Begin with the Organizational Profile

The Organizational Profile is the most appropriate starting point for self-assessment and for writing an application. It is critically important for the following reasons:

- It helps you identify gaps in key information and focus on key performance requirements and results.
- You can use it as an initial self-assessment. If you identify topics for which conflicting, little, or no information is available, use these topics for action planning.
- It sets the context for and allows you to address unique aspects of your organization in your responses to the Health Care Criteria requirements in categories 1–7.

Organizational Profile

The Organizational Profile is a snapshot of your organization, the key influences on how it operates, and your competitive environment.

P.1 Organizational Description: What are your key organizational characteristics?

In your response, answer the following questions:

a. Organizational Environment

(1) Health Care Service Offerings What are your main HEALTH CARE SERVICE offerings (see the note on the next page)? What is the relative importance of each to your success? What mechanisms do you use to deliver your HEALTH CARE SERVICES?

(2) Mission, Vision, and Values What are your stated MISSION, VISION, and VALUES? What are your organization’s CORE COMPETENCIES, and what is their relationship to your MISSION?

(3) Workforce Profile What is your WORKFORCE profile? What recent changes have you experienced in WORKFORCE composition or your WORKFORCE needs? What are

- your WORKFORCE or employee groups and SEGMENTS,
- the educational requirements for different employee groups and SEGMENTS, and
- the KEY drivers that engage them in achieving your MISSION and VISION?

What are your organized bargaining units (union representation)? What are your organization’s special health and safety requirements?

(4) Assets What are your major facilities, technologies, and equipment?

(5) Regulatory Requirements What is the regulatory environment under which you operate? What are the KEY applicable occupational health and safety regulations; accreditation, certification, or registration requirements; industry standards; and environmental, financial, and HEALTH CARE SERVICE delivery regulations?

b. Organizational Relationships

(1) Organizational Structure What are your organizational structure and GOVERNANCE system? What are the reporting relationships among your GOVERNANCE board, SENIOR LEADERS, and parent organization, as appropriate?

(2) Patients, Other Customers, and Stakeholders What are your KEY market SEGMENTS, PATIENT and other CUSTOMER groups, and STAKEHOLDER groups, as appropriate? What are their KEY requirements and expectations of your HEALTH CARE SERVICES, PATIENT and other CUSTOMER support services, and operations? What are the differences in these requirements and expectations among market SEGMENTS, PATIENT and other CUSTOMER groups, and STAKEHOLDER groups?
Your responses to the Organizational Profile questions are very important. They set the context for understanding your organization and how it operates. Your responses to all other questions in the Baldrige Health Care Criteria should relate to the organizational context you describe in this profile. Your responses to the Organizational Profile questions thus allow you to tailor your responses to all other questions to your organization’s uniqueness.

**P.1a(1).** Health care service offerings are the services you offer in the marketplace. Mechanisms for delivering services to your patients might be direct or might be indirect, through contractors, collaborators, or partners.

**P.1a(2).** Core competencies are your organization’s areas of greatest expertise. They are those strategically important capabilities that are central to fulfilling your mission or provide an advantage in your marketplace or service environment. Core competencies are frequently challenging for competitors or suppliers and partners to imitate and frequently preserve your competitive advantage.

**P.1a(3).** Workforce or employee groups and segments (including organized bargaining units) might be based on type of employment or contract-reporting relationship, location (including telework), tour of duty, work environment, use of certain family-friendly policies, or other factors.

**P.1a(5).** Industry standards might include industrywide codes of conduct and policy guidance. Depending on the regions in which you operate, environmental regulations might cover greenhouse gas emissions, carbon regulations and trading, and energy efficiency.

**P.1b(2).** Customers include the users and potential users of your health care services. They are the direct users of your health care services (patients), as well as referring health care providers and users who pay for your services, such as patients’ families, insurers, and other third-party payors.

**P.1b(2).** Patient and other customer groups might be based on common expectations, behaviors, preferences, or profiles. Within a group, there may be customer segments based on differences and commonalities. You might subdivide your market into market segments based on health care service lines or features, service delivery modes, payors, volume, geography, or other factors that you use to define a market segment.

**P.1b(3).** Communication mechanisms should use understandable language, and they might involve in-person contact, e-mail, social media, or the telephone. For many organizations, these mechanisms may change as marketplace, patient, other customer, or stakeholder requirements change.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).

**Notes**

For Review Only: Not for Distribution
P.2 Organizational Situation: What is your organization’s strategic situation?

In your response, include answers to the following questions:

a. Competitive Environment

(1) Competitive Position What is your competitive position? What are your relative size and growth in the health care industry or the markets you serve? How many and what types of competitors and KEY COLLABORATORS do you have?

(2) Competitiveness Changes What KEY changes, if any, are affecting your competitive situation, including changes that create opportunities for INNOVATION and collaboration, as appropriate?

(3) Comparative Data What KEY sources of comparative and competitive data are available from within the health care industry? What KEY sources of comparative data are available from outside the health care industry? What limitations, if any, affect your ability to obtain or use these data?

b. Strategic Context

What are your KEY STRATEGIC CHALLENGES and ADVANTAGES in the areas of HEALTH CARE SERVICES, operations, societal responsibilities, and WORKFORCE?

c. PERFORMANCE Improvement System

What are the KEY elements of your PERFORMANCE improvement system, including your PROCESSES for evaluation and improvement of KEY organizational projects and PROCESSES?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

Notes

P.2b. Strategic challenges and advantages might relate to technology; health care services; finances; operations; organizational structure and culture; your parent organization’s capabilities; patients, other customers, and markets; brand recognition and reputation; the health care industry; and people. Strategic advantages might include differentiators such as technology leadership, innovation rate, geographic proximity, accessibility, health care and administrative support services, cost, reputation for service delivery, and wait times for service.

P.2c. The Baldrige Scoring System (pages 30–35) uses performance improvement through learning and integration as a dimension in assessing the maturity of organizational approaches and their deployment. This question is intended to set an overall context for your approach to performance improvement. The approach you use should be related to your organization’s needs. Approaches that are compatible with the overarching systems approach provided by the Baldrige framework might include implementing a Lean Enterprise System, applying Six Sigma methodology, using PDCA methodology, using standards from ISO (e.g., 9000 or 14000), using decision science, or employing other improvement tools.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).
Leadership (120 pts.)

The Leadership category asks how senior leaders’ personal actions guide and sustain your organization. It also asks about your organization’s governance system and how your organization fulfills its legal, ethical, and societal responsibilities.

1.1 Senior Leadership: How do your senior leaders lead the organization? (70 pts.)

In your response, include answers to the following questions:

a. Vision, Values, and Mission

1. Vision and Values  How do senior leaders set your organization’s vision and values? How do senior leaders deploy the vision and values through the leadership system; to the workforce; to key suppliers and partners; and to patients, other customers, and other stakeholders, as appropriate? How do senior leaders’ personal actions reflect a commitment to those values?

2. Promoting Legal and Ethical Behavior  How do senior leaders’ actions demonstrate their commitment to legal and ethical behavior? How do they promote an organizational environment that requires it?

3. Creating a Successful Organization  How do senior leaders’ actions build an organization that is successful now and in the future? How do they
   - create an environment for the achievement of your mission, improvement of organizational performance, performance leadership, organizational learning, and learning for people in the workforce;
   - create a workforce culture that delivers a consistently positive experience for patients and other customers and that fosters customer engagement;
   - create an environment for innovation and intelligent risk taking, achievement of your strategic objectives, and organizational agility;
   - participate in succession planning and the development of future organizational leaders; and
   - create and promote a culture of patient safety?

b. Communication and Organizational Performance

1. Communication  How do senior leaders communicate with and engage the entire workforce and key customers? How do they
   - encourage frank, two-way communication, including effective use of social media, when appropriate;
   - communicate key decisions and needs for organizational change; and
   - reinforce high performance and a patient, other customer, and health care focus by taking a direct role in motivating the workforce, including by participating in reward and recognition programs?

