

2012 Baldrige A-R-T-I-C-U-L-A-T-E-D Criteria

Why articulate the Baldrige Criteria?

Articulating the Criteria questions makes them easier to use and understand. Unlike the official Baldrige Criteria questions which are bundled into densely-worded paragraphs of disparate sentences, the Articulated Criteria simply list the questions individually.

Global Acceptance and Popularity:

The Articulated Criteria are now approved for use by more than 20 national quality and excellence award programs based on the Baldrige Criteria worldwide attesting to their acceptance. Previous versions of the Articulated Criteria have been downloaded thousands of times daily attesting to their popularity.

Consistency of Understanding:

The Articulated Criteria also electronically linked to definitions for all key terms used in the Baldrige Criteria. More than saving time, these links ensure that users understand the terminology. A common understanding is critical because the Examiners are required to use these definitions to conduct an assessment. For example, variation in use of common terms such as '[CORE COMPETENCIES](#)', '[SUSTAINABILITY](#)', and '[INTEGRATION](#)' can and likely will detract from the validity of assessments.

Are the words the same as the Baldrige Criteria?

The words are the same but with a more user friendly format to improve understanding and ease of use. In addition, links to the definitions of all key Baldrige terms have been added as well as links to about 50 Criteria Response Templates (new for 2012). The templates help ensure the validity and integration of the information entered.

Sharing:

Please feel free to share the Articulated Criteria with anyone who may benefit.

P 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:

START ANSWERING P.1 QUESTIONS HERE

P.1a. Organizational Environment

(1) **Product Offerings** [\[PRODUCT OFFERINGS TEMPLATE\]](#)

- What are your organization's main product offerings (see note 1 below)?
- What is the relative importance of each to your organizational success?
- What mechanisms do you use to deliver your products?

(2) **VISION and MISSION** [\[VISION, MISSION, VALUES and CORE COMPETENCIES TEMPLATE\]](#)

- What are the distinctive characteristics of your organizational culture?
- What are your stated **PURPOSE**, **VISION**, **VALUES**, and **MISSION**?
- What are your organization's **CORE COMPETENCIES** and their relationship to your **MISSION**?

(3) **WORKFORCE Profile** [\[WORKFORCE PROFILE TEMPLATE\]](#)

- What is your **WORKFORCE** profile?
- What are your **WORKFORCE** or employee groups and **SEGMENTS**?
- What are their education levels?
- What are the **KEY** elements that **ENGAGE** them in accomplishing your **MISSION** and **VISION**?
- What are your organization's **WORKFORCE** and job **DIVERSITY**, organized bargaining units, **KEY WORKFORCE** benefits, and special health and safety requirements?

(4) **Assets** [\[ASSETS TEMPLATE\]](#)

- What are your major facilities, technologies, and equipment?

(5) **Regulatory Requirements** [\[REGULATORY REQUIREMENTS TEMPLATE\]](#)

- What is the regulatory environment under which your organization operates?
- What are the applicable occupational health and safety regulations; accreditation, certification, or registration requirements; industry standards; and environmental, financial, and product regulations?

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P.1b. Organizational Relationships

(1) Organizational Structure [\[ORGANIZATIONAL STRUCTURE TEMPLATE\]](#)

What are your organizational structure and **GOVERNANCE** system? [\[GOVERNANCE SYSTEM TEMPLATE\]](#)

What are the reporting relationships among your **GOVERNANCE** board, **SENIOR LEADERS**, and parent organization, as appropriate?

(2) CUSTOMERS and STAKEHOLDERS [\[CUSTOMERS TEMPLATE\]](#) and [\[STAKEHOLDERS TEMPLATE\]](#)

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) Suppliers and PARTNERS [\[SUPPLIERS, PARTNERS and COLLABORATORS TEMPLATE\]](#)

What are your **KEY** types of suppliers, **PARTNERS**, and **COLLABORATORS**?

What role do these suppliers, **PARTNERS**, and **COLLABORATORS** play in the production and delivery of your **KEY** products and **CUSTOMER** support services?

What are your **KEY** mechanisms for communicating with suppliers, **PARTNERS**, and **COLLABORATORS**?

What role, if any, do these organizations play in implementing **INNOVATIONS** in your organization?

What are your **KEY** supply-chain requirements?

STOP ANSWERING P.1 QUESTIONS HERE

Notes:

- N1.** “Product offerings” and “products” (P.1a[1]) refer to the goods and services that your organization offers in the marketplace. Mechanisms for product delivery to your end-use **CUSTOMERS** might be direct or through dealers, distributors, **COLLABORATORS**, or channel **PARTNERS**. *Nonprofit organizations might refer to their product offerings as programs, projects, or services.*
- N2.** “**CORE COMPETENCIES**” (P.1a[2]) refers to your organization’s areas of greatest expertise. Your organization’s **CORE COMPETENCIES** are those strategically important capabilities that are central to fulfilling your **MISSION** or provide an advantage in your marketplace or service environment. **CORE COMPETENCIES** frequently are challenging for competitors or suppliers and **PARTNERS** to imitate. Also, **CORE COMPETENCIES** frequently preserve your competitive advantage.
- N3.** **WORKFORCE** or employee groups and **SEGMENTS** (including organized bargaining units; P.1a[3]) might be based on the type of employment or contract reporting relationship, location, tour of duty, work environment, family-friendly policies, or other factors.
- N4.** **CUSTOMER** groups (P.1b[2]) might be based on common expectations, behaviors, preferences, or profiles. Within a group there may be **CUSTOMER SEGMENTS** based on differences and commonalities. Your markets might be subdivided into market **SEGMENTS** based on product lines or features, distribution channels, business volume, geography, or other factors that your organization uses to define related market characteristics.
- N5.** **CUSTOMER** group and market **SEGMENT** requirements (P.1b[2]) might include on-time delivery, low defect **LEVELS**, safety, security, ongoing price reductions, leveraging of technology, rapid response, after-sales service, and multilingual services. **STAKEHOLDER** group requirements might include socially responsible behavior and community service. *For some nonprofit organizations, requirements also might include administrative cost reductions, at-home services, and rapid response to emergencies.*

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- N6.** Communication mechanisms ([P.1b\[3\]](#)) should be two-way and in understandable language, and they might be in person, via e-mail, Web-based, or by telephone. For many organizations, these mechanisms may change as marketplace, [CUSTOMER](#), or [STAKEHOLDER](#) requirements change.
- N7.** *Many nonprofit organizations rely heavily on volunteers to accomplish their work. These organizations should include volunteers in the discussion of their [WORKFORCE](#) ([P.1a\[3\]](#)).*
- N8.** *For nonprofit organizations, industry standards ([P.1a\[5\]](#)) might include industry-wide codes of conduct and policy guidance. The term “industry” is used throughout the Criteria to refer to the sector in which you operate. For nonprofit organizations, this sector might be charitable organizations, professional associations and societies, religious organizations, or government entities—or a subsector of one of these.*
- N9.** *For some nonprofit organizations, [GOVERNANCE](#) and reporting relationships ([P.1b\[1\]](#)) might include relationships with major agency, foundation, or other funding sources.*
- N10** [CUSTOMERS](#) ([P.1b\[2\]](#)) include the users and potential users of your products. *In some nonprofit organizations, [CUSTOMERS](#) might include members, taxpayers, citizens, recipients, clients, and beneficiaries. Market [SEGMENTS](#) might be referred to as constituencies.*

All terms in CAPS link to their definitions

Information for Understanding All Criteria Items

For definitions of **KEY** terms presented throughout the **Criteria** and **scoring guidelines text in caps**, see the [Glossary of KEY Terms](#).

Frequently, several questions are grouped under one number (e.g., [P.1a\[3\]](#)). 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.

The items in the **Baldrige Criteria** are divided into three groups: the Preface, which defines your organizational environment; **categories 1–6**, which define your organization’s **PROCESSES**; and **category 7**, which contains your **RESULTS** for your organization’s **PROCESSES**. Only responses to the last two groups are scored during a Baldrige Award evaluation of an organization; the **ORGANIZATIONAL PROFILE** items are used to provide context for the evaluation.

Item notes serve three purposes: (1) to clarify terms or requirements presented in an item, (2) to give instructions and examples for responding to the item requirements, and (3) to indicate **KEY** linkages to other items. In all cases, the intent is to help you respond to the item requirements.

A number of item notes include guidance specifically for nonprofit organizations. This information appears in italics.

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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:

START ANSWERING P.2 QUESTIONS HERE

P.2a. Competitive Environment

(1) Competitive Position [\[COMPETITIVE POSITION TEMPLATE\]](#)

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) Competitiveness Changes [\[COMPETITIVE POSITION TEMPLATE\]](#)

What are any **KEY** changes taking place that affect your competitive situation, including opportunities for **INNOVATION** and **COLLABORATION**, as appropriate?

(3) COMPARATIVE Data [\[COMPARATIVE INFORMATION TEMPLATE\]](#)

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, affect your ability to obtain these data?

P.2b. Strategic Context [\[STRATEGIC ADVANTAGES and CHALLENGES TEMPLATE\]](#)

What are your **KEY** business, operational, societal responsibility, and human resource **STRATEGIC CHALLENGES** and **ADVANTAGES**?

