

*Baldrige Express
Assessment Process*

Introduction

The Baldrige Criteria for Performance Excellence help organizations identify strengths and key areas for improvement.

The Baldrige approach has been used for over 20 years by tens of thousands of organizations to stay abreast of competition and to increase effectiveness.

70+ countries throughout the world have adopted the Baldrige framework to enhance competitiveness.

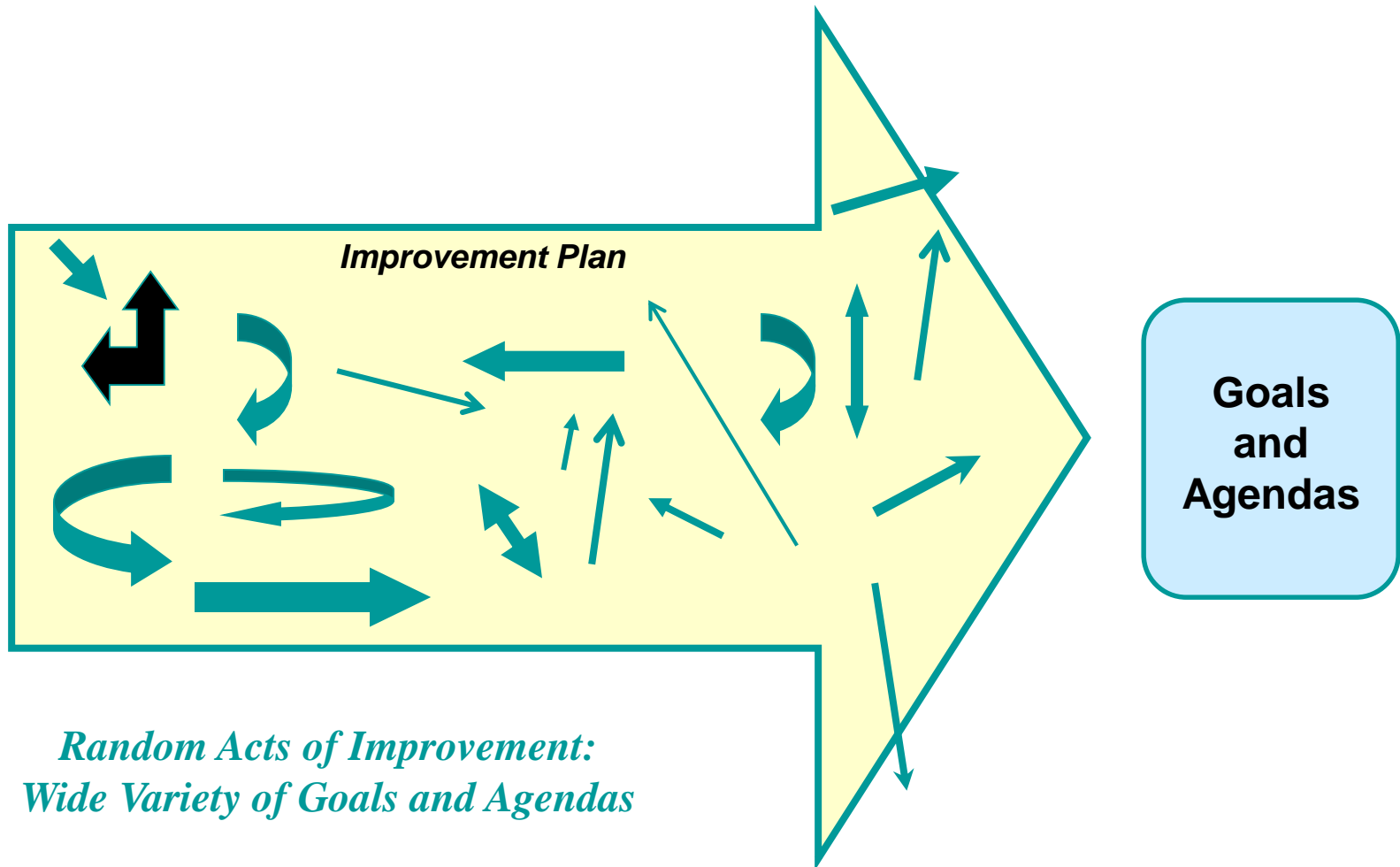


Why Choose Baldrige?

The Baldrige Criteria:

- ◆ **Focus on results**
- ◆ **Provide a framework for improvement without being prescriptive**
- ◆ **Are adaptable.** They can be used by large and small businesses, and organizations with one site or worldwide locations.
- ◆ **Are inclusive.** The Criteria describe an integrated management framework that addresses all the factors that define the organization, its operations, and its results.
- ◆ **Focus on common requirements, rather than procedures, tools, or techniques**
- ◆ **Support a systems perspective to maintaining organization-wide goal alignment**
- ◆ **Support goal-based diagnosis**

Typical Early Maturity Organizations

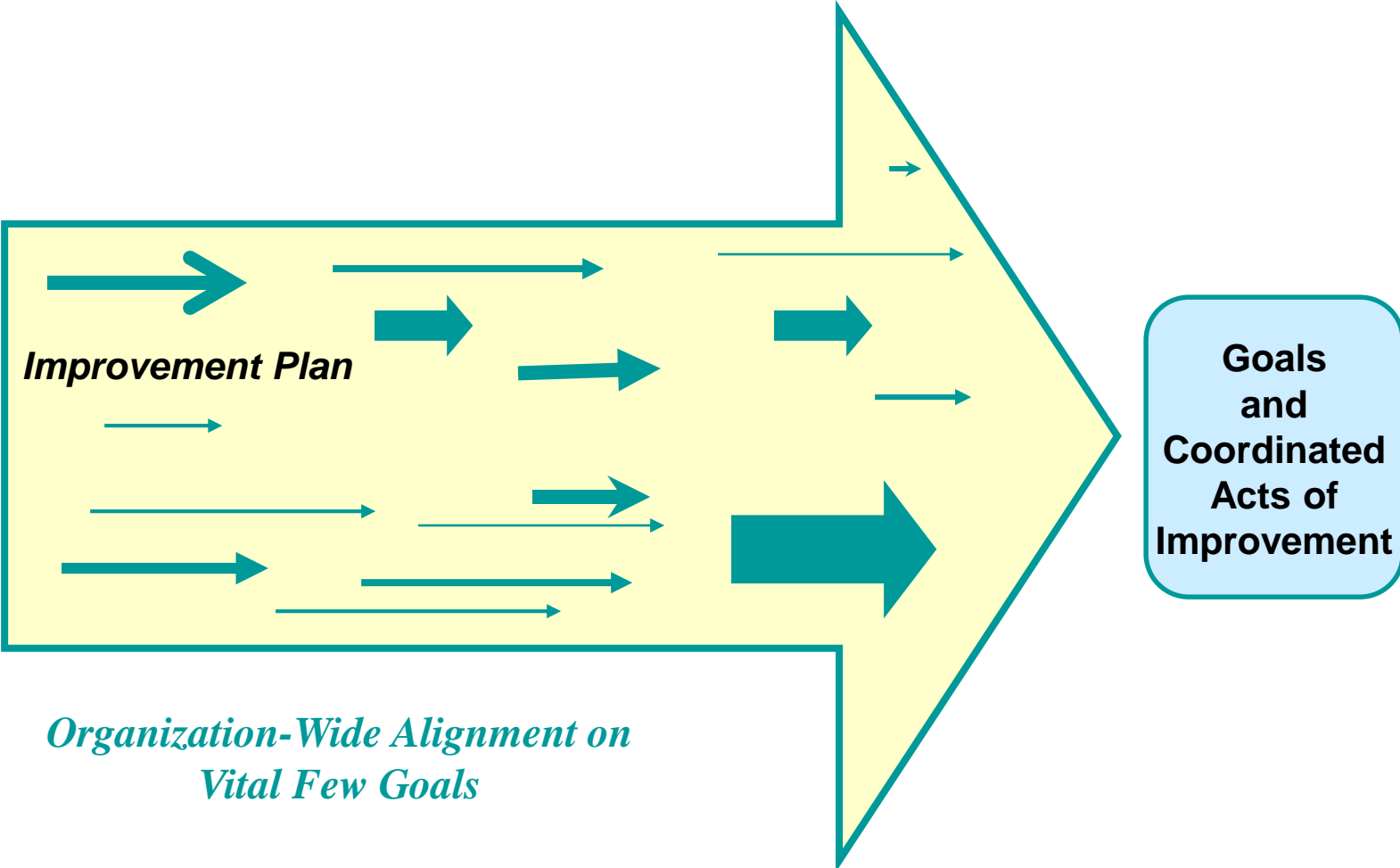


Improvement Plan

**Goals
and
Agendas**

*Random Acts of Improvement:
Wide Variety of Goals and Agendas*

Higher Maturity: Aligned & Integrated Activities; Gains in Key Measures



Getting Started

- Align your resources, systems, and processes by measuring your performance
- The Wisconsin Center for Performance Excellence administers an organizational assessment utilizing the Criteria for Performance Excellence
- The assessment measures performance on a wide range of key organization performance indicators
- The assessment helps to evaluate key processes, systems and results
- The assessment will help identify organizational strengths, deployment gaps, and pinpoint vital opportunities for improvement

