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SITTISAK PRUKPITIKUL 22/7/2023



# ASSESSMENT OF RESULT CATEGORY

Basic / Overall / Multiple

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# Topics

1. Historical Review
2. Difference of Basic / Overall / Multiple
3. Assessment of Result Category



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# Topics

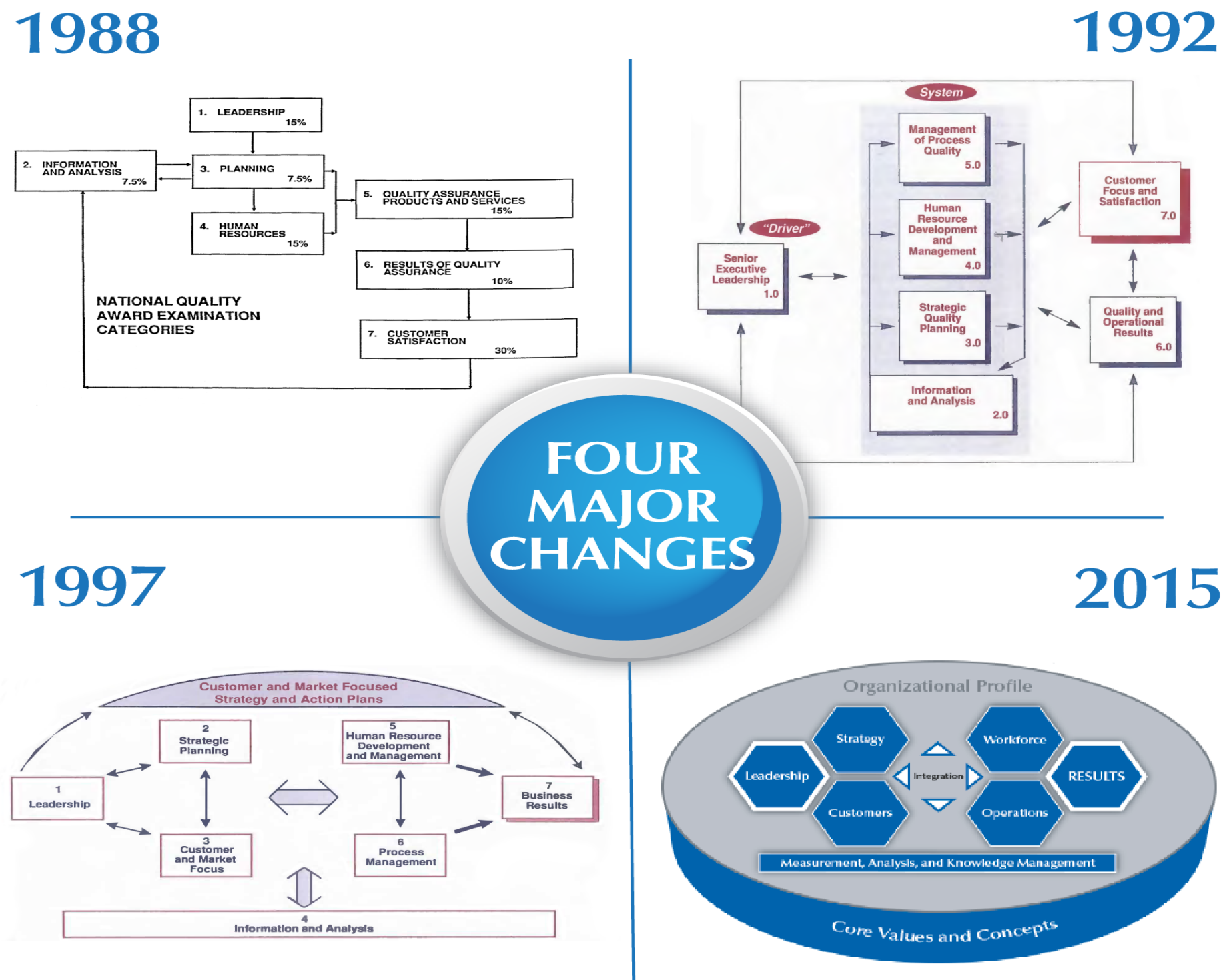
1. Historical Review
2. Difference of Basic / Overall / Multiple
3. Assessment of Result Category



# BALDRIGE CRITERIA

## Thirty Years of Evolution = Revolutionary Change

### BALDRIGE CRITERIA OVERVIEW



### Core Values and Concepts

- 1992**
  - Customer-driven quality
  - Leadership
  - Continuous improvement
  - Full participation
  - Fast response
  - Design quality and prevention
  - Long-range outlook
  - Management by fact
  - Partnership development
  - Public responsibility
- 2019**
  - Systems perspective
  - Visionary leadership
  - Customer-focused excellence
  - Valuing people
  - Organizational learning and agility
  - Focus on success
  - Managing for innovation
  - Management by fact
  - Societal contributions
  - Ethics and transparency
  - Delivering value and results

### Criteria Item Listings

#### 1988

1988 Examination Categories/Subcategories	Point Values
<b>1.0 Leadership</b>	<b>150</b>
1.1 Senior Corporate Leadership	50
1.2 Policy	30
1.3 Management System and Quality Improvement Processes	30
1.4 Resource Allocation and Utilization	20
1.5 Public Responsibility	10
1.6 Unique and Innovative Leadership Techniques	10
<b>2.0 Information and Analysis</b>	<b>75</b>
2.1 Use of Analytical Techniques or Systems	15
2.2 Use of Product or Service Quality Data	10
2.3 Customer Data and Analysis	20
2.4 Supplier Quality and Data Analysis	10
2.5 Distributor and/or Reseller Quality and Data Analysis	10
2.6 Employee-Related Data and Analysis	5
2.7 Unique and Innovative Information/Analysis	5
<b>3.0 Strategic Quality Planning</b>	<b>75</b>
3.1 Operational and Strategic Goals	20
3.2 Planning Function	20
3.3 Planning for Quality Improvement	30
3.4 Unique and Innovative Planning	5
<b>4.0 Human Resource Utilization</b>	<b>150</b>
4.1 Management and Operations	30
4.2 Employee Quality Awareness and Involvement	50
4.3 Quality Training and Education	30
4.4 Evaluation, Incentive, and Recognition Systems	30
4.5 Unique and Innovative Approaches	10
<b>5.0 Quality Assurance of Products and Services</b>	<b>150</b>
5.1 Customer Input to Products and Services	20
5.2 Planning for New or Improved Products or Services	20
5.3 Design of New or Improved Products and Services	30
5.4 Measurements, Standards, and Data System	10
5.5 Technology	10
5.6 Audit	15
5.7 Documentation	10
5.8 Safety, Health, and Environment	10
5.9 Assurance/Validation	15
5.10 Unique and Innovative Approaches	10
<b>6.0 Results From Quality Assurance of Products and Services</b>	<b>100</b>
6.1 Reliability and Performance of Products or Services	25
6.2 Reductions in Scrap, Rework, and Rejected Products or Services	20
6.3 Reductions in Claims, Litigation, and Complaints Related to Quality	25
6.4 Reductions in Warranty or Field Support Work	20
6.5 Unique or Innovative Indicators of Quality Improvements or Economic Gains	10
<b>7.0 Customer Satisfaction</b>	<b>300</b>
7.1 Customer Views of Quality of Products or Services	100
7.2 Competitive Comparison of Products or Services	50
7.3 Customer Service and Complaint Handling	75
7.4 Customer Views of Guarantees/Warranties	50
7.5 Unique or Innovative Approaches to Assessing Customer Satisfaction	25
<b>Total Points</b>	<b>1,000</b>

#### 2002

2002 Categories/Items	Point Values
<b>P Preface: Organizational Profile</b>	
P1 Organizational Description	
P2 Organizational Challenges	
<b>1 Leadership</b>	<b>120</b>
1.1 Organizational Leadership	80
1.2 Public Responsibility and Citizenship	40
<b>2 Strategic Planning</b>	<b>85</b>
2.1 Strategy Development	40
2.2 Strategy Deployment	45
<b>3 Customer and Market Focus</b>	<b>85</b>
3.1 Customer and Market Knowledge	40
3.2 Customer Relationships and Satisfaction	45
<b>4 Information and Analysis</b>	<b>90</b>
4.1 Measurement and Analysis of Organizational Performance	50
4.2 Information Management	40
<b>5 Human Resource Focus</b>	<b>85</b>
5.1 Work Systems	35
5.2 Employee Education, Training, and Development	25
5.3 Employee Well-Being and Satisfaction	25
<b>6 Process Management</b>	<b>85</b>
6.1 Product and Service Processes	45
6.2 Business Processes	25
6.3 Support Processes	15
<b>7 Business Results</b>	<b>450</b>
7.1 Customer-Focused Results	125
7.2 Financial and Market Results	125
7.3 Human Resource Results	80
7.4 Organizational Effectiveness Results	120
<b>TOTAL POINTS</b>	<b>1,000</b>

#### 2019

2019 Categories and Items	Point Values
<b>P Organizational Profile</b>	
P1 Organizational Description	
P2 Organizational Situation	
<b>1 Leadership</b>	<b>120</b>
1.1 Senior Leadership	70
1.2 Governance and Societal Contributions	50
<b>2 Strategy</b>	<b>85</b>
2.1 Strategy Development	45
2.2 Strategy Implementation	40
<b>3 Customers</b>	<b>85</b>
3.1 Customer Expectations	40
3.2 Customer Engagement	45
<b>4 Measurement, Analysis, and Knowledge Management</b>	<b>90</b>
4.1 Measurement, Analysis, and Improvement of Organizational Performance	45
4.2 Information and Knowledge Management	45
<b>5 Workforce</b>	<b>85</b>
5.1 Workforce Environment	40
5.2 Workforce Engagement	45
<b>6 Operations</b>	<b>85</b>
6.1 Work Processes	45
6.2 Operational Effectiveness	40
<b>7 Results</b>	<b>450</b>
7.1 Product and Process Results	120
7.2 Customer Results	80
7.3 Workforce Results	80
7.4 Leadership and Governance Results	80
7.5 Financial, Market, and Strategy Results	90
<b>TOTAL POINTS</b>	<b>1,000</b>

The evolution of the criteria has always been driven by the mantra that the criteria reflect the leading edge of validated leadership and performance practice.

<b>1995</b> Strategic quality planning → strategic planning	<b>2003</b> Dual purpose: "running the business" & "changing the business"; linkages among categories enhanced	<b>2005</b> Strategic challenges added; leadership category expanded; leadership effectiveness results added	<b>2008</b> Levels, Trends, Comparisons, Integration (LeTCI) introduced	<b>2011</b> Innovation incorporated as cross-cutting; intelligent risks & social media questions introduced	<b>2017</b> Cybersecurity & enterprise risk management focus enhanced
<b>2001</b> Organizational Profile added	<b>2004</b> Approach, Deployment, Learning, Integration (ADLI) introduced	<b>2007</b> Questions on strategic advantages, strategic opportunities, workforce capability/capacity, work systems, work processes, core competencies added	<b>2009</b> Customer engagement introduced; questions on management of information technology/systems added; societal responsibility incorporated as cross-cutting	<b>2015</b> Big data/data analytics introduced; organizational change management embedded	<b>2019</b> Ecosystems introduced

### Criteria Evolution Key Dates



# Criteria Evolution Key Dates

1995: Strategic quality planning → strategic planning

2001: Organizational Profile added

2003: Dual purpose: “running the business” & “changing the business”; linkages among categories enhanced

2004: Approach, Deployment, Learning, Integration (ADLI) introduced

2005: Strategic challenges added; leadership category expanded; leadership effectiveness results added

2007: Questions on strategic advantages, strategic opportunities, workforce capability/capacity, work systems, work processes, core competencies added

2008: Levels, Trends, Comparisons, Integration (LeTCI) introduced

2009: Customer engagement introduced; questions on management of information technology/systems added; societal responsibility incorporated as cross-cutting

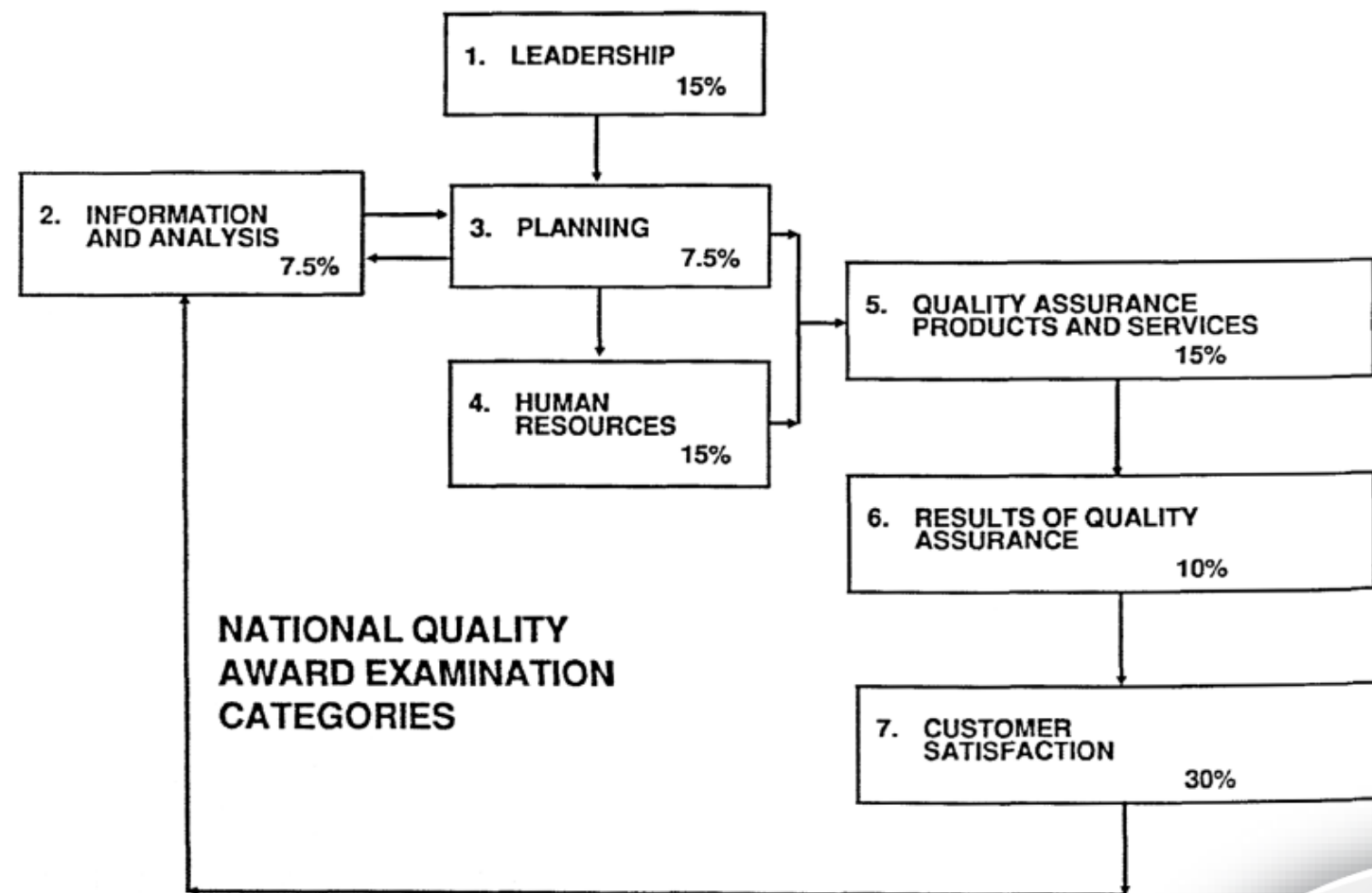
2011: Innovation incorporated as cross-cutting; intelligent risks & social media questions introduced

2015: Big data/data analytics introduced; organizational change management embedded

2017: Cybersecurity & enterprise risk management focus enhanced

2019: Ecosystems introduced

# 1988



# 1988

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1.3 Management System and Quality Improvement Processes	30
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1.5 Public Responsibility	10
1.6 Unique and Innovative Leadership Techniques	10
<b>2.0 Information and Analysis</b>	<b>75</b>
2.1 Use of Analytical Techniques or Systems	15
2.2 Use of Product or Service Quality Data	10
2.3 Customer Data and Analysis	20
2.4 Supplier Quality and Data Analysis	10
2.5 Distributor and/or Dealer Quality and Data Analysis	10
2.6 Employee-Related Data and Analysis	5
2.7 Unique and Innovative Information/Analysis	5
<b>3.0 Strategic Quality Planning</b>	<b>75</b>
3.1 Operational and Strategic Goals	20
3.2 Planning Function	20
3.3 Planning for Quality Improvement	30
3.4 Unique and Innovative Planning	5
<b>4.0 Human Resource Utilization</b>	<b>150</b>
4.1 Management and Operations	30
4.2 Employee Quality Awareness and Involvement	50
4.3 Quality Training and Education	30
4.4 Evaluation, Incentive, and Recognition Systems	30
4.5 Unique and Innovative Approaches	10
<b>5.0 Quality Assurance of Products and Services</b>	<b>150</b>
5.1 Customer Input to Products and Services	20
5.2 Planning for New or Improved Products or Services	20
5.3 Design of New or Improved Products and Services	30
5.4 Measurements, Standards, and Data System	10
5.5 Technology	10
5.6 Audit	15
5.7 Documentation	10
5.8 Safety, Health, and Environment	10
5.9 Assurance/Validation	15
5.10 Unique and Innovative Approaches	10
<b>6.0 Results from Quality Assurance of Products and Services</b>	<b>100</b>
6.1 Reliability and Performance of Products or Services	25
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6.3 Reductions in Claims, Litigation, and Complaints Related to Quality	25
6.4 Reductions in Warranty or Field Support Work	20
6.5 Unique or Innovative Indicators of Quality Improvements or Economic Gains	10
<b>7.0 Customer Satisfaction</b>	<b>300</b>
7.1 Customer Views of Quality of Products or Services	100
7.2 Competitive Comparison of Products or Services	50
7.3 Customer Service and Complaint Handling	75
7.4 Customer Views of Guarantees/Warranties	50
7.5 Unique or Innovative Approaches to Assessing Customer Satisfaction	25
<b>Total Points</b>	<b>1,000</b>

## 1988 Criteria Categories

1. Leadership – 150 pts.
2. Information and Analysis – 75 pts.
3. Strategic Quality Planning – 75 pts.
4. Human Resource Planning – 150 pts.
5. Quality Assurance of Products and Services – 150 pts.
6. Results from Quality Assurance of Products and Services – 100 pts.
7. Customer Satisfaction – 300 pts.

## 1988 Initial Criteria

- Stated “Scoring Criteria” built into 42 items much like multiple requirements – no matrix for scoring item or overall bands
- Some trends in results expected within Category responses such as absenteeism or training rates
- No specific request for financial results or organizational strategic plans

## 1988 Criteria Emphasis

- How customer needs and quality function integrated with corporate planning and execution
- How leaders effect this
- Not the broad business as a system

## Examples of Early Opinions

- Quality gurus Joseph Juran and Armand Feigenbaum positive but not pushy – both served on Board of Overseers
- Quality gurus W. Edwards Deming and Phil Crosby less supportive
- Business schools not interested in topic, despite Xerox’s forums for them
- The Conference Board had great network and was early sponsor of regional Quests for Excellence.

## Findings Cited in the Enabling Legislation

- U.S. product and process leadership challenged by foreign competition
- Nation’s productivity growth improved less than competitors over last 20 years.
- Strategic planning for quality and commitment to excellence are essential to economy and ability to effectively compete in global marketplace.

## Further Findings

- Fundamental Change may be necessary.
- Management led quality programs
  - Focus on the customer
  - Worker involvement in quality
  - Improved management understanding of factory floor
  - Greater emphasis on statistical process control to reduce variation in outputs



# 1998

## Criteria for Performance Excellence

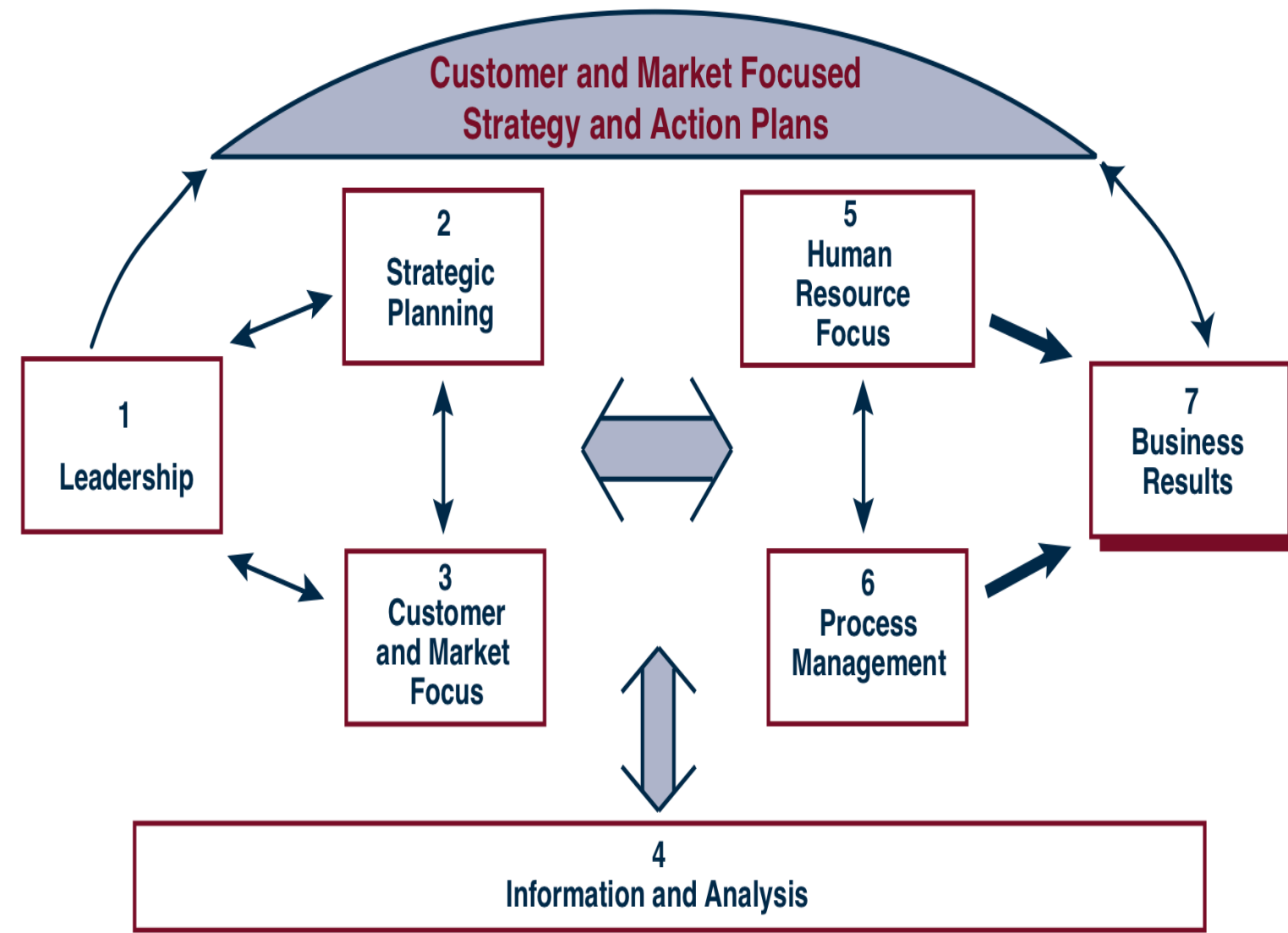
*“Quality is one of the keys to the continued competitive success of U.S. businesses. The Malcolm Baldrige National Quality Award, which highlights customer satisfaction, workforce empowerment and increased productivity, has come to symbolize America’s commitment to excellence.”*

William J. Clinton

## 1998 CRITERIA FOR PERFORMANCE EXCELLENCE — ITEM LISTING

1998 Categories/Items		Point Values
<b>1</b>	<b>Leadership</b>	<b>110</b>
	1.1 Leadership System.....	80
	1.2 Company Responsibility and Citizenship.....	30
<b>2</b>	<b>Strategic Planning</b>	<b>80</b>
	2.1 Strategy Development Process.....	40
	2.2 Company Strategy.....	40
<b>3</b>	<b>Customer and Market Focus</b>	<b>80</b>
	3.1 Customer and Market Knowledge.....	40
	3.2 Customer Satisfaction and Relationship Enhancement.....	40
<b>4</b>	<b>Information and Analysis</b>	<b>80</b>
	4.1 Selection and Use of Information and Data.....	25
	4.2 Selection and Use of Comparative Information and Data.....	15
	4.3 Analysis and Review of Company Performance.....	40
<b>5</b>	<b>Human Resource Focus</b>	<b>100</b>
	5.1 Work Systems.....	40
	5.2 Employee Education, Training, and Development.....	30
	5.3 Employee Well-Being and Satisfaction.....	30
<b>6</b>	<b>Process Management</b>	<b>100</b>
	6.1 Management of Product and Service Processes.....	60
	6.2 Management of Support Processes.....	20
	6.3 Management of Supplier and Partnering Processes.....	20
<b>7</b>	<b>Business Results</b>	<b>450</b>
	7.1 Customer Satisfaction Results.....	125
	7.2 Financial and Market Results.....	125
	7.3 Human Resource Results.....	50
	7.4 Supplier and Partner Results.....	25
	7.5 Company-Specific Results.....	125
<b>TOTAL POINTS</b>		<b>1000</b>

**BALDRIGE CRITERIA FOR PERFORMANCE EXCELLENCE FRAMEWORK**  
A Systems Perspective



**1. The Criteria focus on business results.**

The Criteria focus on the key areas of business performance, given below.

Business results are a composite of:

- (1) customer satisfaction/retention;
- (2) financial and marketplace performance;
- (3) product and service quality, performance, delivery, and innovation;
- (4) operational effectiveness, including productivity and responsiveness;
- (5) human resource performance/development;
- (6) supplier performance/development; and
- (7) public responsibility/good citizenship.

**ITEM FORMAT**



**Basic Item requirements — expressed in general terms**

**Specific Areas applicants need to address**

**Area titles**

**Notes have the following purposes:**

- Clarify key terms and/or requirements
- give instruction
- indicate/clarify important linkages

**Location of Item Description**

5.1 Work Systems (40 pts.)

Describe how all employees contribute to achieving the company's performance and learning objectives, through the company's work design, and compensation and recognition approaches.

In your response, address the following Areas:

**a. Work Design**

How work and jobs are designed and how employees, including all managers and supervisors, contribute to ensure:

- (1) design, management, and improvement of company work processes that support company action plans and related human resource plans. Include how work processes are designed and managed to encourage individual initiative and self-directed responsibility;
- (2) communication, cooperation, and knowledge and skill sharing across work functions, units, and locations; and
- (3) flexibility, rapid response, and learning in addressing current, and changing customer, operational, and business requirements.

**b. Compensation and Recognition**

How the company's compensation and recognition approaches for individuals and groups, including all managers and supervisors, reinforce overall company objectives for customer satisfaction, performance improvement, and employee and company learning. Describe significant differences, if any, among different categories or types of employees.