P.2c. PERFORMANCE Improvement System [\[PROCESS IMPROVEMENT TEMPLATE\]](#)

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

STOP ANSWERING P.2 QUESTIONS HERE

Notes:

- N1.** **STRATEGIC CHALLENGES** and **ADVANTAGES** (P.2b) might relate to technology, products, your operations, your **CUSTOMER** support, your industry, globalization, your **VALUE** chain, and people. **STRATEGIC ADVANTAGES** might include differentiators such as your price leadership, design services, **INNOVATION** rate, geographic proximity, accessibility, and warranty and product options. *For some nonprofit organizations, differentiators also might include your relative influence with decision makers, ratio of administrative costs to programmatic contributions, reputation for program or service delivery, and wait times for service.*
- N2.** **PERFORMANCE** improvement (P.2c) through **LEARNING** and **INTEGRATION** is an assessment dimension used in the **SCORING SYSTEM** to evaluate the maturity of organizational **APPROACHES** and **DEPLOYMENT**. This question is intended to help you and the Baldrige examiners set an overall context for your **APPROACH** to **PERFORMANCE** improvement. **APPROACHES** to **PERFORMANCE** improvement that are compatible with the systems **APPROACH** provided by the Baldrige framework should be related to your organization's needs and might include implementing

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a [Lean Enterprise System](#), applying [Six Sigma methodology](#), using [ISO standards \(e.g., 9000 or 14000\)](#), or employing other [PROCESS](#) improvement and [INNOVATION](#) tools. A growing number of organizations have implemented specific [PROCESSES](#) for meeting [GOALS](#) in product and [PROCESS INNOVATION](#).

N3. *Nonprofit organizations frequently are in a highly competitive environment; they often must compete with other organizations and with alternative sources for similar services to secure financial and volunteer resources, membership, visibility in appropriate communities, and media attention.*

N4. *For nonprofit organizations, the term “business” (P.2b) is used throughout the [Criteria](#) to refer to your main [MISSION](#) area or enterprise activity.*

All terms in CAPS are links to their definitions

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1 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.)

Describe **HOW SENIOR LEADERS'** actions guide and **SUSTAIN** your organization.

Describe **HOW SENIOR LEADERS** communicate with your **WORKFORCE** and encourage **HIGH PERFORMANCE**.

Within your response, include answers to the following questions:

START ANSWERING 1.1 QUESTIONS HERE

1.1a. VISION, VALUES, and MISSION

(1) **VISION** and **VALUES** [MISSION, VISION, VALUES TEMPLATE]

HOW do **SENIOR LEADERS** set your organization's **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?
[CUSTOMERS TEMPLATE]; [STAKEHOLDERS TEMPLATE]; [WORKFORCE PROFILE TEMPLATE]; and [SUPPLIERS, PARTNERS and COLLABORATORS TEMPLATE]

HOW do **SENIOR LEADERS'** actions reflect a commitment to the organization's **VALUES**?

(2) **Promoting Legal and ETHICAL BEHAVIOR** [ETHICS and GOVERNANCE TEMPLATE]

HOW do **SENIOR LEADERS'** actions demonstrate their commitment to legal and **ETHICAL BEHAVIOR**?

HOW do they promote an organizational environment that requires it?

(3) **Creating a SUSTAINABLE Organization**

HOW do **SENIOR LEADERS** create a **SUSTAINABLE** organization?

HOW do **SENIOR LEADERS** achieve the following?

- create an environment for organizational **PERFORMANCE** improvement, the accomplishment of your **MISSION** and **STRATEGIC OBJECTIVES**, **INNOVATION**, **PERFORMANCE** leadership, and organizational **AGILITY** [PROCESSES and SYSTEMS IMPROVEMENT TEMPLATE]
- create a **WORKFORCE** culture that delivers a consistently positive **CUSTOMER** experience and fosters **CUSTOMER ENGAGEMENT** [ORGANIZATIONAL CULTURE APPROACHES]
- create an environment for organizational and **WORKFORCE LEARNING** [LEARNING and DEVELOPMENT APPROACHES TEMPLATE]
- develop and enhance their leadership skills
- participate in organizational **LEARNING**, succession planning, and the development of future organizational leaders

1.1b. Communication and Organizational PERFORMANCE

(1) Communication [LEADERSHIP COMMUNICATION TEMPLATE]

HOW do SENIOR LEADERS communicate with and ENGAGE the entire WORKFORCE?

HOW do SENIOR LEADERS achieve the following?

- encourage frank, two-way communication throughout the organization
- communicate KEY decisions
- take an active role in reward and recognition programs to reinforce HIGH PERFORMANCE and a CUSTOMER and business focus

(2) Focus on Action [LEADERSHIP-DRIVEN IMPROVEMENT TEMPLATE]

HOW do SENIOR LEADERS create a focus on action to accomplish the organization's OBJECTIVES, improve PERFORMANCE, and attain its VISION?

HOW do SENIOR LEADERS 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?

STOP ANSWERING 1.1 QUESTIONS HERE

Notes:

- N1. Organizational VISION (1.1a[1]) should set the context for STRATEGIC OBJECTIVES and ACTION PLANS, which are described in items 2.1 and 2.2.
- N2. A SUSTAINABLE organization (1.1a[3]) is capable of addressing current business needs and possesses the AGILITY and strategic management to prepare successfully for its future business, market, and operating environment. Both external and internal factors are considered. In this context, the concept of INNOVATION includes both technological and organizational INNOVATION to help the organization succeed in the future. A SUSTAINABLE organization also ensures a safe and secure environment for the WORKFORCE and other KEY STAKEHOLDERS. An organization's contributions to environmental, social, and economic systems beyond those of its WORKFORCE and immediate STAKEHOLDERS are considered in its societal responsibilities (item 1.2).
- N3. A focus on action (1.1b[2]) considers the strategy, the WORKFORCE, the WORK SYSTEMS, and the assets of your organization. It includes taking intelligent risks and implementing INNOVATIONS and ongoing improvements in PRODUCTIVITY that may be achieved through eliminating waste or reducing CYCLE TIME; it might use techniques such as Six Sigma and Lean. It also includes the ACTIONS to accomplish your organization's STRATEGIC OBJECTIVES (see 2.2a[1]).
- N4. Your organizational PERFORMANCE RESULTS should be reported in items 7.1, 7.2, 7.3, 7.4, or 7.5.
- N5. For nonprofit organizations that rely on volunteers to accomplish their work, responses to 1.1b(1) also should discuss your efforts to communicate with and ENGAGE the volunteer WORKFORCE.

All terms in CAPS are links to their definitions

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1.2 GOVERNANCE and Societal Responsibilities:

HOW do you govern and fulfill your societal responsibilities? (50 pts.)

Describe your organization's **GOVERNANCE** system and **APPROACH** to leadership improvement.

Describe **HOW** your organization ensures legal and **ETHICAL BEHAVIOR**, fulfills its societal responsibilities, and supports its **KEY** communities.

Within your response, include answers to the following questions:

START ANSWERING 1.2 QUESTIONS HERE

1.2a. Organizational GOVERNANCE

(1) GOVERNANCE System [GOVERNANCE SYSTEM TEMPLATE]

HOW does your organization review and achieve the following **KEY** aspects of your **GOVERNANCE** system?

- accountability for the 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) PERFORMANCE Evaluation [ORGANIZATIONAL PERFORMANCE MEASURES, REVIEWS, TRACKING, ANALYSES, and ASSESSMENT TEMPLATE]

HOW do you evaluate the **PERFORMANCE** of your **SENIOR LEADERS**, including the chief executive?

HOW do you use these **PERFORMANCE** evaluations in determining executive compensation?

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 advance their development and improve both their personal leadership **EFFECTIVENESS** and that of your board and **LEADERSHIP SYSTEM**, as appropriate?

1.2b. Legal and ETHICAL BEHAVIOR

(1) Legal and Regulatory Behavior [REGULATORY and LEGAL ENVIRONMENT TEMPLATE]

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 impacts and 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) ETHICAL BEHAVIOR [ETHICAL BEHAVIOR TEMPLATE]

HOW does your organization promote and ensure **ETHICAL BEHAVIOR** in all 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**, suppliers, and other **STAKEHOLDERS**?

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HOW do you monitor and respond to breaches of ETHICAL BEHAVIOR?

1.2c. Societal Responsibilities and Support of KEY Communities

(1) Societal Well-Being [SOCIAL WELL-BEING TEMPLATE]

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

HOW do you contribute to the well-being of your environmental, social, and economic systems?

(2) Community Support [COMMUNITY SUPPORT TEMPLATE]

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?