Baldrige Express Assessment

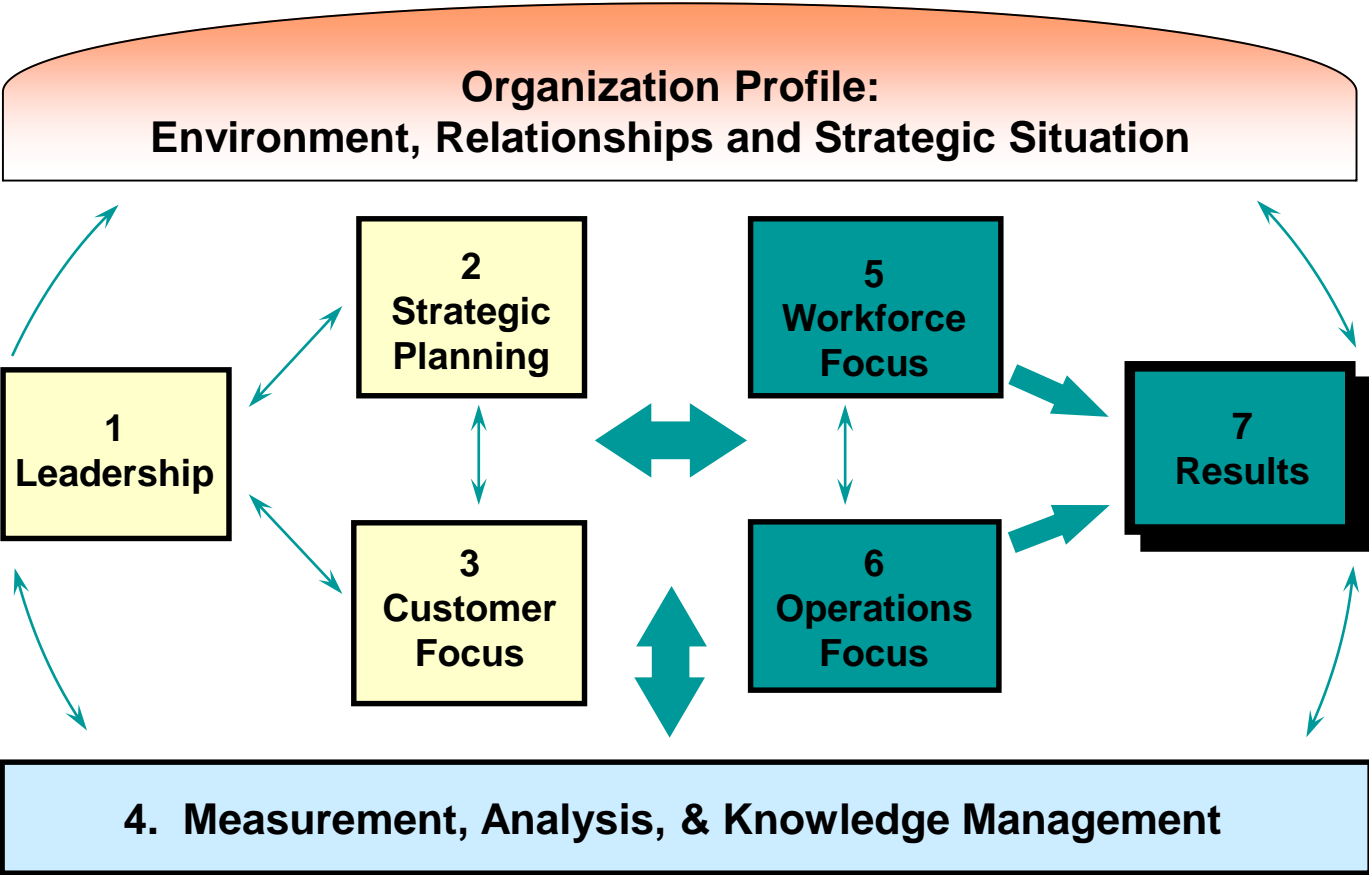
- The organizational assessment guides you through the 7 categories, addressing each item of the Health Care Criteria for Performance Excellence
- The assessment consists of 44 questions and takes approximately 30 minutes to 1 hour to complete depending on the thoughtful comments provided by participants
- The assessment tool uses a maturity scale to determine the performance level
- The assessment tool and Performance Indicator Feedback Report are effective and efficient aides to organizational assessment and improvement planning



Criteria for Performance Excellence

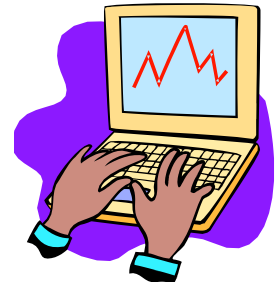
- Leadership
- Strategic Planning
- Customer Focus
- Measurement, Analysis, and Knowledge Management
- Workforce Focus
- Operations Focus
- Results

Criteria for Performance Excellence Framework



Benefits of the eSurvey Approach

- Online, web-based, easily accessed from any PC
- Accessible 24/7
- Cost effective compared to alternative approaches
- Technical support provided
- Engage employees at all levels
- Easy to use maturity scale to determine performance level
- Receive internal and external feedback
- Obtain high performance diagnostics from the feedback
- Up to 3-day turnaround of Performance Indicator Feedback Report upon completion of assessment



The Presentation

- The following slides guide you through the eSurvey process
- Included with the following eSurvey snapshots are sample charts to show how the data collected is later represented in the Performance Indicator Feedback Report.



Login Page

Assessment Login

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Welcome to the Organizational Performance Assessment conducted by the National Council for Performance Excellence. Your organization's leadership has decided to undergo this assessment process in an effort to measure its current performance.

This instrument is designed to assess the performance of your organization from each individual's point of view. Your responses will determine how valid - and how valuable - the assessment results will be. So please be thoughtful, candid, and thorough. Thank you!

This is a **secure** web site to ensure the confidentiality of your responses.

You should have received an e-mail message with your user ID and password. This information is required before you can begin completing the assessment.

User ID:

Password: Change Password

Assessment Login

Type in your User ID which you received through email (usually your email address) and unique password. Click 'Assessment Login'.

Customized Demographic Profile

An organization will choose their own customized Demographic Profile.

The following is a sample.

Position	Location	Function	Years of Service
Senior Management	Emergency	Medical Support	0 yrs. < 1 yr.
Other Staff	Main Bldg.	Clinician	1 yrs. < 3 yrs.
Doctor/Nurse	Outpatient	Customer Service	3 yrs. < 5 yrs.
		Admin Support	5 yrs. < 10 yrs.
			10+ yrs.

- The Demographic Profile provides valuable comparative attributes within the organization.
- Participants choose appropriate selections from the Demographic Profile to indicate their position within the organization.
- Comparative charts and data are presented in the Performance Indicator Feedback Report according to the selections of the participants.

Baldrige Express Demographic Selection

(Sample Participant's View)

Demographics

Click on one selection which most closely matches your role in the organization.