**Notes:**

*N1. For purposes of the Criteria, employees include the company's permanent, temporary, and part-time personnel, as well as any contract employees supervised by the company. Any contract employees supervised by the contractor should be addressed in Item 6.3.*

*N2. Work design refers to how employees are organized and/or organize themselves in formal and informal, temporary, or longer-term units. This includes work teams, process teams, customer action teams, problem-solving teams, centers of excellence, functional units, cross-functional teams, and departments — self-managed or managed by supervisors.*

*Job design refers to responsibilities, authorities, and tasks of individuals. In some work systems, jobs might be shared by a team based upon cross-training.*

*N3. Compensation and recognition refer to all aspects of pay and reward, including promotions and bonuses, that might be based upon performance, skills acquired, and other factors. This includes monetary and non-monetary, formal and informal, and individual and group compensation and recognition.*

For additional description of this Item, see pages 27-28.

## 7 Business Results (450 pts.)

The **Business Results** Category examines the company's performance and improvement in key business areas — customer satisfaction, financial and marketplace performance, human resource results, supplier and partner performance, and operational performance. Also examined are performance levels relative to competitors.

### 7.1 Customer Satisfaction Results (125 pts.)

Results

**Summarize the company's customer satisfaction and dissatisfaction results.**

In your response, address the following Area:

#### a. Customer Satisfaction Results

Summarize current levels and trends in key measures and/or indicators of customer satisfaction and dissatisfaction, including satisfaction relative to competitors. Address different customer groups and market segments, as appropriate.

#### Notes:

*N1. Customer satisfaction and dissatisfaction results reported in this Item derive from determination methods described in Item 3.2.*

*N2. Measures and/or indicators of customer satisfaction and satisfaction relative to competitors might include information on customer-perceived value.*

*N3. Measures and/or indicators of customer satisfaction relative to competitors might include objective information and data from customers and independent organizations. Comparative performance of products and services and operational performance measures that serve as indicators of customer satisfaction should be addressed in Item 7.5.*

### 7.2 Financial and Market Results (125 pts.)

Results

**Summarize the company's key financial and marketplace performance results.**

In your response, address the following Area:

#### a. Financial and Market Results

Provide results of:

- (1) financial performance, including aggregate measures of financial return and/or economic value, as appropriate; and
- (2) marketplace performance, including market share/position, business growth, and new markets entered, as appropriate.

For all quantitative measures and/or indicators of performance, provide current levels and trends. Include appropriate comparative data.

#### Note:

*Aggregate measures such as return on investment (ROI), asset utilization, operating margins, profitability, liquidity, debt to equity ratio, value added per employee, and financial activity measures are appropriate for responding to 7.2a(1).*

### 7.4 Supplier and Partner Results (25 pts.)

Results

**Summarize the company's supplier and partner performance results.**

In your response, address the following Area:

#### a. Supplier and Partner Results

Summarize current levels and trends in key measures and/or indicators of supplier and partner performance. Include company performance and/or cost improvements attributed to supplier and partner performance, as appropriate. Include appropriate comparative data.

#### Note:

*The results reported in this Item should relate directly to processes and performance requirements described in Item 6.3.*

For additional description of this Item, see page 32.

### 7.3 Human Resource Results (50 pts.)

Results

**Summarize the company's human resource results, including employee well-being, satisfaction, development, and work system performance.**

In your response, address the following Area:

#### a. Human Resource Results

Summarize current levels and trends in key measures and/or indicators of employee well-being, satisfaction, development, work system performance, and effectiveness. Address all categories and types of employees, as appropriate. Include appropriate comparative data.

#### Notes:

*N1. The results reported in this Item should address results from activities described in Category 5. The results should be responsive to key process needs described in Category 6, and the company action plans and related human resource plans described in Item 2.2*

*N2. For appropriate measures of employee well-being, satisfaction, and motivation see notes to Item 5.3. Appropriate measures and/or indicators of employee*

*development and effectiveness might include innovation and suggestion rates, courses completed, learning, on-the-job performance improvements, and cross-training.*

*N3. Appropriate measures and/or indicators of work system improvements and effectiveness might include job and job classification simplification, job rotation, work layout, work locations, and changing supervisory ratios.*

For additional description of this Item, see pages 31-32.

*N3. Measures and/or indicators of well-being, satisfaction, and motivation (5.3c) might include safety, absenteeism, turnover, turnover rate for customer-contact employees, grievances, strikes, other job actions, and worker's compensation claims, as well as results of surveys. Results relative to such measures and/or indicators should be reported in Item 7.3.*

### 7.5 Company-Specific Results (125 pts.)

Results

**Summarize company operational performance results that contribute to the achievement of key company performance goals — customer satisfaction, product and service quality, operational effectiveness, and financial/marketplace performance.**

In your response, address the following Area:

#### a. Company-Specific Results

Summarize key company-specific results derived from: product and service quality and performance; key process performance; productivity, cycle time, and other effectiveness and efficiency measures; regulatory/legal compliance; and other results supporting accomplishment of the company's strategy and action plans, such as new product/service introductions. For all quantitative measures and/or indicators of performance, provide current levels and trends. Include appropriate comparative data.

#### Notes:

*N1. Results reported in Item 7.5 should address key company requirements and progress toward accomplishment of key company performance goals as presented in the Business Overview, Items 1.1, 2.2, 6.1, and 6.2. Include results not reported in Items 7.1, 7.2, 7.3, and 7.4.*

*N2. Results reported in Item 7.5 should provide key information for analysis and review of company*

*performance (Item 4.3) and should provide the operational basis for customer satisfaction results (Item 7.1) and company financial and market results (Item 7.2).*

*N3. Regulatory/legal compliance results reported in Item 7.5 should address requirements described in Item 1.2.*

For additional description of this Item, see page 32.

# SCORING SYSTEM

The scoring of applicant responses to Criteria Items (Items) and feedback are based on three evaluation dimensions: (1) Approach; (2) Deployment; and (3) Results. Applicants need to furnish information relating to these dimensions. Specific factors for these dimensions are described below. Scoring Guidelines are given on page 35.

## Approach

“Approach” refers to how the applicant addresses the Item requirements — the *method(s)* used. The factors used to evaluate approaches include:

- appropriateness of the methods to the requirements
- effectiveness of use of the methods. Degree to which the approach:
  - is systematic, integrated, and consistently applied
  - embodies evaluation/improvement/learning cycles
  - is based on reliable information and data
- evidence of innovation and/or significant and effective adaptations of approaches used in other types of applications or businesses

## Deployment

“Deployment” refers to the *extent* to which the applicant’s approach is applied to all requirements of the Item. The factors used to evaluate deployment include:

- use of the approach in addressing business and Item requirements
- use of the approach by all appropriate work units

## Results

“Results” refers to *outcomes* in achieving the purposes given in the Item. The factors used to evaluate results include:

- current performance
- performance relative to appropriate comparisons and/or benchmarks
- rate, breadth, and importance of performance improvements
- demonstration of sustained improvement and/or sustained high-level performance
- linkage of results measures to key performance measures identified in the Business Overview and in Approach/Deployment Items

## Item Classification and Scoring Dimensions

Items are classified according to the kinds of information and/or data applicants are expected to furnish relative to the three evaluation dimensions.

The two types of Items and their designations are:

1. Approach/Deployment 
2. Results 

Approach and Deployment are linked to emphasize that descriptions of Approach should always indicate the Deployment — consistent with the *specific requirements* of the Item. Although Approach and Deployment dimensions are linked, feedback to the applicant reflects strengths and/or areas for improvement in either or both dimensions.

Results Items call for data showing performance levels and trends on key measures and/or indicators of company performance. However, the evaluation factor, “breadth” of performance improvements, is concerned with how widespread an applicant’s improvement results are. This is directly related to the Deployment dimension. That is, if improvement processes are widely deployed, there should be corresponding results. A score for a Results Item is thus a composite based upon overall performance, taking into account the breadth of improvements and their importance (see next section).

## “Importance” as a Scoring Factor

The three evaluation dimensions described above are all critical to evaluation and feedback. However, evaluation and feedback must also consider the importance of improvements in Approach, Deployment, and Results to the applicant’s business. The areas of greatest importance should be identified in the Business Overview, and in Items such as 2.1, 3.1, 6.1, and 7.5. Of particular importance are the key customer requirements and key strategies and action plans.

## Assignment of Scores to Applicants’ Responses

Baldrige Award Examiners observe the following guidelines in assignment of scores to applicants’ responses:

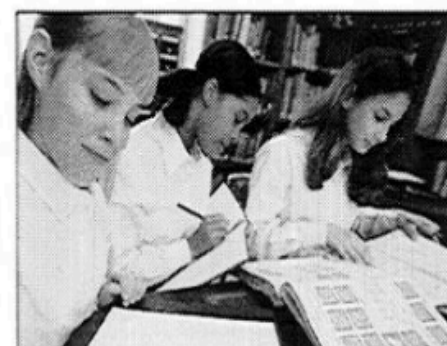
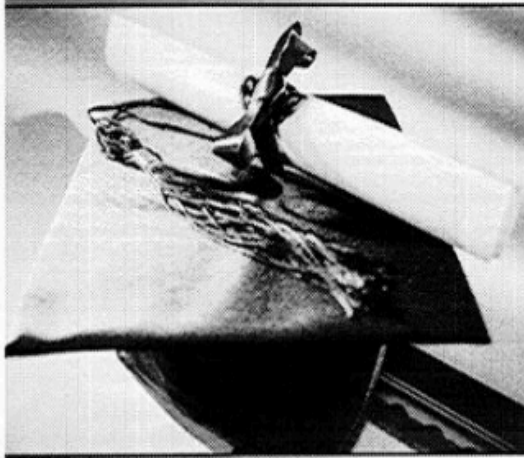
- All relevant Areas to Address should be included in the Item response. Also, responses should reflect what is important to the applicant’s business;
- In assigning a score to an Item, an Examiner first decides which scoring range (e.g., 40% to 60%) best fits the overall Item response. Overall “best fit” does not require total agreement with each of the statements for that scoring range. Actual score *within the range* depends upon an Examiner’s judgment of the closeness of the Item response in relation to the statements in the next higher and next lower scoring ranges;
- An Approach/Deployment Item score of 50% represents an approach that meets the *basic* objectives of the Item and that is deployed to the principal activities covered in the Item. Higher scores reflect maturity (cycles of improvement), integration, and broader deployment; and
- A Results Item score of 50% represents clear indication of improvement trends and/or good levels of performance in the principal results areas covered in the Item. Higher scores reflect better improvement rates and/or levels of performance, and better comparative performance as well as broader coverage.

# SCORING GUIDELINES

SCORE	APPROACH/DEPLOYMENT
0%	<ul style="list-style-type: none"> <li>no systematic approach evident; anecdotal information</li> </ul>
10% to 30%	<ul style="list-style-type: none"> <li>beginning of a systematic approach to the primary purposes of the Item</li> <li>early stages of a transition from reacting to problems to a general improvement orientation</li> <li>major gaps exist in deployment that would inhibit progress in achieving the primary purposes of the Item</li> </ul>
40% to 60%	<ul style="list-style-type: none"> <li>a sound, systematic approach, responsive to the primary purposes of the Item</li> <li>a fact-based improvement process in place in key areas; more emphasis is placed on improvement than on reaction to problems</li> <li>no major gaps in deployment, though some areas or work units may be in very early stages of deployment</li> </ul>
70% to 90%	<ul style="list-style-type: none"> <li>a sound, systematic approach, responsive to the overall purposes of the Item</li> <li>a fact-based improvement process and organizational learning/sharing are key management tools; clear evidence of refinement and improved integration as a result of improvement cycles and analysis</li> <li>approach is well-deployed, with no major gaps; deployment may vary in some areas or work units</li> </ul>
100%	<ul style="list-style-type: none"> <li>a sound, systematic approach, fully responsive to all the requirements of the Item</li> <li>a very strong, fact-based improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration — backed by excellent analysis</li> <li>approach is fully deployed without any significant weaknesses or gaps in any areas or work units</li> </ul>

SCORE	RESULTS
0%	<ul style="list-style-type: none"> <li>no results or poor results in areas reported</li> </ul>
10% to 30%	<ul style="list-style-type: none"> <li>early stages of developing trends; some improvements <i>and/or</i> early good performance levels in a few areas</li> <li>results not reported for many to most areas of importance to the applicant's key business requirements</li> </ul>
40% to 60%	<ul style="list-style-type: none"> <li>improvement trends <i>and/or</i> good performance levels reported for many to most areas of importance to the applicant's key business requirements</li> <li>no pattern of adverse trends <i>and/or</i> poor performance levels in areas of importance to the applicant's key business requirements</li> <li>some trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of strength <i>and/or</i> good to very good relative performance levels</li> </ul>
70% to 90%	<ul style="list-style-type: none"> <li>current performance is good to excellent in most areas of importance to the applicant's key business requirements</li> <li>most improvement trends <i>and/or</i> performance levels are sustained</li> <li>many to most trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of leadership and very good relative performance levels</li> </ul>
100%	<ul style="list-style-type: none"> <li>current performance is excellent in most areas of importance to the applicant's key business requirements</li> <li>excellent improvement trends <i>and/or</i> sustained excellent performance levels in most areas</li> <li>strong evidence of industry and benchmark leadership demonstrated in many areas</li> </ul>

# Education Criteria for Performance Excellence



## Education Criteria for Performance Excellence Framework

The Core Values and Concepts are embodied in seven Categories, as follows:

- 1 Leadership
- 2 Strategic Planning
- 3 Student and Stakeholder Focus
- 4 Information and Analysis
- 5 Faculty and Staff Focus
- 6 Educational and Support Process Management
- 7 Organizational Performance Results

The figure below provides the framework connecting and integrating the Categories.

From top to bottom, the framework has three basic elements:

### Strategy and Action Plans

Strategy and Action Plans (top of figure) yield the set of student and stakeholder focused performance requirements, derived from short- and long-term strategic planning, that must be met and exceeded for your organization's strategy to succeed. Strategy and Action Plans guide overall resource decisions and drive the alignment of measures for all work units to ensure success.

### System

The system is comprised of the six Baldrige Categories in the center of the figure that define the organization, its operations, and its results.

Leadership (Category 1), Strategic Planning (Category 2), and Student and Stakeholder Focus (Category 3) represent the leadership triad. These Categories are placed together to emphasize the importance of a leadership focus on strategy and students and stakeholders. Senior leaders must set organizational direction, create a learning environment for your organization, and seek future opportunities for your organization. If your leadership

does not focus on creating a learning environment, your organization as a whole will lack that focus.

Faculty and Staff Focus (Category 5), Educational and Support Process Management (Category 6), and Organizational Performance Results (Category 7) represent the results triad. Your organization's faculty and staff and their key processes accomplish the work of the organization that yields your performance results.

All actions point toward organizational performance results — a composite of student and stakeholder, budgetary and financial, and operational performance, including staff and faculty and public responsibility. The horizontal arrow in the center of the framework links the leadership triad to the results triad, a linkage critical to organizational success. Furthermore, the arrow indicates the central relationship between Leadership (Category 1) and Organizational Performance Results (Category 7). Leaders must keep their eyes on the results and must learn from them to drive improvement.

### Information and Analysis

Information and Analysis (Category 4) are critical to the effective management of your organization and to a fact-based system for improving performance. Information and analysis serve as a foundation for the performance management system.

### Criteria Structure

The seven Criteria Categories shown in the figure are subdivided into Items and Areas to Address:

### Items

There are 19 Items, each focusing on a major requirement. Item titles and point values are given on page 12. The Item format is shown on page 48.

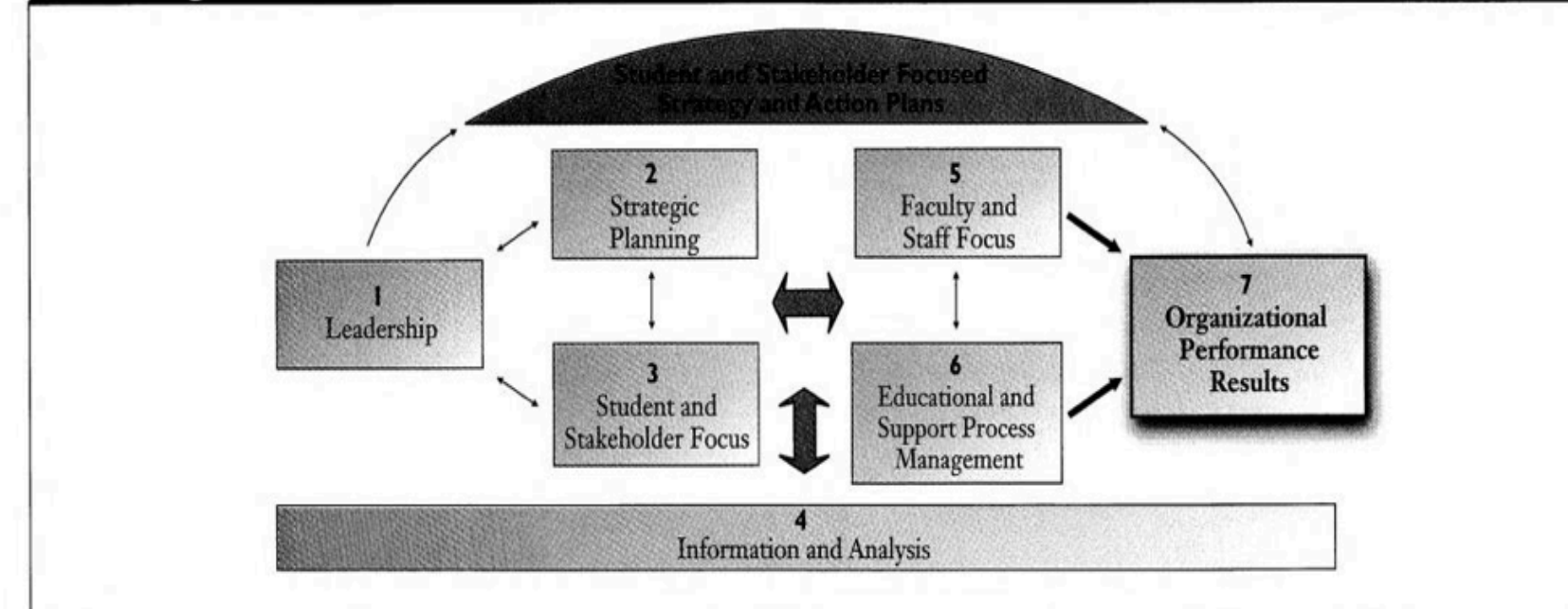
### Areas to Address

Items consist of one or more Areas to Address (Areas). Organizations address their responses to the specific requirements of these Areas.

Category	Item	Point Value	Category Total
<b>1 Leadership</b>	1.1 Organizational Leadership	85	<b>125</b>
	1.2 Public Responsibility and Citizenship	40	
<b>2 Strategic Planning</b>	2.1 Strategy Development	40	<b>85</b>
	2.2 Strategy Deployment	45	
<b>3 Student and Stakeholder Focus</b>	3.1 Knowledge of Student Needs and Expectations	40	<b>85</b>
	3.2 Student and Stakeholder Satisfaction and Relationships	45	
<b>4 Information and Analysis</b>	4.1 Measurement of Organizational Performance	40	<b>85</b>
	4.2 Analysis of Organizational Performance	45	
<b>5 Faculty and Staff Focus</b>	5.1 Work Systems	35	<b>85</b>
	5.2 Faculty and Staff Education, Training, and Development	25	
	5.3 Faculty and Staff Well-Being and Satisfaction	25	
<b>6 Educational and Support Process Management</b>	6.1 Education Design and Delivery	55	<b>85</b>
	6.2 Education Support Processes	15	
	6.3 Partnering Processes	15	
<b>7 Organizational Performance Results</b>	7.1 Student Performance Results	200	<b>450</b>
	7.2 Student and Stakeholder Focused Results	70	
	7.3 Budgetary and Financial Results	40	
	7.4 Faculty and Staff Results	70	
	7.5 Organizational Effectiveness Results	70	
<b>TOTAL POINTS</b>			<b>1000</b>

**Note:** The Scoring System used with the Criteria Items in a Baldrige assessment can be found on pages 45-46.

**Baldrige Education Criteria for Performance Excellence Framework: A Systems Perspective**



## Item Format



## 7 Organizational Performance Results (450 pts.)

The **Organizational Performance Results** Category examines student performance, student and stakeholder focused results, budgetary and financial performance, faculty and staff results, and organizational effectiveness. Also examined are performance levels relative to comparable schools and/or appropriately selected organizations.

### 7.1 Student Performance Results (200 pts.)

**Results**

**Summarize your organization's student performance results. Segment your results by student groups, as appropriate. Include appropriate data relative to comparable organizations and student populations.**

Provide data and information to answer the following question:

a. **Student Performance Results**

What are your current levels and trends in key measures and/or indicators of student performance?

#### Notes:

N1. Results reported might be based upon a variety of assessment methods that reflect the organization's overall mission and primary improvement objectives, and that together represent holistic appraisals of students. For some recently implemented measures and/or assessment methods, data might not yet be sufficient to demonstrate meaningful trends. Such data should be reported nevertheless, as they provide useful information regarding the organization's current performance levels.

N2. Results may include data indicating performance of recent graduates.

N3. Demonstrations of improvement in student performance should be normalized to comparable student populations. Methods might involve longitudinal studies and cohort studies. Results covering three years or more are preferred.

N4. Comparisons should include a brief description of how the appropriateness of each comparison is ensured. Comparable schools might include similar types/sizes, both domestic and international, as well as schools serving similar populations of students.

For a definition of the following **key term**, see page 31: results.

For additional description of this Item, see pages 42-43.

## 7.2 Student and Stakeholder Focused Results (70 pts.)

Results

Summarize your organization's student and stakeholder focused results, including student and stakeholder satisfaction and dissatisfaction. Segment your results by student and stakeholder groups, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

### a. Student and Stakeholder Focused Results

- (1) What are your current levels and trends in key measures and/or indicators of satisfaction and dissatisfaction of current and past students and key stakeholders?
- (2) What are your current levels and trends in key measures and/or indicators of student/stakeholder loyalty, positive referral, perceived value, and relationship building, as appropriate?

### Notes:

N1. Student and stakeholder satisfaction and dissatisfaction results reported in this Item should relate to determination methods and data described in Item 3.2.

N2. Results data might include student/stakeholder feedback and their overall assessment of education/operations.

N3. For examples of student/stakeholder dissatisfaction indicators, see Notes to Item 3.2.

N4. Current levels and trends in key measures and/or indicators of student satisfaction relative to comparable schools might address gains and losses of your students to other schools or to alternative means of education, such as home schooling or corporate educational programs. Results might also include objective information and/or data from independent organizations, including key stakeholders. Such

For additional description of this Item, see page 43.

objective information might include survey results, competitive awards, recognition, and ratings. The information and/or data should reflect comparative satisfaction (and dissatisfaction). Information on comparative performance of your students should be included in Item 7.1.

N5. The combination of direct student performance measures/indicators in Item 7.1 with your student and stakeholder satisfaction measures/indicators in Item 7.2 provides an opportunity to determine cause and effect relationships between student performance and evidence of student and stakeholder satisfaction/dissatisfaction.

N6. Comparisons should include a brief description of how the appropriateness of each comparison is ensured. Comparable organizations might include similar types/sizes, as well as schools serving similar populations of students.

## 7.3 Budgetary and Financial Results (40 pts.)

Results

Summarize your organization's key budgetary and financial performance results. Include appropriate comparative data.

Provide data and information to answer the following question:

### a. Budgetary and Financial Results

- What are your current levels and trends in key measures and/or indicators of budgetary and financial performance, including measures of value and cost containment, as appropriate?

### Note:

Measures such as instructional and general administration expenditures per student, income/expenses/reserves/endowments, tax rate, tuition and fee levels, cost per academic credit, annual grants/awards, program expenditures as a percent of budget,

annual budget increase or decrease, resources redirected to education from other areas, scholarship growth, percent budget on research, or budget for public service are appropriate for responding to Item 7.3.

For additional description of this Item, see page 43.

## 7.4 Faculty and Staff Results (70 pts.)

Results

Summarize your organization's faculty- and staff-related results, including faculty and staff well-being, satisfaction, development, and work system performance. Segment your results by types and categories of faculty and staff, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

### a. Faculty and Staff Results

- (1) What are your current levels and trends in key measures and/or indicators of faculty and staff well-being, satisfaction and dissatisfaction, and development?
- (2) What are your current levels and trends in key measures and/or indicators of faculty and staff work system performance and effectiveness?

### Notes:

N1. Results reported in this Item should relate to activities described in Category 5. Your results should be responsive to key process needs described in Category 6, and your organization's action plans and related faculty and staff resource plans described in Item 2.2.

N2. For appropriate measures of faculty and staff well-being and satisfaction, see Notes to Item 5.3. Appropriate measures and/or indicators of faculty

and staff development might include innovation and suggestion rates, courses or educational programs completed, learning, on-the-job performance improvements, collaboration/teamwork, and cross-training.

N3. Appropriate measures and/or indicators of work system performance and effectiveness might include use of teams; knowledge and skill sharing across work functions, units, and locations; and flexibility.

For additional description of this Item, see pages 43-44.

## 7.5 Organizational Effectiveness Results (70 pts.)

Results

Summarize your organization's key performance results that contribute to enhanced learning and/or the achievement of organizational effectiveness. Include appropriate comparative data.

Provide data and information to answer the following questions:

### a. Organizational Effectiveness Results

- (1) What are your current levels and trends in key measures and/or indicators of key design, delivery, and support process performance that contribute to enhanced learning and/or operational effectiveness, including school capacity to improve student performance, student development, educational climate, and indicators of responsiveness?
- (2) What are your results for key measures and/or indicators of safety, regulatory/legal/accreditation requirements, and support of key communities? What are your results for key measures and/or indicators of accomplishment of organizational strategy?

### Notes:

N1. Results reported in Item 7.5 should address your key organizational requirements and progress toward accomplishment of your key organizational performance goals as presented in the Organization Overview and in Items 1.1, 2.2, 6.1, 6.2, and 6.3. Include results not reported in Items 7.1, 7.2, 7.3, and 7.4.

N2. Results reported in Item 7.5 should provide key information for analysis (Item 4.2) and review (Item

1.1) of your organizational performance and should provide the operational basis for improved student performance results (Item 7.1), student and stakeholder focused results (Item 7.2), and budgetary and financial results (Item 7.3).

N3. Safety and regulatory/legal/accreditation results reported in Item 7.5 should address requirements described in Item 1.2.

For additional description of this Item, see page 44.

### *7.1 Student Performance Results*

#### **Purpose**

This Item examines your organization's student performance results, with the aim of demonstrating the effectiveness of educational programs and activities.

### *7.2 Student and Stakeholder Focused Results*

#### **Purpose**

This Item examines your organization's student and stakeholder focused results, with the aim of demonstrating how well your organization has been satisfying key needs and expectations.

### *7.3 Budgetary and Financial Results*

#### **Purpose**

This Item examines your organization's budgetary and financial results, with the aim of understanding your management and effective use of financial resources.

### *7.4 Faculty and Staff Results*

#### **Purpose**

This Item examines your organization's faculty and staff results, with the aim of demonstrating how well your organization has been creating and maintaining a positive, productive, learning, and supportive work environment.

### *7.5 Organizational Effectiveness Results*

#### **Purpose**

This Item examines your organization's other key operational performance results, with the aim of achieving organizational effectiveness and key organizational goals.

## **Performance**

Performance refers to output results obtained from processes and services that permit evaluation and comparison relative to goals, standards, past results, and other organizations.

The Criteria booklet addresses two types of performance: (1) operational; and (2) student and stakeholder-related.