STOP ANSWERING 1.2 QUESTIONS HERE

Notes:

- N1. Societal responsibilities in areas critical to your organization's ongoing marketplace success also should be addressed in Strategy Development (item 2.1) and in Operations Focus (category 6). KEY RESULTS, such as RESULTS related to regulatory and legal requirements (including the RESULTS of mandated financial audits); reductions in environmental impacts through the use of "green" technology, resource-conserving activities, or other means; or improvements in social impacts, such as the global use of enlightened labor practices, should be reported as Leadership and GOVERNANCE Outcomes (item 7.4).
- N2. Transparency in operations of your GOVERNANCE system (1.2a[1]) should include your internal controls on GOVERNANCE PROCESSES. For some nonprofit organizations, an external advisory board may provide some or all of the GOVERNANCE board functions. For those nonprofit organizations that serve as stewards of public funds, stewardship of those funds and transparency in operations are areas of emphasis.
- N3. Leadership PERFORMANCE evaluation (1.2a[2]) might be supported by peer reviews, formal PERFORMANCE management reviews, and formal or informal WORKFORCE and other STAKEHOLDER feedback and surveys. For some nonprofit and government organizations, external advisory boards might evaluate the PERFORMANCE of SENIOR LEADERS and the GOVERNANCE board.
- N4. MEASURES or INDICATORS of ETHICAL BEHAVIOR (1.2b[2]) might include the percentage of independent board members, MEASURES of relationships with stockholder and non-stockholder constituencies, instances of ETHICAL conduct breaches and responses, survey RESULTS on WORKFORCE perceptions of organizational ETHICS, ETHICS hotline use, and RESULTS of ETHICS reviews and audits. They also might include evidence that policies, WORKFORCE training, and monitoring systems are in place with respect to conflicts of interest and proper use of funds.
- N5. Areas of societal contributions and community support appropriate for 1.2c might include your efforts to improve the environment (e.g., collaboration to conserve the environment or natural resources); strengthen local community services, education, and health; and improve the practices of trade, business, or professional associations.
- N6. The health and safety of your WORKFORCE are not addressed in item 1.2; you should address these WORKFORCE factors in item 5.1.
- N7. Nonprofit organizations should report in 1.2b(1), as appropriate, HOW they address the legal and regulatory requirements and standards that govern fundraising and lobbying activities.

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N8. For some charitable organizations, societal contributions and support of *KEY* communities (1.2c) may occur totally through the *MISSION*-related activities of the organization. In such cases, it is appropriate to respond with any “extra efforts” through which you support these communities.

All terms in CAPS are links to their definitions

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2 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 implemented and changed if circumstances require, and **HOW** progress is measured.

2.1 Strategy Development:

HOW do you develop your strategy? (40 pts.)

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:

START ANSWERING 2.1 QUESTIONS HERE

2.1a. Strategy Development **PROCESS**

(1) Strategic Planning **PROCESS** [[STRATEGIC PLANNING PROCESS STEPS TEMPLATE](#)]

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**)? [[STRATEGIC ADVANTAGES and CHALLENGES](#)]

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) Strategy Considerations [[STRATEGY CONSIDERATIONS TEMPLATE](#)]

HOW do you ensure that strategic planning addresses the **KEY** elements 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, the economy, and the regulatory environment
- long-term organizational **SUSTAINABILITY**, including needed **CORE COMPETENCIES**, and **PROJECTIONS** of your future **PERFORMANCE** and your competitors' or **COMPARABLE** organizations' future **PERFORMANCE**
- your ability to execute the strategic plan

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2.1b. STRATEGIC OBJECTIVES

(1) KEY STRATEGIC OBJECTIVES [STRATEGIC OBJECTIVES TEMPLATE]

What are your KEY STRATEGIC OBJECTIVES and your timetable for accomplishing them?

What are your most important GOALS for these STRATEGIC OBJECTIVES?

(2) STRATEGIC OBJECTIVE Considerations [STRATEGIC OBJECTIVES TEMPLATE]

HOW do your STRATEGIC OBJECTIVES achieve the following?

- address your STRATEGIC CHALLENGES and STRATEGIC ADVANTAGES
- address your opportunities for INNOVATION in products, operations, and your business model
- capitalize on your current CORE COMPETENCIES and address the potential need for new CORE COMPETENCIES
- balance short-and longer-term CHALLENGES and opportunities
- consider and balance the needs of all KEY STAKEHOLDERS
- enhance your ability to adapt to sudden shifts in your market conditions

STOP ANSWERING 2.1 QUESTIONS HERE

Notes:

- N1. “Strategy development” refers to your organization’s APPROACH to preparing for the future. Strategy development might utilize various types of forecasts, PROJECTIONS, options, scenarios, KNOWLEDGE (see 4.2a for relevant organizational KNOWLEDGE), or other APPROACHES to envisioning the future for purposes of decision making and resource allocation. Strategy development might involve participation by KEY suppliers, distributors, PARTNERS, and CUSTOMERS. For some nonprofit organizations, strategy development might involve participation by organizations providing similar services or drawing from the same donor population or volunteer WORKFORCE.
- N2. The term “strategy” should be interpreted broadly. Strategy might be built around or lead to any or all of the following: new products; redefinition of KEY CUSTOMER groups or market SEGMENTS; intelligent risks; new CORE COMPETENCIES; revenue growth via various APPROACHES, including acquisitions, grants, and endowments; divestitures; new PARTNERSHIPS and alliances; and new employee or volunteer relationships. Strategy might be directed toward becoming a preferred supplier, a local supplier in each of your major CUSTOMERS’ or PARTNERS’ markets, a low-cost producer, a market INNOVATOR, or a provider of a high-end or customized product or service. It also might be directed toward meeting a community or public need.
- N3. Your organization’s strengths, weaknesses, opportunities, and threats (2.1a[2]) should address all factors that are KEY to your organization’s future success, including the following, as appropriate: your CUSTOMER and market requirements, expectations, and opportunities; your opportunities for INNOVATION and role-model PERFORMANCE; your CORE COMPETENCIES; your competitive environment and your PERFORMANCE now and in the future relative to competitors and COMPARABLE organizations; your product life cycle; technological and other KEY INNOVATIONS or changes that might affect your products and services and HOW you operate, as well as the rate of INNOVATION; your WORKFORCE and other resource needs; your ability to capitalize on DIVERSITY; your opportunities to redirect resources to higher-priority products, services, or areas; financial, societal, ETHICAL, regulatory, technological, security, and other potential risks and opportunities; your ability to prevent and respond to emergencies, including natural or other disasters; changes in the national or global economy; requirements for and strengths and weaknesses of your PARTNERS and supply chain; changes in your parent organization; and other factors unique to your organization.
- N4. Your ability to execute the strategic plan (2.1a[2]) should address your ability to mobilize the necessary resources and KNOWLEDGE. It also should address your organizational AGILITY based on contingency plans or, if circumstances require, a shift in plans and rapid execution of new or changed plans.

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- N5. **STRATEGIC OBJECTIVES** that address **KEY CHALLENGES** and **ADVANTAGES** (2.1b[2]) might include rapid response, customization, co-location with major **CUSTOMERS** or **PARTNERS**, **WORKFORCE CAPABILITY** and **CAPACITY**, specific joint ventures, virtual manufacturing, rapid **INNOVATION**, **ISO quality** or **environmental systems registration**, societal responsibility actions or leadership, Web-based supplier and **CUSTOMER** relationship management, and product and service quality enhancements. Responses to **item 2.1** should focus on your specific **CHALLENGES** and **ADVANTAGES**—those most important to your ongoing success and to strengthening your organization’s overall **PERFORMANCE**.
- N6. **Item 2.1** addresses your overall organizational strategy, which might include changes in product offerings and **CUSTOMER ENGAGEMENT PROCESSES**. However, the item does not address product design or **CUSTOMER ENGAGEMENT** strategies; you should address these factors in **items 3.2** and **6.1**, as appropriate.

All terms in CAPS are links to their definitions

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2.2 Strategy Implementation:

HOW do you implement your strategy? (45 pts.)

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:

START ANSWERING 2.2 QUESTIONS HERE

2.2a. ACTION PLAN Development and DEPLOYMENT

(1) ACTION PLAN Development [STRATEGIC ACTION PLANS TEMPLATE]

HOW do you develop your **ACTION PLANS**?

What are your **KEY** short- and longer-term **ACTION PLANS** and their relationship to your **STRATEGIC OBJECTIVES**?

What are the **KEY** planned changes, if any, in your products, your **CUSTOMERS** and markets, your suppliers and **PARTNERS**, and **HOW** you will operate? [PLANNED CHANGES TEMPLATE]

(2) ACTION PLAN Implementation [STRATEGIC ACTION PLANS TEMPLATE]

HOW do you **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) Resource Allocation

HOW do you ensure that 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 manage the financial and other risks associated with the plans to ensure the financial viability of your organization?

(4) WORKFORCE Plans [WORKFORCE PLANS ALIGNMENT to STRATEGY TEMPLATE]

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 your **WORKFORCE** members and any potential changes to **WORKFORCE CAPABILITY** and **CAPACITY** needs?

(5) PERFORMANCE MEASURES [STRATEGIC ACTION PLANS TEMPLATE]

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**?

(6) ACTION PLAN Modification [PLANNED CHANGES TEMPLATE]

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HOW do you establish and implement modified **ACTION PLANS** if circumstances require a shift in **PLANS** and rapid execution of new **PLANS**?

