

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

Why articulate the Baldrige Criteria?

Articulating the Criteria questions improves understanding and ease of use. Unlike the official Baldrige Criteria questions which are bundled into densely-worded paragraphs of disparate topics, the Articulated Criteria simply separate the questions.

Global Acceptance and Popularity of understanding:

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 Health Care 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 more than **50 Health Care 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 Health Care Articulated Criteria with anyone who may benefit.

Notes:

- The **Articulated Criteria** are updated frequently. [Click here to download the latest version](#). For example, expect to see soon:
 - An MS Word version that allows you to add your responses immediately following the Criteria questions
 - A 'clean' PDF version without the Template links and promotional stuff
- Links to the **Criteria Response Templates** have not been activated in this version. [Click here to learn how to obtain them](#)

Finally, thank you for using the only functionally integrated version of the Baldrige Criteria available anywhere. [Paul](#)

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 **PATIENTS** and **STAKEHOLDERS** suppliers and **PARTNERS**.

Within your response, include answers to the following questions:

START ANSWERING PROFILE P.1 QUESTIONS HERE

P.1a. Organizational Environment

(1) **Service Offerings** [HEALTH CARE SERVICE OFFERINGS TEMPLATE]

What are your organization's main **HEALTH CARE SERVICE** offerings (see note 1 below)?

What is the relative importance of each to your organizational success?

What mechanisms do you use to deliver your services?

(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 staff 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; health care industry standards; and environmental, financial, and **HEALTH CARE SERVICE** delivery regulations?

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** health care market **SEGMENTS** and **PATIENT** and **STAKEHOLDER** groups, as appropriate?

What are their **KEY** requirements and expectations for your **HEALTH CARE SERVICES**, **PATIENT** and **STAKEHOLDER** support services, and operations?

What are the differences in these requirements and expectations among market **SEGMENTS** and **PATIENT** 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 delivery of your **KEY HEALTH CARE SERVICES** and **PATIENT** and **STAKEHOLDER** 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 PROFILE P.1 QUESTIONS HERE

Notes:

- N1.** “**HEALTH CARE SERVICE offerings**” (P.1a[1]) refer to the **HEALTH CARE SERVICES** that your organization offers in the marketplace. Mechanisms for service delivery to your **PATIENTS** and **STAKEHOLDERS** might be direct or through contractors, **COLLABORATORS**, or **PARTNERS**.
- 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.** Many health care organizations rely heavily on volunteers to accomplish their work. These organizations should include volunteers in the discussion of their **WORKFORCE** (P.1a[3]).
- N4.** **WORKFORCE** 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.
- N5.** **STAKEHOLDERS** may refer to **PATIENTS’** families, the community, insurers and other third-party payors, employers, health care providers, **PATIENT** advocacy groups, departments of health, and students. Generic references to **CUSTOMERS** or **STAKEHOLDERS** include **PATIENTS**.
- N6.** **PATIENT** and **STAKEHOLDER** groups (P.1b[2]) might be based on common expectations, behaviors, preferences, or profiles. Within a group there may be **PATIENT** and **STAKEHOLDER SEGMENTS** based on differences and commonalities. Your markets might be subdivided into market **SEGMENTS** based on **HEALTH CARE SERVICES** or features, service delivery modes, payors, business volume, geography, or other factors that your organization uses to define related market characteristics.

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- N7. Requirements of **PATIENT** and **STAKEHOLDER** groups and health care market **SEGMENTS** (P.1b[2]) might include accessibility, continuity of care, safety, security, leveraging of technology, billing requirements, socially responsible behavior, community service, cultural preferences, and multilingual services.
- N8. 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, **PATIENT**, or **STAKEHOLDER** requirements change.

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 Health Care 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.

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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 PROFILE 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 the health care industry or markets served?

What are the numbers and types of competitors and **KEY COLLABORATORS** 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 the health care industry?

What are your **KEY** available sources of **COMPARATIVE** data from outside the health care industry?

What limitations, if any, affect your ability to obtain these data?