2. Focus on Action  How do senior leaders create a focus on action that will achieve the organization’s mission? How do senior leaders
   - create a focus on action that will improve the organization’s performance, achieve innovation and intelligent risk taking, and attain its vision;
   - identify needed actions; and
   - in setting expectations for organizational performance, include a focus on creating and balancing value for patients, other customers, and other stakeholders?

Terms in small caps are defined in the Glossary of Key Terms (pages 47–54).

Notes

1.1. In health care organizations with separate administrative/operational and health care provider leaders, the term “senior leaders” refers to both sets of leaders and the relationship between them.

1.1. Your organizational performance results should be reported in items 7.1–7.5. Results related to the effectiveness of leadership and the leadership system should be reported in item 7.4.

1.1a(1). Your organization’s vision should set the context for the strategic objectives and action plans you describe in items 2.1 and 2.2.

1.1a(3). A successful organization is capable of addressing current organizational needs and, through agility and strategic management, is capable of preparing for its future business, market, and operating environment. Achieving future success may require leading transformational changes.
in the organization’s structure and culture. Both external and internal factors should be considered. Factors in your organization’s sustainability might include workforce capability and capacity, resource availability, technology, knowledge, core competencies, work systems, facilities, and equipment. Success now and in the future might be affected by changes in the marketplace and patient and other customer preferences, in the financial markets, and in the legal and regulatory environment. In the context of ongoing success, the concept of innovation and taking intelligent risks includes both technological and organizational innovation to help the organization succeed in the future. A successful organization also ensures a safe and secure environment for its workforce and other key stakeholders. A successful organization is capable of addressing risks and opportunities arising from environmental considerations and climate change.

1.1b(1). Use of social media may include delivering periodic messages through internal and external websites; tweets; blogging; and electronic forums for patients, other customers, and the workforce; as well as monitoring external websites and blogs and responding, when appropriate.

1.1b(2). Senior leaders’ focus on action considers your strategy, workforce, work systems, and assets. It includes taking intelligent risks and implementing innovations and ongoing improvements in productivity that may be achieved by eliminating waste or reducing cycle time; improvement efforts might use techniques such as PDCA, Six Sigma, and Lean. Senior leaders’ focus on action also includes the actions needed to achieve your strategic objectives (see 2.2a[1]) and may involve establishing change management plans for major organizational change or responding rapidly to significant information from social media or other input.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).

1.2 Governance and Societal Responsibilities: How do you govern your organization and fulfill your societal responsibilities? (50 pts.)

In your response, include answers to the following questions:

a. Organizational Governance

(1) Governance System How does your organization ensure responsible Governance? How do you review and achieve the following key aspects of your governance system?

• Accountability for senior leaders’ actions
• Accountability for strategic plans
• Fiscal accountability
• Transparency in operations
• Selection of governance board members and disclosure policies for them, as appropriate
• Independence and effectiveness of internal and external audits
• Protection of stakeholder and stockholder interests, as appropriate
• Succession planning for senior leaders

(2) Performance Evaluation How do you evaluate the performance of your senior leaders, including the chief executive, and your governance board? How do you use performance evaluations in determining executive compensation? How do your senior leaders and governance board use these performance evaluations to advance their development and improve both their own effectiveness as leaders and that of your board and leadership system, as appropriate?

b. Legal and Ethical Behavior

(1) Legal, Regulatory, and Accreditation Compliance How do you anticipate and address public concerns with your health care services and your operations? How do you

• Address any adverse societal impacts of your health care services and your operations;
• Anticipate public concerns with your future health care services and operations; and
• Prepare for these impacts and concerns proactively, including through conservation of natural resources and effective supply-chain management processes, as appropriate.

What are your key compliance processes, measures, and goals for meeting and surpassing regulatory, legal, and accreditation requirements, as appropriate? What are your key processes, measures, and goals for addressing risks associated with your health care services and operations?

(Continued on the next page)
**Leadership**

**2. Ethical Behavior**

How do you promote and ensure ETHICAL BEHAVIOR in all interactions? What are your KEY PROCESSES and MEASURES or INDICATORS for enabling and monitoring ETHICAL BEHAVIOR in your GOVERNANCE structure; throughout your organization; and in interactions with your WORKFORCE, PATIENTS, other CUSTOMERS, PARTNERS, suppliers, and other STAKEHOLDERS? HOW do you monitor and respond to breaches of ETHICAL BEHAVIOR?

**c. Societal Responsibilities**

| 1 | Societal Well-Being | HOW do you consider societal well-being and benefit as part of your strategy and daily operations? HOW do you contribute to societal well-being through your environmental, social, and economic systems? |
| 2 | Community Support | HOW do you actively support and strengthen your KEY communities? What are your KEY communities? HOW do you identify them and determine areas for organizational involvement, including areas that leverage your CORE COMPETENCIES? HOW do your SENIOR LEADERS, in concert with your WORKFORCE, contribute to improving these communities and building community health? |

**Notes**

1.2. Societal responsibilities in areas critical to your ongoing marketplace success should also be addressed in Strategy Development (item 2.1) and Operations (category 6). Key results should be reported as Leadership and Governance Results (item 7.4). Examples are results related to regulatory and legal requirements (including malpractice and the results of mandated financial audits); accreditation; reductions in environmental impacts through the use of “green” technology, resource-conserving activities, reduction of carbon footprint, or other means; or improvements in social impacts, such as building community health.

1.2. The health and safety of your workforce are not addressed in this item; you should address these workforce factors in items 5.1 and 6.2.

1.2a(1). The governance board’s review of organizational performance and progress, if appropriate, is addressed in 4.1(b).

1.2a(1). Transparency in the operations of your governance system should include your internal controls on governance processes.

1.2a(2). The evaluation of leaders’ performance might be supported by peer reviews, formal performance management reviews, reviews by external advisory boards, and formal or informal feedback from and surveys of the workforce and other stakeholders.

1.2b(2). Measures or indicators of ethical behavior might include the percentage of independent board members, responses to them, survey results showing workforce perceptions of organizational ethics, ethics hotline use, and results of ethics reviews and audits. Measures or indicators of ethical behavior might also include evidence that policies, workforce training, and monitoring systems are in place for conflicts of interest; protection and use of sensitive data, information, and knowledge generated through synthesizing and correlating these data; and proper use of funds.

1.2c. Areas of societal contributions might include your efforts to improve the environment (e.g., collaboration to conserve the environment or natural resources); strengthen local community services, education, health, and emergency preparedness; and improve the practices of trade, business, or professional associations.

1.2c(2). Actions to build community health are population-based services that support the general health of the communities in which you operate. Such services will likely draw on your core competencies and might include health education programs, immunization programs, unique health services provided at a financial loss, population-screening programs (e.g., for hypertension), sponsorship of safety programs, and indigent care and other community benefits. You should report the results of these services in item 7.4.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).
2. **Strategy (85 pts.)**

The **Strategy** category asks **HOW** your organization develops **STRATEGIC OBJECTIVES** and **ACTION PLANS**, implements them, changes them if circumstances require, and measures progress.

### 2.1 Strategy Development: How do you develop your strategy? (45 pts.)

**In your response, include answers to the following questions:**

**a. Strategy Development PROCESS**

1. **Strategic Planning PROCESS**  **How do you conduct your strategic planning?** What are the **KEY PROCESS steps**? Who are the **KEY** participants? What are your short- and longer-term planning horizons? **How** are they addressed in the planning **PROCESS**? **How** does your strategic planning **PROCESS** address the potential need for:
   - transformational change and prioritization of change initiatives,
   - organizational agility, and
   - operational flexibility?

