

Baldrige Explorer

Organizational Self-Assessment

Health Care Sample



480 Hercules Drive
Colchester, Vermont 05446

Telephone: 802-655-1910 • Fax: 802-655-1932 • www.PerformanceExcellence.com

Version 3.1.2r.11Explorer

Baldrige Explorer for Health Care Instructions

This assessment consists of **44** themes or questions that relate to the 2011-12 Health Care Criteria for Performance Excellence. It is organized into seven “sections”, one for each of the seven Baldrige Performance Excellence Criteria Categories.

1. **Complete the self assessment based on your position. If you have no knowledge of the issue addressed by the question, “NA” (Not Applicable) is the best answer.**
2. **For each question, read the question in bold at the top of the page, then select a rating (1 to 6) that describes the level of development in the organization to the best of your knowledge.** The six ratings are: Level 1 – Not Evident; Level 2 – Beginning; Level 3 – Basically Effective; Level 4 – Mature; Level 5 – Advanced; Level 6 – Role Model. Detailed descriptions of these levels are provided for each question.



Time Saving Tip: Start reading at Level 3 – Basically Effective. If all parts of the Level 3 statement are true, go to Level 4 – Mature. If not all parts of the Level 3 statements are true, drop back and read Level 2. After a few answers, save even more time by starting at the number you select most often. Please don't waste your time by reading from Level 1 each time, unless you are selecting Level 1 most of the time.

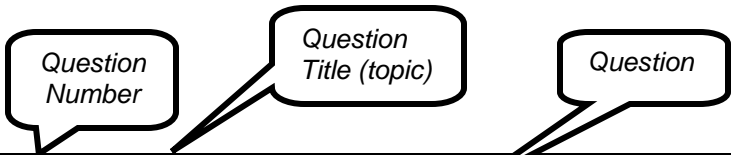


Accuracy Tip: Using the rating scale requires your assessment about the extent of the described behavior or activity that you know of or have observed. The following definitions should help you rate this consistently:

- “Few” means less than 15%
- “Some” means 15% to less than 30%
- “Many” means 30% to less than 50%
- “Most” means 50% to less than 80%
- “Nearly All” means 80% to less than 99%
- “All” means 100%

3. **ALL** parts of a rating level description 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, please enter the value in the empty box to the far right of the row of statements.
4. **If you do not know an answer or do not understand the question, enter NA (Not Applicable/Does Not Apply) or (Don't Know).** A glossary is provided at the end of this booklet in case you are unsure of the meaning of a word or phrase.
5. **Please suggest value added comments only.** At the end of each Category, you will be asked to choose one topic covered by the questions in the section you believe is the **most important to improve immediately. For all questions in Categories 1 through 6, please suggest steps that your “organization” or supervisors could take to improve the processes.** Your thoughtful comments are as helpful as the rating itself.
6. Continue in the same way to complete all seven categories and return this document to your Administrator.

SAMPLE PAGE



1A	Vision, Values, and Mission: Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)]						Level
Do the senior leaders provide clear guidance (i.e., organizational vision, mission, values, and direction)? If so, is this guidance known throughout the organization and to others (i.e., customers, stakeholders, etc.) as appropriate?							
1 Not Evident	2 Beginning	3 Basically Effective	4 Mature	5 Advanced	6 Role Model	Level	
<ul style="list-style-type: none"> Senior leaders do not provide clear organizational guidance (i.e., vision, values, mission, and direction). Leaders usually wait until problems become serious before providing guidance. 	<ul style="list-style-type: none"> A few senior leaders have started to do a good job leading the organization to help focus a few workers on priorities. However, the leadership focus is not consistent. 	<ul style="list-style-type: none"> Some senior leaders effectively lead the organization. They help focus some workers on priorities. Senior leader guidance is used in many parts of the organization and is understood by many workers. 	<ul style="list-style-type: none"> Many senior leaders' actions effectively guide and direct the organization. They focus many workers on operational and improvement priorities. The personal actions of senior leaders usually follow organizational values and vision. Senior leaders sometimes ask for and get feedback to see if their guidance and direction are understood in many parts of the organization. Senior leaders have made improvements or changes to the organization to guide the organization. 	<ul style="list-style-type: none"> Most senior leaders provide clear direction throughout the organization. Most senior leaders pass on the vision, values and organizational direction to most workers and key suppliers. Senior leaders lead by example; their personal actions usually follow organizational values. Leaders regularly ask workers in most parts of the organization to see if they understand the vision, values, and direction of the organization. 	<ul style="list-style-type: none"> Nearly all senior leaders provide clear direction throughout the organization. Nearly all senior leaders pass on the vision, values, and direction to nearly all workers at all levels of the organization and to appropriate suppliers, partners, and customers. Leaders consistently make improvements or changes to how they guide the organization as a result of the feedback. 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. 	3	
<p>Comments: 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 (if any) 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>EXAMPLE: The organization's vision is on posters throughout the building. During our staff meetings in the Child and Youth Services Division, 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>Suggest ways to improve these processes.</p> <p>EXAMPLE: Some organizations have developed new programs for children and youth, we need a mechanism through which to share this information.</p>							

