



2010-2011 Lite (Assessment) Criteria

The Lite level application is the starting point for many organizations that are beginning to adopt and apply quality principles as defined by the WSQA and Baldrige Criteria. This Lite level application provides your organization with the ability to begin the journey with an abbreviated set of criteria questions. These questions are a direct subset of the full criteria for performance excellence as indicated in *Criteria for Performance Excellence* booklet.

The reference number at the end of the question indicates the item and question in the full criteria referenced by the Lite question. Please use the *2009-2010 Criteria for Performance Excellence* developed by the Baldrige National Quality Program for the cross reference material as well as the glossary, category, and item descriptions. The question following each category provides the context of the category. Applicants should respond directly to the individual bolded questions below each category, as well as to the questions following the category title. It is highly recommended that applicants obtain a copy of the *2009-2010 Criteria for Performance Excellence* and study all areas including the values, glossary, notes scoring guidelines and categories. Criteria are available as downloads from www.wsqa.net or by contacting WSQA.

Requirements

1. Obtain complete Application Guidelines and Intent to Apply (previously the eligibility) form from the WSQA Web page at www.wsqa.net/apply.htm. This set of guidelines will provide time frames of submittal, information required for submittal, application length and much more.
2. Complete the *entire Organizational Profile* as described in Section P Preface: Organizational Profile, P.1 Organizational Description and P.2 Organizational Challenges in the *Criteria for Performance Excellence* booklet (available for free download at www.wsqa.net/apply.htm). Limit your response to 5 pages. In addition, include a copy of your organizational chart.
3. Describe your organization by answering the following questions for each category. See the full Criteria booklet for definitions of terms and further explanations to help you understand the questions. Please focus your response on the questions in this document only, not on the full set of criteria questions. Limit your response to no more than 20 pages. The following page guideline is suggested, but not required: up to 2 pages each for categories 1-6 and 8 pages for category 7. Please note that Category 7 results should be linked to and be the result of your processes described in Categories 1-6. Results demonstrate the effectiveness of your processes.
4. Please note that your responses will be evaluated using the Scoring Guidelines described at the end of this document. Categories 1-6 will be using the scoring guidelines that reflect four factors of approach, deployment, learning and integration. Category 7 will be using scoring guidelines that reflect the factors of current performance levels, trends, comparisons and integration.

Feedback

Approximately 12 weeks after the application is received by WSQA, the applicant organization will receive a feedback report written at the category level. Feedback will include comments on the strengths of the organization as well as opportunities for improvement and a scoring range for each category. Every applicant will also be offered the opportunity for an Executive Briefing, a meeting with a representative of WSQA (Executive Director or Board member) and a member of the Examination team (member of the Panel of Examination and Process Development or Board of Examiners) to review the most significant findings of the feedback report.

Suggestions for Preparing Your Lite Application

Visit the Baldrige National Quality Program website to view past award winning applicants and synopsis of their applications: http://www.quality.nist.gov/Award_Recipients.htm The overall Category description level (in bold italics) is presented to provide context for the category. The focus of the application should be on addressing the item level questions under each category as they amplify the basic item requirements (refer to the Baldrige Criteria for Performance Excellence, Item Format, page 30). The most effective applications address a three to five year horizon that includes the current strategic plan in addition to the three to five prior cycles of strategic planning. This information allows examiners to see evidence of learning and improvement.

When answering a “How” question it is important to describe the process you use. Therefore provide a flow chart, model, diagram, or table to show the elements of a process. Elements of a process include inputs, steps (related activities), timeframes, outputs, end user, standards, key measures to evaluate the process and improvement to the process over time. **STORIE** (Each of these are indicators that a systematic approach exists):

S-teps
T-iming
O-wner
R-epeatable
I-nputs
E-ffectiveness & Evaluation

1. You can describe the steps in the process. (This is a pretty good indicator)
2. The process occurs at a certain time of the month or year.
3. Someone is accountable for the process.
4. The process has been used more than once.
5. There are inputs needed for the process to take place.
6. Results reflect that the process is effective. The process adequately and logically reflects the profile of the organization (i.e., takes into account specific needs of the stakeholders of the process, the organization’s operating environment, etc.). The process includes steps of evaluation and improvement to the process. If appropriate the process reflects use of data to make improvements.

