

# **Performance Indicator Feedback Report**

## *Organizational Sample*

**NATIONAL COUNCIL FOR PERFORMANCE EXCELLENCE**

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# Demographics

The Demographic Section is designed to provide the organization with an overall response rate relative to the total number of respondents and their percentage weight for each demographic category they have chosen.

## Survey Demographics

<b>SURVEYS DISTRIBUTED</b>	25
<b>SURVEYS RETURNED</b>	25
<b>PERCENT RESPONDING</b>	100%

## Organization Demographics

Attribute/Value	Number Responded	Response as % of Total
<b>Position</b>		
Executive/ Senior Manager	7	28.0
Individual Contributor	10	40.0
Supervisor	8	32.0
<b>Total</b>	<b>25</b>	<b>100%</b>

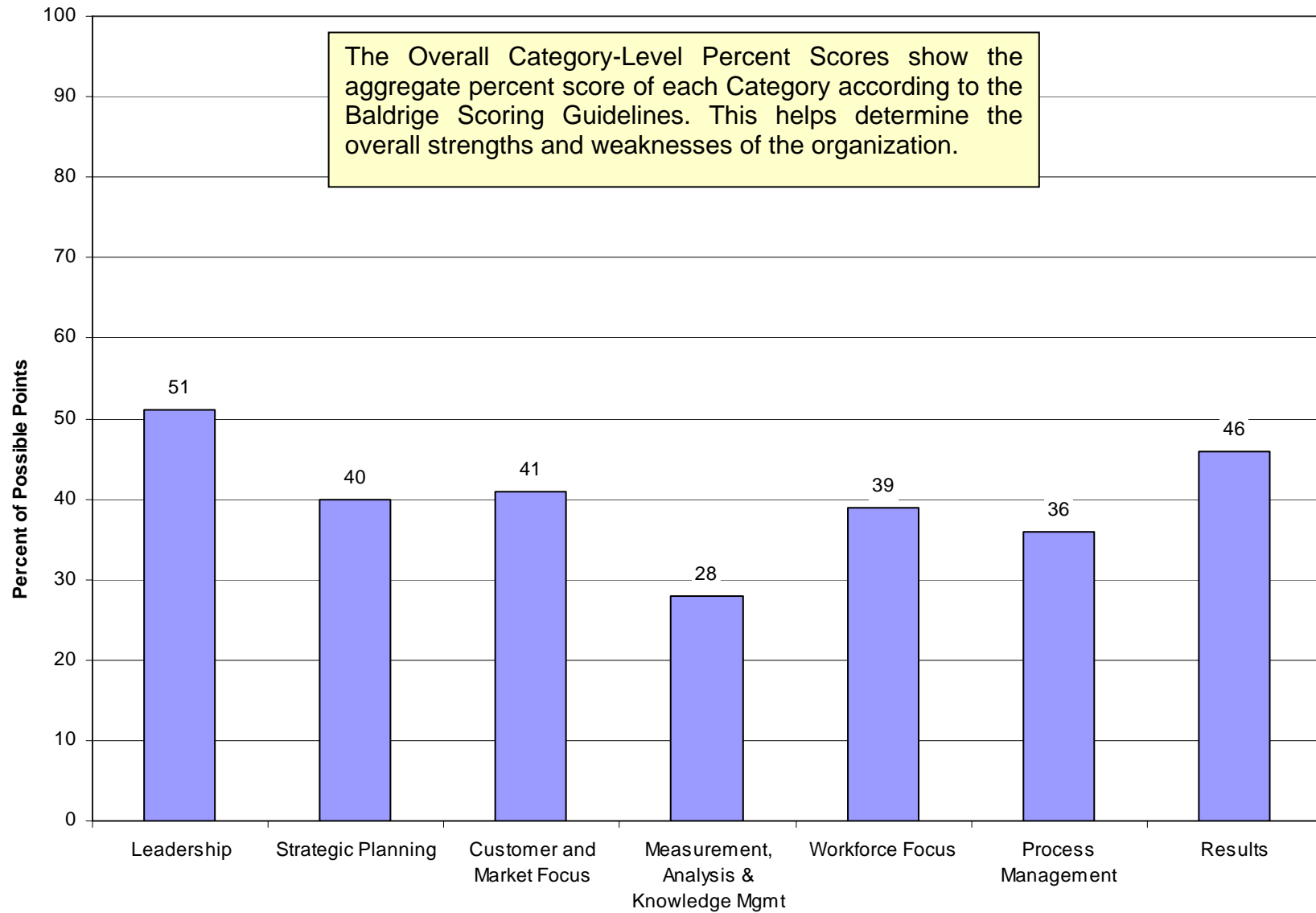
# Summary Results

## Overall Category-Level Totals

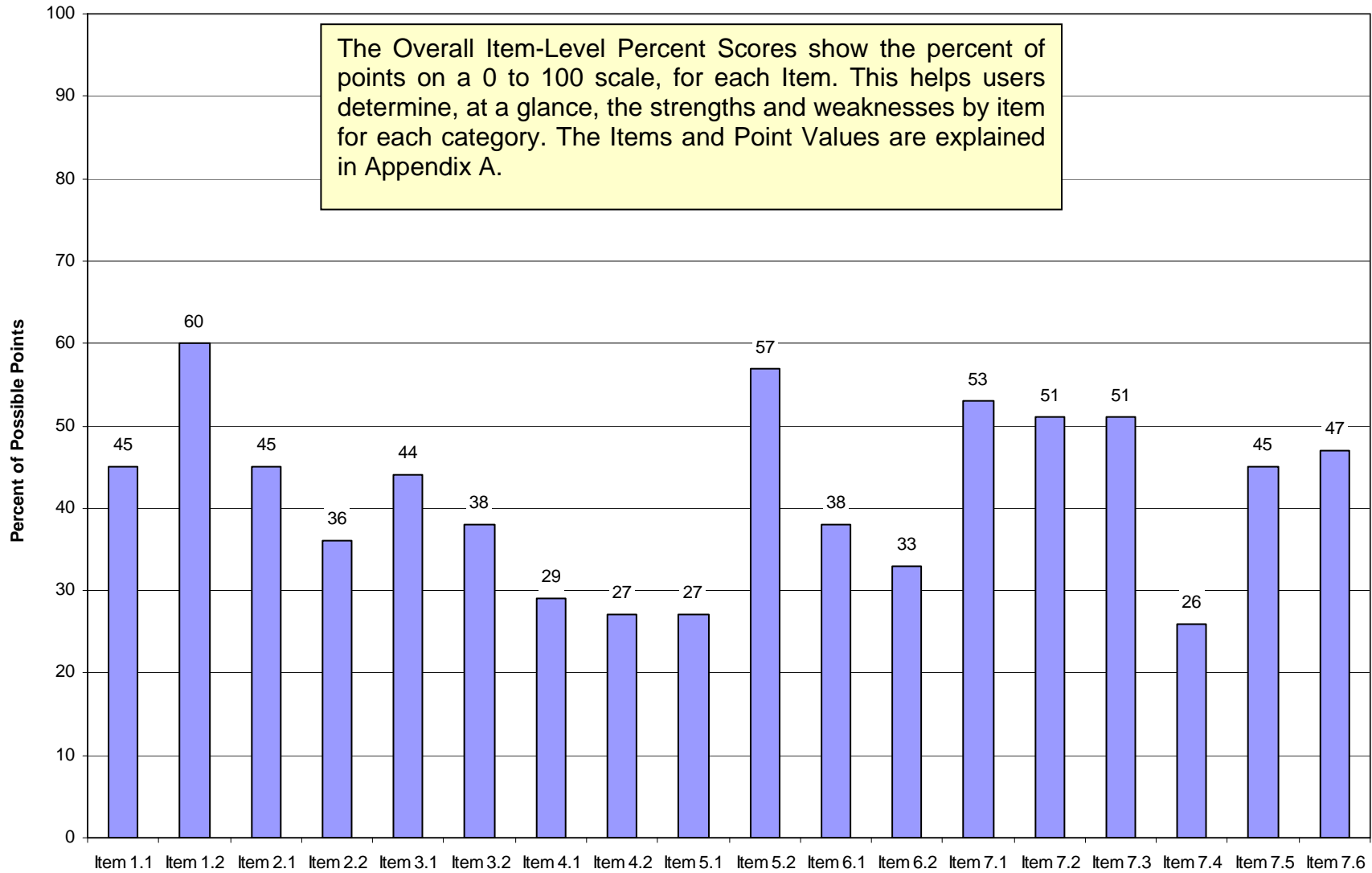
Categories	Total Points	Points Scored	% of Total Pts.
1. Leadership	120	62	51
2. Strategic Planning	85	34	40
3. Customer and Market Focus	85	35	41
4. Measurement, Analysis & Knowledge Mgmt	90	25	28
5. Workforce Focus	85	33	39
6. Process Management	85	30	36
7. Results	450	207	46
<b>Totals</b>	1000	426	43%