2. **INNOVATION**  **How does your strategy development PROCESS stimulate and incorporate INNOVATION?** **How** do you identify **STRATEGIC OPPORTUNITIES**? **How** do you decide which **STRATEGIC OPPORTUNITIES** are **INTELLIGENT risks** for pursuing? **What** are your **KEY STRATEGIC OPPORTUNITIES**?

3. **Strategy Considerations**  **How do you collect and analyze relevant data and develop information for your strategic planning PROCESS?** In this collection and **ANALYSIS**, **HOW** do you include these **KEY elements**?
   - Your **STRATEGIC CHALLENGES** and **STRATEGIC ADVANTAGES**
   - Risks to your organization’s future success
   - Potential changes in your regulatory environment
   - Potential blind spots in your strategic planning PROCESS and information
   - Your ability to execute the strategic plan

4. **WORK SYSTEMS and CORE COMPETENCIES**  **What are your KEY WORK SYSTEMS?** **How** do you make **WORK SYSTEM** decisions that facilitate the accomplishment of your **STRATEGIC OBJECTIVES**? **How** do you decide which **KEY PROCESSES** will be accomplished by external suppliers and **PARTNERS**? **How** do those decisions consider your **CORE COMPETENCIES** and the **CORE COMPETENCIES** of potential suppliers and **PARTNERS**? **How** do you determine future organizational **CORE COMPETENCIES** and **WORK SYSTEMS**?

**b. STRATEGIC OBJECTIVES**

1. **KEY STRATEGIC OBJECTIVES**  **What are your organization’s KEY STRATEGIC OBJECTIVES and timetable for achieving them?** What are your most important **GOALS** for these **STRATEGIC OBJECTIVES**? **What** key changes, if any, are planned in your **HEALTH CARE SERVICES**, **CUSTOMERS** and markets, **SPLA** and **MARKETS**, and **OPERATIONS**?

2. **STRATEGIC OBJECTIVE Considerations**  **How do your STRATEGIC OBJECTIVES achieve appropriate balance among varying and potentially competing organizational needs?** **How** do your **STRATEGIC OBJECTIVES**
   - address your **STRATEGIC CHALLENGES** and leverage your **CORE COMPETENCIES**, **STRATEGIC ADVANTAGES**, and **STRATEGIC OPPORTUNITIES**;
   - balance short- and longer-term planning horizons; and
   - consider and balance the needs of all **KEY STAKEHOLDERS**?

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**Notes**

2.1. This item deals with your overall organizational strategy, which might include changes in health care service offerings and processes for patient and other customer engagement. However, you should describe the service design and patient and other customer engagement strategies, respectively, in items 6.1 and 3.2, as appropriate.

2.1. Strategy development refers to your organization’s approach to preparing for the future. In developing your strategy, you might use various types of forecasts, projections, options, scenarios, knowledge (see 4.2a for relevant organizational knowledge), analyses, or other approaches to envisioning the future in order to make decisions and
allocate resources. Strategy development might involve key suppliers, partners, patients, and other customers.

2.1. The term “strategy” should be interpreted broadly. Strategy might be built around or lead to any or all of the following: new health care services; redefinition of key patient and other customer groups or market segments; differentiation of your brand; new core competencies; revenue growth via various approaches, including acquisitions, grants, and endowments; divestitures; new partnerships and alliances; and new staff or volunteer relationships. Strategy might be directed toward becoming a preferred provider, a center for clinical and service excellence, a research leader, a low-cost provider, a market innovator, a provider of a high-end or customized service, or an integrated service provider. It might also be directed toward meeting a community or public health care need.

2.1a(2). Strategic opportunities arise from outside-the-box thinking, brainstorming, capitalizing on serendipity, research and innovation processes, nonlinear extrapolation of current conditions, and other approaches to imagining a different future. The generation of ideas that lead to strategic opportunities benefits from an environment that encourages nondirected, free thought. Choosing which strategic opportunities to pursue involves considering relative risk, financial and otherwise, and then making intelligent choices (“intelligent risks”).

2.1a(3). Data and information may come from a variety of internal and external sources and in a variety of forms. Data are available in increasingly greater volumes and at greater speeds. The ability to capitalize on data and information, including large datasets (“big data”), is based on the ability to analyze the data, draw conclusions, and pursue actions, including intelligent risks.

2.1a(3). Data and information might relate to patient, other customer, and market requirements, expectations, and opportunities; your culture, policies, and procedures to ensure patient safety and avoid medical errors; your policies and procedures for access to and equity of care; your core competencies; the competitive and collaborative environment and your performance now and in the future relative to competitors and comparable organizations; technological and other key innovations or changes that might affect your services and the way you operate, as well as the rate of innovation; workforce and other resource needs; your ability to capitalize on diversity; opportunities to redirect resources to higher-priority health care services or areas; financial, societal, ethical, regulatory, technological, security, and other potential risks and opportunities; your ability to prevent and respond to emergencies, including natural or other disasters; changes in the local, national, or global economy; requirements for and strengths and weaknesses of your partners and supply chain; changes in your parent organization; and other factors unique to your organization.

2.1a(3). Your strategic planning should address your ability to mobilize the necessary resources and knowledge to execute the strategic plan. It should also address your ability to execute contingency plans or, if circumstances require, a shift in plans and rapid execution of new or changed plans.

2.1a(4). Decisions about work systems are strategic. These decisions involve protecting intellectual property, capitalizing on core competencies, and mitigating risk. Decisions about your work systems affect organizational design and structure, size, locations, profitability, and ongoing success. In a generic view of an organization, for example, the organization might define three work systems: one that addresses the clinical delivery of health care services, one that engages patients and other customers, and one that comprises systems that support service delivery and patient and other customer engagement.

2.1b(1). Strategic objectives might address access and locations; rapid response; customization; co-location with major partners; workforce capability and capacity; specific joint ventures; rapid or market-changing innovation; societal responsibility actions or leadership; social media and web-based management of relationships with suppliers, providers, patients, and other customers; implementation of electronic health records and electronic care processes (e.g., order entry and e-prescribing); and enhancements in health care service quality. Responses should focus on your specific challenges, advantages, and opportunities—those most important to your ongoing success and to strengthening your overall performance.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).
2.2 Strategy Implementation: How do you implement your strategy? (40 pts.)

In your response, include answers to the following questions:

a. Action Plan Development and Deployment

(1) Action Plans What are your key short- and longer-term action plans? What is their relationship to your strategic objectives? How do you develop your action plans?

(2) Action Plan Implementation How do you deploy your action plans? How do you deploy your action plans to your workforce and to key suppliers, partners, and collaborators, as appropriate, to ensure that you achieve your key strategic objectives? How do you ensure that you can sustain the key outcomes of your action plans?

(3) Resource Allocation How do you ensure that financial and other resources are available to support the achievement of your action plans while you meet current obligations? How do you manage the risks associated with the plans to ensure your financial viability?

(4) Workforce Plans What are your key workforce plans to support your short- and longer-term strategic objectives and action plans? How do the plans address potential impacts on your workforce capability and capacity needs?

(5) Performance Measures What key performance measures or indicators do you use to track the achievement and effectiveness of your action plans? How does your overall action plan measurement system reinforce organizational alignment?

(6) Performance Projections For these key performance measures or indicators, what are your performance projections for your short- and longer-term planning horizons? How does your projected performance on these measures or indicators compare with your projections of the performance of your competitors or organizations offering similar health care services and with key benchmarks, as appropriate? If there are gaps in performance against your competitors or comparable organizations, how do you address them?

b. Action Plan Modification

How do you establish and implement modified action plans if circumstances require a shift in plans and rapid execution of new plans?