Row Statements – Columns 1-6. 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. To save time, it is recommended you begin at Level 3 – Basically Effective and adjust accordingly.

Comments in this area are required if this question is one of the primary areas you chose for improvement. You may always write a comment if you choose to do so.

Place the Level # (1-6) you believe the organization is at here. Or enter NA, or "Don't Know".

Category 1: Leadership

1A	Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)] <i>Do the senior leaders provide clear guidance (i.e., organizational vision, mission, values, and direction)? If so, is this guidance known throughout the organization and to others (i.e., patients or stakeholders) as appropriate.</i>					
1 Not Evident	2 Beginning	3 Basically Effective	4 Mature	5 Advanced	6 Role Model	Level
<ul style="list-style-type: none"> Senior leaders do not provide clear organizational guidance (i.e., vision, values, mission, and direction). Leaders usually wait until problems become serious before taking action. 	<ul style="list-style-type: none"> 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. However, the leadership focus is not widely used, or is only understood by top level managers. 	<ul style="list-style-type: none"> <u>Some</u> senior leaders effectively lead the organization. They help focus <u>some</u> workers on priorities. 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. 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. 	<ul style="list-style-type: none"> <u>Many</u> senior leaders' actions effectively guide and direct the organization. They focus many workers on operational and improvement priorities. The personal actions of senior leaders <u>usually</u> follow organizational values and vision. 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. Senior leaders may have made improvements or changes to how they guide the organization as a result of the feedback. 	<ul style="list-style-type: none"> <u>Most</u> senior leaders provide clear direction throughout the organization. <u>Most</u> senior leaders pass on the vision, values, and organizational direction to <u>most</u> workers and key suppliers. Senior leaders lead by example; their personal actions <u>usually</u> follow organizational values. Leaders <u>regularly</u> ask for and get feedback from workers in <u>most</u> parts of the organization to see if they understand the vision, values, and direction of the organization. Leaders <u>sometimes</u> make improvements or changes to how they guide the organization as a result of the feedback. 	<ul style="list-style-type: none"> <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, patients, and stakeholders. Senior leaders lead by example and <u>nearly always</u> follow the organization's values. Leaders <u>regularly</u> ask for and get feedback from workers at <u>nearly all</u> levels to see if they understand the vision, values, and direction of the organization. Leaders <u>consistently</u> make improvements or changes to how they guide the organization as a result of the feedback. 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. 	
<p>Comments: 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

