

# **Baldrige Explorer**

## **Organizational Self-Assessment**

# **Business Sample**

~ Category 1 Only ~



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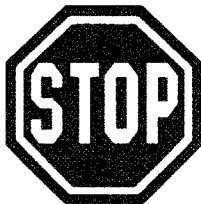
Version 1.1.2r.08Explorer

## Customized Demographic Profile

Please circle one selection from EACH column below to indicate your position within the organization.

| Position                  | Location     | Function                              | Years of Service |
|---------------------------|--------------|---------------------------------------|------------------|
| Executive/ Senior Manager | East         | Manufacturing                         | 0 < 1            |
| Individual Contributor    | West         | R&D/ Knowledge Mgmt/<br>Info Tech     | 1 < 3            |
| Supervisor                | Headquarters | Sales/ Marketing/<br>Customer Support | 3 < 5            |
|                           |              | Support Services                      | 5 < 10           |
|                           |              |                                       | 10+              |

The Performance Improvement Assessment is a confidential assessment. Do not write your own name or other personally identifiable information on this questionnaire. We will compile performance information feedback results. This assessment will be used to help evaluate the progress of your organization toward developing high performance systems.



**DO NOT PROCEED UNTIL YOU HAVE CIRCLED THE APPROPRIATE SELECTIONS ABOVE.**

## *Baldrige Explorer for Business Instructions*

This survey consists of **45** themes or questions that relate to the 2008 Baldrige Performance Excellence Criteria. It is organized into seven “sections”, one for each of the seven Baldrige Performance Excellence Criteria Categories.

- To the best of your knowledge, select a rating (1 to 6) that describes the level of development in your organization. **Note that all of the elements of a statement must be true before you can select that level. If one or more is not true, you must go to a lower level.** After you have selected the rating level, please enter the value in the empty box to the right of the row of statements.



**Accuracy Tip:** *The rating scale involves your assessment about the extent of use of the required management processes. The following definitions should help you rate this consistently:*

- Few \_\_\_\_\_ less than 15%
- Some \_\_\_\_\_ 15% to less than 30%
- Many \_\_\_\_\_ 30% to less than 50%
- Most \_\_\_\_\_ 50% to less than 80%
- Nearly All \_\_\_\_\_ 80% to less than 99%
- All \_\_\_\_\_ 100%



**Time Saving Tip:** *Start reading at level 3. If all parts of the statement are true, go to level 4, if not, drop back to read level 2. After a few answers, save even more time by starting at the number you select most often. Don't waste time by reading from row 1 each time (unless most of your answers are 1).*

- **If you do not know an answer, enter NA (Not Applicable/Does Not Apply) or ? (Don't Know).** If you are unsure of the meaning of a word or phrase, please check the glossary at the end of this booklet.
- After all statements in each category have been rated, you will be directed to **identify two areas** you believe are the **most important to improve** in your organization now. Then, **go back to the space below each row of statements** you identified as vital to improve and **describe briefly the activities your organization conducts that relate to the topic.** Also, **please suggest steps that your organization or its leaders could take to improve the processes.** Your thoughtful comments are as helpful as the rating itself. If you want to comment on more themes, please do so.
- Continue in the same way to complete all seven categories.