2.2b. PERFORMANCE PROJECTIONS [PERFORMANCE PROJECTIONS TEMPLATE]

For the **KEY PERFORMANCE MEASURES** or **INDICATORS** identified in 2.2a(5), what are your **PERFORMANCE PROJECTIONS** for both your short- and longer-term planning time horizons?

HOW does your **PROJECTED PERFORMANCE** on these **MEASURES** or **INDICATORS COMPARE** with the **PROJECTED PERFORMANCE** of your competitors or **COMPARABLE** organizations?

HOW does it **COMPARE** with **KEY BENCHMARKS**, **GOALS**, and past **PERFORMANCE**, as appropriate?

If there are current or **PROJECTED** gaps in **PERFORMANCE** against your competitors or **COMPARABLE** organizations, **HOW** will you address them?

STOP ANSWERING 2.2 QUESTIONS HERE

Notes:

N1. Strategy and **ACTION PLAN** development and **DEPLOYMENT** are closely linked to other items in the **Criteria**. The following are examples of **KEY** linkages:

- **item 1.1** for **HOW** your **SENIOR LEADERS** set and communicate organizational direction
- **category 3** for gathering **CUSTOMER** and market **KNOWLEDGE** as input to your strategy and **ACTION PLANS** and for **DEPLOYING ACTION PLANS**
- **category 4** for **MEASUREMENT**, **ANALYSIS**, and **KNOWLEDGE** management to support your **KEY** information needs, support your development of strategy, provide an **EFFECTIVE** basis for your **PERFORMANCE MEASUREMENTS**, and track progress relative to your **STRATEGIC OBJECTIVES** and **ACTION PLANS**
- **category 5** for meeting your **WORKFORCE CAPABILITY** and **CAPACITY** needs, for **WORKFORCE** development and **LEARNING** system design and needs, and for implementing **WORKFORCE**-related changes resulting from **ACTION PLANS**
- **category 6** for changes to **CORE COMPETENCIES**, **WORK SYSTEMS**, and **WORK PROCESS** requirements resulting from your **ACTION PLANS**
- **item 7.1** for specific accomplishments relative to your organizational strategy and **ACTION PLANS**

N2. **MEASURES** and **INDICATORS** of **PROJECTED PERFORMANCE** (2.2b) might include changes resulting from new ventures; organizational acquisitions or mergers; new **VALUE** creation; market entry and shifts; new legislative mandates, legal requirements, or industry standards; and significant anticipated **INNOVATIONS** in products and technology.

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3 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 listens to the **VOICE OF ITS CUSTOMERS**, builds **CUSTOMER** relationships, and uses **CUSTOMER** information to improve and identify opportunities for **INNOVATION**.

3.1 VOICE of the CUSTOMER:

HOW do you obtain information from your **CUSTOMERS**? (45 pts.)

Describe **HOW** your organization listens to your **CUSTOMERS** and gains satisfaction and dissatisfaction information.

Within your response, include answers to the following questions:

START ANSWERING 3.1 QUESTIONS HERE

3.1a. CUSTOMER Listening

(1) Listening to Current **CUSTOMERS** [CUSTOMER LISTENING APPROACHES TEMPLATE]

HOW do you listen to **CUSTOMERS** to obtain actionable information?

HOW do your listening methods vary for different **CUSTOMERS**, **CUSTOMER** groups, or market **SEGMENTS**?

HOW do you use social media and Web-based technologies to listen to **CUSTOMERS**, as appropriate?

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) Listening to Potential **CUSTOMERS** [CUSTOMER LISTENING APPROACHES TEMPLATE]

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?

3.1b. Determination of **CUSTOMER** Satisfaction and **ENGAGEMENT**

(1) Satisfaction and **ENGAGEMENT** [CUSTOMER SATISFACTION and ENGAGEMENT TEMPLATE]

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**?

(2) Satisfaction Relative to Competitors [CUSTOMER SATISFACTION and ENGAGEMENT TEMPLATE]

HOW do you obtain information on your **CUSTOMERS'** satisfaction relative to their satisfaction with your competitors?

HOW do you obtain information on your **CUSTOMERS'** satisfaction relative to the satisfaction **LEVELS** of **CUSTOMERS** of other organizations providing similar products or to industry **BENCHMARKS**, as appropriate?

(3) Dissatisfaction [CUSTOMER SATISFACTION and ENGAGEMENT TEMPLATE]

HOW do you determine **CUSTOMER** dissatisfaction?

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HOW do your **MEASUREMENTS** capture actionable information for use in meeting your **CUSTOMERS'** requirements and exceeding their expectations in the future?

STOP ANSWERING 3.1 QUESTIONS HERE

Notes:

- N1. The “**VOICE OF THE CUSTOMER**” refers to your **PROCESS** for capturing **CUSTOMER**-related information. **VOICE-OF-THE-CUSTOMER PROCESSES** are intended to be proactive and continuously **INNOVATIVE** to capture stated, unstated, and anticipated **CUSTOMER** requirements, expectations, and desires. The **GOAL** is to achieve **CUSTOMER ENGAGEMENT**. Listening to the **VOICE OF THE CUSTOMER** might include gathering and **INTEGRATING** various types of **CUSTOMER** data, such as survey data, focus group findings, blog comments and other social media data, warranty data, marketing and sales information, and complaint data that affect **CUSTOMERS'** purchasing and **ENGAGEMENT** decisions.
- N2. Use of social media and Web-based technologies to listen to **CUSTOMERS** (3.1a[1]) provides a newer mode of gathering insight into **CUSTOMER** perceptions of all aspects of your involvement with them. Use of social media may include blogs moderated by your organization and unsolicited opportunities to learn based on social media outlets your organization does not control, such as wikis, online forums, and blogs not moderated by your organization.
- N3. The **CUSTOMER** life cycle (3.1a[1]) begins in the product concept or pre-sale period and should include all stages of your involvement with the **CUSTOMER**. This might include relationship building, the active business relationship, and an exit strategy, as appropriate.
- N4. Determining **CUSTOMER** satisfaction and dissatisfaction (3.1b) might include the use of any or all of the following: surveys, formal and informal feedback, **CUSTOMER** account histories, complaints, field reports, win/loss **ANALYSIS**, **CUSTOMER** referral rates, and transaction completion rates. Information might be gathered on the Web, through personal contact or a third party, or by mail. Determining **CUSTOMER** dissatisfaction should be seen as more than reviewing low **CUSTOMER** satisfaction scores. Dissatisfaction should be independently determined to identify root causes and enable a systematic remedy to avoid future dissatisfaction.
- N5. Determining relative **CUSTOMER** satisfaction (3.1b[2]) may involve **COMPARISONS** with competitors, **COMPARISONS** with other organizations that deliver similar products in a noncompetitive marketplace, or **COMPARISONS** achieved through trade or other organizations. Determining relative **CUSTOMER** satisfaction also may involve determining why **CUSTOMERS** choose your competitors over you.
- N6. *For additional considerations on products and the business of nonprofit organizations, see item P.1, note 1, and item P.2, note 4.*

All terms in CAPS are links to their definitions

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3.2 CUSTOMER ENGAGEMENT:

HOW do you ENGAGE CUSTOMERS to serve their needs and build relationships?

(40 pts.)

Describe **HOW** your organization determines product offerings and communication mechanisms to support **CUSTOMERS**.

Describe **HOW** your organization builds **CUSTOMER** relationships.

Within your response, include answers to the following questions:

START ANSWERING 3.2 QUESTIONS HERE

3.2a. Product Offerings and CUSTOMER Support

(1) Product Offerings [PRODUCT and SERVICE OFFERINGS TEMPLATE]

HOW do you identify **CUSTOMER** and market requirements for product offerings and services?

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 enter new markets, to attract new **CUSTOMERS**, and to provide opportunities for expanding relationships with existing **CUSTOMERS**, as appropriate?

(2) CUSTOMER Support [CUSTOMER SUPPORT TEMPLATE]

HOW do you enable **CUSTOMERS** to seek information and **CUSTOMER** support?

HOW do you enable them to conduct their business with you and provide feedback on your products and your **CUSTOMER** support?

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) CUSTOMER SEGMENTATION [CUSTOMER SEGMENTATION TEMPLATE]

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?

(4) CUSTOMER Data Use [CUSTOMER DATA USE TEMPLATE]

HOW do you use **CUSTOMER**, market, and product offering information to improve marketing, build a more **CUSTOMER**-focused culture, and identify opportunities for **INNOVATION**?

3.2b. Building CUSTOMER Relationships

(1) Relationship Management [\[CUSTOMER RELATIONSHIP BUILDING TEMPLATE\]](#)

HOW do you market, build, and manage relationships with CUSTOMERS to achieve the following?

- acquire CUSTOMERS and build market share
- retain CUSTOMERS, meet their requirements, and exceed their expectations in each stage of the CUSTOMER life cycle
- increase their ENGAGEMENT with you

(2) Complaint Management [\[COMPLAINT MANAGEMENT TEMPLATE\]](#)

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?