Operational and faculty/staff performance refers to performance relative to effectiveness and efficiency measures and indicators. Examples include cycle time, productivity, and regulatory compliance. Operational performance might be measured at the work unit level, key process level, and organization level.

Student- and stakeholder-related performance refers to performance relative to measures and indicators of student and stakeholder perceptions, reactions, and behaviors. Examples include student retention, complaints, and survey results. Student- and stakeholder-related performance generally relates to the organization as a whole.

## **Measures and Indicators**

Measures and indicators refer to numerical information that quantifies input, output, and performance dimensions of processes, products, services, and the overall organization (outcomes). Measures and indicators might be simple (derived from one measurement) or composite.

The Criteria do not make a distinction between measures and indicators. However, some users of these terms prefer the term indicator: (1) when the measurement relates to performance, but is not a direct measure of such performance (e.g., the number of complaints is an indicator of dissatisfaction, but not a direct measure of it); and (2) when the measurement is a predictor (“leading indicator”) of some more significant performance (e.g., a gain in student satisfaction might be a leading indicator of student retention).

## **Results**

Results refer to outcomes achieved by an organization in addressing the purposes of a Baldrige Criteria Item. Results are evaluated on the basis of current performance; performance relative to appropriate comparisons; rate, breadth, and importance of performance improvements; and relationship of results measures to key organizational performance requirements. For further description, see the Scoring System on page 45.

## SCORING SYSTEM

The scoring of responses to Criteria Items (Items) and Award applicant feedback are based on three evaluation dimensions: (1) Approach; (2) Deployment; and (3) Results. Criteria users need to furnish information relating to these dimensions. Specific factors for these dimensions are described below. Scoring Guidelines are given on page 46.

### Approach

*Approach* refers to how you address the Item requirements — the *method(s)* used. The factors used to evaluate approaches include:

- appropriateness of the methods to the requirements
- effectiveness of use of the methods. Degree to which the approach:
  - is repeatable, integrated, and consistently applied
  - embodies evaluation/improvement/learning cycles
  - is based on reliable information and data
- alignment with your organizational needs
- evidence of innovation

### Deployment

*Deployment* refers to the *extent* to which your approach is applied to all requirements of the Item. The factors used to evaluate deployment include:

- use of the approach in addressing Item requirements relevant to your organization
- use of the approach by all appropriate work units

### Results

*Results* refers to *outcomes* in achieving the purposes given in the Item. The factors used to evaluate results include:

- your current performance
- performance relative to appropriate comparisons and/or benchmarks
- rate, breadth, and importance of your performance improvements
- linkage of your results measures to key student, stakeholder, market, process, and action plan performance requirements identified in your Organization Overview and in Approach/Deployment Items

### Item Classification and Scoring Dimensions

Items are classified according to the kinds of information and/or data you are expected to furnish relative to the three evaluation dimensions.

The two types of Items and their designations are:

1. Approach/Deployment **Approach - Deployment**
2. Results **Results**

Approach and Deployment are linked to emphasize that descriptions of Approach should always indicate the Deployment — consistent with the *specific requirements* of the Item. Although Approach and Deployment

dimensions are linked, feedback to Award applicants reflects strengths and/or opportunities for improvement in either or both dimensions.

Results Items call for data showing performance levels and trends on key measures and/or indicators of organizational performance. Results Items also call for data on breadth of performance improvements — how widespread your improvement results are. This is directly related to the Deployment dimension. That is, if improvement processes are widely deployed, there should be corresponding results. A score for a Results Item is thus a composite based upon overall performance, taking into account the breadth of improvements and their importance. (See next paragraph.)

### “Importance” as a Scoring Factor

The three evaluation dimensions described previously are critical to evaluation and feedback. However, evaluation and feedback also must consider the importance of your reported Approach, Deployment, and Results to your key success factors. The areas of greatest importance should be identified in your Organization Overview and in Items such as 2.1, 2.2, 3.1, 6.1, 7.1, and 7.5. Your key organizational requirements and key strategic objectives and action plans are particularly important.

### Assignment of Scores to Your Responses

The following guidelines should be observed in assigning scores to your Item responses:

- All Areas to Address should be included in your Item response. Also, responses should reflect what is important to your organization;
- In assigning a score to an Item, first decide which scoring range (e.g., 50% to 60%) best fits the overall Item response. Overall “best fit” does not require total agreement with each of the statements for that scoring range. Actual score *within* the range depends upon judgment of the closeness of the Item response in relation to the statements in the next higher and next lower scoring ranges;
- An Approach/Deployment Item score of 50% represents an approach that meets the overall objectives of the Item and that is deployed to the principal activities and work units covered in the Item. Higher scores reflect maturity (cycles of improvement), integration, and broader deployment; and
- A Results Item score of 50% represents a clear indication of improvement trends and/or good levels of performance in the principal results areas covered in the Item. Higher scores reflect better improvement rates and/or levels of performance, and better comparative performance as well as broader coverage and integration with organizational requirements.

## SCORING GUIDELINES

SCORE	APPROACH/DEPLOYMENT
0%	<ul style="list-style-type: none"> <li>no systematic approach evident; anecdotal information</li> </ul>
10% to 20%	<ul style="list-style-type: none"> <li>beginning of a systematic approach to the basic purposes of the Item</li> <li>major gaps exist in deployment that would inhibit progress in achieving the basic purposes of the Item</li> <li>early stages of a transition from reacting to problems to a general improvement orientation</li> </ul>
30% to 40%	<ul style="list-style-type: none"> <li>an effective, systematic approach, responsive to the basic purposes of the Item</li> <li>approach is deployed, although some areas or work units are in early stages of deployment</li> <li>beginning of a systematic approach to evaluation and improvement of basic Item processes</li> </ul>
50% to 60%	<ul style="list-style-type: none"> <li>an effective, systematic approach, responsive to the overall purposes of the Item</li> <li>approach is well-deployed, although deployment may vary in some areas or work units</li> <li>a fact-based, systematic evaluation and improvement process is in place for basic Item processes</li> <li>approach is aligned with basic organizational needs identified in the other Criteria Categories</li> </ul>
70% to 80%	<ul style="list-style-type: none"> <li>an effective, systematic approach, responsive to the multiple requirements of the Item</li> <li>approach is well-deployed, with no significant gaps</li> <li>a fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing</li> <li>approach is well-integrated with organizational needs identified in the other Criteria Categories</li> </ul>
90% to 100%	<ul style="list-style-type: none"> <li>an effective, systematic approach, fully responsive to all the requirements of the Item</li> <li>approach is fully deployed without significant weaknesses or gaps in any areas or work units</li> <li>a very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing</li> <li>approach is fully integrated with organizational needs identified in the other Criteria Categories</li> </ul>

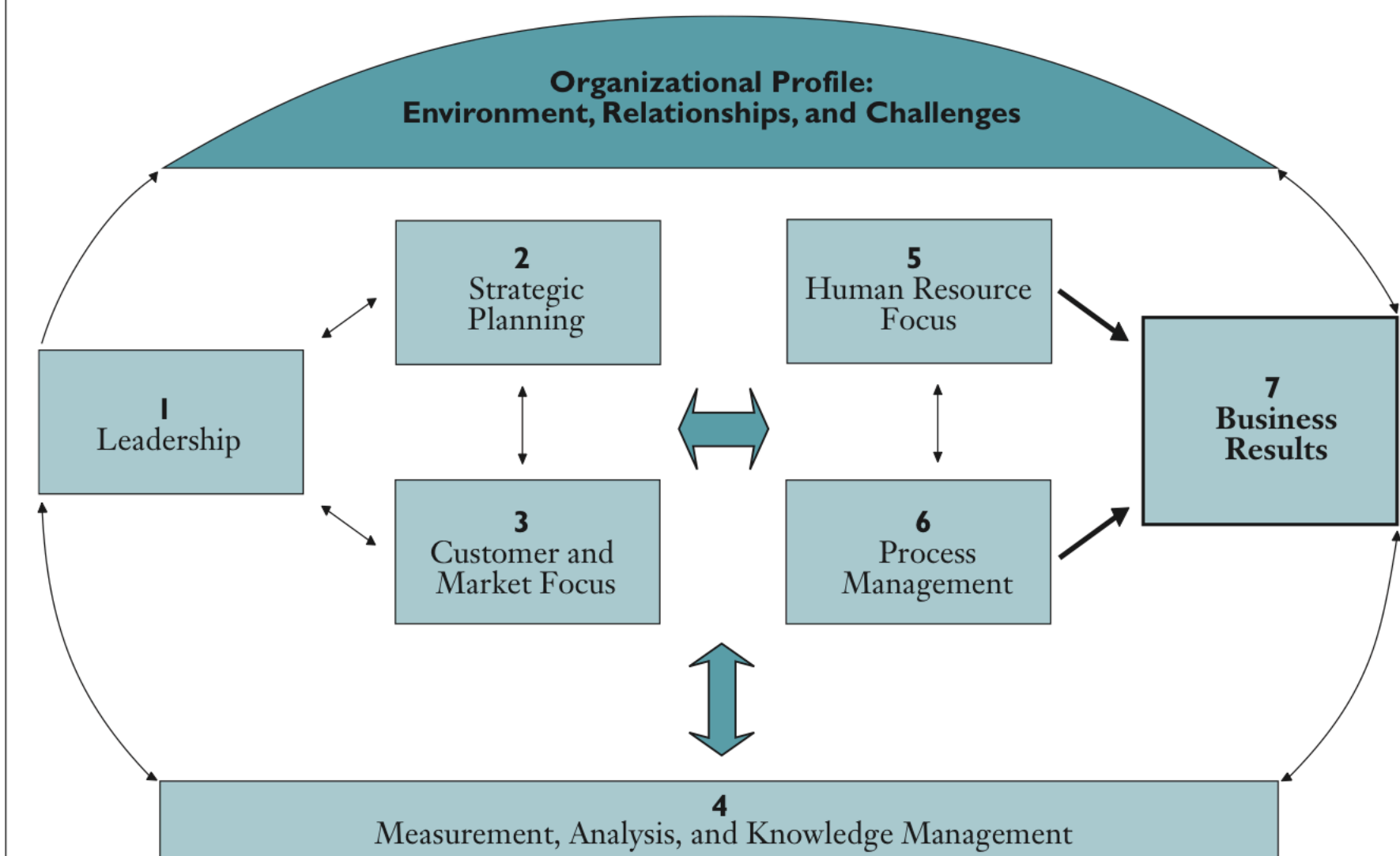
SCORE	RESULTS
0%	<ul style="list-style-type: none"> <li>no results or poor results in areas reported</li> </ul>
10% to 20%	<ul style="list-style-type: none"> <li>some improvements <i>and/or</i> early good performance levels in a few areas</li> <li>results not reported for many to most areas of importance to key organizational requirements</li> </ul>
30% to 40%	<ul style="list-style-type: none"> <li>improvements <i>and/or</i> good performance levels in many areas of importance to key organizational requirements</li> <li>early stages of developing trends and obtaining comparative information</li> <li>results reported for many to most areas of importance to key organizational requirements</li> </ul>
50% to 60%	<ul style="list-style-type: none"> <li>improvement trends <i>and/or</i> good performance levels reported for most areas of importance to key organizational requirements</li> <li>no pattern of adverse trends and no poor performance levels in areas of importance to key organizational requirements</li> <li>some trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of strength <i>and/or</i> good to very good relative performance levels</li> <li>organizational performance results address most key student/stakeholder, market, and process requirements</li> </ul>
70% to 80%	<ul style="list-style-type: none"> <li>current performance is good to excellent in areas of importance to key organizational requirements</li> <li>most improvement trends <i>and/or</i> current performance levels are sustained</li> <li>many to most trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of leadership and very good relative performance levels</li> <li>organizational performance results address most key student/stakeholder, market, process, and action plan requirements</li> </ul>
90% to 100%	<ul style="list-style-type: none"> <li>current performance is excellent in most areas of importance to key organizational requirements</li> <li>excellent improvement trends <i>and/or</i> sustained excellent performance levels in most areas</li> <li>evidence of education sector and benchmark leadership demonstrated in many areas</li> <li>organizational performance results fully address key student/stakeholder, market, process, and action plan requirements</li> </ul>

For a definition of the following **key term**, see page 31: systematic.

# Criteria for Performance Excellence



Baldrige Criteria for Performance Excellence Framework: A Systems Perspective



## Item Format

Item number      Item title      Item point value      Types of information users are expected to provide in response to this Item

**I.1 Senior Leadership (70 pts.)**      **Process**

Basic Item requirements expressed in Item title

Overall Item requirements expressed as specific topics users need to address

Areas to Address

Notes have the following purposes:

- clarify key terms and requirements
- give instructions
- indicate/clarify important linkages

Location of Item description

Multiple requirements expressed as individual Criteria questions

Describe HOW SENIOR LEADERS guide and sustain your organization. Describe HOW SENIOR LEADERS communicate with employees and encourage high PERFORMANCE.

Within your response, include answers to the following questions:

**a. VISION and VALUES**

- (1) 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 all employees, to KEY SUPPLIERS and PARTNERS, and to CUSTOMERS, as appropriate? HOW do their personal actions reflect a commitment to the organization's VALUES?
- (2) HOW do SENIOR LEADERS promote an environment that fosters and requires legal and ETHICAL BEHAVIOR?
- (3) HOW do SENIOR LEADERS create a SUSTAINABLE organization? HOW do SENIOR LEADERS create an environment for performance improvement, accomplishment of STRATEGIC OBJECTIVES, INNOVATION, and organizational agility? HOW do they create an environment for organizational and employee LEARNING? HOW do they personally participate in succession planning and the development of future organizational leaders?

**b. Communication and Organizational PERFORMANCE**

- (1) HOW do SENIOR LEADERS communicate with, empower, and motivate all employees throughout the organization? HOW do SENIOR LEADERS encourage frank, two-way communication throughout the organization? HOW do SENIOR LEADERS take an active role in employee reward and recognition to reinforce high PERFORMANCE and a CUSTOMER and business focus?
- (2) HOW do SENIOR LEADERS create a focus on action to accomplish the organization's objectives, improve PERFORMANCE, and attain your VISION? HOW do SENIOR LEADERS include a focus on creating and balancing VALUE for CUSTOMERS and other STAKEHOLDERS in their organizational PERFORMANCE expectations?

**Notes:**

N1. Organizational vision (1.1a[1]) should set the context for strategic objectives and action plans, which are described in Items 2.1 and 2.2.

N2. A sustainable organization (1.1a[3]) is capable of addressing current business needs and possesses the agility and strategic management to prepare successfully for its future business and market environment. In this context, the concept of innovation includes both technological and organizational innovation to succeed in the future.

N3. A focus on action (1.1b[2]) considers both the people and the hard assets of the organization. It includes ongoing improvements in productivity that may be achieved through eliminating waste or reducing cycle time, and it might use techniques such as Six Sigma and Lean Production. It also includes the actions to accomplish the organization's strategic objectives.

N4. Your organizational performance results should be reported in Items 7.1-7.6.

Item responses are assessed by considering the Criteria Item requirements; your key business factors presented in your Organizational Profile; and the maturity of your approaches, breadth of deployment, and strength of your improvement process and results relative to the Scoring System. Refer to the Scoring System information on pages 47-50.

For additional description of this Item, see page 34.

## Basic Requirements

The term “basic requirements” refers to the topic Criteria users need to address when responding to the most central concept of an Item. Basic requirements are the fundamental theme of that Item (e.g., an approach for strategy development for Item 2.1). In the Criteria, the basic requirements of each Item are presented as the Item title. This presentation is illustrated in the Item format shown on page 51.

## Overall Requirements

The term “overall requirements” refers to the topics Criteria users need to address when responding to the central theme of an Item. Overall requirements address the most significant features of the Item requirements. In the Criteria, the overall requirements of each Item are presented in one or more introductory sentences printed in bold. This presentation is illustrated in the Item format shown on page 51.

## Multiple Requirements

The term “multiple requirements” refers to the individual questions Criteria users need to answer within each Area to Address. These questions constitute the details of an Item’s requirements. They are presented in black text under each Item’s Area(s) to Address. This presentation is illustrated in the Item format shown on page 51.

## Performance

The term “performance” refers to output results and their outcomes obtained from processes, products, and services that permit evaluation and comparison relative to goals, standards, past results, and other organizations. Performance might be expressed in nonfinancial and financial terms.

The Baldrige Criteria address four types of performance: (1) product and service, (2) customer-focused, (3) financial and marketplace, and (4) operational.

“Product and service performance” refers to performance relative to measures and indicators of product and service characteristics important to customers. Examples include product reliability, on-time delivery, customer-experienced defect levels, and service response time.

“Customer-focused performance” refers to performance relative to measures and indicators of customers’ perceptions, reactions, and behaviors. Examples include customer retention, complaints, and customer survey results.

“Financial and marketplace performance” refers to performance relative to measures of cost, revenue, and market position, including asset utilization, asset growth, and market share. Examples include returns on investments, value added per employee, debt-to-equity ratio, returns on assets, operating margins, cash-to-cash cycle time, other profitability and liquidity measures, and market gains.

“Operational performance” refers to human resource, leadership, organizational, and ethical performance relative to effectiveness, efficiency, and accountability measures and indicators. Examples include cycle time, productivity, waste reduction, employee turnover, employee cross-training rates, regulatory compliance, fiscal accountability, and community involvement. Operational performance might be measured at the work unit level, key process level, and organizational level.

## Results

The term “results” refers to outputs and outcomes achieved by an organization in addressing the requirements of a Baldrige Criteria Item. Results are evaluated on the basis of current performance; performance relative to appropriate comparisons; the rate, breadth, and importance of performance improvements; and the relationship of results measures to key organizational performance requirements. For further description, see the Scoring System on pages 47–50.

## Measures and Indicators

The term “measures and indicators” refers to numerical information that quantifies input, output, and performance dimensions of processes, products, services, and the overall organization (outcomes). Measures and indicators might be simple (derived from one measurement) or composite.

The Criteria do not make a distinction between measures and indicators. However, some users of these terms prefer the term indicator (1) when the measurement relates to performance but is not a direct measure of such performance (e.g., the number of complaints is an indicator of dissatisfaction but not a direct measure of it) and (2) when the measurement is a predictor (“leading indicator”) of some more significant performance (e.g., increased customer satisfaction might be a leading indicator of market share gain).

The *Business Results* Category examines your organization’s PERFORMANCE and improvement in KEY business areas— product and service outcomes, CUSTOMER satisfaction, financial and marketplace PERFORMANCE, human resource RESULTS, operational PERFORMANCE, and leadership and social responsibility. PERFORMANCE LEVELS are examined relative to those of competitors.

**7.1 Product and Service Outcomes (100 pts.)** **Results**

**Summarize your organization’s KEY product and service PERFORMANCE RESULTS. SEGMENT YOUR RESULTS by product and service types and groups, CUSTOMER groups, and market SEGMENTS, as appropriate. Include appropriate comparative data.**

Provide data and information to answer the following questions:

**a. Product and Service RESULTS**

What are your current LEVELS and TRENDS in KEY MEASURES OF INDICATORS of product and service PERFORMANCE that are important to your CUSTOMERS? How do these RESULTS compare with your competitors’ PERFORMANCE?

**Note:**

Product and service results reported in this Item should relate to the key product and service features identified as customer requirements or expectations in P.1b(2) based on information gathered in Items 3.1

and 3.2. The measures or indicators should address factors that affect customer preference, such as those included in P.1, Note 3 and Item 3.1, Note 3.

For additional description of this Item, see pages 44–45.

**7.2 Customer-Focused Results (70 pts.)** **Results**

**Summarize your organization’s KEY CUSTOMER-focused RESULTS, including CUSTOMER satisfaction and CUSTOMER-perceived VALUE. SEGMENT YOUR RESULTS by product and service types and groups, CUSTOMER groups, and market SEGMENTS as appropriate. Include appropriate comparative data.**

Provide data and information to answer the following questions:

**a. CUSTOMER-Focused RESULTS**

(1) What are your current LEVELS and TRENDS in KEY MEASURES OF INDICATORS of CUSTOMER satisfaction and dissatisfaction? How do these compare with competitors’ LEVELS of CUSTOMER satisfaction?

(2) What are your current LEVELS and TRENDS in KEY MEASURES OF INDICATORS of CUSTOMER-perceived VALUE, including CUSTOMER loyalty and retention, positive referral, and other aspects of building relationships with CUSTOMERS, as appropriate?

**Notes:**

**N1.** Customer satisfaction and dissatisfaction results reported in this Item should relate to the customer groups and market segments discussed in P.1b(2) and Item 3.1 and to the determination methods and data described in Item 3.2.

**N2.** Measures and indicators of customers’ satisfaction with your products and services relative to customers’ satisfaction with competitors might include objective information and data from your customers and from independent organizations.

For additional description of this Item, see page 45.

**Summarize your organization’s KEY financial and marketplace PERFORMANCE RESULTS by CUSTOMER or market SEGMENTS, as appropriate. Include appropriate comparative data.**

Provide data and information to answer the following questions:

**a. Financial and Market RESULTS**

(1) What are your current LEVELS and TRENDS in KEY MEASURES OF INDICATORS of financial PERFORMANCE, including aggregate MEASURES of financial return and economic VALUE, as appropriate?

(2) What are your current LEVELS and TRENDS in KEY MEASURES OF INDICATORS of marketplace PERFORMANCE, including market share or position, business growth, and new markets entered, as appropriate?

**Note:**

Responses to 7.3a(1) might include aggregate measures such as return on investment (ROI), asset utilization, operating margins, profitability, profitability by market or customer segment, liquidity, debt-to-equity

ratio, value added per employee, and financial activity measures. Measures should relate to the financial management approaches described in Item 6.2.

For additional description of this Item, see page 45.

**7.4 Human Resource Results (70 pts.)** **Results**

**Summarize your organization’s KEY human resource RESULTS, including WORK SYSTEM PERFORMANCE and employee LEARNING, development, well-being, and satisfaction. SEGMENT YOUR RESULTS to address the DIVERSITY of your workforce and the different types and categories of employees, as appropriate. Include appropriate comparative data.**

Provide data and information to answer the following questions:

**a. Human Resource RESULTS**

(1) What are your current LEVELS and TRENDS in KEY MEASURES OF INDICATORS of WORK SYSTEM PERFORMANCE and effectiveness?

(2) What are your current LEVELS and TRENDS in KEY MEASURES of employee LEARNING and development?

(3) What are your current LEVELS and TRENDS in KEY MEASURES OF INDICATORS of employee well-being, satisfaction, and dissatisfaction?

**Notes:**

**N1.** Results reported in this Item should relate to activities described in Category 5. Your results should be responsive to key process needs described in Category 6 and to your organization’s action plans and human resource plans described in Item 2.2.

**N2.** Appropriate measures and indicators of work system performance and effectiveness (7.4a[1]) might include job and job classification simplification, job rotation, work layout improvement, employee retention

and internal promotion rates, and changing supervisory ratios.

**N3.** Appropriate measures and indicators of employee learning and development (7.4a[2]) might include innovation and suggestion rates, courses completed, learning, on-the-job performance improvements, and cross-training rates.

**N4.** For appropriate measures of employee well-being and satisfaction (7.4a[3]), see Item 5.3 Notes.

For additional description of this Item, see pages 45–46.

## 7.5 Organizational Effectiveness Results (70 pts.)

### Results

Summarize your organization's KEY OPERATIONAL PERFORMANCE RESULTS that contribute to the improvement of organizational effectiveness. SEGMENT YOUR RESULTS by product and service types and groups and by market SEGMENTS, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

#### a. Organizational Effectiveness RESULTS

- (1) What are your current LEVELS and TRENDS in KEY MEASURES OR INDICATORS of the operational PERFORMANCE of YOUR KEY VALUE CREATION PROCESSES? Include PRODUCTIVITY, CYCLE TIME, supplier and partner PERFORMANCE, and other appropriate MEASURES of effectiveness and efficiency.
- (2) What are your current LEVELS and TRENDS in KEY MEASURES OR INDICATORS of the operational PERFORMANCE of your other KEY PROCESSES? Include PRODUCTIVITY, CYCLE TIME, supplier and partner PERFORMANCE, and other appropriate MEASURES of effectiveness and efficiency.

### Notes:

**N1.** Results reported in Item 7.5 should address your key operational requirements as presented in the Organizational Profile and in Items 6.1 and 6.2. Include results not reported in Items 7.1–7.4.

**N2.** Results reported in Item 7.5 should provide key information for analysis and review of your

For additional description of this Item, see page 46.

organizational performance (Item 4.1) and should provide the operational basis for product and service outcomes (Item 7.1), customer-focused results (Item 7.2), and financial and market results (Item 7.3).

## 7.6 Leadership and Social Responsibility Results (70 pts.)

### Results

Summarize your organization's KEY GOVERNANCE, SENIOR LEADERSHIP, and social responsibility RESULTS, including evidence of ETHICAL BEHAVIOR, fiscal accountability, legal compliance, and organizational citizenship. SEGMENT YOUR RESULTS by business units, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

#### a. Leadership and Social Responsibility RESULTS

- (1) What are your RESULTS for KEY MEASURES OR INDICATORS of accomplishment of your organizational strategy and ACTION PLANS?
- (2) What are your RESULTS for KEY MEASURES OR INDICATORS of ETHICAL BEHAVIOR and of STAKEHOLDER trust in the SENIOR LEADERS and GOVERNANCE of your organization? What are your RESULTS for KEY MEASURES OR INDICATORS of breaches of ETHICAL BEHAVIOR?
- (3) What are your KEY current findings and TRENDS in KEY MEASURES OR INDICATORS of fiscal accountability, both internal and external, as appropriate?
- (4) What are your RESULTS for KEY MEASURES OR INDICATORS of regulatory and legal compliance?
- (5) What are your RESULTS for KEY MEASURES OR INDICATORS of organizational citizenship in support of your KEY communities?

### Notes:

**N1.** For examples of measures of ethical behavior and stakeholder trust (7.6a[2]), see Item 1.2, Note 4.

**N2.** Responses to 7.6a(3) might include financial statement issues and risks, important internal and external auditor recommendations, and management's responses to these matters.

**N3.** Regulatory and legal compliance results (7.6a[4]) should address requirements described in 1.2b.

For additional description of this Item, see page 46.

Employee-related occupational health and safety results (e.g., OSHA-reportable incidents) should be reported in 7.4a(3).

**N4.** Organizational citizenship results (7.6a[5]) should address support of the key communities discussed in 1.2c.

## *7.1 Product and Service Outcomes*

### **Purpose**

This Item examines your organization's key product and service outcomes, with the aim of delivering product and service quality that leads to customer satisfaction, loyalty, and positive referral.

## *7.2 Customer-Focused Results*

### **Purpose**

This Item examines your organization's customer-focused performance results, with the aim of demonstrating how well your organization has been satisfying your customers and has developed loyalty, repeat business, and positive referral.

## *7.3 Financial and Market Results*

### **Purpose**

This Item examines your organization's key financial and market results, with the aim of understanding your financial sustainability and your marketplace challenges and opportunities.

## *7.4 Human Resource Results*

### **Purpose**

This Item examines your organization's human resource results, with the aim of demonstrating how well your organization has been creating and maintaining a productive, learning, and caring work environment for all employees.

## *7.5 Organizational Effectiveness Results*

### **Purpose**

This Item examines your organization's other key operational performance results not reported in Items 7.1–7.4, with the aim of achieving organizational effectiveness and process efficiency.