Position

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Senior Management



Doctor/Nurse



Other Staff

Click 'Next' to save your selection and advance to the next page.

1/3

Next ▶

Each different demographic attribute will appear on separate pages. Participants select the demographic value that describes their position within the organization.

Assessment Status Page

Assessment Status

This assessment ends on **Saturday, December 31, 2011** at Midnight (Eastern Time). Please complete the assessment before this date. Your input is valued and appreciated. Thank you.

Click on each Category title below to complete the assessment. All information is saved each time you click 'Next'. You may login and resume work on the assessment any number of times before the end date.

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Demographics	<i>Completed</i>
Category 1 Leadership	
Category 2 Strategic Planning	
Category 3 Customer Focus	
Category 4 Measurement, Analysis & Knowledge Mgmt	
Category 5 Workforce Focus	
Category 6 Operations Focus	
Category 7 Results	

Once you have completed the Demographic Profile, click on the Leadership Category to begin the assessment.

[Print Responses](#)

Category 1 of Baldrige Express

1) Click the radio button for each theme that best describes the level of development in your organization.

2) Mouse over the levels at the top to view the descriptors of each level or click “Full Descriptions” below.

3) Identify 1 theme you believe is the most important to improve now under the MNI column. This data is reported as a Pareto chart and Priority Improvement Data Chart in the Feedback Report.

MNI	#	Theme	Not Evident	Beginning	Basically Effective	Mature	Advanced	Role Model
<input type="checkbox"/>	1A	Senior leaders establish and communicate the vision, mission, and values throughout the organization.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="checkbox"/>	1B	Senior leaders promote legal and ethical behavior.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input checked="" type="checkbox"/>	1C	Senior leaders promote staff empowerment, innovation, learning, organizational agility, customer engagement, and develop future leaders to sustain organizational success.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="checkbox"/>	1D	Senior leaders empower and motivate staff, encourage two-way communication, participate in reward and recognition to improve performance, and create value for patients and stakeholders.	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="checkbox"/>	1E	Our governance system ensures that management is accountable for the organization’s actions, their effectiveness is evaluated, and that stakeholder interests are protected.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="checkbox"/>	1F	We anticipate and reduce risks to the public that may come from our health care services and operations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="checkbox"/>	1G	Leadership makes sure ethical practices are followed and addressed throughout the organization.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="checkbox"/>	1H	Our organization considers the well being of environmental, social, and economic systems and provides support through activities and programs in the community.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

Priority Improvement Comments

(Sample Participant's View)

1/1 Next ▶

Category 1

Describe briefly the activities your organization conducts that relate to the theme:
Senior leaders promote staff empowerment, innovation, learning, organizational agility, customer engagement, and develop future leaders to sustain organizational success.

Comments: Describe how your senior leaders promote performance improvement, creativity, and organizational and employee learning to sustain success in the future. How do senior leaders develop future leaders? How widely is this done?

Process comments go here.

Suggest ways to improve this process.

Suggestions for improvement go here.

1/1 Next ▶

Participants offer process comments and suggestions for improvement on their selection.

Process comments are requested for each Category priority improvement selection.

Participants offer suggestions for improvement on the process.

Completed Assessment Status Page

Assessment Status

This assessment ends on **Saturday, December 31, 2011** at Midnight (Eastern Time). Please complete the assessment before this date. Your input is valued and appreciated. Thank you.

Click on each Category title below to complete the assessment. All information is saved each time you click 'Next'. You may login and resume work on the assessment any number of times before the end date.

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Demographics	<i>Completed</i>
Category 1 Leadership	<i>Completed</i>
Category 2 Strategic Planning	<i>Completed</i>
Category 3 Customer Focus	<i>Completed</i>
Category 4 Measurement, Analysis & Knowledge Mgmt	<i>Completed</i>
Category 5 Workforce Focus	<i>Completed</i>
Category 6 Operations Focus	<i>Completed</i>
Category 7 Results	<i>Completed</i>

[Print Responses](#)

- When the Demographics and ALL the Categories say 'Completed', your data will automatically be submitted.
- Participants may print their own survey responses by clicking "Print Responses".

Review and Edit Assessment

Participants can provide feedback on the assessment tool to the Assessment Administrator.

Assessment Status

[Click this link to provide feedback on the assessment](#)

Congratulations!

You've successfully completed the Online Assessment administered by the National Council for Performance Excellence. Thank you very much for taking the time to complete the assessment.

Click the **Back to Assessment** button to review or edit responses in the Assessment.

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[return to assessment status page](#)

Back to Assessment

Participants can review and edit their assessment once it is completed by clicking "Back to Assessment".

Performance Indicator Feedback Report

- When all assessment data has been collected, an automated Performance Indicator Feedback Report will be generated and sent within three business days.
- The Performance Indicator Feedback Report consists of:
 - ◆ Demographic Charts
 - ◆ Overall Scores
 - ◆ Category-Level Scores
 - ◆ Item-Level Scores
 - ◆ Gap Analysis Charts
 - ◆ Overall Priority Analysis Chart
 - ◆ Benchmark/Comparative Data
 - ◆ Individual Question Scores – Current, Next Level, and Role Model Performance Levels
 - ◆ Pareto Charts for each Category
 - ◆ Priority Improvement Data Charts
 - ◆ Process and Results Comments
 - ◆ Priority Improvement Comments

Leadership Category, Item and Point Values

The point values of the scoring system are linked directly to the points and scoring system of the Malcolm Baldrige Criteria for Performance Excellence. Each item and the questions included in the items are also derived from the Baldrige Criteria.

1.0 Leadership -- 120 points

1.1 Senior Leadership -- 70 points

- 1A Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)]
- 1B Senior Leaders Promoting a Climate for Legal and Ethical Behavior [Baldrige ref: 1.1a(2)]
- 1C Sustaining the Organization Through Innovation, Learning, Organizational Agility, and Future Leaders [Baldrige ref: 1.1a(3)]
- 1D Effectively Communicating, Engaging, and Encouraging Workers to Take Action to Improve Performance and Create Patient and Stakeholder Value [Baldrige ref: 1.1b(1&2)]

1.2 Governance and Societal Responsibilities -- 50 points

- 1E Reviewing and Achieving Management Accountability, Protect Stakeholder Interests, and Improve Leader Effectiveness [Baldrige ref: 1.2a(1&2)]
- 1F Following Laws and Regulations, and Addressing Public Risks and Concerns [Baldrige ref: 1.2b(1)]
- 1G Promoting and Ensuring Ethical Behavior throughout the Organization [Baldrige ref: 1.2b(2)]
- 1H Actively Supporting and Strengthening Key Communities and Community Health [Baldrige ref: 1.2c(1&2)]

Organization Demographics

The Demographic Section is designed to provide the organization with an overall response rate relative to the total number of respondents and their percentage weight for each demographic attribute they have chosen.

Attribute/Value	Number Responded	Response as % of Total
Position		
Senior Management	7	28.0
Other Staff	10	40.0
Doctor/ Nurse	8	32.0
Total	25	100%

This chart reflects sample demographic data collected from the eSurvey and reported in the Performance Indicator Feedback Report.