STOP ANSWERING 3.2 QUESTIONS HERE

Notes:

- N1. "*CUSTOMER ENGAGEMENT*" refers to your CUSTOMERS' investment in your brand and product offerings. Characteristics of ENGAGEMENT include CUSTOMER retention and loyalty, CUSTOMERS' willingness to make an effort to do business—and increase their business—with your organization, and CUSTOMERS' willingness to actively advocate for and recommend your brand and product offerings.
- N2. "*Product offerings*" and "*products*" refer to the goods and services that you offer in the marketplace. Product offerings (3.2a) should consider all the important characteristics of products and services and their PERFORMANCE throughout their full life cycle and the full "consumption chain." The focus should be on features that affect CUSTOMER preference and loyalty—for example, those features that differentiate your products from competing offerings or other organizations' services. Those features might include price, reliability, VALUE, delivery, timeliness, ease of use, requirements for the use and disposal of hazardous materials, CUSTOMER or technical support, and the sales relationship. KEY product features also might take into account how transactions occur and factors such as the privacy and security of CUSTOMER data. Your RESULTS on PERFORMANCE relative to KEY product features should be reported in [item 7.1](#), and those concerning CUSTOMER perceptions and actions (outcomes) should be reported in [item 7.2](#).
- N3. The GOAL of CUSTOMER support ([3.2a\[2\]](#)) is to make your organization easy to do business with and responsive to your CUSTOMERS' expectations.
- N4. Building CUSTOMER relationships ([3.2b](#)) might include the development of PARTNERSHIPS or alliances with CUSTOMERS.

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4 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 uses review findings 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.)

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:

START ANSWERING 4.1 QUESTIONS HERE

4.1a. PERFORMANCE MEASUREMENT

(1) PERFORMANCE MEASURES

HOW do you select, collect, **ALIGN**, and **INTEGRATE** data and information for tracking daily operations and overall organizational **PERFORMANCE**, including progress relative to **STRATEGIC OBJECTIVES** and **ACTION PLANS**?

[PERFORMANCE MEASURES SELECTION and ALIGNMENT TEMPLATE]

What are your **KEY** organizational **PERFORMANCE MEASURES**, including **KEY** short-term and longer-term financial **MEASURES**? [PERFORMANCE MEASURES and TRACKING TEMPLATE]

HOW frequently do you track these **MEASURES**? [PERFORMANCE MEASURES and TRACKING TEMPLATE]

HOW do you use these data and information to support organizational decision making and **INNOVATION**? [PERFORMANCE MEASURES USE TEMPLATE]

(2) COMPARATIVE Data [COMPARISONS SELECTION CRITERIA TEMPLATE] and [PERFORMANCE MEASURES USE TEMPLATE]

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) CUSTOMER Data [PERFORMANCE MEASURES USE TEMPLATE]

HOW do you select and ensure the **EFFECTIVE** use of **VOICE-OF-THE-CUSTOMER** data and information (including complaints) to support operational and strategic decision making and **INNOVATION**?

(4) MEASUREMENT AGILITY

HOW do you ensure that your **PERFORMANCE MEASUREMENT** system is able to respond to rapid or unexpected organizational or external changes?

4.1b. PERFORMANCE ANALYSIS and Review [PERFORMANCE ANALYSIS and REVIEW TEMPLATE]

HOW do you review organizational **PERFORMANCE** and **CAPABILITIES**?

HOW do you use your **KEY** organizational **PERFORMANCE MEASURES** in these reviews?

What **ANALYSES** do you perform to support these reviews and ensure that conclusions are valid?

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HOW do you use these reviews to assess organizational success, competitive **PERFORMANCE**, financial health, and progress relative to **STRATEGIC OBJECTIVES** and **ACTION PLANS**?

HOW do you use these reviews to assess your organization's ability to respond rapidly to changing organizational needs and **CHALLENGES** in your operating environment?

4.1c. **PERFORMANCE** Improvement

(1) **Best-Practice Sharing** [[KNOWLEDGE COLLECTION](#) and [SHARING TEMPLATE](#)]

HOW do you use **PERFORMANCE** review findings to share lessons learned and best practices across organizational units and **WORK PROCESSES**?

(2) **Future PERFORMANCE**

HOW do you use **PERFORMANCE** review findings and **KEY COMPARATIVE** and competitive data to project future **PERFORMANCE**?

(3) **Continuous Improvement and INNOVATION** [[PERFORMANCE IMPROVEMENT APPROACHES TEMPLATE](#)]

HOW do you use organizational **PERFORMANCE** review findings to develop priorities for continuous improvement and opportunities for **INNOVATION**?

HOW are these priorities and opportunities **DEPLOYED** to work group and functional-level operations throughout your organization?

When appropriate, **HOW** are the priorities and opportunities **DEPLOYED** to your suppliers, **PARTNERS**, and **COLLABORATORS** to ensure organizational **ALIGNMENT**?

STOP ANSWERING 4.1 QUESTIONS HERE

Notes:

- N1. **PERFORMANCE MEASUREMENT** (4.1a) is used in fact-based decision making for setting and **ALIGNING** organizational directions and resource use at the work unit, **KEY PROCESS**, departmental, and organizational **LEVELS**.
- N2. **COMPARATIVE** data and information (4.1a[2]) are obtained by **BENCHMARKING** and by seeking competitive **COMPARISONS**. "**BENCHMARKING**" refers to identifying **PROCESSES** and **RESULTS** that represent best practices and **PERFORMANCE** for similar activities, inside or outside your organization's industry. Competitive **COMPARISONS** relate your organization's **PERFORMANCE** to that of competitors and other organizations providing similar products and services.
- N3. Organizational **PERFORMANCE** reviews (4.1b) should be informed by organizational **PERFORMANCE MEASUREMENT** and by **PERFORMANCE MEASURES** reported throughout your **Criteria item** responses, and they should be guided by the **STRATEGIC OBJECTIVES** and **ACTION PLANS** described in **items 2.1** and **2.2**. The reviews also might be informed by internal or external Baldrige assessments.
- N4. **PERFORMANCE ANALYSIS** (4.1b) includes examining **PERFORMANCE TRENDS**; organizational, industry, and technology **PROJECTIONS**; and **COMPARISONS**, cause-effect relationships, and correlations. **PERFORMANCE ANALYSIS** should support your **PERFORMANCE** reviews, help determine root causes, and help set priorities for resource use. Accordingly, such **ANALYSIS** draws on all types of data: **CUSTOMER**-related, financial and market, operational, and competitive.
- N5. The **RESULTS** of organizational **PERFORMANCE ANALYSIS** and review should contribute to your organizational strategic planning in **category 2**.
- N6. Your organizational **PERFORMANCE RESULTS** should be reported in **items 7.1, 7.2, 7.3, 7.4, and 7.5**

All terms in CAPS are links to their definitions

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4.2 Management of Information, **KNOWLEDGE**, and Information Technology:

HOW do you manage your information, organizational **KNOWLEDGE**, and information technology? (45 pts.)

Describe **HOW** your organization builds and manages its **KNOWLEDGE ASSETS**.

Describe **HOW** your organization ensures the quality and availability of needed data, information, software, and hardware for your **WORKFORCE**, suppliers, **PARTNERS**, **COLLABORATORS**, and **CUSTOMERS**.

Within your response, include answers to the following questions:

START ANSWERING 4.2 QUESTIONS HERE

4.2a. Data, Information, and **KNOWLEDGE** Management

(1) Properties [\[KNOWLEDGE PROPERTIES MANAGEMENT TEMPLATE\]](#)

HOW do you manage your organizational data, information, and **KNOWLEDGE** to ensure the following properties?

- accuracy
- integrity and reliability
- timeliness
- security and confidentiality

(2) Data and Information Availability [\[DATA and INFORMATION AVAILABILITY TEMPLATE\]](#)

HOW do you make needed data and information available to your **WORKFORCE**, suppliers, **PARTNERS**, **COLLABORATORS**, and **CUSTOMERS**, as appropriate?

(3) KNOWLEDGE Management [\[KNOWLEDGE COLLECTION and SHARING TEMPLATE\]](#)

HOW do you manage organizational **KNOWLEDGE** to accomplish the following?

- 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
- the assembly and transfer of relevant **KNOWLEDGE** for use in your **INNOVATION** and strategic planning **PROCESSES**

4.2b. Management of Information Resources and Technology

(1) Hardware and Software Properties [\[HARDWARE and SOFTWARE PROPERTIES TEMPLATE\]](#)

HOW do you ensure that hardware and software are reliable, secure, and user-friendly?

(2) Emergency Availability [\[EMERGENCY AVAILABILITY TEMPLATE\]](#)

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 to **EFFECTIVELY** serve **CUSTOMERS** and business needs?

STOP ANSWERING 4.2 QUESTIONS HERE

Note:

N1. Data and information access (4.2a[2]) might be via electronic or other means.

All terms in CAPS are links to their definitions

5 WORKFORCE Focus (85 pts.)

The **WORKFORCE Focus** category examines your ability to assess **WORKFORCE CAPABILITY** and **CAPACITY** needs and build a **WORKFORCE** environment conducive to **HIGH PERFORMANCE**. The category also examines **HOW** your organization **ENGAGES**, manages, and develops your **WORKFORCE** to utilize its full potential in **ALIGNMENT** with your organization's overall **MISSION**, strategy, and **ACTION PLANS**.