# SAMPLE PAGE



| 1A   | Vision and Values: Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)]<br><i>How well do senior leaders set and deploy the organization's vision and values throughout the organization and to appropriate key suppliers, partners, and customers?</i> |   |   |   |  |       |
|--|---|---|---|---|--|-------|
| 1<br>Not Evident   | 2<br>Beginning  | 3<br>Basically Effective  | 4<br>Mature   | 5<br>Advanced   | 6<br>Role Model  | Level |
| <ul style="list-style-type: none"> <li>Senior leaders <u>do not</u> do a good job guiding the organization or setting vision, values, and direction.</li> <li>Leaders usually wait until problems become serious before acting.</li> </ul>   | <ul style="list-style-type: none"> <li>A <u>few</u> senior leaders have started to do a good job guiding the organization by laying out vision, values, and direction that a few top level workers understand.</li> </ul>   | <ul style="list-style-type: none"> <li><u>Some</u> senior leaders guide the organization by effectively laying out vision, values, and direction that <u>some</u> middle and upper level workers understand. Senior leaders sometimes ask for and get feedback to see if vision, values, and direction are understood in <u>many</u> parts of the organization.</li> <li>Senior leaders may have started to make improvements as a result of the feedback.</li> </ul> | <ul style="list-style-type: none"> <li><u>Many</u> senior leaders effectively guide the organization and convey vision, values, and direction to <u>many</u> workers at many levels.</li> <li>Senior leaders <u>sometimes</u> ask for and get feedback to see if vision, values, and direction are understood in <u>many</u> parts of the organization.</li> <li>Senior leaders may have started to make improvements as a result of the feedback.</li> </ul> | <ul style="list-style-type: none"> <li><u>Most</u> senior leaders effectively establish and convey the vision, values, and direction to <u>most</u> workers at all levels and key suppliers.</li> <li>They lead by example; their personal actions <u>usually</u> follow these values.</li> <li>Leaders <u>regularly</u> ask for and get feedback to see if vision, values, and direction are understood and followed in <u>most</u> parts of the organization.</li> <li>Leaders <u>sometimes</u> make improvements as a result of the feedback.</li> </ul> | <ul style="list-style-type: none"> <li><u>Nearly all</u> senior leaders effectively establish and convey vision, values, and direction to <u>nearly all</u> workers at all levels and appropriate suppliers, partners, and customers. The vision and values are reflected in the strategic objectives, action plans, and priorities of the organization.</li> <li>Senior leaders <u>regularly</u> ask for and get feedback to see if the vision, values, and direction are understood and followed <u>throughout</u> the organization.</li> <li>Leaders <u>consistently</u> make improvements as a result of the feedback.</li> <li>Leaders have developed innovative approaches in these areas and share best practices across the organization.</li> </ul> | 3     |
| <p><b>Row Statements – Columns 1-6.</b> ALL of the elements of a rating statement must be true before you can select that level. If one or more statements are not true, you must go to a lower level. After you have selected the rating level, enter the value in the “Level” column to the far right of the row of statements. <b>To save time, it is recommended you begin at Level 3 – Basically Effective and adjust accordingly.</b></p> <p style="text-align: center;"><b>Comments in this area are required if this question is one of the two primary areas you chose for improvement. You may always write a comment if you choose to do so.</b></p> <p><b>Comments:</b> Describe how senior leaders set and deploy vision and values across the organization. To what extent do the personal actions and words of the senior leaders reflect the organization's vision and values? How widely are the vision and values understood? What innovations (if any) have senior leaders made in providing clear guidance and deploying vision and values? What best practices should the organization share?</p> <p><b>EXAMPLE:</b> The organization's vision is on posters throughout the building. During our staff meetings, my supervisor sometimes talks about how important it is to make sure our programs support the needs of our youth, especially in light of the deployments and the increase in “single” parents.</p> <p><b>Suggest ways to improve these processes.</b></p> <p><b>EXAMPLE:</b> Some locations have developed new programs for children and youth, we need a mechanism through which to share this information.</p> |   |   |   |   |  |       |

# Category 1: Leadership

| 1A Vision and Values: Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)]<br><i>Do we receive clear guidance (i.e., organizational vision, mission, values, and direction) from senior leaders? If so, is this guidance known throughout the organization and to others (i.e., customers, stakeholders, etc.) as appropriate.</i>  |   |  |  |  |  |       |
|---|---|--|--|--|--|-------|
| 1<br>Not Evident  | 2<br>Beginning  | 3<br>Basically Effective   | 4<br>Mature  | 5<br>Advanced  | 6<br>Role Model  | Level |
| <ul style="list-style-type: none"> <li>• Senior leaders do not provide clear organizational guidance (i.e., vision, values, mission, and direction).</li> <li>• Leaders usually wait until problems become serious before taking action.</li> </ul>   | <ul style="list-style-type: none"> <li>• A <u>few</u> senior leaders have started to do a good job leading the organization to help focus a <u>few</u> workers on priorities.</li> <li>• However, the leadership focus is not widely used or is only understood by top level managers.</li> </ul> | <ul style="list-style-type: none"> <li>• <u>Some</u> senior leaders effectively lead the organization. They help focus <u>some</u> workers on priorities.</li> <li>• Senior leader guidance is used in <u>many</u> parts of the organization and is understood by <u>many</u> managers and <u>some</u> workers.</li> <li>• Senior leaders are <u>starting</u> to ask for feedback to see if their leadership is effective or their guidance is understood but do not use the data to improve.</li> </ul> | <ul style="list-style-type: none"> <li>• <u>Many</u> senior leaders effectively guide and direct the organization. They focus many workers on operational and improvement priorities.</li> <li>• Senior leaders <u>sometimes</u> ask for and get feedback to see if their guidance and direction are understood in <u>many</u> parts of the organization.</li> <li>• Senior leaders may have made improvements or changes to how they guide the organization as a result of the feedback.</li> </ul> | <ul style="list-style-type: none"> <li>• <u>Most</u> senior leaders provide clear direction throughout the organization.</li> <li>• <u>Most</u> senior leaders pass on the vision, values and organizational direction to <u>most</u> workers and key suppliers.</li> <li>• Senior leaders lead by example; their personal actions <u>usually</u> follow organizational values.</li> <li>• Leaders <u>regularly</u> ask for and get feedback from workers in most parts of the organization to see if they understand the vision, values, and direction of the organization.</li> <li>• Leaders <u>sometimes</u> make improvements or changes to how they guide the organization as a result of the feedback.</li> </ul> | <ul style="list-style-type: none"> <li>• <u>Nearly all</u> senior leaders provide clear direction throughout the organization. <u>Nearly all</u> senior leaders pass on the vision, values, and direction to <u>nearly all</u> workers at all levels of the organization and to appropriate suppliers, partners, and customers.</li> <li>• Senior leaders lead by example and <u>nearly always</u> follow the organization's values.</li> <li>• Leaders <u>regularly</u> ask for and get feedback from workers at all levels to see if they understand the vision, values, and direction of the organization.</li> <li>• Leaders <u>consistently</u> make improvements or changes to how they guide the organization as a result of the feedback.</li> <li>• Leaders have developed creative (innovative) approaches in these areas (i.e., creative ways to pass on the vision/values). They make sure these best practices are shared across the organization.</li> </ul> |       |
| <p><b>Comments:</b> What guidance have senior leaders put in place within your organization? How have they done this? Provide examples on how the personal actions of top leaders reflect or do not reflect the organization's vision and values? What creative ideas have senior leaders used to ensure guidance is passed on and understood by workers throughout the organization? What best practices have been shared throughout the organization?</p> <p>Suggest ways to improve these processes.</p> |   |  |  |  |  |       |