## *7.6 Leadership and Social Responsibility Results*

### **Purpose**

This Item examines your organization's key results in the areas of leadership and societal responsibilities, with the aim of maintaining a fiscally sound, ethical organization that is a good citizen in its communities.

## SCORING SYSTEM

The scoring of responses to Criteria Items (Items) and Award applicant feedback are based on two evaluation dimensions: (1) Process and (2) Results. Criteria users need to furnish information relating to these dimensions. Specific factors for these dimensions are described below. Scoring Guidelines are given on pages 48–49.

### Process

“Process” refers to the methods your organization uses and improves to address the Item requirements in Categories 1–6. The four factors used to evaluate process are Approach, Deployment, Learning, and Integration (A–D–L–I).

“Approach” refers to

- the methods used to accomplish the process
- the appropriateness of the methods to the Item requirements
- the effectiveness of your use of the methods
- the degree to which the approach is repeatable and based on reliable data and information (i.e., systematic)

“Deployment” refers to the *extent* to which

- your approach is applied in addressing Item requirements relevant and important to your organization
- your approach is applied consistently
- your approach is used by all appropriate work units

“Learning” refers to

- refining your approach through cycles of evaluation and improvement
- encouraging breakthrough change to your approach through innovation
- sharing of refinements and innovation with other relevant work units and processes in your organization

“Integration” refers to the *extent* to which

- your approach is aligned with your organizational needs identified in other Criteria Item requirements
- your measures, information, and improvement systems are complementary across processes and work units
- your plans, processes, results, analyses, learning, and actions are harmonized across processes and work units to support organization-wide goals

### Results

“Results” refers to your organization’s *outputs and outcomes* in achieving the requirements in Items 7.1–7.6. The four factors used to evaluate results are

- your current level of performance
- rate (i.e., slope of trend data) and breadth (i.e., how

widely deployed and shared) of your performance improvements

- your performance relative to appropriate comparisons and/or benchmarks
- linkage of your results measures (often through segmentation) to important customer, product and service, market, process, and action plan performance requirements identified in your Organizational Profile and in Process Items

### Item Classification and Scoring Dimensions

Items are classified according to the kinds of information and data you are expected to furnish relative to the two evaluation dimensions given above.

The two types of Items are designated as

1. Process
2. Results

**Process**

**Results**

In Process Items, approach–deployment–learning–integration are linked to emphasize that descriptions of approach should always indicate the deployment—consistent with the *specific requirements* of the Item. As processes mature, their description also should indicate how cycles of learning, as well as integration with other processes and work units, occur. Although the approach–deployment–learning–integration factors are linked, feedback to Award applicants reflects strengths and opportunities for improvement in any or all of these factors.

Results Items call for data showing performance levels, improvement rates, and relevant comparative data for key measures and indicators of organizational performance. Results Items also call for data on breadth of performance improvements. This is directly related to deployment and organizational learning; if improvement processes are widely shared and deployed, there should be corresponding results. A score for a Results Item is thus a composite based upon overall performance, taking into account the rate and breadth of improvements and their importance to the Item requirements and your business. (See next paragraph.)

### “Importance” as a Scoring Consideration

The two evaluation dimensions described previously are critical to evaluation and feedback. However, another critical consideration in evaluation and feedback is the *importance* of your reported process and results to your key business factors. The areas of greatest importance should be identified in your Organizational Profile and in Items such as 2.1, 2.2, 3.1, 5.1, and 6.1. Your key customer requirements, competitive environment, key strategic objectives, and action plans are particularly important.

# SCORING GUIDELINES

## For Use With Category 7

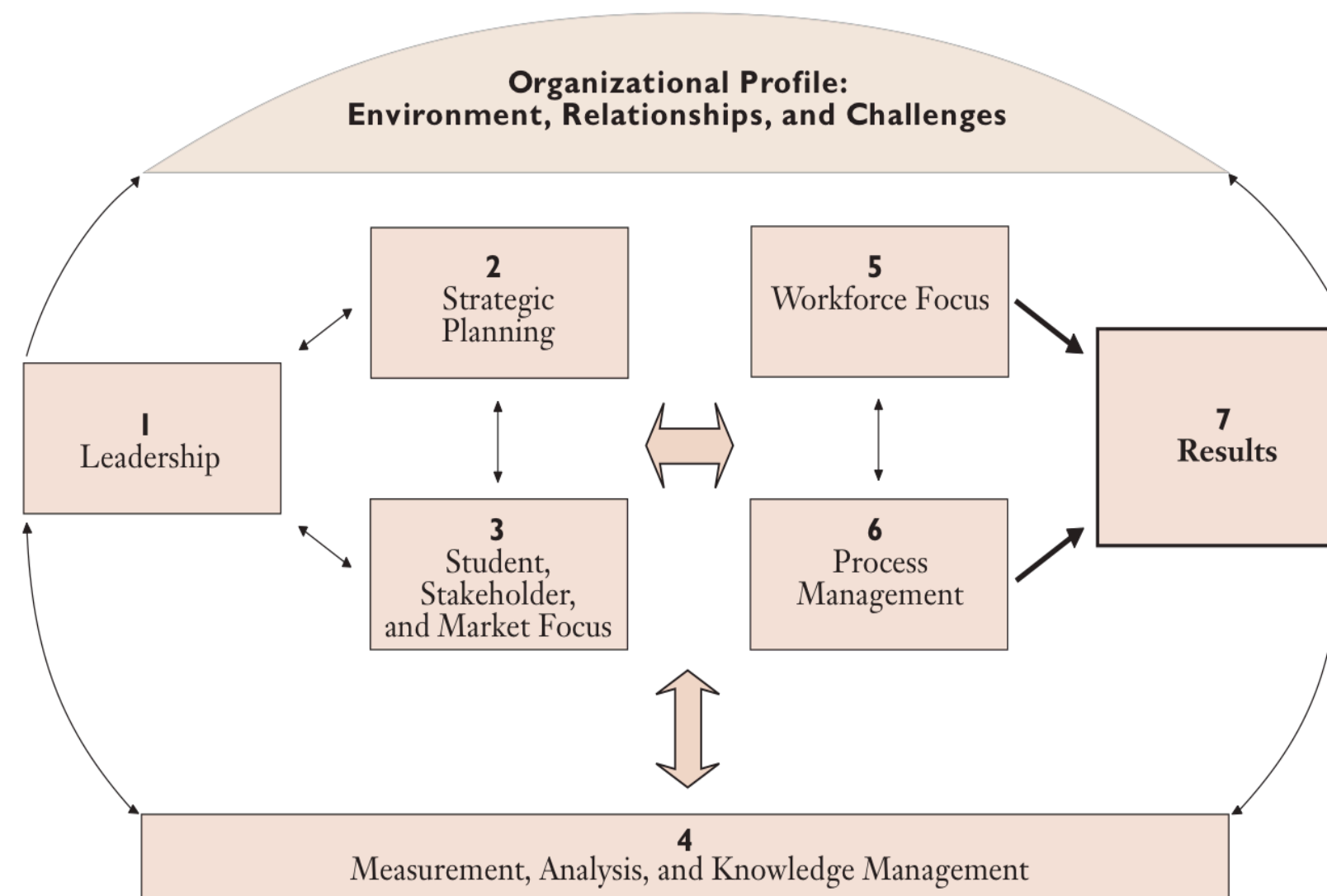
SCORE	RESULTS
0% or 5%	<ul style="list-style-type: none"> <li>■ There are no business RESULTS or poor RESULTS in areas reported.</li> <li>■ TREND data are either not reported or show mainly adverse TRENDS.</li> <li>■ Comparative information is not reported.</li> <li>■ RESULTS are not reported for any areas of importance to your organization's KEY business requirements.</li> </ul>
10%, 15%, 20%, or 25%	<ul style="list-style-type: none"> <li>■ A few business RESULTS are reported; there are some improvements and/or early good PERFORMANCE LEVELS in a few areas.</li> <li>■ Little or no TREND data are reported.</li> <li>■ Little or no comparative information is reported.</li> <li>■ RESULTS are reported for a few areas of importance to your organization's KEY business requirements.</li> </ul>
30%, 35%, 40%, or 45%	<ul style="list-style-type: none"> <li>■ Improvements and/or good PERFORMANCE LEVELS are reported in many areas addressed in the Item requirements.</li> <li>■ Early stages of developing TRENDS are evident.</li> <li>■ Early stages of obtaining comparative information are evident.</li> <li>■ RESULTS are reported for many areas of importance to your organization's KEY business requirements.</li> </ul>
50%, 55%, 60%, or 65%	<ul style="list-style-type: none"> <li>■ Improvement TRENDS and/or good PERFORMANCE LEVELS are reported for most areas addressed in the Item requirements.</li> <li>■ No pattern of adverse TRENDS and no poor PERFORMANCE LEVELS are evident in areas of importance to your organization's KEY business requirements.</li> <li>■ Some TRENDS and/or current PERFORMANCE LEVELS—evaluated against relevant comparisons and/or BENCHMARKS—show areas of good to very good relative PERFORMANCE.</li> <li>■ Business RESULTS address most KEY CUSTOMER, market, and PROCESS requirements.</li> </ul>
70%, 75%, 80%, or 85%	<ul style="list-style-type: none"> <li>■ Current PERFORMANCE is good to excellent in most areas of importance to the Item requirements.</li> <li>■ Most improvement TRENDS and/or current PERFORMANCE LEVELS are sustained.</li> <li>■ Many to most reported TRENDS and/or current PERFORMANCE LEVELS—evaluated against relevant comparisons and/or BENCHMARKS—show areas of leadership and very good relative PERFORMANCE.</li> <li>■ Business RESULTS address most KEY CUSTOMER, market, PROCESS, and ACTION PLAN requirements.</li> </ul>
90%, 95%, or 100%	<ul style="list-style-type: none"> <li>■ Current PERFORMANCE is excellent in most areas of importance to the Item requirements.</li> <li>■ Excellent improvement TRENDS and/or sustained excellent PERFORMANCE LEVELS are reported in most areas.</li> <li>■ Evidence of industry and BENCHMARK leadership is demonstrated in many areas.</li> <li>■ Business RESULTS fully address KEY CUSTOMER, market, PROCESS, and ACTION PLAN requirements.</li> </ul>

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## Scoring System and Guidelines

Four separate, but related, factors are now used for the evaluation of results: Levels (Le), Trends (T), Comparisons (C), and Integration (I), or LeTCI. Each dimension is explained in the Scoring System description (page 65), and maturity in each dimension is described in the Scoring Guidelines (page 67) at successive scoring ranges.

- Integration is a scoring factor for both Process Items and Results Items, reflecting the fact that integration should occur among an organization's processes, their related results, and subsequent process improvements.
- The acronym for scoring results, LeTCI ("Let's see"), represents what is needed to "see" how well your organization is performing.

## Basic Requirements

The term "basic requirements" refers to the topic Criteria users need to address when responding to the most central concept of an Item. Basic requirements are the fundamental theme of that Item (e.g., your approach for strategy development in Item 2.1). In the Criteria, the basic requirements of each Item are presented as the Item title question. This presentation is illustrated in the Item format shown on page 28.

## Overall Requirements

The term "overall requirements" refers to the topics Criteria users need to address when responding to the central theme of an Item. Overall requirements address the most significant features of the Item requirements. In the Criteria, the overall requirements of each Item are presented in one or more introductory sentences printed in bold. This presentation is illustrated in the Item format shown on page 28.

## Multiple Requirements

The term "multiple requirements" refers to the individual questions Criteria users need to answer within each Area to Address. These questions constitute the details of an Item's requirements. They are presented in black text under each Item's Area(s) to Address. This presentation is illustrated in the Item format shown on page 28.

## Performance

The term “performance” refers to outputs and their outcomes obtained from processes, programs, and services that permit evaluation and comparison relative to goals, standards, past results, and other organizations. Performance can be expressed in nonfinancial and financial terms.

The Baldrige Education Criteria address four types of performance: (1) program and service; (2) student- and stakeholder-focused; (3) budgetary, financial, and market; and (4) operational.

“Program and service performance” refers to performance relative to measures and indicators of program and service characteristics important to students and stakeholders. Examples include the effectiveness of curriculum and instruction, assessment of student learning, participation in professional development opportunities, and student placement following program completion.

“Student- and stakeholder-focused performance” refers to performance relative to measures and indicators of student and stakeholder perceptions, reactions, and behaviors. Examples include admissions, retention, complaints, and survey results. Student- and stakeholder-focused performance generally relates to the organization as a whole.

“Budgetary, financial, and market performance” refers to performance relative to measures of cost containment, budget utilization, and market share. Examples include instructional and general administration expenditures per student as a percentage of budget; income, expenses, reserves, endowments, and annual grants/awards; program expenditures as a percentage of budget; annual budget increases or decreases; resources redirected to education from other areas; scholarship growth; the percentage of budget for research; and the budget for public service.

“Operational performance” refers to workforce, leadership, organizational, and ethical performance relative to effectiveness, efficiency, and accountability measures and indicators. Examples include cycle time, productivity, accreditation, workforce turnover, workforce cross-training rates, regulatory compliance, fiscal accountability, and community involvement. Operational performance might be measured at the organizational/senior leader level; the key work process level; and the program, school, class, or individual level.

## Measures and Indicators

The term “measures and indicators” refers to numerical information that quantifies input, output, and performance dimensions of processes, programs, offerings, services, and the overall organization (outcomes). Measures and indicators might be simple (derived from one measurement) or composite.

The Criteria do not make a distinction between measures and indicators. However, some users of these terms prefer “indicator” (1) when the measurement relates to performance but is not a direct measure of such performance (e.g., the number of complaints is an indicator of dissatisfaction but not a direct measure of it) and (2) when the measurement is a predictor (“leading indicator”) of some more significant performance (e.g., a gain in student performance or satisfaction might be a leading indicator of student persistence).

## Results

The term “results” refers to outputs and outcomes achieved by an organization in addressing the requirements of a Baldrige Criteria Item. Results are evaluated on the basis of current performance; performance relative to appropriate comparisons; the rate, breadth, and importance of performance improvements; and the relationship of results measures to key organizational performance requirements. For further description, see the Scoring System on pages 65–69.

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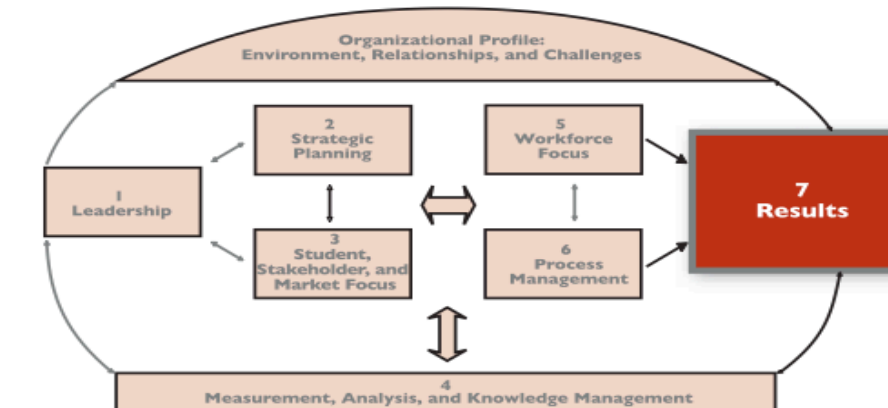


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## 7 Results (450 pts.)

The **RESULTS** Category examines your organization's PERFORMANCE and improvement in all KEY areas—student LEARNING outcomes; student- and STAKEHOLDER-focused outcomes; budgetary, financial, and market outcomes; WORKFORCE-focused outcomes; PROCESS EFFECTIVENESS outcomes; and leadership outcomes. PERFORMANCE LEVELS are examined relative to those of competitors and other organizations providing similar programs and services.



### 7.1 Student Learning Outcomes: What are your student learning results? (100 pts.)

Results

Summarize your organization's KEY student LEARNING RESULTS. SEGMENT your RESULTS by student and market SEGMENTS, as appropriate. Include appropriate comparative data relative to competitors and to comparable organizations and student populations.

Provide data and information to answer the following questions:

a. **Student LEARNING RESULTS**

What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of student LEARNING and improvement in student LEARNING? How do these RESULTS compare with the PERFORMANCE of your competitors and comparable organizations and of other appropriate student and market SEGMENTS?

#### Notes:

**N1.** Results reported in this Item should include results from your primary assessments of student learning. These may include test results related to local, state, and national requirements or mandates, such as the No Child Left Behind Act. In addition, student learning results should relate to the key student learning features identified as student and stakeholder requirements or expectations in P.1b(2), based on information gathered in Items 3.1 and 3.2. The measures or indicators should address factors that affect student and stakeholder preferences, such as those included in Item P.1, Note 7, and Item 3.1, Note 3.

**N2.** For many education organizations, student learning measures are mandated by federal, state, or local legislation or policy, or by the reporting requirements associated with the receipt of federal, state, or external grant funds. These measures should be identified and reported in your response to this Item.

**N3.** For some recently implemented measures and assessment methods, data might not yet be sufficient to demonstrate meaningful trends. Such data should be reported, because they provide useful information regarding the organization's current performance levels. Results may include data indicating the performance of recent graduates.

**N4.** Demonstrations of improvement in student learning should be evaluated in comparison to education organizations with similar performance levels for their entering students or comparable student populations (i.e., performance indicators for students with similar characteristics). Methods for demonstrating improvement in student learning might involve longitudinal and cohort studies or other value-added methodologies. Results covering three years or more are preferred.

For additional description of this Item, see pages 44–45.

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## 7.2 Student- and Stakeholder-Focused Outcomes: What are your student- and stakeholder-focused performance results? (70 pts.)

Results

Summarize your organization's KEY student- and STAKEHOLDER-focused RESULTS for student and STAKEHOLDER satisfaction and perceived VALUE, including student and STAKEHOLDER loyalty. SEGMENT YOUR RESULTS by student SEGMENTS, STAKEHOLDER groups, and market SEGMENTS, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

### a. Student- and STAKEHOLDER-Focused RESULTS

- (1) What are your current LEVELS and TRENDS in KEY MEASURES OR INDICATORS of students' and STAKEHOLDERS' satisfaction and dissatisfaction? How do these RESULTS compare with the student and STAKEHOLDER satisfaction LEVELS of your competitors and other organizations providing similar programs and services?
- (2) What are your current LEVELS and TRENDS in KEY MEASURES OR INDICATORS of student- and STAKEHOLDER-perceived VALUE, student PERSISTENCE, positive referral, and other aspects of building relationships with students and STAKEHOLDERS, as appropriate?

### Notes:

**N1.** Student and stakeholder satisfaction and dissatisfaction results reported in this Item should relate to the student segments, stakeholder groups, and market segments discussed in P.1b(2) and Item 3.1 and to the determination methods and data described in Item 3.2. Results data might include feedback from students and stakeholders and their overall assessment of education and operations. Examples of student and stakeholder satisfaction and dissatisfaction indicators are given in the Item 3.2 Notes.

**N2.** Measures and indicators of students' satisfaction with your programs and services relative to students'

satisfaction with competitors and comparable organizations (7.2a[1]) might include gains and losses of your students from or to other schools or alternative means of education, such as home schooling or corporate educational programs. Results also might include information and data from independent organizations and key stakeholders, such as survey results, competitive awards, recognition, and ratings. The information and data should reflect comparative satisfaction (and dissatisfaction). Information on the comparative performance of your students should be included in Item 7.1.

For additional description of this Item, see pages 45–46.

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## 7.3 Budgetary, Financial, and Market Outcomes: What are your budgetary, financial, and market performance results? (70 pts.)

Results

Summarize your organization's KEY budgetary, financial, and market PERFORMANCE RESULTS by student SEGMENTS, STAKEHOLDER groups, or market SEGMENTS, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

### a. Budgetary, Financial, and Market RESULTS

- (1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of budgetary and financial PERFORMANCE, including MEASURES of cost containment or financial viability, as appropriate?
- (2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of market PERFORMANCE, including market share or position, market and market share growth, and new markets entered, as appropriate?

### Notes:

**N1.** Responses to 7.3a(1) might include measures such as instructional and general administration expenditures per student or as a percentage of the total budget; income, expenses, reserves, and endowments; tuition and fee levels; cost per academic credit; annual grants and awards; cost avoidance or savings; performance to budget; program expenditures as a percentage of budget; annual budget increases or decreases;

resources redirected to education from other areas; scholarship growth; the percentage of budget for research; and the budget for public service. Measures should relate to the budgetary and financial measures reported in 4.1a(1) and the financial management approaches described in Item 2.2.

**N2.** New markets entered (7.3a[2]) might include offering Web-based services or distance learning.

For additional description of this Item, see page 46.

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## 7.4 Workforce-Focused Outcomes: What are your workforce-focused performance results? (70 pts.)

Results

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

### a. WORKFORCE RESULTS

- (1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of WORKFORCE ENGAGEMENT, WORKFORCE satisfaction, and the development of your WORKFORCE, including leaders?
- (2) What are your current LEVELS and TRENDS in KEY MEASURES of WORKFORCE CAPABILITY and CAPACITY, including staffing levels and appropriate skills?
- (3) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of your WORKFORCE climate, including workplace health, safety, and security and WORKFORCE services and benefits, as appropriate?

### 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 plans described in Item 2.2.

**N2.** Responses to 7.4a(1) should include measures and indicators identified in response to 5.1c(1).

**N3.** Those organizations that rely on volunteers should include results for their volunteer workforce, as appropriate.

For additional description of this Item, see page 46.

# Education Criteria for Performance Excellence

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## 7.5 Process Effectiveness Outcomes: What are your process effectiveness results? (70 pts.)

Results

Summarize your organization's KEY operational PERFORMANCE RESULTS that contribute to opportunities for enhanced student LEARNING and to the improvement of organizational EFFECTIVENESS, including your organization's readiness for emergencies. SEGMENT your RESULTS by programs, offerings, and services; by PROCESSES and locations; and by student and market SEGMENTS, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

### a. PROCESS EFFECTIVENESS RESULTS

- (1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the operational PERFORMANCE of your WORK SYSTEMS, including WORK SYSTEM and workplace preparedness for disasters or emergencies?
- (2) 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?

### Notes:

**N1.** Results reported in Item 7.5 should address your key operational requirements as presented in the Organizational Profile and in Items 6.1 and 6.2. Include results of mission-specific research and outreach processes, as appropriate. Include results not reported in Items 7.1–7.4.

**N2.** Results reported in Item 7.5 should provide key information for analysis and review of your organizational performance (Item 4.1) and should provide the operational basis for improved student learning outcomes (Item 7.1); student- and stakeholder-focused

outcomes (Item 7.2); and budgetary, financial, and market outcomes (Item 7.3).

**N3.** Appropriate measures and indicators of work system performance (7.5a[1]) might include supplier and partner performance; program, offering, service, and work system innovation rates and results; simplification of internal jobs and job classifications; changing supervisory ratios; response times for emergency drills or exercises; and results for work relocation or contingency exercises.

For additional description of this Item, see page 47.

# Education Criteria for Performance Excellence

leadership ethics



innovation recognition



## 7.6 Leadership Outcomes: What are your leadership results? (70 pts.)

Results

Summarize your organization's KEY GOVERNANCE and SENIOR LEADERSHIP RESULTS, including evidence of strategic plan accomplishments, ETHICAL BEHAVIOR, fiscal accountability, legal compliance, social responsibility, and organizational citizenship. SEGMENT your RESULTS by work units, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

### a. Leadership and Social Responsibility RESULTS

- (1) What are your RESULTS for KEY MEASURES or INDICATORS of accomplishment of your organizational strategy and ACTION PLANS?
- (2) What are your RESULTS for KEY MEASURES or INDICATORS of ETHICAL BEHAVIOR and of STAKEHOLDER trust in the SENIOR LEADERS and GOVERNANCE of your organization? What are your RESULTS for KEY MEASURES or INDICATORS of breaches of ETHICAL BEHAVIOR?
- (3) What are your KEY current findings and TRENDS in KEY MEASURES or INDICATORS of fiscal accountability, both internal and external, as appropriate?
- (4) What are your RESULTS for KEY MEASURES or INDICATORS of regulatory, safety, accreditation, and legal compliance?
- (5) What are your RESULTS for KEY MEASURES or INDICATORS of organizational citizenship in support of your KEY communities?

### Notes:

**N1.** Measures or indicators of strategy and action plan accomplishment (7.6a[1]) 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(6) and 2.2b, respectively.

**N2.** For examples of measures of ethical behavior and stakeholder trust (7.6a[2]), see Item 1.2, Note 4.

**N3.** Responses to 7.6a(3) might include financial statement issues and risks, important internal and external auditor recommendations, and your senior leaders' response to these matters.

**N4.** Regulatory, safety, accreditation, and legal compliance results (7.6a[4]) 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 7.4a(3).

**N5.** Organizational citizenship results (7.6a[5]) should address support of the key communities discussed in 1.2c.

**7.1 *Student Learning Outcomes: What are your student learning results?***

**Purpose**

This Item examines your organization's key student learning outcomes, with the aim of demonstrating the effectiveness of educational programs and activities across all student segments.

**7.2 *Student- and Stakeholder-Focused Outcomes: What are your student- and stakeholder-focused performance results?***

**Purpose**

This Item examines your organization's student- and stakeholder-focused results, with the aim of demonstrating how well your organization has been satisfying students' and stakeholders' key needs and expectations and has developed loyalty, student persistence, and positive referrals, as appropriate.

**7.3 *Budgetary, Financial, and Market Outcomes: What are your budgetary, financial, and market performance results?***

**Purpose**

This Item examines your organization's key budgetary, financial, and market results, with the aim of understanding your management and effective use of financial resources and your market challenges and opportunities.

**7.4 *Workforce-Focused Outcomes: What are your workforce-focused performance results?***

**Purpose**

This Item examines your organization's workforce-focused performance results, with the aim of demonstrating how well your organization has been creating and maintaining a productive, learning-centered, engaging, and caring work environment for all members of your workforce.

**7.5 *Process Effectiveness Outcomes: What are your process effectiveness results?***

**Purpose**

This Item examines your organization's other key operational performance results not reported in Items 7.1–7.4, with the aim of achieving work system and work process effectiveness and efficiency.

**7.6 *Leadership Outcomes: What are your leadership results?***

**Purpose**

This Item examines your organization's key results in the areas of leadership and governance, strategic plan accomplishment, and societal responsibilities, with the aim of maintaining a fiscally sound, ethical organization that is a good citizen in its communities.