The Overall Category-Level Totals table explains the amount of points scored for each category, the total possible points to score in a category and the percentage of total points for each category.

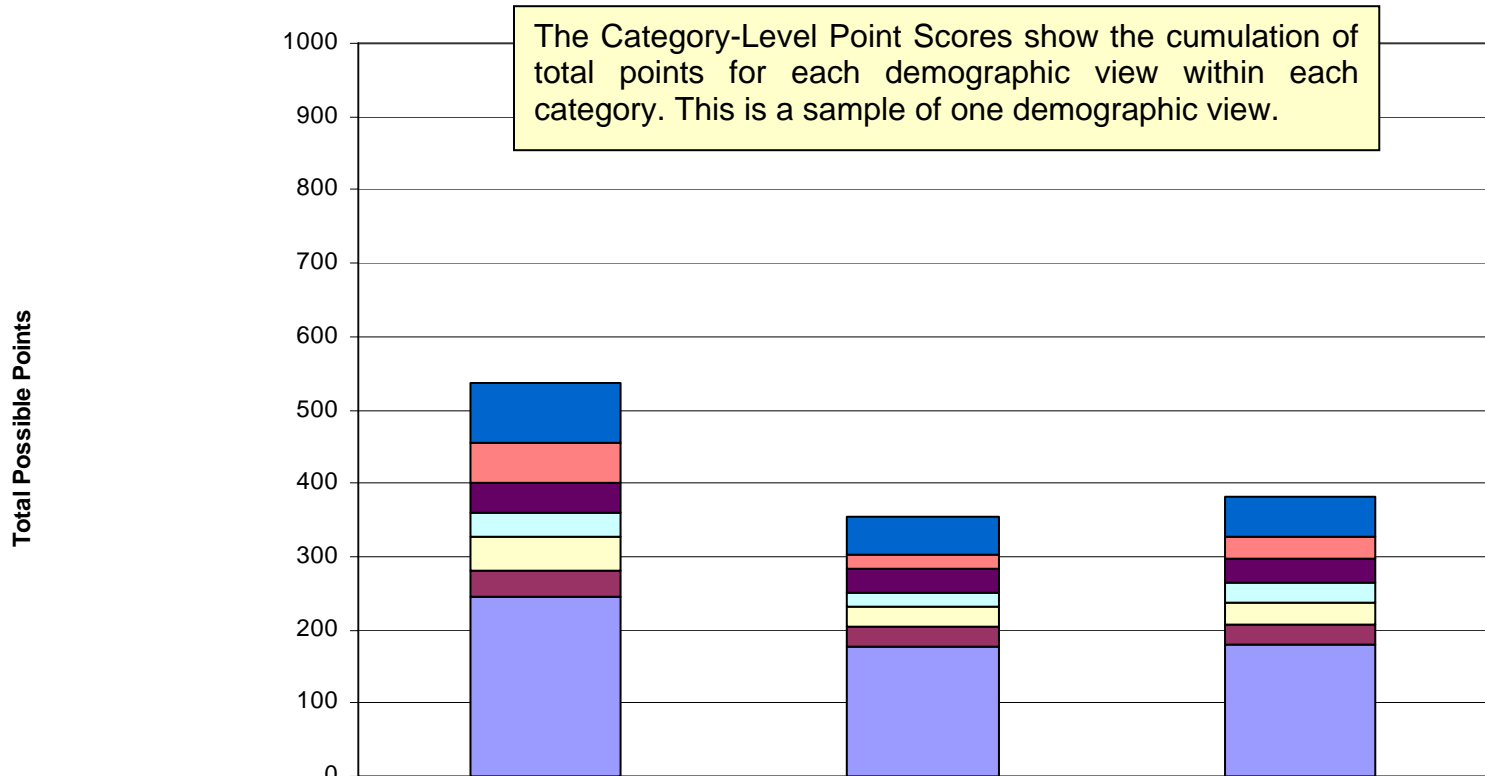
## Overall Category Level Percent Scores



