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**2022 Level 1 Application Packet**

**Southwest Alliance for Excellence**

[**www.SWAE.org**](http://www.SWAE.org)

**480-874-5815**

[**Info@SWAE.org**](mailto:Info@SWAE.org)

### A picture containing text Description automatically generatedLetter from the Board of Directors

What does the Southwest Alliance for Excellence do?

As the Southwest Alliance for Excellence (SWAE) embarks on its 31st year serving organizations we will continue to help organizations become more efficient and improve their results!

SWAE helps organizations of all sizes, sectors, and industries improve their results using the *Baldrige Excellence Framework – a systems approach to improving your organization’s performance.* The *Criteria for Performance Excellence* helps to simplify an organization’s efforts. It is designed to help identify what really matters to your organization, and focus efforts where they will count. Using the Criteria gives you a holistic assessment of where your organization is and where it needs to be. Use it to empower your organization to reach your goals, improve results, and become more competitive by aligning your strategy, processes, decisions, people, actions and results.

At first glance, the Criteria may seem a bit dense and daunting, but SWAE offers many resources to help you learn: The SWAE Performance Excellence Program, our workshops, examiner training, and our Annual Sharing of Best Practices & Awards Luncheon are all first-rate avenues toward excellence.

I also would like to talk about *why* we do it: SWAE’s mission is to empower organizations in Arizona, Nevada and Utah to pursue performance excellence, improve outcomes and contribute to the economic strength of their community and state. We are dedicated to making our states better places to live and work.

Our ultimate stakeholders are the citizens of Arizona, Nevada and Utah – you and me. When our businesses, schools, hospitals, factories and government bodies focus on results, when they function at high performing levels, we all benefit.

SWAE believes, by integrating the principles of the *Criteria for Performance Excellence,* our organizations, communities and citizens will thrive. I am delighted that you are here to take advantage of this opportunity.

A picture containing lawn mower

Description automatically generatedSincerely,

Tyson Heath

Company name

Description automatically generated with medium confidenceChairman, SWAE Board of Directors

### Performance Excellence Program Overview

Modeled after the Baldrige Performance Excellence Program, SWAE fulfills its mission by providing in-depth, low-cost assessments of organizations in the Southwest region using the *Criteria for Performance Excellence*. This process is the basis of the Southwest Alliance for Excellence Performance Excellence Program. Organizations that go through an assessment receive detailed feedback that may be used to improve processes and results. It’s an effective way to energize employees, sharpen focus, look at your organization from a systems perspective and earn recognition for your business or organization.

The SWAE Performance Excellence Program is multi-tiered, offering five levels of review.

* An organization that is new to the Criteria can get its feet wet by starting with a **Level 1 (Interest)** application or a **Process Level application (not indicated in the table below)**.
* As the organization grows and develops, it may apply for a **Level 2 (Commitment), Level 3 (Achievement) and Level 4 (Excellence) Assessment and Award**. Among other eligibility requirements, organizations that apply for a Baldrige National Quality Award must first receive SWAE’s top recognition: The Pinnacle Award for Excellence.

To participate in the SWAE Performance Excellence Program, organizations submit a self-assessment based on questions posed in the *Criteria for Performance Excellence*. The length and breadth of this self-assessment depends on the award level sought. Please refer to the following two tables for more details on requirements for each level.

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### Application Fees and Process Overview

|  |  |  |  |
| --- | --- | --- | --- |
| **Application** | **Number of Employees** | **Application Fee\***  **(Non-member)** | **Application Fee\* (Member)** |
| **Process Level** | **N/A** | **$1500** | **$1200** |

|  |  |
| --- | --- |
| **Intent to Apply/ Eligibility Form with 50% Application fee & 100% admin fee** | 50% of application fee is required with the Intent to Apply  Remaining fees are due 60 days after Intent to Apply is received by SWAE  A Process Level application can be submitted at any time of the year, but the application submittal is due 60 days after Intent to Apply.  Assessment and scoring will be conducted approximately 60-90 days after application is received by SWAE. |
| **Process Application and Response to Criteria (***using the Process Level Criteria).* | * Process Profile (1 page) + Process Context (Max of 3 pages) + Process Criteria & Results (35 Criteria Questions: Max of 10 pages) = No more than 14 pages   *Completed application MUST be submitted within 60 days after Intent to Apply is received by SWAE. Application must be submitted by 8/16 to be included in the upcoming Awards Luncheon* |
| **Site Visit** | 4 hours |
| **Recognition Eligibility** | Showcase in Excellence Award |
| **Applicant Responsibilities** | Provide at least one SWAE examiner  Benchmarking Tour (if appropriate) |