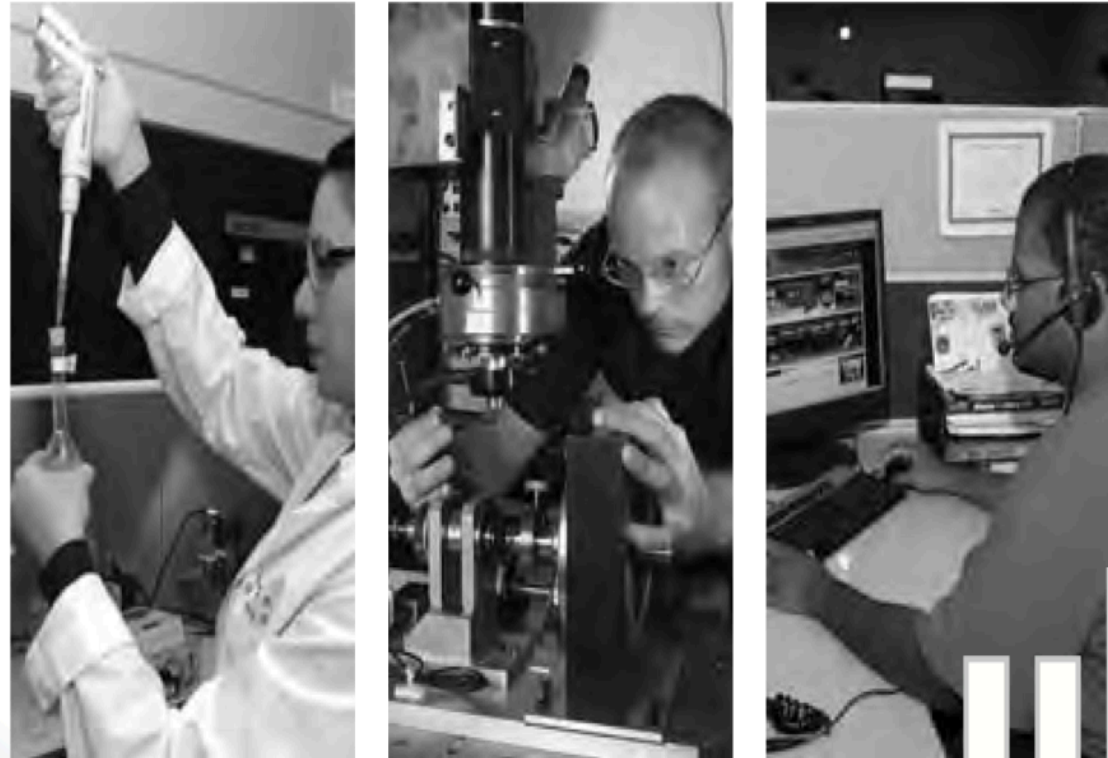
# SCORING GUIDELINES

## For Use With Category 7

SCORE	PROCESS
<b>0% or 5%</b>	<ul style="list-style-type: none"><li>■ There are no organizational PERFORMANCE RESULTS and/or poor RESULTS in areas reported. (Le)</li><li>■ TREND data are either not reported or show mainly adverse TRENDS. (T)</li><li>■ Comparative information is not reported. (C)</li><li>■ RESULTS are not reported for any areas of importance to the accomplishment of your organization's MISSION. (I)</li></ul>
<b>10%, 15%, 20%, or 25%</b>	<ul style="list-style-type: none"><li>■ A few organizational PERFORMANCE RESULTS are reported, and early good PERFORMANCE LEVELS are evident in a few areas. (Le)</li><li>■ Some TREND data are reported, with some adverse TRENDS evident. (T)</li><li>■ Little or no comparative information is reported. (C)</li><li>■ RESULTS are reported for a few areas of importance to the accomplishment of your organization's MISSION. (I)</li></ul>
<b>30%, 35%, 40%, or 45%</b>	<ul style="list-style-type: none"><li>■ Good organizational PERFORMANCE LEVELS are reported for some areas of importance to the Item requirements. (Le)</li><li>■ Some TREND data are reported, and a majority of the TRENDS presented are beneficial. (T)</li><li>■ Early stages of obtaining comparative information are evident. (C)</li><li>■ RESULTS are reported for many areas of importance to the accomplishment of your organization's MISSION. (I)</li></ul>
<b>50%, 55%, 60%, or 65%</b>	<ul style="list-style-type: none"><li>■ Good organizational PERFORMANCE LEVELS are reported for most areas of importance to the Item requirements. (Le)</li><li>■ Beneficial TRENDS are evident in areas of importance to the accomplishment of your organization's MISSION. (T)</li><li>■ Some current PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of good relative PERFORMANCE. (C)</li><li>■ Organizational PERFORMANCE RESULTS are reported for most KEY student, STAKEHOLDER, market, and PROCESS requirements. (I)</li></ul>
<b>70%, 75%, 80%, or 85%</b>	<ul style="list-style-type: none"><li>■ Good to excellent organizational PERFORMANCE LEVELS are reported for most areas of importance to the Item requirements. (Le)</li><li>■ Beneficial TRENDS have been sustained over time in most areas of importance to the accomplishment of your organization's MISSION. (T)</li><li>■ 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)</li><li>■ Organizational PERFORMANCE RESULTS are reported for most KEY student, STAKEHOLDER, market, PROCESS, and ACTION PLAN requirements, and they include some PROJECTIONS of your future PERFORMANCE. (I)</li></ul>
<b>90%, 95%, or 100%</b>	<ul style="list-style-type: none"><li>■ Excellent organizational PERFORMANCE LEVELS are reported for most areas of importance to the Item requirements. (Le)</li><li>■ Beneficial TRENDS have been sustained over time in all areas of importance to the accomplishment of your organization's MISSION. (T)</li><li>■ Evidence of education sector and BENCHMARK leadership is demonstrated in many areas. (C)</li><li>■ Organizational PERFORMANCE RESULTS fully address KEY student, STAKEHOLDER, market, PROCESS, and ACTION PLAN requirements, and they include PROJECTIONS of your future PERFORMANCE. (I)</li></ul>

2011–2012

# Criteria for Performance Excellence



## 7 Results (450 pts.)

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



### 7.1 Product and Process Outcomes: What are your product performance and process effectiveness results? (120 pts.)

Results

Summarize your organization's KEY product PERFORMANCE and PROCESS EFFECTIVENESS and efficiency RESULTS. Include PROCESSES that directly serve CUSTOMERS, strategy, and operations. SEGMENT your RESULTS by product offerings, by CUSTOMER groups and market SEGMENTS, and by PROCESS types and locations, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

#### a. CUSTOMER-Focused Product and PROCESS RESULTS

What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of product and PROCESS PERFORMANCE that are important to and directly serve your CUSTOMERS? How do these RESULTS compare with the PERFORMANCE of your competitors and other organizations with similar offerings?

#### b. 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?

#### c. 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?

#### Notes:

**N1.** Results reported in item 7.1 should provide key information for analysis and review of your organizational performance (item 4.1); demonstrate use of organizational knowledge (item 4.2); and provide the operational basis for customer-focused outcomes (item 7.2) and financial and market outcomes (item 7.5).

**N2.** Product and process results reported in 7.1a should relate to the key customer requirements and expectations identified in P.1b(2), based on information gathered in items 3.1 and 3.2. The measures or indicators should address factors that affect customer preference, such as those included in item P.1, note 5, and item 3.2, note 2.

**N3.** Results reported in 7.1b should address your key operational requirements as presented in the Organizational Profile and in items 6.1 and 6.2.

**N4.** Appropriate measures and indicators of operational process effectiveness (7.1b) might include audit, just-in-time delivery, and acceptance results for externally provided

products, services, and processes; supplier and partner performance; product, service, and work system innovation rates and results; simplification of internal jobs and job classifications; work layout improvements; changes in supervisory ratios; response times for emergency drills or exercises; and results for work relocation or contingency exercises.

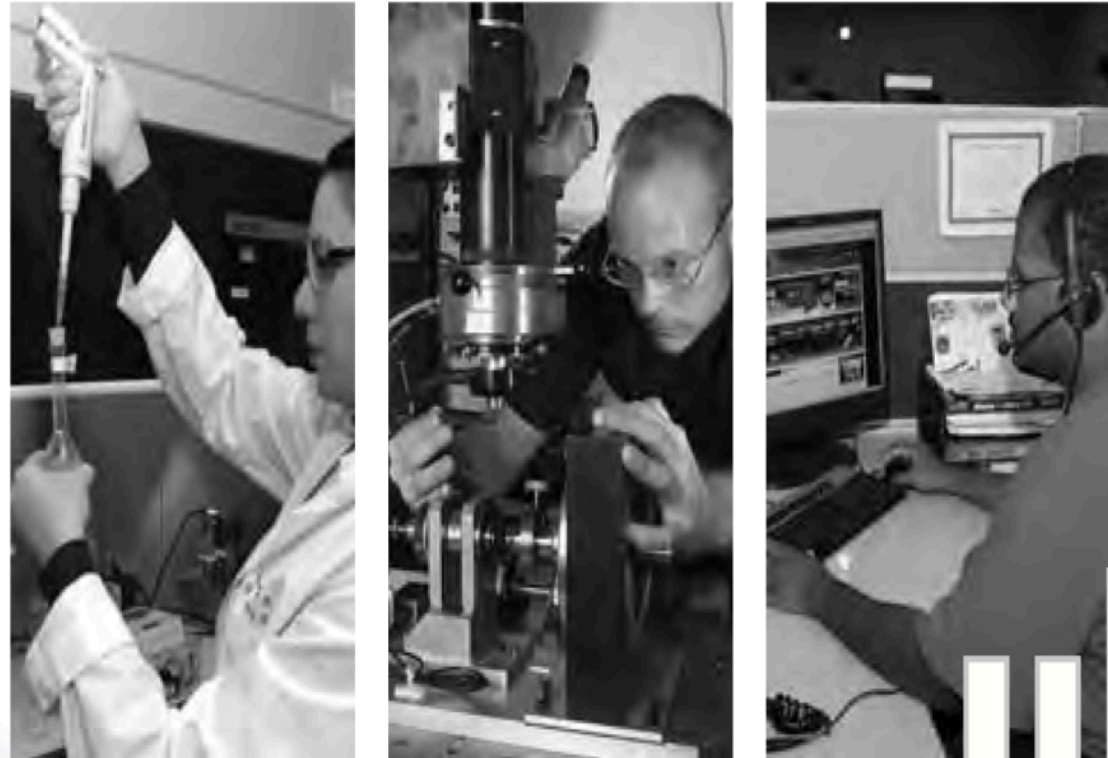
**N5.** Measures or indicators of strategy and action plan accomplishment (7.1c) should address your strategic objectives and goals identified in 2.1b(1) and your action plan performance measures and projected performance identified in 2.2a(5) and 2.2b, respectively.

**N6.** For some nonprofit organizations, product or service performance measures might be mandated by your funding sources. These measures should be identified and reported in your response to this item.

For additional description of this item, see pages 46–47.

2011–2012

# Criteria for Performance Excellence



## 7.2 Customer-Focused Outcomes: What are your customer-focused performance results? (90 pts.)

Results

Summarize your organization's KEY CUSTOMER-focused RESULTS for CUSTOMER satisfaction, dissatisfaction, and ENGAGEMENT. SEGMENT your RESULTS by product offerings, CUSTOMER groups, and market SEGMENTS, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

### a. CUSTOMER-Focused RESULTS

- (1) **CUSTOMER Satisfaction** What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of CUSTOMER satisfaction and dissatisfaction? How do these RESULTS compare with the CUSTOMER satisfaction LEVELS of your competitors and other organizations providing similar products?
- (2) **CUSTOMER ENGAGEMENT** What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of CUSTOMER ENGAGEMENT, including relationship building? How do these RESULTS compare over the course of your CUSTOMER life cycle, as appropriate?

### Notes:

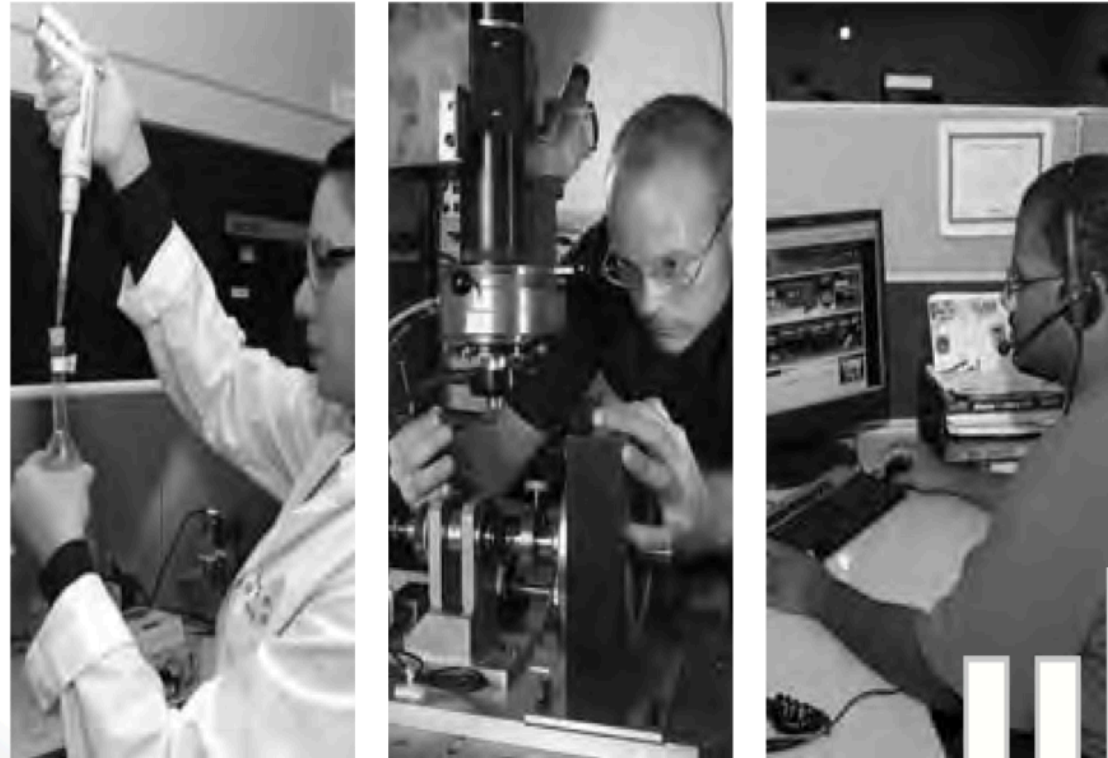
**N1.** Customer satisfaction, dissatisfaction, engagement, and relationship-building results reported in this item should relate to the customer groups and market segments discussed in P.1b(2) and category 3 and to the listening and determination methods and data described in item 3.1.

**N2.** Measures and indicators of customers' satisfaction with your products relative to customers' satisfaction with competitors and comparable organizations (7.2a[1]) might include information and data from your customers and from independent organizations.

For additional description of this item, see pages 47–48.

2011–2012

# Criteria for Performance Excellence



## 7.3 Workforce-Focused Outcomes: What are your workforce-focused performance results? (80 pts.)

Results

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:

### a. 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?

### Notes:

**N1.** Results reported in this item should relate to processes described in category 5. Your results should be responsive to key work process needs described in category 6 and to your organization's action plans and human resource or workforce plans described in item 2.2.

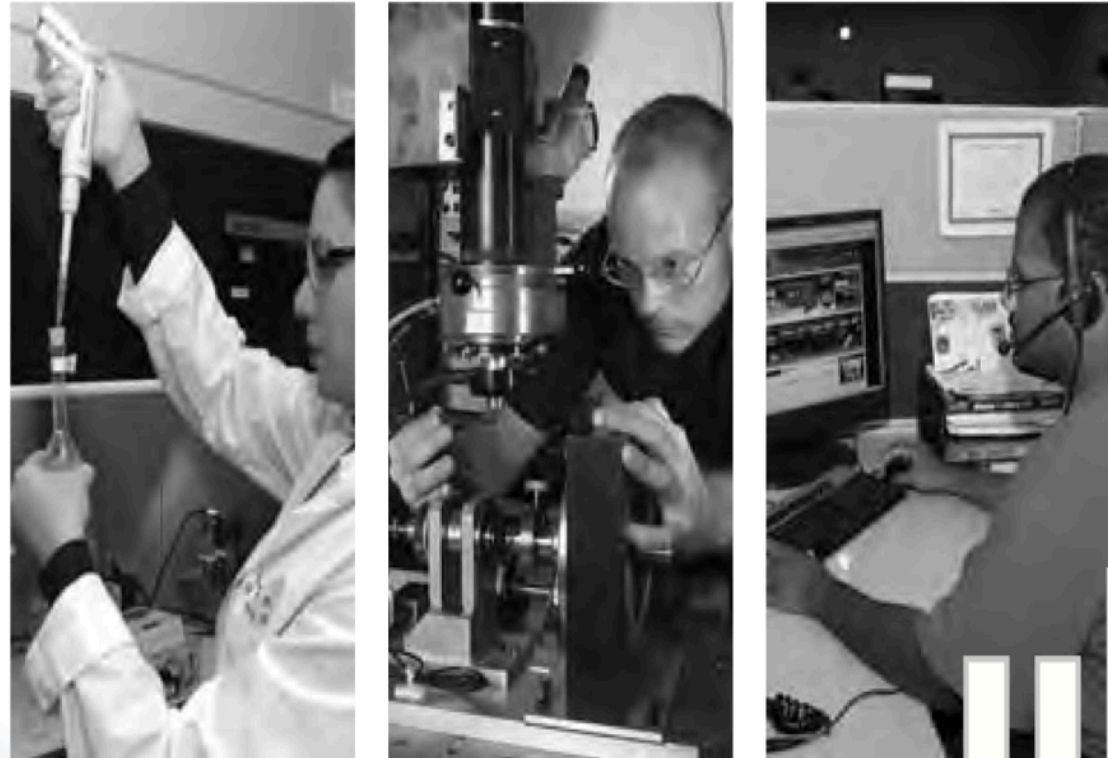
**N2.** Responses to 7.3a(3) should include measures and indicators identified in response to 5.2b(1).

**N3.** *Nonprofit organizations that rely on volunteers should include results for their volunteer workforce, as appropriate.*

For additional description of this item, see page 48.

2011–2012

# Criteria for Performance Excellence



## 7.4 Leadership and Governance Outcomes: What are your senior leadership and governance results? (80 pts.)

Results

Summarize your organization's KEY SENIOR LEADERSHIP and GOVERNANCE RESULTS, including those for fiscal accountability, legal compliance, ETHICAL BEHAVIOR, societal responsibility, and support of KEY communities. SEGMENT your RESULTS by organizational units, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

### a. 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 and Regulation** What are your RESULTS for KEY MEASURES or INDICATORS of achieving and surpassing regulatory and legal requirements?
- (4) **Ethics** What are your RESULTS for KEY MEASURES or INDICATORS of ETHICAL BEHAVIOR and of STAKEHOLDER trust in your organization's SENIOR LEADERS and GOVERNANCE? What are your RESULTS for KEY MEASURES or INDICATORS of breaches of ETHICAL BEHAVIOR?
- (5) **Society** What are your RESULTS for KEY MEASURES or INDICATORS of your organization's fulfillment of its societal responsibilities and your organization's support of its KEY communities?

### Notes:

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

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

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

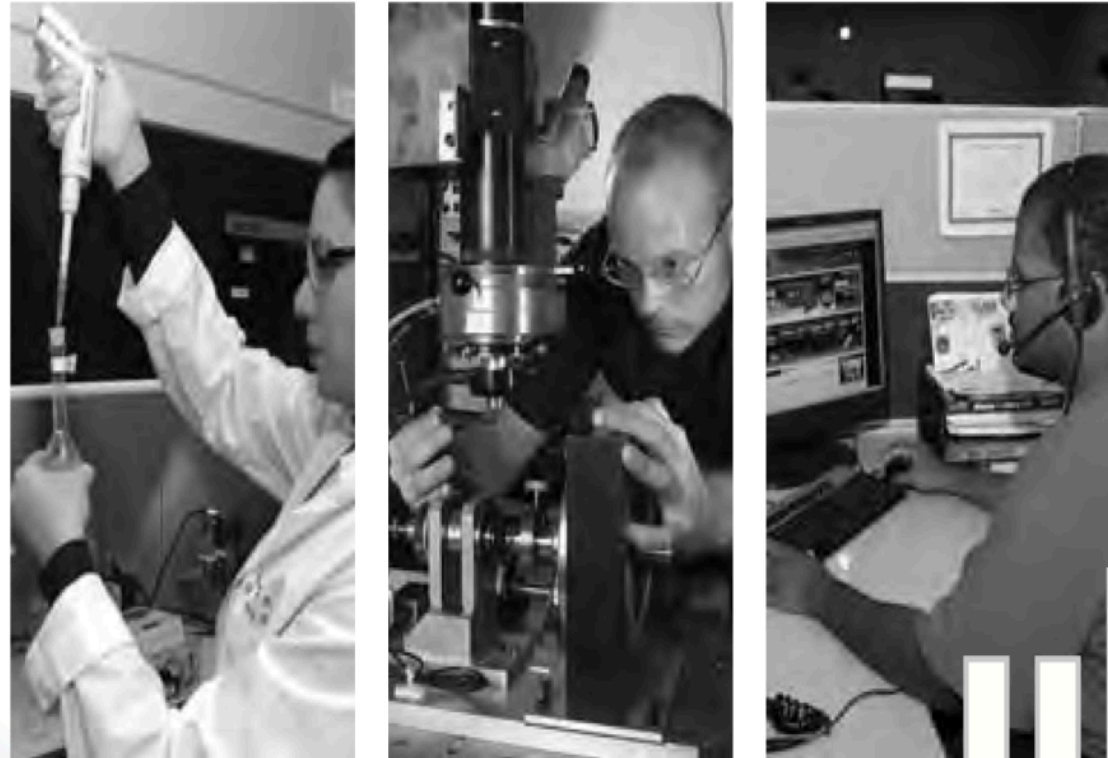
**N4.** For examples of measures of ethical behavior and stakeholder trust (7.4a[4]), see item 1.2, note 4.

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

For additional description of this item, see page 48.

2011–2012

# Criteria for Performance Excellence



## 7.5 Financial and Market Outcomes: What are your financial and marketplace performance results? (80 pts.)

Results

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

Provide data and information to answer the following questions:

### a. 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?

### Notes:

**N1.** Responses to 7.5a(1) should include aggregate measures of financial return, such as return on investment (ROI), operating margins, profitability, or profitability by market segment or customer group. Responses also should include measures of financial viability, such as liquidity, debt-to-equity ratio, days cash on hand, asset utilization, and cash flow. Measures should relate to the financial measures reported in 4.1a(1) and the financial management approaches described in item 2.2. For nonprofit organizations, additional measures might include

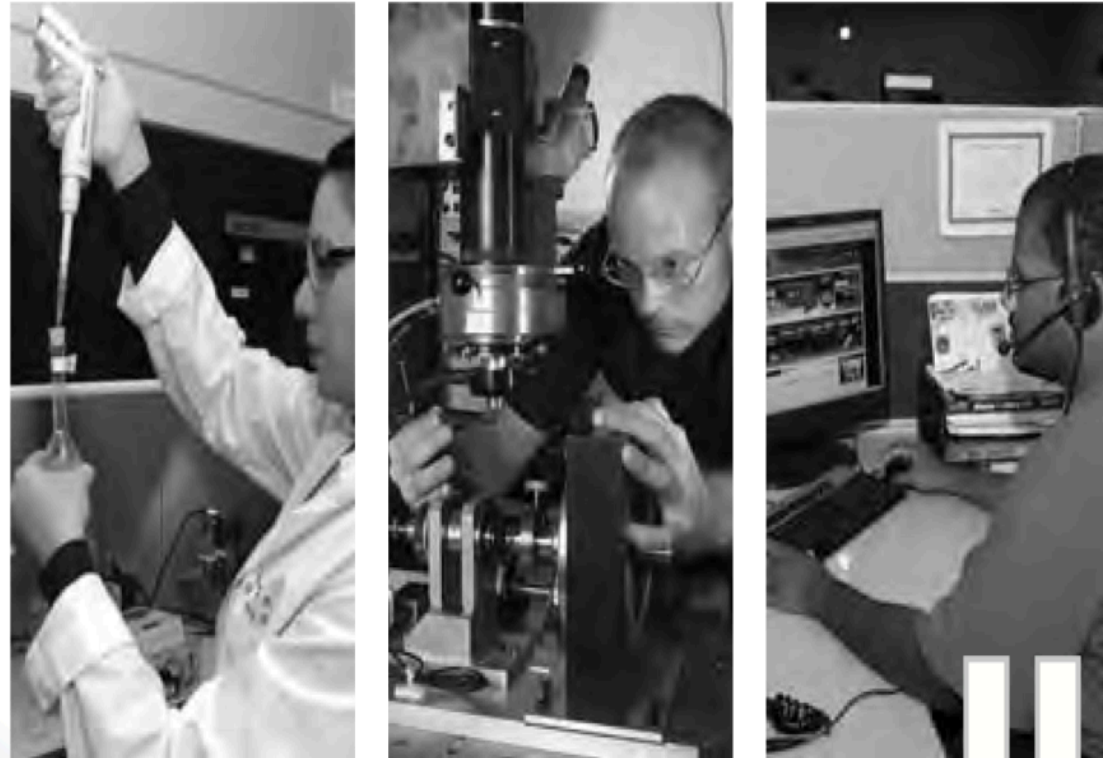
*performance to budget, reserve funds, cost avoidance or savings, administrative expenditures as a percentage of budget, and the cost of fundraising versus funds raised.*

**N2.** For nonprofit organizations, responses to 7.5a(2) might include measures of charitable donations or grants and the number of new programs or services offered.

For additional description of this item, see page 48.

2011–2012

# Criteria for Performance Excellence



SCORE	RESULTS (for use with category 7)
<b>0% or 5%</b>	<ul style="list-style-type: none"> <li>There are no organizational PERFORMANCE RESULTS and/or poor RESULTS in areas reported. (Le)</li> <li>TREND data either are not reported or show mainly adverse TRENDS. (T)</li> <li>Comparative information is not reported. (C)</li> <li>RESULTS are not reported for any areas of importance to the accomplishment of your organization's MISSION. (I)</li> </ul>
<b>10%, 15%, 20%, or 25%</b>	<ul style="list-style-type: none"> <li>A few organizational PERFORMANCE RESULTS are reported, responsive to the BASIC REQUIREMENTS of the item, and early good PERFORMANCE LEVELS are evident. (Le)</li> <li>Some TREND data are reported, with some adverse TRENDS evident. (T)</li> <li>Little or no comparative information is reported. (C)</li> <li>RESULTS are reported for a few areas of importance to the accomplishment of your organization's MISSION. (I)</li> </ul>
<b>30%, 35%, 40%, or 45%</b>	<ul style="list-style-type: none"> <li>Good organizational PERFORMANCE LEVELS are reported, responsive to the BASIC REQUIREMENTS of the item. (Le)</li> <li>Some TREND data are reported, and a majority of the TRENDS presented are beneficial. (T)</li> <li>Early stages of obtaining comparative information are evident. (C)</li> <li>RESULTS are reported for many areas of importance to the accomplishment of your organization's MISSION. (I)</li> </ul>
<b>50%, 55%, 60%, or 65%</b>	<ul style="list-style-type: none"> <li>Good organizational PERFORMANCE LEVELS are reported, responsive to the OVERALL REQUIREMENTS of the item. (Le)</li> <li>Beneficial TRENDS are evident in areas of importance to the accomplishment of your organization's MISSION. (T)</li> <li>Some current PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of good relative PERFORMANCE. (C)</li> <li>Organizational PERFORMANCE RESULTS are reported for most KEY CUSTOMER, market, and PROCESS requirements. (I)</li> </ul>
<b>70%, 75%, 80%, or 85%</b>	<ul style="list-style-type: none"> <li>Good to excellent organizational PERFORMANCE LEVELS are reported, responsive to the MULTIPLE REQUIREMENTS of the item. (Le)</li> <li>Beneficial TRENDS have been sustained over time in most areas of importance to the accomplishment of your organization's MISSION. (T)</li> <li>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)</li> <li>Organizational PERFORMANCE RESULTS are reported for most KEY CUSTOMER, market, PROCESS, and ACTION PLAN requirements. (I)</li> </ul>
<b>90%, 95%, or 100%</b>	<ul style="list-style-type: none"> <li>Excellent organizational PERFORMANCE LEVELS are reported that are fully responsive to the MULTIPLE REQUIREMENTS of the item. (Le)</li> <li>Beneficial TRENDS have been sustained over time in all areas of importance to the accomplishment of your organization's MISSION. (T)</li> <li>Evidence of industry and BENCHMARK leadership is demonstrated in many areas. (C)</li> <li>Organizational PERFORMANCE RESULTS and PROJECTIONS are reported for most KEY CUSTOMER, market, PROCESS, and ACTION PLAN requirements. (I)</li> </ul>

# BALDRIGE EXCELLENCE FRAMEWORK

Proven leadership and management practices for high performance

- LEADERSHIP
- STRATEGY
- CUSTOMERS
- MEASUREMENT, ANALYSIS, AND KNOWLEDGE MANAGEMENT
- WORKFORCE
- OPERATIONS
- RESULTS

Item title and basic question

Item number

Area to address

Headings summarizing multiple questions

Item notes

Note in italics for nonprofit organizations

Key term in small caps

**3.1 Customer Expectations: How do you listen to your customers and determine products and/or services to meet their needs?**

**a. CUSTOMER Listening**

(1) **Current CUSTOMERS** HOW do you listen to, interact with, and observe CUSTOMERS to obtain actionable information? How do your listening methods vary for different CUSTOMERS, CUSTOMER groups, or market SEGMENTS? How do your listening methods vary across the CUSTOMER life cycle? How do you seek immediate and actionable feedback from CUSTOMERS on the quality of products and/or services, CUSTOMER support, and transactions?