## Overall Item Level Percent Scores

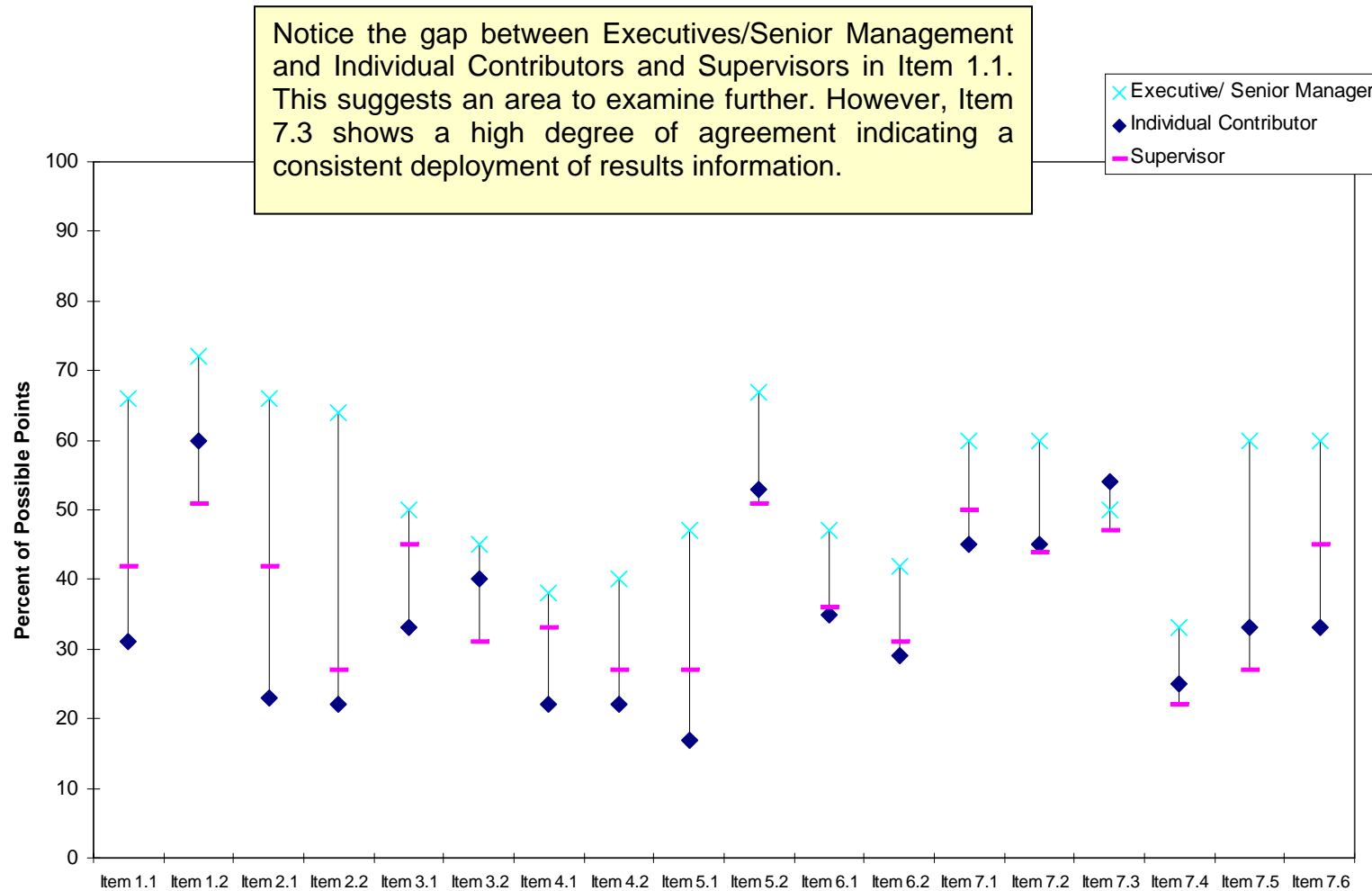


## Category Level Point Scores - Position



	Executive/ Senior Manager	Individual Contributor	Supervisor
■ Leadership	82	52	55
■ Strategic Planning	55	19	29
■ Customer and Market Focus	40	31	32
■ Measurement, Analysis & Knowledge Mgmt	35	20	27
■ Workforce Focus	44	27	30
■ Process Management	38	27	29
■ Results	244	178	179

### Item Level Point Scores - Position



This chart shows the ratings by demographic attribute, in this case, Position. On the previous graph, Item 1.1, Leadership System, reflected a rating of 45%. However, according to the breakout above, Executives/Sr. Mgmt. believe the processes are much stronger (66 percent) than Individual Contributors (31 percent) and Supervisors (42 percent). This typically indicates incomplete systems development or poor deployment of existing systems and processes required by the Item.

# Category 1 - Leadership

The Overall Score by Question and Current-State Descriptors show the overall percentage of points for a theme within each category. Refer to the Scoring Guidelines in Appendix B to see the approach/ deployment percentage scoring. The 'Current' text describes the behavioral anchor of where the organization is now. Next Level text describes steps the organization could take to improve. Role Model text describes the maturity of high performing organizations.

## Overall Question Scores and Current-State Descriptors

%	Question	Description
%	<b>1A</b>	<b>Vision and Values: Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)]</b>
<b>46</b>	<b>Current</b>	Mature - Many senior leaders effectively guide and direct the organization. They focus many workers on operational and improvement priorities. 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 may have made improvements or changes to how they guide the organization as a result of the feedback.
	<b>Next Level</b>	Advanced - 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 for and get feedback from workers in most parts of the organization to see if they understand the vision, values, and direction of the organization. Leaders sometimes make improvements or changes to how they guide the organization as a result of the feedback.
	<b>Role Model</b>	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. Senior leaders lead by example and nearly always follow the organization's values. Leaders regularly ask for and get feedback from workers at all levels to see if they understand the vision, values, and direction of the organization. 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.
%	<b>1B</b>	<b>Vision and Values: Promoting a Climate for Legal and Ethical Behavior [Baldrige ref: 1.1a(2)]</b>
<b>42</b>	<b>Current</b>	Basically Effective - We receive clear guidance from some 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.
	<b>Next Level</b>	Mature - We receive clear guidance from many 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.
	<b>Role Model</b>	Nearly all senior leaders provide clear direction throughout the organization of the importance of following laws, regulations, and ethical practices, so that nearly all workers follow nearly all legal and ethical codes of conduct in place within the organization. Nearly all senior leaders work to prevent bad conduct, rather than wait for problems to occur. Leaders regularly check compliance and make ongoing improvements to achieve better compliance. Nearly all leaders have developed creative (innovative) approaches to ensure workers follow legal and ethical codes of conduct. Leaders regularly share these ideas and best practices across the organization.

