ol style="list-style-type: none"> (1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of WORKFORCE ENGAGEMENT and WORKFORCE satisfaction? (2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of WORKFORCE and leader development? (3) What are your current LEVELS and TRENDS IN KEY MEASURES OF WORKFORCE CAPABILITY and CAPACITY, including staffing levels and appropriate skills? (4) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of your WORKFORCE climate, including workplace health, safety, and security and WORKFORCE services and benefits, as appropriate? 	

7.5 Process Effectiveness Outcomes: What are your process effectiveness results? (70 pts.)

Results

Summarize your organization's KEY operational PERFORMANCE RESULTS that contribute to the improvement of organizational EFFECTIVENESS, including your organization's readiness for emergencies. SEGMENT your RESULTS by product offerings, by CUSTOMER groups and market SEGMENTS, and by PROCESSES and locations, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

- a. PROCESS EFFECTIVENESS RESULTS
 - (1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the operational PERFORMANCE of your WORK SYSTEMS, including WORK SYSTEM and workplace preparedness for disasters or emergencies?
 - (2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the operational PERFORMANCE of your KEY WORK PROCESSES, including PRODUCTIVITY, CYCLE TIME, and other appropriate MEASURES OF PROCESS EFFECTIVENESS, efficiency, and INNOVATION?

7.6 Leadership Outcomes: What are your leadership results? (70 pts.)

Results

Summarize your organization's KEY GOVERNANCE and SENIOR LEADERSHIP RESULTS, including evidence of strategic plan accomplishments, 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.

Provide data and information to answer the following questions:

- a. Leadership and Social Responsibility RESULTS
 - (1) What are your RESULTS for KEY MEASURES or INDICATORS of accomplishment of your organizational strategy and ACTION PLANS?
 - (2) What are your KEY current findings and TRENDS in KEY MEASURES or INDICATORS of GOVERNANCE and fiscal accountability, both internal and external, as appropriate?
 - (3) What are your RESULTS for KEY MEASURES or INDICATORS of regulatory and legal compliance?
 - (4) What are your RESULTS for KEY MEASURES or INDICATORS of ETHICAL BEHAVIOR and of STAKEHOLDER trust in the SENIOR LEADERS and GOVERNANCE of your organization? What are your RESULTS for KEY MEASURES or INDICATORS of breaches of ETHICAL BEHAVIOR?
 - (5) What are your RESULTS for KEY MEASURES or INDICATORS of your organization's fulfillment of its societal responsibilities and your organization's support of its KEY communities?

5. PROCESS SCORING GUIDELINES

Items in Criteria Categories 1-6 are designated as "Process" Items, while Criteria Category 7 as "Result" Items. The four factors used to evaluate process are: Approach, Deployment, Learning and Integration (A-D-L-I). The four factors used to evaluate results are Levels, Trends, Comparisons, and Integration (Le-T-C-I). The scoring are based on a holistic view, not a checklist, of the organization's achievement level across all four factors.

FOR USE WITH CATEGORIES 1-6

SCORE	RESULTS
0% or 5%	<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)
10%, 15%, 20%, or 25%	<ul style="list-style-type: none"> The beginning of a SYSTEMATIC APPROACH to the BASIC REQUIREMENTS 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)
30%, 35%, 40%, or 45%	<ul style="list-style-type: none"> An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the BASIC REQUIREMENTS 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 your basic organizational needs identified in response to the Organizational Profile and other Process Items. (I)
50%, 55%, 60%, or 65%	<ul style="list-style-type: none"> An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the OVERALL 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 your organizational needs identified in response to the Organizational Profile and other Process Items. (I)

SCORE	RESULTS
70%, 75%, 80%, or 85%	<ul style="list-style-type: none"> • An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the MULTIPLE 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 your organizational needs identified in response to the Organizational Profile and other Process Items. (I)
90%, 95% or 100%	<ul style="list-style-type: none"> • An EFFECTIVE, SYSTEMATIC APPROACH, fully responsive to the MULTIPLE REQUIREMENTS 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 your organizational needs identified in response to the Organizational Profile and other Process Items. (I)

FOR USE WITH CATEGORY 7

SCORE	RESULTS
0% or 5%	<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 organizational's MISSION. No PERFORMANCE PROJECTIONS are reported. (I)
10%, 15%, 20%, or 25%	<ul style="list-style-type: none"> • A few organizational PERFORMANCE RESULTS are reported, and early good PERFORMANCE LEVELS are evident in a few areas. (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. Limited or no PERFORMANCE PROJECTIONS are reported. (I)
30%, 35%, 40%, or 45%	<ul style="list-style-type: none"> • Good organizational PERFORMANCE LEVELS are reported for some areas of importance to the Item requirements. (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. Limited PERFORMANCE PROJECTIONS are reported. (I)
50%, 55%, 60%, or 65%	<ul style="list-style-type: none"> • Good organizational PERFORMANCE LEVELS are reported for most areas of importance to the Item requirements. (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. PERFORMANCE PROJECTIONS for some high-priority RESULTS are reported. (I)
70%, 75%, 80%, or 85%	<ul style="list-style-type: none"> • Good to excellent organizational PERFORMANCE LEVELS are reported for most areas of importance to the Item requirements. (Le) • Beneficial TRENDS have been sustained over time in most areas of importance to the accomplishment of your organization's MISSION. (T) • Many of 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, and they include some projections of your future performance. (I)
90%, 95% or 100%	<ul style="list-style-type: none"> • Excellent organizational PERFORMANCE LEVELS are reported for most areas of importance to the Item requirements. (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 fully address KEY CUSTOMER, market, PROCESS, and ACTION PLAN requirements, and they include PROJECTIONS of your future PERFORMANCE. (I)



CHANGES FROM THE 2009 CRITERIA

CHANGES FROM THE 2009 CRITERIA

The most significant revisions to the 2010 Criteria address three areas of importance: (1) customer focus, (2) organizational core competencies, and (3) sustainability and societal responsibilities.