1B		Senior Leaders Promoting Legal and Ethical Behavior [Baldrige ref: 1.1a(2)]					
<i>How do senior leaders make sure that everyone in the organization behaves in a lawful and ethical way?</i>							
1	2	3	4	5	6	Level	
Not Evident	Beginning	Basically Effective	Mature	Advanced	Role Model		
<ul style="list-style-type: none"> Senior leaders <u>have not</u> created an environment to guide the organization effectively or encourage lawful and ethical behavior. Leaders usually wait until problems become serious before taking action. 	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> We receive clear guidance from <u>some</u> senior leaders on the importance of everyone following laws, regulations, and ethical practices. Senior leaders are starting to check the effectiveness of these efforts, but do not use the data to improve. 	<ul style="list-style-type: none"> We receive clear guidance from <u>many</u> senior leaders on the importance of everyone following laws, regulations, and ethical practices. Senior leaders sometimes check the effectiveness of these efforts and may make changes to prevent more ethical problems. 	<ul style="list-style-type: none"> <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. <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. Senior leaders <u>sometimes</u> make improvements in processes to promote lawful and ethical behavior. Some sharing of effective practices takes place within the organization. 	<ul style="list-style-type: none"> <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. Their actions show a commitment to legal and ethical behavior. <u>Nearly all</u> senior leaders work to prevent bad conduct, rather than wait for problems to occur. Leaders <u>regularly</u> check compliance and make <u>ongoing</u> improvements to achieve better compliance. <u>Nearly all</u> leaders have developed creative (innovative) approaches to ensure employees follow legal and ethical codes of conduct. Leaders regularly share these ideas and best practices across the organization. 		
<p>Comments: 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 Creating a Sustainable Organization Through Innovation, Learning, Organizational Agility, and Developing Future Leaders <i>[Baldrige ref: 1.1a(3) and (4)]</i> <i>Are senior (top) leaders working to create an organization that can sustain success in the future? Do senior leaders promote workforce learning and the development of future leaders? Do senior leaders create an environment for patient safety?</i>						
1 Not Evident	2 Beginning	3 Basically Effective	4 Mature	5 Advanced	6 Role Model	Level
<ul style="list-style-type: none"> Senior leaders have not created an environment to guide the organization effectively or prepare for future challenges. Leaders usually wait until problems become serious before taking action. 	<ul style="list-style-type: none"> The need to sustain success is discussed by a <u>few</u> senior leaders but not much is done about it. The processes are not widely used or understood. 	<ul style="list-style-type: none"> <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. Senior leaders are starting to check the effectiveness of these efforts but do not use the data to improve. 	<ul style="list-style-type: none"> <u>Many</u> senior leaders have effective processes in place to sustain organizational success in <u>many</u> areas. The work to sustain the organization is in line with strategic objectives and action plans. Senior leaders <u>sometimes</u> check to see if their efforts in these areas are effective. As a result, senior leaders may have made some changes. 	<ul style="list-style-type: none"> <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), patient safety, and organizational learning to achieve mission and strategic objectives, and prepare for future challenges. <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. <u>Most</u> senior leaders help to develop future leaders and enhance their personal leadership skills. <u>Most</u> senior leaders <u>regularly</u> check to see if their efforts in these areas are effective. As a result of this feedback, leaders <u>sometimes</u> make meaningful improvements. There is <u>some</u> sharing of effective practices in this area within the organization. 	<ul style="list-style-type: none"> <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), patient safety, organizational learning to achieve mission and strategic objectives, and prepare for future challenges, and create a consistently positive customer experience. 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. <u>Nearly all</u> senior leaders help to develop future leaders and enhance their personal leadership skills. As a result, leaders make <u>ongoing</u> meaningful improvements or changes in these areas. <u>Nearly all</u> senior leaders have developed creative (innovative) approaches in these areas and share best practices across the organization. 	
<p>Comments: Describe how your senior leaders actions promote performance improvement, creativity, organizational and workforce 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

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

1E Reviewing and Achieving Management Accountability, Protecting Stakeholder Interests, and Improving Leader Effectiveness [Baldrige ref: 1.2a(1&2)] <i>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?</i>						
1 Not Evident	2 Beginning	3 Basically Effective	4 Mature	5 Advanced	6 Role Model	Level
<ul style="list-style-type: none"> • Effective processes, policies, or practices are <u>not</u> in place to hold senior administrative and health care leaders and managers accountable for their actions. • The organization <u>does not</u> have processes in place to identify and eliminate potential conflicts of interest. 	<ul style="list-style-type: none"> • The organization is <u>beginning</u> to identify and implement processes to govern effectively. • The processes are of <u>little</u> value since they are not consistently or widely used. 	<ul style="list-style-type: none"> • The organization has basic systems in place to govern effectively (i.e., administrative and health care leaders are generally held accountable for fraud, waste, or abuse violations). • The organization is starting to gather data on the effectiveness of these systems, but does not use the data to improve. 	<ul style="list-style-type: none"> • The organization has well-deployed processes in place to govern effectively (i.e., administrative and health care leaders are consistently held accountable for fraud, waste, or abuse violations). • The organization <u>sometimes</u> checks the effectiveness of these processes. • Leaders may have made <u>some</u> changes as a result of feedback from inspections and/or audits. 	<ul style="list-style-type: none"> • The organization has effective processes in place to govern effectively. These processes ensure accountability for management actions, fiscal accountability, and protection of stakeholder interests. • Internal control checklists and independent inspections and/or audits help protect against fraud, waste, and abuse. • <u>Most</u> administrative and health care leaders receive performance evaluations that include accountability for their performance against the organization's goals, and may include other feedback from peers and workers. • <u>Many</u> leaders and managers use this information to develop skills and improve their personal leadership effectiveness and/or the organization's leadership system. • 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. 	<ul style="list-style-type: none"> • 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. • Internal control checklists and independent inspections and/or audits are widely used to protect against fraud, waste, and abuse. • <u>Nearly all</u> administrative and health care leaders receive performance evaluations (which may include feedback from peers and workers) to compare leader performance against the organization's goals, strategic objectives, action plans, and other priorities. • <u>Most</u> senior leaders, managers, and supervisors throughout the organization use this information to help determine their compensation, develop their skills and improve their personal effectiveness and/or the organization's leadership system. • <u>Ongoing</u> improvements are made to these processes as a result of this information. • Innovative (creative) processes are routinely developed and shared across the organization. 	
<p>Comments: 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>						