5.1 WORKFORCE Environment:

HOW do you build an **EFFECTIVE** and supportive **WORKFORCE** environment?

(40 pts.)

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:

START ANSWERING 5.1 QUESTIONS HERE

5.1a. WORKFORCE CAPABILITY and CAPACITY

(1) CAPABILITY and CAPACITY [WORKFORCE CAPABILITY and CAPACITY ASSESSMENT TEMPLATE]

HOW do you assess your **WORKFORCE CAPABILITY** and **CAPACITY** needs, including skills, competencies, and staffing levels?

(2) New WORKFORCE Members [NEW WORKFORCE MEMBERS TEMPLATE]

HOW do you recruit, hire, place, and retain new members of your **WORKFORCE**?

HOW do you ensure that your **WORKFORCE** represents the **DIVERSE** ideas, cultures, and thinking of your hiring and **CUSTOMER** community?

(3) Work Accomplishment [WORK ACCOMPLISHMENT TEMPLATE]

HOW do you organize and manage your **WORKFORCE** to achieve the following?

- 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**

(4) WORKFORCE Change Management [WORKFORCE CHANGE MANAGEMENT TEMPLATE]

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, prevent **WORKFORCE** reductions, and minimize the impact of **WORKFORCE** reductions, if they do become necessary?

HOW do you prepare for and manage periods of **WORKFORCE** growth?

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5.1b. WORKFORCE Climate

(1) Workplace Environment [\[WORKPLACE ENVIRONMENT TEMPLATE\]](#)

HOW do you address workplace environmental factors, including accessibility, to ensure and improve WORKFORCE health, safety, and security?

What are your PERFORMANCE MEASURES and improvement GOALS for each of these WORKFORCE needs?

What are any significant differences in these factors and PERFORMANCE MEASURES or targets for different workplace environments?

(2) WORKFORCE Policies and Benefits [\[WORKFORCE POLICIES AND BENEFITS TEMPLATE\]](#)

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?

STOP ANSWERING 5.1 QUESTIONS HERE

Notes:

- N1. “WORKFORCE” refers to the people actively involved in accomplishing the work of your organization. It includes your organization’s permanent, temporary, and part-time personnel, as well as any contract employees supervised by your organization. It includes team leaders, supervisors, and managers at all levels. People supervised by a contractor should be addressed in [category 6](#) as part of your larger WORK SYSTEMS. *For nonprofit organizations that also rely on volunteers, “WORKFORCE” includes these volunteers.*
- N2. “WORKFORCE CAPABILITY” (5.1a) refers to your organization’s ability to accomplish its WORK PROCESSES through the KNOWLEDGE, skills, abilities, and competencies of its people. CAPABILITY may include the ability to build and SUSTAIN relationships with your CUSTOMERS; INNOVATE and transition to new technologies; develop new products, services, and WORK PROCESSES; and meet changing business, market, and regulatory demands. “WORKFORCE CAPACITY” (5.1a) refers to your organization’s ability to ensure sufficient staffing levels to accomplish its WORK PROCESSES and successfully deliver your products to your CUSTOMERS, including the ability to meet seasonal or varying demand levels.
- N3. WORKFORCE CAPABILITY and CAPACITY should consider not only current needs but also future requirements based on your STRATEGIC OBJECTIVES and ACTION PLANS reported in [Category 2](#).
- N4. 5.1a(2) addresses only new WORKFORCE members. The retention of existing WORKFORCE members is considered in [Item 5.2, WORKFORCE ENGAGEMENT](#).
- N5. Preparing your WORKFORCE for changing CAPABILITY and CAPACITY needs (5.1a[4]) might include training, education, frequent communication, considerations of WORKFORCE employment and employability, career counseling, and outplacement and other services.

All terms in CAPS are links to their definitions

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5.2 WORKFORCE ENGAGEMENT:

HOW do you **ENGAGE** your **WORKFORCE** to achieve organizational and personal success? (45 pts.)

Describe **HOW** your organization **ENGAGES**, compensates, and rewards your **WORKFORCE** to achieve **HIGH PERFORMANCE**.

Describe **HOW** you assess **WORKFORCE ENGAGEMENT** and use the **RESULTS** to achieve higher **PERFORMANCE**.

Describe **HOW** members of your **WORKFORCE**, including leaders, are developed to achieve **HIGH PERFORMANCE**.

Within your response, include answers to the following questions:

START ANSWERING 5.2 QUESTIONS HERE

5.2a. WORKFORCE PERFORMANCE

(1) Elements of **ENGAGEMENT**

HOW do you determine the **KEY** elements that affect **WORKFORCE ENGAGEMENT**?

HOW do you determine the **KEY** elements that affect **WORKFORCE** satisfaction?

HOW are these elements determined for different **WORKFORCE** groups and **SEGMENTS**?

(2) **Organizational Culture** [\[ORGANIZATIONAL CULTURE TEMPLATE\]](#)

HOW do you foster an organizational culture that is characterized by open communication, **HIGH-PERFORMANCE WORK**, and an **ENGAGED WORKFORCE**?

HOW do you ensure that your organizational culture benefits from the **DIVERSE** ideas, cultures, and thinking of your **WORKFORCE**?

(3) **PERFORMANCE Management** [\[WORKFORCE PERFORMANCE MANAGEMENT TEMPLATE\]](#)

HOW does your **WORKFORCE PERFORMANCE** management system achieve the following?

- support **HIGH-PERFORMANCE WORK** and **WORKFORCE ENGAGEMENT**
- consider **WORKFORCE** compensation, reward, recognition, and incentive practices
- reinforce a **CUSTOMER** and business focus and achievement of your **ACTION PLANS**

5.2b. Assessment of **WORKFORCE ENGAGEMENT**

(1) **Assessment of ENGAGEMENT** [\[WORKFORCE ENGAGEMENT ASSESSMENT TEMPLATE\]](#)

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) **Correlation with Business RESULTS**

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**?

2012 Baldrige ARTICULATED Criteria

5.2c. WORKFORCE and Leader Development

(1) LEARNING and Development System [\[LEARNING AND DEVELOPMENT TEMPLATE\]](#)

HOW does your LEARNING and development system address the following factors for your WORKFORCE members and 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
- CUSTOMER focus
- their LEARNING and development needs, including those that are self-identified and those identified by supervisors, managers, and SENIOR LEADERS
- the transfer of KNOWLEDGE from departing or retiring WORKFORCE members
- the reinforcement of new KNOWLEDGE and skills on the job

(2) LEARNING and Development EFFECTIVENESS [\[Learning and Development Template\]](#)

HOW do you evaluate the EFFECTIVENESS and efficiency of your LEARNING and development system?

(3) Career Progression

HOW do you manage EFFECTIVE career progression for your entire WORKFORCE?

HOW do you accomplish EFFECTIVE succession planning for management and leadership positions?

STOP ANSWERING 5.2 QUESTIONS HERE

Notes:

- N1. "WORKFORCE ENGAGEMENT" refers to the extent of WORKFORCE commitment, both emotional and intellectual, to accomplishing the work, MISSION, and VISION of the organization.
- N2. The characteristics of "HIGH-PERFORMANCE WORK" environments (5.2a[2] and 5.2a[3]), in which people do their utmost for the benefit of their CUSTOMERS and for the success of the organization, are KEY to understanding an ENGAGED WORKFORCE. These characteristics are described in detail in the definition of "HIGH-PERFORMANCE WORK".
- N3. Compensation, recognition, and related reward and incentive practices (5.2a[3]) include promotions and bonuses that might be based on PERFORMANCE, skills acquired, and other factors. *In some government organizations, compensation systems are set by law or regulation. However, since recognition can include monetary and nonmonetary, formal and informal, and individual and group mechanisms, reward and recognition systems do permit flexibility.*
- N4. Identifying improvement opportunities (5.2b[2]) might draw on your WORKFORCE-focused RESULTS presented in item 7.3 and might involve addressing WORKFORCE-related problems based on their impact on your organizational RESULTS reported in response to other category 7 items.
- N5. Your organization may have unique considerations relative to WORKFORCE development, LEARNING, and career progression. If this is the case, your response to 5.2c should include HOW you address these considerations. Your response should also consider the breadth of development opportunities your organization might use, including education, training, coaching, mentoring, and work-related experiences.

All terms in CAPS are links to their definitions

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6 Operations Focus (85 pts.)

The **Operations Focus** category examines **HOW** your organization designs, manages, and improves its **WORK SYSTEMS** and **WORK PROCESSES** to deliver **CUSTOMER VALUE** and achieve organizational success and **SUSTAINABILITY**. Also examined is your readiness for emergencies.

6.1 WORK SYSTEMS:

HOW do you design, manage, and improve your **WORK SYSTEMS**? (45 pts.)

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

Within your response, include answers to the following questions:

START ANSWERING 6.1 QUESTIONS HERE

6.1a. WORK SYSTEM Design

(1) Design Concepts

HOW do you design and **INNOVATE** your overall **WORK SYSTEMS**?