### Assessment, Feedback and Recognition Process

1. File the Intent to Apply and Eligibility Agreement form (by stated deadline) with applicable fees. All fees are non- refundable but can be used in the following year. Fees may be submitted via check, ACH, or credit card (5% fee applies). Contact SWAE for further information.
2. Submit an electronic application that meets the formatting requirements outlined in this packet (no paper copies of applications will be accepted). The applicant will provide an electronic copy in a Portable Document Format (PDF). Remit remaining fees via check, ACH, or credit card (5% fee applies).
3. Host the examiner site visit (if applicable) and reimburse SWAE for the team’s expenses . During the site visit, a team of SWAE examiners evaluates the application and conducts a site visit to gain a thorough understanding of the organization. *Note: An organization that submits a feedback-only application may choose not to receive a site visit. There is no reduction in the Application Fees, but no site visit or site visit expenses will be included in the assessment. The feedback report will then be based on the consensus score of the examiner team. The Site Visit is a vital part of the assessment process. Although an organization may choose not to host the Site Visit, the value of the feedback report will be reduced by this choice. If an organization declares that its application is for Feedback only, this declaration cannot be changed after the application is submitted to the Southwest Alliance for Excellence.*
4. Receive a detailed Feedback Report that identifies the applicant’s strengths and opportunities for improvement. The Panel of Judges reviews the examiner team’s work for integrity and completeness and determines the applicant’s award level (if any).
5. Attend the SWAE Performance Excellence Program Awards Banquet. The SWAE Performance Excellence Program Sharing of Best Practices & Awards Luncheon is the platform SWAE uses to recognize organizations that complete the evaluation and feedback process. During the luncheon, each SWAE applicant that has fulfilled the criteria requirements receives an award based on its level of achievement. For employees of organizations that participate in the application process, the luncheon is a great celebration, confirming the organization’s commitment to improving performance results.

### Application Content and Formatting Requirements

* + Process Level Application may not exceed 14 pages. (Process Profile = Total of 1 page, Process Context = 3 page max, and Process Criteria & Results = 10 page max). Page limited include all pictures, graphs, figures, tables and appendices.
  + Pages must be consecutively numbered.
  + No paper copies of applications will be accepted.
  + Applications must be submitted in PDF format.
  + Consider each of the questions listed in the criteria in the level you are applying.
  + Use the same category and item numerical designations as in the process level criteria outlined on pages 10-15 of this document.
  + The application should be formatted:
* Page size: 8 ½ by 11 inch size
* Page orientation: Portrait / Pages with graphs; figures & tables: portrait or landscape
* Margins: Left = ¾ inch minimum; Right = ½ inch minimum
* Text Columns: 2 preferred with ¼ inch between columns
* Numbering: pages that respond to all criteria items should be numbered as such, i.e. Org. Level 4 (1 - 50), Org. Level 3 (1 – 35) or Org. Level 2 (1 – 15); don’t number blank pages, or use small Roman numerals, i.e. iii, iv, etc..
* Figure Numbers: Figures within Item sections should be in sequence; use numbers corresponding to the section (e.g., Figure P.1-1, Figure 2.1-2)
* Font and type size:
  + Running text: 10 points minimum; Times New Roman or Arial
  + Do not use narrow, compressed, or condensed fonts
  + The font and type size need not be uniform as long as they meet the requirements
  + If you shrink graphics to fit the space available, ensure that text in the reduced figure meets the requirements
  + Tables filled mainly with text: 8 points minimum; Times New Roman or Arial
  + Other graphics (charts, graphs, data tables, and other figures), including titles and captions: 8 points minimum; any font
  + Clearly label each figure using descriptive text. For example, the title of the third figure for results Item

2.1 might read “Figure 2.1-3 Reliability of Service: Carrier-Dropped Calls.”

