Process Item Evaluation Factors

The factors for evaluating an applicant's response to Criteria items in categories 1 – 6 are described below.

APPROACH (A) refers to the methods used by an organization to address the Criteria item requirements in categories 1-6. Approach includes the appropriateness of the methods to the item requirements.

- Is the approach systematic (i.e. with repeatable steps, inputs, outputs, and time frames)?
- Is there evidence that the approach is effective in accomplishing the process?
- Is this approach (or collection of approaches) a key organizational process? Is the approach important to the applicant's overall performance?
- Are any of the item requirements that are not addressed important to the applicant? (These are known as "gaps" and are recorded as OFIs).

DEPLOYMENT (D) refers to the extent to which an approach is applied in addressing the requirements of a Criteria item. Deployment is evaluated on the basis of the breadth and depth of the application of the approach to relevant work units throughout the organization.

- Is deployment addressed?
- What evidence is presented that the approach is in use in one, some, or all appropriate work units, facilities, locations, shifts, organizational levels, and so forth?
- Is the approach applied consistently?

LEARNING (L) refers to new knowledge or skills acquired through evaluation, study, experience, and innovation.

- Has the approach been evaluated and improved? If it has, was the evaluation and improvement conducted in a fact-based, systematic manner (e.g., was it regular, recurring, data driven)?
- Is there evidence of organizational learning (i.e., evidence that the learning from this approach is shared with other organizational units/other work processes)?
- Is there evidence of innovation and refinement from organizational analysis and sharing (e.g., evidence that the learning is actually used to drive innovation and refinement)?

INTEGRATION (I) refers to the harmonization of plans, processes, information, resource decisions, actions, results, and analyses to support key organization-wide goals. Effective integration goes beyond alignment[*] and is achieved when the individual components of a performance management system operate as a fully interconnected unit.

- How well is the approach aligned with the organizational needs the applicant has identified in the other Criteria items and the Organizational Profile?
- Does the applicant indicate complementary measures and information used for planning, tracking, analysis, and improvement on three levels: the organizational level, the key process level, and the department or work-unit level?
- How well is the approach integrated with organizational needs? Examples of needs are generally listed as key factors – strategic challenges, objectives, and related action plans; organizational mission, vision, and goals; key processes and measures; key customer/market segments and requirements; and employee groups and requirements.

[*] Alignment refers to the consistency of plans, processes, information, resource decisions, actions, results, and analyses to support key organization-wide goals. It requires the use of complementary measures and information for planning, tracking, analysis, and improvement at three levels: organization, key process, and work unit.

Results Item Evaluation Factors

The factors for evaluating an applicant's response to Criteria items in category 7 are described below.

PERFORMANCE LEVELS (Le) refer to numerical information that places or positions an organization's results and performance on a meaningful measurement scale. Performance levels permit evaluation relative to past performance, projections, goals and appropriate comparisons.

- What levels are provided?
- Is the measurement scale meaningful?
- Are key results missing?

TRENDS (T) refer to numerical information that shows the direction and rate of change for an organization's results. A minimum of three historical data points generally is needed to begin to ascertain a trend.

- Are trends provided for few, many, or most areas addressed in the item requirements?
- Is the interval between measures or frequencies appropriate?
- Are the trends positive, negative, or flat?
- What is the rate of change (slope of the trend)?
- Do the trends demonstrate little, some, or much breadth in the applicant's improvement efforts (i.e., how widely are they deployed and shared)?
- Are significant variations in trends explained in the text of the application?

COMPARISONS (C) refer to how the applicant's results compare with the results of other organizations. Comparisons can be made to the results of competitors, organizations providing similar products and services, industry averages, or best-in-class organizations. The maturity of the organization should help determine what comparisons are most relevant.

- Are comparisons provided?
- Are the comparisons to key competitors, industry sector averages, or best-in-class organizations?
- How does the applicant compare against these other organizations?

INTEGRATION (I) refers to the extent to which results measures (often through segmentation) address important customer, product and service, market, process, and action-plan performance requirements identified in the Organizational Profile and in process items; include valid indicators of future performance; and are harmonized across processes and work units to support organization-wide goals.

- To what extent do results link to key factors and process items?
- Are results segmented appropriately (e.g. by key customer, patient, or student segment; employee type; process/education program or service; or geographic location) to help the applicant improve?