Category 1: Leadership

1F Following Laws and Regulations, and Addressing Public Risks and Concerns <i>[Baldrige ref: 1.2b(1)]</i> 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 health care services it offers or the operations it conducts?						
1 Not Evident	2 Beginning	3 Basically Effective	4 Mature	5 Advanced	6 Role Model	Level
<ul style="list-style-type: none"> • The organization <u>does not</u> address how its health care services, facilities, or operations concern the public. • The organization <u>does not</u> always work to meet laws and regulations. • The organization usually waits until problems become serious before taking action. 	<ul style="list-style-type: none"> • The organization is <u>beginning</u> to put processes in place to meet societal responsibilities (such as meeting legal and regulatory requirements). • The processes are <u>not</u> effective since they are not consistently or widely used. 	<ul style="list-style-type: none"> • The organization has basic processes in place to address a <u>few</u> areas of societal responsibility (such as meeting legal and regulatory requirements). • The organization is starting to gather data on how well these processes work, but <u>does not</u> use the information to improve. 	<ul style="list-style-type: none"> • 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 health care services or operations, conserving natural resources, and managing its supply chain). • <u>Sometimes</u> the organization checks if these processes are meeting its public responsibilities and may make <u>some</u> changes as a result. 	<ul style="list-style-type: none"> • 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 the organization's mission and legal requirements. • The organization has effective processes in place to conserve natural resources, manage its supply chain, and ensure that <u>most</u> of its current and future health care services, operations, facilities, conservation of natural resources and supply chain management are likely to affect the public. • The organization <u>usually</u> takes steps to reduce or eliminate potential risks to the public. • The organization <u>regularly</u> evaluates how well these processes are meeting laws and regulations. • Based on these evaluations, the organization <u>sometimes</u> makes new and meaningful improvements. • Some sharing of effective practices takes place within the organization. 	<ul style="list-style-type: none"> • 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. • The organization has effective processes in place to conserve natural resources, manage its supply chain, and ensure that <u>nearly all</u> of its current and future health care services, operations, facilities, conservation of natural resources and supply chain management are likely to affect the public. • The organization <u>nearly always</u> anticipates problems in this area and takes steps to reduce or eliminate potential risks to the public. • The organization <u>evaluates</u> how well its efforts in the areas above are meeting laws and regulations. • Based on these evaluations, the organization has made <u>ongoing</u> improvements. • Some creative (innovative) improvements have been made; best practices are shared across the organization. 	
<p>Comments: What are some of the laws and regulations that govern your organization? How are public concerns with the organization's health care services, facilities, operations, conservation of natural resources and supply chain management addressed? How does the organization reduce risks linked to its health care 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 Promoting and Ensuring Ethical Behavior throughout the Organization [Baldrige ref: 1.2b(2)] How well do leaders, workers, suppliers, and partners promote and ensure ethical (“right and proper”) behavior?						
1 Not Evident	2 Beginning	3 Basically Effective	4 Mature	5 Advanced	6 Role Model	Level
<ul style="list-style-type: none"> • The organization <u>does not</u> clearly address what is “right” behavior. • The organization usually waits until ethical problems become serious before taking action. 	<ul style="list-style-type: none"> • The organization is <u>beginning</u> to identify and put into place processes to govern and address societal responsibilities, such as encouraging the “right” (ethical) behavior. • The processes are <u>not</u> effective since they are not consistently or widely used. 	<ul style="list-style-type: none"> • The organization has basic systems in place to govern effectively and address societal responsibilities, such as encouraging the “right” (ethical) behavior. • The organization is starting to gather data on some of these processes, but <u>does not</u> use the information to improve. 	<ul style="list-style-type: none"> • 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>. • 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. • The organization <u>sometimes</u> gathers data on these policies and practices to see if they increase ethical behavior. • The organization may have made <u>some</u> changes as a result of this information. • Ethical policies and practices support the organization’s values and mission. 	<ul style="list-style-type: none"> • Policies and practices support desired ethical behavior across <u>most</u> parts of the organization. This includes the behavior of senior leaders, partners, and patients and stakeholders. • Ethical policies and practices are consistent with the organization’s values, mission, and legal requirements. • When bad behavior (an ethics violation) occurs, it is addressed in <u>most</u> parts of the organization. • The organization <u>regularly</u> checks to see if policies and practices to promote ethical behavior are followed. • The organization <u>sometimes</u> improves based on this information. • <u>Some</u> sharing of best practices takes place within the organization. 	<ul style="list-style-type: none"> • 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 patients and stakeholders. • Ethical policies and practices are consistent with the organization’s values, mission, legal requirements, strategic objectives, and action plans. • When bad behavior (a violation) occurs, it is quickly and properly addressed throughout the organization. • The organization <u>regularly</u> checks to see if its policies and practices help promote ethical behavior. • The organization makes meaningful and <u>ongoing</u> improvements to its policies and practices based on this information. • The organization has developed creative (innovative) approaches for ensuring ethical behavior and shares best practices across the organization. 	
<p>Comments: 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 and ensure ethical behavior? How are these new concepts shared throughout the organization?</p> <p>Suggest ways to improve this process.</p>						