* + Clearly label all axis and units of measure
  + All components of the application must be in ONE document.
  + Assessments are based solely on information contained in the application submittal. Do not include links to information on the internet or websites.
  + Do not submit copies of video, audiotape or other supplementary materials.

**An application that does not comply with all of the formatting requirements will not be accepted by SWAE. The final submittal (in pdf format) will be tested for format requirements.**

### Code of Ethical Standards

Code of Ethical Standards Integrity is one of SWAE’s core values. A strict Code of Ethical Conduct and Conflict of Interest Statement binds each examiner and judge. Neither examiners nor judges may participate in any evaluation; scoring or recognition decisions where there may be, or could appear to be, any personal, potential or perceived conflict of interest.

### Applicant Eligibility

Any public or private organization located in the states of AZ, NV or UT may participate in the SWAE Performance Excellence Program. Organizational Units Business/organizational units or subsidiaries are eligible to submit an application. For purposes of the evaluation process, a subsidiary means an actual subsidiary, business unit, division, or district office. Eligible organizations must be recognizable as discrete entities and must be easily distinguishable from a parent and other sub-units. They must function as business or operational entities, not as activities assembled to write an application. Organizations must be self-sufficient enough to be examined in all seven Criteria categories. For example, an organizational unit with its own administrative, human resources and other support functions is eligible; but a unit that is entirely dependent upon the parent organization for the majority of these functions is ineligible. The following organizational units are expressly allowed:

• Business units or larger • Whole manufacturing plant

• Hospitals within systems; whole health care systems • Stand-alone sub-units of larger orgs

• State government office/division/department • School districts

• Colleges within Universities; whole universities • Individual schools

*Note: Meeting eligibility requirements for SWAE Level 4 awards does not necessarily convey*

*eligibility as a national Baldrige Applicant.*

If an organization receives the Pinnacle Award for Excellence (Level 4), the organization is ineligible to apply for another SWAE organization level Award for a period of three years. For example, a 2014 Pinnacle Award recipient would be eligible to reapply in 2018. Recipients of the Pioneer Award may re-apply in any given year but may not receive the Pioneer Award more than once every three years. There is no such restriction for Interest Recognition (Level 1), Commitment Awards (Level 2) or Achievement Awards (Level 3).

### Eligibility Determination

In order to ensure fairness and consistency to all award applicants, an Intent to Apply/Eligibility Form is required for Organization Levels 2, 3 and 4 applicants and Process Level applicants. This form takes into account an organizational unit’s structure, functions and performance. Potential applicants are encouraged to submit the Intent to Apply/Eligibility Form as early as possible.

### Awards

A final review of all applications is conducted by the Panel of Judges. The Panel of Judges review the examiner team’s work for integrity and completeness then develops a recommendation for each applicant. This recommendation is forwarded to SWAE and includes the determination of the level of award for each recipient. Due diligence is performed for all recommended recipients to determine if there are any other outstanding issues that may affect their selection as a Performance Excellence Program Recipient. The purpose of this final review is to ensure that the integrity of the Program and Awards is maintained.

Awards are granted on the basis of fulfilling the Criteria requirements described for each level. There is no limit to the number of awards presented annually. However, if no candidate demonstrates the levels of performance excellence outlined in this section and established by the Criteria, no award will be conveyed. In other words, there may be years when no recipients are named, particularly at the higher award levels.

**Process Level Award – Showcase in Excellence**

The Showcase in Excellence Award recognizes a team for one specific process that could be innovative or a cuttingedge approach. It may be used as a role model or result in exceptional performance. It could also be a routine process performed in an extraordinary manner

### Site Visit Expenses and Protocol

Site Visit costs may be estimated and partially paid by the applicant prior to the scheduling of the Site Visit. After the Site Visit is completed and expenses have been tabulated, applicants will be invoiced by SWAE for the actual amount of the examiner team expense. This may include lodging, food, meeting room costs for the examiner team at their place of lodging, and travel and/or roundtrip mileage to the applicant’s location. Examiner teams endeavor to keep the costs of the Site Visits as low as possible. Expenses of the Site Visit mentor, if any, will be included with the costs of the other team members.