Notes

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

- Item 1.1: how your senior leaders set and communicate organizational direction
- Category 3: how you gather patient, other customer, and market knowledge as input to your strategy and action plans and to use in deploying action plans
- Category 4: how you measure and analyze data and manage knowledge to support key information needs, support the development of strategy, provide an effective basis for performance measurements, and track progress on achieving strategic objectives and action plans
- Category 5: how you meet workforce capability and capacity needs, determine needs and design your workforce development and learning system, and implement workforce-related changes resulting from action plans
- Category 6: how you address changes to your work processes resulting from action plans
- Item 7.1: specific accomplishments relative to your organizational strategy and action plans

2.2a(2). Action plan implementation and deployment may require modifications in organizational structures and operating modes. Action plan success benefits from visible short-term wins as well as long-term actions.

2.2a(6). Measures and indicators of projected performance might include consideration of changes resulting from new ventures; organizational acquisitions or mergers; new value creation; market entry and shifts; new legislative mandates, legal requirements, industry standards, or accreditation standards; and significant anticipated innovations in health care services and technology.

2.2b. Organizational agility requires the ability to adapt to changing circumstances, both internal and external.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).
3.1 Voice of the Customer: How do you obtain information from your patients and other customers? (40 pts.)

In your response, include answers to the following questions:

a. Listening to Patients and Other Customers

(1) Current Patients and Other Customers  How do you listen to, interact with, and observe patients and other customers to obtain actionable information? How do your listening methods vary for different patient groups, other customer groups, or market segments, as appropriate? How do your listening methods vary across the stages of patients' and other customers' relationships with you? How do you seek immediate and actionable feedback from patients and other customers on the quality of health care services, patient and other customer support, and transactions?

(2) Potential Patients and Other Customers  How do you listen to potential patients and other customers to obtain actionable information? How do you listen to former, potential, and competitors' patients and other customers to obtain actionable information on your health care services, patient and other customer support, and transactions, as appropriate?

b. Determination of Patient and Other Customer Satisfaction and Engagement

(1) Satisfaction, Dissatisfaction, and Engagement  How do you determine patient and other customer satisfaction, dissatisfaction, and engagement? How do your determination methods differ among your patient and other customer groups and market segments, as appropriate? How do your measurements capture actionable information to use in exceeding your patients' and other customers' expectations and securing your patients' and other customers' engagement for the long term?

(2) Satisfaction Relative to Competitors  How do you obtain information on your patients' and other customers' satisfaction with your organization relative to other organizations? How do you obtain information on your patients' and other customers' satisfaction:

- relative to their satisfaction with your competitors and
- relative to the satisfaction of patients and other customers of other organizations that provide similar health care services or to health care industry benchmarks, as appropriate?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

Notes

3.1. The voice of the customer refers to your process for capturing patient- and other customer-related information. Voice-of-the-customer processes are intended to be proactive and continuously innovative so that they capture patients’ and other customers’ stated, unstated, and anticipated requirements, expectations, and desires. The goal is customer engagement. In listening to the voice of the customer, you might gather and integrate various types of patient and other customer data, such as survey data, focus group findings, blog comments and data from other social media, marketing information, and complaint data that affect patients’ and other customers’ purchasing and engagement decisions.

3.1a(1). Social media and web-based technologies are a growing mode of gaining insight into how patients and other customers perceive all aspects of your involvement with them. Listening through social media may include monitoring comments on social media outlets you moderate and on those you do not control, such as wikis, online forums, and blogs other than your own.

3.1a(1). Your listening methods should include all stages of your involvement with patients and other customers. These stages might include relationship building, the active relationship, and a follow-up strategy, as appropriate.

3.1b. You might use any or all of the following to determine patient and other customer satisfaction and dissatisfaction: surveys, including third-party surveys or surveys endorsed or required by payors, such as the Consumer Assessment of Healthcare Providers and Systems (CAHPS); formal and
informal feedback; health care service utilization data; complaints; win/loss analysis; patient and other customer referral rates; and transaction completion rates. You might gather information on the web, through personal contact or a third party, or by mail. Determining patient and other customer dissatisfaction should be seen as more than reviewing low satisfaction scores. Dissatisfaction should be independently determined to identify root causes and enable a systematic remedy to avoid future dissatisfaction.

3.1b(1), b(2). Dimensions of patient satisfaction might include, for example, satisfaction with provider interactions, long-term health outcomes, ancillary services, and the quality of care. Information you obtain on relative patient and other customer satisfaction may include comparisons with competitors, comparisons with other organizations that deliver similar health care services in a noncompetitive market, or comparisons obtained through health care industry or other organizations. Information obtained on relative satisfaction may also include information on why patients and other customers chose your competitors over you.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).

3.2 Customer Engagement: How do you engage patients and other customers by serving their needs and building relationships? (45 pts.)

In your response, include answers to the following questions:

a. Service Offerings and PATIENT and Other CUSTOMER Support

(1) Service Offerings  How do you determine HEALTH CARE SERVICE offerings? How do you

• determine PATIENT, other CUSTOMER, and market needs and requirements for HEALTH CARE SERVICE offerings;
• identify and adapt service offerings to meet the requirements and exceed the expectations of your PATIENT and other CUSTOMER groups and market SEGMENTS; and
• identify and adapt service offerings to enter new markets, to attract new PATIENTS and other CUSTOMERS, and to create opportunities to expand relationships with current PATIENTS and other CUSTOMERS, as appropriate?

(2) PATIENT and Other CUSTOMER Support  How do you enable PATIENTS and other CUSTOMERS to seek information and support? How do you obtain HEALTH CARE SERVICES from you? What are your KEY means of PATIENT and other CUSTOMER support, including your KEY communication mechanisms? How do they vary for different PATIENT and other CUSTOMER groups or market SEGMENTS? How do you

• determine your PATIENTS’ and other CUSTOMERS’ KEY support requirements and
• DEPLOY these requirements to all people and PROCESSES involved in PATIENT and other CUSTOMER support?

(3) PATIENT and Other CUSTOMER Segmentation  How do you determine your PATIENT and other CUSTOMER groups and market SEGMENTS? How do you

• use information on PATIENTS, other CUSTOMERS, markets, and HEALTH CARE SERVICE offerings to identify current and anticipate future PATIENT and other CUSTOMER groups and market SEGMENTS;
• consider competitors’ PATIENTS and other CUSTOMERS, as well as other potential PATIENTS, CUSTOMERS, and markets in this segmentation; and
• determine which PATIENT and other CUSTOMER groups and market SEGMENTS to emphasize and pursue for business growth?

b. PATIENT and Other CUSTOMER Relationships

(1) Relationship Management  How do you build and manage relationships with PATIENTS and other CUSTOMERS? How do you market, build, and manage relationships with PATIENTS and other CUSTOMERS to

• acquire PATIENTS and other CUSTOMERS and build market share;
• manage and enhance your brand image;
• retain PATIENTS and other CUSTOMERS, meet their requirements, and exceed their expectations in each stage of their relationship with you; and
• increase their ENGAGEMENT with you?

How do you leverage social media to manage and enhance your brand, and to enhance PATIENT and other CUSTOMER ENGAGEMENT and PATIENTS’ and other CUSTOMERS’ relationships with your organization, as appropriate?

(Continued on the next page)
Notes

3.2. Customer engagement refers to your patients’ and other customers’ investment in or commitment to your brand and health care service offerings. Characteristics of engaged patients and other customers include retention; brand loyalty; willingness to make an effort to obtain health care services, as well as other services, from you; and willingness to actively advocate for and recommend your brand and your health care service offerings.