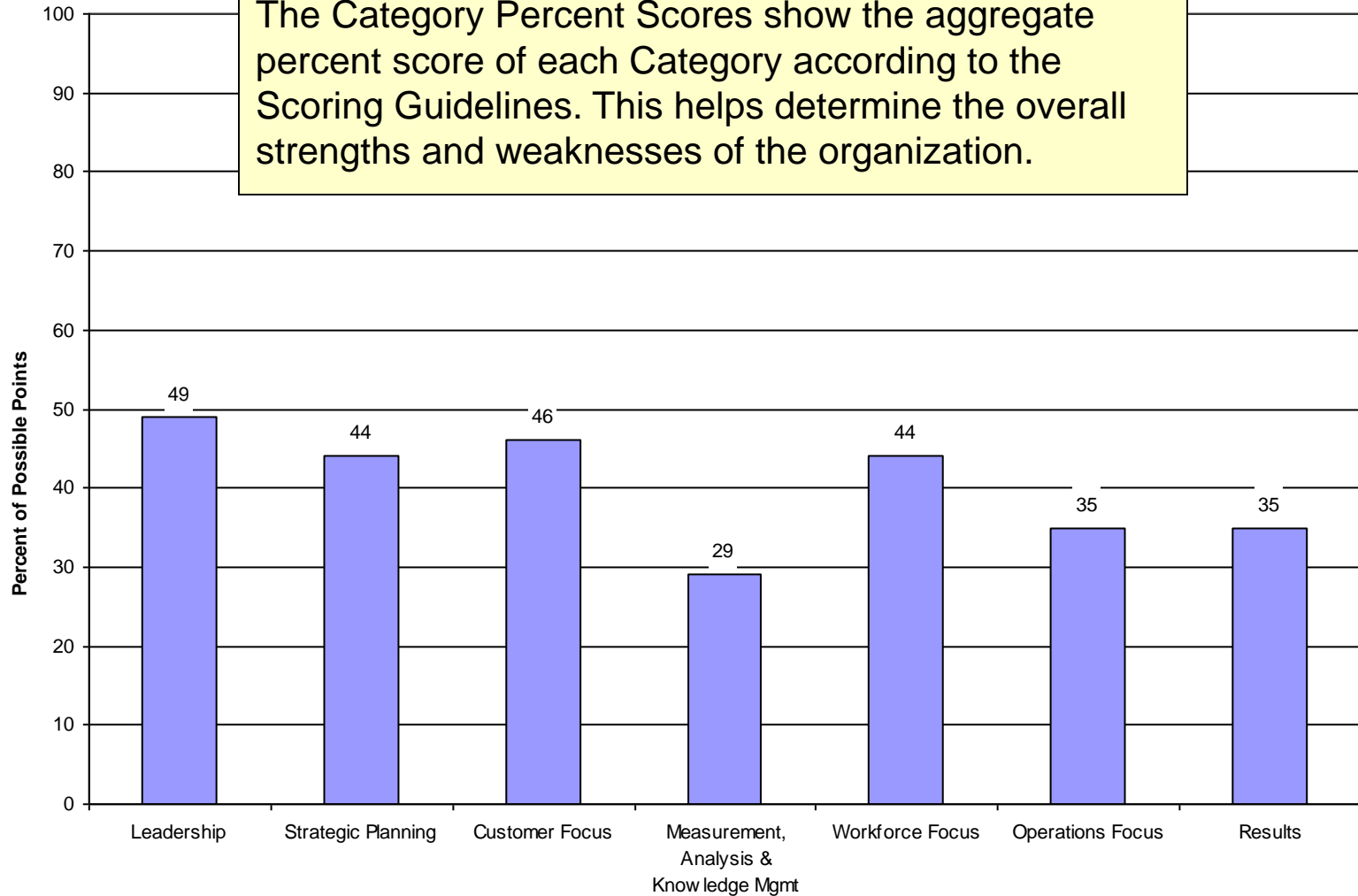
Feedback Report Summary Results

Baldrige Criteria	Total Points	Points Scored	% of Total Pts.
1. Leadership	120	59	49
2. Strategic Planning	85	37	44
3. Customer Focus	85	39	46
4. Measurement, Analysis, & Knowledge Mgmt	90	26	29
5. Workforce Focus	85	38	44
6. Operations Focus	85	30	35
7. Results	450	158	35
Totals	1000	387	39%

This table explains the amount of points scored for each category, the total possible points to score in a category and the percentage of total points for each category.

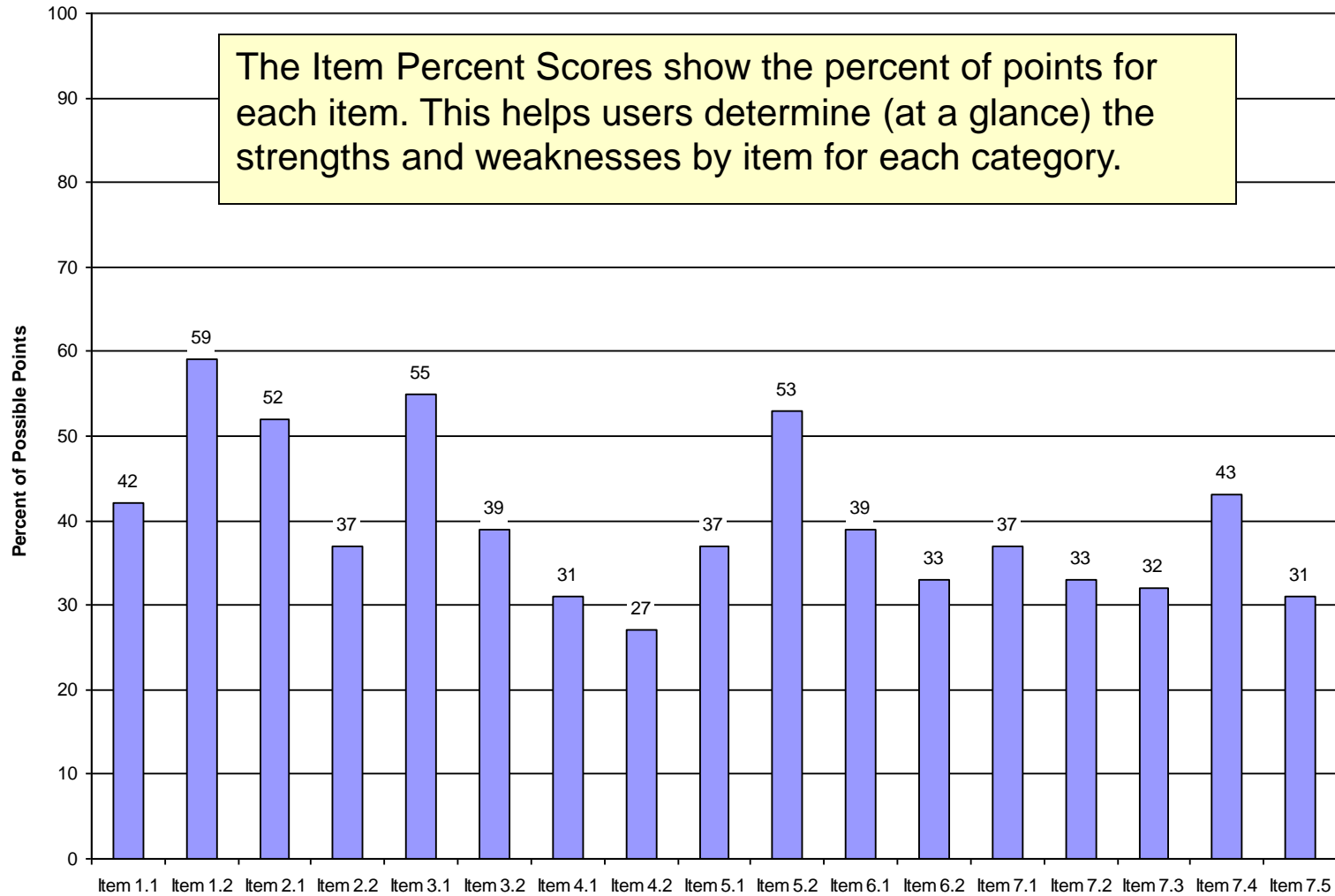
Category Percent Scores

The Category Percent Scores show the aggregate percent score of each Category according to the Scoring Guidelines. This helps determine the overall strengths and weaknesses of the organization.