P.2b. Strategic Context

What are your **KEY HEALTH CARE SERVICE**, operational, societal responsibility, and human resource **STRATEGIC CHALLENGES** and **ADVANTAGES**? [STRATEGIC ADVANTAGES and CHALLENGES TEMPLATE]

P.2c. PERFORMANCE Improvement System

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

STOP ANSWERING PROFILE P.2 QUESTIONS HERE

Notes:

- N1. **STRATEGIC CHALLENGES** and **ADVANTAGES** (P.2b) might relate to technology, **HEALTH CARE SERVICES**, your operations, your **PATIENT** and **STAKEHOLDER** support, the health care industry, and people. **STRATEGIC ADVANTAGES** might include differentiators such as your technology leadership, **INNOVATION** rate, accessibility, health care and administrative support services, cost, reputation for 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 applying **Six Sigma methodology**, implementing **Plan-Do-Check-Act (PDCA)** improvement cycles, or employing other **PROCESS**

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improvement and **INNOVATION** tools. A growing number of organizations have implemented specific **PROCESSES** for meeting **GOALS** in product and **PROCESS INNOVATION**.

All terms in CAPS link 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 ITEM 1.1 QUESTIONS HERE

1.1a. **VISION, VALUES, and MISSION**

(1) **VISION and VALUES**

HOW do **SENIOR LEADERS** set your organization's **VISION** and **VALUES**? [VISION, MISSION and VALUES TEMPLATE]

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 **PATIENTS** and other **STAKEHOLDERS**, as appropriate?

[PATIENTS/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**

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

HOW do they promote an organizational environment that requires it? [ETHICS and GOVERNANCE TEMPLATE]

(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 experience for **PATIENTS** and **STAKEHOLDERS** and fosters their **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 development of future organizational leaders
- create and promote a culture of **PATIENT** safety

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 PATIENT and health care 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 PATIENTS and other STAKEHOLDERS in their organizational PERFORMANCE expectations?

STOP ANSWERING ITEM 1.1 QUESTIONS HERE

Notes:

- N1. In health care organizations with separate administrative/operational and health care provider LEADERS, "SENIOR LEADERS" refers to both sets of LEADERS and the relationship between them.
- N2. 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.
- N3. 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).
- N4. 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]).
- N5. Your organizational PERFORMANCE RESULTS should be reported in items 7.1, 7.2, 7.3, 7.4, and 7.5.
- N6. For those 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 link 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, supports its **KEY** communities, and contributes to community health.

Within your response, include answers to the following questions:

START ANSWERING ITEM 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 Behavior, Regulatory Behavior, and Accreditation** [REGULATORY, ACCREDITATION and LEGAL ENVIRONMENT TEMPLATE]

HOW do you address any adverse impacts on society of your **HEALTH CARE SERVICES** and operations?

HOW do you anticipate public concerns with current and future services 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, legal, and accreditation requirements, as appropriate?

What are your **KEY PROCESSES**, **MEASURES**, and **GOALS** for addressing risks associated with your services 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 **PATIENTS**, **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 and to building community health?

STOP ANSWERING ITEM 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 malpractice and the RESULTS of mandated financial audits); accreditation, 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.
- 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.
- N4. MEASURES or INDICATORS of ETHICAL BEHAVIOR (1.2b[2]) might include the percentage of independent board members, 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. Actions to build community health (1.2c[2]) are population-based services supporting the general health of the communities in which you operate. Such services will likely draw upon your CORE COMPETENCIES and might include health education programs, immunization programs, unique HEALTH SERVICES provided at a financial loss, population-screening programs (e.g., for hypertension), sponsorship of safety programs, and indigent care and other community benefits. You should report the RESULTS of your community HEALTH SERVICES in item 7.1.

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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 ITEM 2.1 QUESTIONS HERE

2.1a. Strategy Development **PROCESS**

(1) Strategic Planning **PROCESS**

HOW does your organization conduct its strategic planning?

What are the **KEY PROCESS** steps? [STRATEGIC PLANNING PROCESS TEMPLATE]

Who are the **KEY** participants? [STRATEGIC PLANNING PROCESS TEMPLATE]

HOW does your **PROCESS** identify potential blind spots?

HOW do you determine your **CORE COMPETENCIES**, **STRATEGIC CHALLENGES**, and **STRATEGIC ADVANTAGES** (identified in your **Organizational Profile**)?

What are your short-and longer-term planning time horizons?

HOW are these time horizons set?

HOW does your strategic planning **PROCESS** address these time horizons?