**Category 1: Leadership**

| <b>1B</b>  | Vision and Values: Promoting a Climate for Legal and Ethical Behavior [Baldrige ref: 1.1a(2)]<br><b>How do senior leaders make sure that everyone in the organization behaves in a lawful and ethical way?</b>  |   |   |   |   |       |
|--|---|---|---|---|---|-------|
| 1<br>Not Evident   | 2<br>Beginning  | 3<br>Basically Effective  | 4<br>Mature   | 5<br>Advanced   | 6<br>Role Model   | Level |
| <ul style="list-style-type: none"> <li>Senior leaders <u>have not</u> created an environment to guide the organization effectively or encourage lawful and ethical behavior.</li> <li>Leaders usually wait until problems become serious before taking action.</li> </ul>  | <ul style="list-style-type: none"> <li>We are starting to receive clear guidance from a <u>few</u> senior leaders about following laws, regulations and ethical practices. The guidance is not widely used or understood by most people in the organization.</li> </ul> | <ul style="list-style-type: none"> <li>We receive clear guidance from <u>some</u> senior leaders on the importance of everyone following laws, regulations, and ethical practices.</li> <li>Senior leaders are starting to check the effectiveness of these efforts, but do not use the data to improve.</li> </ul> | <ul style="list-style-type: none"> <li>We receive clear guidance from <u>many</u> senior leaders on the importance of everyone following laws, regulations, and ethical practices.</li> <li>Senior leaders sometimes check the effectiveness of these efforts and may make changes to prevent more ethical problems.</li> </ul> | <ul style="list-style-type: none"> <li><u>Most</u> senior leaders provide clear direction throughout the organization on the importance of following laws, regulations, and ethical practices, so that <u>most</u> workers follow <u>most</u> of the organization's legal and ethical codes of conduct.</li> <li><u>Most</u> senior leaders work to prevent bad conduct, rather than wait for problems to occur. They <u>regularly</u> check to make sure workers are following the rules.</li> <li>Senior leaders <u>sometimes</u> make improvements in processes to promote lawful and ethical behavior.</li> <li>Some sharing of effective practices takes place within the organization.</li> </ul> | <ul style="list-style-type: none"> <li><u>Nearly all</u> senior leaders provide clear direction throughout the organization of the importance of following laws, regulations, and ethical practices, so that <u>nearly all</u> workers follow <u>nearly all</u> legal and ethical codes of conduct in place within the organization.</li> <li><u>Nearly all</u> senior leaders work to prevent bad conduct, rather than wait for problems to occur.</li> <li>Leaders <u>regularly</u> check compliance and make <u>ongoing</u> improvements to achieve better compliance.</li> <li><u>Nearly all</u> leaders have developed creative (innovative) approaches to ensure employees follow legal and ethical codes of conduct.</li> <li>Leaders regularly share these ideas and best practices across the organization.</li> </ul> |       |
| <p><b>Comments:</b> Describe how your top leaders encourage you to follow laws, regulations, and ethical behavior across the organization. What creative ideas or processes do leaders use to promote lawful and ethical conduct? What best practices in this area have been shared throughout the organization?</p> <p>Suggest ways to improve these processes.</p> |   |   |   |   |   |       |