%	Question	Description
%	<b>1C</b>	<b>Vision and Values: Sustaining the Organization Through Innovation, Learning, Organizational Agility, and Developing Future Leaders [Baldrige ref: 1.1a(3)]</b>
42	<b>Current</b>	Basically Effective - Some senior leaders provide effective guidance regarding the need to sustain success, but it is understood only by some top level workers. Senior leaders are starting to check the effectiveness of these efforts but do not use the data to improve.
	<b>Next Level</b>	Mature - Many senior leaders have effective processes in place to sustain organizational success in many areas. The work to sustain the organization is in line with strategic objectives and action plans. Senior leaders sometimes check to see if their efforts in these areas are effective. As a result, senior leaders may have made some changes.
	<b>Role Model</b>	Nearly all senior leaders have put in place effective processes to sustain organizational success. They have created an environment of performance improvement, innovation (creativity), and workforce learning to achieve mission and strategic objectives, and prepare for future challenges. Within their areas of responsibility, nearly all leaders have improved their ability to implement rapid change by reducing “red tape” and encouraging workers to take action and make work-related decisions. Nearly all senior leaders help to develop future leaders. As a result, leaders make ongoing meaningful improvements or changes in these areas. Nearly all senior leaders have developed creative (innovative) approaches in these areas and share best practices across the organization.
%	<b>1D</b>	<b>Communication and Organizational Performance: Effectively Communicating, Engaging, and Encouraging Workers to Take Action to Improve Performance and Create Customer Value [Baldrige ref: 1.1b(1&amp;2)]</b>
45	<b>Current</b>	Mature - Many senior leaders effectively communicate with many workers and encourage high performance by their actions, not just words. Senior leaders sometimes 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.
	<b>Next Level</b>	Advanced - Senior leaders effectively communicate with and engage most workers throughout the organization. Most senior leaders make sure that open, honest, two-way communication occurs in most of the organization. Most senior leaders participate in reward and recognition programs that recognize workers for meeting high performance objectives, action plans, and customer needs. Most senior leaders inspire action to achieve the organization’s objectives and vision and improve performance. Senior leaders regularly check how well they communicate with workers and encourage high performance. They sometimes make improvements based on this information. Leaders sometimes make sure that good ideas and practices are shared across the organization.
	<b>Role Model</b>	Senior leaders effectively communicate with, empower, and motivate nearly all workers throughout the organization. Nearly all senior leaders make sure that open, honest, two-way communication occurs throughout the organization. Nearly all senior leaders actively participate in reward and recognition programs that recognize workers for meeting high performance objectives, action plans, and customer needs. Nearly all senior leaders inspire action to achieve the organization’s objectives and vision and improve performance. Senior leaders almost always check to see how well they communicate with workers and encourage high performance. They usually make ongoing improvements based on this information. Senior leaders have developed creative (innovative) approaches in these areas. Leaders almost always make sure that good ideas and practices are shared across the organization.

%	Question	Description
%	<b>1E</b>	<b>Organizational Governance: Review and Achieve Management Accountability, Protect Stakeholder Interests, and Improve Leader Effectiveness [Baldrige ref: 1.2a(1&amp;2)]</b>
<b>54</b>	<b>Current</b>	Mature - The organization has well-deployed processes in place to govern effectively (i.e., leaders are consistently held accountable for fraud, waste, or abuse violations). The organization sometimes checks the effectiveness of these processes. Leaders may have made some changes as a result of feedback from inspections and/or audits.
	<b>Next Level</b>	Advanced - 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. Most leaders receive performance evaluations that include accountability for their performance against the organization's goals and may include other feedback from peers and workers. Many leaders and managers use this information to improve their personal leadership effectiveness and/or the organization's leadership system. Leaders may have used this information to make some improvements to processes involving the accountability of management actions and/or financial operations, as well as to the leadership system of the organization.
	<b>Role Model</b>	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 leaders, and protection of stakeholder interests. Internal control checklists and independent inspections and/or audits are widely used to protect against fraud, waste, and abuse. Nearly all leaders receive performance evaluations (which include feedback from peers and workers) to compare leader performance against the organization's goals, strategic objectives, action plans, and other priorities. Most senior leaders, managers, and supervisors throughout the organization use this information to improve their personal effectiveness and/or the organization's leadership system. Ongoing improvements are made to these processes as a result of this information. Innovative (creative) processes are routinely developed and shared across the organization.

%	Question	Description
%	1F	<b>Legal and Ethical Behavior: Following Laws and Regulations, and Addressing Public Risks and Concerns [Baldrige ref: 1.2b(1)]</b>
59	<b>Current</b>	Mature - The organization has effective processes in place to address some of its responsibilities to the public (such as meeting legal and regulatory requirements and addressing the public’s concerns with its products, services, or operations). Sometimes the organization checks if these processes are meeting its public responsibilities and may make some changes as a result.
	<b>Next Level</b>	Advanced - The organization has effective processes in place to fully meet national and state laws and regulations and even exceed some requirements. The approaches used are consistent with organization mission and legal requirements. The organization effectively considers how most of its current and future products, services, facilities, and operations are likely to affect the public. The organization usually takes steps to reduce or eliminate potential risks to the public. The organization regularly evaluates how well these processes are meeting laws and regulations. Based on these evaluations, the organization sometimes makes new and meaningful improvements. Some sharing of effective practices takes place within the organization.
	<b>Role Model</b>	The organization has effective processes in place to fully meet national and state laws and regulations and even exceed many requirements. The approaches used are consistent with organization needs, legal requirements, mission, and strategic objectives and action plans. The organization effectively considers how nearly all of its current and future products, services, facilities, and operations are likely to affect the public. The organization usually anticipates problems in this area and takes steps to reduce or eliminate potential risks to the public. The organization evaluates how well its efforts in the areas above are meeting laws and regulations. Based on these evaluations, the organization has made ongoing improvements. Some creative (innovative) improvements have been made; best practices are shared across the organization.

%	Question	Description
%	<b>1G</b>	<b>Legal and Ethical Behavior: Promoting and Ensuring Ethical Behavior [Baldrige ref: 1.2b(2)]</b>
<b>64</b>	<b>Current</b>	Advanced - Policies and practices support desired ethical behavior across most parts of the organization. This includes the behavior of senior leaders, partners, and customers. 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 most parts of the organization. The organization regularly checks to see if policies and practices to promote ethical behavior are followed. The organization sometimes improves based on this information. Some sharing of best practices takes place within the organization.
	<b>Next Level</b>	Role Model - Policies and practices support desired ethical behavior across nearly all parts of the organization. This includes the behavior of senior leaders, partners, and customers. 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 regularly checks to see if its policies and practices help promote ethical behavior. The organization makes meaningful and ongoing 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.
	<b>Role Model</b>	Policies and practices support desired ethical behavior across nearly all parts of the organization. This includes the behavior of senior leaders, partners, and customers. 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 regularly checks to see if its policies and practices help promote ethical behavior. The organization makes meaningful and ongoing 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.

%	Question	Description
%	<b>1H</b>	<b>Support of Key Communities: Actively Supporting and Strengthening Key Communities [Baldrige ref: 1.2c]</b>
<b>63</b>	<b>Current</b>	Advanced - The organization provides appropriate 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. The organization regularly checks to see how well these activities/programs support the needs of the community and the organization. As result, the organization sometimes makes improvements. Some sharing of good practices takes place within the organization.
	<b>Next Level</b>	Role Model - The organization is a community role model and provides extensive support, consistent with organizational values, mission, and legal requirements, to help strengthen key community groups. Support to key communities and groups is well planned and structured. The organization has identified many key areas of emphasis to support. The organization regularly checks the effectiveness of its community support processes and makes ongoing 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.
	<b>Role Model</b>	The organization is a community role model and provides extensive support, consistent with organizational values, mission, and legal requirements, to help strengthen key community groups. Support to key communities and groups is well planned and structured. The organization has identified many key areas of emphasis to support. The organization regularly checks the effectiveness of its community support processes and makes ongoing 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.