Category 1: Leadership

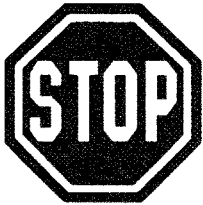
<p>1H</p>	<p>Actively Supporting and Strengthening Key Communities and Community Health [Baldrige ref: 1.2c(1&2)] How does the organization consider societal well-being and benefit (including the well-being of environmental, societal, and economic systems) as part of its strategy and daily operations? How does the organization, its leaders, and workers personally support their key communities*? <small>* 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 health care services). Key communities might include groups in the area where the organization is located (i.e., schools, charitable foundations, and environmental groups, to name a few).</small></p>					
<p>1 Not Evident</p>	<p>2 Beginning</p>	<p>3 Basically Effective</p>	<p>4 Mature</p>	<p>5 Advanced</p>	<p>6 Role Model</p>	<p>Level</p>
<ul style="list-style-type: none"> • Senior leaders and workers <u>do not</u> provide support to key community groups. • No consistency of support to key communities is evident. 	<ul style="list-style-type: none"> • The organization provides <u>minimal</u> support to key community groups. • A <u>few</u> workers provide most of the support without the help of the organization. • Community support activities are of <u>little value</u> to the community. 	<ul style="list-style-type: none"> • The organization provides some support to key community groups by involving workers and leaders. • 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. 	<ul style="list-style-type: none"> • The organization provides support to key community groups by involving workers and leaders. • The organization has identified <u>some</u> areas of emphasis to support. • The organization <u>sometimes</u> checks to see if programs/ activities meet the needs of the community and the organization. • As a result, the organization has made some process improvements. 	<ul style="list-style-type: none"> • The organization considers societal well-being and benefit as part of its strategy and daily operations and provides support – consistent with organizational values, mission, and legal requirements – to help strengthen key community groups. • The organization involves and supports workers and leaders in this effort through planned and structured activities/ programs that contribute to the community and build community health. • The organization <u>regularly</u> checks to see how well these activities/programs support the needs of the community and the organization. • As result, the organization <u>sometimes</u> makes improvements. • Some sharing of good practices takes place within the organization. 	<ul style="list-style-type: none"> • The organization is a community role model and considers societal well-being and benefit as part of its strategy and daily operations. It considers the well-being of environmental, social, and economic systems and provides extensive support – consistent with organizational values, mission, and legal requirements – leaders and the workforce help strengthen key community groups and build community health. • Support to key communities and groups is well planned and structured. • The organization has identified <u>many</u> key areas of emphasis to support. • The organization <u>regularly</u> checks the effectiveness of its community support processes and makes <u>ongoing</u> improvements. • The organization has developed innovative (creative) approaches to community support and shares best practices across the organization. • The approaches used are consistent with organization values, mission, strategic objectives, and action plans. 	
<p>Comments: Describe how the organization considers societal well-being and benefit as part of its strategy and daily operations. List the processes used to ensure the well-being of environmental, social, and economic systems. Describe how the organization leaders and workers support and contribute to improving the 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?</p> <p>Suggest ways to improve this process.</p>						