**Category 1: Leadership**

| 1C  | Vision and Values: Sustaining the Organization Through Innovation, Learning, Organizational Agility, and Developing Future Leaders [Baldrige ref: 1.1a(3)]<br><b>Are senior (top) leaders working to create an organization that can sustain success in the future? Do senior leaders promote employee learning and the development of future leaders?</b> |   |   |   |   |       |
|---|--|---|---|---|---|-------|
| 1<br>Not Evident  | 2<br>Beginning   | 3<br>Basically Effective  | 4<br>Mature   | 5<br>Advanced   | 6<br>Role Model   | Level |
| <ul style="list-style-type: none"> <li>• Senior leaders have not created an environment to guide the organization effectively or prepare for future challenges.</li> <li>• Leaders usually wait until problems become serious before taking action.</li> </ul>  | <ul style="list-style-type: none"> <li>• The need to sustain success is discussed by a <u>few</u> senior leaders but not much is done about it.</li> <li>• The processes are not widely used or understood.</li> </ul>   | <ul style="list-style-type: none"> <li>• <u>Some</u> senior leaders provide effective guidance regarding the need to sustain success, but it is understood only by <u>some</u> top level workers.</li> <li>• Senior leaders are starting to check the effectiveness of these efforts but do not use the data to improve.</li> </ul> | <ul style="list-style-type: none"> <li>• <u>Many</u> senior leaders have effective processes in place to sustain organizational success in <u>many</u> areas.</li> <li>• The work to sustain the organization is in line with strategic objectives and action plans.</li> <li>• Senior leaders <u>sometimes</u> check to see if their efforts in these areas are effective.</li> <li>• As a result, senior leaders may have made some changes.</li> </ul> | <ul style="list-style-type: none"> <li>• <u>Most</u> senior leaders have put in place effective processes to sustain organizational success. They have created an environment of performance improvement, innovation (creativity), and workforce learning to achieve mission and strategic objectives, and prepare for future challenges.</li> <li>• <u>Most</u> leaders <u>have improved</u> organizational agility in their areas of responsibility by reducing bureaucratic “red tape” and encouraging individual initiative and work-related decision-making for workers.</li> <li>• <u>Most</u> senior leaders help to develop future leaders.</li> <li>• Most senior leaders <u>regularly</u> check to see if their efforts in these areas are effective.</li> <li>• As a result of this feedback, leaders <u>sometimes</u> make meaningful improvements.</li> <li>• There is <u>some</u> sharing of effective practices in this area within the organization.</li> </ul> | <ul style="list-style-type: none"> <li>• <u>Nearly all</u> senior leaders have put in place effective processes to sustain organizational success. They have created an environment of performance improvement, innovation (creativity), and workforce learning to achieve mission and strategic objectives, and prepare for future challenges.</li> <li>• Within their areas of responsibility, <u>nearly all</u> leaders have improved their ability to implement rapid change by reducing “red tape” and encouraging workers to take action and make work-related decisions.</li> <li>• <u>Nearly all</u> senior leaders help to develop future leaders.</li> <li>• As a result, leaders make <u>ongoing</u> meaningful improvements or changes in these areas.</li> <li>• Nearly all senior leaders have developed creative (innovative) approaches in these areas and share best practices across the organization.</li> </ul> |       |
| <p><b>Comments:</b> Describe how your senior leaders promote performance improvement, creativity, organizational and employee learning, and rapid change to meet current organizational needs and to prepare the organization to sustain success in the future. How do senior leaders support the development of future leaders? What creative (innovations) changes have been made within your organization? What best practices have been shared within the organization?</p> <p>Suggest ways to improve these processes.</p> |  |   |   |   |   |       |