## Question Level Scores - Leadership

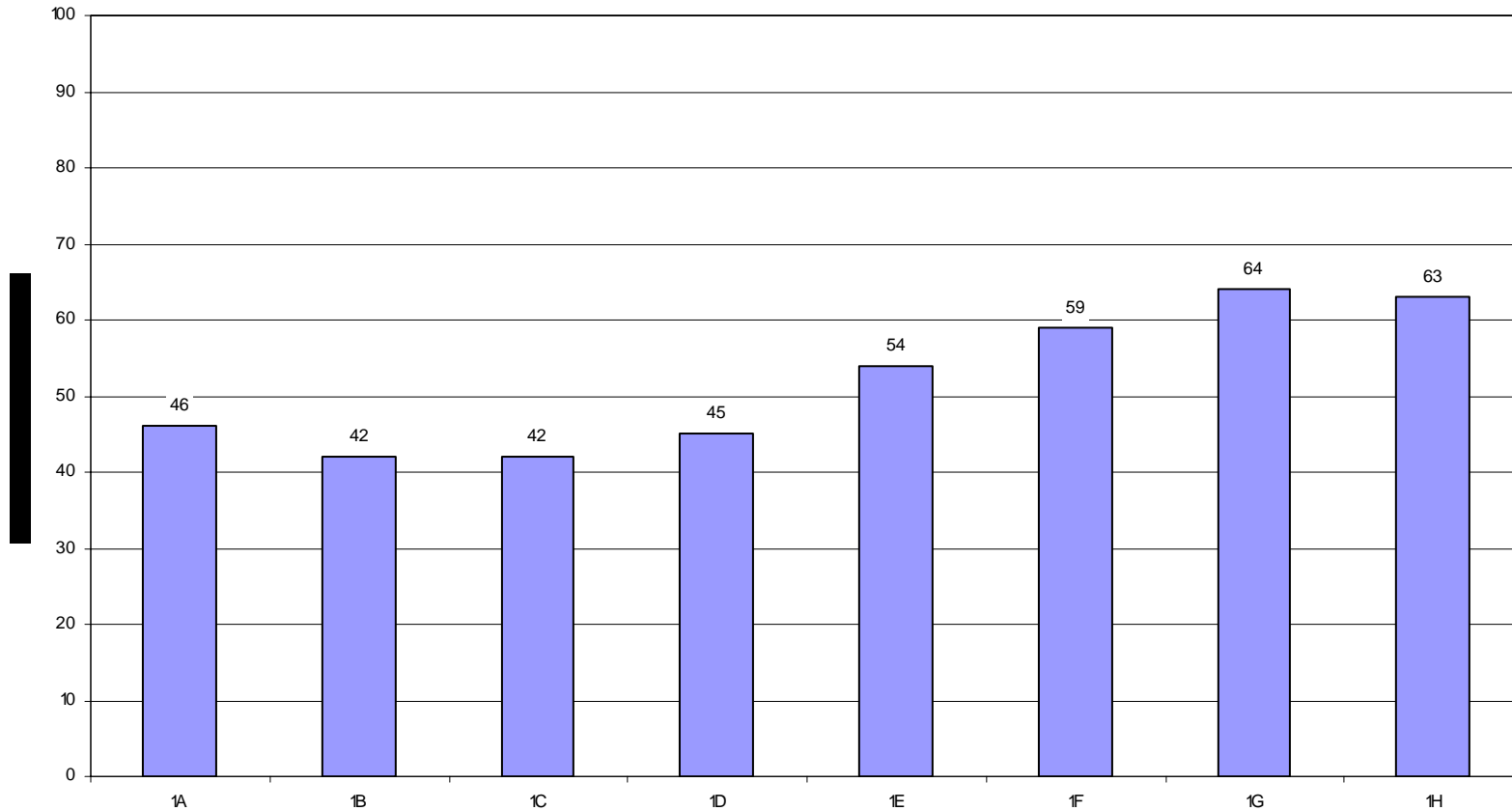
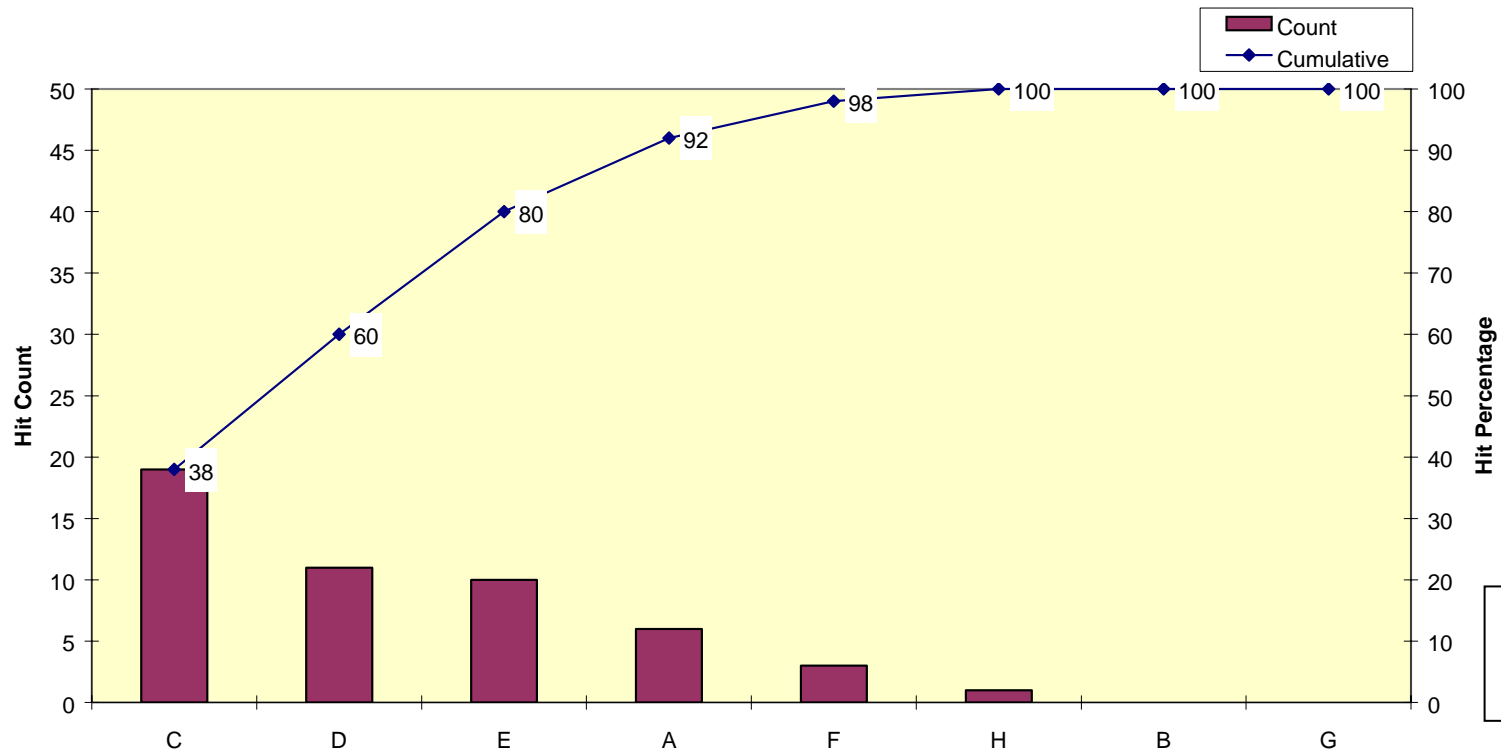