Please keep in mind the scoring guidelines located in the *Criteria for Performance Excellence* booklet (available for free download at www.wsqa.net/apply.htm). All responses to the criteria questions will be evaluated based on these guidelines. A full definition of each element of the scoring guidelines is available in detail in both the Glossary section and the Scoring System section of the *Criteria for Performance Excellence* booklet. For process categories 1-6, the guidelines have the four “**ADLP**” elements:

Approach - methods used to address the item requirements including appropriateness of the method as well as effectiveness of use.

Deployment - extent to which an approach is applied to relevant work units throughout the organization.

Learning - new knowledge or skills acquired through evaluation, study, experience and innovation. This includes both organizational and personal learning. Learning should be embedded in the way an organization operates. Learning contributes to a competitive advantage and sustainability for the organization and its workforces. Organizational learning is achieved through research and development, evaluation and improvement cycles, stakeholder input and ideas, best-practice sharing, and benchmarking. Personal learning is achieved through education, training and developmental opportunities.

Integration - harmonization of plans, processes, information, resource decisions, actions, results, and analyses to support organization-wide goals. Effective integration goes beyond alignment and is achieved when the individual components of a performance management system operate as a fully interconnected unit.

Category 7- Results are evaluated using the following four “**LeTCl**” elements:

Levels - numerical information that places or positions an organizations results and performance on a meaningful measurement scale.

Trends - numerical information that shows the direction and rate of change of an organization's results. Trends provide a time sequence of organizational performance. A minimum of the historical (not projected) data points generally are needed to define a statistically valid trend. The tie period for a trend is determined by the cycle time of the process being measured. Shorter cycle times demand more frequent measurement, while longer cycle times might require longer time periods before meaningful trends can be determined.

Comparisons - performance relative to appropriate comparisons such as competitors or organizations similar to yours (or similar processes to yours). Performance is relative to benchmarks or industry leaders.

Integration- extent to which your results measures (often through segmentation) address important customer, product, market, process and action plan performance requirements identified in your Organizational Profile and in Process Items. Results include valid indicators of future performance and are harmonized across processes and work units to support organization-wide goals.

Lite Application scoring is limited to the first four scoring bands presented in the scoring guidelines located in the *Criteria for Performance Excellence* booklet.

Considerations for Repeat Applicants

A revised version of a previous application may be used for a repeat application. In the revision, it may be beneficial to focus on key strengths identified in previous applications in addition to learning and improvement.

- Repeat applicants who have utilized the Baldrige model and feedback report to improve organizational performance practices, capabilities and results and to serve as a working tool for understanding and managing performance and for guiding organizational planning and learning are encouraged to convey how they have used the feedback from previous application cycles. This can be done in the following sections. Examiners are not aware of the application history of a given applicant as they rely only on the current application in providing feedback. In order to see improvement as a result of applied feedback from a state or national quality award, examiners need to know what improvements were made. If process improvements based on prior feedback reports resulted in improved results, this information should also be pointed out to examiners.
- Where applicable, identify WSQA or MBNQA assessment and feedback reports as improvement tools. This is an opportunity to describe how the feedback was used for improvement and demonstrate learning. Suggestions for where to include this information are:
 - Organizational Profile (P.2c) – Describe the process for reviewing and evaluating feedback for action and the value of Baldrige as a key element in the performance improvement system
 - Strategic Planning (2.1 and 2.2) – Explain how feedback was used to modify or enhance objectives and goals and to create forward-looking action plans; describe how past feedback on key measures was used to improve performance projections, comparative data, and plans to address performance gaps
 - Measurement, Analysis, and Knowledge Management (4.1) – Explain how past feedback was used to improve performance measurement and analysis, and how feedback was translated into priorities for improvement
 - All process categories – Describe processes that are newly implemented or revised as a result of feedback
 - All results items – Demonstrate the effectiveness of newly implemented or revised processes as a result of feedback

Organizational Profile

Item P.2c “Performance Improvement System” – The Baldrige Criteria for Performance Excellence can be portrayed as an element of its performance improvement system, including evaluation and learning processes. Explain how past key themes, major strengths, and OFI’s have been addressed by the organization.