(2) 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, **HEALTH CARE SERVICES**, **PATIENT** and **STAKEHOLDER** 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

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 HEALTH CARE SERVICES, 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 ITEM 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, PARTNERS, and PATIENTS and STAKEHOLDERS.
- N2. The term “strategy” should be interpreted broadly. Strategy might be built around or lead to any or all of the following: new HEALTH CARE SERVICES; redefinition of KEY PATIENT and STAKEHOLDER 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 staff or volunteer relationships. Strategy might be directed toward becoming a preferred provider, a center for clinical and service excellence, a research leader, a low-cost provider, a market INNOVATOR, or a provider of a high-end or customized service, or an INTEGRATED service provider. It also might be directed toward meeting a community or public health care 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 PATIENT, STAKEHOLDER, and health care market requirements, expectations, and opportunities; your culture, policies and procedures to ensure PATIENT safety and avoid medical errors; your policies and procedures regarding access to care and equity of care; 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; technological and other KEY INNOVATIONS or changes that might affect your 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 HEALTH CARE 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.

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- 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**.
- N5. **STRATEGIC OBJECTIVES** that address **KEY CHALLENGES** and **ADVANTAGES** (2.1b[2]) might include access and locations, rapid response, customization, co-location with major **PARTNERS**, **WORKFORCE CAPABILITY** and **CAPACITY**, specific joint ventures, rapid **INNOVATION**, societal responsibility actions or leadership, Web-based provider, **PATIENT** and **STAKEHOLDER** relationship management, implementation of electronic medical records and electronic care **PROCESSES** (e.g., order entry and e-prescribing); and enhancements in **HEALTH CARE SERVICE** quality. 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 **HEALTH CARE SERVICE** offerings and **CUSTOMER ENGAGEMENT PROCESSES**. However, the item does not address **CUSTOMER ENGAGEMENT** strategies or service design; you should address these factors in **items 3.2** and **6.1**, as appropriate.

All terms in CAPS link 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 ITEM 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 **HEALTH CARE SERVICES**, your **STAKEHOLDERS** and markets (including your **PATIENT** populations), 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, **PARTNERS**, and **COLLABORATORS**, 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**

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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 other organizations offering similar **HEALTH CARE SERVICES**?

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 ITEM 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 **PATIENT**, **STAKEHOLDER**, 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 **HEALTH CARE SERVICES** and technology.

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3 CUSTOMER Focus (85 pts.)

The **CUSTOMER Focus** category examines **HOW** your organization **ENGAGES** its **PATIENTS** and **STAKEHOLDERS** for long-term marketplace success. This **ENGAGEMENT** strategy includes **HOW** your organization listens to the **VOICE OF ITS CUSTOMERS**, (your **PATIENTS** and **STAKEHOLDERS**), 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 PATIENTS and STAKEHOLDERS? (45 pts.)

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

Within your response, include answers to the following questions:

START ANSWERING ITEM 3.1 QUESTIONS HERE

3.1a. PATIENT and STAKEHOLDER Listening

(1) **Listening to Current PATIENTS and STAKEHOLDERS** [CUSTOMER and STAKEHOLDER LISTENING TEMPLATE]

HOW do you listen to **PATIENTS** and **STAKEHOLDERS** to obtain actionable information?

HOW do your listening methods vary for different **PATIENT** groups, **STAKEHOLDER** groups, or market **SEGMENTS**?

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

HOW do your listening methods vary across the stages of **PATIENTS'** and **STAKEHOLDERS'** relationships with you?

HOW do you follow up with **PATIENTS** and **STAKEHOLDERS** on the quality of services, **PATIENT** and **STAKEHOLDER** support, and transactions to receive immediate and actionable feedback?

(2) **Listening to Potential PATIENTS and STAKEHOLDERS** [CUSTOMER and STAKEHOLDER LISTENING TEMPLATE]

HOW do you listen to former **PATIENTS** and **STAKEHOLDERS**, potential **PATIENTS** and **STAKEHOLDERS**, and competitors' **PATIENTS** and **STAKEHOLDERS** to obtain actionable information and to obtain feedback on your services, **PATIENT** and **STAKEHOLDER** support, and transactions, as appropriate?

3.1b. Determination of PATIENT Satisfaction and ENGAGEMENT

(1) **Satisfaction and ENGAGEMENT** [PATIENT and STAKEHOLDER SATISFACTION and ENGAGEMENT TEMPLATE]

HOW do you determine **PATIENT** and **STAKEHOLDER** satisfaction and **ENGAGEMENT**?

HOW do these determination methods differ among **PATIENT** and **STAKEHOLDER** groups and market **SEGMENTS**, as appropriate?

HOW do your **MEASUREMENTS** capture actionable information for use in exceeding your **PATIENTS'** and **STAKEHOLDERS'** expectations and securing your **PATIENTS'** and **STAKEHOLDERS'** **ENGAGEMENT**?