3.2a. Health care service offerings and health care services are the services and programs that you offer in the marketplace. In identifying health care service offerings, you should consider all the important characteristics of services that patients and other customers receive in each stage of their relationship with you. The focus should be on features that affect patients’ and other customers’ preference for and loyalty to you and your brand—for example, features that affect their view of clinical and service quality and that differentiate your services from competing offerings or other organizations’ services. Those features might include extended hours, family support services, ease of access to and use of your services, timeliness, cost, and assistance with billing/paperwork processes and transportation. Key service features might also take into account how transactions occur and factors such as the confidentiality and security of patient and other customer data. Your results on performance relative to key service features should be reported in item 7.1, and those for patients’ and other customers’ perceptions and actions (outcomes) should be reported in item 7.2.

3.2a(2). The goal of patient and other customer support is to make your organization easy to obtain health care services from and responsive to your patients’ and your other customers’ expectations.

3.2b. Building relationships with patients and other customers might include developing partnerships or alliances with them.

3.2b(1). Brand management is generally associated with marketing to improve the perceived value of your health care services or brand. Successful brand management builds loyalty and positive associations for patients and other customers, and it protects your brand and intellectual property.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).
Measurement, Analysis, and Knowledge Management (90 pts.)

The Measurement, Analysis, and Knowledge Management category asks how your organization selects, gathers, analyzes, manages, and improves its data, information, and knowledge assets; how it learns; and how it manages information technology. The category also asks how your organization uses review findings to improve its performance.

4.1 Measurement, Analysis, and Improvement of Organizational Performance: How do you measure, analyze, and then improve organizational performance? (45 pts.)

In your response, include answers to the following questions:

a. Performance Measurement

(1) Performance Measures How do you use data and information to track daily operations and overall organizational performance? How do you

- select, collect, align, and integrate data and information to use in tracking daily operations and overall organizational performance; and
- track progress on achieving strategic objectives and action plans?

What are your key organizational performance measures, including key short- and longer-term financial measures? How frequently do you track these measures?

(2) Comparative Data How do you select and effectively use comparative data and information? How do you select and effectively use key comparative data and information to support operational decision making?

(3) Patient and Other Customer Data How do you use voice-of-the-customer and market data and information? How do you

- select and effectively use voice-of-the-customer and market data and information (including aggregated data on complaints) to build a more patient-focused culture and to support operational decision making, and
- use data and information gathered through social media, as appropriate?

(4) Measurement Agility How do you ensure that your performance measurement system can respond to rapid or unexpected organizational or external changes?

b. Performance Analysis and Review

How do you review your organization’s performance and capabilities? How do you use your key organizational performance measures, as well as comparative and customer data, in these reviews? What analyses do you perform to support these reviews and ensure that conclusions are valid? How do you use your organization and its senior leaders use these reviews to

- assess organizational success, competitive performance, financial health, and progress on achieving your strategic objectives and action plans; and
- respond rapidly to changing organizational needs and challenges in your operating environment, including any need for transformational change in organizational structure and work systems?

How does your governance board review the organization’s performance and its progress on strategic objectives and action plans, if appropriate?

c. Performance Improvement

(1) Best Practices How do you share best practices in your organization? How do you identify organizational units or operations that are high performing? How do you identify their best practices for sharing and implement them across the organization, as appropriate?

(2) Future Performance How do you project your organization’s future performance? How do you use findings from performance reviews (addressed in 4.1b) and key comparative and competitive data in projecting future performance? How do you reconcile any differences between these projections of future performance and performance projections developed for your key action plans (addressed in 2.2a[6])?

(Continued on the next page)
Notes

4.1. The results of organizational performance analysis and review should inform the strategy development and implementation you describe in category 2. Your organizational performance results should be reported in items 7.1–7.5.

4.1a. Data and information from performance measurement should be used to support fact-based decisions that set and align organizational directions and resource use at the work unit, key process, department, and organization levels.

4.1a(2). Comparative data and information are obtained by benchmarking and by seeking competitive comparisons. Benchmarking is identifying processes and results that represent best practices and performance for similar activities, inside or outside the health care industry. Competitive comparisons relate your performance to that of competitors and other organizations providing similar health care services. One source of this information might be social media or the web.

4.1b. Organizational performance reviews should be informed by organizational performance measurement and by performance measures reported throughout your Health Care Criteria item responses, and they should be guided by the strategic objectives and action plans you identify in category 2. The reviews might also be informed by internal or external Baldrige assessments.

4.1b. Performance analysis includes examining performance trends; organizational, health care industry, and technology projections; and comparisons, cause-effect relationships, and correlations. This analysis should support your performance reviews, help determine root causes, and help set priorities for resource use. Accordingly, such analysis draws on all types of data: health care outcome, patient- and other customer-related, financial and market, operational, and competitive/comparative. The analysis should also draw on publicly mandated measures, when appropriate.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).
4.2 Knowledge Management, Information, and Information Technology: How do you manage your organizational knowledge assets, information, and information technology infrastructure? (45 pts.)

In your response, include answers to the following questions:

a. Organizational Knowledge

(1) Knowledge Management How do you manage organizational knowledge? How do you

• collect and transfer WORKFORCE knowledge;
• blend and correlate data from different sources to build new knowledge;
• transfer relevant knowledge from and to PATIENTS, other CUSTOMERS, suppliers, PARTNERS, and COLLABORATORS; and
• assemble and transfer relevant knowledge for use in your INNOVATION and strategic planning PROCESSES?

(2) Organizational Learning How do you use your knowledge and resources to embed LEARNING in the way your organization operates?

b. Data, Information, and Information Technology

(1) Data and Information Quality How do you verify and ensure the quality of organizational data and information? How do you manage electronic and other data and information to ensure their accuracy and validity, integrity and reliability, and currency?

(2) Data and Information Security How do you ensure the security of sensitive or privileged data and information? How do you manage electronic and other data and information to ensure confidentiality and only appropriate access? How do you oversee the cybersecurity of your information systems?

(3) Data and Information Availability How do you ensure the availability of organizational data and information? How do you make needed data and information available in a user-friendly format and timely manner to your WORKFORCE, suppliers, PARTNERS, COLLABORATORS, PATIENTS, and other CUSTOMERS, as appropriate?

(4) Hardware and Software Properties How do you ensure that hardware and software are reliable, secure, and user-friendly?

(5) Emergency Availability In the event of an emergency, how do you ensure that hardware and software systems and data and information continue to be secure and available to EFFECTIVELY serve PATIENTS, other CUSTOMERS, and organizational needs?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

Notes

4.2a(1). Blending and correlating data from different sources may involve handling big data sets and disparate types of data and information, such as data tables, video, and text. Furthermore, organizational knowledge constructed from these data may be speculative and may reveal sensitive information about organizations or individuals that must be protected from use for any other purposes.

4.2b. Your response might include information related to electronic health records within your organization.

4.2b(2). Managing cybersecurity (the security of electronic data) includes, for example, protecting against the loss of sensitive information about employees, patients, other customers, and organizations; protecting assets stored in the cloud or outside your organization’s control; protecting intellectual property; and protecting against the financial, legal, and reputational aspects of data breaches.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).
# Workforce (85 pts.)

The **WORKFORCE** category asks how your organization assesses **WORKFORCE CAPABILITY and CAPACITY** needs and builds a **WORKFORCE** environment conducive to high performance. The category also asks how your organization engages, manages, and develops your **WORKFORCE** to utilize its full potential in alignment with your organization’s overall organizational needs.

## 5.1 Workforce Environment: How do you build an effective and supportive workforce environment? (40 pts.)

In your response, include answers to the following questions:

### a. **WORKFORCE CAPABILITY and CAPACITY**

1. **CAPABILITY and CAPACITY**  
   How do you assess your **WORKFORCE CAPABILITY and CAPACITY** needs? How do you assess the skills, competencies, certifications, and staffing levels you need?

2. **New WORKFORCE Members**  
   How do you recruit, hire, place, and retain new **WORKFORCE members**?  
   How do you ensure that your **WORKFORCE** represents the diverse ideas, cultures, and thinking of your hiring and **PATIENT** community?

