

2017 Process Level Criteria and Scoring Guidelines

Please Note:

- ✓ *The Process Profile is not assigned points but **is required** for application submittal.*
- ✓ *Words presented in blue underlined text are defined in the Baldrige Criteria booklet.*
- ✓ *Refer to the Scoring Guidelines.* The evaluation of Process and Results Item responses includes a review of the Criteria Items in combination with the Scoring Guidelines (see Application Guidance Manual for the Performance Excellence Program). Specifically, the Process Item (Category 1) Scoring Guidelines address the maturity of your approaches, breadth of deployment, extent of learning, and integration with other elements of the organization. Similarly, the Results Item (Category 2) Scoring Guidelines focus on the significance of the results trends, actual performance levels, relevant comparative data, and integration with important elements of your process. Consider both the Criteria and the Scoring Guidelines as you prepare your responses to the process and results items.
- ✓ *Baldrige Criteria references are noted in italicized parenthesis after each Process Level criteria question, as appropriate.*

P Process Profile

P.1 Process Description

1. Name of process being submitted: _____
2. Date (month/year) the process was first implemented: _____
3. Date (month/year) the process was improved: _____
4. Who will the contact person be as the liaison with SWAE? – *(This person should understand the process being submitted)*

Name: _____ Title: _____

Phone: _____ Email: _____

5. I have read, understood and agree to the information concerning my application.

Contact Person Name	Title	Date
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6. Where does this process reside within your organization (e.g. – Human Resources, manufacturing, finance, strategic planning, marketing, engineering, IT, etc.)? _____

P.2 Process Context (no more than 3 pages)

The *Process Context* is a snapshot of your organization, the [key](#) influences on the [process](#) presented in this application, and the [key](#) challenges you face. Within your response, include answers to the following questions: (P / P.1)

P.2a Organizational Description

1. What are your stated [mission](#), [vision](#), and [values](#)? Indicate if this is for the entire organization or a sub-unit of the organization, i.e. for the parent, the subsidiary, division or the work unit in which the [process](#) resides. (P.1a (2))
2. Provide a brief history of your organization, including when it was founded. (Include majority of detail about your own organization - where the [process](#) resides.)
3. What are your organization's main products and services? What is the relative importance of each to your success? (P.1a (1))
4. Comment briefly, if appropriate, on any special circumstances your organization faces (i.e. – organizational size, industry changes, local environment, state or federal regulations). (P.1a (5))
5. Provide an organizational chart (as attachment) showing where the [process owner\(s\)](#) fits. (P.1b(1))

P.2b Process Identification and Context

(The *Process Identification and Context* is a snapshot of your [process](#), its importance to your organization, and its key participants and stakeholders.)

1. Briefly describe your [process](#). What are the inputs and outputs? Provide a [process](#) map or flowchart of your [process](#).
2. Describe the organizational need for your [process](#) or process improvement.
3. For your [process](#), who are your principal [customers](#) and/or types of [customers](#)? (Customers may include clients, patients, donors, students, etc. Types of [customers](#) may include retail, wholesale, commercial, etc.) (P.1b (2))
4. [How](#) does this [process](#) relate to participants, suppliers, partners, collaborators, or other stakeholders, as applicable? (P.1b (3))
5. [How](#) does this [process](#) contribute to providing [customer value](#) and achieving organizational success and growth?
6. What key sources of comparative and competitive data, including [benchmarks](#), are available for this [process](#) or similar processes from within your industry? What key sources of comparative data are available for this [process](#) or similar processes from outside your industry? What limitations, if any, affect your ability to obtain or use these data? (P.2a (3))
7. Describe [how](#) your [process](#) aligns with three (3) of the SWAE Performance Excellence [core values](#).

Reminder: Your answers to Categories 1 and 2 Criteria combined must not exceed 10 pages.