HOW do you capitalize on your **CORE COMPETENCIES**? [\[CORE COMPETENCIES TEMPLATE\]](#)

HOW do you decide which **[WORK] PROCESSES** within your overall **WORK SYSTEMS** will be internal to your organization (your **KEY WORK PROCESSES**) and which will use external resources?

(2) WORK SYSTEM Requirements [\[WORK SYSTEMS and REQUIREMENTS TEMPLATE\]](#)

HOW do you determine **KEY WORK SYSTEM** requirements, incorporating input from **CUSTOMERS**, suppliers, **PARTNERS**, and **COLLABORATORS**, as appropriate?

What are the **KEY** requirements for these **WORK SYSTEMS**?

6.1b. WORK SYSTEM Management

(1) WORK SYSTEM Implementation

What are your organization's **WORK SYSTEMS**? [\[WORK SYSTEMS and REQUIREMENTS TEMPLATE\]](#)

HOW do you manage and improve your **WORK SYSTEMS** to deliver **CUSTOMER VALUE** and achieve organizational success and **SUSTAINABILITY**? [\[PROCESSES and SYSTEMS IMPROVEMENT TEMPLATE\]](#)

(2) Cost Control [\[SYSTEMS COST CONTROL TEMPLATE\]](#)

HOW do you control the overall costs of your **WORK SYSTEMS**?

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?
[\[INSPECTIONS, TESTS, and AUDITS TEMPLATE\]](#)

6.1c. Emergency Readiness [\[EMERGENCY PREPAREDNESS TEMPLATE\]](#)

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?

2012 Baldrige ARTICULATED Criteria

STOP ANSWERING 6.1 QUESTIONS HERE

Notes:

- N1. “[WORK SYSTEMS](#)” refers to [HOW](#) the work of your organization is accomplished. [WORK SYSTEMS](#) involve your [WORKFORCE](#), your [KEY](#) suppliers and [PARTNERS](#), your contractors, your [COLLABORATORS](#), and other components of the supply chain needed to produce and deliver your products and business and support [PROCESSES](#). Your [WORK SYSTEMS](#) coordinate the internal [WORK PROCESSES](#) and the external resources necessary for you to develop, produce, and deliver your products to your [CUSTOMERS](#) and to succeed in your marketplace.
- N2. Disasters and emergencies ([6.1c](#)) might be weather-related, utility-related, security-related, or due to a local or national emergency, including potential pandemics. Emergency considerations related to information technology should be addressed in [item 4.2](#).

All terms in CAPS are links to their definitions

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6.2 WORK PROCESSES:

HOW do you design, manage, and improve your **KEY WORK PROCESSES**? (40 pts.)

Describe **HOW** your organization designs, 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:

START ANSWERING 6.2 QUESTIONS HERE

6.2a. WORK PROCESS Design

(1) Design Concepts [\[WORK PROCESSES REQUIREMENTS TEMPLATE\]](#)

HOW do you design and **INNOVATE** your **WORK PROCESSES** to meet all the **KEY** requirements?

HOW do you incorporate new technology, organizational **KNOWLEDGE**, product excellence, and the potential need for **AGILITY** into these **[WORK] PROCESSES**?

HOW do you incorporate **CYCLE TIME**, **PRODUCTIVITY**, cost control, and other efficiency and **EFFECTIVENESS** factors into these **[WORK] PROCESSES**?

(2) WORK PROCESS Requirements [\[WORK PROCESSES REQUIREMENTS TEMPLATE\]](#)

HOW do you determine **KEY WORK PROCESS** requirements?

What are your organization's **KEY WORK PROCESSES**?

What are the **KEY** requirements for these **WORK PROCESSES**?

6.2b. WORK PROCESS Management

(1) KEY WORK PROCESS Implementation [\[WORK PROCESSES REQUIREMENTS TEMPLATE\]](#)

HOW do your **KEY WORK PROCESSES** relate to your **WORK SYSTEMS**?

HOW does your day-to-day operation of these **[WORK] PROCESSES** ensure that they meet **KEY PROCESS** requirements?

What are your **KEY PERFORMANCE MEASURES** or **INDICATORS** and in-**PROCESS MEASURES** for the control and improvement of your **WORK PROCESSES**?

(2) Supply-Chain Management [\[SUPPLIER PERFORMANCE REQUIREMENTS TEMPLATE\]](#)

HOW do you manage your supply chain?

HOW do you ensure that suppliers you select are qualified and positioned to enhance your **PERFORMANCE** and **CUSTOMER** satisfaction?

HOW do you evaluate supplier **PERFORMANCE**?

HOW do you deal with poorly performing suppliers?

(3) PROCESS Improvement [\[PROCESSES and SYSTEMS IMPROVEMENT TEMPLATE\]](#)

HOW do you improve your **WORK PROCESSES** to achieve better **PERFORMANCE**, reduce variability, and improve products?

STOP ANSWERING 6.2 QUESTIONS HERE

Notes:

2012 Baldrige ARTICULATED Criteria

- N1. Your **KEY WORK PROCESSES** (6.2a[2]) are your most important internal **VALUE** creation **PROCESSES** and might include product design and delivery, **CUSTOMER** support, supply-chain management, business, and support **PROCESSES**. Your **KEY WORK PROCESSES** are those that involve the majority of your organization's **WORKFORCE** members and produce **CUSTOMER**, **STAKEHOLDER**, and stockholder **VALUE**. "Projects" are unique **WORK PROCESSES** intended to produce an outcome and then go out of existence. Project management also may be applied to a **WORK SYSTEM CHALLENGE** or opportunity.
- N2. To improve **PROCESS PERFORMANCE** (6.2b[3]) and reduce variability, your organization might implement **APPROACHES** such as a **Lean Enterprise System**, the **Six Sigma methodology**, **ISO quality system standards**, the **Plan-Do-Check-Act methodology**, or other **PROCESS** improvement tools. These **APPROACHES** might be part of your **PERFORMANCE** improvement system described in response to **P.2c in the Organizational Profile**.
- N3. The **RESULTS** of improvements in product and **PROCESS PERFORMANCE** should be reported in **item 7.1**.

All terms in CAPS are links to their definitions

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7 RESULTS (450 pts.)

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

7.1 Product and **PROCESS** Outcomes:

What are your product **PERFORMANCE** and **PROCESS EFFECTIVENESS RESULTS**? (120 pts.)

Summarize your organization's **KEY** product **PERFORMANCE** and **PROCESS EFFECTIVENESS** and efficiency **RESULTS**.

Include **PROCESSES** that directly serve **CUSTOMERS**, strategy, and operations.

SEGMENT your **RESULTS** by product offerings, by **CUSTOMER** groups and market **SEGMENTS**, and by **PROCESS** types and locations, as appropriate.

Include appropriate **COMPARATIVE** data.

Provide data and information to answer the following questions:

START ANSWERING 7.1 QUESTIONS HERE

7.1a. **CUSTOMER-Focused Product and **PROCESS RESULTS**** [PERFORMANCE MEASURES INTEGRATION TEMPLATE]

What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of product and **PROCESS PERFORMANCE** that are important to and directly serve your **CUSTOMERS**?

HOW do these **RESULTS COMPARE** with the **PERFORMANCE** of your competitors and other organizations with similar offerings?

7.1b. **Operational **PROCESS EFFECTIVENESS RESULTS**** [PERFORMANCE MEASURES INTEGRATION TEMPLATE]

(1) **Operational **EFFECTIVENESS****

What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of the operational **PERFORMANCE** of your **KEY WORK SYSTEMS** and **PROCESSES**, including **PRODUCTIVITY**, **CYCLE TIME**, and other appropriate **MEASURES** of **PROCESS EFFECTIVENESS**, efficiency, and **INNOVATION**?

(2) **Emergency Preparedness** [EMERGENCY READINESS TEMPLATE]

What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of the **EFFECTIVENESS** of your **WORK SYSTEM** and workplace preparedness for disasters or emergencies?

7.1c. **Strategy Implementation **RESULTS**** [PERFORMANCE MEASURES INTEGRATION TEMPLATE]

What are your **RESULTS** for **KEY MEASURES** or **INDICATORS** of the accomplishment of your organizational strategy and **ACTION PLANS**, including building and strengthening **CORE COMPETENCIES**?