3. **Work Accomplishment**  
   How do you organize and manage your **WORKFORCE**? How do you organize and manage your **WORKFORCE** to
   - accomplish your organization’s work;
   - capitalize on your organization’s core competencies;
   - reinforce a focus on **PATIENTS**, other **CUSTOMERS**, and health care; and
   - exceed performance expectations?

4. **WORKFORCE Change Management**  
   How do you prepare your **WORKFORCE** for changing **CAPABILITY and CAPACITY** needs? How do you
   - manage your **WORKFORCE**, its needs, and your organization’s needs to ensure continuity, prevent **WORKFORCE** reductions, and minimize the impact of such reductions, if they become necessary;
   - prepare for and manage periods of **WORKFORCE** growth; and
   - prepare your **WORKFORCE** for changes in organizational structure and **WORK SYSTEMS**, when needed?

### b. **WORKFORCE Climate**

1. **Workplace Environment**  
   How do you ensure workplace health, security, and accessibility for the **WORKFORCE**? What are your PERFORMANCE MEASURES and improvement GOALS for your workplace environmental factors? For your different workplace environments, what significant differences are there in these factors and their PERFORMANCE MEASURES or targets?

2. **WORKFORCE Benefits and Policies**  
   How do you support your **WORKFORCE** via services, benefits, and policies? How do you tailor these to the needs of a diverse **WORKFORCE** and different **WORKFORCE** groups and segments? What **KEY** benefits do you offer your **WORKFORCE**?

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**Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).**

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### Notes

**5.1.** Workforce refers to the people actively involved in accomplishing your organization’s work. It includes permanent, temporary, and part-time personnel, as well as any contract staff you supervise, independent practitioners (e.g., physicians, physician assistants, nurse practitioners, acupuncturists, and nutritionists not paid by your organization), and **health profession students** (e.g., medical, nursing, and **ancillary**). It includes team leaders, supervisors, and managers at all levels. People supervised by a contractor should be addressed in categories 2 and 6 as part of your larger work system strategy and your internal work processes. For organizations that also rely on volunteers, workforce includes these volunteers.

**5.1a.** Workforce capability refers to your organization’s ability to carry out its work processes through its people’s knowledge, skills, abilities, and competencies. Capability may include the ability to build and sustain relationships with patients and other customers; innovate and transition to new technologies; develop new health care services and work processes; and meet changing health care, market, and regulatory demands.
Workforce capacity refers to your organization’s ability to ensure sufficient staffing levels to carry out its work processes and successfully deliver health care services to patients, including the ability to meet seasonal or varying demand levels.

5.1a. Your assessment of workforce capability and capacity needs should consider not only current needs but also future requirements based on the strategic objectives and action plans you identify in category 2 and the performance projections you discuss in 4.1c(2).

5.1a(2). This requirement refers only to new workforce members. The retention of existing workforce members is considered in item 5.2, Workforce Engagement.

5.1a(3), 5.1a(4). Organizing and managing your workforce may involve organizing the workforce for change as you address changes in your external environment, culture, technology, or strategic objectives.

5.1a(4). Preparing your workforce for changing capability and capacity needs might include training, education, frequent communication, consideration of workforce employment and employability, career counseling, and outplacement and other services.

5.1b(1). Workplace accessibility maximizes productivity by eliminating barriers that can prevent people with disabilities from working to their potential. A fully inclusive workplace is physically, technologically, and attitudinally accessible.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).

5.2 Workforce Engagement: How do you engage your workforce to achieve a high-performance work environment? (45 pts.)

In your response, include answers to the following questions:

a. WORKFORCE ENGAGEMENT and PERFORMANCE

(1) Organizational Culture HOW do you foster an organizational culture that is characterized by open communication, HIGH PERFORMANCE, and an engaged WORKFORCE? HOW do you ensure that your organizational culture benefits from the diverse ideas, cultures, and thinking of your WORKFORCE? HOW do you EMPOWER your WORKFORCE?

(2) Drivers of ENGAGEMENT HOW do you determine the KEY drivers of WORKFORCE ENGAGEMENT? HOW do you determine these drivers for different WORKFORCE groups and SEGMENTS?

(3) Assessment of ENGAGEMENT HOW do you assess WORKFORCE ENGAGEMENT? What formal and informal assessment methods and MEASURES do you use to determine WORKFORCE ENGAGEMENT, including satisfaction? HOW do these methods and MEASURES differ across WORKFORCE groups and SEGMENTS? HOW do you also use other INDICATORS, such as WORKFORCE retention, absenteeism, grievances, safety, and PRODUCTIVITY, to assess and improve WORKFORCE ENGAGEMENT?

(4) PERFORMANCE Management HOW does your WORKFORCE PERFORMANCE management system support HIGH PERFORMANCE and WORKFORCE ENGAGEMENT? HOW does it consider WORKFORCE compensation, reward, recognition, and incentive practices? HOW does it reinforce
- INTELLIGENT RISK taking to achieve INNOVATION;
- a focus on PATIENTS, other CUSTOMERS, and health care; and
- achievement of your ACTION PLANS?

b. WORKFORCE and Leader Development

(1) LEARNING and Development System HOW does your LEARNING and development system support the organization’s needs and the personal development of your WORKFORCE members, managers, and leaders? HOW does the system
- address your organization’s CORE COMPETENCIES, STRATEGIC CHALLENGES, and achievement of short- and long-term ACTION PLANS;
- support organizational PERFORMANCE improvement, organizational change, and INNOVATION;
- support ethical health care and ethical business practices;
- improve focus on PATIENTS and other CUSTOMERS;
- ensure the transfer of knowledge from departing or retiring WORKFORCE members; and
- ensure the reinforcement of new knowledge and skills on the job?

(Continued on the next page)
(2) **LEARNING and Development EFFECTIVENESS**  
**HOW do you evaluate the EFFECTIVENESS and efficiency of your LEARNING and development system?**  
How do you correlate LEARNING and development outcomes with findings from your assessment of WORKFORCE ENGAGEMENT and with KEYORGANIZATIONAL RESULTS reported in category 7, and use these correlations to identify opportunities for improvement in both WORKFORCE ENGAGEMENT and LEARNING and development offerings?

(3) **Career Progression**  
**HOW do you manage career progression for your organization?**  
How do you manage career development for your WORKFORCE? How do you carry out succession planning for management and leadership positions?

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**Notes**

5.2. Understanding the characteristics of high-performance work environments, in which people do their utmost for their patients’ and other customers’ benefit and the organization’s success, is key to understanding and building an engaged workforce. These characteristics are described in detail in the definition of high performance (page 49).

5.2a(2). Drivers of workforce engagement (identified in P1a3) refer to the drivers of workforce members’ commitment, both emotional and intellectual, to accomplishing the organization’s work, mission, and vision.

5.2a(4). Compensation, recognition, and related reward and incentive practices include promotions and bonuses that might be based on performance, skills acquired, adaptation to new work systems and culture, and other factors. Recognition can include monetary and nonmonetary, formal and informal, and individual and group mechanisms. Recognition systems for volunteers and independent practitioners who contribute to the organization’s work should be included, as appropriate.

5.2b. Your response should include how you address any unique considerations for workforce development, learning, and career progression that stem from your organization. Your response should also consider the breadth of development opportunities you might offer, including education, training, coaching, mentoring, and work-related experiences.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).
6 Operations (85 pts.)

The Operations category asks HOW your organization designs, manages, improves, and innovates its HEALTH CARE SERVICES and WORK PROCESSES and improves operational EFFECTIVENESS to deliver VALUE to PATIENTS and other CUSTOMERS and to achieve ongoing organizational success.