**Category 1: Leadership**

| <p><b>1D</b> Communication and Organizational Performance: Effectively Communicating, Engaging, and Encouraging Workers to Take Action to Improve Performance and Create Customer Value [Baldrige ref: 1.1b(1&amp;2)]<br/> <b>How well do senior leaders communicate with workers and engage them to do their best at all times to achieve high performance and meet customer needs?</b></p>   |   |   |  |  |   |       |
|--|---|---|--|--|---|-------|
| 1<br>Not Evident   | 2<br>Beginning  | 3<br>Basically Effective  | 4<br>Mature  | 5<br>Advanced  | 6<br>Role Model   | Level |
| <ul style="list-style-type: none"> <li>• Senior leaders do not effectively communicate with, empower, or motivate workers.</li> <li>• Senior leaders do not encourage two-way communication or actively participate in employee reward and recognition.</li> <li>• Senior leaders usually wait until communication and organizational performance problems become serious before taking action.</li> </ul>   | <ul style="list-style-type: none"> <li>• <u>A few</u> senior leaders have started to provide guidance to focus work on key priorities.</li> <li>• The guidance is not very effective since it is not widely known.</li> </ul> | <ul style="list-style-type: none"> <li>• <u>Some</u> senior leaders provide effective guidance to focus work on key priorities.</li> <li>• Senior leaders are starting to check the effectiveness of these efforts but do not use the data to improve.</li> </ul> | <ul style="list-style-type: none"> <li>• <u>Many</u> senior leaders effectively communicate with <u>many</u> workers and encourage high performance by their actions, not just words.</li> <li>• Senior leaders <u>sometimes</u> check to see if their efforts in these areas are effective and may make some changes as a result.</li> <li>• The focus on high performance is aligned with strategic objectives and action plans effectual for future success.</li> </ul> | <ul style="list-style-type: none"> <li>• Senior leaders effectively communicate with and engage <u>most</u> workers throughout the organization.</li> <li>• <u>Most</u> senior leaders make sure that open, honest, two-way communication occurs in <u>most</u> of the organization.</li> <li>• <u>Most</u> senior leaders participate in reward and recognition programs that recognize workers for meeting high performance objectives, action plans, and customer needs.</li> <li>• <u>Most</u> senior leaders inspire action to achieve the organization's objectives and vision and improve performance.</li> <li>• Senior leaders <u>regularly</u> check how well they communicate with workers and encourage high performance.</li> <li>• They <u>sometimes</u> make improvements based on this information.</li> <li>• Leaders <u>sometimes</u> make sure that good ideas and practices are shared across the organization.</li> </ul> | <ul style="list-style-type: none"> <li>• Senior leaders effectively communicate with, empower, and motivate <u>nearly all</u> workers throughout the organization.</li> <li>• <u>Nearly all</u> senior leaders make sure that open, honest, two-way communication occurs <u>throughout</u> the organization.</li> <li>• <u>Nearly all</u> senior leaders actively participate in reward and recognition programs that recognize workers for meeting high performance objectives, action plans, and customer needs.</li> <li>• <u>Nearly all</u> senior leaders inspire action to achieve the organization's objectives and vision and improve performance.</li> <li>• Senior leaders <u>almost always</u> check to see how well they communicate with workers and encourage high performance. They usually make <u>ongoing</u> improvements based on this information.</li> <li>• Senior leaders have developed creative (innovative) approaches in these areas.</li> <li>• Leaders <u>almost always</u> make sure that good ideas and practices are shared across the organization.</li> </ul> |       |
| <p><b>Comments:</b> How do senior leaders communicate with workers in your organization? How do they motivate you to do your best at all times? Describe how senior leaders encourage you to speak openly and honestly on issues. Describe how senior leaders actively participate in reward and recognition programs. What creative approaches have they developed to communicate better with the workforce, provide rewards, or encourage you to do your best?</p> <p>Suggest ways to improve these processes.</p> |   |   |  |  |   |       |