(2) **Satisfaction Relative to Competitors** [PATIENT and STAKEHOLDER SATISFACTION and ENGAGEMENT TEMPLATE]

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

HOW do you obtain information on your **PATIENTS'** and **STAKEHOLDERS'** satisfaction relative to the satisfaction **LEVELS** of **PATIENTS** and **STAKEHOLDERS** of other organizations providing similar **HEALTH CARE SERVICES** or to health care industry **BENCHMARKS**, as appropriate?

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(3) Dissatisfaction [PATIENT and STAKEHOLDER SATISFACTION and ENGAGEMENT TEMPLATE]

HOW do you determine PATIENT and STAKEHOLDER dissatisfaction?

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

STOP ANSWERING ITEM 3.1 QUESTIONS HERE

Notes:

- N1. The “*VOICE OF THE CUSTOMER*” refers to your PROCESS for capturing PATIENT-related and STAKEHOLDER-related information. VOICE-OF-THE-CUSTOMER PROCESSES are intended to be proactive and continuously INNOVATIVE to capture stated, unstated, and anticipated requirements, expectations, and desires of PATIENTS and STAKEHOLDERS. The GOAL is to achieve CUSTOMER ENGAGEMENT. Listening to the VOICE OF THE CUSTOMER might include gathering and INTEGRATING various types of PATIENT and STAKEHOLDER data, such as survey data, focus group findings, blog comments and other social media data, and complaint data that affect PATIENTS' and STAKEHOLDERS' purchasing and ENGAGEMENT decisions.
- N2. Use of social media and Web-based technologies to listen to PATIENTS and STAKEHOLDERS (3.1a[1]) provides a newer mode of gathering insight into their 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. Determining PATIENT and STAKEHOLDER satisfaction and dissatisfaction (3.1b) might include the use of any or all of the following: surveys, formal and informal feedback, health care utilization data, complaints, win/loss ANALYSIS, PATIENT and STAKEHOLDER referral rates, and transaction completion rates. Information might be gathered on the Web, through personal contact or a third party, or by mail. Determining PATIENT and STAKEHOLDER 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.
- N4. Dimensions of PATIENT satisfaction (3.1b[1]) might include, for example, satisfaction with the quality of care, with provider interactions, with long-term health outcomes, and with ancillary services.
- N5. Determining relative PATIENT and STAKEHOLDER satisfaction (3.1b[2]) may involve COMPARISONS with competitors, COMPARISONS with other organizations that deliver similar HEALTH CARE SERVICES in a noncompetitive marketplace, or COMPARISONS achieved through health care industry or other organizations. Determining relative satisfaction PATIENTS and STAKEHOLDERS also may involve determining why PATIENTS and STAKEHOLDERS choose your competitors over you.

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3.2 CUSTOMER ENGAGEMENT:

HOW do you ENGAGE PATIENTS and STAKEHOLDERS to serve their needs and build relationships? (40 pts.)

Describe HOW your organization determines HEALTH CARE SERVICE offerings and PATIENT and STAKEHOLDER communication mechanisms to support PATIENTS and STAKEHOLDERS.

Describe HOW your organization builds PATIENT and STAKEHOLDER relationships.

Within your response, include answers to the following questions:

START ANSWERING ITEM 3.2 QUESTIONS HERE

3.2a. Product Offerings and PATIENT and STAKEHOLDER Support

(1) **HEALTH CARE SERVICE Offerings**

HOW do you identify PATIENT, STAKEHOLDER and market requirements for HEALTH CARE SERVICE offerings?

HOW do you identify and INNOVATE service offerings to meet the requirements and exceed the expectations of your PATIENT and STAKEHOLDER groups and market SEGMENTS (identified in your Organizational Profile)?

HOW do you identify and INNOVATE service offerings to enter new markets, to attract new PATIENTS and STAKEHOLDERS, and to provide opportunities for expanding relationships with existing PATIENTS and STAKEHOLDERS, as appropriate?

(2) **PATIENT and STAKEHOLDER Support** [PATIENT and STAKEHOLDER SUPPORT TEMPLATE]

HOW do you enable PATIENTS and STAKEHOLDERS to seek information and support?

HOW do you enable them to obtain HEALTH CARE SERVICES from you and provide feedback on your services and your support?

What are your KEY means of PATIENT and STAKEHOLDER support, including your KEY communication mechanisms?