Categories

Item 2.1b “Strategic Objectives & Goals” and Item 2.2a “Action Plan Development and Deployment”. Past applicants can explain how past feedback was used to modify/enhance objectives, goals, and create forward-looking action plans.

Item 2.2b “Performance Projections”. Past applicants can explain how past feedback on key measures/results was used to improve performance projections, comparative data, and plans to address performance gaps.

Item 4.1a “Performance Measurement” and Item 4.1b “Performance Analysis, Review, and Improvement”. Past applicants can explain how past feedback was used to improve performance measurement and analysis, and how feedback was translated into priorities for improvement.

Results items – focus some comments on trend /comparative data based on past feedback.

Scoring considerations

Past applicants can explain how past feedback was used to impact the Learning dimension of ADLI to generate improvements.

Assessment Criteria

Category 1 - Leadership: *How do your senior leaders lead? How do you govern and address your social responsibilities?*

- a) **How do Senior Leaders set organizational Vision and Values? How do Senior Leaders deploy your organization’s vision and values through your leadership system, to the workforce, key suppliers and partners and to customers and other stakeholders, as appropriate? (ref. 1.1a1)**
- b) **How do Senior Leaders communicate with and engage the entire workforce? How do Senior Leaders encourage frank, two-way communication throughout the organization? (ref. 1.1b1)**
- c) **Describe how your organization addresses its responsibilities to the public and ensures ethical behavior. How does your organization fulfill its responsibilities to the public and ensure the ethical behavior of all members? (ref. 1.2a and b)**

RELATED RESULTS (include response in section 7.3): 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? (ref 7.3a1)

Category 2 - Strategic Planning: *How do you develop and deploy your strategy?*

- a) **How does our organization perform its strategic planning? What are the key process steps and who are the key participants? (ref. 2.1a1) What are your key strategic objectives? (ref. 2.1b1)**
- b) **How do your strategic objectives address your strategic challenges and strategic advantages? (Refer to P.2.b in the Organizational Profile) (ref. 2.1b2)**
- c) **How do you deploy action plans through out the organization to achieve your key strategic objectives? (ref. 2.2a1)**

RELATED RESULTS (include response in section 7.6): What are your results for key measures or indicators of accomplishment of your organizational strategy and action plans? (ref 7.6a1)

Category 3 - Customer and Market Focus: *How do you obtain and use customer and market knowledge? How do you build relationships and grow customer satisfaction?*

- a) **How do you identify and innovate product offerings to meet the requirements and exceed the expectations of your customer groups and market segments? (Refer to P.1.b (2) in Organizational Profile) (ref. 3.1a1)**

EDUCATION: replace customer-related with student and stakeholder-related

HEALTHCARE: replace customer-related with patient and other customer-related

- b) **How do you determine your key mechanisms to support use of your products and enable customers**

to seek information and conduct their business with you? What are your key means of customer support, groups or market segments? (ref. 3.2a2)

EDUCATION: enable students and stakeholders to seek information, pursue common purposes, and make complaints?

HEALTHCARE: enable patients and other customers to seek information, obtain services, and make complaints?

c) **How do you determine customer satisfaction, dissatisfaction and loyalty? (ref. 3.2.b1)**

EDUCATION: determine student and stakeholder satisfaction, dissatisfaction, and loyalty?

HEALTHCARE: determine patient and other customer satisfaction and dissatisfaction?