6.1 Work Processes: How do you design, manage, and improve your key health care services and work processes? (45 pts.)

In your response, include answers to the following questions:

a. Service and PROCESS Design

(1) Service and PROCESS Requirements  HOW do you determine KEY HEALTH CARE SERVICE and WORK PROCESS requirements? What are your organization’s KEY WORK PROCESSES? What are the KEY requirements for these WORK PROCESSES?

(2) Design Concepts  HOW do you design your HEALTH CARE SERVICES and WORK PROCESSES to meet requirements? HOW do you incorporate new technology, organizational knowledge, evidence-based medicine, HEALTH CARE SERVICE excellence, PATIENT and other CUSTOMER VALUE, and the potential need for agility into these services and PROCESSES?

b. PROCESS Management

(1) PROCESS Implementation  HOW does your day-to-day operation of WORK PROCESSES ensure that they meet KEY PROCESS requirements? What KEY PERFORMANCE MEASURES or INDICATORS and in-process MEASURES do you use to control and improve your WORK PROCESSES? HOW do these MEASURES relate to the quality of outcomes and the PERFORMANCE of your HEALTH CARE SERVICES?

(2) PATIENT Expectations and Preferences  HOW do you address and consider each PATIENT’S expectations? HOW do you explain HEALTH CARE SERVICE delivery PROCESSES and likely outcomes to set realistic PATIENT expectations? HOW do you factor PATIENT decision making and PATIENT preferences into the delivery of HEALTH CARE SERVICES?

(3) Support PROCESSES  HOW do you determine your KEY support PROCESSES? What are your KEY support PROCESSES? HOW does your day-to-day operation of these PROCESSES ensure that they meet KEY organizational support requirements?

(4) Service and PROCESS Improvement  HOW do you improve your WORK PROCESSES to improve HEALTH CARE SERVICES and PERFORMANCE, enhance your CORE COMPETENCIES, and reduce variability?

c. INNOVATION Management

HOW do you manage for INNOVATION? HOW do you pursue the STRATEGIC OPPORTUNITIES that you determine are INTELLIGENT RISKS? HOW do you make financial and other resources available to pursue these opportunities? HOW do you discontinue pursuing opportunities at the appropriate time to enhance support for higher-priority opportunities?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).
Notes

6.1. The results of improvements in the performance of your health care services and processes should be reported in item 7.1.

6.1a(1). Your key work processes are your most important internal value-creation processes. They might include health care service design and delivery, patient and other customer support, and business processes. Your key work processes are those that involve the majority of your workforce and produce value for patients, other customers, and stakeholders. Projects are unique work processes intended to produce an outcome and then go out of existence.

6.1a(2). The potential need for agility could include changes in work processes as a result of overall work system changes, such as bringing a supply-chain process in-house to avoid disruptions in supply due to increasing external events triggered by climate change or other unpredictable factors.

6.1b(3). Your key support processes should support your value-creation processes. They might support leaders and other workforce members engaged in health care service design and delivery, interactions with patients and other customers, and business and enterprise management.

6.1b(4). To improve process performance and reduce variability, you might implement approaches such as a Lean Enterprise System, Six Sigma methodology, ISO quality system standards, PDCA methodology, decision sciences, or other process improvement tools. These approaches might be part of the performance improvement system you describe in P.2c in the Organizational Profile.

6.1c. Your innovation management process should capitalize on strategic opportunities identified in 2.1a(2).

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).
6.2 Operational Effectiveness: How do you ensure effective management of your operations? (40 pts.)

In your response, include answers to the following questions:

a. **PROCESS Efficiency and Effectiveness**
   
   **How do you control the overall costs of your operations?**
   How do you
   
   • incorporate **cycle time**, **productivity**, and other efficiency and **effectiveness** factors into your **work processes**;
   • prevent rework and errors, including medical errors;
   • minimize the costs of inspections, tests, and **process or performance** audits, as appropriate; and
   • balance the need for cost control with the needs of your **patients** and other **customers**, when they differ?

b. **Supply-Chain Management**

   **How do you manage your supply chain?**
   How do you
   
   • select suppliers and ensure that they are qualified and positioned to not only meet operational needs but also enhance your **performance** and your **patients’** and other **customers’** satisfaction;
   • measure and evaluate your suppliers’ **performance**;
   • provide feedback to your suppliers to help them improve; and
   • deal with poorly performing suppliers?

c. **Safety and Emergency Preparedness**

   **(1) Safety**
   How do you provide a safe operating environment? How does your safety system address accident prevention, inspection, root-cause **analysis** of failures, and recovery?

   **(2) Emergency Preparedness**
   How do you ensure that your organization is prepared for disasters or emergencies? How does your disaster and emergency preparedness system consider prevention, continuity of operations, and recovery? How does your disaster and emergency preparedness system take your reliance on suppliers and **partners** into account?

Terms in **small caps** are defined in the Glossary of Key Terms (pages 47–54).

**Notes**

6.2b. Ensuring that suppliers are positioned to meet operational needs and enhance your performance and your patients’ and other customers’ satisfaction may involve partnering with suppliers for mutual benefit.

6.2b. Feedback to suppliers should involve two-way communication, allowing suppliers to express what they need from you.

6.2c(2). Disasters and emergencies might be related to weather, utilities, security, or a local or national emergency. The extent to which you prepare for disasters or emergencies will depend on your organization’s environment and its sensitivity to disruptions of operations. Acceptable levels of risk will vary depending on the nature of your services, supply chain, and stakeholder needs and expectations. The impacts of climate change could include a greater frequency of disruptions. Emergency considerations related to information technology should be addressed in item 4.2.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).
7 Results (450 pts.)

The RESULTS category asks about your organization's PERFORMANCE and improvement in all KEY areas—health care and PROCESS RESULTS, CUSTOMER-focused RESULTS, WORKFORCE-focused RESULTS, leadership and GOVERNANCE RESULTS, and financial and market RESULTS. The category asks about PERFORMANCE LEVELS relative to those of competitors and other organizations with similar HEALTH CARE SERVICE offerings.

7.1 Health Care and Process Results: What are your health care and process effectiveness results? (120 pts.)

Provide data and information to answer the following questions:

a. Health Care and CUSTOMER-Focused Service RESULTS

What are your health care RESULTS and your RESULTS for your PATIENT and other CUSTOMER service PROCESSES? What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of health care outcomes and the PERFORMANCE of services that are important to and directly serve your PATIENTS and other CUSTOMERS? How do these RESULTS compare with the PERFORMANCE of your competitors and other organizations with similar offerings? How do these RESULTS differ by HEALTH CARE SERVICE offerings, PATIENT and other CUSTOMER groups, and market SEGMENTS, as appropriate?

b. WORK PROCESS EFFECTIVENESS RESULTS

(1) PROCESS EFFECTIVENESS and Efficiency What are your PROCESS EFFECTIVENESS and efficiency RESULTS? What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the operational PERFORMANCE of your KEY WORK and support PROCESSES, including PRODUCTIVITY, CYCLE TIME, and other appropriate MEASURES of PROCESS EFFECTIVENESS, efficiency, and INNOVATION? How do these RESULTS compare with the PERFORMANCE of your competitors and other organizations with similar PROCESSES? How do these RESULTS differ by PROCESS types, as appropriate?

(2) Emergency Preparedness What are your emergency preparedness RESULTS? What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the EFFECTIVENESS of your organization’s preparedness for disasters or emergencies? How do these RESULTS differ by location or PROCESS type, as appropriate?

c. Supply-Chain Management RESULTS

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

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

Notes

7.1a. Health care results and results for patient and other customer service processes should relate to the key patient and other customer requirements and expectations you identify in P.1b(2), which are based on information gathered through processes you describe in category 3. The measures or indicators should address factors that affect patient and other customer preference, such as those listed in the notes to P.1b(2) and 3.2a.