STOP ANSWERING 7.1 QUESTIONS HERE

Notes:

2012 Baldrige ARTICULATED Criteria

- N1. **RESULTS** reported in **item 7.1** should provide **KEY** information for **ANALYSIS** and review of your organizational **PERFORMANCE** (**item 4.1**); demonstrate use of organizational **KNOWLEDGE** (**item 4.2**); and provide the operational basis for **CUSTOMER**-focused outcomes (**item 7.2**) and financial and market outcomes (**item 7.5**).
- N2. Product and **PROCESS RESULTS** reported in **7.1a** should relate to the **KEY CUSTOMER** requirements and expectations identified in **P.1b(2)**, based on information gathered in **items 3.1** and **3.2**. The **MEASURES** or **INDICATORS** should address factors that affect **CUSTOMER** preference, such as those included in **item P.1, note 5**, and **item 3.2, note 2**.
- N3. **RESULTS** reported in **7.1b** should address your **KEY** operational requirements as presented in the **Organizational Profile** and in **items 6.1** and **6.2**.
- N4. Appropriate **MEASURES** and **INDICATORS** of operational **PROCESS EFFECTIVENESS** (**7.1b**) might include audit, just-in-time delivery, and acceptance **RESULTS** for externally provided products, services, and **PROCESSES**; supplier and **PARTNER PERFORMANCE**; product, service, and **WORK SYSTEM INNOVATION** rates and **RESULTS**; simplification of internal jobs and job classifications; work layout improvements; changes in supervisory ratios; response times for emergency drills or exercises; and **RESULTS** for work relocation or contingency exercises.
- N5. **MEASURES** or **INDICATORS** of strategy and **ACTION PLAN** accomplishment (**7.1c**) should address your **STRATEGIC OBJECTIVES** and **GOALS** identified in **2.1b(1)** and your **ACTION PLAN PERFORMANCE MEASURES** and **PROJECTED PERFORMANCE** identified in **2.2a(5)** and **2.2b**, respectively.
- N6. *For some nonprofit organizations, product or service **PERFORMANCE MEASURES** might be mandated by your funding sources. These **MEASURES** should be identified and reported in your response to this item.*

All terms in CAPS are links to their definitions

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7.2 CUSTOMER-Focused Outcomes:

What are your **CUSTOMER**-focused **PERFORMANCE RESULTS**? (90 pts.)

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:

START ANSWERING 7.2 QUESTIONS HERE

7.2a **CUSTOMER**-Focused **RESULTS** [[PERFORMANCE MEASURES INTEGRATION TEMPLATE](#)]

(1) **CUSTOMER** Satisfaction

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) **CUSTOMER ENGAGEMENT** [[CUSTOMER RELATIONSHIP BUILDING APPROACHES TEMPLATE](#)]

What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of **CUSTOMER ENGAGEMENT**, including relationship building?

HOW do these **RESULTS COMPARE** over the course of your **CUSTOMER** life cycle, as appropriate?

STOP ANSWERING 7.2 QUESTIONS HERE

Notes:

- N1. **CUSTOMER** satisfaction, dissatisfaction, **ENGAGEMENT**, and relationship-building **RESULTS** reported in this item should relate to the **CUSTOMER** groups and market **SEGMENTS** discussed in **P.1b(2)** and **category 3** and to the listening and determination methods and data described in **item 3.1**.
- N2. **MEASURES** and **INDICATORS** of **CUSTOMERS'** satisfaction with your products relative to **CUSTOMERS'** satisfaction with competitors and **COMPARABLE** organizations (**7.2a[1]**) might include information and data from your **CUSTOMERS** and from independent organizations.

All terms in CAPS are links to their definitions

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7.3 WORKFORCE-Focused Outcomes:

What are your WORKFORCE-focused PERFORMANCE RESULTS? (80 pts.)

Summarize your organization's KEY WORKFORCE-focused RESULTS for your WORKFORCE environment and for WORKFORCE ENGAGEMENT.

SEGMENT your RESULTS to address the DIVERSITY of your WORKFORCE and to address your WORKFORCE groups and SEGMENTS, as appropriate.

Include appropriate COMPARATIVE data.

Provide data and information to answer the following questions:

START ANSWERING 7.3 QUESTIONS HERE

7.3a. WORKFORCE RESULTS [PERFORMANCE MEASURES INTEGRATION TEMPLATE]

(1) WORKFORCE CAPABILITY and CAPACITY

What are your current LEVELS and TRENDS in KEY MEASURES of WORKFORCE CAPABILITY and CAPACITY, including staffing levels and appropriate skills?

(2) WORKFORCE Climate

What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of your WORKFORCE climate, including WORKFORCE health, safety, and security and WORKFORCE services and benefits, as appropriate?

(3) WORKFORCE ENGAGEMENT [WORKFORCE ENGAGEMENT ASSESSMENT TEMPLATE]

What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of WORKFORCE ENGAGEMENT and WORKFORCE satisfaction?

(4) WORKFORCE Development

What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of WORKFORCE and leader development?

STOP ANSWERING 7.3 QUESTIONS HERE

Notes:

N1. RESULTS reported in this item should relate to PROCESSES described in category 5. Your RESULTS should be responsive to KEY WORK PROCESS needs described in category 6 and to your organization's ACTION PLANS and human resource or WORKFORCE plans described in item 2.2.

N2. Responses to 7.3a(3) should include MEASURES and INDICATORS identified in response to 5.2b(1).

N3. Nonprofit organizations that rely on volunteers should include RESULTS for their volunteer WORKFORCE, as appropriate.

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7.4 Leadership and GOVERNANCE Outcomes:

What are your SENIOR LEADERSHIP and GOVERNANCE RESULTS? (80 pts.)

Summarize your organization's KEY SENIOR LEADERSHIP and GOVERNANCE RESULTS, including those for fiscal accountability, legal compliance, ETHICAL BEHAVIOR, societal responsibility, and support of KEY communities.

SEGMENT your RESULTS by organizational units, as appropriate.

Include appropriate COMPARATIVE data.

Provide data and information to answer the following questions:

START ANSWERING 7.4 QUESTIONS HERE

7.4a. Leadership, GOVERNANCE, and Societal Responsibility RESULTS [PERFORMANCE MEASURES INTEGRATION TEMPLATE]

(1) Leadership

What are your RESULTS for KEY MEASURES or INDICATORS of SENIOR LEADERS' communication and ENGAGEMENT with the WORKFORCE to DEPLOY VISION and VALUES, encourage two-way communication, and create a focus on action?

(2) GOVERNANCE

What are your KEY current findings and TRENDS in KEY MEASURES or INDICATORS of GOVERNANCE and fiscal accountability, internal and external, as appropriate?

(3) Law and Regulation

What are your RESULTS for KEY MEASURES or INDICATORS of achieving and surpassing regulatory and legal requirements?

(4) ETHICS

What are your RESULTS for KEY MEASURES or INDICATORS of ETHICAL BEHAVIOR and of STAKEHOLDER trust in your organization's SENIOR LEADERS and GOVERNANCE?

What are your RESULTS for KEY MEASURES or INDICATORS of breaches of ETHICAL BEHAVIOR?

(5) Society

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?

STOP ANSWERING 7.4 QUESTIONS HERE

Notes:

N1. Responses to 7.4a(1) should address communication PROCESSES identified in item 1.1.

N2. Responses to 7.4a(2) might include financial statement issues and risks, important internal and external auditor recommendations, and the management's responses to these matters. *For some nonprofit organizations, RESULTS of IRS 990 audits also might be included.*

N3. Regulatory and legal RESULTS (7.4a[3]) should address requirements described in 1.2b. WORKFORCE-related occupational health and safety RESULTS (e.g., Occupational Safety and Health Administration [OSHA] reportable incidents) should be reported in 7.3a(2).

N4. For examples of MEASURES of ETHICAL BEHAVIOR and STAKEHOLDER trust (7.4a[4]), see item 1.2, note 4.

N5. Responses to 7.4a(5) should address your organization's societal responsibilities described in 1.2b(1) and 1.2c(1), as well as support of the KEY communities described in 1.2c(2). MEASURES of contributions to societal well-being might include reduced energy consumption; the use of renewable energy resources, recycled water, and alternative APPROACHES to conserving resources (e.g., increased audio and video conferencing); and the global use of enlightened labor practices. All terms in CAPS are links to their definitions

7.5 Financial and Market Outcomes:

What are your financial and marketplace **PERFORMANCE RESULTS**? (80 pts.)

Summarize your organization's **KEY** financial and marketplace **PERFORMANCE RESULTS** by market **SEGMENTS** or **CUSTOMER** groups, as appropriate.

Include appropriate **COMPARATIVE** data.

Provide data and information to answer the following questions:

START ANSWERING 7.5 QUESTIONS HERE

7.5a. Financial and Market **RESULTS** [[PERFORMANCE MEASURES INTEGRATION TEMPLATE](#)]

(1) Financial **PERFORMANCE**

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) Marketplace **PERFORMANCE**

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?

STOP ANSWERING 7.5 QUESTIONS HERE

Notes:

- N1. Responses to 7.5a(1) should include aggregate **MEASURES** of financial return, such as return on investment (ROI), operating margins, profitability, or profitability by market **SEGMENT** or **CUSTOMER** group. Responses also should include **MEASURES** of financial viability, such as liquidity, debt-to-equity ratio, days cash on hand, asset utilization, and cash flow. **MEASURES** should relate to the financial **MEASURES** reported in 4.1a(1) and the financial management **APPROACHES** described in item 2.2. *For nonprofit organizations, additional **MEASURES** might include **PERFORMANCE** to budget, reserve funds, cost avoidance or savings, administrative expenditures as a percentage of budget, and the cost of fundraising versus funds raised.*
- N2. *For nonprofit organizations, responses to 7.5a(2) might include **MEASURES** of charitable donations or grants and the number of new programs or services offered.*

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