Chart Legend Key	
<b>1A</b>	Vision and Values: Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)]
<b>1B</b>	Vision and Values: Promoting a Climate for Legal and Ethical Behavior [Baldrige ref: 1.1a(2)]
<b>1C</b>	Vision and Values: Sustaining the Organization Through Innovation, Learning, Organizational Agility, and Developing Future Leaders [Baldrige ref: 1.1a(3)]
<b>1D</b>	Communication and Organizational Performance: Effectively Communicating, Engaging, and Encouraging Workers to Take Action to Improve Performance and Create Customer Value [Baldrige ref: 1.1b(1&2)]
<b>1E</b>	Organizational Governance: Review and Achieve Management Accountability, Protect Stakeholder Interests, and Improve Leader Effectiveness [Baldrige ref: 1.2a(1&2)]
<b>1F</b>	Legal and Ethical Behavior: Following Laws and Regulations, and Addressing Public Risks and Concerns [Baldrige ref: 1.2b(1)]
<b>1G</b>	Legal and Ethical Behavior: Promoting and Ensuring Ethical Behavior [Baldrige ref: 1.2b(2)]
<b>1H</b>	Support of Key Communities: Actively Supporting and Strengthening Key Communities [Baldrige ref: 1.2c]

### Category 1 - Leadership - Areas Most Needing Improvement - Pareto Chart



See page 26 for Pareto information.

Letter Key for Category 1 - Leadership - Areas Most Needing Improvement	
1A	Vision and Values: Set and Deploy Vision and Values [Baldrige ref: 1.1a(1)]
1B	Vision and Values: Promoting a Climate for Legal and Ethical Behavior [Baldrige ref: 1.1a(2)]
1C	Vision and Values: Sustaining the Organization Through Innovation, Learning, Developing Future Leaders, and Organizational Agility [Baldrige ref: 1.1a(3)]
1D	Communication and Organizational Performance: Empowerment, Motivation, Taking Action to Improve Performance, and Creating Customer Value [Baldrige ref: 1.1b(1&2)]
1E	Organizational Governance: Management Accountability, Protecting Stakeholder Interests, and Improving Leader Effectiveness [Baldrige ref: 1.2a(1&2)]
1F	Legal and Ethical Behavior: Following Laws and Regulations, and Addressing Public Risks and Concerns [Baldrige ref: 1.2b(1)]
1G	Legal and Ethical Behavior: Ensuring Ethical Behavior [Baldrige ref: 1.2b(2)]
1H	Support of Key Communities: Providing Community Support [Baldrige ref: 1.2c]

## Category 1 - Leadership - Priority Improvement Counts and Percentages - Position

	Count									Total	Percentage							
	C	D	E	A	F	H	B	G	C		D	E	A	F	H	B	G	
Executive/ Senior Manager	4	3	6	0	1	0	0	0	14	29	21	43	0	7	0	0	0	
Individual Contributor	9	3	2	3	2	1	0	0	20	45	15	10	15	10	5	0	0	
Supervisor	6	5	2	3	0	0	0	0	16	38	31	13	19	0	0	0	0	
All	19	11	10	6	3	1	0	0	50	38	22	20	12	6	2	0	0	

Chart Legend Key	
<b>1A</b>	Vision and Values: Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)]
<b>1B</b>	Vision and Values: Promoting a Climate for Legal and Ethical Behavior [Baldrige ref: 1.1a(2)]
<b>1C</b>	Vision and Values: Sustaining the Organization Through Innovation, Learning, Organizational Agility, and Developing Future Leaders [Baldrige ref: 1.1a(3)]
<b>1D</b>	Communication and Organizational Performance: Effectively Communicating, Engaging, and Encouraging Workers to Take Action to Improve Performance and Create Customer Value [Baldrige ref: 1.1b(1&2)]
<b>1E</b>	Organizational Governance: Review and Achieve Management Accountability, Protect Stakeholder Interests, and Improve Leader Effectiveness [Baldrige ref: 1.2a(1&2)]
<b>1F</b>	Legal and Ethical Behavior: Following Laws and Regulations, and Addressing Public Risks and Concerns [Baldrige ref: 1.2b(1)]
<b>1G</b>	Legal and Ethical Behavior: Promoting and Ensuring Ethical Behavior [Baldrige ref: 1.2b(2)]
<b>1H</b>	Support of Key Communities: Actively Supporting and Strengthening Key Communities [Baldrige ref: 1.2c]

# Category 1 - Leadership

## Question-Level Comments by Position

### 1A Vision and Values: Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)]

#### ***Executive/ Senior Manager***

**Process Comment:** Through meetings, training, setting priorities, annual reports, budget presentations

**Process Comment:** Strategic plan, mission and vision are all established and published. Some division managers do a good job of pushing it to the next level down.

#### ***Individual Contributor***

**Process Comment:** The senior leaders of the department, while they SET the vision and values, are not very effective at deployment. Information is not shared as to how leaders have arrived at what they define as the values of the organization. Within our division, the vision and values of the leader are clear to staff and staff has been provided an opportunity to have input based on their interpretation of what the "vision" should be.....

**Process Comment:** Vision and values are communicated through quarterly reports, memos, and occasionally meeting minutes.

**Action Steps to Improve:** More meetings with staff to personally communicate the vision and to get ideas from everyone how to further implement.

#### ***Supervisor***

**Process Comment:** The vision and mission of the Department is clearly understood and communicated.

**Process Comment:** I believe the senior leadership does a very good job of conveying the vision & mission of the organization and sending that message to employees throughout the organization.

### 1B Vision and Values: Promoting a Climate for Legal and Ethical Behavior [Baldrige ref: 1.1a(2)]

#### ***Executive/ Senior Manager***

**Process Comment:** For the most part this organization is proactive in ensuring a healthy environment is in place. They promote this in training sessions, leadership, communication as mentors and role models. Performance competencies such as Leadership, Management and Communications all cover this area. These evaluations are conducted on every employee at least once a year, which in turn provides them feedback on their performance in this area.