**Category 1: Leadership**

|  |   |   |   |  |   |              |
|--|---|---|---|--|---|--------------|
| <p><b>1E</b> Organizational Governance: Review and Achieve Management Accountability, Protect Stakeholder Interests, and Improve Leader Effectiveness [Baldrige ref: 1.2a(1&amp;2)]</p> <p><b>To what extent are senior leaders and managers held accountable for their actions (management accountability)? How well does the organization protect the public against fraud, waste, and abuse (fiscal accountability); and improve leadership effectiveness?</b></p>                      |   |   |   |  |   |              |
| <b>1</b>   | <b>2</b>  | <b>3</b>  | <b>4</b>  | <b>5</b>   | <b>6</b>  | <b>Level</b> |
| <b>Not Evident</b>   | <b>Beginning</b>  | <b>Basically Effective</b>  | <b>Mature</b>   | <b>Advanced</b>  | <b>Role Model</b>   |              |
| <ul style="list-style-type: none"> <li>• Effective processes, policies, or practices <u>are not</u> in place to hold senior leaders and managers accountable for their actions.</li> <li>• The organization <u>does not</u> have processes in place to identify and eliminate potential conflicts of interest.</li> </ul>  | <ul style="list-style-type: none"> <li>• The organization is <u>beginning</u> to identify and implement processes to govern effectively.</li> <li>• The processes are of <u>little</u> value since they are not consistently or widely used.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization has basic systems in place to govern effectively (i.e., leaders are generally held accountable for fraud, waste, or abuse violations).</li> <li>• The organization is starting to gather data on the effectiveness of these systems, but does not use the data to improve.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization has well-deployed processes in place to govern effectively (i.e., leaders are consistently held accountable for fraud, waste, or abuse violations).</li> <li>• The organization <u>sometimes</u> checks the effectiveness of these processes.</li> <li>• Leaders may have made <u>some</u> changes as a result of feedback from inspections and/or audits.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization has effective processes in place to govern effectively. These processes ensure accountability for management actions, fiscal accountability, and protection of stakeholder interests.</li> <li>• Internal control checklists and independent inspections and/or audits help protect against fraud, waste, and abuse.</li> <li>• <u>Most</u> leaders receive performance evaluations that include accountability for their performance against the organization's goals and may include other feedback from peers and workers.</li> <li>• <u>Many</u> leaders and managers use this information to improve their personal leadership effectiveness and/or the organization's leadership system.</li> <li>• Leaders may have used this information to make <u>some</u> improvements to processes involving the accountability of management actions and/or financial operations, as well as to the leadership system of the organization.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization has effective, fully deployed processes in place to ensure accountability for management actions, fiscal accountability, transparency in operations and conflict of interest disclosure policies for senior officers, and protection of stakeholder interests.</li> <li>• Internal control checklists and independent inspections and/or audits are widely used to protect against fraud, waste, and abuse.</li> <li>• <u>Nearly all</u> leaders receive performance evaluations (which include feedback from peers and workers) to compare leader performance against the organization's goals, strategic objectives, action plans, and other priorities.</li> <li>• <u>Most</u> senior leaders, managers, and supervisors throughout the organization use this information to improve their personal effectiveness and/or the organization's leadership system.</li> <li>• <u>Ongoing</u> improvements are made to these processes as a result of this information.</li> <li>• Innovative (creative) processes are routinely developed and shared across the organization.</li> </ul> |              |
| <p><b>Comments:</b> How are senior leaders and managers held accountable for their actions? What processes are in place to ensure you do not commit fraud, waste resources (money, people, equipment) or abuse the system (use your position to gain advantages)? What, if any, changes have you seen in the personal effectiveness of your leaders? What new and creative changes have been made and shared throughout the organization?</p> <p>Suggest ways to improve this process.</p> |   |   |   |  |   |              |

SAMPLE

**Category 1: Leadership**

| <b>1F</b> Legal and Ethical Behavior: Following Laws and Regulations, and Addressing Public Risks and Concerns [Baldrige ref: 1.2b(1)]<br><b>How well does the organization follow established laws and regulations? How well does the organization anticipate public concerns and reduce risks to the public resulting from the services it offers or the operations it conducts?</b>   |   |  |  |   |   |       |
|--|---|--|--|---|---|-------|
| 1<br>Not Evident   | 2<br>Beginning  | 3<br>Basically Effective   | 4<br>Mature  | 5<br>Advanced   | 6<br>Role Model   | Level |
| <ul style="list-style-type: none"> <li>• The organization <u>does not</u> address how its products, services, facilities, or operations concern the public.</li> <li>• The organization <u>does not</u> always work to meet laws and regulations.</li> <li>• The organization usually waits until problems become serious before taking action.</li> </ul>   | <ul style="list-style-type: none"> <li>• The organization is <u>beginning</u> to put processes in place to meet social responsibilities (such as meeting legal and regulatory requirements).</li> <li>• The processes are <u>not</u> effective since they are not consistently or widely used.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization has basic processes in place to address a <u>few</u> areas of social responsibility (such as meeting legal and regulatory requirements).</li> <li>• The organization is starting to gather data on how well these processes work, but <u>does not</u> use the information to improve.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization has effective processes in place to address <u>some</u> of its responsibilities to the public (such as meeting legal and regulatory requirements and addressing the public's concerns with its products, services, or operations).</li> <li>• <u>Sometimes</u> the organization checks if these processes are meeting its public responsibilities and may make <u>some</u> changes as a result.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization has effective processes in place to fully meet national and state laws and regulations and even <u>exceed some</u> requirements. The approaches used are consistent with organization mission and legal requirements.</li> <li>• The organization effectively considers how <u>most</u> of its current and future products, services, facilities, and operations are likely to affect the public.</li> <li>• The organization <u>usually</u> takes steps to reduce or eliminate potential risks to the public.</li> <li>• The organization <u>regularly</u> evaluates how well these processes are meeting laws and regulations.</li> <li>• Based on these evaluations, the organization <u>sometimes</u> makes new and meaningful improvements.</li> <li>• Some sharing of effective practices takes place within the organization.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization has effective processes in place to fully meet national and state laws and regulations and even <u>exceed many</u> requirements. The approaches used are consistent with organization needs, legal requirements, mission, and strategic objectives and action plans.</li> <li>• The organization effectively considers how <u>nearly all</u> of its current and future products, services, facilities, and operations are likely to affect the public.</li> <li>• The organization <u>nearly always</u> anticipates problems in this area and takes steps to reduce or eliminate potential risks to the public.</li> <li>• The organization <u>evaluates</u> how well its efforts in the areas above are meeting laws and regulations.</li> <li>• Based on these evaluations, the organization has made <u>ongoing</u> improvements.</li> <li>• Some creative (innovative) improvements have been made; best practices are shared across the organization.</li> </ul> |       |
| <p><b>Comments:</b> What are some of the laws and regulations that govern your organization? How are public concerns with the organization's products, services, facilities, or operations addressed? How does the organization reduce risks linked to its products, services or operations? How widely is this done? What new and creative (innovative) improvements have been put in place to address public responsibilities? How is this information shared across the organization?</p> <p>Suggest ways to improve these processes.</p> |   |  |  |   |   |       |