(2) **Potential CUSTOMERS** HOW do you listen to potential CUSTOMERS to obtain actionable data and information? How do you listen to former CUSTOMERS, competitors' CUSTOMERS, and other potential CUSTOMERS to obtain actionable information on your products and/or services, CUSTOMER support, and transactions, as appropriate?

**Notes**

**3** Customer data and information should be used to support your strategy development process in 2.1, your performance analysis and review in 4.1, and your product design in 6.1. Voice-of-the-customer and market data and information to use might include aggregated data on satisfaction, dissatisfaction, and complaints and, as appropriate, data and information from social media and other web-based or digital sources.

**3.1.** Your results on performance relative to key product and/or service features should be reported in item 7.1.

*3.1. For additional considerations on the products and services of nonprofit (including government) organizations, see the notes to P.1 and P.2.*

**3.1a(1).** The customer life cycle and experience begins in the product and/or service pre-sale period and continues through all stages of your involvement with the customer. These stages might include relationship building, the active business relationship, and an exit strategy, as appropriate.

**3.1b(2).** In identifying product and/or service offerings, you should consider all the important characteristics of products and services and their performance throughout their full life cycle and the full consumption chain. The focus should be on features that affect customers' preference for and loyalty to your organization and your brand—for example, unique or innovative features that differentiate your products and services, or features that differentiate them from competing or other organizations' offerings. Those latter features might include price, reliability, value, delivery, timeliness, product customization, technology, ease of use, environmental or social stewardship, customer or technical support, the sales relationship, ease of transactions, a virtual customer experience, and the privacy and security of customer data.

*For additional guidance on this item, see the Criteria Commentary (<https://www.nist.gov/baldrige/baldrige-criteria-commentary>).*

Type of information to provide in response to this item

Overall questions

Multiple questions

Link to Criteria Commentary



# BALDRIGE EXCELLENCE FRAMEWORK

Proven leadership and management  
practices for high performance

LEADERSHIP

STRATEGY

CUSTOMERS

MEASUREMENT, ANALYSIS, AND  
KNOWLEDGE MANAGEMENT

WORKFORCE

OPERATIONS

RESULTS

2023  
2024

An assessment against the Criteria is intended to be holistic, and there is not a one-to-one correspondence between results items and Criteria categories 1–6; however, some process and results items are closely linked. Those linkages are shown in the table.

Process Items	Results Items
Items 1.1 and 1.2	Item 7.4
Items 2.1 and 2.2	Item 7.5
Items 3.1 and 3.2	Item 7.2
Items 4.1 and 4.2	Items 7.1 and 7.5
Items 5.1 and 5.2	Item 7.3
Items 6.1 and 6.2	Item 7.1

**PERFORMANCE.** Outputs and their outcomes obtained from processes, products and services, and strategies that permit you to evaluate and compare your organization's results to performance projections, standards, past results, goals, and other organizations' results.

The Criteria address four types of performance: (1) product and service, (2) customer-focused, (3) operational, and (4) financial and marketplace.

Product and service performance is performance relative to measures and indicators of product and service characteristics that are important to customers. Examples include product reliability, on-time delivery, customer-experienced defect levels, and service response time. For some service organizations, including nonprofit organizations, examples might include program and project performance in the areas of rapid response to emergencies, at-home services, or multilingual services.

Customer-focused performance is performance relative to measures and indicators of customers' perceptions, reactions, and behaviors. Examples include customer retention, complaints, and satisfaction and engagement survey results.

Operational performance is workforce, leadership, and organizational performance (including ethical and legal compliance) relative to measures and indicators of effectiveness, efficiency, and accountability. Examples include cycle time, productivity, waste reduction, workforce turnover, workforce cross-training rates, regulatory compliance, fiscal accountability, strategy accomplishment, and community involvement. Operational performance might be measured at the work-unit, key work process, and organizational levels.

Financial and marketplace performance is performance relative to measures of cost, revenue, and market position, including asset utilization, asset growth, and market share. Examples include returns on investments, value added per employee, debt-to-equity ratio, returns on assets, operating margins, performance to budget, the amount in reserve funds, cash-to-cash cycle time, other profitability and liquidity measures, and market gains.

**LEVELS.** Numerical information that places or positions your organization's results and performance on a meaningful measurement scale. Performance levels permit evaluation relative to past performance, projections, goals, and appropriate comparisons.

**MEASURES AND INDICATORS.** Numerical information that quantifies the input, output, and performance dimensions of processes, products, programs, projects, services, and the overall organization (outcomes). Measures and indicators might be simple (derived from one measurement) or composite.

The Criteria do not distinguish between measures and indicators. However, some users of these terms prefer "indicator" (1) when the measurement relates to performance but does not measure it directly (e.g., the number of complaints is an indicator but not a direct measure of dissatisfaction) and (2) when the measurement is a predictor ("leading indicator") of some more significant performance (e.g., increased customer satisfaction might be a leading indicator of market share gain).

**RESULTS.** Outputs and outcomes achieved by your organization. Results are evaluated based on current performance; performance relative to appropriate comparisons; the rate, breadth, and importance of performance improvements; and the relationship of the results measures to key organizational performance requirements.

Results are one of the two dimensions (along with processes) evaluated in a Baldrige-based assessment. The evaluation of results is based on four factors: levels, trends, comparisons, and integration. For further description, see the Scoring System (pages 26–32).

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## 7 Results

The **RESULTS** category asks about your organization's **PERFORMANCE** and improvement in all **KEY** areas—**product and PROCESS RESULTS**; **CUSTOMER RESULTS**; **WORKFORCE RESULTS**; leadership and **GOVERNANCE RESULTS**; and financial, marketplace, and strategy **RESULTS**.

### 7.1 Product and Process Results: What are your product and/or service and process performance results?

#### a. CUSTOMER-Focused Product and Service RESULTS

**What are your RESULTS for your products and/or services?** What are your RESULTS for **KEY MEASURES** or **INDICATORS** of the **PERFORMANCE** of products and services that are important to and directly serve your **CUSTOMERS**? How do these **RESULTS** differ by product and/or service offerings, **CUSTOMER** groups, and market **SEGMENTS**, as appropriate?

#### b. WORK PROCESS EFFECTIVENESS RESULTS

(1) **PROCESS EFFECTIVENESS and Efficiency** **What are your PROCESS EFFECTIVENESS and efficiency RESULTS?** What are your RESULTS for **KEY MEASURES** or **INDICATORS** of the operational **PERFORMANCE** of your **KEY WORK PROCESSES** and support **PROCESSES**, including **PRODUCTIVITY**, cycle time, and other appropriate **MEASURES** of **PROCESS EFFECTIVENESS**, efficiency, security and cybersecurity? How do these **RESULTS** differ by **PROCESS** type, as appropriate?

(2) **Safety and Emergency Preparedness** **What are your safety and emergency preparedness RESULTS?** What are your RESULTS for **KEY MEASURES** or **INDICATORS** of the **EFFECTIVENESS** of your organization's safety **SYSTEM** and its preparedness for disasters, emergencies, and other disruptions? How do these **RESULTS** differ by location or **PROCESS** type, as appropriate?

#### c. Supply-Network Management RESULTS

**What are your supply-network management RESULTS?** What are your RESULTS for **KEY MEASURES** or **INDICATORS** of the **PERFORMANCE** of your supply network, including its contribution to enhancing your **PERFORMANCE**?

*Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 44–51).*

#### Notes

**7.** Results should be considered systemically, with contributions to individual results items frequently stemming from processes in more than one Criteria category. The table on page 2 shows where the results for the different process categories may be reported in category 7.

The Baldrige Scoring System (pages 26–32) asks for current, trended, comparative, and segmented data, as appropriate, to provide key information for reviewing and analyzing your organizational performance (item 4.1), building organizational knowledge (item 4.2), and providing the operational basis for customer-focused results (item 7.2); workforce-focused results (item 7.3); leadership results (item 7.4); and financial, marketplace, and strategy results (item 7.5).

In a few areas, your results may be qualitative or not amenable to trending over time. Some examples are results for governance accountability, for accreditation, and for limited or one-time projects.

Comparative data and information are obtained by benchmarking (inside and outside your industry, as appropriate) and by seeking competitive comparisons. In a few cases, such as results for projects or processes that are unique to your organization, comparative data may not be available or appropriate. In those situations, other sources might include best past performance, organizational budget, internal targets or goals, or internal projections.

**7.1a.** Results for your products and/or services should relate to the key product and service requirements that you identify in 6.1a(1) and your customer requirements and expectations identified in P.1b(2). These are based on information gathered through the processes you describe in category 3. The measures or indicators should address factors that affect customer preference, such as those listed in the notes to P.1b(2) and 3.1b.

**7.1a.** For some nonprofit (including government) organizations, funding sources might mandate product or service performance measures. These measures should be identified and reported here.

**7.1b.** Results should address the key operational requirements you identify in the Organizational Profile and in category 6.

**7.1b(1)** Efforts to reduce waste in your processes and products and/or services should be reported here. Overall efforts to contribute to society and the environment should be reported in 7.4a(5).

**7.1b(1)** Report your results for key measures or indicators of innovation in 7.5b.

**7.1b(2).** When possible, the effectiveness of your emergency preparedness should focus on outcomes, learning, and results, beyond training activities and compliance.

*For additional guidance on this item, see the [Criteria Commentary](#).*



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## 6.1 Work Processes: How do you design, manage, and improve your key products and/or services and work processes?

### a. Product and/or Service and PROCESS Design

- (1) **Product and/or Service Requirements** HOW do you determine your KEY product and/or service requirements?
- (2) **Product and/or Service Design** HOW do you design your products and/or services to meet these KEY requirements? How do you incorporate new technology, INNOVATIONS, product and/or service EXCELLENCE, CUSTOMER VALUE, consideration of risk (including environmental and societal impact), and the potential need for AGILITY?
- (3) **PROCESS Requirements** HOW do you determine your KEY WORK PROCESS and support PROCESS requirements? What are your organization's KEY WORK PROCESSES and support PROCESSES? What are the KEY requirements for these PROCESSES?
- (4) **PROCESS Design** HOW do you design your KEY WORK PROCESSES and support PROCESSES to meet your KEY requirements? How do you incorporate new technology, organizational knowledge, consideration of risk (including environmental and societal impact), and the potential need for AGILITY into these PROCESSES?

### b. PROCESS Management and Improvement

- (1) **PROCESS Implementation** HOW does your day-to-day operation of your KEY WORK PROCESSES and support PROCESSES ensure that they meet your KEY PROCESS requirements? What KEY PERFORMANCE MEASURES or INDICATORS and in-process MEASURES do you use to control and improve your KEY WORK PROCESSES and support PROCESSES? HOW do these MEASURES relate to end-product and/or service quality PERFORMANCE MEASURES?
- (2) **PROCESS Improvement** HOW do you improve your KEY WORK PROCESSES and support PROCESSES to improve product and/or service and PROCESS PERFORMANCE?



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**6.1.** The results for product and/or service performance and process performance should be reported in item 7.1.

**6.1.** Efforts to reduce adverse environmental and societal impacts associated with products and/or services should consider the design, material sourcing, production, delivery, and consumption of your products and/or services, as well as the disposal or reuse of your products. This consideration should be informed by the concepts and practices of a “circular economy.”

**6.1a(1).** Your product and service requirements should address the key customer requirements and expectations identified in your Organizational Profile and inform applicable process requirements asked for in 6.1a(3), such as your internal process capability, supply-network capability, and partner and collaborator capability.

**6.1a(3).** Your key support processes should support your key work (value-creation) processes. They might include processes that support leaders and other workforce members engaged in, for example, product design and delivery, customer interactions, and business and enterprise

management. Other examples might include accounting, purchasing, marketing, human resource management, and regulatory compliance.

**6.1a(4).** Process design may include the need to innovate or extensively redesign a process due to changes in requirements or technology, or the need to incorporate digital technology, such as enhanced automation, the Internet of Things, artificial intelligence, and cloud operations. Agility may be needed when work processes need to change as a result of overall work system changes, such as bringing a supply-chain process in-house to avoid disruptions in supply due to unpredictable external events, or conversely outsourcing a process formerly carried out in-house.

**6.1b(2).** Your tools and methods to improve your process performance should be part of the performance improvement system you describe in P.2c in the Organizational Profile.

*For additional guidance on this item, see the [Criteria Commentary](#).*



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## 6.2 Operational Effectiveness: How do you ensure effective management of your operations?

### a. Operational Efficiency and EFFECTIVENESS

**HOW do you manage the cost, efficiency, and EFFECTIVENESS of your operations?** How do you

- incorporate cycle time, PRODUCTIVITY, and other efficiency and EFFECTIVENESS factors into your WORK PROCESSES;
- reduce variability and prevent defects, service errors, and rework;
- reduce waste associated with your products and/or services and their production;
- minimize warranty costs or CUSTOMERS' PRODUCTIVITY losses, as appropriate;
- minimize the costs of inspections, tests, and PROCESS OR PERFORMANCE audits, as appropriate; and
- balance the need for cost control and efficiency with the requirements and expectations of your CUSTOMERS and other STAKEHOLDERS?

### b. Supply-Network Management

**HOW do you manage your supply network?** How do you select suppliers that are qualified and positioned to meet your operational needs, enhance your PERFORMANCE, support your STRATEGIC OBJECTIVES, and enhance your CUSTOMERS' satisfaction? How do you

- promote ALIGNMENT and collaboration within your supply network;
- mitigate risk and enhance supply-network AGILITY and RESILIENCE in responding to changes in CUSTOMERS and markets, organizational requirements, and expectations related to societal and environmental impact; and
- communicate PERFORMANCE expectations, measure and evaluate suppliers' PERFORMANCE, provide feedback to help them improve, and deal with poorly performing suppliers?

### c. Safety, Business Continuity and RESILIENCE, and Risk Management

- (1) **Safety** **HOW do you provide a safe and secure operating environment for your WORKFORCE and other people in your workplace?** How does your safety and security SYSTEM address accident prevention, inspection, root-cause ANALYSIS of failures, and recovery?
- (2) **Business Continuity and RESILIENCE** **HOW do you ensure that your organization can anticipate, prepare for, and recover from disasters, emergencies, and other disruptions?** How do you consider prevention, protection, continuity of operations, recovery, and the opportunity for innovation or transformation in the event of disruptions? How do you take into account CUSTOMER and business needs and your reliance on your WORKFORCE, supply network, and PARTNERS?
- (3) **Risk Management** **What is your organization's overall APPROACH to risk management?** How does this APPROACH address the risks associated with your legal and regulatory compliance; products and/or services; WORKFORCE; finances; technology; supply network, as appropriate; and operations?



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## 7.2 Customer Results: What are your customer-focused performance results?

### a. CUSTOMER-Focused RESULTS

- (1) **CUSTOMER Satisfaction** What are your CUSTOMER satisfaction and dissatisfaction RESULTS? What are your RESULTS for KEY MEASURES or INDICATORS of CUSTOMER satisfaction and dissatisfaction? How do these RESULTS differ by product and/or service offerings, CUSTOMER groups, and market SEGMENTS, as appropriate?
- (2) **CUSTOMER ENGAGEMENT** What are your CUSTOMER ENGAGEMENT RESULTS? What are your RESULTS for KEY MEASURES or INDICATORS of CUSTOMER ENGAGEMENT, including those for building CUSTOMER relationships and enhancing the CUSTOMER experience? How do these RESULTS compare over the course of your CUSTOMER life cycle, as appropriate? How do these RESULTS differ by product and/or service offerings, CUSTOMER groups, and market SEGMENTS, as appropriate?

*Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 44–51).*

### Note

**7.2.** Results for customer satisfaction, dissatisfaction, and engagement should relate to the customer groups and market segments you identify in P.1b(2) and the listening and determination methods you report in category 3.

*For additional guidance on this item, see the [Criteria Commentary](#).*



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## 3 Customers

The **CUSTOMERS** category asks **HOW** your organization engages its **CUSTOMERS** for ongoing success, including **HOW** your organization listens to **CUSTOMERS**, determines products and/or services to meet their needs, builds long-term **CUSTOMER** relationships, and enhances the **CUSTOMER** experience.

### 3.1 Customer Expectations: How do you listen to your customers and determine products and/or services to meet their needs?

#### a. CUSTOMER Listening

- (1) **Current CUSTOMERS** **HOW do you listen to, interact with, and observe CUSTOMERS to obtain actionable information?** How do your listening methods vary for different **CUSTOMERS**, **CUSTOMER** groups, or market **SEGMENTS**? How do your listening methods vary across the **CUSTOMER** life cycle? How do you seek immediate and actionable feedback from **CUSTOMERS** on the quality of products and/or services, **CUSTOMER** support, and transactions?
- (2) **Potential CUSTOMERS** **HOW do you listen to potential CUSTOMERS to obtain actionable data and information?** How do you listen to former **CUSTOMERS**, competitors' **CUSTOMERS**, and other potential **CUSTOMERS** to obtain actionable information on your products and/or services, **CUSTOMER** support, and transactions, as appropriate?

#### b. CUSTOMER Segmentation and Product and/or Service Offerings

- (1) **CUSTOMER SEGMENTATION** **HOW do you determine your CUSTOMER groups and market SEGMENTS?** How do you
  - use information on **CUSTOMERS**, markets, and product and/or service offerings to identify current and anticipate future **CUSTOMER** groups and market **SEGMENTS**; and
  - determine which **CUSTOMERS**, **CUSTOMER** groups, and market **SEGMENTS** to emphasize and pursue for business growth?
- (2) **Product and/or Service Offerings** **HOW do you determine product and/or service offerings?** How do you
  - determine **CUSTOMER** and market needs, requirements, and expectations for product and/or service offerings;
  - identify and adapt product and/or service offerings to meet the requirements and exceed the expectations of your **CUSTOMER** groups and market **SEGMENTS**; and
  - identify and adapt product and/or service offerings to enter new markets, attract new **CUSTOMERS**, and create opportunities to expand relationships with current **CUSTOMERS**, as appropriate?



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**3** Customer data and information should be used to support your strategy development process in item 2.1, your performance analysis and review in item 4.1, and your product design in item 6.1. Voice-of-the-customer and market data and information to use might include aggregated data on satisfaction, dissatisfaction, and complaints and, as appropriate, data and information from social media and other web-based or digital sources.

**3.1.** Your results on performance relative to key product and/or service features should be reported in item 7.1.

**3.1.** *For additional considerations on the products and services of nonprofit (including government) organizations, see the notes to P.1 and P.2.*

**3.1a(1).** The customer life cycle and experience begins in the product and/or service pre-sale period and continues through all stages of your involvement with the customer. These stages might include relationship building, the active business relationship, and an exit strategy, as appropriate.

**3.1b(2).** In identifying product and/or service offerings, you should consider all the important characteristics of products and services and their performance throughout their full life cycle and the full consumption chain. The focus should be on features that affect customers' preference for and loyalty to your organization and your brand—for example, unique or innovative features that differentiate your products and services, or features that differentiate them from competing or other organizations' offerings. Those latter features might include price, reliability, value, delivery, timeliness, product customization, technology, ease of use, environmental or social stewardship, customer or technical support, the sales relationship, ease of transactions, a virtual customer experience, and the privacy and security of customer data.

*For additional guidance on this item, see the [Criteria Commentary](#).*



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## 3.2 Customer Engagement: How do you build relationships and enhance the customer experience?

### a. CUSTOMER Experience

- (1) **Relationship Management** HOW do you acquire and retain CUSTOMERS by building and managing relationships? How do you
  - build a more CUSTOMER-focused organizational CULTURE,
  - manage and enhance your brand, and
  - meet CUSTOMERS' requirements and exceed their expectations in each stage of the CUSTOMER life cycle?
- (2) **CUSTOMER Access and Support** HOW do you enable CUSTOMERS to do business with you, seek information, and obtain support? How do your PROCESSES or mechanisms vary for different CUSTOMERS, CUSTOMER groups, or market SEGMENTS, as appropriate? How do you
  - determine your CUSTOMERS' KEY support requirements and expectations, and
  - DEPLOY these requirements to all people and PROCESSES involved in CUSTOMER support?
- (3) **Complaint Management** HOW do you manage CUSTOMER complaints? How do you resolve complaints promptly and EFFECTIVELY and recover your CUSTOMERS' confidence? How do you analyze complaints and use this information to make the necessary changes to prevent future complaints?
- (4) **Fair Treatment** HOW do your CUSTOMER experience PROCESSES promote and ensure fair treatment for different CUSTOMERS, CUSTOMER groups, and market SEGMENTS?

### b. Determination of CUSTOMER Satisfaction, Dissatisfaction, and ENGAGEMENT

**Satisfaction, Dissatisfaction, and ENGAGEMENT** HOW do you determine CUSTOMER satisfaction, dissatisfaction, and ENGAGEMENT? How do your determination methods differ among your CUSTOMER groups and market SEGMENTS, as appropriate? How do you take action on the RESULTS of satisfaction, dissatisfaction, and engagement determination methods? How do you obtain information on CUSTOMERS' satisfaction with your organization relative to competitors and other organizations providing similar products and/or services?

*Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 44–51).*



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**3.2.** Results for customer perceptions and actions (outcomes) should be reported in item 7.2.

**3.2a.** You should ensure that your approaches for managing customer relationships, enabling customers to seek information and support, and managing complaints promote fairness, equity, and inclusion and do not inadvertently discriminate.

**3.2b.** Determining customer dissatisfaction should be seen as more than reviewing low customer satisfaction scores. It should be independently determined to identify root causes and enable a systematic remedy to avoid future dissatisfaction.

**3.2b.** Information on relative satisfaction with other organizations may include comparisons with competitors, comparisons with organizations that deliver similar products and/or services in a noncompetitive marketplace, or comparisons with industry benchmarks obtained through trade or other organizations. Such information may also include information on why customers choose your competitors over you.

*For additional guidance on this item, see the [Criteria Commentary](#).*



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## 7.3 Workforce Results: What are your workforce-focused performance results?

### a. WORKFORCE-Focused RESULTS

- (1) **WORKFORCE CAPABILITY and CAPACITY** What are your **WORKFORCE CAPABILITY and CAPACITY RESULTS**? What are your **RESULTS** for **KEY MEASURES** of **WORKFORCE CAPABILITY and CAPACITY**, including appropriate skills and staffing **LEVELS**? How do these **RESULTS** differ by the **DIVERSITY** of your **WORKFORCE** and by your **WORKFORCE** groups and **SEGMENTS**, as appropriate?
- (2) **Workplace Climate** What are your **RESULTS** for **workplace health and for WORKFORCE compensation and benefits**? What are your **RESULTS** for **KEY MEASURES** or **INDICATORS** of your workplace climate, including those for **WORKFORCE** health, security, accessibility, and compensation and benefits, as appropriate? How do these **RESULTS** differ by the **DIVERSITY** of your **WORKFORCE** and by your **WORKFORCE** groups and **SEGMENTS**, as appropriate?
- (3) **WORKFORCE ENGAGEMENT and Retention** What are your **WORKFORCE ENGAGEMENT RESULTS**? What are your **RESULTS** for **KEY MEASURES** or **INDICATORS** of **WORKFORCE** satisfaction, **WORKFORCE** dissatisfaction, **WORKFORCE** retention, and **WORKFORCE ENGAGEMENT**? How do these **RESULTS** differ by the **DIVERSITY** of your **WORKFORCE** and by your **WORKFORCE** groups and **SEGMENTS**, as appropriate?
- (4) **WORKFORCE Development** What are your **WORKFORCE and leader development RESULTS**? What are your **RESULTS** for **KEY MEASURES** or **INDICATORS** of **WORKFORCE** and leader development? How do these **RESULTS** differ by the **DIVERSITY** of your **WORKFORCE** and by your **WORKFORCE** groups and **SEGMENTS**, as appropriate?

*Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 44–51).*

### Note

**7.3.** Results reported in this item should relate to the processes, measures, and indicators you report in category 5. Your results should also respond to the key work process needs you report in category 6 and to the action plans and workforce plans you report in item 2.2. Responses should report results for all workforce segments identified in the Organizational Profile, including those working virtually (from their homes or other alternate sites) or those who

have hybrid work-site arrangements. Organizations that rely on volunteers or temporary staff members to accomplish core work (producing output that is necessary and/or customer-facing) should report results for them, as appropriate.

*For additional guidance on this item, see the [Criteria Commentary](#).*



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## 5 Workforce

The **WORKFORCE** category asks **HOW** your organization addresses **WORKFORCE CAPABILITY** and **CAPACITY** and provides a workplace climate to support **HIGH PERFORMANCE**. The category also asks **HOW** your organization engages, manages, and develops your **WORKFORCE** to utilize its full potential in **ALIGNMENT** with your organization's overall business needs.

### 5.1 Workforce Environment: How do you build an effective and supportive workforce environment?

#### a. WORKFORCE CAPABILITY and CAPACITY

- (1) **CAPABILITY and CAPACITY Needs** **HOW do you assess your WORKFORCE CAPABILITY and CAPACITY needs?** How do you assess the skills, competencies, certifications, and staffing **LEVELS** you need in the short and long terms?
- (2) **New WORKFORCE Members** **HOW do you recruit, hire, and onboard new WORKFORCE members?** How do you ensure that your **WORKFORCE** represents the **DIVERSITY** of ideas, **CULTURES**, and thinking in your hiring and **CUSTOMER** communities? How do you ensure the fit of new **WORKFORCE** members with your organizational **CULTURE**?
- (3) **WORKFORCE Change** **HOW do you prepare your WORKFORCE for changing CAPABILITY and CAPACITY needs?** How do you
  - balance the needs of your **WORKFORCE** and your organization to ensure continuity, prevent **WORKFORCE** reductions, and minimize the impact of any necessary reductions;
  - prepare for and manage any periods of **WORKFORCE** growth or shortages; and
  - prepare your **WORKFORCE** for changes in organizational structure, workplaces, **WORK SYSTEMS**, and technology when needed?
- (4) **Work Accomplishment** **HOW do you organize and manage your WORKFORCE?** How do you organize and manage your **WORKFORCE** to
  - capitalize on your organization's **CORE COMPETENCIES**;
  - reinforce organizational **RESILIENCE**, **AGILITY**, and a **CUSTOMER** and business focus; and
  - address staffing needs?