**Process Comment:** Legal behavior is clearly promoted and expected, as well as measured. Ethical behavior is not as readily rewarded or noticed. Good people make good organizations and at times some people once defined as "good" get by with less than honorable behavior.

**Action Steps to Improve:** Remain objective even when a professional and personal relationship exists with an individual. Hold all accountable to the same standards and set them high.

***Individual Contributor***

**Process Comment:** Within our division, staff are routinely required to review SOP's regarding code of ethics and standards of conduct. Response to unethical behavior is swift and provides staff with alternative responses to possible future situations. Key performance measure would be tracking numbers of complaints/disciplinary actions/training opportunities in relevant areas. These actions are done throughout our division, but not as effectively throughout the department.

**Process Comment:** All new employees are required to sign the Code of Ethics during their orientation process. These ethical codes are reviewed on an annual basis and all employees are expected to review and sign off.

***Supervisor***

**Process Comment:** All staff are held accountable to a high standard of legal and ethical excellence.

**Process Comment:** Some supervisors work with their employees to get them more involved in decisions about their work. Most of them do not however.

***Individual Contributor***

**Process Comment:** Managers constantly emphasize the importance of customers with the real measure success is financial performance and meeting production quotas. When we are ordered to ship bad products, are supervisors are really telling us that customers are not that important.

**Process Comment:** Most managers and supervisors too concerned with internal issues.

**Process Comment:** Within the product release process, signed off is provided by various levels of management, if a particular load is refused sign-off, it is just escalated to a level of management that will sign off on the release (business decision). It senior management was committed to value for customer this wouldn't happen.

***Supervisor***

**Process Comment:** No direct support. Meet Customer without Local office manager assistance, no debriefing or strategy defined after that.

**Process Comment:** In the area of Customer Service, it often appears that this is an afterthought & comes way behind the levels of planning & strategizing that goes into different product and technologies futures. In other words we need to ensure Top Management realize that they need to prioritize Customer Service as high or higher than technical innovation.

**Process Comment:** Top leaders talk about the importance of customer focus and customer satisfaction. However it appears that they are really concerned about profits and volume.

**Process Comment:** Customers talk a lot about customers and how important they are to our success but short-term decisions are frequently made to maximize profit at the expense of long-term customer satisfaction.

## **1C Vision and Values: Sustaining the Organization Through Innovation, Learning, Organizational Agility, and Developing Future Leaders [Baldrige ref: 1.1a(3)]**

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### ***Executive/ Senior Manager***

**Process Comment:** Identified through a wide range of employee surveys. Results need to be more visible.

**Process Comment:** Learning and innovation is fully encouraged.

**Process Comment:** All employees are encouraged to make day to day decisions by themselves within the framework of our work Processes.

### ***Individual Contributor***

**Process Comment:** This varies from Manager to Manager.

**Process Comment:** We are not really empowered to do much of anything except follow documented procedures. Innovations and new ideas are welcomed by very few supervisors.

**Process Comment:** I watched a supervisor (not mine) actually yell at a new employee who suggested a way to improve the production process to reduce wasted time and delay. He was told to keep his ideas to himself or find someplace else to work. I know I will quit the company before I agree work for this supervisor.

**Process Comment:** My supervisor supports new ideas and innovation. However, I know from many many colleagues that my supervisor is in the minority.

## **1D Communication and Organizational Performance: Effectively Communicating, Engaging, and Encouraging Workers to Take Action to Improve Performance and Create Customer Value [Baldrige ref: 1.1b(1&2)]**

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### ***Executive/ Senior Manager***

**Process Comment:** All employees are encouraged to make day to day decisions within the framework of our scorecards. Employees are provided with the time and resources to enhance their skill levels to support our current products and services.

### ***Individual Contributor***

**Process Comment:** Some supervisors work with their employees to get them more involved in decisions about their work. Most of them do not however.

**Process Comment:** I know from workers another person the organization that their supervisors support employee decision making. However this is not the case everywhere. Our supervisors are primarily interested in making their performance numbers look good match in building capacity or improving quality overall.

### **Supervisor**

**Process Comment:** Although all top leaders agree on the importance of empowering employees, the policy gets lost in the translation through lower-level supervisors and managers. As a result, the work of many employees continues to be micromanaged.

## **1E Organizational Governance: Review and Achieve Management Accountability, Protect Stakeholder Interests, and Improve Leader Effectiveness [Baldrige ref: 1.2a(1&2)]**

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### **Executive/Senior Manager**

**Process Comment:** We have a 9 member board of directors. Five are members by virtue of their position in the company and include the CEO (and company founder), COO, CFO, CIO, and President. The CFO also serves as the treasurer and audit compliance officer. The CFO is also responsible for all reports to the SEC and state department of fiscal accountability. The COO serves as the secretary of the board. The CEO is also the chairman.

**Process Comment:** Of the 9 board members, 4 are external and serve for a term of 5 years, renewable once. Terms are staggered so one external member is up for renewal or replacement each year. The 5 internal members serve on the board as long as they hold their position in the company. The board members all have high integrity and have responsibility for providing balance to the internal members.

### **Individual Contributor**

**Process Comment:** We are not invited to parts of the board meetings that decisions are made in, and we trust the CEO to do the right thing but the direction of the company is controlled by internal board members who out vote the external members. It would be a good idea to get new blood on the board.

**Process Comment:** I do not know how board decisions are made in, but it seems like the CEO makes all of the decisions. What he wants is always done.

### **Supervisor**

**Process Comment:** A majority of board members are under the direct supervision of the CEO and some concerns have been raised from employee stockholders about decisions that have the best interests of investors in mind.

**Process Comment:** Board members almost never change. They are part of the good old boy network and are good buddies of the CEO and President. A big chunk of my retirement is invested in the company and options are too low to take advantage. We are limited in what we can move outside the company. There are a lot of workers who would like to be sure their retirement value does not go away.

## **1F Legal and Ethical Behavior: Following Laws and Regulations, and Addressing Public Risks and Concerns [Baldrige ref: 1.2b(1)]**

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### ***Executive/ Senior Manager***

**Process Comment:** All products are tested to meet all safety standards. The organization is very sensitive to any potential public issues. EPA and OSHA have actually patterned increased public requirements based on our own internal requirements that exceed minimum regulatory requirements.

**Process Comment:** A senior officer has been designated as the environmental health and safety officer for the company to reduce risks and threats that may be faced by the public and employees at all sites

### ***Individual Contributor***

**Process Comment:** All products are designed to meet all appropriate public safety standards. The organization is committed to preventing problems in this area.

**Process Comment:** All products are tested to meet all safety standards. The organization is very sensitive to any potential public issues.