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

7.1b. Appropriate measures and indicators of work process effectiveness might include error rates, audit results, timeliness of delivery, results for externally provided health care services and processes, rates and results of health care service and work system innovation, results for simplification of internal jobs and job classifications, waste reduction, work layout improvements, changes in supervisory
ratios, Occupational Safety and Health Administration (OSHA)-reportable incidents, response times for emergency drills or exercises, and results for work relocation or contingency exercises.

7.1c. This requirement does not ask for levels and trends. The reason is that some significant supply-chain results may be either qualitative or not amenable to trending over time. Examples for suppliers could be training hours on new services or processes, knowledge-sharing activities, audit hours that vary by supplier experience or specification complexity, or joint process and service development. When appropriate, however, you should report levels and trends for results that are numeric and trendable.

7.2 Customer-Focused Results: What are your customer-focused performance results? (80 pts.)

Provide data and information to answer the following questions:

a. **Patient- and Other Customer-Focused Results**

(1) **Patient and Other Customer Satisfaction** What are your **patient and other customer satisfaction and dissatisfaction results**? What are your current **levels and trends** in **key measures or indicators** of **patient and other customer satisfaction and dissatisfaction**? How do these **results** compare with those of your competitors and other organizations providing similar **health care services**? How do these **results** differ by **health care service offerings**, **patient and other customer groups**, and **market segments**, as appropriate?

(2) **Patient and Other Customer Engagement** What are your **patient and other customer engagement results**? What are your current **levels and trends** in **key measures or indicators** of **patient and other customer engagement**, including those for building relationships with **patients and other customers**? How do these **results** compare over the course of your **customers’** and other **customers’ relationships** with you, as appropriate? How do these **results** differ by **health care service offerings**, **patient and other customer groups**, and **market segments**, as appropriate?

Terms in **small caps** are defined in the **Glossary of Key Terms** (pages 47–54).

**Notes**

7.2. Results for patient and other customer satisfaction, dissatisfaction, engagement, and relationship building should relate to the patient and other customer groups and market segments you identify in F1(2) and to the listening and determination methods you report in item 3.1.

7.2a(1). For patients’ and other customers’ satisfaction with your health care services relative to satisfaction with those of competitors and comparable organizations, measures and indicators might include information and data from your patients, from your other customers, from competitors’ customers, and from independent organizations. Results from any of the CAHPS surveys should be included if your organization reports these measures.

For additional guidance on this item, see the **Category and Item Commentary** (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).
7.3 Workforce-Focused Results: What are your workforce-focused performance results? (80 pts.)

Provide data and information to answer the following questions:

a. Workforce-Focused Results

(1) Workforce Capability and Capacity  What are your Workforce Capability and Capacity Results? What are your current levels and trends in key measures of workforce capability and capacity, including appropriate skills and staffing levels? How do these results differ by the diversity of your workforce and by your workforce groups and segments, as appropriate?

(2) Workforce Climate  What are your Workforce Climate Results? What are your current levels and trends in key measures or indicators of your workforce climate, including those for workforce health, safety, and security and workforce services and benefits, as appropriate? How do these results differ by the diversity of your workforce and by your workforce groups and segments, as appropriate?

(3) Workforce Engagement  What are your Workforce Engagement Results? What are your current levels and trends in key measures or indicators of workforce satisfaction and workforce engagement? How do these results differ by the diversity of your workforce and by your workforce groups and segments, as appropriate?

(4) Workforce Development  What are your Workforce and Leader Development Results? What are your current levels and trends in key measures or indicators of workforce and leader development? How do these results differ by the diversity of your workforce and by your workforce groups and segments, as appropriate?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

Notes

7.3. Results reported in this item should relate to the processes you report in category 5. Your results should also respond to the key work process needs you report in category 6 and to the action plans and workforce plans you report in item 2.2.

7.3a(3). Responses should include results for the measures and indicators you identify in 5.2a(3).

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).
7.4 Leadership and Governance Results: What are your senior leadership and governance results? (80 pts.)

Provide data and information to answer the following questions:

a. Leadership, GOVERNANCE, and Societal Responsibility RESULTS

(1) Leadership  What are your RESULTS for SENIOR LEADERS’ communication and engagement with the WORKFORCE and with PATIENTS and other CUSTOMERS? What are your RESULTS for KEY MEASURES or INDICATORS of SENIOR LEADERS’ communication and engagement with the WORKFORCE, PATIENTS, and other CUSTOMERS to DEPLOY your VISION and VALUES, encourage two-way communication, and create a focus on action? How do these RESULTS differ by organizational units and PATIENT and other CUSTOMER groups, as appropriate?

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

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

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

(5) Society  What are your RESULTS for societal responsibilities and support of your KEY communities? What are your RESULTS for KEY MEASURES or INDICATORS of your fulfillment of your societal responsibilities, support of your KEY communities, and contributions to community health?

b. Strategy Implementation RESULTS

What are your RESULTS for the achievement of your organizational strategy and ACTION PLANS? What are your RESULTS for KEY MEASURES or INDICATORS of the achievement of your organizational strategy and ACTION PLANS? What are your RESULTS for building and strengthening CORE COMPETENCIES? What are your RESULTS for taking INTELLIGENT RISKS?

Notes

7.4. Most of the requirements in this item do not ask for levels and trends. The reason is that some significant results may be either qualitative in nature or not amenable to trending over time. Examples could be results of intelligent risk taking and governance accountability. For such results, qualitative explanation may be more meaningful than current levels and trends. When appropriate, however, you should report levels and trends for results that are numeric and trendable.

7.4a(1). Responses should include results relating to the communication processes you identify in item 1.1.

7.4a(2). Responses might include financial statement issues and risks, important internal and external auditor recommendations, and management’s responses to these matters.

7.4a(3). Legal, regulatory, and accreditation results should relate to the processes and measures you report in 1.2b. Workforce-related occupational safety and health results (e.g., OSHA-reportable incidents) should be reported in 7.1b(2) and 7.3a(2).

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

7.4a(5). Responses should relate to the societal responsibilities you address in 1.2b(1) and 1.2c(1), as well as the support of the key communities and contributions to community health you report in 1.2c(2). Measures of contributions to societal well-being might include those for reduced energy consumption, the use of renewable energy resources and recycled water, reduction of your carbon footprint, waste reduction and utilization, and alternative approaches to conserving resources (e.g., increased audio- and videoconferencing).

7.4b. Measures or indicators of strategy and action plan achievement should relate to the strategic objectives and goals you report in 2.1b(1) and the action plan performance measures and projected performance you report in 2.2a(5) and 2.2a(6), respectively.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).
7.5 **Financial and Market Results:** What are your financial and marketplace performance results? (90 pts.)

Provide data and information to answer the following questions:

a. **Financial and Market Results**

   (1) **Financial Performance** What are your financial performance results? What are your current levels and trends in key measures or indicators of financial performance, including aggregate measures of financial return, financial viability, and budgetary performance, as appropriate? How do these results differ by market segments and patient and other customer groups, as appropriate?

   (2) **Marketplace Performance** What are your marketplace performance results? What are your current levels and trends in key measures or indicators of marketplace performance, including market share or position, market and market share growth, and new markets entered, as appropriate? How do these results differ by market segments and patient and other customer groups, as appropriate?

Terms in small caps are defined in the Glossary of Key Terms (pages 47–54).

**Note**

7.5a(1). Aggregate measures of financial return might include those for return on investment (ROI), operating margins, profitability, or profitability by market segment or patient or other customer group. Measures of financial viability might include those for liquidity, debt-to-equity ratio, days cash on hand, asset utilization, cash flow, bond ratings, and value-based purchasing financial results, as appropriate. Measures should relate to the financial measures you report in 4.1a(1) and the financial management approaches you report in item 2.2.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/hc_criteria.cfm).