Item Percent Scores

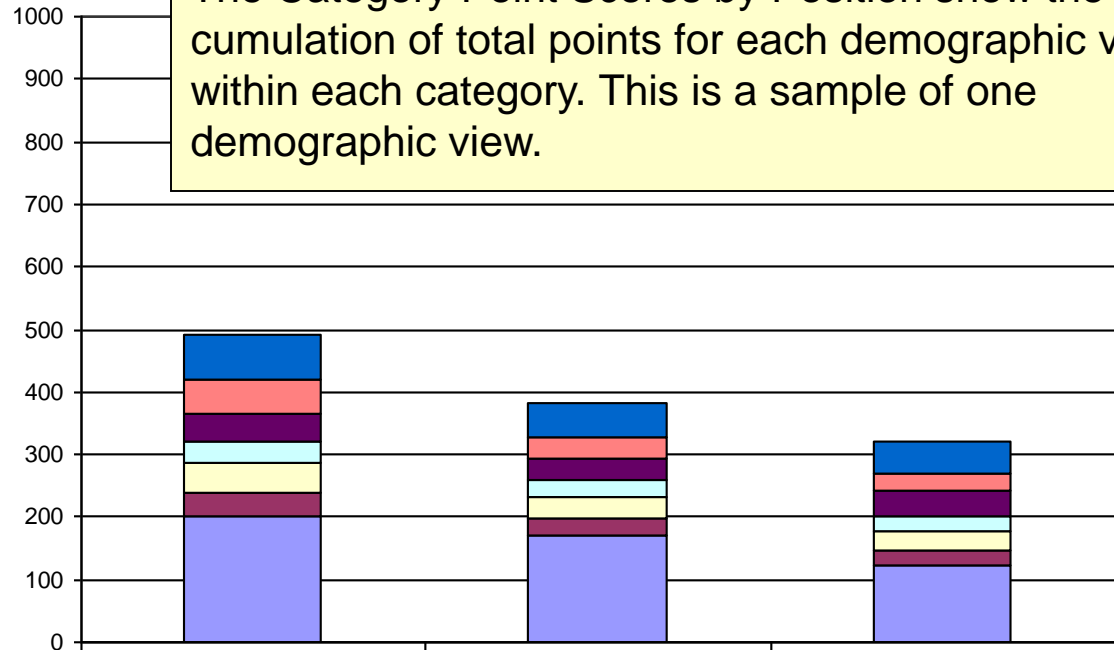
The Item Percent Scores show the percent of points for each item. This helps users determine (at a glance) the strengths and weaknesses by item for each category.



Category Point Scores by Position

The Category Point Scores by Position show the cumulation of total points for each demographic view within each category. This is a sample of one demographic view.

Total Possible Points

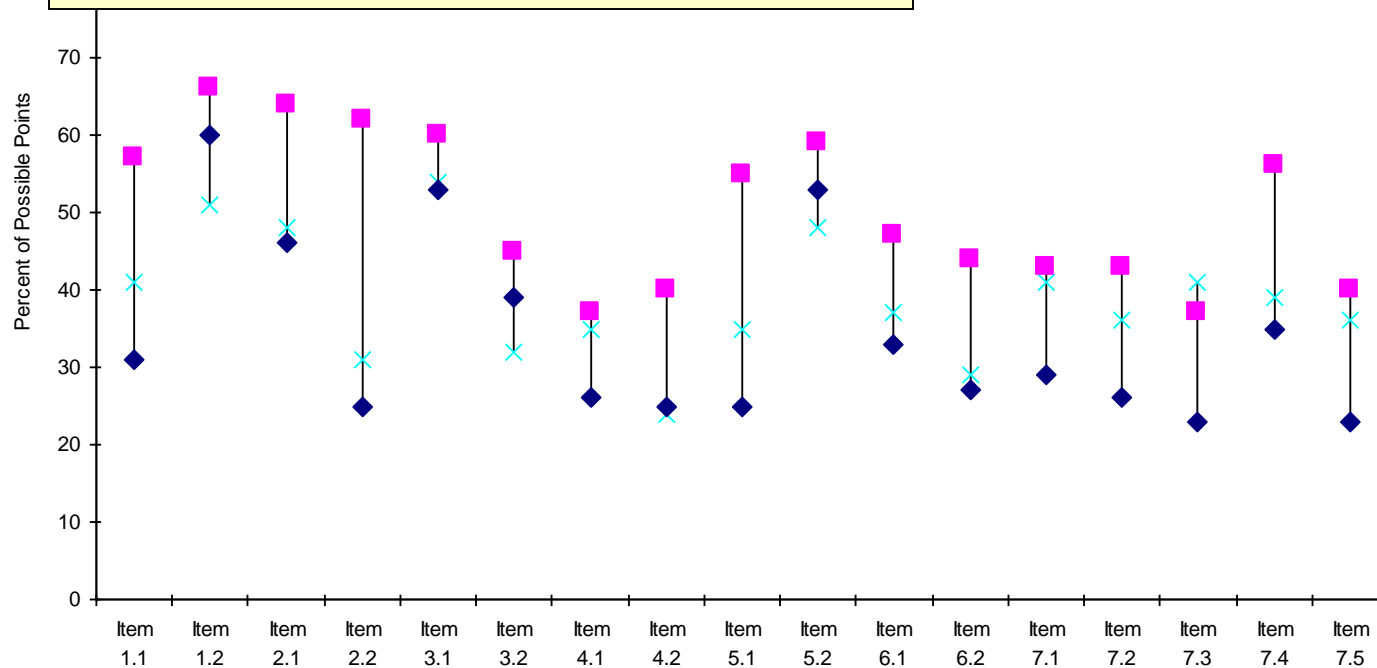


	Senior Management	Doctor/Nurse	Other Staff
Leadership	73	54	52
Strategic Planning	53	33	29
Customer Focus	44	36	39
Measurement, Analysis & Knowledge Mgmt	35	26	23
Workforce Focus	48	35	32
Operations Focus	38	27	25
Results	201	171	122

Item Percent Scores by Position

Notice the gap between Senior Management and Other Staff and Doctors/Nurses in Item 2.2 This suggests an area to examine further.

However, Item 5.2 shows a high degree of agreement indicating a consistent deployment of results information.



This chart shows the ratings by demographic attribute, in this case, Position. On a previous graph, Item 2.2, Leadership System, reflected a rating of 37%. However, according to the breakout above, Sr. Mgmt. believe the processes are much stronger (65 percent) than Support Staff (24 percent) and Doctors/Nurses (30 percent). This typically indicates incomplete systems development or poor deployment of existing systems and processes required by the Item.

Priority Analysis Chart – Question Level

Question Maturity vs Priority for Improvement (Normalized across Categories 1-6)



Top Priority Opportunities and Strengths

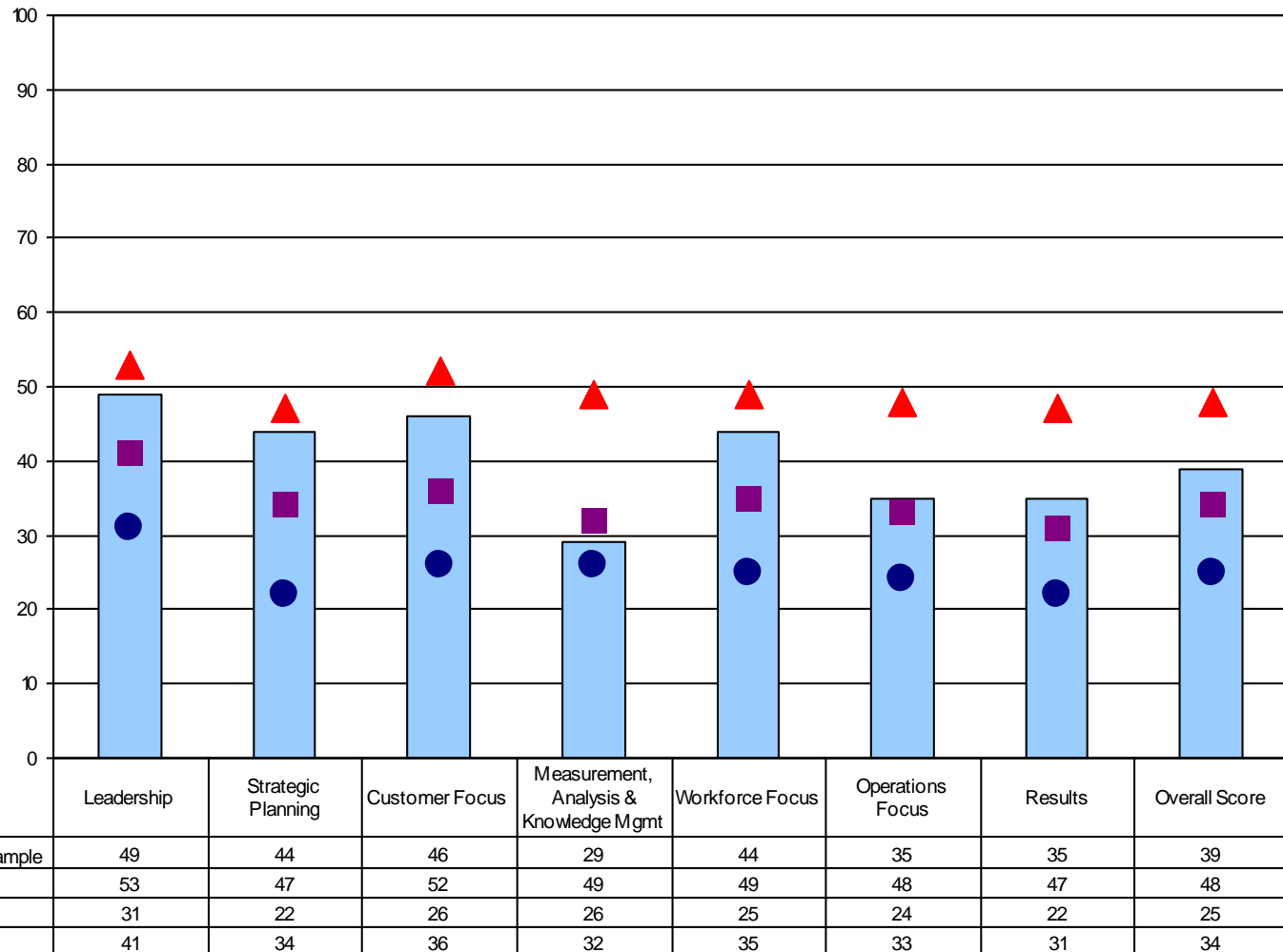
■ **Top 5 Opportunities for Improvement**