## **1G Legal and Ethical Behavior: Promoting and Ensuring Ethical Behavior [Baldrige ref: 1.2b(2)]**

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### ***Executive/ Senior Manager***

**Process Comment:** Code of business conduct addresses these areas.

**Process Comment:** Our Code of conduct specifies all such issues. Regularly reviewed through Standards of Internal Control reviews by internal auditors and regular audits by external auditors. Very efficient. The code of conduct and standards of internal control are evaluated each year to determine if they adequately cover all issues that might be of concern to the company and its stakeholders. The code of conduct and review procedures have been changed three times in the last five years to reflect increasing sensitivity concerning diversity and international business activities.

**Process Comment:** We typically go beyond meeting minimum ethical regulatory and legal requirements to serve as a role model. Our work is often cited for exceeding requirements.

**Process Comment:** Code of conduct specifies all such issues. Regularly reviewed through Standards of Internal Control reviews by internal auditors and regular audits by external auditors. Very efficient.

**Individual Contributor**

**Process Comment:** HR makes us aware of all legal requirements. I believe that this is extensively adhered to.

**Process Comment:** The product is sometimes adapted to meet the country laws. And the customer is checking against that.

**1H Support of Key Communities: Actively Supporting and Strengthening Key Communities [Baldrige ref: 1.2c]**

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**Executive/ Senior Manager**

**Process Comment:** The organization is involved in the ISO congress, in some exhibitions and is supporting some sportive events.

**Process Comment:** We are a role model of providing support to her local communities particularly in the areas of education. We want to be certain that our schools produce sufficient skilled graduates to meet the demands of an increasingly technological society.

**Individual Contributor**

**Process Comment:** The organization encourages all employees to contribute to community work. Best contributors are awarded each year.

**Process Comment:** Not much support for local communities is provided in the West Coast facility. Nearly all the money goes to headquarters.

**Supervisor**

**Process Comment:** Support through charity works and "Junior Achievement" activities.

**Process Comment:** The organization provides time off for all employees to contribute to community activities. Over the years the organization appears to do more and more to support local communities at all sites, not just at headquarters.

# Appendix A - Assessment Themes and Values

The point values of the scoring system are linked directly to the points and scoring system of the Malcolm Baldrige Criteria for Performance Excellence. Each item and the questions included in the items are also derived from the Baldrige Criteria.

## Categories, Items, and Point Values

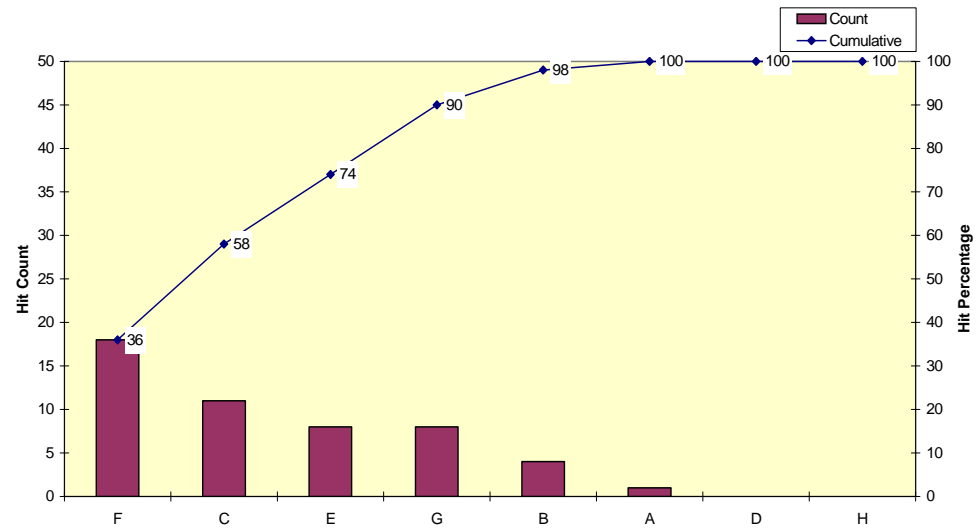
<b>1.0 Leadership</b>	<b>120</b>
<hr/>	
1.1 Senior Leadership .....	70
1A Vision and Values: Setting and Deploying Organizational Vision and Values [Baldrige ref: 1.1a(1)]	
1B Vision and Values: Promoting a Climate for Legal and Ethical Behavior [Baldrige ref: 1.1a(2)]	
1C Vision and Values: Sustaining the Organization Through Innovation, Learning, Organizational Agility, and Developing Future Leaders [Baldrige ref: 1.1a(3)]	
1D Communication and Organizational Performance: Effectively Communicating, Engaging, and Encouraging Workers to Take Action to Improve Performance and Create Customer Value [Baldrige ref: 1.1b(1&2)]	
1.2 Governance and Social Responsibility .....	50
1E Organizational Governance: Review and Achieve Management Accountability, Protect Stakeholder Interests, and Improve Leader Effectiveness [Baldrige ref: 1.2a(1&2)]	
1F Legal and Ethical Behavior: Following Laws and Regulations, and Addressing Public Risks and Concerns [Baldrige ref: 1.2b(1)]	
1G Legal and Ethical Behavior: Promoting and Ensuring Ethical Behavior [Baldrige ref: 1.2b(2)]	
1H Support of Key Communities: Actively Supporting and Strengthening Key Communities [Baldrige ref: 1.2c]	

# Appendix C – How to Interpret Pareto Charts

Staff members in your organization have been asked to select two areas in each of the seven categories for performance excellence, which they feel, is in most need of improvement. The concept of a Pareto chart is to show that the areas in need of improvement are usually a vital few, allowing leaders to concentrate their focus on specific improvement efforts.

Each chart will display the letters that correspond to the question rows for each of the seven categories along the x-axis. Along the y-axis both Count and Percentages are charted. The count of staff votes (Hits) for each area they believe is most in need of improvement is represented as bars on the graph. The chart is arranged with the largest hit count on the left of the graph, indicating the area selected by staff which they overall feel is most in need of improvement. The line charted above the bars represents the cumulative percentages of each bar, from left to right.

For example, in Figure 1, the letters F, C, and E represent an opportunity to solve 74% of key issues in 38% of the areas (3 of 8) for the category (Leadership). In this example, the letters D and H did not receive any votes since these areas were not selected by staff as areas most in need of improvement.



Letter Key for Category 1 - Leadership - Areas Most Needing Improvement	
1A	Vision and Values: Set and Deploy Vision and Values
1B	Vision and Values: Promoting a Climate for Legal and Ethical Behavior
1C	Vision and Values: Sustaining the Organization Through Innovation, Learning, Developing Future Leaders, and Organizational Agility
1D	Communication and Organizational Performance: Empowerment, Motivation, Taking Action to Improve Performance, and Creating Customer Value
1E	Organizational Governance: Management Accountability, Protecting Stakeholder Interests, and Improving Leader Effectiveness
1F	Legal and Ethical Behavior: Following Laws and Regulations, and Addressing Public Risks and Concerns
1G	Legal and Ethical Behavior: Ensuring Ethical Behavior
1H	Support of Key Communities: Providing Community Support

Figure 1

# Acknowledgments

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