**Category 1: Leadership**

| 1G Legal and Ethical Behavior: Promoting and Ensuring Ethical Behavior [Baldrige ref: 1.2b(2)]<br><i>How well do leaders, workers, suppliers, and partners promote and ensure ethical (“right and proper”) behavior?</i>  |   |  |   |   |   |       |
|---|---|--|---|---|---|-------|
| 1<br>Not Evident  | 2<br>Beginning  | 3<br>Basically Effective   | 4<br>Mature   | 5<br>Advanced   | 6<br>Role Model   | Level |
| <ul style="list-style-type: none"> <li>• The organization <u>does not</u> clearly address what is “right” behavior.</li> <li>• The organization usually waits until ethical problems become serious before taking action.</li> </ul>  | <ul style="list-style-type: none"> <li>• The organization is <u>beginning</u> to identify and put into place processes to govern and address social responsibilities—such as encouraging the “right” (ethical) behavior.</li> <li>• The processes are <u>not</u> effective since they are not consistently or widely used.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization has basic systems in place to govern effectively and address social responsibilities—such as encouraging the “right” (ethical) behavior.</li> <li>• The organization is starting to gather data on some of these processes, but <u>does not</u> use the information to improve.</li> </ul> | <ul style="list-style-type: none"> <li>• Policies and practices across <u>many</u> parts of the organization are in place to make sure that leaders and workers do the right thing (behave ethically) <u>most of the time</u>.</li> <li>• Useful and systematic action is taken to check ethical behavior and ensure ethical policies and practices are followed in <u>many</u> parts of the organization.</li> <li>• The organization <u>sometimes</u> gathers data on these policies and practices to see if they increase ethical behavior.</li> <li>• The organization may have made <u>some</u> changes as a result of this information.</li> <li>• Ethical policies and practices support the organization’s values and mission.</li> </ul> | <ul style="list-style-type: none"> <li>• Policies and practices support desired ethical behavior across <u>most</u> parts of the organization. This includes the behavior of senior leaders, partners, and customers.</li> <li>• Ethical policies and practices are consistent with the organization’s values, mission, and legal requirements.</li> <li>• When bad behavior (an ethics violation) occurs, it is addressed in <u>most</u> parts of the organization.</li> <li>• The organization <u>regularly</u> checks to see if policies and practices to promote ethical behavior are followed.</li> <li>• The organization <u>sometimes</u> improves based on this information.</li> <li>• <u>Some</u> sharing of best practices takes place within the organization.</li> </ul> | <ul style="list-style-type: none"> <li>• Policies and practices support desired ethical behavior across <u>nearly all</u> parts of the organization. This includes the behavior of senior leaders, partners, and customers.</li> <li>• Ethical policies and practices are consistent with the organization’s values, mission, legal requirements, strategic objectives, and action plans.</li> <li>• When bad behavior (a violation) occurs, it is quickly and properly addressed throughout the organization.</li> <li>• The organization <u>regularly</u> checks to see if its policies and practices help promote ethical behavior.</li> <li>• The organization makes meaningful and <u>ongoing</u> improvements to its policies and practices based on this information.</li> <li>• The organization has developed creative (innovative) approaches for ensuring ethical behavior and shares best practices across the organization.</li> </ul> |       |
| <p><b>Comments:</b> How do the organization’s policies and practices ensure ethical behavior? How do leaders model ethical behavior? What creative new policies, practices, or programs have been put in place to promote ethical behavior? How are these new concepts shared throughout the organization?</p> <p>Suggest ways to improve this process.</p> |   |  |   |   |   |       |