The examiner team will request that the applicant provide a common meeting area on site for the team for the duration of the Site Visit. This area should be secure during the periods of the team’s on-site activities and should be kept secured when the team is not on-site. All documentation requested by the team for examination will be reviewed in the team’s meeting area – these materials will not be taken off-site by the examiners. If the applicant has restrictions or requirements on the possession or use of personal computer devices, citizenship, security clearances, etc., they should notify SWAE of these constraints prior to submittal of their application.

To avoid any appearances of impropriety or perceptions of undue influence on the examiners by the applicant, examiners are not permitted to accept gifts, tokens of appreciation, or other items as part of the Site Visit. The team will arrange for their accommodations and travel, and may not accept lodging or other services from the applicant. Even if it is available as part of the applicant’s normal business or provided at market rates, the team will not accept accommodations from the applicant. SWAE may ask the applicant for contact information on convenient accommodations as they prepare for the Site Visit.

### Feedback Report

The feedback report, a tool for continuous improvement, is a written evaluation by an evaluation team from the Board of Examiners. Each applicant organization will receive a full feedback report at the conclusion of the review process. The feedback report contains an applicant-specific listing of strengths and opportunities for improvement based on the Criteria. When used by organizations as part of their strategic planning processes, the feedback report can help them focus on their customers and improve productivity. This feedback system is one of the most important components of the Performance Excellence Program process; it provides a pathway for continuous improvement. Strict confidentiality is observed at all times and in every aspect of application review and feedback. As a value-add to all applicants, whether or not an award is received, SWAE provides this feedback report and offers each applicant the opportunity to meet with the Lead Examiner and Lead Judge on their application in addition to the SWAE Executive Director to review their final feedback report. These have been very positive and helpful to each applicant.

### Judges Final Review

### A final review of all applications is conducted by the Panel of Judges. The Panel of Judges review the examiner team’s work for integrity and completeness then develops a recommendation for each applicant. This recommendation is forwarded to SWAE and includes the determination of the level of award for each recipient.

### Baldrige Criteria

Baldrige Criteria references are noted in the process level application criteria (pages 10-15) in italicized lettering. There are three versions of the Baldrige Criteria for Performance Excellence: Business/Nonprofit, Health Care, and Education. More information on the criteria is available online, and booklets can be purchased at: [Baldrige Excellence Framework | NIST](https://www.nist.gov/baldrige/publications/baldrige-excellence-framework). Volume discounts are available for both electronic and printed formats.

The Southwest Alliance for Excellences offers tailored workshop and webinar opportunities to help organizations better understand the criteria. Visit the SWAE website or email [Info@SWAE.org](mailto:Info@SWAE.org) for more information. Annual SWAE examiner training also provides a valuable opportunity to learn about the criteria.

*Please Note:*

#### 2021 Process Level Criteria

* *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

* 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:

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

Contact Person’s Name Title Date

1. Where does this process reside within your organization (e.g. – Human Resources, manufacturing, finance, strategic planning, marketing, engineering, IT, etc.)?
   1. **Process Context**

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.2a Organizational Description**

1. What are your stated mission, vision, and values? Other than values, what are the characteristics of your organizational culture, if any? 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. What are your organization’s main product and service offerings? What is the relative importance of each to your success? *(P.1a(1))*
3. Comment briefly, if appropriate, on any special circumstances your organization faces (i.e. – organizational size, industry changes, local environment, state or federal regulations, or industry standards). *(P.1a(5))*
4. Provide an organizational chart (as an attachment) showing where the process owner(s) fit.

*(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 key market segments, customers, customer groups, and/or stakeholder groups, as appropriate? *(P.1b (2))*
4. For your process, what are your key types of suppliers, partners, and collaborators? *(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. What is your performance improvement system, including your processes for evaluation and improvement of key organizational processes?
8. Describe how your process aligns with three (3) of the SWAE Performance Excellence core values.
9. The Process (550 pts.)
   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*.*** 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))*
2. How did you collect and incorporate input and knowledge from customers, suppliers, partners, and collaborators to design your process? *(3.2c; 4.2b(1))*