The concept of customer engagement has received increasing attention as organizations compete in a global marketplace and in competitive local markets. The Criteria questions probe your ability to identify and deliver relevant product offerings to your customers now and in the future. The questions ask about your organization's customer culture and how it contributes to customer engagement. The questions probe how you listen to the voice of the customer and, more importantly, how you use the information gathered. Is your organization customer focused?

While core competencies were introduced as an important concept in the 2007 Baldrige Criteria, their strategic significance was not fully exploited. The Criteria questions now probe the relationship of your core competencies to your organization's mission, strategy, and sustainability. Is your organization competent in the areas that will deliver its sustainability?

Leading organizations are paying increased attention to the sustainability of their environmental, social, and economic systems. The Criteria questions probe how you contribute changes from The 2008 criteria to the well-being of these systems and what your specific contributions have been. Is your organization fulfilling its societal responsibilities?

The most significant changes in the Criteria are summarized as follows:

- The number of Areas to Address has increased from 37 to 41 to increase clarity and definition; the number of Criteria Items remains unchanged at 18, plus 2 in the Preface: Organizational Profile.
- The **Preface: Organizational Profile** now includes your core competencies as a key characteristic of your organizational environment.
- Category 1, **Leadership**, includes an enhanced focus on sustainability and societal responsibilities and the senior leaders' role.
- Category 2, **Strategic Planning**, introduces core competencies as a strategic concept.
- Category 3, **Customer Focus**, has been redesigned around customer engagement and the voice of the customer.
- Category 4, **Measurement, Analysis, and Knowledge Management**, clearly separates but emphasizes both the importance of information and knowledge management and the management of information technology and systems.
- Category 5, **Workforce Focus**, has been simplified to add clarity and focus to important aspects of workforce engagement.
- Category 6, **Process Management**, has been reorganized for a more logical flow of the questions.
- Category 7, **Results**, has been aligned with the changes in Categories 1–6 to encourage the measurement of important and appropriate results.

There have been some changes in all Criteria Items; the most significant changes are highlighted below.

Preface: Organizational Profile

- Item P.1, **Organizational Description**, now includes a question related to the organization's core competencies and their relation to the organization's mission.
- Item P.2, formerly Organizational Challenges, has been retitled **Organizational Situation** to more accurately reflect the broad focus of this Item.

Category 1: Leadership

- Item 1.1, **Senior Leadership**, now includes a question related to how senior leaders enhance their personal leadership skills.
- Item 1.2, now **Governance and Societal Responsibilities**, has an enhanced focus on societal responsibilities. These responsibilities include conserving natural resources; assuming responsibility for your suppliers' actions; and considering the well-being of environmental, social, and economic systems to which your organization contributes.

Category 2: Strategic Planning

- Item 2.1, **Strategy Development**, now includes core competencies as a key component of strategy development and organizational sustainability.
- Item 2.2, **Strategy Deployment**, now includes a question addressing the deployment of your action plans to key suppliers and partners.

Category 3: now Customer Focus

- This Category has been totally redesigned with two new Items.
- Item 3.1, now **Customer Engagement**, asks how you engage customers to serve their needs and build relationships. It has two Areas to Address: (1) Product Offerings and Customer Support, and (2) Building a Customer Culture.
- Item 3.2, now **Voice of the Customer**, asks how you obtain and use information from your customers. It has three new Areas to Address: (1) Customer Listening, (2) Determination of Customer Satisfaction and Engagement, and (3) Analysis and Use of Customer Data.

Category 4: Measurement, Analysis, and Knowledge Management

- Item 4.1, **Measurement, Analysis, and Improvement of Organizational Performance**, now includes a separate Area to Address on Performance Improvement.
- Item 4.2, now **Management of Information, Knowledge, and Information Technology**, clarifies which Criteria requirements are related to information technology by including the term in the title of the second Area to Address, Management of Information Resources and Technology.

Category 5: Workforce Focus

- Item 5.1, **Workforce Engagement**, still has three Areas to Address, but the number of questions in the multiple requirements has been reduced to simplify and focus the requirements.

Category 6: Process Management

- Item 6.1, **Work Systems**, has been modified for a more logical flow of the questions. The three Areas to Address are now (1) Work Systems Design, (2) Key Work Processes, and (3) Emergency Readiness.
- Item 6.2, now **Work Processes**, has three Areas to Address: (1) Work Process Design, (2) Work Process Management, and (3) Work Process Improvement. Work Process Improvement includes a question about how you incorporate the results of organizational performance reviews into the improvement of your work processes.

Category 7: Results

- Item 7.2, **Customer-Focused Outcomes**, is aligned with the revised Category 3, asking for results related to customer engagement.
- Item 7.6, **Leadership Outcomes**, now includes a question about your results for fulfillment of your societal responsibilities.