HOW do they vary for different PATIENT and STAKEHOLDER groups, or market SEGMENTS?

HOW do you determine your PATIENTS' and STAKEHOLDERS' KEY support requirements?

HOW do you ensure that PATIENTS' and STAKEHOLDERS' support requirements are DEPLOYED to all people and PROCESSES involved in PATIENT and STAKEHOLDER support?

(3) **PATIENT and STAKEHOLDER SEGMENTATION** [PATIENT SEGMENTATION TEMPLATE], [STAKEHOLDER SEGMENTATION TEMPLATE]

HOW do you use PATIENT, STAKEHOLDER, market, and HEALTH CARE SERVICE offering information to identify current and anticipate future PATIENT and STAKEHOLDER groups and market SEGMENTS?

HOW do you consider PATIENTS and STAKEHOLDERS of competitors and other potential PATIENTS, STAKEHOLDERS, and markets in this SEGMENTATION?

HOW do you determine which PATIENT and STAKEHOLDER groups, and market SEGMENTS to pursue for current and future HEALTH CARE SERVICES?

(4) **PATIENT and STAKEHOLDER Data Use** [PATIENT and STAKEHOLDER DATA USE TEMPLATE]

HOW do you use PATIENT, STAKEHOLDER, market, and HEALTH CARE SERVICE offering information to improve marketing, build a more PATIENT- and STAKEHOLDER-focused culture, and identify opportunities for INNOVATION?

3.2b. Building PATIENT and STAKEHOLDER Relationships

(1) Relationship Management [PATIENT and STAKEHOLDER RELATIONSHIP BUILDING TEMPLATE]

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

- acquire PATIENTS and STAKEHOLDERS and build market share
- retain PATIENTS and STAKEHOLDERS, meet their requirements, and exceed their expectations in each stage of their relationship with you
- increase their ENGAGEMENT with you

(2) Complaint Management [COMPLAINT MANAGEMENT TEMPLATE]

HOW do you manage PATIENT and STAKEHOLDER complaints?

HOW does your PATIENT and STAKEHOLDER complaint management PROCESS ensure that complaints are resolved promptly and EFFECTIVELY?

HOW does your PATIENT and STAKEHOLDER complaint management PROCESS enable you to recover your PATIENTS' and STAKEHOLDERS' confidence and enhance their satisfaction and ENGAGEMENT?

STOP ANSWERING ITEM 3.2 QUESTIONS HERE

Notes:

- N1. “CUSTOMER ENGAGEMENT” refers to your PATIENTS' and STAKEHOLDER's investment in your organization and HEALTH CARE SERVICE offerings. Characteristics of ENGAGEMENT include PATIENT and STAKEHOLDER retention and loyalty, PATIENTS' and STAKEHOLDERS' willingness to make an effort to obtain HEALTH CARE SERVICES from—your organization, and PATIENTS' and STAKEHOLDERS' willingness to actively advocate for and recommend your organization and HEALTH CARE SERVICE offerings.
- N2. “HEALTH CARE SERVICE offerings” and “HEALTH CARE SERVICES” refer to the services and programs that you offer in the marketplace. HEALTH CARE SERVICE offerings (3.2a) should consider all the important characteristics of services that PATIENTS and STAKEHOLDERS receive in each stage of their relationship with you. The focus should be on features that affect PATIENTS' and STAKEHOLDERS' preferences and loyalty—for example, those features that affect their view of clinical and service quality and differentiate your services from competing offerings or those of organizations offering similar HEALTH CARE SERVICES. Beyond specific health care provisions leading to desired health care outcomes, those features might include extended hours, family support services, timeliness, cost, assistance with billing/paperwork PROCESSES and transportation. KEY HEALTH CARE SERVICE features also might take into account HOW transactions occur and factors such as confidentiality and security of PATIENT and STAKEHOLDER data. Your RESULTS on PERFORMANCE relative to KEY service features should be reported in item 7.1, and those concerning PATIENTS' and STAKEHOLDERS' perceptions and actions (outcomes) should be reported in item 7.2.
- N3. The GOAL of PATIENT and STAKEHOLDER support (3.2a[2]) is to make your organization easy to obtain health care from and responsive to your PATIENTS' and STAKEHOLDERS' expectations.
- N4. Building PATIENT and STAKEHOLDER relationships (3.2b) might include the development of PARTNERSHIPS or alliances with STAKEHOLDERS.