- 1C Sustaining the Organization Through Innovation, Learning, Organizational Agility, and Developing Leaders
- 5B Providing Benefits and Services and Creating a Safe, Secure, and Healthful Work Environment
- 6C Preparing the Work System and the Workplace for Emergencies and Disasters
- 3F Managing and Resolving Patient and Stakeholder Complaints Effectively and Promptly
- 2E Aligning Work, Tracking Progress, and Making Changes to Action Plans Quickly

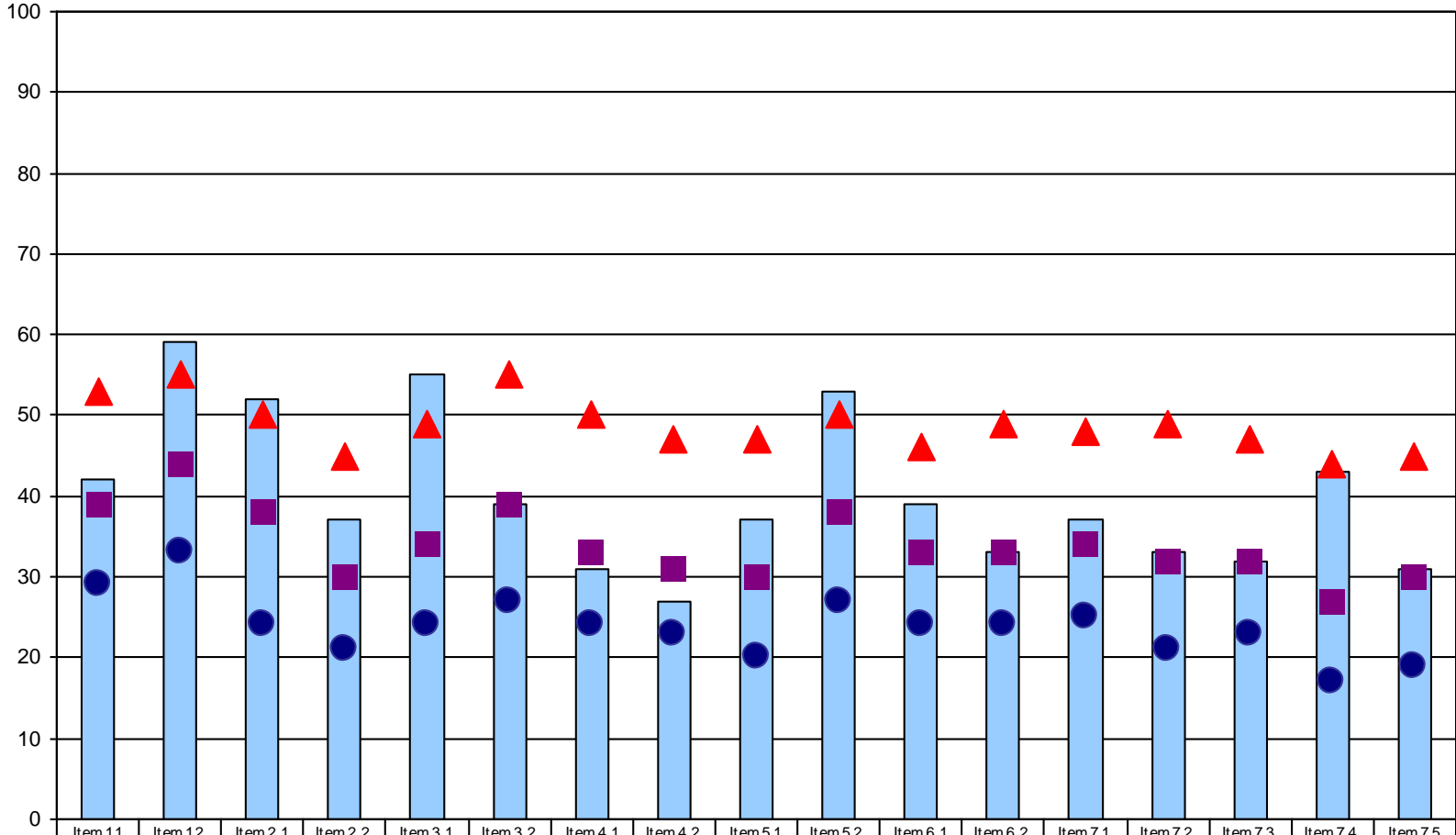
■ **Top 5 Strengths**

- 4A Selecting Measures and Collecting Data to Track Daily Operations and Overall Organizational Performance to Support Decision Making
- 6A Designing Work Systems to Deliver Patient and Stakeholder Value
- 3A Listening to Patients and Stakeholders to Obtain Feedback and Actionable Information
- 2A Developing Strategic Plans
- 5E Assessing and Improving Workforce Engagement and Satisfaction