**Category 1: Leadership**

|   |  |   |  |   |   |                     |
|---|--|---|--|---|---|---------------------|
| <p><b>1H</b></p>  | <p>Support of Key Communities: Actively Supporting and Strengthening Key Communities <i>[Baldrige ref: 1.2c]</i><br/> <b>How do the organization, its leaders, and workers support its key communities*?</b></p> <p><b>* Note: Key communities are that part of the public that an organization identifies as potentially affected by its operations (i.e., the creation and/or delivery of its products, services). Key communities might include groups in the area where the organization is located (i.e., schools, health care, charitable foundations, and environmental groups, to name a few).</b></p> |   |  |   |   |                     |
| <p><b>1</b><br/><b>Not Evident</b></p>  | <p><b>2</b><br/><b>Beginning</b></p>   | <p><b>3</b><br/><b>Basically Effective</b></p>  | <p><b>4</b><br/><b>Mature</b></p>  | <p><b>5</b><br/><b>Advanced</b></p>   | <p><b>6</b><br/><b>Role Model</b></p>   | <p><b>Level</b></p> |
| <ul style="list-style-type: none"> <li>• Senior leaders and workers <u>do not</u> provide support to community groups.</li> <li>• No consistency of support to key communities is evident.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization provides <u>minimal</u> support to key community groups.</li> <li>• A <u>few</u> workers provide most of the support without the help of the organization.</li> <li>• Community support activities are of <u>little value</u> to the community.</li> </ul>   | <ul style="list-style-type: none"> <li>• The organization provides some support to key community groups by involving workers and leaders.</li> <li>• The organization has started to gather data on <u>some</u> of its community activities/ programs to see how well they meet the needs of the community and the organization, but <u>does not</u> use the information to improve.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization provides support to key community groups by involving workers and leaders.</li> <li>• The organization has identified <u>some</u> areas of emphasis to support.</li> <li>• The organization <u>sometimes</u> checks to see if these programs/ activities meet the needs of the community and the organization.</li> <li>• As a result, the organization has made some process improvements.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization provides appropriate support, consistent with organizational values, mission, and legal requirements, to help strengthen key community groups.</li> <li>• The organization involves and supports workers and leaders in this effort through planned and structured activities/ programs.</li> <li>• The organization <u>regularly</u> checks to see how well these activities/programs support the needs of the community and the organization.</li> <li>• As result, the organization <u>sometimes</u> makes improvements.</li> <li>• Some sharing of good practices takes place within the organization.</li> </ul> | <ul style="list-style-type: none"> <li>• The organization is a community role model and provides extensive support, consistent with organizational values, mission, and legal requirements, to help strengthen key community groups.</li> <li>• Support to key communities and groups is well planned and structured.</li> <li>• The organization has identified <u>many</u> key areas of emphasis to support.</li> <li>• The organization <u>regularly</u> checks the effectiveness of its community support processes and makes <u>ongoing</u> improvements.</li> <li>• The organization has developed innovative (creative) approaches to community support and shares best practices across the organization.</li> <li>• The approaches used are consistent with organization values, mission, strategic objectives, and action plans.</li> </ul> |                     |

**Comments:** Describe how the organization leaders and workers support key communities where they work and live. How widely is this done? What is done to determine if the community support is effective and consistent with organization values, mission, and priorities? What innovations have been made and shared throughout the organization?

Suggest ways to improve this process.

SAMPLE

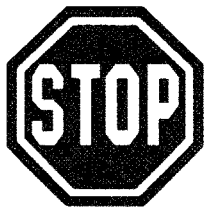
## Category 1: Leadership

**Areas to Improve:** Review the **Leadership** topics listed below. Each is the title of a question you just answered in this section. Check the box next to **two** you believe are the most important to improve immediately.

- 1A Vision and Values: Setting and Deploying Organizational Vision and Values
- 1B Vision and Values: Promoting a Climate for Legal and Ethical Behavior
- 1C Vision and Values: Sustaining the Organization Through Innovation, Learning, Organizational Agility, and Developing Future Leaders
- 1D Communication and Organizational Performance: Effectively Communicating, Engaging, and Encouraging Workers to Take Action to Improve Performance and Create Customer Value
- 1E Organizational Governance: Review and Achieve Management Accountability, Protect Stakeholder Interests, and Improve Leader Effectiveness
- 1F Legal and Ethical Behavior: Following Laws and Regulations, and Addressing Public Risks and Concerns
- 1G Legal and Ethical Behavior: Promoting and Ensuring Ethical Behavior
- 1H Support of Key Communities: Actively Supporting and Strengthening Key Communities

**PLEASE CHECK ONLY TWO BOXES**

*The last step for this section is to go back to the two questions matching your choices above and add comments about what activities currently exist related to the topic and what steps or actions could be taken to improve performance related to the topic.*



**DO NOT PROCEED UNTIL YOU HAVE CHECKED THE TWO “AREAS TO IMPROVE” ABOVE AND COMMENTS TO THE CORRESPONDING QUESTIONS.**

## **Acknowledgments**

2008 Baldrige Explorer Organizational Assessment for Business, by Mark L. Blazey, Ed.D.  
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Published by Quantum Performance Group, Inc. in the United States of America ISBN: 0-9657708-4-2

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