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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 ITEM 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) PATIENT and STAKEHOLDER 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

HOW do you review organizational **PERFORMANCE** and **CAPABILITIES**? [PERFORMANCE ANALYSIS and REVIEW TEMPLATE]

HOW do you use your **KEY** organizational **PERFORMANCE MEASURES** in these reviews? [PERFORMANCE ANALYSIS and REVIEW TEMPLATE]

What **ANALYSES** do you perform to support these reviews and ensure that conclusions are valid? [PERFORMANCE ANALYSIS and REVIEW TEMPLATE]

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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**? [PERFORMANCE ANALYSIS and REVIEW TEMPLATE]

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**

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

(2) **Future PERFORMANCE**

HOW do you use **PERFORMANCE** review findings and **KEY COMPARATIVE** and competitive data to project future **PERFORMANCE**? [PERFORMANCE IMPROVEMENT APPROACHES TEMPLATE]

(3) **Continuous Improvement and INNOVATION**

HOW do you use organizational **PERFORMANCE** review findings to develop priorities for continuous improvement and opportunities for **INNOVATION**? [PERFORMANCE IMPROVEMENT APPROACHES TEMPLATE]

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**? [PERFORMANCE IMPROVEMENT APPROACHES TEMPLATE]

STOP ANSWERING ITEM 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 the health care industry. Competitive **COMPARISONS** relate your organization's **PERFORMANCE** to that of competitors and other organizations providing similar **HEALTH CARE 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, health care 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: **PATIENT**- and **STAKEHOLDER**-related, health care outcome, financial and market, operational, and competitive/**COMPARATIVE**.
- 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**

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 **PATIENTS** and **STAKEHOLDERS**.

Within your response, include answers to the following questions:

START ANSWERING ITEM 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 **PATIENTS**, and **STAKEHOLDERS**, as appropriate?

(3) **KNOWLEDGE** Management

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 **PATIENTS**, **STAKEHOLDERS**, 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 READINESS 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 **PATIENTS**, **STAKEHOLDERS**, and organizational needs?

STOP ANSWERING ITEM 4.2 QUESTIONS HERE

Note:

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

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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 ITEM 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 **PATIENT** and **STAKEHOLDER** 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 **PATIENT**, **STAKEHOLDER**, and health care 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?

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 ITEM 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 staff supervised by your organization, independent practitioners (e.g., physicians, physician assistants, nurse practitioners, acupuncturists, and nutritionists not paid by the organization), volunteers, and health profession students (e.g., medical, nursing, and ancillary). 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**.
- 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 **PATIENTS** and **STAKEHOLDERS**; **INNOVATE** and transition to new technologies; develop new **HEALTH CARE SERVICES** and **WORK PROCESSES**; and meet changing health care, 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 **HEALTH CARE SERVICES** to your **PATIENTS** and **STAKEHOLDERS**, 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 link 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:

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 **PATIENT, STAKEHOLDER**, and health care 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 Organizational RESULTS**

HOW do you relate your **WORKFORCE ENGAGEMENT** assessment findings to **KEY** organizational **RESULTS** reported in **category 7** to identify opportunities for improvement in both **WORKFORCE ENGAGEMENT** and health care **RESULTS**?

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** health care and **ETHICAL** business practices
- **PATIENT** and **STAKEHOLDER** 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 ITEM 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 **PATIENTS** and **STAKEHOLDERS** 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. Recognition systems for volunteers and independent practitioners who contribute to the work of the organization should be included, as appropriate.
- 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.

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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 **PATIENT** and **STAKEHOLDER 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 **PATIENT** and **STAKEHOLDER VALUE**, prepare for potential emergencies, and achieve organizational success and **SUSTAINABILITY**.

Within your response, include answers to the following questions:

START ANSWERING ITEM 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**?

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

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

What are the **KEY** requirements for these **WORK SYSTEMS**? [WORK SYSTEMS and REQUIREMENTS TEMPLATE]

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 **PATIENT** and **STAKEHOLDER VALUE** and achieve organizational success and **SUSTAINABILITY**? [PROCESSES and SYSTEMS IMPROVEMENT TEMPLATE]

(2) Cost Control

HOW do you control the overall costs of your **WORK SYSTEMS**? [SYSTEMS COST CONTROL TEMPLATE]

HOW do you prevent rework and errors, including medical errors and unintended harm to **PATIENTS**? [SYSTEMS COST CONTROL TEMPLATE]

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 for **PATIENTS** and the community, evacuation, and recovery?