#### b. Workplace Climate

- (1) **Workplace Environment** **HOW do you address workplace health and accessibility for the WORKFORCE?** What are your **PERFORMANCE MEASURES** and improvement **GOALS** for your workplace environmental factors?
- (2) **WORKFORCE Compensation and Benefits** **HOW do you support your WORKFORCE via compensation and benefits?** How do your policies related to compensation address fairness, and **HOW** do your benefits address the needs of a diverse **WORKFORCE** and different **WORKFORCE** groups and **SEGMENTS**?



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## 5.2 Workforce Engagement: How do you engage your workforce for retention and high performance?

### a. Assessment of WORKFORCE ENGAGEMENT

- (1) **Drivers of ENGAGEMENT** HOW do you determine the KEY drivers of WORKFORCE ENGAGEMENT? How do you determine these drivers for different WORKFORCE groups and SEGMENTS?
- (2) **Assessment of ENGAGEMENT** HOW do you assess WORKFORCE ENGAGEMENT? What assessment methods and MEASURES do you use to determine WORKFORCE satisfaction, WORKFORCE dissatisfaction, and WORKFORCE ENGAGEMENT? How do these methods and MEASURES differ across WORKFORCE groups and SEGMENTS? How do you also use these and other INDICATORS to assess and improve WORKFORCE ENGAGEMENT and retention?

### b. Organizational CULTURE

HOW do you foster an organizational CULTURE that is characterized by open communication, HIGH PERFORMANCE, and an engaged WORKFORCE? How do you reinforce your organizational CULTURE? How do you ensure that it supports your MISSION, VISION, and VALUES; promotes EMPOWERMENT, equity, and inclusion; and benefits from the diversity of ideas, CULTURES, and thinking of your WORKFORCE?

### c. PERFORMANCE Management and Development

- (1) **PERFORMANCE Management** HOW does your WORKFORCE PERFORMANCE management SYSTEM support HIGH PERFORMANCE? How does it consider WORKFORCE compensation, reward, recognition, retention, and incentive practices? How does it reinforce INTELLIGENT RISK taking, a CUSTOMER and business focus, and achievement of your ACTION PLANS?
- (2) **PERFORMANCE Development** HOW does your LEARNING and development SYSTEM support the personal development of WORKFORCE members and your organization's needs? How does it consider the LEARNING and development desires of WORKFORCE members, support organizational PERFORMANCE improvement and INTELLIGENT RISK taking, and support ethics and ethical business practices?
- (3) **Career Development and Succession Planning** HOW do you manage career development for your WORKFORCE and your future leaders? How do you carry out succession planning for management, leadership, and other KEY positions?
- (4) **Equity and Inclusion** HOW do you ensure that your PERFORMANCE management, PERFORMANCE development, and career development PROCESSES promote equity and inclusion for a diverse WORKFORCE and different WORKFORCE groups and SEGMENTS?



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## 7.4 Leadership and Governance Results: What are your senior leadership and governance results?

### a. Leadership, GOVERNANCE, Legal, Ethics, and Societal Contribution RESULTS

(1) **Leadership** What are your RESULTS for SENIOR LEADERS' communication and engagement with the WORKFORCE, PARTNERS, and CUSTOMERS? What are your RESULTS for KEY MEASURES or INDICATORS of SENIOR LEADERS' communication and engagement with the WORKFORCE, PARTNERS, and CUSTOMERS to

- DEPLOY your MISSION, VISION, and VALUES;
- encourage two-way communication;
- cultivate a CULTURE that values DIVERSITY and fosters equity and inclusion, INNOVATION, and INTELLIGENT RISK taking; and
- create a focus on action?

How do these RESULTS differ by organizational units and CUSTOMER groups, as appropriate?

(2) **GOVERNANCE** What are your RESULTS for GOVERNANCE accountability? What are your RESULTS for KEY MEASURES or INDICATORS of GOVERNANCE and internal and external fiscal accountability, as appropriate?

(3) **Law and Regulation** What are your legal and regulatory RESULTS? What are your RESULTS for KEY MEASURES or INDICATORS of meeting and surpassing regulatory and legal requirements? How do these RESULTS differ by organizational units, as appropriate?

(4) **Ethics** What are your RESULTS for ETHICAL BEHAVIOR? What are your RESULTS for KEY MEASURES or INDICATORS of ETHICAL BEHAVIOR, breaches of ETHICAL BEHAVIOR, and STAKEHOLDER trust in your SENIOR LEADERS and GOVERNANCE? How do these RESULTS differ by organizational units, as appropriate?

(5) **Society** What are your RESULTS for societal well-being and support of your KEY communities? What are your RESULTS for KEY MEASURES or INDICATORS of your societal contributions and support of your KEY communities?

*Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 44–51).*

### Notes

**7.4.** Responses should relate to the communication processes you identify in item 1.1 and the governance, legal and regulatory, ethics, and societal contribution processes and measures you report in item 1.2. Workforce-related occupational safety and health results (e.g., OSHA-reportable incidents) should be reported in 7.1b(2) and 7.3a(2).

**7.4a(2).** Responses might include financial statement issues and risks, important internal and external auditor recommendations, and management's responses to these matters. *Some nonprofit organizations might also report results of IRS 990 audits.*

**7.4a(4).** For examples of measures of ethical behavior and stakeholder trust, see the note to 1.2b(2).

**7.4a(5).** Measures of contributions to societal well-being might include those for environmental protection and those for support of communities, whether local, nationwide, or worldwide. Examples are results for reduced energy consumption, use of renewable energy resources and recycled water, reduction of your carbon footprint, waste reduction and utilization, alternative approaches to conserving resources (e.g., increased virtual meetings), global use of enlightened labor practices, and donations of goods or services to promote housing, community health, and food security for all members of communities.

*For additional guidance on this item, see the [Criteria Commentary](#).*



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## 1.2 Governance and Societal Contributions: How do you govern your organization and make societal contributions?

### a. Organizational GOVERNANCE

- (1) **GOVERNANCE SYSTEM** HOW does your organization ensure responsible GOVERNANCE? How does your GOVERNANCE SYSTEM review and achieve
  - accountability for SENIOR LEADERS' actions;
  - fiscal accountability;
  - transparency in operations;
  - selection of GOVERNANCE board members and disclosure policies for them, as appropriate;
  - independence and EFFECTIVENESS of internal and external audits;
  - protection of STAKEHOLDER and stockholder interests, as appropriate; and
  - succession planning for SENIOR LEADERS?
- (2) **PERFORMANCE Evaluation** HOW do you evaluate the PERFORMANCE of your SENIOR LEADERS and your GOVERNANCE SYSTEM? How do you use PERFORMANCE evaluations in determining executive compensation? How do your SENIOR LEADERS and GOVERNANCE SYSTEM use these PERFORMANCE evaluations to advance their development and improve the EFFECTIVENESS of leaders, the board, and the LEADERSHIP SYSTEM, as appropriate?
- (3) **Organizational PERFORMANCE** HOW does your GOVERNANCE SYSTEM review the organization's PERFORMANCE? How does your GOVERNANCE SYSTEM review progress on STRATEGIC OBJECTIVES and ACTION PLANS?

### b. Legal and ETHICAL BEHAVIOR

- (1) **Legal and Regulatory Compliance** HOW do you address current and anticipated future legal, regulatory, and community concerns with your products and operations? How do you
  - address any adverse societal impacts of your products and operations,
  - anticipate public concerns with your future products and operations, and
  - prepare for these impacts and concerns proactively?

What are your KEY compliance PROCESSES, MEASURES, and GOALS for meeting and surpassing regulatory and legal requirements, as appropriate? What are your KEY PROCESSES, MEASURES, and GOALS for addressing risks associated with your products and operations?

- (2) **ETHICAL BEHAVIOR** HOW do you require and foster ETHICAL BEHAVIOR in all interactions? What are your KEY PROCESSES and MEASURES or INDICATORS for requiring and fostering ETHICAL BEHAVIOR in your GOVERNANCE structure; throughout your organization; and in interactions with your WORKFORCE, CUSTOMERS, PARTNERS, suppliers, and other STAKEHOLDERS? How do you monitor and respond to breaches of ETHICAL BEHAVIOR?

### c. Societal Contributions

- (1) **Societal Well-Being** HOW do you incorporate societal well-being and benefit into your strategy and daily operations? How do you contribute to the well-being of environmental, social, and economic SYSTEMS?
- (2) **Community Support** HOW do you actively support and strengthen your KEY communities? What are your KEY communities? How do you identify them and determine areas for organizational involvement? How do your SENIOR LEADERS, in concert with your WORKFORCE, contribute to improving these communities?



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**1.2.** Societal contributions in areas critical to your ongoing success should also be addressed in Strategy Development (item 2.1) and Operations (category 6). Key societal results should be reported in item 7.4.

**1.2a(1).** Transparency in the operations of your governance system should include your internal controls on governance processes. For some privately held businesses and nonprofit (including government) organizations, an external advisory board may provide some or all governance system functions. *For nonprofit (including government) organizations that serve as stewards of public funds, areas of emphasis are stewardship of those funds and transparency in operations.*

**1.2a(1).** In protecting stakeholder interests, the governance system should consider and approve appropriate levels of risk for the organization, recognizing the need to accept risk as part of running a successful organization.

**1.2a(2).** The evaluation of leaders' performance might be supported by peer reviews, formal performance management reviews, and formal or informal feedback from and surveys of the workforce and other stakeholders. For some privately held businesses and nonprofit and government organizations, external advisory boards might evaluate the performance of senior leaders and the governance board.

**1.2b(2).** Measures or indicators of ethical behavior might include the percentage of independent board members, measures of relationships with stockholder and nonstockholder constituencies, instances of unethical conduct or compliance breaches and responses to them, survey results showing workforce perceptions of organizational ethics, ethics hotline use, percentage of allegations substantiated,

and results of ethics reviews and audits. Such measures or indicators might also include evidence that policies, workforce training, and monitoring systems are in place for conflicts of interest; protection and use of sensitive data, information, and knowledge generated through synthesizing and correlating these data; and proper use of funds.

**1.2c.** *Some charitable organizations may contribute to society and support their key communities totally through the mission-related activities described in response to other Criteria questions. In such cases, it is appropriate to respond here with any "extra efforts" through which you support these and/or broader communities.*

**1.2c(1).** Societal well-being has become both an organizational differentiator and a strategic mandate across sectors. Areas of societal well-being and benefit to report are those that go beyond the compliance processes you describe in 1.2b(1). They might include organizational or collaborative efforts to improve the environment and advance the sustainability of natural resources (e.g., through a circular economy); strengthen community services, education, health, and emergency preparedness; address social inequities; and improve the practices of trade, business, or professional associations. These efforts may have local, regional, national, or global impacts.

**1.2c(2).** Areas for organizational involvement in supporting your key communities might include areas that leverage your core competencies or may focus on helping to address systemic challenges that impact health, education, or economic opportunities.

*For additional guidance on this item, see the [Criteria Commentary](#).*



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## 7.5 Financial, Marketplace, and Strategy Results: What are your results for financial and marketplace performance and strategy implementation?

### a. Financial and Marketplace RESULTS

- (1) **Financial PERFORMANCE** What are your financial PERFORMANCE RESULTS? What are your RESULTS for KEY MEASURES or INDICATORS of financial PERFORMANCE, including aggregate MEASURES of financial return, financial viability, and budgetary PERFORMANCE, as appropriate? How do these RESULTS differ by market SEGMENTS and CUSTOMER groups, as appropriate?
- (2) **Marketplace PERFORMANCE** What are your marketplace PERFORMANCE RESULTS? What are your RESULTS for KEY MEASURES or INDICATORS of marketplace PERFORMANCE, including market share or position, market and market share growth, and new markets entered, as appropriate? How do these RESULTS differ by market SEGMENTS and CUSTOMER groups, as appropriate?

### b. Strategy Implementation and INNOVATION RESULTS

What are your RESULTS for the achievement of your organizational strategy? What are your RESULTS for KEY MEASURES or INDICATORS of your organizational strategy and ACTION PLANS? What are your RESULTS for the KEY MEASURES or INDICATORS of your INNOVATION efforts?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 44–51).

### Notes

**7.5a.** Results should relate to the financial measures you report in 4.1a(1) and the financial management approaches you report in item 2.2.

**7.5a(1).** Aggregate measures of financial return might include those for return on investment, operating margins, profitability, or profitability by market segment or customer group. Measures of financial viability might include those for liquidity, debt-to-equity ratio, days cash on hand, asset utilization, and cash flow. *For nonprofit (including government) organizations, measures of 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.*

**7.5a(2).** *For nonprofit organizations, responses might include measures of charitable donations or grants and the number of new programs or services offered and people or entities served.*

**7.5b.** Measures or indicators of strategy and action plan achievement should relate to the strategic objectives and goals you report in 2.1b(1) and the action plan performance measures and projected performance you report in 2.2a(5) and 2.2a(6), respectively.

**7.5b.** Results for your efforts to innovate should link to your approach for pursuing innovations and taking intelligent risks, as noted in 4.2c. The results should report the innovations as well as the impact on your organization's performance. Examples of such results include significant gains in market share and/or revenues related to new markets entered or products/services launched, or significant gains in effectiveness related to redesigned processes, facilities, or operations.

*For additional guidance on this item, see the [Criteria Commentary](#).*



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## 2.2 Strategy Implementation: How do you implement your strategy?

### a. ACTION PLAN Development and DEPLOYMENT

- (1) **ACTION PLANS** **HOW do you develop your ACTION PLANS?** What are your KEY short- and longer-term ACTION PLANS? HOW do you ensure that they align with your STRATEGIC OBJECTIVES?
- (2) **ACTION PLAN Implementation** **HOW do you DEPLOY your ACTION PLANS?** HOW do you DEPLOY your ACTION PLANS to your WORKFORCE and to KEY suppliers, PARTNERS, and COLLABORATORS, as appropriate, to ensure that you achieve your KEY STRATEGIC OBJECTIVES? HOW do you ensure that you can sustain the KEY outcomes of your ACTION PLANS?
- (3) **Resource Allocation** **HOW do you ensure that financial and other resources are available to support the achievement of your ACTION PLANS while you meet current obligations?** HOW do you allocate these resources to support the plans? HOW do you manage the risks associated with the plans to ensure your financial viability?
- (4) **WORKFORCE Plans** **What are your KEY WORKFORCE plans to support your STRATEGIC OBJECTIVES and ACTION PLANS?** HOW do the plans address potential impacts on your WORKFORCE members and any potential changes in WORKFORCE CAPABILITY and CAPACITY needs?
- (5) **PERFORMANCE MEASURES** **What KEY PERFORMANCE MEASURES or INDICATORS do you use to track the achievement and EFFECTIVENESS of your ACTION PLANS?** HOW do these ACTION PLAN MEASURES or INDICATORS reinforce organizational ALIGNMENT?
- (6) **PERFORMANCE PROJECTIONS** **For these KEY PERFORMANCE MEASURES or INDICATORS, what are your PERFORMANCE PROJECTIONS for your short- and longer-term planning horizons?** If there are gaps between your projected PERFORMANCE and that of your competitors or comparable organizations, HOW do you address them in your ACTION PLANS?

### b. ACTION PLAN Modification

**HOW do you recognize and respond when circumstances require a shift in ACTION PLANS and rapid execution of new plans?**



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**2.2.** The development and deployment of your strategy and action plans are closely linked to other Criteria items. The following are examples of key linkages:

- Item 1.1: how your senior leaders set and communicate organizational direction
- Category 3: how you gather customer and market knowledge as input to your strategy and action plans and to use in deploying action plans
- Category 4: how you measure and analyze data and manage knowledge to support key information needs, support strategy development, provide an effective basis for performance measurements, and track progress on achieving strategic objectives and action plans
- Category 5: how you meet workforce capability and capacity needs, determine needs and design your workforce learning and development system, determine workforce plans, and implement workforce-related changes resulting from action plans
- Category 6: how you address changes to your work processes and products and/or services resulting from action plans

- Item 7.5: results for overall strategy and action plan achievement

**2.2a(4).** In developing your workforce plans, consider the impacts on your different workforce segments in relation to and alignment with organizational objectives around workforce demographics, diversity, and location (e.g., in-person, hybrid, and remote).

**2.2a(6).** Projected performance might consider 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. Your process for projecting future performance should be reported in 4.1b.

**2.2b.** Circumstances that might require shifts in action plans and rapid execution of new plans include disruptive internal or external events, changes in your competitive environment, changing economic conditions, the emergence of disruptive technologies, and sudden changes in customer requirements and expectations.

*For additional guidance on this item, see the [Criteria Commentary](#).*



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## 4 Measurement, Analysis, and Knowledge Management

The **Measurement, ANALYSIS, and Knowledge Management** category asks **HOW** your organization measures, analyzes, reviews, and improves organizational **PERFORMANCE** and **HOW** you manage your information and organizational **KNOWLEDGE ASSETS**.

### 4.1 Measurement, Analysis, Review, and Improvement of Organizational Performance: How do you measure, analyze, review, and improve organizational performance?

#### a. PERFORMANCE Measurement

(1) **PERFORMANCE MEASURES** **HOW** do you track data and information on daily operations and overall organizational **PERFORMANCE**? How do you

- select, collect, align, and integrate data and information to use in tracking daily operations and overall organizational **PERFORMANCE**;
- track progress on achieving **STRATEGIC OBJECTIVES** and **ACTION PLANS**; and
- modify or adjust your **MEASURES** to provide timely data to address rapid or unexpected organizational or external changes?

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

(2) **Comparative Data** **HOW** do you select comparative data and information to support fact-based decision making?

#### b. PERFORMANCE ANALYSIS and Review, and Improvement

(1) **HOW** do you analyze and review your organization's **PERFORMANCE** and **capabilities**? How do you use your **KEY** organizational **PERFORMANCE MEASURES**, as well as comparative data, in these reviews? What **ANALYSES** do you perform to support these reviews and the validity of your findings? How do your organization and its **SENIOR LEADERS** use these reviews to

- assess organizational success, competitive **PERFORMANCE**, **CORE COMPETENCIES**, financial health, and progress on achieving your **STRATEGIC OBJECTIVES** and **ACTION PLANS**; and
- respond rapidly to changing organizational needs and challenges in your operating environment?

How do you project your organization's future **PERFORMANCE**? How do you use findings from **PERFORMANCE** reviews and **KEY** comparative and competitive data in your projections?

(2) **HOW** do you use the findings from your **PERFORMANCE** reviews to identify priorities for continuous improvement and opportunities for **INNOVATION**?



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SCORE	DESCRIPTION
90%, 95%, or 100%	<ul style="list-style-type: none"> <li>Excellent organizational PERFORMANCE LEVELS are reported that are fully responsive to the MULTIPLE QUESTIONS in the item. (Le)</li> <li>Beneficial TRENDS have been sustained over time in all areas of importance to the accomplishment of your organization's MISSION. (T)</li> <li>Industry and BENCHMARK leadership is demonstrated in many areas. (C)</li> <li>Organizational PERFORMANCE RESULTS and PROJECTIONS are reported for most KEY CUSTOMER, WORKFORCE, market, PROCESS, and ACTION PLAN requirements. (I)</li> </ul>
70%, 75%, 80%, or 85%	<ul style="list-style-type: none"> <li>Good-to-excellent organizational PERFORMANCE LEVELS are reported, responsive to MULTIPLE QUESTIONS in the item. (Le)</li> <li>Beneficial TRENDS have been sustained over time in most areas of importance to the accomplishment of your organization's MISSION. (T)</li> <li>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)</li> <li>Organizational PERFORMANCE RESULTS are reported for most KEY CUSTOMER, WORKFORCE, market, PROCESS, and ACTION PLAN requirements. (I)</li> </ul>
50%, 55%, 60%, or 65%	<ul style="list-style-type: none"> <li>Good organizational PERFORMANCE LEVELS are reported, responsive to the OVERALL QUESTIONS in the item. (Le)</li> <li>Beneficial TRENDS are evident in areas of importance to the accomplishment of your organization's MISSION. (T)</li> <li>Some current PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of good relative PERFORMANCE. (C)</li> <li>Organizational PERFORMANCE RESULTS are reported for most KEY CUSTOMER, WORKFORCE, market, and PROCESS requirements. (I)</li> </ul>
30%, 35%, 40%, or 45%	<ul style="list-style-type: none"> <li>Good organizational PERFORMANCE LEVELS are reported, responsive to the BASIC QUESTION in the item. (Le)</li> <li>Some TREND data are reported, and most of the TRENDS presented are beneficial. (T)</li> <li>Early stages of obtaining comparative information are evident. (C)</li> <li>RESULTS are reported for many areas of importance to the accomplishment of your organization's MISSION. (I)</li> </ul>
10%, 15%, 20%, or 25%	<ul style="list-style-type: none"> <li>A few organizational PERFORMANCE RESULTS are reported, responsive to the BASIC QUESTION in the item, and early good PERFORMANCE LEVELS are evident. (Le)</li> <li>Some TREND data are reported, with some adverse TRENDS evident. (T)</li> <li>Little or no comparative information is reported. (C)</li> <li>RESULTS are reported for a few areas of importance to the accomplishment of your organization's MISSION. (I)</li> </ul>
0% or 5%	<ul style="list-style-type: none"> <li>There are no organizational PERFORMANCE RESULTS, or the RESULTS reported are poor. (Le)</li> <li>TREND data either are not reported or show mainly adverse TRENDS. (T)</li> <li>Comparative information is not reported. (C)</li> <li>RESULTS are not reported for any areas of importance to the accomplishment of your organization's MISSION. (I)</li> </ul>

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# Topics

1. Historical Review
2. Difference of Basic / Overall / Multiple
3. Assessment of Result Category



## 2021–2022 Criteria Elements Listed Individually Without Duplication

See page 279 for explanation of this table

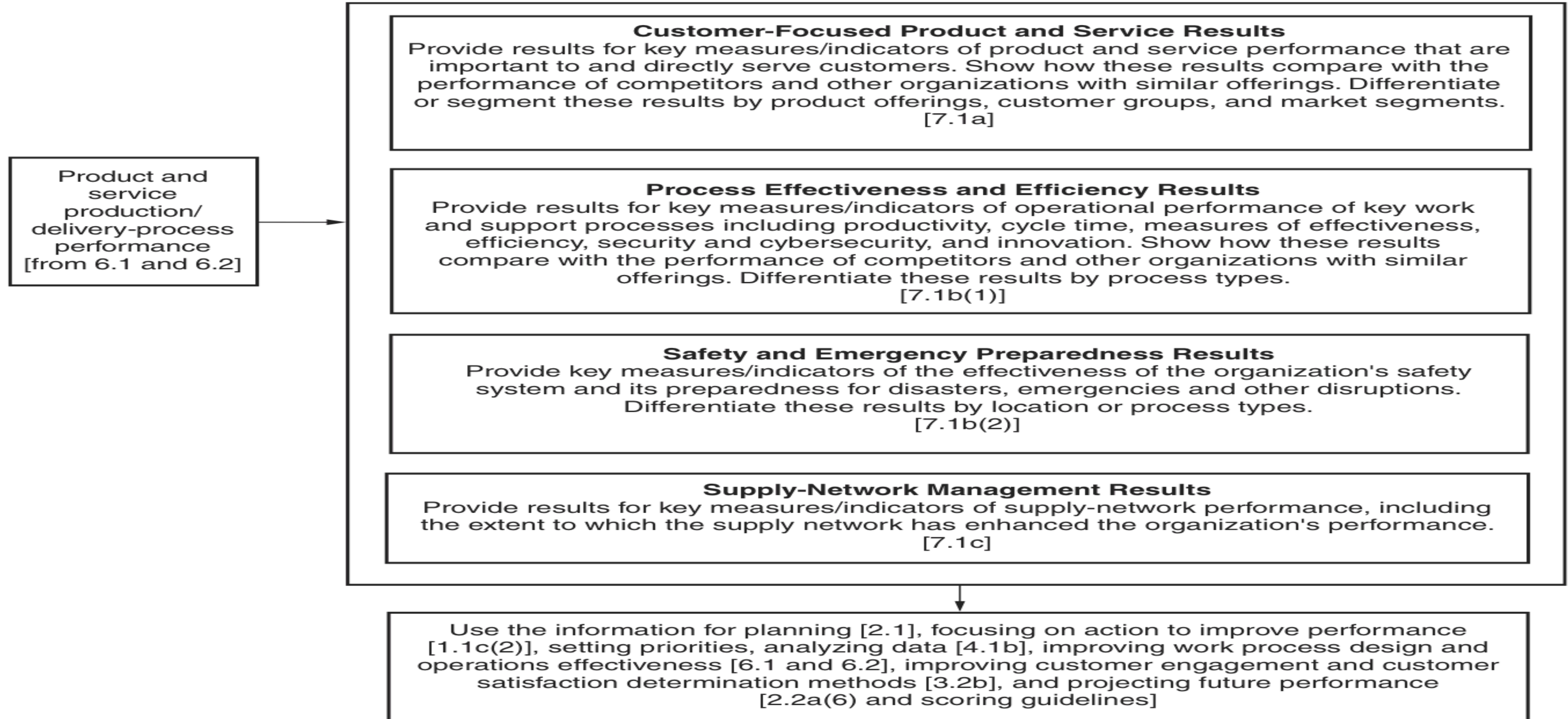
	Basic Results Elements for Scoring Between 10% and 45%	Additional Results Elements at the Overall Level for Scoring Between 50% and 65%	Additional Results Elements at the Multiple Level for Scoring Between 70% and 100%
<b>7.1 Product and Process Results</b>			
7.1a	Report product performance results	Report results for products and <sup>1</sup> customer service processes	<ul style="list-style-type: none"> <li>• Results for key measures or indicators of the performance of products and services that are important to and directly serve customers</li> <li>• Results are differentiated (segmented) by product offerings, customer groups, and market segments, as appropriate</li> </ul>
7.1b(1)	Report process effectiveness results	Report results for process effectiveness and <sup>1</sup> efficiency	<ul style="list-style-type: none"> <li>• Results for key measures or indicators of the operational performance of key work and support processes, including productivity, cycle time, and other appropriate measures of process effectiveness, efficiency, security and cybersecurity, and innovation</li> <li>• Results are differentiated (segmented) by process types, as appropriate</li> </ul>
7.1b(2)		<ul style="list-style-type: none"> <li>• Report results for safety</li> <li>• Report results for emergency preparedness</li> </ul>	<ul style="list-style-type: none"> <li>• Report results for key measures or indicators of the effectiveness of the organization's safety system and preparedness for disasters, emergencies, and other disruptions</li> <li>• Results are differentiated (segmented) by location or process type, as appropriate</li> </ul>
7.1c		Report results for supply-network management	Results for key measures or indicators of the performance of the supply network including its contribution to enhancing the organization's performance

<sup>1</sup> Basic Element duplicated at Overall level.