1.1b Process Design or Improvement

1. How did you design the process to meet all [key](http://66.34.99.24/SQA_Program/glossary.htm) requirements? How did you incorporate new technology, organizational knowledge, product excellence, customer value, consideration of risk, and the potential need for agility, as applicable? How did you implement the process to ensure it met design requirements? *(6.1a (3))*
2. How did you select comparative data and information to support fact-based decision making during the design and innovation of your process? *(4.1a (2))*
3. How do you manage the cost, efficiency, and effectiveness 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? How do you minimize costs, customers’ productivity losses, costs of inspection, tests and audits, as appropriate? How do you balance the need for cost control and efficiency with the needs of your customers? *(6.2a)*
4. How do you determine customer and market needs and requirements (as applicable) for the outputs of your process? How do you seek immediate and actionable feedback from customers on 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? *(3.1a(1); 3.1b(2))*
5. How does your day-to-day operation of this process ensure that it meets the key process requirements? What [key](http://66.34.99.24/SQA_Program/glossary.htm) 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 performance of the output(s) of your process? *(6.1b (1))*
6. How do you improve your process’ performance to enhance core competencies, and reduce variability? *(6.1b(3))*
7. How do you use the findings from improvements and best practices to develop and deploy opportunities for innovation across the organization, as applicable? *4.2b(2-3)*
8. How do you project the future performance of your process? How do you use findings from performance reviews and key comparative and competitive data in your projections? *(4.1c(1))*
9. **Results (450 pts.)**
   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 results (see Note N1) for [key performance measures or indicators](http://66.34.99.24/SQA_Program/glossary.htm) 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 results (see Note N1) for [key performance measures or indicators](http://66.34.99.24/SQA_Program/glossary.htm) and in- process measures of process effectiveness and efficiency, including productivity, cycle time, and other appropriate measures of effectiveness, efficiency, security and/or cybersecurity, and innovation, as appropriate? *(7.1b (1))*
3. What are the current results (see Note N1) for [key performance measures or indicators](http://66.34.99.24/SQA_Program/glossary.htm) 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

What are your process results as compared to comparative and/or competitive performance levels, or, as applicable, with performance prior to the creation/improvement of this process? *(7.1a,b(1))*

NOTES:

N1. *P.2a(1)* If your organization has a stated purpose as well as a mission, you should include it in your response. Some organizations define a mission and a purpose, and some use the terms interchangeably. In some organizations, purpose refers to the fundamental reason that the organization exists. Its role is to inspire the organization and guide its setting of values.

N2. *P.2a(2)* Product and service offerings are the goods and services you offer in the marketplace. Non- profit (including government) organizations might refer to their product offerings as programs, projects, or services.

N3. *P.2a(3)* In the Criteria, industry refers to the sector in which you operate. Industry standards might in- clude industrywide codes of conduct and policy guidance. For nonprofit (including government) organi- zations, sector might be charitable organizations, professional associations and societies, religious or- ganizations, or government entities—or a subsector of one of these.

N4. *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.

N5. *P.2b(3)* Customers may include clients, patients, donors, students, etc*. For some nonprofit (including government) organizations, customers might include members, taxpayers, citizens, recipients, clients, and beneficiaries, and market segments might be referred to as constituencies.* Customer groups might be based on common expectations, behaviors, preferences, or profiles. Within a group, there may be cus- tomer segments based on differences, commonalities, or both. You might subdivide your market into segments based on product lines or features, distribution channels, business volume, geography, or other defining factors. *For government agencies, the legislature (as a source of funds) may be a key stakeholder.*

N1: For 1.1, include the key requirements and measures, but report the actual outcomes/results in 2.1.

N2: *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.

N3: *1.1b(1)* Process design also includes the need to extensively redesign a process due to changes in requirements or other factors. Agility may be needed when work processes need to change as a result of overall work system changes, such as bringing a supply-network product or process in-house to avoid disruptions in supply due to unpredictable external events, or outsourcing a product or process formerly carried out in-house.

N4: *1.1b(2)* Comparative data 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 pro- cess 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.

N5: *1.1b(6)* Your approaches to improve process performance and reduce variability should be part of the performance improvement system you describe in P.2c in the Organizational Profile.