STOP ANSWERING ITEM 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 **HEALTH CARE SERVICES** 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 **HEALTH CARE SERVICES** to your **PATIENTS** and **STAKEHOLDERS** 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. Health care organizations should consider both community-related disasters, where they play a role as first responders, and organization-specific incidents that threaten continued operations (e.g., fire, building damage, or loss of power/water). Emergency considerations related to information technology should be addressed in [item 4.2](#).

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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 PATIENT and STAKEHOLDER VALUE and achieve organizational success and SUSTAINABILITY.

Within your response, include answers to the following questions:

START ANSWERING ITEM 6.2 QUESTIONS HERE

6.2a. WORK PROCESS Design

(1) Design Concepts

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

HOW do you incorporate new technology, organizational KNOWLEDGE, evidence-based medicine, HEALTH CARE SERVICE excellence, and the potential need for AGILITY into these [WORK] PROCESSES? [WORK PROCESSES REQUIREMENTS TEMPLATE]

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

(2) WORK PROCESS Requirements

HOW do you determine KEY WORK PROCESS requirements?

What are your organization's KEY WORK PROCESSES? [WORK PROCESSES REQUIREMENTS TEMPLATE]

What are the KEY requirements for these WORK PROCESSES? [WORK PROCESSES REQUIREMENTS TEMPLATE]

6.2b. WORK PROCESS Management

(1) KEY WORK PROCESS Implementation

HOW do your KEY WORK PROCESSES relate to your WORK SYSTEMS? [WORK PROCESSES REQUIREMENTS TEMPLATE]

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? [WORK PROCESSES REQUIREMENTS TEMPLATE]

(2) PATIENT Expectations and Preferences

HOW do you address and consider each PATIENT's expectations?

HOW are HEALTH CARE SERVICE delivery PROCESSES and likely outcomes explained to set realistic PATIENT expectations?

HOW are PATIENT decision making and PATIENT preferences factored into the delivery of HEALTH CARE SERVICES?

(3) 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 PATIENT and STAKEHOLDER satisfaction?

HOW do you evaluate supplier PERFORMANCE?

HOW do you deal with poorly performing suppliers?

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(4) **PROCESS Improvement** [PROCESSES and SYSTEMS IMPROVEMENT TEMPLATE]

HOW do you improve your **WORK PROCESSES** to improve health care outcomes, achieve better **PERFORMANCE**, reduce variability, and improve **HEALTH CARE SERVICES**?

STOP ANSWERING ITEM ITEM 6.2 QUESTIONS HERE

Notes:

- N1.** Your **KEY WORK PROCESSES** (6.2a[2]) are your most important internal **VALUE** creation **PROCESSES** and might include health care and service design and delivery, **PATIENT** and **STAKEHOLDER** 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 **PATIENT** and **STAKEHOLDER 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**, 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 health care outcomes and **HEALTH CARE SERVICE** and **PROCESS PERFORMANCE** should be reported in **item 7.1**.

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7 RESULTS (450 pts.)

The **RESULTS** category examines your organization's **PERFORMANCE** and improvement in all **KEY** areas—health care 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 **HEALTH CARE SERVICE** offerings.

7.1 Health Care and **PROCESS** Outcomes:

What are your health care and **PROCESS EFFECTIVENESS RESULTS**? (120 pts.)

Summarize your organization's **KEY** health care **RESULTS** and its **KEY PERFORMANCE** and **PROCESS EFFECTIVENESS** and efficiency **RESULTS**.

Include **PROCESSES** that directly serve **PATIENTS** and **STAKEHOLDERS**, strategy, and operations.

SEGMENT your **RESULTS** by **HEALTH CARE SERVICE** offerings, by **PATIENT** and **STAKEHOLDER** groups and market **SEGMENTS**, and by **PROCESS** types and locations, as appropriate.

Include and indicate your **RESULTS** for **KEY MEASURES** that are publicly reported and/or mandated by regulatory, accreditor, or payor requirements.

Include appropriate **COMPARATIVE** data.

Provide data and information to answer the following questions:

START ANSWERING ITEM 7.1 QUESTIONS HERE

7.1a. **PATIENT-Focused Health Care RESULTS**

What are your current **LEVELS** and **TRENDS** in **KEY MEASURES** or **INDICATORS** of health care outcomes and **PROCESS PERFORMANCE** that are important to and directly serve your and **STAKEHOLDERS**?