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 one area you believe is the most important to improve immediately.

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

SAMPLE
PLEASE CHECK ONLY ONE BOX



DO NOT PROCEED UNTIL YOU HAVE CHECKED ONE "AREA TO IMPROVE" ABOVE

Acknowledgments

2011-12 Baldrige Explorer Organizational Assessment for Health Care, by Mark L. Blazey, Ed.D.
Copyright 2011-12, Quantum Performance Group, Inc. All rights reserved.
Published by Quantum Performance Group, Inc. in the United States of America ISBN: 0-9657708-4-2

No part of this assessment may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying, recording, or by any information storage and retrieval systems, without permission in writing from Quantum Performance Group, Inc. or National Council for Performance Excellence. Inquiries should be addressed to Quantum Performance Group, Inc., 3336 Fallbrook Park, Canandaigua, NY 14424, or National Council for Performance Excellence, 480 Hercules Drive, Colchester, VT 05446

Dr. Mark Blazey is the president of Quantum Performance Group, Inc. and a national leader in performance assessment. He served for five years as a senior examiner for the Malcolm Baldrige National Quality Award. He was a founding member of the Governor's Award for Performance Excellence in New York State. He has served as the lead judge for the Aruba National Quality Award, New York's Empire State Award, the Vermont Quality Award, and the US Army Communities of Excellence Award and as a judge for Delaware and Wisconsin state quality awards. In addition, Dr. Blazey has trained award examiners for numerous states including New York, Pennsylvania, Illinois, Minnesota, Wisconsin, Delaware, Alabama, Kentucky, and others. He works with health care and education organizations, government agencies, and major businesses to assess their quality and performance systems and develop improvement initiatives.

Quantum Performance Group, Inc. (QPG) provides services to help organizations assess and improve their performance. Quantum delivers training and consulting services for Baldrige-based assessments, leadership, planning, customer satisfaction, process management, employee development, and other drivers of high performance. For more information about other services, call Quantum Performance Group, Inc. at 315-986-9200; E-mail; Info@QuantumPerformance.com.

National Council for Performance Excellence (NCPE) through a grant of license by Quantum Performance Group, Inc. has an exclusive worldwide right and license to reproduce the materials in printed, digital (electronic), and other forms and distribute them on a worldwide basis. NCPE administers the Baldrige Organizational Assessment under an exclusive agreement with Quantum Performance Group, Inc. For more information about other services, call National Council for Performance at (802) 655-1922; or visit them on the web at www.PerformanceExcellence.com

State and Local Award Programs and other Partners – NCPE partners with state and local Award Programs and other partners in order to provide the organizational self-assessment to customers within their location. NCPE is a third party administrator of the assessment. Our partners include: Core Values Partners, Colorado Performance Excellence, Donald Fisher, PhD, International Management Technology, Inc., Iowa Quality Center, Kentucky Center for Performance Excellence, Keystone Alliance for Performance Excellence, Lincoln Foundation for Performance Excellence, Louisiana Quality Foundation, Michigan Quality Award, Minnesota Council for Quality, Quantum Performance Group, Inc, Tennessee Center for Performance Excellence, Vermont Council for Quality, Washington State Quality Award, and Wisconsin Center for Performance Excellence.

Baldrige Performance Excellence Program. This organizational assessment tool is based on the 2011-12 Malcolm Baldrige National Quality Award Criteria for Performance Excellence. Many of the glossary terms are taken from the Award Criteria. The author wishes to recognize the hard work and dedication of the entire Award Office staff led by Dr. Harry Hertz. Their efforts are making a significant difference in the quality of life and business competitiveness in the United States. For more information about other services, call Baldrige Performance Excellence Program at (301) 948-3716; E-mail: nqp@nist.gov

SAMPLE