RELATED RESULTS (include response in section 7.1 & 7.2): What are your current levels, trends in key measures or indicators of product performance that are important to your customers? How do these results compare with the performance of your competitors and other organizations with similar product offerings? (ref 7.1a)

What are your current levels and trends in key measures or indicators of customer satisfaction and dissatisfaction? How do these results compare with the customer satisfaction levels of your competitors and other organizations providing similar products? (ref. 7.2a1)

Category 4 - Measurement, Analysis and Knowledge Management: *How do you measure, analyze, and then improve your organizational performance? How do you manage your information and organizational knowledge?*

a) **How do you select, collect, align, and integrate data and information for tracking daily operations and for tracking overall organizational performance? What are your key organizational performance measures, including key short-term and longer-term financial measures? (ref. 4.1a1)**

b) **How do you review organizational performance and capabilities? (ref. 4.1b1) c) How do you make needed data and information available? How do you make them accessible to your workforce, suppliers, partners, collaborators, and customers, as appropriate? (ref. 4.2a2)**

EDUCATION: accessible to workforce, students, stakeholders, suppliers, partners, and collaborators as appropriate?

HEALTHCARE: accessible to workforce, suppliers, partners, collaborators, and patients and other customers as appropriate?

d) **How do you manage organizational knowledge to accomplish the collection and transfer of workforce knowledge? (ref. 4.2a3)**

Category 5 -Workforce Focus: *How do you encourage your workforce to achieve organizational and personal success?*

a) **How do you determine the key factors that affect workforce engagement and workforce satisfaction? (ref. 5.1a1) How do you assess workforce engagement and workforce satisfaction? (ref. 5.1c1)**

b) **How does your workforce development and learning system address your core competencies, strategic challenges, and the accomplishment of your action plans?" (ref. 5.1b1)**

c) **How do you assess your workforce capability and capacity needs, including skills, competencies, and staffing levels? (ref. 5.2a1)**

RELATED RESULTS (include response in section 7.4): What are your current levels and trends in key measures of indicators of workforce engagement and workforce satisfaction? How do these results compare with competitors or others with similar workforce? (ref 7.4a1)

Category 6 - Process Management: *How do you design your work systems? How do you manage and improve your key organizational work processes?*

- a) **How do your work systems and key work processes relate to and capitalize on your core competencies? (ref. 6.1a1)**
- b) **What are your organization's key work processes? How do these processes contribute to delivering customer value, organizational success, and sustainability? (ref. 6.1b1)**
- c) **How do you determine key work process requirements, incorporating input from customers, suppliers, partners and collaborators as appropriate? What are the key requirements for these processes? (ref. 6.1b2)**
- d) **What are your key performance measures or indicators and in-process measures used for the control and improvement of your work processes? How do implement and manage your work processes to ensure that they meet design requirements? How is workforce, customer, supplier, partner and collaborator input used in managing these processes as appropriate? (ref. 6.2b1)**

RELATED RESULTS (include response in section 7.5 What are your current levels and trends in key measures or indicators of the operational performance of your key work processes including productivity, cycle time and other appropriate measures of process effectiveness, efficiency, and innovation? How do these results compare with competitors or others with similar processes? (ref 7.5a2)

Category 7 - Organizational Results: *What are your product and service performance, customer-focused performance, financial and marketplace performance, workforce-focused performance, process effectiveness and leadership results?*

Note: Please provide data in relative segments if applicable. Please provide relative comparisons. The italicized print following the item reference is for context purposes, **applicants should reply to the bolded questions that follow.**)

7.1 Product Outcomes

7.1a What are your current levels, trends in key measures or indicators of product performance that are important to your customers? How do these results compare with the performance of your competitors and other organizations with similar product offerings? (ref 7.1a)

7.2 Customer-Focused Outcomes

7.2a What are your current levels and trends in key measures or indicators of customer satisfaction and dissatisfaction? How do these results compare with the customer satisfaction levels of your competitors and other organizations providing similar products? (ref. 7.2a1)

7.3 Financial and Market Outcomes

7.3a 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? (ref 7.3a1)