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

7.1b. **Operational PROCESS EFFECTIVENESS RESULTS**

(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**

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**

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 ITEM 7.1 QUESTIONS HERE

Notes:

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- 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](#)). **RESULTS** for Centers for Medicare and Medicaid Services (CMS) core **MEASURES** should be included if your organization reports these **MEASURES**.
- N2. Health care and **PROCESS RESULTS** reported in [7.1a](#) should relate to the **KEY PATIENT** and **STAKEHOLDER** 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 **PATIENTS'** and **STAKEHOLDERS'** preferences, such as those included in [item P.1, note 7](#), 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 **HEALTH CARE SERVICES** and **PROCESSES**; supplier and **PARTNER PERFORMANCE**; **HEALTH CARE 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.

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7.2 CUSTOMER-Focused Outcomes:

What are your PATIENT- and STAKEHOLDER-focused PERFORMANCE RESULTS?

(90 pts.)

Summarize your organization's KEY PATIENT- and STAKEHOLDER-focused RESULTS for PATIENT and STAKEHOLDER satisfaction, dissatisfaction, and ENGAGEMENT.

SEGMENT your RESULTS by HEALTH CARE SERVICE offerings, PATIENT and STAKEHOLDER groups, and market SEGMENTS, as appropriate.

Include appropriate COMPARATIVE data.

Provide data and information to answer the following questions:

START ANSWERING ITEM 7.2 QUESTIONS HERE

7.2a. CUSTOMER-Focused RESULTS

(1) PATIENT and STAKEHOLDER Satisfaction

What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of PATIENT and STAKEHOLDER satisfaction and dissatisfaction?

How do these RESULTS COMPARE with the PATIENT and STAKEHOLDER satisfaction LEVELS of your competitors and other organizations providing similar HEALTH CARE SERVICES?

(2) PATIENT and STAKEHOLDER ENGAGEMENT

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

How do these RESULTS COMPARE over the course of your PATIENTS' and STAKEHOLDERS' relationship with you, as appropriate?

STOP ANSWERING ITEM 7.2 QUESTIONS HERE

Notes:

- N1. PATIENT and STAKEHOLDER satisfaction, dissatisfaction, ENGAGEMENT, and relationship-building RESULTS reported in this item should relate to the PATIENT and STAKEHOLDER 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 PATIENT and STAKEHOLDER satisfaction with your HEALTH CARE SERVICES relative to satisfaction with competitors and other organizations providing similar HEALTH CARE SERVICES (7.2a[1]) might include information and data from your PATIENTS and STAKEHOLDERS and from independent organizations. RESULTS on the Hospital Consumer Assessment of Healthcare Providers and Systems (HCAHPS) should be included if your organization reports these MEASURES.

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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 ITEM 7.3 QUESTIONS HERE

7.3a. **WORKFORCE RESULTS**

(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**

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 ITEM 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. **RESULTS** for paid **WORKFORCE** members, independent practitioners, volunteers, and health profession students should be included 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 and community health.

SEGMENT your RESULTS by organizational units, as appropriate.

Include appropriate COMPARATIVE data.

Provide data and information to answer the following questions:

START ANSWERING ITEM 7.4 QUESTIONS HERE

7.4a. LEADERSHIP, GOVERNANCE, and Societal Responsibility RESULTS

(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, Regulation, and Accreditation

What are your RESULTS for KEY MEASURES or INDICATORS of achieving and surpassing legal, regulatory, and accreditation 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, your organization's support of its KEY communities, and its contributions to community health?

STOP ANSWERING ITEM 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.

N3. Regulatory, legal, and accreditation 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 and contributions to community health described in 1.2c(2). MEASURES of contributions to societal well-being might include reduced energy consumption; the use of renewable energy

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resources, recycled water, and alternative **APPROACHES** to conserving resources (e.g., increased audio and video conferencing); and the global use of enlightened labor practices.

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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 **PATIENT** and **STAKEHOLDER** groups, as appropriate.

Include appropriate **COMPARATIVE** data.

Provide data and information to answer the following questions:

START ANSWERING ITEM 7.5 QUESTIONS HERE

7.5a. Financial and Market **RESULTS**

(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 ITEM 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 **PATIENT** or **STAKEHOLDER** group. Responses also should include **MEASURES** of financial viability, such as liquidity, debt-to-equity ratio, days cash on hand, asset utilization, cash flow, and bond ratings, as appropriate. **MEASURES** should relate to the financial **MEASURES** reported in **4.1a(1)** and the financial management **APPROACHES** described in **item 2.2**.

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