N6: *1.1b(8)* The comparative and competitive data you select should be used to support operational and strategic decision making. Comparative data and information are obtained by benchmarking and by seeking competitive comparisons. Benchmarking is identifying processes and results that represent best practices and performance for similar activities, inside or outside your industry. Competitive comparisons relate your performance to that of competitors and other organizations providing similar products and services.

N1: *2.1(a,b)* Results are the outputs and outcomes your organization achieves. The four factors used to evaluate results are *levels*, *trends*, *comparisons*, and *integration* (LeTCI). A score for this results item is based on a holistic assessment of your overall performance, taking into account the four results factors:

*Levels* are your current performance on a meaningful measurement scale.

*Trends* comprise your rate of performance improvement or continuation of good performance in areas of importance (i.e., the slope of data points over time).

*Comparisons* comprise your performance relative to that of other, appropriate organizations, such as competitors or organizations similar to yours, or benchmarks.

*Integration* is the extent to which your results measures (often through segmentation) address key customer, market, and process, and improvement requirements.

N2: *2.1a(1-2)* 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.

N3: *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.

N4: *2.1a(3)* Measures of financial performance might include those for return on investment (ROI), operating margins, profitability, or profitability by market segment or customer group. *For nonprofit (including government) organizations, measures of financial performance (to budget) might include additions to or subtractions from reserve funds; cost avoidance or savings; responses to budget decreases; lowering of costs to customers or return of funds as a result of increased efficiency; administrative expenditures as a percentage of budget; and the cost of fundraising versus funds raised.*

**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 QUESTION in  the Item is evident. (A) | An EFFECTIVE, SYSTEMATIC APPROACH,  responsive to the BASIC QUESTION in  the Item is evident. (A) | An EFFECTIVE, SYSTEMATIC APPROACH,  responsive to the OVERALL  QUESTIONS in the Item, is evident. (A) | An EFFECTIVE, SYSTEMATIC APPROACH,  responsive to the MULTIPLE  QUESTIONS in the Item, is evident. (A) | An EFFECTIVE, SYSTEMATIC  APPROACH, fully responsive to the MULTIPLE  QUESTIONS in 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  QUESTION in the Item. (D) | The APPROACH is DEPLOYED, although some areas or work units are 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 by 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 some INNOVATION,  are in place for 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-level 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 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 in your response to the Process Profile and 1.1a Process Identification. (I) | The APPROACH is ALIGNED with your organizational need(s) identified in your response to the Process Profile and 1.1a Process Identification. (I) | The APPROACH is INTEGRATED with  your current and future organizational need(s) identified in your response to the Process Profile and 1.1a Process Identification. (I) | The APPROACH is well INTEGRATED  with your current and future organizational need(s) identified in your response to the Process Profile and 1.1a Process Identification. (I) |

**SCORING GUIDELINES – Process Level - RESULTS Item (2.1)**

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| --- | --- | --- | --- | --- | --- | --- |
| **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 and/or poor in-PROCESS  RESULTS reported, or the RESULTS reported are poor.  (Le) | A few PROCESS PERFORMANCE RESULTS are reported, responsive to the BASIC QUESTION in the Item, and early good PERFORMANCE  LEVELS are evident. (Le) | Good PROCESS PERFORMANCE  LEVELS are reported responsive to the BASIC QUESTION in  the Item. (Le) | Good PROCESS PERFORMANCE  LEVELS are reported, responsive to the OVERALL  QUESTIONS in the Item. (Le) | Good to excellent PROCESS PERFORMANCE  LEVELS are reported responsive to the MULTIPLE  QUESTIONS in the Item. (Le) | Excellent PROCESS PERFORMANCE  LEVELS are reported that are fully responsive to the MULTIPLE  QUESTIONS in 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 most 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  requirement(s) 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  requirement(s) 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 PROCESS 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 PROCESS PERFORMANCE  LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of leadership and very  good relative PERFORMANCE. (C) | 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). (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, market, and PROCESS requirement(s), as applicable. (I) | PROCESS PERFORMANCE RESULTS are reported for most KEY CUSTOMER, market, PROCESS, and  improvement requirement(s), as applicable. (I) | PROCESS PERFORMANCE RESULTS and PROJECTIONS are  reported for most KEY CUSTOMER, market, PROCESS, and  improvement requirement(s), as applicable. (I) |