Category Benchmark with NAICS Code 62 Nationally

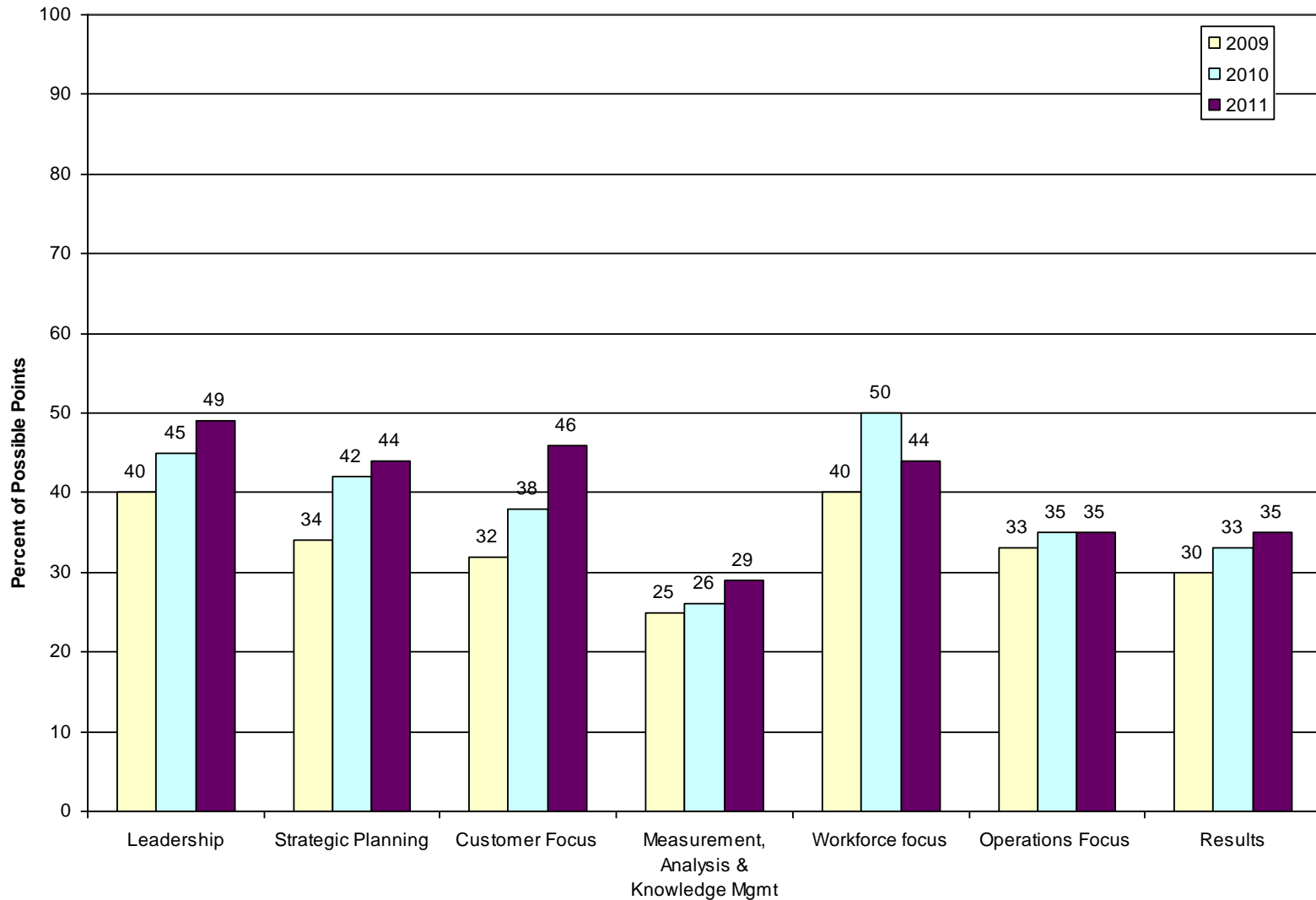


Item Level Benchmark with NAICS Code 62 Nationally



■ Business Express Sample	42	59	52	37	55	39	31	27	37	53	39	33	37	33	32	43	31
▲ Maximum	53	55	50	45	49	55	50	47	47	50	46	49	48	49	47	44	45
● Minimum	29	33	24	21	24	27	24	23	20	27	24	24	25	21	23	17	19
■ Mean	39	44	38	30	34	39	33	31	30	38	33	33	34	32	32	27	30

Category Level Comparative for 2009, 2010 & 2011



Leadership Question Scores and Maturity

The Leadership Question Scores and Maturity show the overall percentage of points for a theme within each category. The 'Current' text describes the behavioral anchor of where the organization is now. Next Level text describes steps the organization could take to improve. Role Model text describes the maturity of high performing organizations.

%	Row	Description
%	1A	Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)]
45	Current	Mature - Many senior leaders' actions effectively guide and direct the organization. They focus many workers on operational and improvement priorities. The personal actions of senior leaders usually follow organizational values and vision. Senior leaders sometimes ask for and get feedback to see if their guidance and direction are understood in many parts of the organization. Senior leaders may have made improvements or changes to how they guide the organization as a result of the feedback.
	Next Level	Advanced - Most senior leaders provide clear direction throughout the organization. Most senior leaders pass on the vision, values and organizational direction to most workers and key suppliers. Senior leaders lead by example; their personal actions usually follow organizational values. Leaders regularly ask for and get feedback from workers in most parts of the organization to see if they understand the vision, values, and direction of the organization. Leaders sometimes make improvements or changes to how they guide the organization as a result of the feedback.
	Role Model	Nearly all senior leaders provide clear direction throughout the organization. Nearly all senior leaders pass on the vision, values, and direction to nearly all workers at all levels of the organization and to appropriate suppliers, partners, and customers. Senior leaders lead by example and nearly always follow the organization's values. Leaders regularly ask for and get feedback from workers at all levels to see if they understand the vision, values, and direction of the organization. Leaders consistently make improvements or changes to how they guide the organization as a result of the feedback. Leaders have developed creative (innovative) approaches in these areas, (i.e., creative ways to pass on the vision/values). They make sure these best practices are shared across the organization.

Leadership Question Scores

The Question Rating Chart displays the scores for each Question within each Category in a bar chart. It is also displayed as data in the Question Score and Maturity Chart. This helps determine the overall strengths and weaknesses of each question.

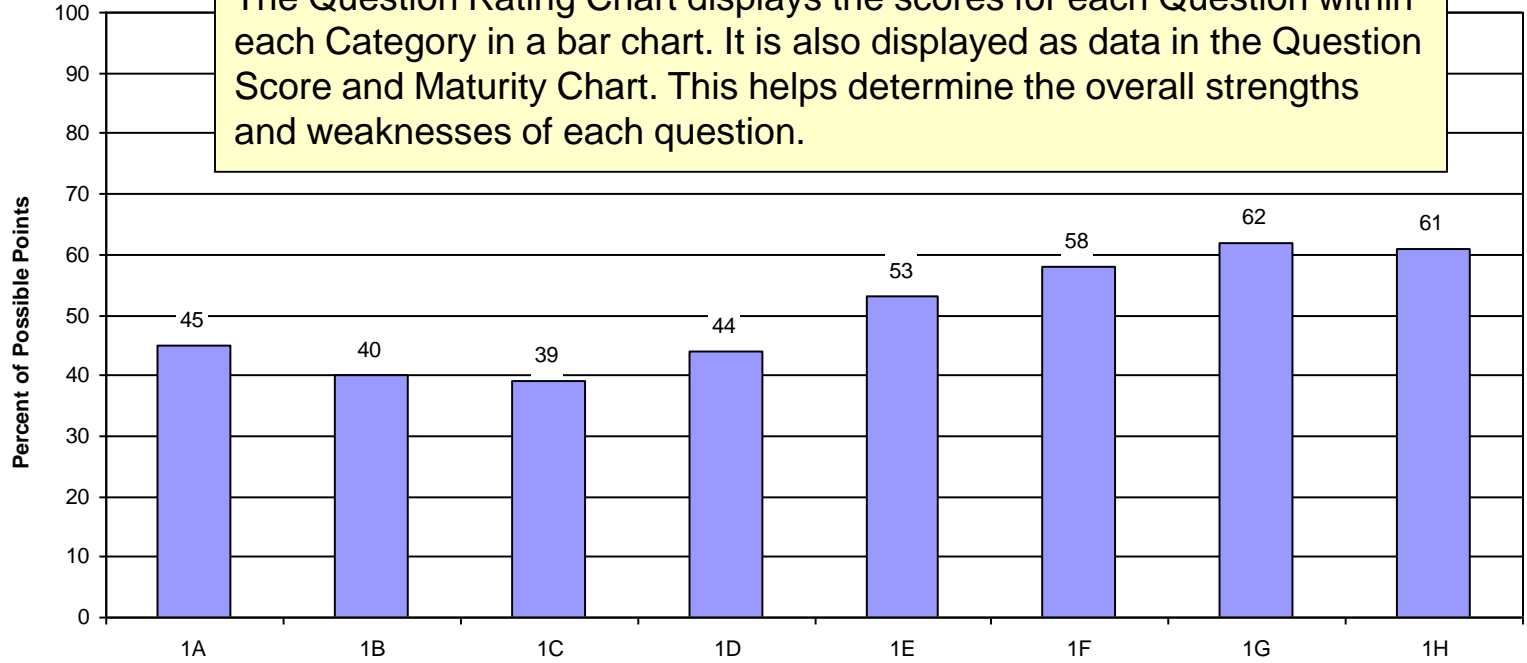


Chart Legend Key	
1A	Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)]
1B	Senior Leaders Promoting a Climate for Legal and Ethical Behavior [Baldrige ref: 1.1a(2)]
1C	Sustaining the Organization Through Innovation, Learning, Organizational Agility, and Developing Leaders [Baldrige ref: 1.1a(3)]
1D	Effectively Communicating, Engaging, and Encouraging Workers to Take Action to Improve Performance and Create Patient and Stakeholder Value [Baldrige ref: 1.1b(1&2)]
1E	Reviewing and Achieving Management Accountability, Protect Stakeholder Interests, and Improve Leader Effectiveness [Baldrige ref: 1.2a(1&2)]
1F	Following Laws and Regulations, and Addressing Public Risks and Concerns [Baldrige ref: 1.2b(1)]
1G	Promoting and Ensuring Ethical Behavior throughout the organization [Baldrige ref: 1.2b(2)]
1H	Actively Supporting and Strengthening Key Communities and Community Health [Baldrige ref: 1.2c(1&2)]