1 The Process (550 pts.)

1.1 Work Process – [How](#) do you design, manage, and improve your [process](#)?

Describe [how](#) your organization identified and created or improved the [process](#). Describe [how](#) this [process](#) contributes to providing [customer value](#), achieving organizational success and [sustainability](#), and addressing organizational needs, as applicable. See notes for further clarification of criteria requirements. (6.1)

Within your response to the following questions, include answers to all that apply to your [process](#).

1.1a Process Requirements

1. What are the [key requirements](#) for this [process](#) and its outputs? [How](#) did you determine these requirements? (6.1a (1))
2. [How](#) did you collect and incorporate input and knowledge from [customers](#), suppliers, [partners](#), participants, and [collaborators](#) to design your [process](#)? (4.2a (1))

1.1b Process Design or Improvement

1. [How](#) did you design and improve or design and [innovate](#) the [process](#) to meet all [key](#) requirements? [How](#) did you incorporate new technology, organizational knowledge, excellence, and the potential for agility, as applicable? [How](#) did you implement the [process](#) to ensure it met design requirements? (6.1a (2))
2. [How](#) did you select and ensure the effective use of [key](#) comparative data and information to support decision making during the design and innovation of your [process](#)? (4.1a (2))
3. [How](#) do you control the overall cost of your [process](#)? [How](#) do you incorporate cycle time, productivity, and other efficiency and effectiveness factors into your [process](#)? [How](#) do you prevent defects, service errors, and rework and minimize cost or customers' productivity losses, as appropriate? [How](#) do you balance the need for cost control with the needs of your [customers](#)? (6.2a)
4. [How](#) do you determine [customer](#) and market requirements (as applicable) for the outputs of your [process](#)? [How](#) do you identify and adapt the [process](#) outputs to meet the requirements and exceed the expectations of your [customers](#)? (3.2a (1))
5. [How](#) does your day-to-day operation of this [process](#) ensure that it meets the [key requirements](#)? What [key](#) performance [measures](#) or [indicators](#) and in-process measures do you use to control and improve your [process](#)? [How](#) do these measures relate to the quality and/or [performance](#) of the output(s) of your [process](#)? (6.1b (1))
6. [How](#) do you improve your [process](#) to improve products and [performance](#) and reduce variability? (6.1b (3))
7. [How](#) do you use [process performance](#) data and [key](#) comparative and/or competitive data in projecting future performance of your [process](#)? (4.1c (2))

8. [How](#) are improvements and best practices related to this [process](#) shared across the organization to drive innovation and change? (4.2a (1))
9. [How](#) are the lessons learned resulting from this [process](#) embedded in the way your organization operates? (4.2a (2))

NOTES:

- N1. (P.2a (3)) – “Products” are the goods and services you offer in the marketplace. Mechanisms for delivering products to your end-use customers might be direct or might be indirect, through dealers, distributors, collaborators, or channel partners. Nonprofit organizations might refer to their products as programs, projects, or services.
- N2. (P.2a (4)) – In the Criteria, “industry” refers 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.
- N3. (P.2b (2)) - Determination of the need for [process](#) creation or improvement may be the result of a single event, changes to the organizational environment, or may be part of the organization’s [systematic process](#) evaluation activity.
- N4. For 1.1, include the [key requirements](#) and [measures](#), but report the actual outcomes/[results](#) in 2.1.
- N5. (1.1a (1)) - [Key requirements](#) might include reliability, [value](#), ease of use, on-time delivery, low defect levels, safety, security, ongoing price reductions, electronic communication, rapid response, after-sales service, and multilingual services. [Stakeholder](#) 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.* Requirements are commonly expressed in quantitative terms with performance [measures or indicators](#).
- N6. Comparative data (1.1b (2)) may be obtained in several ways: (external sources) industry [benchmarks](#) or competitor performance, (one source of this information might be social media or the Web), (internal sources) against another sub-unit of your organization or against the [performance results](#) of your [process](#) prior to the creation or improvement of your [process](#). Please explain in 1.1b (2) of your application how you obtained and used the information for [benchmarking](#) purposes.