7.4 Workforce-Focused Outcomes

7.4a What are your current levels and trends in key measures of indicators of workforce engagement and workforce satisfaction? How do these results compare with competitors or others with similar workforce? (ref 7.4a1)

7.5 Process Effectiveness Outcomes

7.5a What are your current levels and trends in key measures or indicators of the operational performance of your key work processes including productivity, cycle time and other appropriate measures of process effectiveness, efficiency, and innovation? How do these results compare with competitors or others with similar processes? (ref 7.5a2)

7.6 Leadership Outcomes

7.6a What are your results for key measures or indicators of accomplishment of your organizational strategy and action plans? (ref 7.6a1)

Scoring Guidelines

For Use with Categories 1-6

1 - Not Evident	<ul style="list-style-type: none"> No SYSTEMATIC APPROACH to Item requirements is evident; information is ANECDOTAL. (A) Little or no DEPLOYMENT of any SYSTEMATIC APPROACH is evident. (D)An improvement orientation is not evident; improvement is achieved through reacting to problems. (L) No organizational ALIGNMENT is evident; individual areas or work units operate independently. (I)
2 - Beginning	<ul style="list-style-type: none"> The beginning of a SYSTEMATIC APPROACH to the BASIC REQUIREMENTS of the Item is evident. (A) 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) Early states of a transition from reacting to a general improvement orientation are evident. (L) The APPROACH is ALIGNED with other areas or work units largely through joint problem solving. (I)
3 - Basically Effective	<ul style="list-style-type: none"> An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the BASIC REQUIREMENTS of the Item is evident. (A) The APPROACH is DEPLOYED, although some areas or work units are in early stages of DEPLOYMENT. (D) The beginning of a SYSTEMATIC APPROACH to evaluation and improvement of KEY PROCESSES is evident. (L) The approach is in the early stages of ALIGNMENT with your basic organizational needs identified in response to the Organizational Profile and other Process Items. (I)
4 - Overall Effective	<ul style="list-style-type: none"> An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the MULTIPLE REQUIREMENTS of the Item, is evident. (A) The APPROACH is well DEPLOYED, with no significant gaps. (D) Fact-based, SYSTEMATIC evaluation and improvement PROCESS and some organizational LEARNING, including INNOVATION, are in place for improving the efficiency and EFFECTIVENESS of KEY PROCESSES. (L) The APPROACH IS ALIGNED with your organizational needs identified in response to the Organizational Profile and other Process Items. (I)

For Use with Category 7

1 - Not Evident	<ul style="list-style-type: none"> There are no organizational PERFORMANCE RESULTS and/or poor RESULTS in areas reported. (Le) TREND data either are not reported or show mainly adverse trends. (T) Comparative information is not reported. (C) Results are not reported for any areas of importance to the accomplishment of your organization's MISSION. (I)
2 - Beginning	<ul style="list-style-type: none"> A few organization PERFORMANCE RESULTS are reported and early good PERFORMANCE LEVELS are evident in a few areas. (LE) Some TREND data are reported, with some adverse TRENDS evident. (T) Little or no comparative information is reported. (C) RESULTS are reported for a few areas of importance to the accomplishment of your organization's MISSION. (I)
3 - Basically Effective	<ul style="list-style-type: none"> Good organizational PERFORMANCE RESULTS are reported for some areas of importance to the Item requirements. (Le) Some TREND data are reported, and a majority of the TRENDS presented are beneficial. (T) Early stages of obtaining comparative information are evident. (C) Results are reported for many areas of importance to the accomplishment of your organization's MISSION. (I)
4 - Overall Effective	<ul style="list-style-type: none"> Good organizational PERFORMANCE LEVELS are reported for most areas of importance to the Item requirements. (LE) Beneficial TRENDS are evident in areas of importance to the accomplishment of your organization's MISSION. (T)

	<ul style="list-style-type: none">• Some current PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of good relative PERFORMANCE. (C)• Organizational PERFORMANCE RESULTS are reported for most KEY CUSTOMER, market and PROCESS requirements. (I)
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