Pareto Charts

- Staff members in your organization will be asked to select one or more areas in each of the seven categories, which they feel, is in most need of improvement. The concept of a Pareto chart is to show that the areas in need of improvement are usually a vital few, allowing leaders to concentrate their focus on specific improvement efforts.
- We will supply you with a Pareto chart for each of the seven categories, which reference each of the seven sections of the Organization Assessment Survey.
- Each chart will display the letters that correspond to the themes for each of the seven categories along the x-axis. Along the y-axis both Count and Percentages are charted. The count of staff votes (Hits) for each area they believe is most in need of improvement is represented as bars on the graph. The chart is arranged with the largest hit count on the left of the graph, indicating the area selected by staff which they feel is most in need of improvement. The line charted above the bars represents the cumulative percentages of each bar, from left to right.

Pareto Chart – Priority Improvement Areas

Category 1 - Leadership

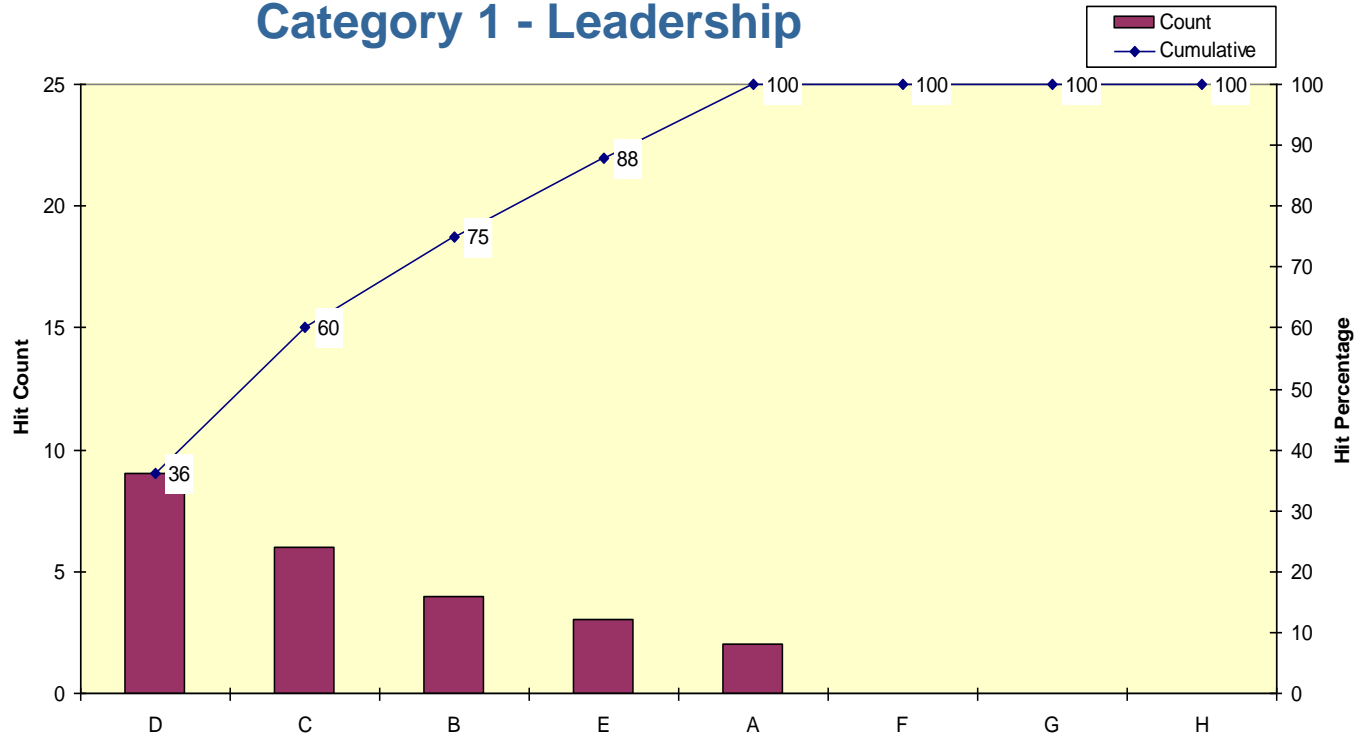


Chart Legend Key	
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1G	Promoting and Ensuring Ethical Behavior throughout the organization [Baldrige ref: 1.2b(2)]
1H	Actively Supporting and Strengthening Key Communities and Community Health [Baldrige ref: 1.2c(1&2)]

The letters D, C, and B represent an opportunity to solve 75% of key issues in 38% of the areas (3 of 8) for the category (Leadership). In this example, the letters F, G, and H did not receive any votes since these areas were not selected by staff as areas needing improvement.

Priority Improvement Selections by Position

	Count								Total	Percentage							
	C	D	B	E	A	F	G	H		C	D	B	E	A	F	G	H
Senior Management	3	0	3	1	0	0	0	0	7	43	0	43	14	0	0	0	0
Support Staff	7	0	0	1	0	0	0	0	8	88	0	0	13	0	0	0	0
Doctor/Nurse	3	6	1	0	0	0	0	0	10	30	60	10	0	0	0	0	0
Total	13	6	4	2	0	0	0	0	25	52	24	16	8	0	0	0	0

This chart shows priority improvement selections according to the various Demographic attributes and values. Look at “C” and you will see that Support Staff identified the need to improve this area by a greater margin than did the Senior Management and Doctors/Nurses. This tends to indicate a deployment gap.

Leadership Comments by Position

1A Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)]

Senior Management

Process Comment: We do a great job setting and deploying the vision and values to all. Through e-mails, town hall meetings, Intranet. Scorecards for the whole organization, sectors and local offices in place. Rules of Operation being implemented and communicated very efficiently.

Process Comment: We use many techniques to communicate the vision and values including all hands meetings each quarter, weekly notes from the exec office, email. Staff check with employees to be sure key points were understood.

Process Comment: Frequent and regular customer satisfaction surveys. Follow up activities with customers and internally.

Doctor/Nurse

Process Comment: The senior leaders set and deploy the visions and values through goal setting committees and conferences. These visions are imparted through staff meetings and newsletters.

Action Steps to Improve: This process can be improved by establishing a more consistent way of communicating their continued growth in the process.

Other Staff

Process Comment: We have vision, core values, mission statements, strategic goals and action plans. Leadership is committed to these.

Action Steps to Improve: These visions and values may have to be more widely understood.

Comments are provided by the respondents and can be prepared and used by examiners and organization leaders for improvement planning. The comments are sorted by each category and theme statement. Comments are reported out by one attribute, in this case, "Position". They are then sorted by each value such as "Senior Management", "Doctor/Nurse", and "Other Staff".

Other Services

- Additional Performance Indicator Feedback Reports can be extracted from the demographic profile. For example: Reports can be generated for each organizational site or department identified in the demographic profile.
- Paper surveys can be completed as an alternative approach. A combination of paper and online surveys can also be completed.
- The Criteria language can easily be customized for your organization.
- Comparative data at the Category-level is available from previous assessments from the same organization.