2 Results (450 pts.)

2.1 Process Results – What are the results of your process?

Summarize your [process performance results](#). **Segment your [results](#), as appropriate. [Results reported in this Item should relate to methods and data determined and described in Item 1.1b \(5\)](#). **Include appropriate comparative data. See notes for further clarification of criteria requirements.** (7.1)**

Within your response to the following questions, include answers to all that apply to your process.

2.1a Process Results

1. What are the current [levels](#) and [trends](#) in [key performance measures or indicators](#) and in-process measures that are important to the [customers](#) of your [process](#)? (e.g. customer satisfaction, customer-perceived value, loyalty and retention, positive referrals, or other aspects of building relationships with internal or external customers.) (7.1a)
2. What are the current [levels](#) and [trends](#) in [key performance measures or indicators](#) and in-process measures of [process performance](#), including productivity, cycle time, and other appropriate measures of effectiveness, efficiency, and [innovation](#)? (7.1b)
3. What are the current [levels](#) and [trends](#) in [key performance measures or indicators](#) and in-process measures contributing to organizational success and growth? (e.g. financial performance, marketplace performance, market share or position, or customer value). (7.5a (1-2))

2.1b Comparative Data

1. What are your [process results](#) as compared to [benchmarks](#) or competitors' performance levels, or, as applicable, with [performance](#) prior to the creation/improvement of this [process](#)? (7.1a)

NOTES:

N1: (2.1a (1)) - [Measures and indicators](#) of [process](#) effectiveness and satisfaction with the [process](#) and resulting products or services might include information and data from your internal or external [customers](#), [partners](#), suppliers, or other [stakeholders](#).

N2: (2.1a (3)) - [Measures](#) contributing to organizational success and growth may include market share, profitability, product and service [performance](#), customer satisfaction, customer perceived-value, financial performance, marketplace performance, workforce engagement, workforce capability and capacity, and other similar [measures or indicators](#).

SCORING GUIDELINES – Process Level - PROCESS Item (1.1)

Factor	0% or 5%	10%, 15%, 20%, or 25%	30%, 35, 40%, or 45%	50%, 55%, 60, or 65%	70%, 75%, 80%, or 85%	90%, 95%, or 100%
APPROACH (A)	No SYSTEMATIC APPROACH is evident; information is ANECDOTAL. (A)	The beginning of a SYSTEMATIC APPROACH to the BASIC REQUIREMENTS of the Item is evident. (A)	An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the BASIC REQUIREMENTS of the Item is evident. (A)	An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the OVERALL REQUIREMENTS of the Item, is evident. (A)	An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the MULTIPLE REQUIREMENTS of the Item, is evident. (A)	An EFFECTIVE, SYSTEMATIC APPROACH, fully responsive to the MULTIPLE REQUIREMENTS of the Item, is evident. (A)
DEPLOYMENT (D)	Little or no DEPLOYMENT of any SYSTEMATIC APPROACH is evident. (D)	The APPROACH is in the early stages of DEPLOYMENT in most areas or work units inhibiting progress in achieving the BASIC REQUIREMENTS of the Item. (D)	The APPROACH is deployed, although some areas or work units may be in the early stages of DEPLOYMENT. (D)	The APPROACH is well deployed, although DEPLOYMENT may vary in some areas or work units. (D)	The APPROACH is well deployed, with no significant gaps. (D)	The APPROACH is fully deployed without significant weaknesses or gaps in any areas or work units. (D)
LEARNING (L)	An improvement orientation is not evident; improvement is achieved through reacting to problems. (L)	Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L)	The beginning of a SYSTEMATIC APPROACH to evaluation and improvement of the PROCESS is evident. (L)	A fact-based, SYSTEMATIC evaluation and improvement PROCESS and some organizational LEARNING, including innovation, are in place for improving the efficiency and effectiveness of the PROCESS. (L)	Fact-based, SYSTEMATIC evaluation and improvement and organizational LEARNING, including innovation, are KEY management tools; there is clear evidence of refinement in the PROCESS as a result of organizational ANALYSIS and sharing. (L)	Fact-based, SYSTEMATIC evaluation and improvement and organizational LEARNING through innovation are KEY PROCESS management tools; refinement and innovation, backed by ANALYSIS and sharing are evident throughout the PROCESS. (L)
INTEGRATION (I)	No organizational or other work unit ALIGNMENT is evident; the PROCESS operates independently. (I)	The APPROACH is aligned with other areas or work units largely through joint problem solving. (I)	The APPROACH is in the early stages of ALIGNMENT with your basic organizational need(s) identified need(s) and MISSION identified in your response to the Process Profile and 1.1a Process Identification. (I)	The APPROACH is aligned with your organizational need(s) and MISSION identified in your response to the Process Profile and 1.1a Process Identification. (I)	The APPROACH is integrated with the current & future organizational need(s) and MISSION identified in your response to the Process Profile and 1.1a Process Identification. (I)	The APPROACH is well integrated with the current & future organizational need(s) and MISSION identified in your response to the Process Profile and 1.1a Process Identification. (I)