## 7.1 Product and Process Results

**Basic Elements:** Provide product performance and process effectiveness results

- Overall Elements:**
- Provide results for products and customer service processes [7.1a]
  - Provide results for process effectiveness and efficiency [7.1b(1)]
  - Provide results for safety and emergency preparedness [7.1b(2)]
  - Provide results for supply-network management [7.1c]



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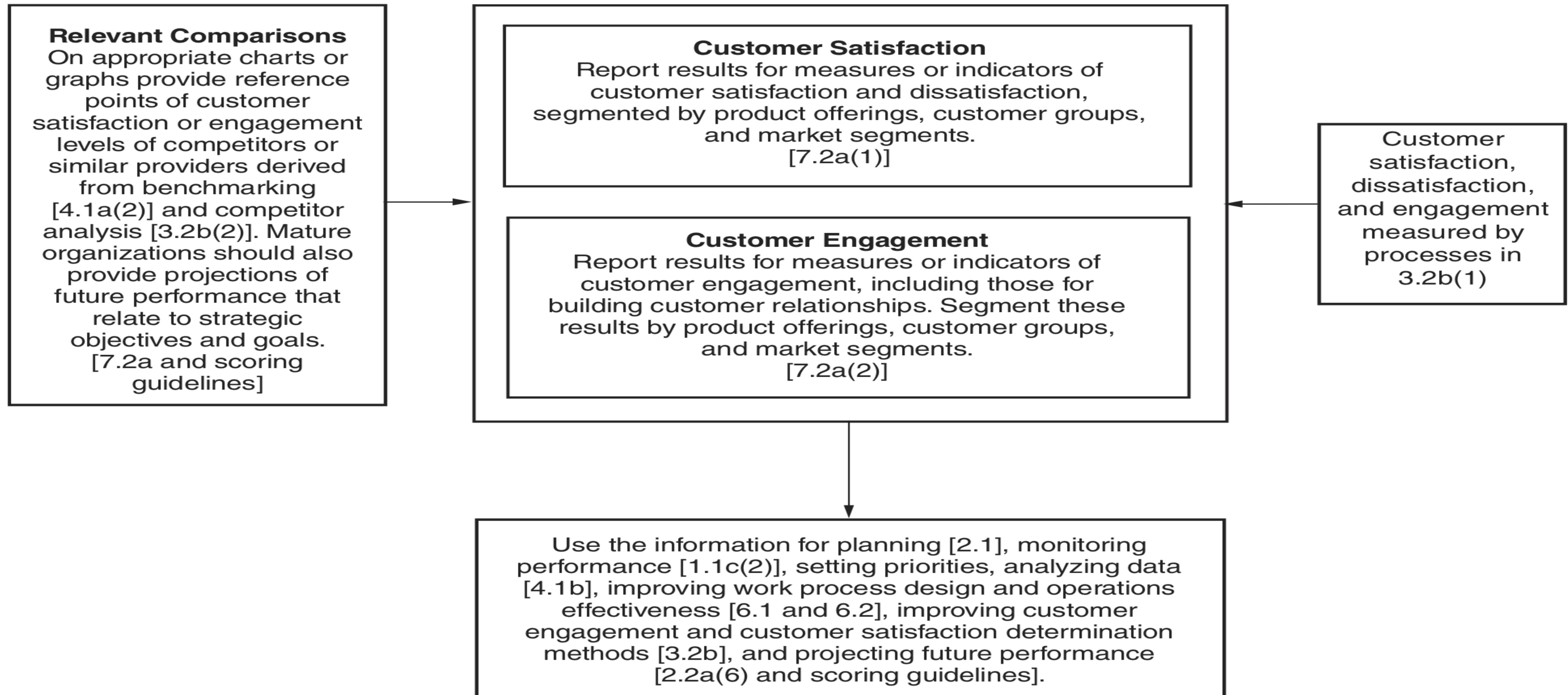
See page 279 for explanation of this table

	<b>Basic Results Elements for Scoring Between 10% and 45%</b>	<b>Additional Results Elements at the Overall Level for Scoring Between 50% and 65%</b>	<b>Additional Results Elements at the Multiple Level for Scoring Between 70% and 100%</b>
<b>7.2 Customer Results</b>			
7.2a(1)	Report customer-focused performance results	Report results for customer satisfaction and dissatisfaction	<ul style="list-style-type: none"> <li>• Report results for key measures or indicators of customer satisfaction and dissatisfaction</li> <li>• Differentiate (segment) results by product offerings, customer groups, and market segments, as appropriate</li> </ul>
7.2a(2)		Report results for customer engagement	<ul style="list-style-type: none"> <li>• Report results for key measures or indicators of customer engagement, including those for building customer relationships</li> <li>• Compare results over the course of the customer life cycle, as appropriate</li> <li>• Differentiate (segment) results by product offerings, customer groups, and market segments, as appropriate</li> </ul>

## 7.2 Customer Results

**Basic Elements:** Report customer-focused performance results

- Overall Elements**
- Report customer satisfaction and dissatisfaction results [7.2a(1)]
  - Report customer engagement results [7.2a(2)]



## 2021–2022 Criteria Elements Listed Individually Without Duplication

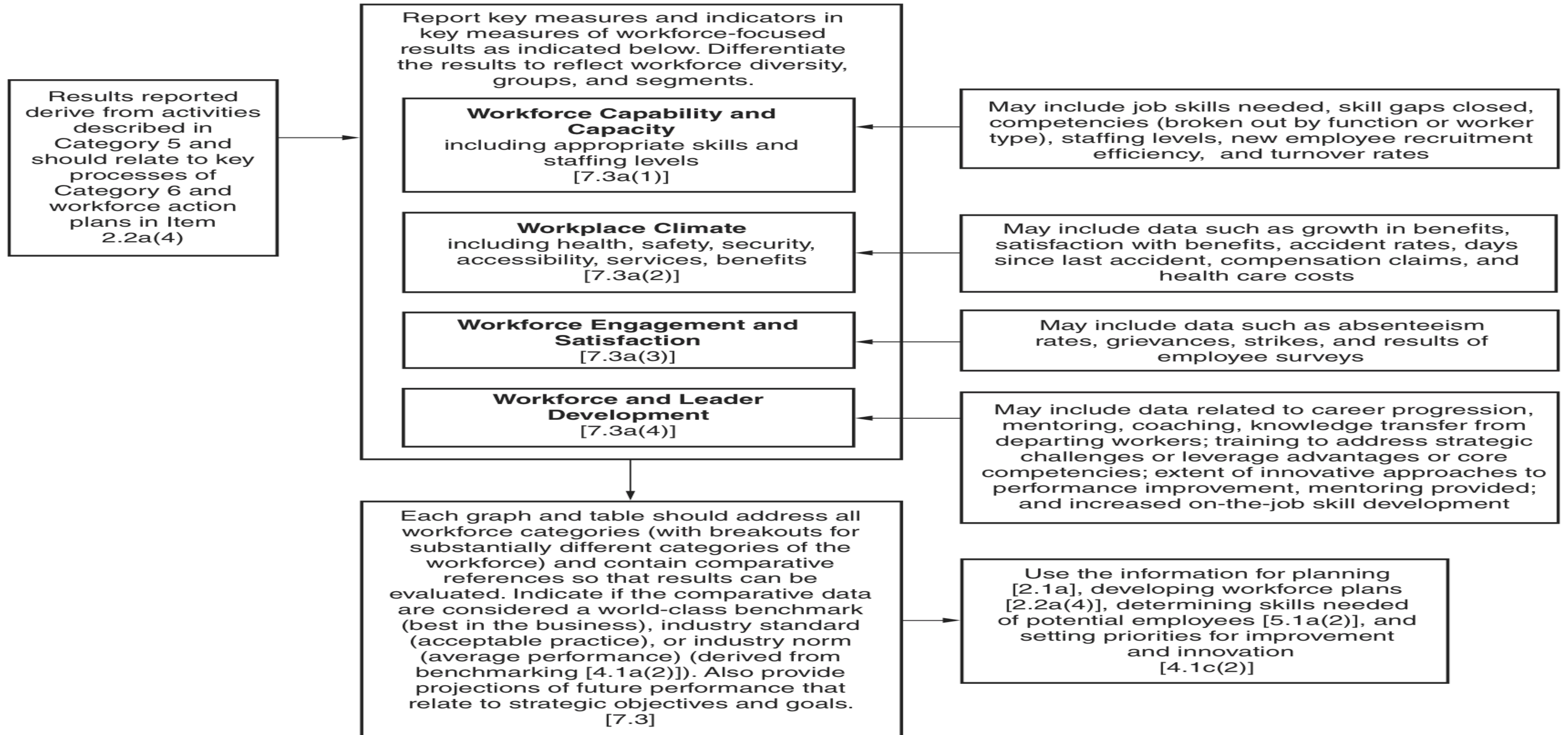
See page 279 for explanation of this table

	Basic Results Elements for Scoring Between 10% and 45%	Additional Results Elements at the Overall Level for Scoring Between 50% and 65%	Additional Results Elements at the Multiple Level for Scoring Between 70% and 100%
<b>7.3 Workforce Results</b>			
7.3a(1)	Report workforce-focused performance results	Report results for workforce capability and capacity	<ul style="list-style-type: none"> <li>• Report results for key measures of workforce capability and capacity, including appropriate skills and staffing levels</li> <li>• Differentiate (segment) results by the diversity of the workforce and by workforce groups and segments, as appropriate</li> </ul>
7.3a(2)		Report results for workplace climate	<ul style="list-style-type: none"> <li>• Report results for key measures or indicators of workplace climate, including those for workforce health, security, accessibility, and services and benefits, as appropriate</li> <li>• Differentiate (segment) results by the diversity of the workforce and by workforce groups and segments, as appropriate</li> </ul>
7.3a(3)		Report results for workforce engagement	<ul style="list-style-type: none"> <li>• Report results for trends in key measures or indicators of workforce satisfaction and workforce engagement</li> <li>• Differentiate (segment) results by the diversity of the workforce and by workforce groups and segments, as appropriate</li> </ul>
7.3a(4)		Report results for workforce and leader development	<ul style="list-style-type: none"> <li>• Report results for key measures or indicators of workforce and leader development</li> <li>• Differentiate (segment) results by the diversity of the workforce and by workforce groups and segments, as appropriate</li> </ul>

## 7.3 Workforce Results

**Basic Element:** Report workforce-focused performance results

- Overall Elements:**
- Report workforce capability and capacity results [7.3a(1)]
  - Report workforce climate results [7.3a(2)]
  - Report workplace engagement results [7.3a(3)]
  - Report workforce and leader development results [7.3a(4)]



## 2021–2022 Criteria Elements Listed Individually Without Duplication

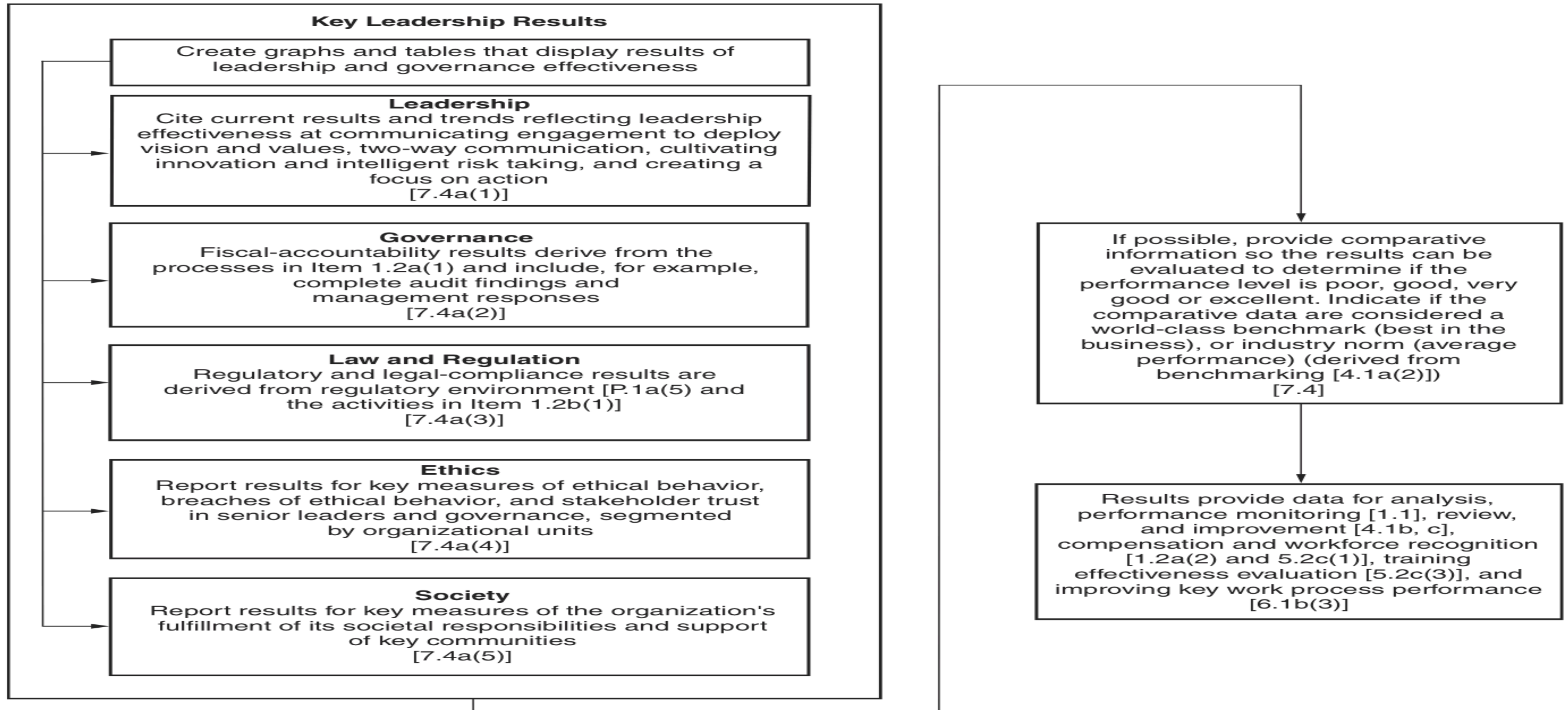
See page 279 for explanation of this table

	Basic Results Elements for Scoring Between 10% and 45%	Additional Results Elements at the Overall Level for Scoring Between 50% and 65%	Additional Results Elements at the Multiple Level for Scoring Between 70% and 100%
<b>7.4 Leadership and Governance Results</b>			
7.4a(1)	Report leadership results	Report results for senior leaders' communication and engagement with the workforce, partners, and customers	<ul style="list-style-type: none"> <li>• Report results for key measures or indicators of senior leaders' communication and engagement with the workforce, partners, and customers to—               <ul style="list-style-type: none"> <li>– Deploy the organization's vision and values</li> <li>– Encourage two-way communication</li> <li>– Cultivate innovation and intelligent risk taking</li> <li>– Create a focus on action</li> </ul> </li> <li>• Differentiate (segment) results by organizational units and customer groups, as appropriate</li> </ul>
7.4a(2)	Report governance results	Report results for governance accountability	<ul style="list-style-type: none"> <li>• Report results for key measures or indicators of internal and external fiscal accountability, as appropriate</li> <li>• (No segmentation required)</li> </ul>
7.4a(3)		Report legal and regulatory results	<ul style="list-style-type: none"> <li>• Report results for key measures or indicators of meeting and surpassing regulatory and legal requirements</li> <li>• Differentiate (segment) results by organizational units, as appropriate</li> </ul>
7.4a(4)		Report results for ethical behavior	<ul style="list-style-type: none"> <li>• Results for key measures or indicators of—               <ul style="list-style-type: none"> <li>– Breaches of ethical behavior</li> <li>– Stakeholder trust in senior leaders and governance</li> </ul> </li> <li>• Differentiate (segment) results by organizational units, as appropriate</li> </ul>
7.4a(5)		Report results for societal well-being and support of key communities	<ul style="list-style-type: none"> <li>• Results for key measures or indicators of societal contributions and support of key communities</li> <li>• (No segmentation required)</li> </ul>

## 7.4 Leadership and Governance Results

**Basic Element:** Provide results for senior leadership and governance

- Overall Elements:**
- Report results for senior leader communication and engagement with the workforce, partners, and customers [7.4a(1)]
  - Report results for governance accountability [7.4a(2)]
  - Report legal and regulatory results [7.4a(3)]
  - Report results for ethical behavior [7.4a(4)]
  - Report results for societal well-being and support of key communities [7.4a(5)]



## 2021–2022 Criteria Elements Listed Individually Without Duplication

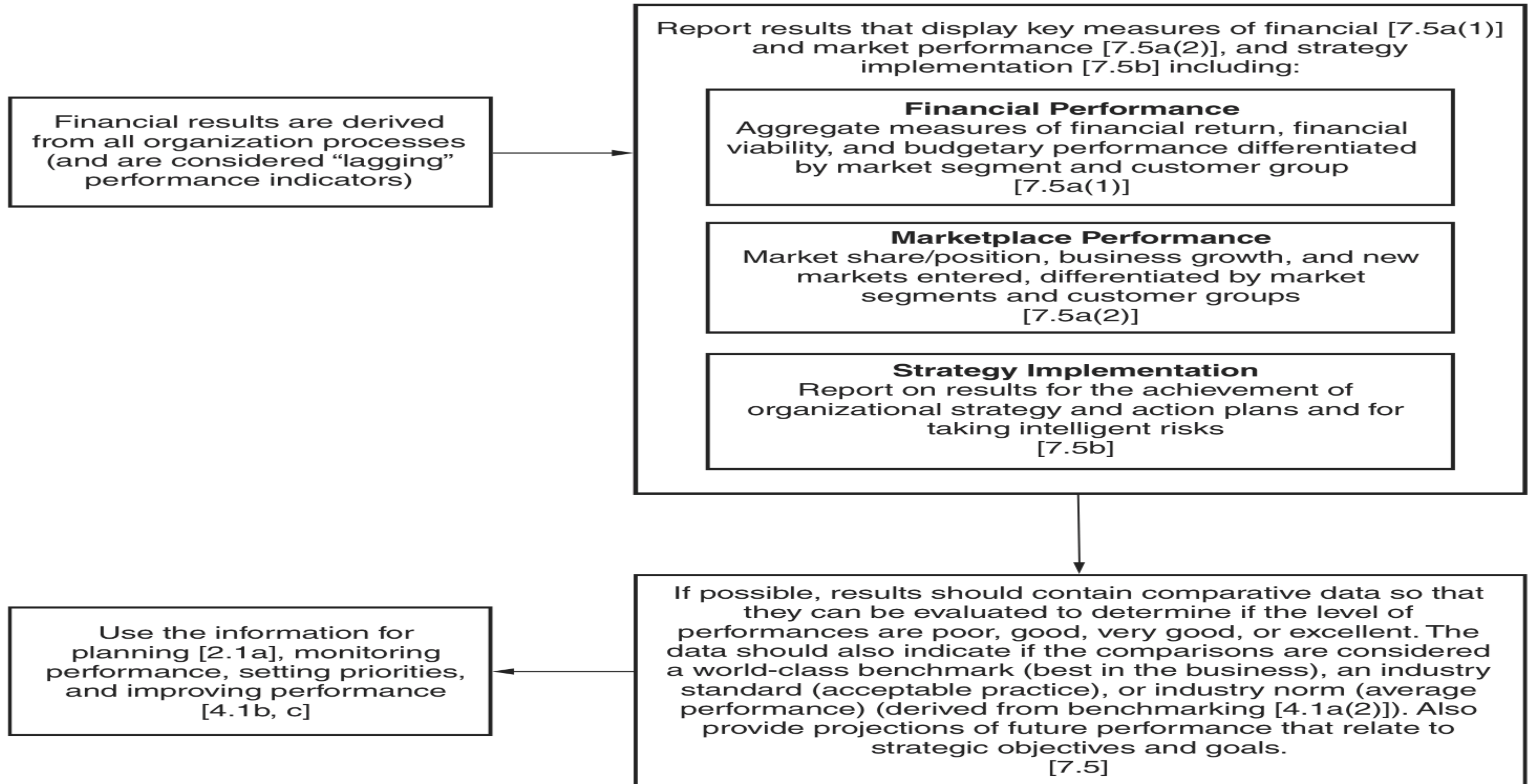
See page 279 for explanation of this table

	Basic Results Elements for Scoring Between 10% and 45%	Additional Results Elements at the Overall Level for Scoring Between 50% and 65%	Additional Results Elements at the Multiple Level for Scoring Between 70% and 100%
<b>7.5 Financial, Market, and Strategy Results</b>			
7.5a(1)	Report financial viability results	Report financial performance results	<ul style="list-style-type: none"> <li>• Report measures and indicators for               <ul style="list-style-type: none"> <li>– Aggregate measures of financial return</li> <li>– <del>Financial viability</del> (already listed as a basic performance requirement)</li> <li>– Budgetary performance, as appropriate</li> </ul> </li> <li>• Differentiate (segment) results by market segments and customer groups, as appropriate</li> </ul>
7.5a(2)		Report marketplace performance results	<ul style="list-style-type: none"> <li>• Report key measures and indicators for               <ul style="list-style-type: none"> <li>– Market share or position</li> <li>– Market and market share growth</li> <li>– New markets entered, as appropriate</li> </ul> </li> <li>• Differentiate (segment) results by market segments and customer groups, as appropriate</li> </ul>
7.5b	Report strategy implementation results	Report achievement of organizational strategy and action plans results	<ul style="list-style-type: none"> <li>• Report key measures and indicators for               <ul style="list-style-type: none"> <li>– Achievement of organizational strategy</li> <li>– Achievement of action plans</li> <li>– Taking intelligent risks</li> </ul> </li> </ul>

## 7.5 Financial, Market, and Strategy Results

**Basic Element:** Report results for financial viability and strategy implementation

- Overall Elements:**
- Report results for financial performance [7.5a(1)]
  - Report results for marketplace performance [7.5a(2)]
  - Report results for achievement of organizational strategy and action plans [7.5b]



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# Topics

1. Historical Review
2. Difference of Basic / Overall / Multiple
3. Assessment of Result Category



## Results

*Results* are the outputs and outcomes your organization achieves, which address the questions in category 7. The four factors used to evaluate results are *levels*, *trends*, *comparisons*, and *integration* (LeTCI). A score for a 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 important performance requirements relating to customers, workforce, products and/or services, markets, processes, action plans, and organization-wide goals identified in your

Organizational Profile and in process items. Note: Goals are generally not factored into evaluation of the goodness of results since how they are set is not always clear.

In the scoring of results items, look for data on performance levels, trends, and relevant comparisons for key measures and indicators of your organization's performance, as well as integration with your organization's key requirements. Results items should also show data on the breadth of the performance results reported. This is directly related to deployment and organizational learning; if improvement processes are widely shared and deployed, there should be corresponding results.



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RESULTS

2023  
2024

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SCORE	DESCRIPTION
90%, 95%, or 100%	<ul style="list-style-type: none"> <li>Excellent organizational PERFORMANCE LEVELS are reported that are fully responsive to the MULTIPLE QUESTIONS in the item. (Le)</li> <li>Beneficial TRENDS have been sustained over time in all areas of importance to the accomplishment of your organization's MISSION. (T)</li> <li>Industry and BENCHMARK leadership is demonstrated in many areas. (C)</li> <li>Organizational PERFORMANCE RESULTS and PROJECTIONS are reported for most KEY CUSTOMER, WORKFORCE, market, PROCESS, and ACTION PLAN requirements. (I)</li> </ul>
70%, 75%, 80%, or 85%	<ul style="list-style-type: none"> <li>Good-to-excellent organizational PERFORMANCE LEVELS are reported, responsive to MULTIPLE QUESTIONS in the item. (Le)</li> <li>Beneficial TRENDS have been sustained over time in most areas of importance to the accomplishment of your organization's MISSION. (T)</li> <li>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)</li> <li>Organizational PERFORMANCE RESULTS are reported for most KEY CUSTOMER, WORKFORCE, market, PROCESS, and ACTION PLAN requirements. (I)</li> </ul>
50%, 55%, 60%, or 65%	<ul style="list-style-type: none"> <li>Good organizational PERFORMANCE LEVELS are reported, responsive to the OVERALL QUESTIONS in the item. (Le)</li> <li>Beneficial TRENDS are evident in areas of importance to the accomplishment of your organization's MISSION. (T)</li> <li>Some current PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of good relative PERFORMANCE. (C)</li> <li>Organizational PERFORMANCE RESULTS are reported for most KEY CUSTOMER, WORKFORCE, market, and PROCESS requirements. (I)</li> </ul>
30%, 35%, 40%, or 45%	<ul style="list-style-type: none"> <li>Good organizational PERFORMANCE LEVELS are reported, responsive to the BASIC QUESTION in the item. (Le)</li> <li>Some TREND data are reported, and most of the TRENDS presented are beneficial. (T)</li> <li>Early stages of obtaining comparative information are evident. (C)</li> <li>RESULTS are reported for many areas of importance to the accomplishment of your organization's MISSION. (I)</li> </ul>
10%, 15%, 20%, or 25%	<ul style="list-style-type: none"> <li>A few organizational PERFORMANCE RESULTS are reported, responsive to the BASIC QUESTION in the item, and early good PERFORMANCE LEVELS are evident. (Le)</li> <li>Some TREND data are reported, with some adverse TRENDS evident. (T)</li> <li>Little or no comparative information is reported. (C)</li> <li>RESULTS are reported for a few areas of importance to the accomplishment of your organization's MISSION. (I)</li> </ul>
0% or 5%	<ul style="list-style-type: none"> <li>There are no organizational PERFORMANCE RESULTS, or the RESULTS reported are poor. (Le)</li> <li>TREND data either are not reported or show mainly adverse TRENDS. (T)</li> <li>Comparative information is not reported. (C)</li> <li>RESULTS are not reported for any areas of importance to the accomplishment of your organization's MISSION. (I)</li> </ul>

## Calibration Guidelines

Defining scoring terms may help reduce unnecessary variability. We have been frequently asked by examiners to define, in terms of percent, the meaning of *most*. Some define *most* as 51%. Others have a higher standard, even up to 90%. Defining *good* and *very good* is even more difficult. To reduce this variability, the following guidelines are suggested:

Few:	5%–15% (major gaps in deployment exist)
Some:	Greater than 15%–30% (deployed, although in the early stages)
Many:	Greater than 30%–50% (well-deployed, although deployment may vary in some areas)
Most:	Greater than 50%–80% (well-deployed, with no apparent gaps in most areas)
Nearly All:	Greater than 80%–to less than 100% (fully deployed, with no significant gaps in any areas or work units)
All:	100%
<i>Good:</i>	<i>Better than average for relevant competitors or similar providers; above industry average or median. (Note: performance equal to or better than a Baldrige recipient should be considered “good” unless the applicant provides information that the performance level of the Baldrige recipient is very good or excellent.)</i>
<i>Very Good:</i>	<i>In the top quartile of relevant competitors or similar providers</i>
<i>Excellent:</i>	<i>At or near the top of relevant competitors or similar providers; top 10%; best benchmark; better than best competitor</i>

# Conclusions

1. การจำแนก B/O/M ของผลลัพธ์ อาจพิจารณาจาก Key Word ที่แตกต่างกันในแต่ละระดับของคำถาม
2. Measure / Indicator จะพบในคำถาม Multiple เท่านั้นซึ่งกินความทั้ง Input / Leading / Output / Performance
3. การศึกษาเชื่อมโยงกับคำถามในหมวด 1-6 ทำให้เข้าใจความแตกต่างของ B/O/M มากขึ้น
4. ระดับคะแนน ขึ้นกับ Goodness ของผลลัพธ์ ไม่ใช่เพียงแค่มีตัววัดครบ
5. การมีตัววัดครบ เอื้อให้สามารถคะแนนสูงได้ หากผลลัพธ์ดี