SCORING GUIDELINES – Process Level - RESULTS Item (2.1)

Factor	0% or 5%	10%, 15%, 20%, or 25%	30%, 35, 40%, or 45%	50%, 55%, 60, or 65%	70%, 75%, 80%, or 85%	90%, 95%, or 100%
LEVELS (Le)	There are no PROCESS PERFORMANCE RESULTS for KEY performance measures and/or poor in-PROCESS results reported. (Le)	A few PROCESS PERFORMANCE RESULTS are reported responsive to the BASIC REQUIREMENTS of the Item & PERFORMANCE LEVELS are evident in a few areas. (Le)	Good PROCESS PERFORMANCE LEVELS are reported responsive to the BASIC REQUIREMENTS of the Item. (Le)	Good PROCESS PERFORMANCE LEVELS are reported responsive to the OVERALL REQUIREMENTS of the Item. (Le)	Good to excellent PROCESS PERFORMANCE LEVELS are reported responsive to the MULTIPLE REQUIREMENTS of the Item. (Le)	Excellent PROCESS PERFORMANCE LEVELS are reported that are fully responsive to the MULTIPLE REQUIREMENTS of the Item.(Le)
TRENDS (T)	TREND data either are not reported or show mainly adverse TRENDS. (T)	Some TREND data are reported, with some adverse TRENDS evident. (T)	Some TREND data are reported, and a majority of the TRENDS presented are beneficial. (T)	Beneficial TRENDS are evident in areas of importance to the accomplishment of the KEY PROCESS requirement(s) or your organization's MISSION, as appropriate. (T)	Beneficial TRENDS have been sustained over time in most areas of importance to the accomplishment of the KEY PROCESS requirements or your organization's MISSION, as appropriate. (T)	Beneficial TRENDS have been sustained over time in all areas of importance to the accomplishment of the KEY PROCESS requirements or your organization's MISSION, as appropriate. (T)
COMPARISONS (C)	Comparative information is not reported. (C)	Little or no comparative information is reported. (C)	Early stages of obtaining comparative information are evident. (C)	Some current PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of good relative PERFORMANCE. (C)	Many to most TRENDS and current PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of leadership and very good relative PERFORMANCE. (C)	Evidence of industry and benchmark leadership is demonstrated in many areas. (C)
INTEGRATION (I)	Results are not reported for any areas of importance to the accomplishment of the KEY PROCESS requirement(s). (I)	RESULTS are reported for a few areas of importance to the accomplishment of KEY PROCESS requirement(s). Limited or no PERFORMANCE PROJECTIONS are reported. (I)	RESULTS are reported for many areas of importance to the accomplishment of KEY PROCESS requirement(s). (I)	PROCESS performance results are reported for most KEY CUSTOMER and PROCESS requirements. (I)	PROCESS PERFORMANCE RESULTS are reported for most KEY CUSTOMER, PROCESS and improvement requirement(s). (I)	PROCESS PERFORMANCE RESULTS and PROJECTIONS are reported for most KEY CUSTOMER, PROCESS and improvement requirement(s). (I)